

The SCP Source Book Series, Volume 2

# Organising, Conducting and Reporting an SCP City Consultation

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The SCP Source Book Series, Volume 2

# Organising, Conducting and Reporting an SCP City Consultation

Prepared and written by staff  
of the Sustainable Cities Programme

## About the SCP Source Book Series

The SCP Source Book Series provides detailed operational guidance for the benefit of people implementing city-level projects within the Sustainable Cities Programme. Each volume in the Series covers either an important part of the SCP process or an important topic which is central to urban environmental planning and management. The volumes currently being produced (1998) include the following:

- Volume 1: Preparing the SCP Environmental Profile
- Volume 2: Organising, Conducting and Reporting an SCP City Consultation
- Volume 3: Establishing and Supporting the Working Group Process
- Volume 4: Formulating Issue-Specific Strategies and Action Plans
- Volume 5: Institutionalising the EPM Process
- Volume 6: Managing Air Quality
- Volume 7: Building Environmental Management Information Systems
- Volume 8: Integrating Gender Responsiveness in EPM
- Volume 9: Measuring Progress in EPM

The emphasis in this Series is on **relevance** and **realism**. These volumes are the *product of experience* - field-level experience gained over the past eight years in SCP city projects around the world. Precisely because it is drawn from the lessons of experience in so many different cities, the information contained in these volumes is not city-specific but can readily be adapted and applied to the tasks of urban environmental planning and management (EPM) in virtually any city context.

The Sustainable Cities Programme (SCP) is a global programme of the United Nations Centre for Human Settlements (UNCHS - Habitat) and the United Nations Environment Programme (UNEP). It is the leading technical cooperation programme in the field of urban environmental planning and management and is the principal activity of the United Nations system for operationalising sustainable urban development and thus contributing to implementation of the globally-agreed *Agenda 21* and *Habitat Agenda*. The SCP is currently active in the following places:

**Africa:** Accra (Ghana), Dakar (Senegal), Dar es Salaam (Tanzania), Ibadan (Nigeria), Lusaka (Zambia), Maputo (Mozambique), Moshi (Tanzania), Nampula (Mozambique), Zanzibar (Tanzania)

**Asia:** Colombo (Sri Lanka), Madras (India), Secondary Cities (Philippines), Shenyang (China), Wuhan (China)

**Arab States:** Ismailia (Egypt), Tunis (Tunisia)

**Latin America:** Concepcion (Chile)

**Central & Eastern Europe :** Katowice (Poland), Moscow (Russia), St Petersburg (Russia).

Further information about the SCP Source Book Series, or about the Sustainable Cities Programme itself, may be obtained from:

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# User's Guide

This document is divided into three parts, each of which has a different purpose and a different content:

## Part A

### Introduction and Overview

This describes briefly the SCP City Consultation, explaining its role and purpose in the SCP process, and how it is prepared and conducted. This is a general overview which should be read by *everyone* concerned with the SCP project, including policy-makers and political leaders.

## Part B

### The Guide: Organising, Conducting and Reporting an SCP City Consultation

This is the main part of the document. It gives a step-by-step explanation of how to prepare an SCP City Consultation. The explanation is detailed and systematic, aimed at the professionals and practitioners who will actually be implementing the SCP project on a day-to-day basis. This part contains not only explanations and guidelines, but also special tips and practical advice based on experience in other SCP cities. Illustrations are also given, in summary form, to show how things were done in these other cities. Part B is thus intended as a reference guidebook which the SCP project staff and partners can consult over and over again as they organise, conduct and report on a City Consultation.

## Part C

### Annexes and Reference Materials

To further assist those implementing the SCP project, this part of the document contains annexes of direct relevance to the process of organising and conducting an SCP City Consultation. For instance, there are sample Terms of Reference for resource persons/consultants, notes describing details of important activities related to an SCP City Consultation, sample forms and letters, examples taken from other SCP projects, etc. This material will be of great value during the preparation process for a City Consultation, and will help the SCP project staff save time and energy. To facilitate the search for different materials relating to the various activity stages a Supplementary Table of Contents appears at the beginning of this section.

To get the best out of this Source Book, however, users need to have a good understanding of the over-all SCP approach and process of which an SCP City Consultation is only a part. It is therefore strongly advised that users familiarise themselves with the appropriate SCP documents and information.



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The SCP Source Book Series, Volume 2  
**Organising, Conducting and Reporting  
an SCP City Consultation**

# Part A

## **Introduction and Overview**

This section provides an overview of the SCP process and describes the purpose, structure and mechanics of an SCP City Consultation, and the rationale behind it. The logical linkages between the objectives of each of the sessions or modules and the underlying purpose of a City Consultation are clearly established in this section.



## A1

## The SCP Process

The Sustainable Cities Programme (SCP) carries out world-wide technical cooperation activities within the United Nations; it works at city level in collaboration with local partners to strengthen their capabilities for environmental planning and management (EPM). Each city-level SCP project is adapted to the particular needs, priorities, and circumstances of that city; nonetheless, all SCP city projects follow the same general approach and all are implemented through the same series of activities, known as the SCP Process.

The SCP recognises that cities play a vital role in social and economic development in all countries; efficient and productive cities are essential for national economic growth and, equally, strong urban economies are essential for generating the resources needed for public and private investments in infrastructure, education and health, improved living conditions, and poverty alleviation.

Unfortunately, the development potential of cities is all too often crippled by environmental deterioration; aside from its obvious effects on human health and well-being (especially of the poor), environmental degradation directly inhibits economic development. For development achievements to be truly sustainable, cities must find better ways of balancing the needs and pressures of urban growth and development with the opportunities and constraints of the urban environment.

Environmental deterioration, however, is not inevitable. Although many, perhaps even most, cities are still suffering severe environmental and economic damage, there are encouraging signs. Some cities are learning how to better plan and more effectively manage the process of urban development, avoiding or alleviating environmental problems while realising the positive potential of cities to grow and change. The SCP aims to support cities in finding - and managing - development paths which are more effective and better suited to their environmental opportunities and constraints.

Reflecting this background, and reflecting the special characteristics of the Sustainable Cities Programme, there is a **common approach** which is shared by all SCP cities and which holds true across the full range of partner cities:

- C central focus on development-environment interactions
- C broad-based participation by public, private and community sector groups
- C concern for inter-sectoral and inter-organisational aspects
- C reliance on bottom-up and demand-led responses
- C focus on process: problem-solving and getting things done
- C emphasis on local capacity-building.

Attributes of the SCP approach

Similarly, there is a shared **SCP Process** which provides a general framework for city-level project implementation - a framework, moreover, which has been tested, revised, improved and evolved through experience in more than 20 different cities since 1991. The process consists of a sequence of activities which are logically and practically connected, together with a number of specific outputs which are important for the progress of the project. The key point is that by following the SCP Process, the work of implementing an SCP city project will build an effective process of environmental planning and management which is integrated into local society and governance.

Naturally, the way in which the SCP process works out *in detail* will be different from one city to another. But the *general* pattern has proven to be useful and effective in cities all across the world. Broadly speaking, there are three general phases in the process of SCP project implementation.

Start-up phase

The **First Phase** (*Assessment and Start-Up*) is a six- to nine-month initial period which normally includes the following main activities:

- Ⓒ identification and mobilisation of project participants and partners
- Ⓒ familiarisation of project partners with the core EPM concepts and SCP approaches
- Ⓒ preparation of the Environmental Profile and initial identification of priority environmental issues
- Ⓒ review of available resources, tools, and information and initial design of geographic information systems (GIS) and environmental management information systems (EMIS) specifically adapted to the city's needs
- Ⓒ working out the organisational structure, work plan, and operational procedures for the project
- Ⓒ organising and holding the City Consultation
- Ⓒ establishing the Issue-Specific Working Groups.

The City Consultation is a major event which brings together the work of Phase One, consolidates social and political participation and support, and launches the SCP project into Phase Two. (Volume 2 of this SCP Source Book Series - *Organising, Conducting and Reporting the City Consultation* - provides detailed guidance.)

Strategy and action planning phase

The project's **Second Phase** (*Strategy & Action Planning*) is a 15 to 24 month period of intensive analysis, discussion, and negotiation within the Issue-Specific Working Groups. The number, focus, and membership of these Working Groups will change and evolve as the project proceeds, but they will remain the principal feature of the SCP Project. (See Volume 3 - *Establishing and Supporting Issue-Specific Working Groups*.) During this period, each of the agreed priority issues will be further elaborated and developed, to reach a consensus on appropriate strategies for that issue. The strategies will then be developed into action plans which can be agreed by the organisations and groups involved in

implementation. (See Volume 4 - *Formulating Issue-Specific Strategies and Action Plans*.)

It is likely that small-scale demonstration projects will be undertaken to test the approaches developed and to show what can be done through the SCP process. In addition, some of the first action plans will produce investment and/or technical assistance proposals which will be developed into properly-formulated and bankable proposals. All of these Phase Two activities of the Working Groups will be gradual, pragmatic and cooperative, reflecting the real-world conditions for strategy formulation and implementation. Finally, also during this Second Phase, the main project activities aimed at institutional capacity-building and human resource development will be carried out.

The **Third Phase** of work (*Follow-up & Consolidation*) is an open-ended follow-up and implementation period, which begins towards the end of Phase Two and carries on for an extended time afterwards. The strategies and action plans coming out of the Working Groups will be further elaborated, especially in order to build towards an over-all city-wide environmental management and urban development strategy framework. Investment proposals will be worked out in detail, subjected to rigorous analysis, and pursued vigorously with funding sources. The task of institutionalising the environmental planning and management (EPM) process, initiated during Phase Two, will be undertaken in earnest (see Volume 5 - *Institutionalising the EPM Process*). In addition, the remaining training and institutional development activities will be implemented. Finally, there will be regional and/or national workshops and meetings, to explore ways of extending SCP activities into other cities, building upon the experience gained in the project.

Follow-up and  
consolidation phase

## A2

## The Nature and Role of an SCP City Consultation

Organising and holding a City Consultation is among the activities taking place during the start-up phase of the SCP process. The need for a City Consultation is underpinned by the central principles on which the SCP process is grounded: bottom-up, participatory and cross-sectoral.

As a process promoting collective problem solving through negotiation, conflict resolution, consensus building and partnership, the SCP approach calls for a **meaningful and effective participation of stakeholders** in decision making, and a city Consultation is meant to provide a mechanism for this.

A City Consultation in the SCP context is a purposefully structured function. The different sessions and themes of the Consultation are clearly articulated and woven together so as to coherently serve the primary objectives of a City Consultation. The **primary objectives** of a City Consultation are:

### Objectives of a City Consultation

- to identify, review and expand upon urban environmental issues of priority concern which affect the sustainable growth and development of the city;
- to bring together key actors in the public, private and popular sectors in order that they may commit themselves to jointly develop and agree on the need for an improved city management process which enables partnerships, which cuts across sectors and which promotes environmentally sound development;
- to demonstrate through priority urban environmental issues, a process of defining concerns and identifying key actors at different levels and a methodology to establish the cross-sectoral working group approach;
- to agree on an appropriate institutional framework for the Sustainable Programme of the city which is integrated or linked to existing structures, and in so doing to demonstrate what kind of resources are necessary and how these can be brought together to address the issues;
- to mobilise social and political support and to obtain the commitment necessary to operationalise the demonstrated cross-sectoral working group approach in addressing the priority issues identified and agreed at the City Consultation.

Therefore, by the end of a successful City Consultation,

- issues of priority concern at the city level will have been identified and reviewed;
- common and better understanding of issues will have been created;
- a cross-sectoral working group approach for dealing with environmental issues will have been demonstrated;
- a commitment and support by all actors and stakeholders to apply and play a role in promoting such an approach will have been secured.

The SCP City Consultation therefore plays a dual role:

**one**, it allows the different stakeholders to be better informed and agree on issues of concern obstructing the economic growth and development of their city; and

**two**, it demonstrates and formalises an effective participatory mechanism which allows stakeholders to collectively seek solutions to issues of a cross-cutting nature.

These informative and demonstrative roles of an SCP Consultation are vividly reflected in the structure and mechanics of the Consultation. The following features of an SCP Consultation highlight this, and broadly describe what an SCP Consultation is and how it differs from other Consultations:

**(a) An SCP Consultation is specifically prepared and geared to ensuring meaningful participation:** The plenary and discussion groups are carefully organised to create a conducive environment for key stakeholder groups to clearly articulate the issues that are of concern to them, to illustrate how these affect them, and to suggest possible solutions that they believe would best serve their interests. Effective facilitation techniques are consciously applied to encourage stakeholder participation in, and contribution to the discussions.

Key features of an SCP  
City Consultation

To induce substantive participation and to stimulate discussion, well prepared Proposition Papers will be presented on selected demonstration priority issues and the institutional framework pertaining to them. Participants will also receive a summary of the City Environmental Profile (in draft or annotated form) and other background papers which allow them to relate the specific issues and themes to the overall city and programme context. In addition, SCP Plenary Sessions are interspersed with tightly structured **Discussion Sessions** where participants, distributed in small groups, will have the opportunity to experience the advantages of the cross-sectoral working group approach.

**(b) A City Consultation has a sharp focus of specific issues:** An SCP City Consultation, and indeed the entire SCP process, is geared towards dealing with priority cross-cutting issues. Issues have more direct manifestations, geographic boundaries and constituencies, therefore

allowing the participating stakeholders to clearly see their particular interest and to air their views. Experience has also shown that conflicting interests, opportunities and constraints are clearer at issue level. 'Issue' is used here to mean those which are prevalent in a city, which are long term in nature, which affect more than one sector and therefore are not amenable to the traditional sectoral management tools and institutional mechanisms, and which are recurring over a given period of time.

Since issues are manifested in geographical areas, they always have definitive constituencies and are therefore likely to generate interest and to mobilise stakeholders. On the other hand, agreeing on issues of priority concern will enable the stakeholders to have a sharper focus and to marshal the existing limited resources to areas where they are needed most.

**(c) An SCP City Consultation brings together stakeholders from all sectors :** The SCP City Consultation does not deal with issues of sectoral nature – these are better handled by sectoral institutions and actors. The focus of an SCP City Consultation is rather the cross-cutting issues, which affect and involve many stakeholders and sectors and which are not amenable to traditional sectoral management arrangements or planning and decision making tools and practices.

An SCP City Consultation provides a consciously structured framework which, in many instances for the first time, allows the different stakeholders to come together to identify mechanisms that would enable them to work together in addressing cross-cutting issues. Such issues include sanitation and waste management, protecting lake resources, better utilising tourism resources, improving housing and services in informal settlements, improving air quality, etc. Furthermore, the SCP Consultation has an in-built mechanism to ensure that concerns of the urban poor and gender perspectives are considered in relation to all issues discussed at the Consultation.

**(d) It is the Stakeholders who drive the City Consultation:** One key difference between the SCP City Consultation and any other meeting is that **it is not the 'expert opinion' but the stakeholders' perspective or position that forms the basis for Consultation.** This will be consistently observed throughout the Consultation. The stakeholders, in an open-microphone session, put across the issues they want discussed and addressed; the stakeholders define the relative priority among the issues, and air their views from their perspectives, and finally they agree on an institutional framework that they would think will enable them to carry forward what they have started at the city Consultation.

The principle behind making the stakeholders drive the Consultation is simple: the purpose of the Consultation is to address cross-cutting issues through the participation of stakeholders, and this can only be achieved when they (the stakeholders) are able to establish their interests and take the lead in determining their priorities.



**(e) Presentations and discussions at the SCP City Consultation are designed to be intelligible to everybody:** The City Profile, the Proposition Papers and the interventions of Discussants are designed to be intelligible to all types of stakeholders, irrespective of their academic level. Whereas they are analytical and sharply focused, they are also tailored to be understood by the majority of stakeholders so as to encourage them to participate productively.

**The focus is on identifying and involving those who possess already available information, accumulated experience and practical ideas.** The presentations and interventions are not designed to advance academic research or to prescribe solutions; they are designed to promote a common and better understanding of issues and to offer possible options generated from past and present experience. The City Profile, structured to highlight issues within the context of the underlying development-environment interactions, provides handy methodological tools for analysing complex environmental issues.

**(f) An SCP City Consultation is facilitated by a professional Facilitator:** An experienced Facilitator will be assigned well in advance before the City Consultation. She/he will be made familiar with the concepts and framework of the SCP process and with the structure and purpose of the City Consultation. The Facilitator will be a key player and coordinator of the proceedings of the Consultation: she/he will ensure that the agenda and structure of the sessions are understood, presentations and discussions are focused, and conclusions are drawn. The Facilitator will apply proven tools and skills and assist in systematically capturing contributions and in deriving conclusions. This way the Facilitator will make sure that the different sessions evolve to final results, and that the City Consultation attains its objectives.

**(g) The City Consultation is the culmination of a consultative process which is initiated at the start-up of the SCP project.** The participation of stakeholders at the City Consultation is not an isolated event; it builds on the sensitisation and mobilisation of stakeholders initiated with the preparation of the Environmental Profile and the City Consultation itself. One of the key differentiating features between the SCP City Consultation and other similar functions is that participants are brought on board well in advance of the City Consultation, and their full involvement in the preparation is considered to be a crucial ingredient.

In fact, while consultants may be assigned to assist in compiling the Environmental Profile and Resource Persons fielded to write Proposition Papers, it is expected that major stakeholders and partners be briefed and consulted at key stages of the preparation so as to ensure their direct involvement and ownership right from the beginning. To ensure this, the City Consultation is preceded by a series of briefings and consultative meetings with stakeholders and partners, conducted at sectoral, bilateral and cluster level.

**(h) A City Consultation is not an event which is an end in itself; it is rather an entry point to a process of fundamental changes in the way environmental and urban development issues are perceived and addressed.** The Consultation will be preceded by a series of bilateral, sectoral and cross-sectoral Consultations which determine the composition, content and nature of the Consultation and is followed by negotiation of strategies and action plans for the priority issues identified at the City Consultation.

For this purpose the stakeholders will establish, at the end or immediately after the City Consultation, a variety of cross-sectoral issue-specific Working Groups. Building on the momentum created at the Consultation and focused on the environmental issues identified during the City Consultation, the Working Groups will provide the mechanism for negotiating strategies and action plans, and will serve as the vehicle for strengthening local capacities in EPM. The key challenge overarching the whole process will then be how to sustain and institutionalise the results and incremental changes effected through the Working Groups and the functions carried out through them.

**(i) The SCP City Consultation forges a consensus to coordinate future efforts in addressing priority cross-cutting issues.** The specific issues discussed at the Consultation provide a *platform* on which institutional gaps, overlaps and weaknesses constraining city management can be demonstrated and highlighted. By the same token, they also provide the means to demonstrate the imperatives and advantages of a coordinated effort – advantages which have a bearing on resources, efficiency and equity.

The consensus which emerges at the end of the Consultation to support and play a role in improving the city management process, initially through the SCP project institutional framework, opens up new opportunities for promoting and strengthening cross-sectoral and inter-agency coordination. Building on this consensus and commitment, the issue-specific Working Groups will be created as a mechanism for negotiating strategies and coordinating implementation. The Working Groups, by bringing together stakeholders around specific issues and strategy components, allow coordination across sectors, space and levels of government.

## A3

### The Structure of an SCP City Consultation

An SCP City Consultation is organised as a series of sessions, with each session building on the results of the previous session and providing the basis for the next session. If each of these sessions is well planned with specific outcomes in mind, together they will lead to a successful

Consultation which fulfils the primary objectives outlined in Part A2 above.

Therefore, while the specific issues and the relative time budget of the different sessions may differ from city to city, the general structure and mechanics of a City Consultation which is designed with the above objectives in mind remains the same. The structure, the facilitation techniques and tools applied in various SCP City Consultations have withstood the litmus test of achieving the above Consultation objectives.

Although some cities might wish or might be forced to do it in four or maybe even three days (see Part B), the typical SCP City Consultation takes five days (ideally with a weekend break in between) and will be structured according to the following Modules:

**Module 1: Opening and Overview.** This is the first Plenary Session which takes the entire morning of the opening day and will have two segments: **one**, the opening; and **two**, the Overview.

The City Consultation  
modules

To ensure visibility and high level political support, often SCP City Consultations are opened by a representative of the higher echelons of Central Government. In some cities, organisers have been able to commit the President or Prime Minister of their respective countries for the opening, thus attracting all top decision makers to the Consultation and providing a substantial political boost to the Consultation.

The aim of the Overview segment is to set the city context and to introduce participants to the SCP Process, the SCP city project and the purpose and structure of the City Consultation. For this, four Core Papers will be presented during the session: **one**, the City Overview; **two**, the SCP global process; **three**, background on the specific SCP City Demonstration Project; and **four**, overview of the City Consultation, its structure and purpose.

The City Overview is a summary of the City Environmental Profile (see SCP Source Book Series Volume 1) whose preparation begins with the project start-up and continues alongside the preparation for the City Consultation and beyond. The Environmental Profile highlights the development sectors which make a major contribution to the socio-economic development of the city, the environmental resources which are crucial to development, the environmental hazards which obstruct development and the management arrangement pertaining to key development sectors and environment issues. Drawing on the findings of the Environmental Profile, the City Overview highlights the key development, environment and management concerns of the city from the City Authority's perspective and in a way serves as the Proposition or background paper for the next session.

**Module 2: Identifying and Reviewing Environmental Issues of Concern:** This will also be a Plenary Session which takes the afternoon

of the first day. The primary aim of this session is to expose issues of concern that affect the economic growth and development imperatives of a number of stakeholder groups in the city. This is done in two complementary ways:

**one**, previously selected and prepared stakeholders representing the various institutions and groups of society will make interventions, where they will highlight issues which are of concern to them; and **two**, following Stakeholders' interventions, participants will have the opportunity not only to make queries and comments, but also to add any other issues that they think have not been highlighted by the Discussant Stakeholders.

In most cities, the priority issues are clear and therefore the focus of the City Consultation will be to forge consensus and to mobilise broad-based support to move forward through a coordinated and collective effort. In the face of limited resources, the Consultation also enables stakeholders to broadly establish relative priorities and areas of initial focus.

**Modules 3 and 4: Demonstrating a Methodology to Discuss Specific Issues:** These are issue-specific sessions which proceed in Plenary and Discussion Groups. The key criterion for selecting specific issues for a City Consultation will be their suitability to demonstrate the advantages of the stakeholder participatory approach in addressing cross-cutting issues (see Part B).

Each module or session will focus **ONLY** on **ONE** ISSUE and will follow the same pattern. The pattern involves the sequential presentation of:

- a Proposition Paper and Discussants' interventions in the Plenary;
- small group discussions; and
- a Plenary where group results will be reported.

**Module 5: Discussing the Institutional Framework:** This is a module which follows the same pattern as Modules Three and Four, but with a focus not on any particular issue, but on the existing institutional framework and constraints pertaining to the two specific issues addressed at the Consultation viewed against how city management could improve by applying the urban EPM approach initially through the SCP city project.

The discussion on institutional framework focused on the two specific issues will allow participants to demonstrate how existing institutional gaps and overlaps, or lack of co-ordination, affect or constrain effective city management. The session will enable participants to appreciate the institutional constraints facing the city in addressing specific issues, and to experience the benefits of addressing issues through cross-sectoral mechanisms.

One key outcome expected from this session will therefore be participants' full support to, and ownership of, the SCP project as a vehicle for continuing the process started at the Consultation as well as agreement on an institutional framework and modality for its implementation.

**Module 6: Summarising/Conclusion:** This is a Plenary Session where the conclusions of each session/module will be presented in a consolidated and systematic manner and will be discussed by participants. The aim is to capture, synthesise and confirm the conclusions that emerged from the different sessions – conclusions which will also be articulated and incorporated into the 'Consultation Declaration' issued at the end of the Consultation.

**Module 7: Closing:** The Closing session, like the Opening session, is likely to draw a large number of attendants including the high level officials who might not have been able to participate in the greater part of the Consultation. Therefore the Closing Session provides an opportunity to report back the results of the Consultation and to draw attention to areas where the support of decision makers will be required. A key document, apart from closing speeches, that will be read out during the Closing Session is the **Consultation Declaration** which articulates the commitment of participants to be involved in, and offer support to the cross-sectoral working groups which will be established to deal with the issues identified at the Consultation.

#### Summary Table Highlighting the Aims of Each Consultation Module

Module and Theme	Aim
<b>One: Opening and Overview</b>	to establish common understanding of the context, framework and purpose
<b>Two: Reviewing Environmental Issues</b>	stakeholders to identify and review environmental issues
<b>Three and Four: Demonstrating a methodology to discuss specific issues</b>	to demonstrate how to zero in on one specific issue at a time and to discuss it from the different perspectives of stakeholders; and to demonstrate a Working Group approach to addressing an issue through cross-sectoral and inter-institutional mechanisms
<b>Five: Discussing the Institutional Framework</b>	to review institutional issues that constrain the effective management of demonstration issues; to appreciate the need for adapting new approaches and processes that promote better decision making, coordination and implementation such as the urban EPM and initially the

	<p>SCP city framework</p> <p>to obtain full support for the SCP Project as a vehicle to push forward the process initiated at the Consultation and therefore to agree on the Project's institutional framework and mode of implementation</p>
<p><b>Six:</b> <b>Summarising/ Conclusion</b></p>	<p>to agree on the conclusions that come out of the Consultation;</p> <p>to obtain a broad mandate for carrying forward the process that begins with the Consultation;</p>
<p><b>Seven:</b> <b>Closing</b></p>	<p>to report back results to high level officials and participants who could not attend all sessions;</p> <p>to re-affirm the commitment and support of key stakeholders – Consultation Declaration – and closing statements.</p>

## Overview of SCP City Consultation

Day 1	Day 2	Day 3	W E E K  E N D	Day 4	Day 5
Opening and Overview	<i>Module 3</i> Discussing environmental issue	<i>Module 4</i> Discussing environmental issue		<i>Module 5</i> Discussing institutional issue	<i>Module 6</i> SUMMARY
<i>Module 2</i> Reviewing environmental issues	Discussing environmental issue	Discussing environmental issue		Discussing institutional issue	<i>Module 7</i> CLOSING
<b>SPECIAL DAY</b>	<b>WORKING DAY</b>	<b>WORKING DAY</b>		<b>WORKING DAY</b>	<b>SPECIAL DAY</b>

Each of the modules or sessions has a specific theme and objective as shown by the above schematic. The following schematic similarly demonstrates that each of the modules is expected to lead to a specific output or result designed to serve one or the other objective of the Consultation. Hence there is an obvious correlation between the objectives and the sessions, and between the sessions themselves. The Consultation starts by setting the macro picture and context, and through a broad review of the key issues, it then systematically narrows the focus to two issues with the primary purpose of demonstrating how such a consultative process can be an effective mechanism for addressing environmental issues. In the process, technical, managerial and institutional issues, constraints and opportunities will be analysed and discussed leading to agreed principles and commitments which would allow the process to be driven beyond the Consultation.

Day 1	Day 2	Day 3	Day 4	Day 5
Opening and Overview Purpose of the Consultation clarified, context set	Discussing environmental issue 1	Discussing environmental issue 2	Discussing institutional issues	Summary <i>Consensus on key environmental issues</i> <i>Mandate and Commitment obtained</i>
<i>Stakeholders' major concerns highlighted</i>	<i>Methodology for environmental strategy and action planning demonstrated</i>	<i>Methodology for environmental strategy and action planning demonstrated</i>	<i>Procedure and institutional structure for city management demonstrated</i>	Closing <i>Support and commitment declared</i>

## A4

## The Mechanics of an SCP City Consultation

As described above, the SCP City Consultation is a function where stakeholders representing all sectors and levels of government come together to discuss issues of common concern. The composition of the Consultation is therefore broad-based and diverse, which is the fundamental strength of the Consultation: bringing together diverse groups of people around common issues and within a common framework. The first challenge for the organisers of an SCP City Consultation is therefore ensuring that the composition of participants adequately reflects the diversity of the development activities and interest groups prevailing in the city.

Therefore, one of the key activities the organisers will focus on during the preparation period will be identifying stakeholders, contacting and committing them for the City Consultation. All opportunities, including media briefings, bilateral Consultations, sectoral Consultations and individual follow-ups or meetings, will be utilised to ensure that potential stakeholders are informed and committed to participate in the Consultation. The organisers will cast their net wide to make sure that no key stakeholder is left out. Part B of this Source Book Series describes the mechanisms and steps involved in drawing stakeholders to the Consultation.

Of course, ensuring broad based representation and maximum level of attendance is **ONLY** a necessary condition, and not a sufficient condition. Appropriate and efficient ways of organising and running the Consultation are required in order to realise the maximum potential of this high level of attendance and representation, and to thereby effectively meet the objectives listed in Part A-2 above.

The SCP City Consultation proceeds in Plenary and Discussion Groups. The Plenary serves **two purposes**: **one**, setting the framework for discussion; and **two**, putting together the results of the Discussion Groups. Each of these purposes is described briefly below:

**(a) Setting the Framework:** Creating a common understanding and providing a framework for discussion is among the key ingredients of the mechanics of an SCP City Consultation. This is done at two levels: **one**, at the macro conceptual and city level; and **two**, at topic level.

The whole Opening and Overview Plenary Module is dedicated to creating a common understanding of the general development and environment context of the City, the SCP Process, the SCP City Demonstration Project and the City Consultation. Accordingly, a core paper on each of these themes will be presented and discussed at the Plenary.

The Plenary serves two purposes



This session will allow participants to gain a clear understanding of the context, the rationale and the methodology pertaining to all sessions or modules.

The subsequent sessions are designed to start with a brief Proposition Paper or stakeholders' interventions. These presentations and interventions will provide an overview of the themes under discussion and will flag out the typical issues or aspects that need to be analysed or addressed. The Proposition Paper will provide the background and thematic framework that will allow participants to begin the discussions in a more focused and structured way.

**(b) Putting Together the Results of Discussion Groups :** The SCP City Consultation has a simple mechanism of putting together the conclusions and results coming out of the different sessions and Discussion Groups. Before the end of each working day, a Plenary will be reconvened, where each Discussion Group, through its Rapporteur, will report back results to the Plenary.

The Facilitator will capture the key conclusions emerging from each Discussion Group and will recapitulate them at the end of each Consultation day. Furthermore, the Resource Persons assigned to write and present Proposition Papers will, jointly with the Facilitator, prepare a synthesis or **summary** using reports from the Rapporteurs of Discussion Groups, records of the Secretariat and their own notes. This summary will then be presented on the final day of the Consultation (Module 6) at the Plenary.

**The Discussion Groups**, on the other hand, enable participants to analyse and discuss issues intimately and to consider options. In Discussion Groups participants will have the opportunity to intimately discuss the issues or themes introduced at the Plenary. Different Discussion Groups will be asked to focus on the different aspects of a theme to benefit from the variety of expertise available at the Consultation and to allow meaningful exchange of experiences from different perspectives.

The Discussion Groups play a crucial role

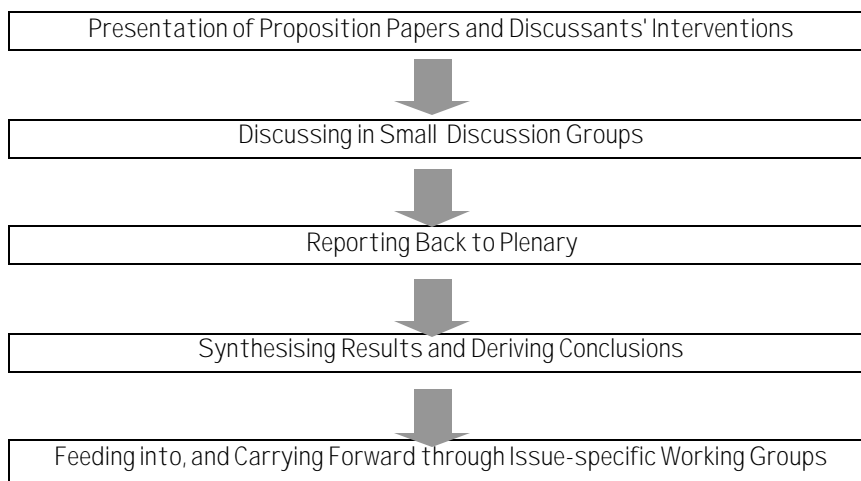
To make optimal use of time and to ensure that contributions are focused and are in line with the framework set in the Plenary, prepared Worksheets will be used. The Worksheets, by posing key questions which need to be addressed by participants, define the agenda more tightly and force participants to remain focused. The framework set at the Plenary and the carefully designed worksheets applied in the Discussion Groups provide a structure for reporting the results of the Discussion Groups and thereby ensure consistency and complementarity among Discussion Groups.

Simple visualisation techniques which stimulate a high level of contribution and dynamic interaction will be applied in Discussion Groups. The techniques provide a process which allows the capturing,

sifting and systematic consolidation of contributions, leading to the reporting of conclusions in a consciously designed format. Equipped with such techniques the Facilitator, at the Plenary, will in turn assist participants to systematically reconcile and synthesise the results generated in the Discussion Groups.

This pattern of Plenary-Discussion Groups-Plenary cycle is consistently applied during three of the five Consultation days. Because of this, the summary and final results of the Consultation will actually evolve and incrementally build up through the different sessions.

### **Overview of the Mechanics of an SCP City Consultation**



The SCP Source Book Series, Volume 2  
**Organising, Conducting and Reporting  
an SCP City Consultation**

# Part B

## The Guide

Part B of this Source Book describes the procedures to be followed in organising, conducting and reporting the SCP City Consultation. The activities involved in preparing a City Consultation are of three types: substantive, organisational and logistical. A successful City Consultation requires a coordinated effort in all three types of activities. Therefore, the activities as such do not proceed sequentially, rather they overlap and intertwine. Readers of this guide are therefore advised not to perceive the different activities described in this section as steps, one leading to the other, but more as complementary activities that have to be coordinated.

For ease of reference and implementation, the activities are categorised in different groups. Again, with the exception of start-up activities, such grouping in no way implies that one group of activities comes first or last; they all have to go hand in hand. A particular activity, for example of an organisational nature, can be a prerequisite for the implementation of substantive or logistical activities.



## B1 Starting-up

### 1. Commit the High Level Decision makers

**As a vehicle to improving city management, the SCP/EPM process requires a high level of political support, and this must be visible at the City Consultation.** A City Consultation is a high-profile function which will involve all key stakeholders at the city and national level. Its organisation requires time and the involvement of many actors in the city, and will demand logistical and financial resources. Above all, a City Consultation is not a one-off event that is an end in itself; it is one of the culminating points in a consultative process designed to provide wider exposure and to mobilise the social and political support necessary for carrying forward the process. It is therefore extremely important to bring on board the key decision makers whose political support to the process and the Consultation is required. If a Steering Committee or Executive Group of the SCP project or initiative is already in place, the task is easier – the decision makers whose support is required can be accessed through these bodies.

**The support of political leaders to the process and the Consultation should not be taken for granted** Certainly, with the signing of the Project Document, it might be assumed that the political support already exists. This is true to some extent; an SCP project, like any other project, goes through an extensive project formulation period where the key partners at the city and the national level will be briefed and involved. However, taking this initial phase involvement and acceptance of a Project Document as a sign of full knowledge about, and commitment to the SCP process could be misguided for the following reasons:

- understanding the different aspects of environmental concerns is complex and requires constant sensitisation, discussions and briefings;
- the project formulation period may have been too short to instil the ideals and mechanics of the process;
- the fact that the process is introduced through a project framework may twist interests and may derail the focus from the long term process-specific results to the short term physical outputs of a project;
- the *modus operandi* and mechanics of the process can only be learned practically – by doing it – and this means it also requires a series of briefings and demonstrations;
- people who have been involved in the initial project formulation might have left their previous post or there may be other people who were not initially involved but whose support is critical to the success of the Consultation.

Therefore, as part of the start-up strategy, the following should be undertaken:

Briefing the key decision-makers

- skim through, together with your Project Team, the relevant SCP documents<sup>1</sup> to quickly form or refresh your understanding of the SCP process and the Consultation;
- develop a brief presentation<sup>2</sup> that enables policy and decision makers or members of Project Steering Committee or Executive Group (where these have already been established) to quickly and easily grasp the rationale behind, and the outcome of, the City Consultation and the key preparatory activities required to make it a success;
- include in your Presentation Team, local Consultants who were involved in the Project Formulation and therefore who are familiar with the SCP concept and who have a good understanding of SCP City Consultations;
- make your own organogram of the would-be Consultation Organising Team, a flow-chart of preparatory activities and the time-line required for each of them; also estimate very crudely the resources required for conducting the Consultation, on the basis of the different number of participants and number of Consultation days; such preparation will help you to answer possible questions that may arise from the floor during your presentation;<sup>3</sup>
- make a list of issues that you would like to resolve at the decision makers meeting: this could include agreeing on timing (when and for how many days) of the Consultation, list of key people to be appointed or seconded by institutions for organising the Consultation, media strategy such as a televised interview of the Mayor or the Governor, feature articles and other forms of publicity, names of officials at the national level who soon need to be contacted by the Mayor or the Governor, the kind of support and commitment required from them etc.

## 2. Establish a Consultation Organising Team

**The preparation of a City Consultation requires team work.** Although the SCP Project Team will be fully and actively involved in the preparation, it requires the support of many others with the necessary

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<sup>1</sup>The SCP Process Source Book Series, including this one, *The EPM Source Book Volume I* and *Sustainable Cities Programme Approach and Implementation* (available with the SCP Core Team in Nairobi) are useful source materials for this purpose.

<sup>2</sup> As far as possible the presentation should be prepared in clear, simple and where possible in layman's language to bring the message home.

<sup>3</sup> If you read this part of the *Source Book* carefully, you can easily develop rough sketches of the main activities and provide some sense of organisational and resource requirements.

skills, influence in their respective constituencies in the public, private and popular sectors, and expertise to make the Consultation a success. The **Consultation Organising Team (COT)**<sup>4</sup> will be made up of the Project Leader and her/his Project Team, the Consultation Facilitator, the Resource Persons who will be hired through the project to write Proposition Papers and to provide technical services for the Consultation, professionals hired to organise the Consultation and people seconded by partner or stakeholder institutions to support the preparation of the Consultation.

**The COT will perform three types of tasks :**

**one, organisational** activities are related to strategic guidance and overall coordination of the entire preparation. Organisational activities link and orchestrate the substantive and logistical activities, and therefore focus on the critical aspects of the preparation. These aspects include the coherence of the programme; the level and composition of participants; the timely fielding of Resource Persons; the timely production of a Participant Manual; the supply and effective organisation of facilitation aids and secretarial support; the organisation of discussion groups; and the assignment of chairpersons. Since the people involved in the organisational activities will have the overall picture of the City Consultation, they will also be the key contacts for general queries and media.

There are three types of preparatory activities: organisational, substantive and logistical

**two, substantive** activities are those related to the design, preparation and finalisation of essential documents and the facilitation of the Consultation itself. The substantive activities include preparing Terms of Reference for consultants; following up the preparation of Proposition Papers and Discussants' interventions; assisting, where necessary, in the preparation of opening and closing speeches; assisting participants in the preparation of the Consultation Declaration, developing worksheets for discussion groups and forms for Consultation reporting, organising and guiding secretarial support to the Consultation; and overall quality control of the substantive inputs to, and outputs of the Consultation.

**three, logistical** activities are concerned with ensuring the support infrastructure and service required to conduct the City Consultation, including the identification of a venue with adequate space for the Plenary, the Discussion Groups and the Secretariat; procuring the necessary equipment; making arrangements for transport services (if necessary), booking accommodation (for those coming from outside the city), contracting catering services and so on.

**The COT should combine collective and individual responsibilities.** While the COT will collectively be responsible for the above activities,

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<sup>4</sup> The Terms of Reference for the Consultation Organising Team (COT) and a generic Work Plan appears in Part C of this Source Book.

the Project Leader will have to distribute individual responsibilities and special roles to each member of the COT or may establish **sub-groups** corresponding to the above activities. However, to benefit from the collective guidance and wisdom of the COT, activities carried out individually or by sub-groups should be reported and discussed at the regular COT meetings. To assist in organising and distributing responsibilities, the following guide may be adapted:

- **Organisational activities** should remain with the Project Leader and her/his team. As these activities require an intimate understanding of the structure and technical details of the Consultation and involve decision making and co-ordination on a day-to-day basis, the Project Team is best suited to carry them out. If resources allow or in situations where local experience in organising high level meetings is limited, it is advisable to hire a professional Conference Planner to assist the Project Team to carry out the organisational activities.
- **Substantive activities** would require involving the Consultation Facilitator (if hired well in advance before the Consultation) and Resource Persons (who may be hired or seconded from resource institutions), but should be carefully guided by the Project Leader and the Project Team.
- **The logistical activities** will definitely require the active support of members of local institutions who are experienced in such activities and who are familiar with the administrative procedures and technicalities pertaining to conference support facilities and services available in the city. In addition, one or two individuals from the Project Team should be involved to allow constant follow-up on logistical matters and to touch base with the Project Leader.



### 3. Commit the Consultation Organising Team

**The Consultation Organising Team should be thoroughly briefed.** Apart from the Project Leader and one or two local consultants who will probably have been involved in formulating the Project Document, the notion and mechanics of a City Consultation in the SCP context will be new to most of the COT members. Therefore, once the COT is in place, it is imperative to organise intensive sessions to familiarise members of the COT with the concept of the SCP Consultation.

**The briefing for the COT members should be detailed and technical.** Remember, you have already introduced the concept of the City Consultation to the decision makers or members of the Steering Committee or Executive Group. Your presentation material for the decision-makers will be a useful input for the sessions with the COT. But, with respect to the COT, the briefing involves much more than simply introducing the concept. The COT is going to take over the responsibility of organising the Consultation, and therefore it is important that the discussion plunge into every single aspect of the activities required of it. This entails taking members of the COT, **session by session**, through the entire Consultation.

While going through the Consultation sessions, and based on draft sketches developed by the Project Leader, members of the COT should then be able to develop a collectively agreed Work Programme<sup>5</sup> which covers activities, time-line and names of people responsible for various tasks. Ideally, the activities should be organised along the three major types of activities outlined above: organisational, substantive and logistical.

**The key result expected of the intensive sessions with the COT are two-fold: one**, a clear understanding of the concept and mechanics of the City Consultation and a clear understanding of the activities involved; **and two**, a division of responsibilities along the broadly defined types of activities and thus a commitment to carry them out. This will be formalised in the form of a **Work Programme**, which depicts the list of activities or tasks with a corresponding time schedule, resource allocation and distribution of responsibilities.

The Consultation Organising Team should have a detailed work programme

**All seems to be going well. You now have a corps of well briefed and committed political leaders and top-level decision makers, a thoroughly briefed and committed Consultation Organising Team (COT) and a Work Programme for the COT. Well done! You are ready to move on to the 'real' preparatory activities.**

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<sup>5</sup> A generic Work Programme which can be adapted to local conditions appears in Part C of this Source Book, together with the Terms of Reference of the Consultation Organising Team.

## B2

# Determining the Number of Consultation Days

### 4. Decide on the Number of Consultation Days

The ideal time period for a City Consultation is five days

As stated in Part A, the ideal time period for the SCP City Consultation is five days. The five-day scenario, with a weekend break in between, provides sufficient time for a full-scale demonstration of the SCP approach and maximum participation of stakeholders, both in discussion groups and in plenary. Nonetheless, although they would like to, for various reasons some cities and towns may not be able to allocate five days for a City Consultation, and instead may be forced to have the Consultation run only for four days – and in some cases for only three. Following are some reasons that may force organisers to shorten the duration of a City Consultation:

- The private sector is largely represented by the informal sector and small business operators who, by the very nature of informal and small business activities, may find it difficult to be away from their businesses for five full working days;<sup>6</sup>
- It may be difficult to guarantee the attendance of the representatives or stakeholders at the national level for full five days in situations where the Consultation is taking place in towns or cities located far from the administrative capital;
- In some towns and cities it may be customary to remunerate participants for sitting in meetings and therefore resource considerations may force the City Council concerned to shorten the duration of the Consultation.

Therefore, considering the resources available and the length of time participants can commit for the Consultation, you need to determine the number of days the City Consultation should take.<sup>7</sup> It is crucial that this is decided very early, possibly at the initial briefing meeting for decision makers. This is important because invitations, booking a venue, budgeting, programming and other activities all depend on knowing for sure **how many days the Consultation will run.**

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<sup>6</sup> Unlike the formal and large private sector business which is characterised by a corporate management structure, small businesses often function on an owner-manager model which puts tremendous pressure on the owners who are often also the managers and operators.

<sup>7</sup> For a sound understanding of the issues discussed in this section, it will be useful to go back to Part A and to look once again at the Consultation structure and its Modules shown in section A-3.

But remember, the best scenario for a full-scale demonstration is a **Consultation of five days**. Certainly participants have other commitments; government officials and business people do have demanding schedules. But remind city officials and participants that what they are doing in the five-day City Consultation is extremely important in the process of improving the management of their city and enhancing the quality of life of its residents. What participants invest in five days is worth it, if they want – and they *do* want – to improve the way the city develops, the way urban services are managed and delivered, and the way natural resources are managed.

However, whatever number of days decided, the length of the Consultation does not basically change the way it is structured; in other words, the logical connections of the different sessions and the mechanics of the Consultation remain the same. In all possible scenarios, therefore, – the five-day, four-day or even three-day format – participants will review issues, discuss two specific issues by way of demonstrating how the SCP's consultative approach can help to effectively address cross-cutting issues, review existing institutional arrangements and their limitations in addressing those two demonstration specific issues, and will summarise and conclude.

The key difference between the different scenarios of a City Consultation is therefore the amount of the total budgeted time and its allocation, and whether the two demonstration priority issues will be discussed in parallel in one day or in sequence in two days. The limitation of the four- and three-day City Consultation is that the group discussion sessions on the two demonstration issues have to be conducted in **parallel** and as a result a participant will not have the opportunity to contribute to discussions in more than one issue. In the next few paragraphs, the specific differences between the five-day, four-day and three-day City Consultation are described, followed by overview programmes of the different scenarios. The pros and cons of each version are demonstrated in a table.

Circumstances may force a City Consultation to take place in three or four days, but beware of the limitations

## Modules 1 and 2: Opening and Overview, and Reviewing Issues of Concern

**Opening and Overview and Reviewing of Issues proceed the same way in all three scenarios.** The Plenary will start with the opening, to be followed by a session where Core Papers will be presented. After lunch, identifying the issues reflected in one of the Core Papers – the City overview – will be accomplished, whereupon up to ten Discussants, with a cross-sectoral representation of stakeholders, will take the floor to highlight issues of concern to them. The whole afternoon session will be an open Plenary session where participants will make queries, put forward comments and suggest any other issues that they think should be included in the list of priority issues.

## Modules 3 and 4: Discussing Specific Environmental Issues (Demonstration Sessions)

**This is the first key difference.** In the five-day Consultation, one full day will be devoted to the discussion of one issue while in the four- and three-day Consultation, two issues have to be covered in one day and therefore have to be discussed in parallel. This implies that:

- a participant can take part in only one of the issues;
- Discussants' interventions, unless very limited in number and very brief, cannot take place in the Plenary, otherwise the Plenary will take too long, limiting the time available for the Discussion Groups.

Cities have two options to handle this trade-off:

- **one**, limiting the number of Discussants' interventions to not more than two (in the five-day Consultation it is possible to accommodate four Discussants) per issue, and strictly adhering to the time limit (not more than ten minutes each), and where possible to start the day half an hour earlier; or
- **two**, moving Discussants' interventions to the Discussion Groups, instead of the Plenary. This limits the sharing of Discussants' interventions to only a small number of people, which could be a disadvantage; on the other hand, however, this disadvantage can be counter-balanced by the fact that Discussants' interventions at the small group level can contribute to kick-starting and stimulating group discussions.

## **Module 5: Discussing the Institutional Framework**

The five- and four-day Consultation models will have one full day devoted to institutional issues, and will therefore have relatively sufficient time to

- present the Proposition Paper and to cater for Discussants' interventions in the Plenary;
- to discuss in small groups and to report back to the Plenary.

In the three-day model, however, these activities have to be squeezed into half a day (morning), and will therefore call for highly efficient time management and discipline. Optimal utilisation of the limited time therefore requires:

- starting the Plenary session earlier (certainly earlier than the opening day);
- ensuring that the Proposition Paper is brief and concise;
- limiting the number of Discussants to two with strict adherence to time discipline or moving Discussants' interventions to Discussion Groups. The latter, as described above, should of course be weighed against its disadvantages and advantages.

## **Modules 6 and 7: Summary and Closing**

Here too, the five- and four-day scenarios will provide a full day to cover the Summary and Closing Sessions. In the three-day case, however, this has to be squeezed into the last half-day (the afternoon session). If part of the discussion on institutional issues or reporting back to the Plenary happens to drag on to the afternoon, the effective time available for Summary and Closing in the three-day case will be even less than half a day. But this can be accommodated, provided that:

- the conclusions of each session have been well documented, summarised and synthesised by the assigned Resource Persons;
- the closing is consciously designed to be very brief.

**(1) A Five-Day City Consultation: Overview**

	<b>Day 1 Opening, Overview and reviewing issues</b>	<b>Day 2 Discussing a demonstration issue</b>	<b>Day 3 Discussing a demonstration issue</b>	<b>Day 4 Institutional issues</b>	<b>Day 5 Summarising and Closing</b>
<b>Morning First Half</b>	Opening & Presenting Core Papers	Presenting Proposition Paper followed by Discussants' Interventions	Presenting Proposition Paper followed by Discussants' Interventions	Presenting Proposition Paper followed by Discussants' Interventions	Presenting Summary
<b>Morning Second Half</b>	Presenting Core Papers	Discussing in Groups	Discussing in Groups	Discussing in Groups	Discussing Summary
<b>Afternoon First Half</b>	Prepared Interventions on Issues by Key Stakeholders	Discussing in Groups	Discussing in Groups	Discussing in Groups	Reviewing Draft Declaration
<b>Afternoon Second Half</b>	Prepared Interventions contd.	Reporting Group Results to Plenary	Reporting Group Results to Plenary	Reporting Group Results to Plenary	Closing

**(2) A Four-Day City Consultation: Overview**

	<b>Day 1: Opening, Overview and reviewing issues</b>	<b>Day 2: Two issues in Parallel</b>	<b>Day 3: Discussing institutional framework</b>	<b>Day 4: Summarising &amp; Closing</b>
<b>Morning First Half</b>	Opening & Presenting Core Papers	Presenting Proposition Paper  Discussants' Interventions in Discussion Groups	Presenting Proposition Paper on Inst. Issues and Discussants' interventions	Presenting summary
<b>Morning Second Half</b>	Presenting Core Papers	Discussing in Groups	Discussing in Groups	Discussing summary
<b>Afternoon First Half</b>	Prepared Interventions on Issues by Key Stakeholders	Discussing in Groups	Discussing in Groups	Reviewing Draft Declaration
<b>Afternoon Second Half</b>	Prepared Interventions (contd.) & Plenary Discussion	Reporting Group Results to Plenary	Reporting Group Results to Plenary	Closing

**(3) A Three-Day City Consultation: Overview**

	<b>Day 1: Opening, Overview and reviewing issues</b>	<b>Day 2: Discussing two issues in parallel</b>	<b>Day 3: Discussing institutional framework, summarising and closing</b>
<b>Morning First Half</b>	Opening & Presenting Core Papers	Presenting Proposition Papers(2)	Presenting proposition paper on Inst. Framework
		Discussants' Interventions in Assigned Discussion Groups	Discussants' Interventions in Assigned Discussion Groups
<b>Morning Second Half</b>	Presenting Core Papers	Discussing in Groups Contd.	Discussing Inst. Framework in Discussion Groups
			Presenting Group Results to Plenary
<b>Afternoon First Half</b>	Prepared Interventions on Issues by Key Stakeholders	Discussing in Groups Contd.	Presenting & Discussing Summary
<b>Afternoon Second Half</b>	Prepared Intervention (continued) and Plenary Discussion	Reporting Group Results to Plenary	Reviewing draft declaration
			Closing

## The Pros and Cons of the Different Formats of a City Consultation

	<b>Pros</b>	<b>Cons</b>
<b>A Five-Day Consultation</b>	<p>Provides a full day for discussing one demonstration issue at a time and therefore allows each participant to take part in both issues;</p> <p>Provides a full day to discuss Institutional Framework;</p> <p>Allows a weekend break for digesting and consolidating;</p> <p>Enough time space to present Discussants' interventions at the Plenary</p>	<p>People with a demanding schedule may not be able to stay that long;</p> <p>More costly than the Four-Day and Three-Day Consultation</p>
<b>A Four-Day Consultation</b>	<p>Less costly than the Five-Day Consultation;</p> <p>Provides a full day to discuss 'Institutional Framework';</p>	<p>More costly than a Three-Day Consultation;</p> <p>People with a demanding schedule may not be able to stay that long;</p> <p>Discussing the two issues in parallel may force some participants to choose one issue, even though their participation in both issues may be useful</p>
<b>A Three-Day Consultation</b>	<p>Least costly compared to the Five-Day and the Four-Day Consultation;</p> <p>Chances are higher for busy people to attend most of it;</p> <p>A Tuesday-through-Thursday Consultation offers an ideal time planning frame for organisers and Participants: organisers get two days during the week for preparation and for wrap-up, while participants could be at their places of work during the first and last days of the week</p>	<p>Discussing the two issues in parallel may force some participants to choose one issue, even though their participation in both issues may be useful;</p> <p>The time budget left for discussing 'Institutional Framework' is limited</p> <p>Day Three requires tight time management as the programme has to be significantly compressed.</p>



## B3

## Initiating and Following up Substantive Activities

## 5. Keep a Grip on the Preparation of the Resource Materials

Preparing the substantive Resource Materials requires a long (at least two to three months) lead time. You have assured the participation of top-level government and city representatives and you have established a COT. You have also prepared a Work Programme. Some of the activities contained in the Work Programme are quite demanding, time consuming and critical to the success of the Consultation. They require a longer lead time and therefore form the Critical Path. Upon establishment of the COT, and perhaps even before, these activities should begin. Such activities are related to the preparation of the Resource Materials listed below:

5.1 Preparing an Environmental Profile<sup>8</sup>

**The Environmental Profile is a key document with multiple purposes.** It is a document which provides base-line information on environmental issues and trends, based on a systematic documentation and analysis of development activities, state of the environmental resources and services and existing institutional arrangements.<sup>9</sup> Apart from the stock of valuable information it contains, the Profile serves as a tool for promoting cross-sectoral and holistic approaches to environmental issues. It also serves as a vehicle for involving stakeholders at an early stage in the process. Hence, the preparation of an Environmental Profile is one of the key substantive activities which would actually be initiated with the project start-up; i.e. weeks before the preparation for the City Consultation begins.

**The preparation of an Environmental Profile should involve the stakeholders and local experts.** You definitely need a Consultant(s) for preparing the Environmental Profile. However, there are two reasons why the task should not be left entirely to a Consultant: **one**, while it is important as an output, the Profile is equally important as a vehicle for stakeholder involvement in the whole process; and **two**, the Profile is not a one-off 'product' that is an end in itself. It is a working document which

The preparation of the Environmental Profile should involve key stakeholders

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<sup>8</sup> As part of the project start-up activities, the preparation of the Environmental Profile starts well before the preparation for the City Consultation, and will continue after the completion of the Consultation. Hence, it should not be seen as a document purely designed for the City Consultation. Therefore although it is highly desirable to have a well written draft profile at the time of the Consultation, in some cases only a detailed annotated outline may be sufficient for the Consultation.

<sup>9</sup> The principles and contents of an Environmental Profile are explained in detail in the *SCP Source Book Series Volume 1*.

should be constantly utilised and updated during the process, and therefore its initial preparation and consultancy inputs should be used for developing local expertise and for building ownership. It is only through the involvement of stakeholders and local experts during its preparation, that the Profile can become a 'living' document.

To ensure this, you need to do the following:

- when selecting a Consultant(s) for the preparation of an Environmental Profile, do not consider her/his educational qualifications alone; look also for qualities and experience in **hands-on training and knowledge-transfer**;
- when coordinating the activity, focus on the **process** of preparing the Profile as much as you do on the **quality of the output**;
- for this purpose, build into the Terms of Reference<sup>10</sup> of the Consultant, interim stages or bench marks which would ensure collective review of outlines and annotated outlines, and briefing of partners. Such briefings should also link to the overall SCP Process and should therefore include information about the principles of the SCP process, the role Project Partners are expected to play in the SCP activities, and the benefits they will gain as a result of their participation;
- where feasible, establish Consultative Groups composed of key stakeholders with the necessary information and expertise to support the Consultant hired to prepare the Environmental Profile;
- budget the time for preparing the Profile carefully, and follow up on work progress closely to ensure that the draft Profile, either in well written form or at least in annotated form, is completed and submitted in time for production and circulation to participants, prior to, or at the latest at the City Consultation, and for translating to other local language(s) if necessary;
- ensure that all publications, reports and working papers used during the preparation of the Environmental Profile are properly compiled, indexed and submitted together with the final draft, so that the issue-specific Working Groups will later have no difficulty in using, expanding and updating the profile.

## 5.2 Preparing Proposition Papers

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<sup>10</sup>A Generic Terms of Reference for Consultants assisting in the preparation of the Environmental Profile appears in Part C of this Source Book.

**A Proposition Paper addresses a specific environmental issue or topic.** The aim of a Proposition Paper is not to provide an 'expert view' or a ready solution; it is rather to provide a framework for discussion and to keep discussions focused. It provides an overview and, based on a review of operational lessons of experience, it draws on universally applicable principles and forwards approaches that would enable such principles to be adapted to the specific local circumstance of the city. A Proposition Paper provides the background and the framework on the basis of which Discussion Groups can start analysing the issues and outlining possible strategy components. In a typical SCP City Consultation, **three Proposition Papers** may be presented:

- Two Proposition Papers on two specific issues selected for demonstration purposes; and
- One Proposition Paper on the Institutional Framework and issues pertaining to better city management through introducing the EPM concept.

The more issues you have to discuss, the more Proposition Papers you need. The rationale behind selecting only two issues at the City Consultation is simple: at this level, the Consultation is meant for demonstration purposes and should not be too ambitious; trying to address too many issues within a span of five days will undermine the effectiveness of the Consultation.

*In handling the preparation of Proposition Papers, bear in mind the following:*

- Preparation of the Proposition Papers will be the responsibility of the Resource Persons committed by the Project Leader.<sup>11</sup> The Project Team should however provide the Resource Persons with all the necessary briefing materials and instructions, and should coordinate and support their work;
- The Proposition Paper is crucial to the success of each Consultation Day, as it provides the basis for discussion and debate. Therefore, the Project Team and the SCP Core Team should closely follow the progress of these Papers, to ensure that they contain useful and suitable propositions and that they are **conceptually consistent, factually correct and easily understandable by the participants;**

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<sup>11</sup> A generic Terms of Reference for Resource Persons preparing the Proposition Papers appears in Part C of this Source Book.

- One way of ensuring this is to provide a **skeletal outline** at the outset and to ask that the author submit **annotated outlines**<sup>12</sup> which will be discussed and agreed on before she/he proceeds to write the paper.

### 5.3 Preparing Core Papers

Core Papers provide overview and background

**Core Papers are simply background papers which facilitate a common understanding of the contextual issues.** They are designed to provide an overview of the City, the SCP Process, the SCP City Demonstration project and the City Consultation itself.<sup>13</sup> Except for the first, the latter three are more or less papers of a universal nature which can draw on existing SCP Source Books and the Project Document. Therefore, professionals from the Project Team can be tasked early on to prepare the Core Papers.

The City Overview is basically the summary or snapshot of the Environmental Profile. In the City Overview, a representative of the city authority, ideally the chief city officer like the Director or the Town Clerk, will give a general portrait of the city and will highlight the key issues and management concerns of the city authority. Since the City Overview primarily draws on the Environmental Profile, the presenter should be assisted by the Consultant working on the Environmental Profile.

In preparing the Core Papers make sure that:

- the authors receive relevant source materials such as the SCP Source Books and the Project Document; there is nothing new to invent; this essentially involves extracting and presenting material in an intelligible format for the participants;
- papers are backed by a couple of visual presentations; visual presentations are eye-catching and have a powerful effect in communicating with such an audience. Presenters may wish to prepare power point illustrations as overheads;
- the presentations are selective, concise and simple to understand; there is a lot that can be said about the SCP Process or the City Consultation, but overloading the presentations with technical jargon and too much detail will lengthen the presentation unnecessarily and make it difficult to understand, as many of the participants may be unfamiliar with the concept.<sup>14</sup>

<sup>12</sup> An example of Annotated Outline for a Proposition Paper appears in Part C of this Source Book.

<sup>13</sup> Examples of Core Papers taken from Lusaka appear in Part C of this Source Book.

<sup>14</sup> A standard power point presentation which highlights the different SCP process activities and their linkages is available with the SCP Core Team in Nairobi.

## 6. Commit Consultants and Resource Persons

**The selection and assignment of Consultants and Resource Persons should be confirmed in writing.** Once you make your selections of the Consultants and Resource Persons for the different tasks, particularly for preparing the Environmental Profile, writing Proposition Papers and facilitating the Consultation, the assignments should be formalised and confirmed through the signing of **a Contract** with each Consultant or Resource Person. For the appropriate formats to do this (in the case of UNDP-funded projects), you can consult the local UNDP office. Ensure that the required outputs, activities, bench-marks and target dates for outputs are clearly spelled out in the Terms of Reference<sup>15</sup> which should be attached to the contract or Letter of Assignment.

### Consultants and Resource Persons who should be recruited

Consultants/Resource Persons	When to hire/recruit	Estimated required person weeks
Consultant(s) for preparing the Environmental Profile (EP) <sup>16</sup>	immediately after the Project Team is in place—this means well before setting up the COT	2 work months over 6-9 calendar months
Resource Persons for writing issue-specific Proposition Papers	as soon as you come up, together with the Consultant preparing the EP, with two demonstration issues acceptable to key stakeholders	1 work month over 3-4 calendar months
Resource Person for writing the Proposition Paper on Institutional Framework	As soon as the two issues for the Consultation are determined	1 work month over 3-4 calendar months
Facilitator <sup>17</sup>	not later than six weeks before the Consultation	1 work month over 3-4 calendar months

<sup>15</sup> Sample Terms of Reference for the different Resource Persons appear in Part C Section of this Source Book.

<sup>16</sup> As mentioned earlier, the Environmental Profile is not prepared purely for the City Consultation, and therefore its preparation starts with project start-up and will continue (finalisation, usage and updating) even after the City Consultation.

<sup>17</sup> A comprehensive Terms of Reference for a Facilitator of an SCP City Consultation appears in Part C of this Source Book.

## 7. Prepare Opening Speeches

You need to give prominence and visibility to the City Consultation, which is part of the reason why you need to make an effort to draw highly-placed political figures and policy makers to the Consultation. Some of them may even give speeches and key-note addresses at the City Consultation. In fact it is wise to determine, as early as possible, the persons supposed to make speeches and to advise them to be prepared. This is also one way of encouraging them to come to the Consultation, since they will feel the weight attached to their presence.

You should make the best possible use of speeches. It is customary during such occasions for speakers to consult the organisers about the focus of their speech. This is an opportunity that should not be missed. Participants gauge the level of political support for the Consultation from the speeches made by their leaders, therefore making these speeches powerful and relevant is very important. To this end, you may wish to

- carefully select and advise speakers well in advance;
- offer the services of the COT in preparing the draft;
- provide talking points for the speakers to consider while preparing their speeches;
- in all cases, provide them with background materials that will familiarise them with the purpose and content of the Consultation to help them to relate their speeches to it;

## 8. Create a Suitable Forum for Stakeholders to Discuss the Draft Environmental Profile Prior to the City Consultation

**Where feasible, it is advisable to discuss the draft Environmental Profile prior to the City Consultation with key stakeholders representing all sectors.** The need for such a discussion is underpinned by the following:

- Although the different stakeholders are involved in the information collection and preparation of the Environmental Profile, their involvement, at least initially, primarily takes the form of bilateral and sectoral consultative meetings and lacks cross-sectoral interaction;
- Even if cross-sectoral meetings were possible, at the early stage the Environmental Profile would not be in a sufficiently complete form to enable discussion of the full range of issues and sectors addressed in the Profile;
- Holding such a meeting a few weeks prior to the City Consultation is therefore both desirable and possible, and can serve four purposes: **one**, to solicit comments and inputs to the Environmental Profile before it is finalised for distribution at the City Consultation; **two**, to brief key stakeholders on project

The purpose of holding a one-day stakeholders' pre-consultation meeting

objectives, outputs and activities; **three**, to get feedback on project progress; and **four**; to provide a briefing about the structure and purpose of the City Consultation and to solicit comments on the Consultation Programme and Agenda.

To allow enough time for incorporating inputs into the Environmental Profile and the preparation of the City Consultation, the meeting – which is called a One-day Stakeholders' Pre-Consultation Meeting (OSPM) – should be organised at least four weeks before the City Consultation.

Although the Environmental Profile should by this stage ideally be in a well written draft format, if this has not been accomplished it should not restrain you from conducting the OSPM. In situations where for some reason the draft Environmental Profile has not been ready for the OSPM, the meeting can still be conducted on the basis of a thorough and detailed annotated outline. In fact, the less complete the profile the better for the OSPM in a way, since this lessens the risk of rigidity and can encourage substantive inputs and comments. The aim of the OSPM is not to present an end product, but to benefit from the cross-sectoral interaction and to strengthen the sense of ownership that has been built during the preparation of the Environmental Profile.

To enable participants to come to the OSPM prepared for discussion, they should receive the Environmental Profile, either in draft text form or in detailed annotated form, **at least three days before the meeting**.

## **9. Ascertain that the Selected Demonstration Issues are the Right Choice**

**Holding the One-Day Stakeholders' Pre-Consultation Meeting will give you a firm grasp of the issues of prime concern among the stakeholders and will enable you to build consensus on the specific issues selected for demonstration purposes.** The key focus of the deliberations at the OSPM should of course be the environmental issues or concerns highlighted in the Profile. While discussing the Profile, therefore, try to gauge the degree of concurrence between the issues that the stakeholders identify as their concerns and the issues which are highlighted in the Environmental Profile as priority issues.

However, establishing common priority issues is not always easy and straightforward. While it is true that there are always obvious issues of common concern, over which everybody agrees, there could also be issues that are of concern to some but not necessarily to others. Also, it may be that different elements of an issue are of varying degrees of importance to different participants or, in certain cases, that participants place too much importance on issues which you consider to be impractical to deal with in the short and medium term.

Therefore from the outset, you may want to ask participants to be guided by the following five clear and commonly acceptable principles:

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Factors to consider in selecting issues

- **one**, for an issue to be considered in the SCP context, it should be of cross-sectoral, recurring and long-term nature and should exhibit significant geographic spread;
- **two**, issues which are not easily tackled are better deferred;
- **three**, though all issues which fulfil the above criteria should be taken on board, their importance (and even their relative priority) should be broadly ascertained using objective criteria such as the following:<sup>18</sup>
  - the amount of urban productivity loss caused by the issue
  - the magnitude of health impacts associated with the issue
  - the relative impact of the issue as it is borne by the urban poor
  - the degree to which the issue will result in an unsustainable consumption of resources, and
  - whether or not the issue leads to an irreversible outcome.
- **four**, the demonstration issues to be discussed at the City Consultation should not necessarily be the top priority issues (however that is defined). Rather they should be selected on the basis of their suitability to demonstrate:
  - the advantages of bringing together actors with different perspectives (across sectors, across levels of government, across geographic space); and
  - the need to continue the work initiated at the City Consultation, by establishing formal cross-sectoral Working Groups.
- **five**, Demonstration Priority Issues can be identified by the following attributes:
  - *non-contentious*: everybody agrees that they are priority issues;
  - *cross-sectoral*: they involve the interests of many sectors;
  - *not politicised*: there are no anticipated politically sensitive issues or bureaucratic hurdles to block progress;
  - *manageable*: they are relatively simple and direct and are viable for action of one kind or another;
  - *illustrative*: they are amenable to demonstration of the different aspects (technical, institutional and political) and

Attributes of:  
demonstration

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<sup>18</sup> The aim is not to quantify and precisely gauge how each issue fares against the criteria or to rank issues according to their weight against the criteria (that is neither essential nor easy) but to have a common analytical framework or reference for broadly mapping out or agreeing on priority issues.



elements/stages (prioritisation, negotiating strategies, implementation and institutionalisation) of the SCP process.

## 10. Select Discussants

**The series of bilateral and sectoral Consultations and briefings which culminates in the One-day Stakeholders' Pre-Consultation Meeting will give you an insight for selecting the right mix of Discussants.** By the end of the OSPM therefore you must be able to tell who among the stakeholders can play the role of Discussants. A Discussant should be a stakeholder who

- has a solid understanding of the issue under discussion;
- has direct experience as a stakeholder;
- has shown consistent interest during the consultative process;
- is recognised by her/his peers and other stakeholders as a key contributor or player;
- is able to articulate and represent the perspective of her/his stakeholder group or institution.

Who is a Discussant?

You need three groups of Discussants for the Consultation:

**One: Issue Discussants** - these are Discussants selected from different stakeholder groups and levels of government to reflect and discuss issues from the perspective of the stakeholders they represent. Their interventions at the City Consultation will take **two forms**:

- During the afternoon session of Day One, selected Discussants will highlight issues of concern from their perspectives, and in so doing will also reflect on the information in the Environmental Profile discussed at the One-day Stakeholders' Pre-Consultation Meeting. This will be an open Plenary Session where other participants following the key stakeholders' brief interventions could forward questions and comments, and could suggest other issues to be included in the already presented list of concerns. In a typical SCP City Consultation up to ten Discussants may play a role, representing stakeholder groups such as ministries responsible for urban development, local government, housing, health, water resources, tourism and environment, the chamber of commerce, industrialists, investment promotion authority, traders, informal sector operators, the media, CBOs and NGOs.
- On the subsequent days, participants, through Plenary and Discussion Groups, will focus on two issues, which most likely will have been among the concerns reviewed on Day One. These two issues will actually have been selected well in advance in Consultation with the key stakeholders. The criterion for selection of the two issues is primarily their suitability for demonstration. The role of Discussants in these issue-specific sessions will be to respond, from their perspectives, to the

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propositions forwarded by the Resource Persons presenting the Proposition Papers. For each issue there will be one Proposition Paper, to be followed by **up to four interventions** or Discussants. The four or so Discussants will be consciously selected to ensure cross-sectoral representation.

**Two: Discussants on Institutional Framework** - These are Discussants selected to respond to and comment on the Proposition Paper prepared to highlight institutional issues (structures, procedures, mandates, coordination mechanisms, management approaches etc.) which pertain to the improvement of city management, especially focusing on the two demonstration issues, and typically reflecting or drawing on past and present institutional experiences from cross-sectoral commissions, corporations, development authorities, semi-autonomous or independent bodies.

**Three: Discussants on themes which Cross-cut the Specific Issues** - Selected Discussant will also make prepared interventions with special focus on two cross-cutting themes: gender responsiveness and poverty alleviation. The idea is to demonstrate, when discussing an issue or considering their institutional aspects, how to relate to gender and poverty concerns so that issue-specific strategies and decisions will be sensitive to such thematic concerns. The Discussants, one from a gender perspective and the other from a poverty perspective, will in their interventions focus specifically on the relevant linkages and aspects, and will underline the need for mainstreaming the concerns of stakeholders affected by gender bias and poverty into the specific issues and the decision making processes.

**Discussants are not presenters.** The purpose of having a Discussant is to bring out different perspectives of issues, to stimulate the discussion and to keep it focused. Therefore, Discussants are not supposed to make presentations - that would be a mere repetition of Proposition Papers - but to highlight specific aspects or components which they experience as stakeholders and to provoke discussion by illustrating how the issue may be perceived from a particular interest group or position. Therefore, **Discussants come to a Consultation, not with Papers, but with 'Talking Points'** and visual materials which can better illustrate their arguments.

Discussants are  
presenters

## 11. Finalise Substantive Preparations

At least six weeks before the Consultation, the Facilitator should be on board; hiring the Facilitator well in advance, even before this time and spreading her/his time over the entire preparation period so as to give her/him an opportunity both to contribute and to learn from the process of the preparation, is of tremendous advantage.

*Remember: the Facilitator controls the proceedings of the Consultation and plays a key role in keeping the Consultation on track. Therefore, the more conversant the Facilitator is with the essence and mechanics of the*

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Timeframe for  
substantive  
preparations

*Consultation, the better she/he will perform and the higher the chances for the Consultation to succeed.*

At least eight weeks before the Consultation, draft Worksheets for the Discussion Groups should be worked out and completed jointly by the Project Team and the Resource Persons. Ensure that there is a clear and logical connection between the questions posed in the worksheets and the information provided in the Proposition Papers. To ascertain this, having a draft worksheet earlier is also required to determine the scope and content of the Proposition Papers.

Three weeks before the Consultation, all the substantive papers - if possible the draft Environmental Profile as well, but certainly the Proposition and Core papers - should be cleared by the project Leader. If papers are not yet completed, at least the annotated outlines must be ready by then.

Two weeks before the Consultation, the Project Leader together with the Project Team should finalise the list of Discussants, Chairpersons and Rapporteurs; any changes necessary due to late regrets by participants or due to any other technical reasons should be made at this time.

At least one week before the Consultation, the Project Team should, in a series of Marathon Sessions, meet with the Facilitator, the Resource Persons, the Discussants and the Chairpersons of Discussion Groups to make sure that preparations for each session are complete and that the key players are in full control. As the purpose of each session is different and specific, and since different actors will play different roles in the different sessions, a separate review meeting should be held for each Consultation session. The purpose of this final round of meetings will be:

- to make a final check on the preparedness of the Discussants and to ensure that they have got copies of the Proposition Papers or summaries thereof, to enable them to relate their interventions to the Proposition Papers;
- to familiarise the Chairpersons of both Plenary and Discussion Group sessions with the details of the SCP Discussion moderation techniques and visualisation aids applied during the sessions;<sup>19</sup>
- to collectively review the draft Worksheets prepared by the Resource Persons for final refinement.

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<sup>19</sup> In addition, during the Consultation, each day for fifteen minutes before the official start of the Consultation, the Project Leader and the Facilitator may wish to conduct a refreshing briefing session for the Chairpersons of the respective days.

These meetings provide a final opportunity before the Consultation to collectively scrutinise the Checklist on the substantive preparations. The Checklist should focus on the following:

- The Environmental Profile - in draft or annotated form;
- The Proposition Papers;
- The Core Papers;
- The Group Discussion Worksheets;
- Discussants' Interventions.

The Facilitator should be part of the entire series of these substantive sessions; if she/he has not been involved before, this is actually the ONLY chance for her/him to come to grips with the finer aspects of the different sessions of the Consultation. It is also an opportunity for her/him to get to know the other key players and their respective roles during the Consultation. This is especially important as the Facilitator has to closely and intimately work with a large number of people who will have substantive and organisational roles to play during the Consultation.

Similarly, it is especially important for the Project Team to have a special session with the Facilitator to ensure that she/he is on top of everything: the structure of the Consultation including the connections between the Plenary and the Discussion Groups, the details of the programme and the visualisation and facilitation techniques<sup>20</sup> which will be applied during the Plenary and the Group Discussion Sessions.

## **12. Establish the Executive Group**

**The Executive Group is the Quality Control Body during the Consultation.** The Executive Group consists of the COT, Chairpersons of Discussion Groups and delegates of the Habitat mission.

One or two days before the Consultation, the Project Leader should formally convene the Executive Group for a briefing on the role of its members and to update them on the preparations. This briefing provides an opportunity for the Executive Group to collectively verify all items and activities under preparation, to make contributions and to take up tasks that need to be performed at the last minute. It is the final opportunity for the Executive Group and the Project Leader to make any improvements or adjustments.

Each day, after the last session of the Consultation day, the Executive Group will stay behind in the Consultation Hall or in the Secretariat's Temporary Office to review the day's Consultation, to capture lessons and to make adjustments that may be necessary to improve the next day's Consultation. The focus of the Executive Group will be the substantive

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<sup>20</sup> A detailed description of the Facilitation and Visualisation Techniques applied by the SCP appears in Part C of this Source Book.

part of the Consultation, but it will also look into organisational and logistical issues.

## B4

### Initiating and Following up Organisational Activities

Unlike the other two types of activities - substantive and operational - organisational activities are related to strategic guidance and co-ordination of all activities pertaining to the preparation of the Consultation. Organisational activities link and coordinate all preparatory activities and thereby ensure coherence and timeliness. The Project Team which will be responsible for handling organisational activities will therefore focus on a few key activities or outputs whose progress and fulfilment are critical to the entire preparation of the City Consultation. These activities include committing participants, preparing the Consultation Programme, preparing the Participant Manual, developing and executing an effective media strategy, establishing an effective secretariat group and ensuring effective organisation of discussion groups.

#### 13. Commit Consultation Participants

**Committing Participants to the Consultation is an extremely critical activity; a Consultation where all the key stakeholders are identified, and where their commitment to participate has been secured, is already partly guaranteed of success.** Side by side with initiating the preparation of the substantive resource materials, identifying participants and committing them to the Consultation is of utmost importance. Early announcement and invitation will allow participants to include the Consultation in their schedule. In committing participants for the Consultation, the following procedure may be adapted:

- Short-list the participants whose presence at the Consultation is critical; the list should not be long; it will of course include the possible Guests of Honour from the city and national level, key officials at the city's decision-making level, the Resource Persons, Discussants and representatives of donor agencies and relevant international, regional and national programmes based in the country/city;
- Confirm the Consultation Date with the participants on the short-list. It is not an easy task to get a date agreeable or convenient for all parties. Therefore it may be a good idea to spend time contacting all those on the short-list and suggesting several dates, to establish which date is preferred by most of them. Alternatively, take the date most convenient to the Guest of

Honour sought to open the Consultation, and be prepared for replacements in case that date is not suitable for anybody else on the short-list.

- Do not push the Consultation Date too far and, similarly, do not keep on postponing it for the sake of convenience and attendance of high level officials. This can make the organisation of the Consultation difficult and expensive, and may also cause the interest from the media and the general public to dissipate. In a situation where top level invitees become too indefinite in their confirmation or keep on suggesting new dates, it may be better to conduct the Consultation with the attendance of participants from the next highest level rather than risk being inconvenienced by unanticipated regrets from invited dignitaries. While their presence is highly desirable, if holding the Consultation depends on their attendance this may cost too much and may even weaken the momentum of the whole process.
- Once the date is fixed, make early announcements. This should be done simultaneously by sending a letter to all potential participants and by issuing a press release.
- The Consultation should involve all stakeholders in the public, private and popular sectors
  - who contribute to the problem/issue;
  - whose interests are affected by the issues to be discussed,
  - who have an impact on the issues to be discussed,
  - who have information and expertise, and
  - who have a role in the management of the issue, including those with implementation instruments.
- **The composition of the participants is crucial to the success of the Consultation.** Having broad-based and appropriate representation at the Consultation will allow wider and more dynamic interaction and will provide the necessary mandate and political weight.
- Once the Consultation is announced, members of the COT assigned to this task should open up a file for each participant and start contacting them by telephone or by paying them a personal visit to confirm their participation. In order to maximise the number of positive responses to your call for participation, the contacting or visiting COT members should be highly persuasive in explaining the purpose of the Consultation, and the benefits participants can gain from it. This should be followed by a confirmation letter of invitation.<sup>21</sup>

Who are the participants?

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<sup>21</sup> Sample Consultation Announcement Letter, Contact Sheet and Confirmation Invitation Letter to Participants of the Consultation appear in Part C of this Source Book.

- As confirmations trickle in, a participant list should be established and be constantly updated. Six weeks before the Consultation, a fairly precise Participant List should be available. The list can then be used to follow up and verify the status of each participant in terms of briefings and materials she/he receives, and so on. The list should indicate institutional affiliation and professional title of each participant, and should be compiled by type of institution (public, parastatal, private, NGO, etc.) and level of Government (local, regional, national).
- This makes it possible to quickly identify a particular participant on the list, and to analyse and report the structure of representation to the Consultation. Sub-totals of the number of participants by type of institution and level of Government should always be aggregated and kept constantly updated when a new entry is made or a change effected. The number of participants is important for tasks such as producing the right amount of Consultation materials and arranging for adequate meeting rooms. The number of participants is also important to determine the appropriate format for the Consultation. It is advisable to enter the list of participants in a computer database, using a word processing programme with mail merge or a database programme. By doing so, you will find it much easier to update and complete the list, send mailings, and create badges and table tags.
- The listing can be compiled in two ways: **one**, as stated above, by institution and/or stakeholder group which the participants represent; and **two**, by specific issue components or aspects in which the respective participants are likely to be interested. While the participant list compiled according to institution can serve as the master list for follow-up, for registration and reporting purposes, the list compiled according to issue components or aspects will be used for establishing the issue-specific Discussion Groups. Of course, when compiling the participant list by issue components or aspects, it is desirable that each participant be given a chance to state her/his choice vis a vis the thematic areas, aspects or components. In certain cases, a particular participant may be interested in or may have the potential to contribute to more than one thematic area or Discussion Group, and therefore she/he may have to make a difficult choice between competing areas of interest. The problem with setting the group composition according to the participants' preference is that the distribution of participants to Discussion Groups may be skewed to one thematic area or Discussion Group at the expense of the other. In such circumstances, the COT should look into it and find ways to redress the imbalance.

- A comprehensive information package on the Consultation and the project should be sent to the participants no later than four weeks before the Consultation. In this way, participants will be well prepared to play an active role in the discussions, and they will have a better insight into the benefits and opportunities the Consultation is going to provide for them. In other words, a good Consultation package will both inform and attract participants. Personal contact should be established with every potential participant; alternatively, an information desk should be set up to answer queries and issue out supplementary information as available and as necessary.
- Touch base with the members of the COT who are responsible for identifying the Discussants, the speakers in the Opening and Closing Sessions and the Chairpersons of the Plenary and the Discussion Groups to help compile a list of the key players and to enter the necessary remarks on the Participant List.

#### **14. Develop the Consultation Programme as Early as Possible**

**The Consultation Programme is your Master Checklist.** It is advisable to prepare a Tentative Consultation Programme, at least in an overview mode or even in detailed mode (session-by-session) as early as possible. This will help you to follow up on necessary logistics, to assign speakers and presenters, to build in an allowance for adjustment in timing and so on. The programme will certainly change several times before you arrive at the final version. Therefore, having a draft Programme ready as early as possible will allow you to think it through, time and again, and to finalise it well in advance of the Consultation. The generic time estimate shown below for the different modules will guide you in preparing a detailed Programme.<sup>22</sup>

While preparing the Programme, consider the sessions and the activities which take place in the Plenary and Discussion Groups, as well as those parallel activities that will be necessary to fulfil, to support or to supplement the programme. Such activities include the following:

- Daily Executive Group meetings: where, who and when?
- Summarising and synthesising results of the different sessions and presenting them during the Wrap-up Session: who is assigned for the task and when will they do it? who will clear it? and what equipment support is required for their presentation?

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<sup>22</sup> The time estimate for the different activities depicted in this guide is based on the five-day City Consultation. In addition, an example of a City Consultation Programme taken from Lusaka appears in Part C of this Source Book.



- Drafting the Consultation Declaration: Who will do it and when? and how will participants be involved and informed about it and when?
- Field visits (if any): When and where? Is the logistical support in place?
- Exhibitions (photos and maps) and bazaar (if any): When and where? Does this interfere with the sessions or is it arranged for lunch and evening hours?
- Display of materials for hand-out: where? How many copies are available? What is the best time for display? Who will be in charge of the display and replenish materials when necessary?
- Filming and photography: Who does the job? Where does the equipment come from? When will it be available? Which part of the Consultation will be filmed? what activities and sites in the city will be filmed and when? Has the necessary permit been obtained for filming? Who guides the crew?
- Media interviews and press releases: When? Who and where?

**DO NOT FILE THE PROGRAMME. KEEP IT VISIBLE AND EASILY ACCESSIBLE.** Let key members of the COT have a copy of the Programme, and ensure that they get the latest version whenever changes are made to it. For this purpose, do not forget to give an index number to each draft programme to easily identify the latest version.

Keep a copy of the Programme in front of you to remind you to follow up matters and to quickly respond to those who call you for more details on particular sessions that may interest them. Reproduce the Programme on a larger scale and post it on the wall or copy it on a white board in your meeting room or in your office to facilitate your discussions each time you meet with your Project Team, Resource Persons or other members of the COT.

**Estimated Time Budget for Module One:  
Opening and Overview (135 Minutes)**

<b>Activity</b>	<b>Time Budget (Minutes)</b>
Welcoming and Opening Speeches	45
Coffee/Tea Break	30
City Overview	20
SCP Overview	15
Project Overview	15
Consultation Overview	10

**Estimated Time Budget for Module Two:  
Issues (190 Minutes)**

<b>Activity</b>	<b>Time Budget (Minutes)</b>
Stakeholders' interventions on issues of concern	100
Discussion	60
Coffee/tea break	30

### Estimated Time Budget for Sessions/Modules Three, Four and Five (405 Minutes)

Activity	Time Budget (Minutes)
Plenary Session - Organisation of the Discussion Groups	15
Coffee Break	30
Discussion Session in Groups	90
Lunch break	60
Discussion Session in Groups	90
Coffee break <sup>23</sup>	30
Plenary Session - Report Discussion Group Results	90

### Estimated Time Budget for Summary and Closing Sessions (270 Minutes)

Activity	Time Budget (Minutes)
Summary (two issues and institutional framework)	60
Overall Synthesis	30
Discussion on summary and synthesis	60
Coffee/tea break	30
Discussion on draft Consultation declaration	45
Closing speeches	45

## 15. Produce Participant Manual

**Assign somebody from the Project Team to follow up on the organisation and timely production of the Participant Manual.** A participant manual is the 'Guide Book' with instructions and documents on each of the sessions to which participants refer, and work on during the Consultation.<sup>24</sup> It is in the form of a ring-binder to allow for adding or removing pages as necessary. An SCP City Consultation Participant Manual will contain:

<sup>23</sup> Organisers should provide a minimum of fifteen minutes between the end of the Discussion Groups session and the Plenary to allow the Rapporteurs some time to organise their notes (talking points) for reporting back to the Plenary.

<sup>24</sup> An example illustrating the structure of a Participant Manual appears in Part C of this Source Book.

- practical information (location map of the Consultation venue, administrative advice, etc.);
- a programme (both overview and detailed) and agenda;
- discussion session instructions and worksheets;
- participant list;
- summary of Proposition Papers;
- summary of Core Papers;
- other background documents.

The person in charge of producing the Participant Manual' should be involved in all substantive and organisational discussions so that she/he may be up to date and is conversant with the information to be included in the Participant Manual. She/he should also be constantly informed about changes in the number of participants for purposes of adjusting her/his estimates for the manual's production costs.

As the Consultation day approaches, you need to check, on a daily basis, which material(s) of those to be included in the Participant Manual are not yet ready. It may serve as another check-list - to let you focus on the follow-up of those missing materials. Keep a master copy of the Participant Manual (initially it could simply be a shell with a 'Table of Contents') for follow-up of its completion.

It is recommended that a uniform font and format be used for all documents included in the Participant Manual. This will make it easier to read and it will give it a more professional appearance.

If for any reason it will not be possible to produce enough copies of the Participant Manual well before the City Consultation, and if the production is going to strain the capacity of the COT on the critical two to three days before the City Consultation, it may be advisable to contract out the copying and assembling of the Manual. The COT will have many, far more urgent, things to do before the Consultation than assembling Participant Manuals!

## 16. Keep the Media Informed

**The Media is your most powerful link with the public.** In order to ensure visibility of the City Consultation and to use the media as an effective instrument in your information campaign, it is important to establish a solid relationship with the local, national, and international media representatives in your area. Strong media strategies and successful information campaigns will:

- publicise the Consultation and mobilise stakeholders;
- increase public awareness about the environmental issues confronting the city and about the role the SCP Process could play in addressing them;
- arouse interest among the public and open up a channel of communication where people can express and share their views on common issues of concern.

In handling interactions with the media, consider the following:

- If resources allow, consider assigning one Information Officer who will be committed for information and media-related activities; at a later stage the Information Officer may be assigned, on a part-time basis, to assist in preparing and publishing a regular newsletter for the SCP Project;
- Keep a notebook with a contact sheet<sup>25</sup> for each media representative; this will make it easy to keep track of contacts made with media representatives at different times during the preparation of the City Consultation;
- Issue press releases at key moments during the preparation to all major local, national and international news organisations in your area. Press releases must include name(s) and addresses of Contact Person(s) so that queries are directed to the proper place. The contact person(s) should be conversant with the issues and principles pertaining to the Consultation, and should be easily accessible by telephone or e-mail;
- Be prepared, during the Consultation, for media interviews. You may need to identify some participants who can be interviewed during the Consultation. This is important; do not give the public the impression that this is your show; allow and encourage participants with cross-cutting representation to air their views and voice their impressions about the Consultation in the public media;

ve use of  
press

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<sup>25</sup> A Sample Media Contact Sheet appears in Part C of this Source Book.

- Be prepared to produce a short documentary film. You may later use video films for your public awareness and information campaigns and during exchange of experiences with other cities. Contract a professional crew to film interesting moments during the Consultation. UNCHS (Habitat) has assisted many cities, during City Consultations, in producing professional documentary films. By making early contact with the SCP Core Team in Nairobi, your city can also access Habitat's professional support.<sup>26</sup>
- If you use a local firm or professionals to film the Consultation, you should give strict guidance on which parts of the event to film; you must be highly selective in filming, since it is a costly exercise. At the same time the crew should be able to take footage of interesting sites and activities related to the issues discussed during the Consultation so that an issues-focused portrait of the city can be produced.

## **17. Establish a Secretariat**

Failure to establish an able and efficient Secretariat at the time of the Consultation will dilute your organisational efforts and achievements. This is because, during the Consultation, it is the Secretariat which plays the front-line role of registering participants, distributing the Participant Manual and badges, assisting the Rapporteurs and Chairpersons of Discussion Groups and, more importantly, keeping track of the proceedings of the Consultation.

Therefore, carefully select the Secretariat personnel and give them, session by session, a thorough orientation to familiarise them with the different forms they may have to use during the Consultation for registration, reporting and other purposes.<sup>27</sup> Ensure that the venue has secure and adequate room for the Secretariat and ascertain that equipment such as copiers and computers are in place and in working condition.

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<sup>26</sup> The Habitat media guide prepared for this purpose can be obtained from the SCP Core Team in Nairobi.

<sup>27</sup> Sample forms the Secretariat may have to use during the Consultation appear in Part C of this Source Book.

## 18. Ensure Effective Organisation of Discussion Groups

As described in Part A, an SCP City Consultation is conducted through a consciously designed format consisting of Plenary and Discussion Groups. Each Consultation Day will begin with a Plenary where the theme for a particular session will be clarified and framed. This will then be followed by Group Discussions where participants in small groups will exchange their experiences and views, and analyse the theme from different stakeholder perspectives, and their results will be reported back to the Plenary before the end of the day. What ultimately comes out of the City Consultation is the cumulative results of the Discussion Groups, therefore the proper organisation and effective functioning of the groups is critical to the success of the Consultation.

Effective organisation of Discussion Groups requires addressing the following questions:

- How many Discussion Groups? This depends on the number of participants and the scope and complexity of the theme. The ideal size of a Discussion Group is between 10 and 15 and should not exceed 20. At the same time, the way an issue is dissected into components and thematic aspects and the capacity to effectively support Discussion Groups should play a role in determining the number of Discussion Groups;
- How can the Discussion Groups best be organised to ensure cross-sectoral representation and dynamism in each Discussion Group? This requires a close follow-up on the participant list and a careful analysis of the composition in terms of functional and sectoral mix;
- Are Worksheets developed and finalised for all sessions? Worksheets contain a set of questions which are carefully constructed to provide a structure, agenda and focus on the most pertinent aspects of the issues. Well prepared Worksheets are an essential mechanism for making the Discussion Groups result-oriented and for ensuring effective and productive use of the limited available time;
- Are Chairpersons assigned to each Discussion Group? Though participants can select Chairpersons during their meetings, experience has shown that previously selected and thoroughly briefed (on the structure of the agenda and the techniques of facilitation) Chairpersons are likely to perform better;<sup>28</sup>

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<sup>28</sup> While the selection of the Rapporteurs can be left to the Discussion Groups, it is advisable to select and assign Chairpersons beforehand.

- Are there enough facilitators or support personnel, possibly from the Project Team, who can be assigned to assist the Chairpersons in running the Discussion Groups?
- Are there enough and suitable meeting rooms at the Consultation venue for Discussion Groups?
- Is there an adequate supply of facilitation aids, i.e. cards, felt pens and pin boards? (See Part C, Section Three, on Facilitation Techniques).

## B5

### Initiating and Following up Logistical Activities

#### 19. Determine the Logistical Needs and Task Responsible Persons

**Follow-up on Logistics calls for a meticulously prepared check-list and time schedule.** There is nothing trivial about logistics. Anything that goes wrong in the logistics - shortage of registration forms, faulty equipment, delay of translators, etc - will undermine the smooth flow of the Consultation. It is therefore important not only to carefully plan and organise the logistics, but also to think of what could go wrong and accordingly design fall-back strategies or to be prepared to quickly respond to unforeseen situations that may arise during the Consultation.

There are eight basic categories of issues your logistics management should address. These are:

- Consultation venue including adequate rooms for Discussion Groups and the Secretariat;
- equipment, both visual and audio;
- expendable Consultation materials;
- support services such as translation and secretarial;
- catering and refreshments;
- transportation, if trips to and from Consultation venue have to be organised;
- accommodation for participants coming from outside the City;
- parallel activities: filming, photo and mapping exhibition and demonstrations, display of hand-out materials, bazaar, cultural activities and site visits (if included in the Programme).

As soon as the sub-group for logistical activities is established, ask them to prepare a detailed activity plan which will be based on the overall Consultation Work Plan. This is essential to make sure that all activities are noted and scheduled.



Unlike the Substantive and Organisational activities, the Logistical activities require a lot of shopping around and considering different options - choosing suitable hotels, finding an ideal venue, procuring reliable equipment, etc. Some of the items and services required may be scarce in the City and may need advance booking or prior arrangement with other institutions or vendors located out of town. Because of this, the members of the sub-group for Logistical activities have to be meticulous, far-sighted and efficient.

The Logistical requirements may not always be clear to the sub-group. During the process, the Resource Persons or the sub-group for Organisational activities may determine certain additional needs which were not in the original list or may wish to have special types of service or equipment. It is therefore important that the Project Leader ensure at every COT meeting that the sub-group for Logistical activities is provided with up-to-date information on logistical requirements and changes.

The person in charge of the Logistical activities should prepare a complete check-list for all of the above needs and clear it with the Project Leader, while keeping the Project Leader informed of any significant changes made in the interim. Following the clearance of the list, the person in charge should submit to the Project Leader an initial estimate of costs for budgetary allocation.<sup>29</sup>

## 20. Finalise Logistical Preparations

**Four or three days before the Consultation**, the Project Leader should, one final time, verify whether all activities on the Logistics check-list and the SCP City Consultation Work Plan have been completed and all necessary facilities and services are in place to conduct the Consultation efficiently and smoothly. If a necessary item is not available, last minute improvisation should be made to substitute with something else or to accommodate the Consultation functions using what is available.

B6

## Conducting the Consultation

### 21. Conduct the Consultation

With the opening of the Consultation, the work of the COT does not come to an end, but enters another phase. Once the Consultation has started there will be a number of routines that need to be constantly attended to. Make sure that members of the COT are assigned specific duties to oversee these routines: registration, handing out of the Participant Manual and other materials, receiving the Guest of Honour,

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<sup>29</sup> A list of consumables required for a five-day City Consultation appears as a check-list in Part C of this Source Book.

head table seating plan, press releases, coffee and tea breaks, equipment and visualisation aids, venue for Discussion Groups, administrative announcements, grouping of participants into Discussion Groups, keeping track of the Participant List, keeping track of Consultation proceedings including tape recording, collection of presentation materials, speeches and papers, ensuring smooth services of word processing and photocopying, attending special requests of participants such as hotel accommodation and return travel arrangements, etc.

Do not plunge yourself into these routines. Assign one of the senior members of the COT to supervise and co-ordinate the overall organisational and logistical activities. This is important as you may have to stay in the Consultation Hall all the time and may not be able to oversee the organisational routines. You, as the Project leader, need to concentrate on the substantive aspects and proceedings of the Consultation. This will help you, during the Executive Group Meeting later in the evening, to make substantive contributions towards improving the next day's Consultation. Intermittently check with the Secretariat how the recording and collection of speeches and presentation materials is going. If it is not going well, make the necessary adjustments immediately; this is important as it will be difficult to prepare the Consultation Report later if the secretarial activities are poorly carried out.

Each day, after the end of the last session for the Consultation Day, the Executive Group should meet to collectively review what went right and what went wrong. Based on the lessons of experience of that same day it should map out improvement strategies for the next day. To benefit from the opinions of participants during the day, members of the Executive Group should constantly survey the mood of participants through their informal conversations. Such feedback should be tabled and discussed at the Executive Group Meeting.

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Do not fail to recognise positive efforts and successes and to thank those who have contributed to the success, while focusing on constant improvements and adjustments. Members of the COT have been working hard for months and deserve encouragement and appreciation. Extend a word of thanks when you get the opportunity and this will also keep the COT cohesive and positive.

## B7

# Reporting the Consultation

## 22. Conduct a Wrap-up Meeting

The **day after the Consultation**, conduct a wrap-up meeting with the Resource Persons, the Secretariat and the Project Team to sift through the records and collected materials and to determine which to include in the

Consultation Report and which to omit. Conducting the wrap-up meeting immediately after the Consultation will ensure the attendance of all those whose inputs to the report preparation is required.

In the same meeting clarify the **role** of each Secretariat Member and Resource Person in writing, compiling, editing, producing and disseminating. Share ideas on the general format and layout of the final document as well.

Assign one person from the Project Team as the **Task Manager** to tie up all the loose ends and to make sure that the report is out within the specified period of time. The Task Manager, with the clearance of the Project Leader, will provide a skeletal outline or Table of Contents<sup>30</sup> for the Consultation Report.

### **23. Prepare the Consultation Report**

The Consultation is not an end in itself but the basis for follow-up activities. The Consultation Report should be prepared with this in mind. This means the conclusions of each session, the agreed list of issues, highlights of important interventions, recommended follow-up activities, commitments made by participating institutions, etc should be articulated very clearly in the report. The Consultation Declaration should also be edited and incorporated in the Report.

The Report will have two versions: **one, the Summary version** which includes an Executive Summary, highlights of the sessions and their conclusions, the Programme and the Participant List; **two, a Comprehensive version** which in addition to what is in the Summary version will include summaries of all presentation papers, copies of speeches, talking points of Discussants, copies of transparencies projected during the Consultation, and any other material of special interest.

During the wrap-up meeting or immediately after, the Secretariat will hand over copies of the pertinent materials collected and notes taken during the Consultation, all organised by session, to the Resource Persons and Consultants who have to be involved in the Consultation for write-up purposes. The Resource Persons and the Consultants as knowledgeable persons and key players of the Consultation, will make sure that the report exhibits good quality in terms of its analytical rigour, language and style.

The writing-up and finalisation of the report proceeds as follows:

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<sup>30</sup> A generic Table of Contents for a Consultation Report appears in Part C, Section 3, of this Source Book.

- The Report will be organised according to Sessions. Each Resource Person will work on the session(s) for which she/he presented Proposition Paper(s);
- The author of the Environmental Profile will write up the section related to the session on the 'Reviewing Priority Issues', i.e. Session 2;
- The Facilitator will write up the section related to the Opening, the Summary and the Closing Plenary Sessions;
- They will all submit their write-up to the Task Manager (assigned by the Project Leader from the Project Team) **within three weeks from the end of the Consultation**;
- The Task Manager will then, with the assistance of the Facilitator or with additional inputs of a Local Consultant, review, edit and finalise with the aim of ensuring that the Report has a coherent structure, language and style.

#### **24. Produce and Disseminate the Consultation Report**

Production of the Report will be the responsibility of the Project Team. The Task Manager will coordinate its production and distribution.

The Comprehensive version will be produced only in limited copies for reference and record of the Project Office, while the Summary version will be produced in hundreds and will be sent out to each participant and to other interested individuals and institutions.





The SCP Source Book Series, Volume 2  
Organising, Conducting and Reporting an  
SCP City Consultation

# Part C

## The Annexes

This section contains city examples and generic materials that can be adapted or even reused as they are. Practitioners will find these materials and tools very useful; they will save them time and energy in preparing the various documents such as Terms of Reference for resource persons, or in designing formats – be it for registering participants or preparing worksheets – or even in drafting the various letters which are necessary during the preparation for the City Consultation.

**Table of Contents for Part C Organised by Activity and Type of Tools**

Activity-Type of Tool	ToRs	Notes	Examples	Letters	Forms	Badges	Checklists
<i>Substantive Activities</i>						173	176
Engaging the COT and organising its Work Plan	70						
Engaging the Facilitator	84						
Preparing the Environmental Profile	77						
Preparing Proposition Papers	82	116, 118	148	160, 161			
Preparing Core Papers			123				
Preparing opening speeches			140				
Engaging Discussants	86	110					
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<i>Logistical Activities</i>					169 - 172	173	179
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<i>Conducting Consultation</i>							
Registering participants					170 - 172		
Planning a working day		108					
Facilitating		101					
Preparing & Adapting Consultation Declaration			155				
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# C1

## Glossary

**Core Papers** : Papers prepared for an SCP City Consultation to provide a common understanding of the conceptual frameworks and city context. These include the following:

- **City overview:** Describes the major development activities, the key issues affecting development and threatening the environment and the existing institutional arrangements for managing them. It represents a 'snapshot' of the Environmental Profile.
- **SCP Briefing:** Provides an overview of the SCP approach, principles and process activities.
- **Project Overview:** Provides background information on the SCP City Demonstration Project.
- **Consultation Overview:** Describes the rationale and purpose of the City Consultation, and its structure and mechanics.

**Consultation Declaration:** The Consultation Declaration is the final document which will be issued at the end of the Consultation. It is an articulation of the consensus of participants with regard to what has been achieved by the City Consultation and what the next steps will be. It confirms participants' commitment and support to the EPM process and to the ideals of the SCP Demonstration Project, and sanctions the establishment of issue-specific Working Groups as the vehicles to carry forward what has been initiated at the Consultation. The Declaration will remain an important document to which new stakeholders joining the process at a later date should subscribe.

**Consultation Organising Team (COT):** The COT includes the Project Team, Resource Persons, consultants and other people who may be seconded from the various local institutions or hired by the SCP Project Office for organising the City Consultation. The COT may find it necessary to group the various activities as **Substantive, Organisational and Logistical** and to accordingly assign individuals or groups of people from the COT to follow up on a particular group of activities. In all circumstances, the COT will collectively plan activities and regularly review progress.

**Consultation Secretariat:** A team of three to four persons assigned to take minutes of the Consultation and to collect materials presented or speeches made at the Consultation.

**Executive Group:** The COT members, Chairpersons assigned for the different sessions and the Habitat mission to the Consultation will form the Executive Group. The Executive Group will meet at the end of the last session for each Consultation Day to review what went right and what went wrong and to make necessary adjustments for the next day of the Consultation.

**Discussant:** A person assigned to make interventions and to reflect on issues by way of responding to a Proposition Paper (see below), or a Stakeholder who is assigned to articulate and express how an issue affects her/his stakeholder group and how they think it should be addressed. A Discussant is somebody who has a crucial interest in the issue or who is knowledgeable about it. Whichever the case, interventions by Discussants should reflect the stakeholders' perspective. Discussants talk using talking points; they do NOT present papers. Discussants' interventions are brief but crucial as they flag out the issues that need to be discussed or the questions that need to be answered. Up to six Discussants can take the floor for each issue.

**Discussion Worksheet:** A list of three to four key questions prepared in advance as a guide for the Discussion Groups. The questions will allow the Discussion Groups to focus and to arrive at substantive conclusions. A Discussion Worksheet will provide the Discussion with a structure and a checklist. To make the best use of the limited time available for discussion and to make sure that each of the questions are allocated a fair amount of time for deliberation, the total time will also be roughly allocated to each of the questions.

**Facilitator:** A professional hired and assigned to moderate the Plenary sessions and to assist in organising and facilitating the Discussion Groups. S/he has the skills and experience to apply visualisation techniques used in SCP City Consultations.

**SCP Core Team:** The SCP Core Team refers to the SCP Coordinator and Advisors based in Nairobi, UNCHS (Habitat).

**Stakeholder:** A person who has a well defined stake in an issue and who has the information, expertise or policy and implementation instruments necessary for addressing that particular issue.

**Participant Manual:** Each participant will receive one at the start of the Consultation. A Participant Manual may be a ring-binder (to which pages can be added or from which pages can be removed) with the following entries:

- Practical/administrative information;
- A Programme and Agenda;
- Discussion Worksheets and instructions;
- Participant List;
- Background documents.

**Project Partners:** These are institutions or individuals who are not specifically involved in the preparation of the City Consultation, but who are supportive and interested in its success.

**Project Team:** A team of professionals assigned, full time or through any other arrangement, at the SCP Demonstration City Project to carry out the activities described in the SCP City Demonstration Project Document. The Project Team plays a crucial substantive role in initiating, organising and conducting a City Consultation.

**Project Leader:** The person designated to be responsible for the overall activities of the SCP City Demonstration Project. She/he will be

supervising the Project Team and will be the Coordinator for the entire organisation of the City Consultation. In nationally executed projects the Team Leader will be a national with the designation 'Project Director' or 'Project Manager' or 'Project Coordinator'. In projects executed through UN Executing Agencies, this role of project coordination and substantive guidance will be played by Chief Technical Advisors.

**Proposition Paper:** A brief paper which deals with an issue or a topic. Beginning with an overview of the existing situation, a Proposition Paper will provide case examples, from which it draws universally applicable principles. A Proposition Paper will then discuss approaches for adapting these principles and experiences to specific local circumstances and priorities. It does not prescribe 'the solution', but offers the framework for seeking solutions.

**Resource Persons:** Professionals or consultants assigned to prepare Proposition Papers. Since Proposition Papers constitute the key substantive input to the Consultation and the basis for discussion, the Resource Persons are expected to be part of the entire preparation exercise and thereby to provide technical assistance to the COT and the Project Leader.

**Terms of Reference (TOR):** These define the specific outputs expected and the tasks that need to be carried out for any specific assignment or position. Once a comprehensive work programme is prepared, it is the responsibility of the Project Leader to make sure that members of the COT, Resource Persons and other consultants are fielded on the basis of clear and detailed TORs.



## C2 Terms of Reference

### In This Section...

- Terms of Reference for the Consultation Organising Team (COT)
- Terms of Reference for the Consultant assisting in the preparation of an Environmental Profile
- Terms of Reference for Resource Persons (Authors) of Proposition Papers
- Terms of Reference for Facilitator
- Terms of Reference for Stakeholders presenting issues of concern
- Terms of Reference for the Executive Group
- Terms of Reference for the Secretariat
- Terms of Reference for the Conference Planner

## Terms of Reference for Consultation Organising Team

### **1. Background:**

Using information contained in Sections A1 (the SCP Process), A2 (the Nature and Role of an SCP City Consultation, and Section B3 (Initiating and Following up Substantive Activities) write a couple of paragraphs which can provide background information on the SCP Process, the City Consultation and the rationale for establishing a Consultation Organising Team (COT).

### **2. Tasks**

Under the general direction of the Project Leader, members of the COT commit themselves to the preparation, delivery, and reporting of the SCP City Consultation. Tasks which are related to the collective responsibility of the COT are described in this TOR, followed by a time line for their completion (see Figure 1).

#### **Task 1**

##### **Determine Participants**

The COT will put together a list of participants. The list will include the number of participants expected each day during the Consultation, the title and affiliation of each participant, as well as an indication of any specific role which they may be required to play during the Consultation. One person from the Project Team will be specially assigned to establish and constantly update the data base for participants.

#### **Task 2**

##### **Initiate and Facilitate the Preparation of the City Environmental Profile**

A City Environmental Profile will be prepared in order to provide some base-line information which, among other things, would allow issues to be prioritised and stakeholders to be identified.

The COT will facilitate the support to the Author/Consultant who will be assigned to prepare the Environmental Profile. The Project Leader, based on the generic Terms of Reference contained in this Source Book, will provide the Author of the Environmental Profile with detailed Terms of Reference. The Project Leader will ensure that the Profile, both in its structure and approach, follows the guiding principles outlined in the SCP Source Book Series Volume I and that it is completed in time to be circulated to participants prior to the Consultation.

The COT will also facilitate the organisation of a series of meetings with stakeholders where the Resource Person during the process of preparing the Environmental Profile will be able to give briefings and to solicit inputs and comments.

### **Task 3**

#### **Initiate and Facilitate the Preparation of Core Papers**

The Project Leader will assign professionals from the Project Team to prepare the following Core Papers:

- Briefing on the Sustainable Cities Programme;
- Project Overview;
- City Overview; and
- Consultation Overview.

Authors of the Core Papers will use the relevant SCP Source Book Volumes, the SCP City Demonstration Project Document and the examples contained in this Source Book (Section C5) as their reference materials, and can be assisted by the SCP Core Team.

### **Task 4**

#### **Initiate and Facilitate the Preparation of Proposition Papers**

The Proposition Papers will address priority environmental issues and the 'Institutional Framework' pertaining to EPM, and will provide an overview of existing circumstances, case illustrations, universally applicable principles, and approaches for adapting them to the specific local circumstances. Presentation of Proposition Papers will be no longer than 30 minutes.

Preparation of the Proposition Papers will be the responsibility of the Resource Persons committed by the Project Leader. The Project Leader, based on the generic Terms of Reference contained in this section of the Source Book, will provide a detailed Terms of Reference, will facilitate the required support and will follow up work progress.

### **Task 5**

#### **Assign Discussants and Provide Support/Guidance**

Discussants representing all major stakeholders will be carefully selected and assigned to present issues from their own perspectives and to make interventions in response to Proposition Papers. A Discussant's intervention will last no longer than 10 minutes.

The Project Leader and her/his Project Team, based on the relevant Notes and Examples contained in this Source Book (Sections C3 and C5) will prepare a skeletal outline and a brief note designed to guide each Discussant. Adaptation of these outlines, selection of Discussants and follow-up of the Discussants' preparations will be the collective responsibility of the Project Team and the Resource Persons.

### **Task 6**

#### **Commit Participants**

Throughout the preparatory process, the COT should pay special attention to the commitment of Consultation participants. All available means of attracting participants to the Consultation should be utilised.

**Five weeks before** the Consultation, a fairly precise participant list is required. Knowing the number of participants is important for such tasks as producing the right number of manuals and arranging for an adequate meeting room.

Also at this time, Participant Roles must be assigned:

- Chairpersons for each session;
- Speakers at Opening and Closing;
- Discussants;
- Chairpersons, Rapporteurs, and participants of each Discussion Group

Specific members of the COT should be given the responsibility of contacting prospective participants and to obtain a letter, or alternatively a verbal statement of commitment to participate. Assigned members of the COT will brief each of the participants on the overall thrust of the Consultation and their individual role.

### **Task 7**

#### **Produce a Consultation Package**

The COT will ensure that each participant receives a Consultation Package at the beginning of the Consultation. The Package will include name tags, stationary, and more importantly a Participant Manual, which contains:

- practical information about the Consultation;
- a programme and an agenda;
- instructions and Worksheets for the Discussion Groups;
- a list of participants;
- summaries of Core and Proposition Papers;
- background documents; and
- City Environmental Profile (unless previously distributed).

### **Task 8**

#### **Coordinate Logistics**

The COT will determine and coordinate the provision of all items listed on the Check List of Logistical Needs contained in Section C-9 of this Source Book. Immediately prior to the Consultation, the COT will go through the Check List to make sure that all items are in place and sufficient to conduct the Consultation efficiently and smoothly. If an item is simply unavailable, last minute improvisation should provide a substitute or an appropriate adjustment. Provisions will be made for last minute registration of participants.

### **Task 9**

#### **Conduct the Consultation**

Members of the COT, including the Project Leader, the Facilitator, the Project Team and the Resource Persons will, in their assigned roles, conduct the Consultation. This entails:

**one**, substantive participation in the presentations and discussions; and  
**two**, coordinating secretarial and logistical activities.

The COT will oversee the Consultation Secretariat's activities to ensure that:

- deliberations of each session are well recorded;
- written summaries and presentation materials are collected from speakers, presenters and Discussants;



- attendance is recorded and Personal Data Forms are maintained;
- all logistical needs including equipment, food catering, and support services are being met.

### **Task 10**

#### **Wrap-up**

The day after the consultation, the COT will hold a wrap-up meeting. Attendance at this meeting of all members of the team including the Facilitator and the Resource Persons, plus the Chairpersons and Rapporteurs for the Discussion Groups and Discussants, is extremely important. If possible, attendance of a representative from the SCP Core Team is also desirable.

The wrap-up meeting provides an opportunity to discuss the outcomes of the Consultation, to agree on the arrangement for preparing the Consultation Report and to determine the next steps. At the wrap-up meeting, the Project Leader will also assign one of her/his senior members of the Project Team to coordinate the preparation, finalisation and production of the Consultation report. The agenda of the wrap-up meeting should include the following:

- Evaluating the organisation and proceedings of the Consultation;
- Arranging the preparation of the Consultation Report;
- Determining the next steps.

Following the wrap-up meeting, the COT will carry out the following tasks:

#### **Wrap-up Task 10 (i)**

Assemble the final versions of substantive materials presented or used during the Consultation or notes and materials resulting from the Consultation, properly categorised by Session. These materials include:

- Opening and Closing Speeches;
- Core Papers;
- Proposition Papers;
- Discussion talking-notes;
- Summaries of participants' contributions during the Plenary Sessions;
- Discussion Groups reports, including collected cards and flip charts;
- Diagrams and maps used during the Consultation;
- Copies of transparencies projected during the Consultation, etc.;

**Wrap up Task 10 (ii)**

Assemble other materials required for completing the Report such as the following:

- completed Personal Data Forms;
- complete Participant List;
- complete list of Discussion Groups participants;
- complete list of Chairpersons and Rapporteurs;
- final Consultation Programme

**Wrap up Task 10 (iii)**

Return borrowed equipment and materials and settle bills pertaining to catering, materials, conference services, etc.

**Task 11**

**Prepare the Consultation Report**

The writing up of the Consultation Report will be the responsibility of Author of the Environmental Profile, the Resource Persons (Authors of the Proposition Papers) and the Facilitator. The report will be organised by session and the writing up of the sections on the different sessions will be distributed as follows:

<b>Session</b>	<b>Responsible for write-up</b>
Opening	Facilitator
Identification and prioritisation of issues	Author of the Environmental Profile
Session on specific issues	Resource Person for the respective issues
Session on Institutional Framework	Resource Person for Institutional Issues
Wrap-up Session	Facilitator
Closing	Facilitator
Executive Summary and finalisation of Report	Facilitator and Task Manager to be assigned from among Project Team

The above persons, based on assembled materials, notes of the Secretariat (which will be handed over within a week from the end of the Consultation) and their own notes, and following a common outline designed and circulated by the Task Manager – a senior member of the Project Team assigned to coordinate the preparation, finalisation and production of the report – will draft their respective sections and submit them, within three weeks from the end of the Consultation, to the Task Manager. The Task Manager, together with the Facilitator, will consolidate the different contributions into a coherent structure, edit and finalise within one week from the time the drafts are submitted to the Task Manager.

**Task 12**

**Produce and Disseminate the Consultation Report**

The Consultation Report will be produced in two forms: **one**, the **Summary form** which will be distributed widely to all participants and interested parties; and **two**, the **Comprehensive form** which, in addition

to what exists in the Summary Report, will also include neat and edited copies of all presentations and speeches. The latter will be produced only in limited copies to be used as a general reference and source document.

The Project Leader will obtain all necessary clearance from the Project Director and comments/input from the SCP Core Team and will arrange for translation (if necessary), printing, and distribution of the Report. In addition, the Project Leader should ensure that the Report is also sent out to those who did not participate in the Consultation, but who should be involved in future SCP activities.

Work Plan for Organising, Conducting and Reporting a City Consultation	(time frame in weeks)															
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
<i>Activities</i>																
<i>Starting up</i>																
briefing decision makers	■	■														
determining duration of consultation	■	■														
establishing and committing COT	■	■														
<i>Initiating and following up Substantive activities</i>																
preparing the Environmental Profile	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
preparing Proposition Papers	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
preparing Core Papers	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
preparing opening speeches	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
conducting OSPM	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
selecting and briefing discussants	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
selecting and briefing Chairpersons	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
preparing Worksheets	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
engaging facilitator	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
<i>Initiating and following up Org. Activities</i>																
identifying and committing participants	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
developing and finalising Consultation programme	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
informing the media	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
establishing the secretariat	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
organising Discussion Groups	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
preparing information package & participant manual	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
<i>Initiating and following up Logistical Activities</i>																
determining needs, budgeting and tasking	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
arranging logistics	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
finalising logistical activities	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
<i>Conducting Consultation</i>																
<i>Reporting Consultation</i>																
holding wrap-up meeting																
drafting report																
editing, consolidating and finalising report																
producing and distributing report																

## Terms of Reference for the Consultant Assisting in the Preparation of the Environmental Profile

### **1. Background**

Using information contained in Sections A-1 (the SCP Process) and A-2 (the Nature and Role of an SCP City Consultation) write a couple of paragraphs which can provide background information on the SCP Process and its principles, and link it to the next paragraphs which describe the nature and role of an Environmental Profile.

The Environmental Profile is designed to highlight priority issues within the context of development-environment interactions and therefore serves not only as valuable base-line information for dealing with environmental issues, but also as a methodological tool that promotes cross-sectoral approaches to development management. Unlike other sectoral documents therefore, the Environmental Profile should be prepared with the full understanding and active involvement of all activity sectors or stakeholders. The interactions and new and better understanding of issues created as the result of stakeholder involvement during the process of its preparation is as important as the final document itself. This process of joint effort and involvement of stakeholders will not end with the 'completion' of the Profile. In fact, one of the Consultant's duties will be to explore opportunities and institutional mechanisms necessary for keeping the Profile constantly improved, enriched and updated.

The Profile is not meant to describe in a comprehensive manner the developmental, environmental, institutional set-up of the city. Rather, its objective is to synthesise the available knowledge on the subject. The consultant(s) will collect this information and organise it in the way the Profile is designed and structured. When information does not exist or is not accessible, the consultant(s) should state such gaps in the Profile. If the missing information is of importance to SCP activities in the future, a more detailed study may be undertaken.

Preparation of the EP will involve meetings with strong emphasis on sensitisation and EPM briefing, with stakeholders in the urban development process. Stakeholders are those affected by the issues addressed and the strategies to be developed, those whose cooperation is required for the implementation of the strategies, and those who have relevant information and expertise. This will include actors in urban development such as (first and foremost) municipal officials within the City Council, Central Government agencies responsible for urban development, Ministries of Local Government, Works & Housing and Natural Resource Management; specialised and parastatal agencies such as those responsible for public works, for transportation, etc.; the business community; NGOs and community groups; research institutions and local consultants; external support agencies and other relevant project teams. Apart from information collection, these meetings should also be used to build and convey a sense of ownership to potential future project participants by discussing SCP concepts and anticipated results; SCP benefits and possible roles for participants; issues and priorities to be addressed; potential linkages with other past, on-going and planned projects, project approaches and implementation arrangements and so on.

(see the *Outline for the SCP Environmental Profile* for a discussion on target group, stakeholders and activity sectors). These meetings will also provide an opportunity to identify specialists and experts and assess their capacity to contribute to the SCP city project.

## **2. Duration**

The Consultant will have two work months spread over six to nine calendar months.

## **3. Tasks**

The Consultant will be responsible for preparing an Environmental Profile for the city of (*write the name of your city here*). The preparation of the profile will generally follow the generic outline developed in the SCP Source Book series Volume I. However, the Consultant, in consultation with the project leader and other stakeholders, can adapt or modify the outline to suit the local circumstances. The purpose of the assignment is five-fold:

- to demonstrate the importance of the improving the ready availability of critical environmental information in order to influence better urban management decisions, so they are made within the constraints of available natural resources and environmental hazards to promote more sustainable human settlements development.
- to identify the key stakeholders involved in urban environmental planning and management for the city of (*write the name of your city here*), either because they are affected by the key environmental issues that need to be addressed and the strategies being developed and their associated development decisions; have information, resources and/or instruments with which to influence those decisions; and/or have environmental management responsibilities;
- to analyse such information and institutional relationships in order to recommend the key environmental and institutional issues that need to be addressed through project implementation to promote sustainable human settlements development.
- to document the findings in the a draft 'Environmental Profile' for the city, so they may form the basis for consultative discussions during the City Consultation which will prioritise the issues to be addressed and to support preparation of the City Consultation;
- to finalise the profile after the City Consultation, so that it forms a reference document for incremental updating by all interested and concerned stakeholders and a working document for the issue-specific working groups, which will be established to formulate issue-specific strategies and action plans.

The Consultant will specifically undertake the following tasks:

- (a) Familiarise herself/himself with the SCP approach and the role of the Environmental Profile in the SCP Project and the Consultation; The SCP Source Book Series Volume I which

- describes and illustrates the structure and content of an Environmental Profile will be her/his key reference material;
- (b) Prepare and discuss with the Project Leader or Coordinator a detailed work plan for the assignment with clear benchmarks and time frame;
  - (c) Gather relevant information, reports and other documents;
  - (d) Meet with different stakeholders whose information, expertise and views are required in preparing the Environmental Profile; these include officials and practitioners in the municipality and government departments and ministries, representatives of the private sector, non-governmental organisations, community groups, etc.;
  - (e) Involve key stakeholders in the preparation of the Environmental Profile, not merely as source of information, but as authors of the Profile so as to create a strong local ownership;
  - (f) Assist the Project Team in identifying and discussing on-going initiatives to strengthen the urban environmental management capacity in the city;
  - (g) Prepare as necessary briefing meetings and/or workshops to keep stakeholders informed about the various sections of the Profile as they are developed and to stimulate their direct involvement in the substantive preparation of the Profile;
  - (h) Use the opportunity of gathering information to brief stakeholders and Project Partners about the role, purpose and nature of the SCP Project and the Consultation;
  - (i) Prepare an updated listing of the Project Partners with whom meetings have taken place and indicating the level of interest in the SCP Project expressed by each of these partners;
  - (j) Prepare, together with a select consultative group of stakeholders, an annotated outline following the structure provided in Volume I of the SCP Source Book Series, and as agreed with the Project Leader/team;
  - (k) Present the Environmental Profile in its annotated form or zero-draft form to stakeholders during a One-day Stakeholders Pre-Consultation Meeting (OSPM) and actively solicit inputs and comments including from the SCP Core Team in Nairobi;
  - (l) Prepare, together with the select consultative group of stakeholders, the Environmental Profile, using the inputs and comments solicited on the Annotated Outline;
  - (m) Assist the key city official (City Director or Planner) or any other person who will be presenting the 'City Overview' at the City Consultation in preparing her/his presentation. This presentation forms the snapshot of the Environmental Profile and should therefore also highlight the key findings captured in the Environmental Profile ;
  - (n) As one of the Resource Persons for the City Consultation, attend the full sessions of the City Consultation and assist the Facilitator of the City Consultation, on Day One of the Consultation, by responding to questions where necessary and by preparing summary notes on the deliberations;
  - (o) Finalise the draft Environmental Profile based on the feedback and inputs obtained from the City Consultation, the Project Leader/Team and the SCP Core Team;

- (p) Assist in preparing the City Consultation Report by specially writing up the section of the Consultation Report related to the session on 'Reviewing Priority Issues'.

#### **4. Key Stages of Activities**

##### **Stage One**

First **familiarisation** with the SCP approach is necessary. This can be done through an initial briefing by the project team and through reading documents about the EPM/SCP process (available from the SCP core team in Nairobi). Special reference material will be Volume I of the SCP Source Book Series, which provides a generic outline, guidelines and examples.

##### **Stage Two**

An **outline** (table of contents) will be prepared. A copy of the outline of the EP should be sent for review and comments to the project team and to the SCP core team in Nairobi.

##### **Stage Three**

The outline will be expanded into an **annotated outline**, taking into consideration the feedback of the project team and the SCP core team. The annotated outline is a document of about 10-15 pages in which each section and sub-section is briefly discussed in a few paragraphs. The annotated outline should be sent to the project team and the SCP core team in Nairobi.

##### **Stage Four**

Based on the annotated outline and the feedback received, the **draft** text will be prepared. The draft should again be sent to the project team and the responsible officer of the SCP core team in Nairobi.

##### **Stage Five**

**Finalise the EP**, which includes incorporating feedback from the project team and the SCP core team.

#### **5. The Final Outputs**

The profile should be prepared in three versions: one, a **comprehensive version** of 40-50 pages which will remain as an unbound working document for the day-to-day reference of the issue-specific working groups (these are cross-sectoral groups which will be established later to deal with the priority issues) and for the incorporation of future updates, and will therefore also include a complete and systematically indexed list of literature and other sources used for preparing the profile; two, a **summary version** of not more than 20 pages, which follows the same structure as the comprehensive version but highly condensed, to reflect only major facts, salient features and findings; and three, an **executive summary** highlighting the priority issues that came into sharp focus during the preparation of the Environmental Profile. It should be prepared using a standard word processing software such as MS Word or WordPerfect.

#### **6. Graphics and Language Style**



The users of the Profile are stakeholders of different roles and levels of education and exposure. They include political leaders, practitioners, private sector operators, community leaders, NGO activists, journalists etc. Therefore, it is important to avoid jargon and to use simple intelligible language and style. Unless essential to support and clarify the text, economic data and statistics should appear separately in tables and diagrams to avoid overloading the main body of text.

A consistent layout for the document, including the font and the use of characters (italic, bold, underline, etc.) should be maintained. This will ease the reading and understanding of the document.

Illustration of the text with photographs is highly recommended. However, in order to improve reproduction (photocopying) the photographs used should be screened.

Use of maps is necessary to facilitate the understanding of the issues. A simple base map will be used (A4 size), covering the area of study. Some general information could be illustrated with only half A4 size. To illustrate some of the issues having a particular geographic focus, maps on a smaller scale could be prepared. In this case, a reduced base map can be added to indicate this geographic focus in the overall area of study. All information appearing on maps should be black and white and should be easily reproduced by photocopy without losing their readability.

## Terms of Reference for Resource Persons (Authors of Proposition Papers)

### **1. Background**

Using information contained in Sections A1 (the SCP Process), A2 (the Nature and Role of an SCP City Consultation, and Section B3 (Initiating and Following up Substantive Activities) write a couple of paragraphs which can provide background information on the SCP Process, the City Consultation and the particular role of the Proposition Paper.

### **2. Tasks**

#### **Task 1**

##### **Acquire knowledge on the Consultation and the Assigned Session**

The Resource Persons should be thoroughly familiar with the concepts and format of the SCP Consultation in order to participate effectively. The Resource Persons should have a thorough knowledge and professional experience in the particular issues or topics of the Proposition Papers they will be assigned to prepare. Specific outlines and instructions regarding the Proposition Paper will be provided to the Resource Persons.

#### **Task 2**

##### **Complete Proposition Papers**

The Resource Persons will prepare Proposition Papers which will provide a framework for discussion at the Consultation. The Proposition Papers will present clear concepts with brief case illustrations drawn from the Resource Persons' professional knowledge and work experience. In addition to preparing Proposition Papers, the Resource Persons will prepare a 2-page executive summary, to be included in the Participant Manual.

#### **Task 3**

##### **Assist in Identifying and Guiding Discussants**

The Resource Persons will assist the Project Leader/Team in identifying Discussants for the respective Working Days or Sessions to which they are assigned to present Proposition Papers. They will also assist in preparing 'talking points' for Discussants. The Resource Persons will provide Discussants their draft Proposition Papers as early as possible to allow them to relate their interventions to the relevant parts of the Proposition Papers.

#### **Task 4**

##### **Present and Discuss Proposition Papers**

The Resource Persons will participate in the Consultation by presenting and discussing their respective Proposition Papers. They are expected to actively participate both at the Plenary and Discussion Groups sessions. They will indeed serve as Resource Persons throughout the Consultation Period vis à vis the respective issues for which they are assigned to prepare Proposition papers.

### **Task 5**

#### **Participate in the Consultation Organising Team and in the Executive Group**

As members of the COT and the Executive Group, Resource Persons will participate in a number of meetings before, during and after the Consultation. In addition to assisting the COT in initiating and following up the substantive activities of the preparation for the Consultation, the Resource Persons will take part in the Executive Group's strategy meeting which takes place at the end of each day during the Consultation, in order to draw organisational lessons from the preceding sessions and to make the necessary adjustments for subsequent sessions. Also, the Resource Persons will assist in briefing the Chairpersons and Rapporteurs of the Discussion Groups about their roles, and in drafting the Consultation Declaration.

### **Task 6**

#### **Participate in Writing the Consultation Report**

The Resource Persons, in their capacity as knowledgeable participants and key contributors, will participate in the preparation of the Consultation Report. Each Resource Person will be responsible for writing the section of the Report dealing with the Session for which she/he was assigned to present a Proposition Paper. Each Resource Person will submit, within three weeks after the end of the Consultation, her/his section of the Report to the Task Manager who will be assigned by the Project Leader.

### **3. Time Budget**

The services of each Resource Person will be required for 30 working days over a three to four month period. 20 of these working days will be spent on advance preparation, 5 days will be spent on participation in the Consultation itself, and 5 days will be spent on writing the Consultation Report.

## Terms of Reference for Facilitator

### **1. Background**

Using information contained in Sections A1 (the SCP Process), A2 (the Nature and Role of an SCP City Consultation, and Section B3 (Initiating and Following up Substantive Activities) write a couple of paragraphs which can provide background information on the SCP Process, the City Consultation and the need for having a Facilitator.

### **2. Tasks**

#### **Task 1**

##### **Acquire knowledge on the SCP Process and the Consultation Structure**

The Facilitator will familiarise herself/himself with the concepts and principles of the SCP Process and particularly with the purpose, nature and structure of an SCP City Consultation. She/he should also carefully read the following before the City Consultation:

- Notes on Facilitating an SCP City Consultation contained in Section C3 of this Source Book;
- Notes pertaining to organisation of Discussion Groups, Discussion structures and Worksheets;
- All substantive documents prepared for the Consultation, namely the Environmental Profile, the Core Papers and the Proposition Papers.

#### **Task 2**

##### **Assist the Consultation Organising Team (COT)**

As member of the COT the Facilitator will participate in the preparation of the Consultation, and especially assist in:

- identifying logistical requirements for facilitating Discussion and Plenary Sessions;
- clarifying the roles of Chairpersons and Rapporteurs;
- explaining and demonstrating visualisation and facilitation techniques for Chairpersons of Discussion Groups and members of the Project Team;
- preparing Worksheets for Discussion Groups.

#### **Task 3**

##### **Facilitate the Consultation**

Facilitate the Plenary Sessions and support the facilitation of Discussion Groups. This will entail the following:

- explain to the Consultation participants about the structure and mechanics of the Consultation;
- facilitate the discussion in Plenary Sessions;
- explain the organisation, purpose and mechanics of Discussion Groups and demonstrate how the worksheets and card system will be applied in Discussion Groups;
- extract the conclusions and key points from presentations and reporting of group results and recapitulate them at the closing of each session.

#### **Task 4**

##### **Participate in Preparing the Consultation Report**

Write the sections of the Consultation Report related to the Opening, the Summary and the Closing Sessions, and together with the Task Manager (from the project team) assigned by the Project Leader to coordinate the preparation of the Consultation Report, consolidate the different sections written by the different authors into one coherent report including the writing up of a succinct Executive Summary.

### **3. Duration of Assignment**

Four working weeks spread over a period of three to four calendar months (two weeks prior to the Consultation, one week during the Consultation and one week for after the Consultation for preparing and finalising the Consultation Report).

## Terms of Reference for Stakeholders Presenting Issues of Concern

Issues, in the SCP City Consultation context, are not pre-determined; they emanate through a consultative process with the stakeholders, and at the Consultation; it is the stakeholders who will present them as issues of concern. This makes it possible to identify the constituencies or interest groups behind each of the priority issues and to force decision makers and other actors to see issues from the different perspectives of stakeholders.

Stakeholders who are presenting issues which are of concern to them are not presenting papers as such, but are reflecting on the respective issues purely from their own perspective and practical experience. In so doing they are expected to address the following questions:

- What is the role of your stakeholder group or how important is your stakeholder group in the socio-economic development of the city?
- Which environmental issue(s) are of crucial importance to your stakeholder group?
- Why are these environmental issues crucial to your stakeholder group? (How do they affect your activities? How do they constrain the overall development of your city?)

## Terms of Reference for the Executive Group

### **1. Background**

Using information contained in Sections A1 (the SCP Process), A2 (the Nature and Role of an SCP City Consultation, and Section B3 (Initiating and Following up Substantive Activities) write a couple of paragraphs which can provide background information on the SCP Process, the City Consultation and the particular role of the Executive Group. The Executive Group will consist of the following:

- Project Leader
- Project Team
- Facilitator
- Resource Persons
- Discussion Group Chairpersons
- Discussants
- Members of the Habitat mission

### **2. Tasks**

The central task of the Executive Group is to ensure that the Consultation proceeds as planned.

To this effect,

- The Executive Group will, at the end of each day, collectively and critically review the strong and weak points of the day's Consultation, and take the necessary action or make the necessary modifications to improve the performance of the sessions of the next Consultation Day;
- Members of the Executive Group will actively follow up each of the sessions and take note of areas where adjustment or improvement might be required, and will present their views during the daily review meeting of the Executive Group;
- In their informal encounter with participants, members of the Executive Group will assess their feelings and opinion about particular sessions or about the overall Consultation, and relay the relevant feedback to the daily review meeting of the Executive Group;
- Members of the Executive Group will actively interact among themselves and offer suggestions and comments that may help to ensure that the Consultation proceeds smoothly and as planned;
- The Executive Group will design and administer, through the Secretariat, a questionnaire that will make it possible to gather the information necessary for evaluating the overall performance of the Consultation. Such a questionnaire should cover all key substantive, organisational and logistical issues, and should therefore seek, among other things, participants' opinion regarding the composition of participants, the usefulness of the Participant Manual, the quality of the Proposition Papers, the role

of Discussants, the role of the Facilitator, the role of the Discussion Group Chairpersons and Rapporteurs, the duration and timing of the Consultation, the venue of the Consultation, the efficiency of logistical support, etc.

- The Executive Group will monitor how well the proceedings of the Consultation are recorded by the secretariat;
- The Executive Group will ensure that the conclusions of each Consultation day are properly captured and documented, and are fed into the summary reports which will be presented on the last day of the Consultation.



## Terms of Reference for the Secretariat

### **1. Background**

Using information contained in Sections A1 (the SCP Process), A2 (the Nature and Role of an SCP City Consultation, and Section B3 (Initiating and Following up Substantive Activities) write a couple of paragraphs which can provide background information on the SCP Process, the City Consultation and the particular role of the Secretariat.

### **2. Tasks**

#### **Task 1**

##### **Record Proceedings**

The main role of the Secretariat is collecting and documenting information pertaining to the City Consultation. Proper documentation of the proceedings of the Consultation is a crucial task. Video and photography are also important methods of recording the Consultation, and arrangements for these should also be made by the Secretariat.

#### **Task 2**

##### **Design a Structure for Recording Proceedings**

The Secretariat should devise a structure and mechanism for proper and efficient recording of the proceedings of the Consultation.

Once this is agreed upon, clear descriptions of the same should be written and printed in enough copies to be included in the Participant Manual. In addition, a member of the Secretariat team should make a brief announcement at the beginning of the Consultation, explaining how the proceedings of the Consultation will be recorded.

#### **Task 3**

##### **Collect Materials**

During a Consultation, there are always different types of materials that need to be collected by the Secretariat, and there should ALWAYS be one or two Secretariat members in the Plenary Sessions and in each Discussion Group to collect such materials.

The Secretariat Members will also assist the Facilitator in handing over (and collecting) the Summary Sheets to participants who would like to make contributions in the Plenary, so that they may write down their contributions in a few words before or after they speak.

In addition, the Secretariat will be responsible for collecting copies of all presentations, speeches and transparencies used in the Plenary and the Discussion Groups.

#### **Task 4**

##### **File Collected Materials**

As they are collected, all of these materials should be filed by the Secretariat. All documents should be filed by session to facilitate accessibility and writing up of the Consultation Report which will be organised by session.

The Secretariat must keep all original copies whenever possible. A copying system should be set up to ensure that original copies do not 'disappear' from the Secretariat files. Also, agree/decide before the Consultation on 'rules' regarding copying, as a number of requests from participants and media representatives for copies of documents will swamp the staff. This policy should be clearly defined and **WRITTEN DOWN** to avoid inconvenience.

### **Task 5**

#### **Handle the registration of participants**

The Secretariat should be well prepared to handle the registration of participants, in order to demonstrate that the Consultation is well organised and to avoid delaying the Opening Session.

The evening before the Consultation, everything required for registration should be ready; this includes:

- Participant Manuals
- Badges and table tags, arranged in alphabetical order
- Personal Data Forms in sufficient numbers
- Daily registration book

Examples and samples of all of the above appear in Part C Sections 5 and 8 respectively of this Source Book.

It is advisable to have at least three people at the registration counter. The counter should be wide enough to allow all the three to work simultaneously. Also, provision should be made for last-minute registration.

The Personal Data Form may be filled in immediately by the participants or given back to the Secretariat later. However, try to get all Personal Data Forms during the morning session.

The Secretariat should ensure that the Daily Registration Book is properly filled in each day by all participants.

The Secretariat will ensure that attendance of the Discussion Groups is properly recorded by giving the Discussion Group Registration Lists to the appropriate Chairpersons, and by collecting these Lists **before** the end of the Discussion Session. The Daily Registration List for the last day will be attached to the Consultation Declaration.

## Terms of Reference of the Conference Planner

### 1. Background

Using information contained in Sections A-1 (the SCP Process), A-2 (the Nature and Role of an SCP City Consultation, and Section B-3 (Initiating and Following up Substantive Activities) write a couple of paragraphs which can provide background information on the SCP Process, the City Consultation and the particular role of the Conference Planner.

### 2. Tasks

#### Task 1

##### **Establishing participant database and list**

The Conference Planner will assist the Project Team in creating a participant database and in generating and continuously updating the participant list.

#### Task 2

##### **Selecting and booking a venue for the Consultation**

The Conference Planner will be required to select a venue for the City Consultation. The venue chosen should be easily accessible and spacious enough to provide sitting accommodation for *(fill in here the number of expected participants)* participants. It should have suitable facilities for Discussion Groups to work separately and conveniently in a 'round table' meeting format.

The site chosen for the Consultation should reflect the importance of the event. The venue can be a hotel or a convention site with facilities appropriate to the level and sufficient for the size of the Consultation, keeping in mind the following:

- flexible rooms (with built-in partitions or dividers) are ideal, because they can be adjusted up to the last minute in case of unexpectedly higher turn-out;
- if flexible rooms are not available, it is better to book the one with SMALLEST SPACE POSSIBLE for the Plenary sessions. It is far better to have a smaller crowded room than a larger room left half empty.
- the venue should have at least one separate room for the Consultation Secretariat.

#### Task 3

##### **Setting up the Meeting Place**

The plenary room should be organised in a round-table format, with the head table AT THE SAME LEVEL as the rest of the tables. Around the centre, chairs can be built out in rows. In this way, to some degree, the level of involvement of participants can be defined by reserving seats for key participants.

A mobile microphone works nicely in such a set-up as it allows for maximum participation, and everyone can see the speaker.

For the Discussion Groups, sturdy partitions work well as they could also serve to post the cards on which participants note down their contributions.

#### **Task 4**

##### **Organising Coffee/Tea and Lunch Breaks**

It would be convenient if the management of the selected venue could provide coffee, snacks and lunch throughout the duration of the Consultation. If this is not possible, it should be arranged with experienced caterers in town to provide the service.

When arranging for the refreshments and lunch services and estimating the costs, it should be assumed that a higher number of participants will attend the opening and the closing days.

The Conference Planner must ensure that refreshments and lunch can be provided for a large number of participants in the shortest possible time, and with as little queuing and as much efficiency as possible.

#### **Task 5**

##### **Providing Equipment**

The following equipment should be provided and tested prior to the Consultation:

- microphone system (plenary sessions)
- projectors (slide and overhead) and screen (plenary sessions)
- TV and video cassette player
- pin-board and easels (2, each 1 metre by 1 metre per discussion group)

The Conference Planner should also ensure that banners are posted at vantage points in the city and at the Conference venue.

#### **Task 6**

##### **Producing the Participant Manual**

The Conference Planner will be required to produce the Participant Manual for the City Consultation. She/he has to liaise with the responsible member(s) of the Consultation Organising Team (COT) regarding the preparation of the Participant Manual, which will contain:

- Practical and administrative information
- Programme and Agenda
- Discussion Session instructions and Worksheets
- Participant List
- Background documents

## **Task 7**

### **Preparing the Consultation Package**

The Conference Planner will be required to prepare the Consultation Package which will be distributed to participants during registration. The Consultation Package will contain the following:

- Participant Manual
- Name tag
- Place-card
- Pen
- Notepad
- Contribution sheets

The above will be assembled in an orderly fashion in hand bags or folders which may be embellished with the title of the Consultation; the dates of the Consultation; and the title of the SCP project concerned.



## C3

# Explanatory Notes on Various Consultation Activities

### In This Section...

- Notes on Identifying, Contacting and Committing Participants
- Notes on Briefing Project Partners
- Notes on Facilitating a City Consultation
- Notes on Planning a Consultation Working Day
- Notes on Organising Discussion Groups
- Notes on Guiding Discussants
- Notes on Informing the Media and Press
- Notes on Preparing an SCP Consultation Report
- Table of Contents of the Consultation Report

## Notes on Identifying, Contacting and Committing Participants to the Consultation

Identifying and committing participants to the Consultation is one of the crucial issues the COT should attend to, during the preparation for the City Consultation. Real commitment of participants calls for informing and bringing on board potential participants well ahead of the Consultation. The identification of participants itself is not a one-off activity; the initial list drawn up by the COT is expected to be continuously updated and expanded as new names trickle through, during the contacts with those participants on the initial list.

It is imperative to make contact and liaise with potential participants on several occasions prior to the Consultation. By regularly informing (and thereby involving) them in the preparation of the Consultation itself, these contacts will serve to build a sense of ownership and to strengthen their commitment to participate in the Consultation. The possible occasions for briefing participants and the steps the COT may follow in inviting, informing and following up potential participants of the Consultation are outlined below:

### **1. Announcing the Consultation**

As soon as a date is set for the Consultation, send out an introductory letter to all potential participants. This should be no more than one page, with a general announcement about the Consultation to draw participants and get them thinking and talking about it. The letter should be followed by a telephone call to confirm whether participants are interested in, and available for the Consultation. Confirmations by telephone should be affirmed by a Confirmation letter, where any particular role a participant is expected to play during the Consultation will be specified (**see Section C-6: Sample Letters and Forms**).

### **2. Briefing Stakeholders during the Preparation of the City Environmental Profile**

While gathering information from the Project Partners, the consultant assisting the preparation of the Profile should brief the Project Partners with regard to the SCP Project and the Consultation. This briefing will include information about the SCP process and its principles, the role Project Partners are expected to play in the SCP activities, and the benefits they will experience as a result of this participation.

### **3. Sending out the City Environmental Profile**

When the Environmental Profile is complete, copies should be sent to all registered participants **immediately**. The more time they have to read through it, the more prepared and encouraged they will be to participate in the Consultation. As participants begin to read and discuss the Profile, word will spread and the COT may receive inquiries from other local and national stakeholders who might wish to be invited to the Consultation.

### **4. Sending out the information package**



Participants should receive their Information Package no later than two weeks before the Consultation. Among other things, the Information Package should include a **participant list, an overview of the Sustainable Cities Programme and the SCP Process, an overview of the city, an overview of the SCP City Project and an overview of the City Consultation** (see Section C5 for examples of such materials). If the City Environmental Profile has not been sent already, IT IS CRUCIAL to send it (the draft or annotated outline) as part of this Package. **(Note: Participants should receive this Information Package two weeks before the Consultation, so remember to account for mailing time when you send out).**

## Notes on Briefing Project Partners

To prepare for the briefing of Project Partners, read 'SCP Approach and Implementation', second edition, 1998. This publication describes the SCP approach and process, and illustrates how this approach and process have been applied in different cities. The reading will equip you with the basic concepts and principles of the SCP and will enable you to answer questions that might be raised, during your briefing sessions, with Project Partners.

A carefully organised and a well prepared meeting with a Project Partner will allow you to collect the required information for the Profile and at the same time to get her/his support for the SCP process.

The following guidelines will help to organise and focus briefing sessions with project partners.

1. Explain the objectives of the visit: (a) to collect information, (b) to brief the Project Partners on the SCP.
2. Explain how the information which you are collecting will be used to prepare the City Environmental Profile.
3. Explain the objectives of the Profile: (a) to establish a common base-line and source of information for all participants in the SCP Process, (b) to identify priority environmental issues, (c) to identify key actors and institutions to be involved, (d) to identify institutional issues. Also, explain that this Profile will serve as a background document for the Consultation.
4. Present the objectives of the Consultation:
  - To review and prioritise environmental issues;
  - To agree on the need for a partnership and a participatory approach for addressing environmental issues in the city;
  - To agree upon procedures and institutional arrangements for implementing the SCP Project;
  - To obtain a mandate to address key environmental issues within the framework of the SCP Project; and
  - To obtain a commitment from institutions, organisations and individuals to participate actively in the SCP Process.
5. Present activities which will take place after the Consultation:
  - establishment of Working Groups around priority environmental issues, and bringing together all those who may contribute to addressing the issue. These Working Groups will prepare strategies and action plans to address the issues. Action plans will be developed into capital investment packages and technical assistance projects;

- establishment of a Steering Committee to ensure the smooth functioning of the Working Groups (through access to information, representation of all concerned parties and interest groups, etc.) and to ensure political support for efficient implementation of decisions negotiated within the Working Groups;
  - establishment of a Technical Support Unit as the Secretariat of the Steering Committee and the Working Groups, to provide technical support (consultants, resources, etc.) to the Groups when required.
6. Explain in detail which role the Partner is expected to play in the process:
- To provide information and to share views and ideas, etc.;
  - To make use of the Profile after its completion and to contribute to its constant updating and improvement;
  - To participate actively in the City Consultation and contribute to the substantive discussion to be held on the priority issues and on institutional matters concerning environmental planning and management; and
  - To participate actively in the activities following the Consultation, by participating in the negotiation process for decision making leading to concrete actions, for example in terms of investment, regulations, institutional reforms and so on.
7. Explain why the partner should be interested in being part of this process (use one or several reasons from the following):
- The Partner is affected directly by the environmental issues addressed by the SCP Project. Therefore, participation in the process will ensure that these issues are addressed in a manner which takes into account the Partner's interests.
  - Options to address the issues (such as regulation) may have an impact on the Partner's activities, so it is in his/her best interests to be involved in the decision-making process. Furthermore, these options may provide incentives such as access to investment and tax exemption. Again, it is in the Partner's best interests to participate.
  - The Partner possesses valuable information and/or knowledge essential to a better understanding of the issue. In this case, the Partner could play an important role in addressing the issue.
  - The Partner controls one or several implementation instruments, such as legislation, economic incentive mechanisms, investments, or information/public awareness

tools. Using the full range of available instruments is essential to the successful implementation of decisions.

- Coordinating mechanisms provided by the Working Groups will allow the Partner to perform her/his normal duties in a more effective way, because these mechanisms enhance inter-sectoral cooperation and coordination.

Once a general briefing such as the above is given, the consultant(s) may give an opportunity to the Partner(s) to ask specific questions or to reflect on what has been presented as a briefing. It is often the case that, during the first encounter, the partner may not be able to thoroughly discuss everything that might have been discussed; she/he might need time to digest what has just been presented. It is therefore wise to make another appointment for further discussion or to encourage her/him to visit the project office at her/his convenience.

## Notes on Facilitating a City Consultation

### **1. Why Facilitation?**

- An SCP City Consultation is designed to stimulate interaction between participants: it brings together diverse groups of stakeholders from the public, private and popular sectors;
- An SCP City Consultation is not an Expert Meeting where knowledgeable people speak and others listen; the opinion and voice of every single stakeholder in the Consultation counts;
- An uninhibited participation at the City Consultation requires levelling of the field; participants are diverse also in terms of education and exposure levels and there is therefore a need to simplify issues and to facilitate communication among themselves;
- An SCP City Consultation has a sharp focus of issues and topics: maintaining the focus while encouraging discussion and interaction requires facilitation techniques that delicately combine the two;
- The expected results of an SCP City Consultation, which include a clear understanding of issues, possible avenues of solutions and serious commitment to the participatory approaches, will not suddenly emerge on the last day of the Consultation: they will evolve over the Consultation Days and therefore need to be extracted and articulated as the Consultation proceeds;
- The SCP City Consultation has a carefully designed structure and purpose: the linkages between the different sessions, and between the Discussion Groups and the Plenary, should be made clear to participants so as to enable the Consultation to proceed smoothly and effectively.

### **2. What abilities and qualities are expected of a Facilitator?**

A Facilitator is someone who has demonstrated or proven abilities to:

- apply simple and effective visualisation and moderation techniques (see number 7);
- listen carefully and capture or extract ideas;
- think and construct logical structures which allow contributions to be systematically captured;
- translate complex ideas and contributions into simple statements and conclusions;
- provoke and encourage people to talk and to contribute by providing, when necessary, positive feedback and emotional support which can be emulated by participants among themselves;
- gauge and follow the dynamics of the discussion and systematically lead to results;

- gear defensive, hostile and argumentative tendencies to positive and constructive dialogue;
- create a pleasant, informal atmosphere which will encourage free communication and friendly relations among participants.

### **3. What should a Facilitator Know to Facilitate an SCP City Consultation?**

Applying the facilitation skills and techniques to the SCP City Consultation context requires familiarisation with, or a thorough understanding of

- The Environmental Planning and Management (EPM) Process; (refer to the EPM Source Book)
- The SCP Process for implementing the EPM; (refer to the SCP Source Book Series)
- The purpose, structure and mechanics of an SCP City Consultation; (refer to SCP Source Book Volume 2 - this volume)
- The issues to be discussed in the City Consultation (refer to the Environmental Profile and Proposition Papers prepared for the City Consultation)

### **4. The Facilitator should be familiar with the Schedule and Flow of the Consultation**

Each day of the Consultation has a specific objective, focus and arrangement. The Facilitator should therefore have a clear understanding of the structure, purpose and schedule of each Consultation Day. This makes it possible for the Facilitator, together with the Project Leader, to map out a detailed outline of activities to serve as the guide for facilitating the Consultation. In developing this outline, the Facilitator should also be aware of the time budget for each of the activities. (Both the structure and purpose of each of the sessions and the generic time budget that can be allocated to the respective sessions are described in Part A of the SCP Source Book series Volume 2 - this volume).

### **5. The Discussion Group Approach: How Does it WORK?**

One of the purposes of the SCP City Consultation is to demonstrate how stakeholders representing different roles and interests can conduct discussions and work together in a Working Group. Three times during the SCP City Consultation, each lasting three to four hours, participants will have the opportunity to deliberate on specific issues or topics in smaller Discussion Groups. The whole process is carefully structured and facilitated using visualisation techniques and Worksheets. The following paragraphs highlight the key aspects of the support to, and facilitation of Discussion Groups during an SCP City Consultation.

## **5.1 Establishing Discussion Groups**

Participants at an SCP City Consultation work in small groups for a good part of the Consultation. The Discussion Group approach will be applied to sessions Three, Four and Five.

The Proposition Papers and Discussants' interventions taking place at the Plenary will provide a common understanding of the issue, and will flag out the themes that need to be further analysed and discussed in Discussion Groups. In other words, participants agree on a common structure or framework at the Plenary, on the basis of which they proceed to discuss in small groups.

Typically, each Discussion Group will consist of 10-15 participants. Where possible, each Discussion Group will have a balanced composition of participants, both in terms of sectoral diversity and functional role. One of the tasks of the Facilitator, together with the Consultation organisers, will be to manipulate the Participant List to ensure the right mix of people in each Discussion Group.

To provide effective technical support, and to kick-start the discussions, the Resource Persons, the project team and the Discussants will also be distributed among the different groups. In addition, each Discussion Group will have a Chairperson and a Rapporteur, whose tasks will be to facilitate and take notes of the group results respectively.

## **5.2 Facilitating Discussion Groups**

At the start of a Discussion Group session, participants will be provided with **Worksheets**. The Worksheets are a set of simple and straightforward questions carefully constructed to help participants think through the issue. The questions will force participants to focus and arrive at conclusions which can then be reported to the Plenary. Since the Worksheets are uniformly applied to all Discussion Groups, the results emerging from the discussion can also be easily compared, reconciled and aggregated at the Plenary.

Participants will also be provided with **cards and felt pens**. As participants go through the Worksheet and spend some time on each of the questions, contributions will start to come from each of the participants. The purpose of the card is for each participant to write down, **in two or three words or in a simple phrase**, what she/he contributed to the discussion. The cards will instantly be posted on the pin-board which will be mounted in each discussion group. The participants will be encouraged to place their own cards on the pin-boards where possible. If not, the Chairperson will do this with assistance from a member of the Project Team or a Resource Person, if there is one assigned to the group.

The statement cards from the participants will be placed on pin-boards to allow participants to visualise and work on them. Each participant will be allowed to contribute a maximum of three cards in order to avoid congestion of contributions on the pin-boards. As the process encourages contributions and free expression of thoughts, there could be duplications

or overlaps of contributions at this stage. There is nothing wrong with that.

Once all the cards are on the pin-boards, the next step is to sort them out by first eliminating cards which repeat already expressed ideas. When doing this, care must be taken not to hurt participants' feelings. All ideas contributed are considered by the contributor to be valuable. Sometimes the difference between different contributions could be that of articulation: some are sharply expressed while others are not. The group Chairperson should involve participants to determine which of the cards express the ideas best and should therefore remain on the pin-board. The rest of the cards should be removed from the board since the card left on the board captures the thoughts they represent. This process of filtering or sifting through cards will be explained to participants at the beginning of the session by the Chairperson or assigned Resource Person.

The next step is to scrutinise all the selected cards to determine whether they conform with the structure and questions set in the Worksheet. This will be done once again by shifting cards around and re-phrasing or rewriting them to sharpen expressions. New cards can also be added if new thoughts emerge (and they often do) in the process. Once consensus is obtained on all of the cards left on the pin-board, the Chairperson will make sure that they are all set under the proper categories or questions as defined in the Worksheet. Alternatively, the cards left on the pin-board can also be transferred to a new pin-board which should always be set aside with clearly labelled headings derived from the Worksheet. It is this final pin-board which will be taken to the Plenary to support the reporting of the group results at the Plenary.

## **6. Consolidating the Results of Discussion Groups: Facilitating the Plenary**

The outcome of the group discussions will be presented to the plenary by the respective rapporteurs. The pin-boards containing the end products of all the Discussion Groups will be lined up in the Plenary hall in such a way as to be visible to all participants in the Plenary. The pin-boards will also be arranged according to the sequence of reporting groups. In a situation where the different groups deal with different aspects or themes of an issue, the pin-boards will be lined up in a logical sequence of the issues or themes themselves. Rapporteurs present the results of the groups as they are exhibited on the pin-board - no more, no less. After the reporting, participants will be invited to discuss the results with a view to further improving and consolidating them.

The consolidation process is a step-by-step merging and shuffling of cards which will be facilitated by the Facilitator. The main aim of this process is to reconcile the results of the different groups and to build consensus around key conclusions agreed by all. The steps or activities involved in this process are the following:

- removing cards which duplicate ideas or which do not express them clearly and sharply; if necessary, the Plenary will be requested to re-phrase and/or rewrite the cards for clarity of expression;



- shifting the rest of the cards around to conform to the Worksheet structure;
- re-ordering or highlighting cards which capture the central focus or which call for immediate action or intervention by high level decision makers;
- obtaining agreement from participants on the final outcome of the exercise.

Also, during the reporting-back session of the Plenary, participants will be invited to query or challenge contributions resulting from the group discussions. Since the Consultation involves stakeholders of disparate interests and views, it is possible that certain proposals or contributions may become contentious or controversial. When such issues arise, the Facilitator will mark the cards bearing such issues with a 'flash' sign. Any issue marked with a flash sign will be further discussed or will be deferred for future discussion. The moderator will carefully and precisely note down the arguments behind controversial issues. Those arguments will be written down on larger-sized cards of different colours and will be pinned next to the 'flashed' cards.

But participants can also make additional contributions which can very well complement or improve existing contributions. In all cases, when participants make contributions or forward alternative options or contradict existing specific ideas, they will be requested to write them down on 'Contribution Sheets' or 'summary cards' which are different from the statement cards used in Discussion Groups. Information on the sheet will include the name of the contributor, and the date and time of the contribution to enable the Facilitator, and later the Consultation Report writers, to relate the contribution to the subject under discussion and to facilitate contact to follow up on the issue(s) raised by the contributor after the Consultation. The Contribution Sheets will be collected immediately after they are filled and will then be pinned on the pin-board beside the relevant cards generated in the Discussion Groups.

The last step in the process of summarisation and consolidation is to ensure that all the selected cards conform with the issues outlined in the Worksheet for Discussion Groups. This may be done by shifting cards around once again, re-phrasing or rewriting some of them and soliciting additional inputs to fill any gaps.

Later on, or on the spot as the Plenary discussion progresses, those cards on which all Discussion Groups have concurred, could be transferred to a new and clean pin-board with the same labels of headings. The new pin-board will now form the processed end result of the Discussion Groups or the end result of the day's session.

A similar consolidation exercise, which weaves together the results of all the Sessions, will take place during the **Summary Session** (the last day of the Consultation). During the Summary Session, the results of the previous sessions will be presented in their summary form. The pin-boards carrying the final results of each Session will also be lined up for the last time. The Facilitator's role in this Session is two-fold: **one**, to enable participants to refresh their memories of what has been achieved

or agreed in the previous sessions; and **two**, to generate commitment from participants to pursue the issues further after the Consultation.

Whereas during the previous Sessions the presentation in the Plenary was topic- or-group-specific, on the last day presentations will be session-specific and the aim of the Plenary discussion will be to weave together the results of the different sessions. The Facilitator will take participants through all the pin-boards which this time around are organised by Session, with the aim obtaining a re-confirmation on the conclusions agreed during the different sessions and more importantly to obtain a commitment from the relevant actors or stakeholders to carry the issues forward in the directions outlined by the City Consultation.

For this purpose, during the Summary Session the Facilitator will try to re-group the cards by the nature of interventions they require - political, institutional, managerial or technical - and by the level of interventions - local, regional and national - to allow stakeholders to associate themselves with the type of interventions or roles they can or wish to play during the post-Consultation phase of the process.

## **7. Some background on Visualisation Techniques**

The SCP City Consultation is facilitated using visualisation techniques. The visualisation methods applied at the SCP City Consultation are developed based on and adapted from ZOPP, a similar method developed and refined by the German Development Agency (GTZ). Its refined and simplified version is known as the 'Meta Plan'. Both the ZOPP and the Meta Plan processes follow the logical sequence of defining the problem; deriving the objectives; setting the activities required for attaining the objectives; analysing alternatives; setting verifiable indicators; identifying possible means and sources of verification and establishing the planning matrix for action.

In these methods, the use of cards is applied to capture all the ideas generated by the participants. Emphasis is placed on participation through contribution by all those who participate in the exercise. This method is particularly useful when developing or planning a project.

The methodology applied during the SCP City Consultation utilises elements of both the ZOPP and the Meta Plan Techniques. Although it is important that the Facilitator be conversant with the two methods, experience has shown that it is not necessary to be dogmatic in their application. The Facilitator must be flexible enough and should be aware that a lot of groundwork will have been done prior to the City Consultation. It should also be appreciated that neither ZOPP nor Meta Plan Techniques can bring the same level of results in a City Consultation with over a hundred participants of various backgrounds, as they do with small expert meetings and workshops. Moreover, such a Consultation which deals with cross-cutting issues of inter-disciplinary and multi-sectoral nature must out of necessity be approached differently. The conventional ZOPP in its strict form therefore has its limitations and should be applied cautiously and innovatively.

It has therefore been found appropriate to modify the ZOPP and Meta Plan approaches to suit the nature and purpose of the SCP City

Consultations. For example, the use of small Discussion Groups which will focus on specific issues or themes and which will be guided on the basis of carefully structured worksheets has proven successful in the case of the SCP City Consultations. The advance preparation of the Consultation, which among others include the preparation of Proposition Papers and the bilateral and sectoral stakeholder pre-Consultation meetings, have also permitted the gathering of information, the identification, clarification and better structuring of the problems, allowing some of the analytical steps outlined in the ZOPP method to be covered prior to the Consultation itself. Furthermore, the issue-specific Working Groups which in the SCP Project Design will be established after the Consultation to further analyse the issues and to develop strategies and action plans, will allow some of the steps in the ZOPP method to be deferred to a later stage in the SCP process.

In the SCP City Consultation, each participant's contribution(s) will be captured on a card. There are several types of cards used in the visualisation technique. For the SCP Consultation, only two types of statement cards will be used. The smaller ones measuring 10" by 4.5" and the larger ones measuring 20" by 4.5". The smaller cards are used for brain-storming during the group discussions. The larger cards are designed for making heading labels. The following rules apply in using the cards:

1. Only **one** idea is to be captured on **one** card;
2. The writing on the cards should be either in capital or lower case, but must be large enough to be visible from a distance of up to fourteen metres;
3. The ideas on the cards should be condensed into three lines or seven words only. The use of short phrases as opposed to full sentences is recommended. Catch-words have to be avoided as they are meaningless. The statement cards are prepared in different colours (white, pink, yellow, orange, green and grey) to allow different uses or categories.

## Notes on Planning a Consultation Working Day

Each Consultation Day has clear and specific objectives, and therefore has to be carefully and systematically planned. In planning a Consultation Day, the following steps can be applied:

### **1. Define the outputs of the Consultation Day**

Think of the goals that you want to achieve at the end of the Consultation Day. Refer to the Consultation Objectives described in Part A of this source book.

### **2. Design the Plenary Session with defined outputs in mind**

Presentations, interventions and discussions should be geared to the stated objectives and outputs of the Consultation Day, and therefore the relevance of each activity planned for the day should be gauged against those objectives and outputs. Where possible it will be ideal to involve the Facilitator in designing the Plenary. In all circumstances, however, the Facilitator should be thoroughly familiar with the rationale and logic behind the design of each Consultation Day.

### **3. Design the Discussion Worksheet**

Design worksheets for Discussion Groups, with a view to focusing the discussion on the key aspects of the theme. At the same time, make sure that the worksheets are carefully structured to allow systematic analysis and conclusion.

### **4. Prepare the Proposition Paper and Outline for Discussants**

Following the structure and focus which underpin the worksheets, define the type and scope of information participants need. These information needs will define the structure and scope of the Proposition Papers and the Discussants' interventions.

## Notes on Organising Discussion Groups

### **1. Establishing Discussion Groups**

The composition of the discussion groups in relation to each topic will be determined in advance based on the list of participants. The names of the respective Discussion Group members and the topics they are to address will be announced in the Plenary or will be posted outside the Plenary hall. The ideal size of a Discussion Group is ten to fifteen members.

In case some participants wish to join a group other than the one they are assigned to, the Facilitator will consider their wishes and where feasible, she/he may try to accommodate them in the groups they prefer to be in.

During the discussion, each member of the group will be encouraged to participate actively, and for this purpose proven participatory methods and visualisation techniques will be applied.

### **2. The Role of the Chairperson in Discussion Groups**

The Chairperson of each discussion group will be selected in advance by the Consultation Organising Team (COT) in Consultation with the Facilitator. After they are selected, they will be briefed on how to facilitate effective group discussions and will be introduced to the use of the visualisation techniques. Chairpersons will, among other reasons, be selected on the basis of their ability to create group dynamics and to involve every member of the group in the discussion. They will be strictly instructed not to dominate the discussions at the cost of the group members, or to allow a few outspoken members to dominate the discussions. In addition, it would be ideal if the Chairpersons had a good understanding of the topic or issues under discussion so as to provide effective guidance to the group.

### **3. The Role of the Rapporteur in Discussion Groups**

Rapporteurs of Discussion Groups can be either selected in advance or be selected in the groups themselves. In circumstances where Rapporteurs are not selected in advance, Discussion Groups should as a matter of priority select their respective Rapporteurs before moving into substantive discussion. The Rapporteur in a Discussion Group will be responsible for taking notes of the proceedings of the Discussion Groups she/he is assigned to, and for reporting back to the Plenary the highlights of the discussion and the results reached. At the Plenary, the Rapporteur, supported by other participants from the group, should also be able to respond to queries and comments from the floor.

### **4. Time allowed for Group Discussions**

The time allowed for group discussions will vary from one topic to another. In general the time allowed will be three hours spread over the morning and afternoon sessions. If participants wish, the lunch hour can be used to extend the group discussion time.

Notes on Guiding Discussants

Discussants do not present papers. They do not come to the Consultation with papers, but with talking points. They are representatives of stakeholders who are selected to respond to the different issue or topic-specific Proposition Papers or to reflect on an issue from **their perspectives**. They help to stimulate discussion and to flag out issues of concern from the perspectives of the different stakeholders. Discussants may choose to present provocative and/or dissenting views (as they relate to the Proposition Paper).

A Discussant's intervention should not be longer than 10 minutes. Discussants should not spend time on a personal or organisational introduction. Instead, they should proceed directly to the subject matter and remain focused.

Discussants should be selected from a wide range of sectors. For example, if the issue is 'Water Resources Management', Discussants could be selected as follows:

<b>Discussant</b>	<b>Focusing on ...</b>
Municipal Water Engineer	Operation and maintenance of water supply
Developer	Access to serviced land
Industrialist	Shortfall of water for industrial purposes
CBO from low-income area	Water pricing

In their interventions Discussants may wish to address the following questions.

1. What is your role in the socio-economic development of the city?
2. Why is (*the environmental issue*) of particular concern to you?
3. In order to improve the situation, what do you feel are the most critical constraints that will need to be overcome? Answer this question (as it applies) for each of the following:
  - technical/operational
  - institutional/managerial
  - political
4. What could you contribute with respect to the above interventions?
5. What would you require in order to be effective and enhance your contribution to addressing the issue (information, skills, resources, expertise, mandate, etc.)?

## Notes on Informing the Media and Press

The Media should be kept informed throughout the process of preparing the City Consultation. The key stages of the preparation which need to be relayed to the Media are outlined below.

By following the steps outlined below, the Organising Team can maintain a smooth and steady flow of communication with the media, and can ensure appropriate media coverage. This will aid in publicising the City Consultation and in raising public awareness. To aid you in your Media contact efforts and press releases, sample *Media Contact and Press Release Forms* are available in Section C7 of this Source Book.

### **1. Issuing a Press Release to announce the Consultation**

As soon as the date is set for the Consultation, send out a press release to all local and national media organisations, as well as key international media groups. This release should be only a few pages long, using precise and clear language.

### **2. Issuing a Press Release on completion of the Environmental Profile**

When the Environmental Profile is completed, a press release should be sent to all media contacts **immediately**. It should focus on the importance of the Profile to the city, the comprehensive and dynamic nature of the document, and some of the more provocative findings. As news of the Profile spreads, more interest may be generated for the Consultation.

### **4. Sending the Information Package to Media Contact Persons:**

No later than two weeks before the Consultation, participants will receive their Information Package. It may be useful to make this Package available to key media contact persons as well.

### **5. Keeping the Media Informed and Maintaining Constant Contact**

- As high-ranking officials are committed as participants in the Consultation, inform the media. This will encourage the Media to give high profile coverage to the Consultation and the SCP Project.
- Throughout the planning phase, encourage the local media to run feature stories related to the Consultation and the SCP Project. This will increase both visibility and public awareness.
- Keep an up-to-date file of all the media coverage on the Consultation and the SCP project. This record should include newspaper and magazine clippings, and tapes (whenever possible) or transcripts of video and radio pieces.
- Respond to all queries from the media. Even if you do not have an answer to a question, it is important to maintain a positive

relationship by letting the person know that you will get back to them with a response.



## Notes on Preparing an SCP Consultation Report

The Consultation Report will be organised by Session and its preparation is a team activity. The following will participate:

- The Secretariat will take minutes; the write-up of the minutes will be provided for authors of the report as inputs;
- The Resource Persons will write up the sections related to the respective sessions at which they presented Proposition papers;
- The Facilitator will write up the sections on the Opening, Summary and Closing Sessions;
- The Author of the Environmental Profile will write up the section related to the session on 'Reviewing and Prioritising Issues';
- The Task Manager assigned from the Project Team to coordinate the preparation of the Report, together with the Facilitator, will write up the 'Executive Summary', and will consolidate, edit and finalise the report for production and distribution.

The Report will be produced in two versions:

- A **Summary** version which highlights the presentations, discussions and conclusions of each Session, with a two-page executive summary at the front of the document and with copies of programme and participant list attached. This will be produced in sufficient copies to be distributed to all participants and other parties who may wish to have it.
- A **Comprehensive** version which, in addition to the above, will incorporate summaries of all presentations, transparencies projected during the Consultation and other materials of special interest. This will be a primary source document and will only be copied in limited numbers for internal project use.

## Table of Contents of the Consultation Report

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Appendix A - SCP Project Background

Appendix B - List of Participants by Institution

Appendix C - Programme of the Consultation

The Summary Report and the Comprehensive Consultation Report from Dar es Salaam, Tanzania; Ibadan, Nigeria; Ismailia, Egypt; Katowice, Poland; and Lusaka, Zambia are available on request from the SCP Core Team (Nairobi, Kenya).

## C4 Guidelines for preparing Proposition Papers

In this section...

- Guidelines for preparing Proposition Papers on Environmental Issues
- Guidelines for preparing Proposition Paper on Institutional Framework

## Guidelines for preparing Proposition Papers on Environmental Issues

**Introduction and basic message:** Deteriorating environmental conditions in and around the rapidly expanding, densifying city presents major obstacles to achieving sustainable growth. Give a little historical background on how the city has grown and developed, and how the present environment-development interactions have led to the priority issue that is to be discussed in this Proposition Paper. Highlight the future implications if the city's development continues along the same trend without the issue being satisfactorily addressed. Give recognition to efforts made so far, and underline the fact that in spite of such efforts the issue has not been effectively addressed.

Give a few more details about the problem and its impact, describing the main characteristics of the issue. This is an expanded summary of the Environmental Profile, which clarifies the problems faced by the various sectors and institutions that are involved in, affected by and are responsible for addressing the problem. Provide facts and figures that highlight the magnitude and trend of the problem, its geographic spread, and its impact on the various stakeholders.

**Current institutional arrangements and the way the issue being addressed:** Who is responsible for addressing the problems, demonstrating the wide variety of stakeholders involved, and highlighting past efforts (both successful and unsuccessful)? Give due credit to successes but also emphasise efforts which have not been very successful to draw attention to the need for inter-agency coordination for implementing actions. Emphasise the urban management problems being experienced, and that these agencies must be involved in discussing and prioritising the problems, identifying possible options and available resources and intervention instruments. This approach will foster a commitment to follow up and obtain those necessary resources and instruments, thus encouraging coordinated action.

Refresh readers and the audience with the aim of the Proposition - to inform, and to obtain their involvement and commitment so as to address issues through inter-sectoral coordination and inter-agency collaboration. It is not necessary to establish new institutions, but rather to put in place mechanisms (through working groups for example) that will better coordinate activities to avoid duplication, gaps, and agree on combined inputs to implement agreed actions.

**Justifications for a more resolute and coordinated action:** Try and define the socio-economic costs of inaction and of allowing the present urban management problems to continue: economic, social, environmental, health. Give examples of recent demonstrations of public concern to reinforce the priority nature of taking coordinated action.

**Lessons of experience:** Describe past efforts, give examples where projects have been developed (probably within agencies), but have faced implementation problems. Why has this happened? Emphasise the failures to do with the lack of coordination. If all those institutions that were required to take action had been involved in discussing the priority

problems and options and had agreed on the activities/resources necessary for action, would things not have proceeded in a more satisfactory manner? We need concrete examples here, not only of problems of implementation, but also of successes where there was better coordination. What mechanism were used?

**Need for an agreed strategy:** Emphasise that any strategy needs to take account of the available technical options and institutional responsibilities, and therefore we need to involve those key institutions that have responsibility and are affected by the problem. Refer back to the existing institutional arrangements to remind participants of the diversity of institutions (stakeholders) who need to be involved.

Give technical options that have been discussed as a means for alleviating the problems. Reference these to the past attempts and lessons of experience. Highlight the key institutions that need to be involved and their past attempts/attitudes to the options. Review the managerial and financial implications and possible availability of support to address the problems - these should be there as this is already prioritised as one of the top issues to be addressed.

Emphasise the need to adapt and expand coordinated interventions which will mobilise more stakeholders, add intervention instruments that can be coordinated in an agreed strategy, including new monitoring mechanisms. Give examples, where available, of recent/other coordination mechanisms. Emphasise the preference of coordinating the inputs/activities of the existing institutions through Working Groups.

**Immediate steps:** Make a clear Proposition Statement as to how you think these problems could be addressed in terms of available options, one or more of which could be chosen/combined into a **general** strategy of intervention, giving an introduction to the next (immediate) steps that could be taken by key institutions. This may be designed as a set of activity areas, much of which can be learned from other SCP cities, the aim being for **each** set of activity areas (**or strategy components**) to become the responsibility of a **single** Working Group. As collecting information, agreeing options and agreeing specific activities to address the problem will require the involvement of the **different** responsible institutions, we must identify those key institutions, and through the presentation of this Proposition Paper, encourage their active participation. The idea is to stimulate them to the extent that they **want** to be involved.

The Proposition Paper, if possible, could go further to suggest **immediate** intervention actions for each of the strategy components, which gives a sense of urgency and immediate action that each Working Group could follow up immediately after the City Consultation. These immediate (and long-term) actions would be the subject of detailed discussions by the **required** institutions (stakeholders) during Discussion Group meetings during the day, reporting back to the Plenary for an endorsement of actions to be undertaken immediately.

## Guidelines for preparing Proposition Paper on Institutional Framework

### 1. Introduction

Emphasise that:

- development failures are compounded by inadequate institutional performance that further worsen environmental problems and (especially) their impact on the poor.
- solutions cannot be found through *ad hoc*, sectorally-based projects. Give examples of poor implementation problems from the issue-specific proposition papers to reinforce this point.
- while hierarchy is important (give general background on the sequencing of policy from national to local, and how grassroots needs "feel" their way up), the multiplicity of functions complicates decision making. It is necessary to develop coordination mechanisms to improve efficiency and equity. Some principles emerge:

- Coordination is vital:
  - between national/state and state/local bodies
  - between stakeholder groups - public/private/popular
  - within government departments
  - over time
  - over space
- all stakeholders have a role to play; they have information, expertise, ideas, plans, proposals, resources and implementation instruments. However, failure to coordinate leads to duplication, contradictions and gaps, which not only wastes resources but immobilises decision making. Give examples from Proposition Papers and from your own practical experience;
- prioritisation is vital as resources are scarce;
- skilled human resources are limited and cost governments time and money to train;
- effective actions demand substantial investment (give examples from Proposition Papers re: total costs of proposals by issue) and this requires mobilisation of resources and innovative partnership approaches; government alone cannot be expected to solve the problem;
- incrementalism is vital and reflects the reality of how decisions are made. One-off large studies are too bulky information-wise (how to be informed), and capital-wise (it is necessary to prioritise the issues and integrate them into sectoral budgets). Combined with their time-bound nature, this contributes to their inertia and retards implementation.

Discuss how to prioritise at this late stage, highlighting the need to desegregate the proposals, which effectively means starting again. Various options exist, such as prioritising issues and components early on, through a Working Group interactive process. Moreover, decisions are made on politically important issues, so we must feed the existing mechanisms with better information, which is environmentally sensitive and faster, in order to effect better decisions. Over time, crisis management will be reduced, and through this process issues will start to be identified before costly and unmanageable emergencies arise.

Thus, the objective of improving institutional arrangements should focus on:

- mobilisation of information on an interactive exchange basis (EMIS);
- prioritising issues with high level political support, recognising resource constraints;
- defining implementation-oriented intervention strategies with simple targeted components;
- preparing, negotiating and agreeing institution specific Action Plans, combining activities over time;
- agreeing pragmatic activities in an Action Plan;
- coordinating Action Plan implementation between different institutions or stakeholders;
- integrating and refining the various strategies and Action Plans into an interactive and dynamic Strategic Environmental Management Framework;
- monitoring, refining and institutionalising the process.

## **2. Existing Situation**

Describe the existing institutional framework (in relation to the issues to be discussed at the Consultation). Be comprehensive in your description: consider the different levels of government, sectors and stakeholders. Assess the strengths and weaknesses of the existing framework using the principles drawn under number (1) above.

- Summarise the responsibilities, duplications, conflicts, and gaps between the different levels of Government (highlight existing structures, mandates and relationships pertaining to the two demonstration priority issues to be discussed at the Consultation)
- Describe existing coordination mechanisms. Assess their effectiveness, highlight the need for a new approach with Working Groups; show the need for effective mechanism, not for a new layer or ivory tower

- Highlight the Strategic 'Power Points'. Identify who is and should remain central to any coordination mechanism
- Demonstrate that existing mechanisms are not conducive to effective and efficient urban management. Use overlay diagrams to punch points home. The future only looks bleaker.
- Emphasise that the utilisation of natural resources is shared among competing users and is thus affected by the activities of a wide variety of actors at different levels of government, sectors, and geographic locations, who take decisions over time outside government. In turn, they are affected by the resulting quality and quantity of resources available as well as being constrained by hazards.
- Successful urban management requires negotiated agreements between public, private and popular sectors.

### **3. Towards an Effective Institutional Framework**

- Review past efforts, using (whenever possible) examples from the issue-specific Proposition Papers to demonstrate failures in trying to establish new institutions.
- Evaluate those attempts with regard to improving access to resources, prioritising actions, coordinating interventions, and effectively implementing the agreed actions.
- Link the above analysis to improving policy formulation, coordination and implementation.
- Identify possible discussants to present their experiences
- Review alternative efforts already made to introduce mechanisms within existing structures. Draw out lessons of experience to reinforce the proposition, as well as to assist in fine tuning the proposed institutional structure.

### **4. The Proposition**

- Give an overview of the proposed institutional arrangements; define the main components and coordination arrangements.
- Highlight how this could be better than introducing new institutions and how it has benefited from the lessons of experience of past efforts to set up better coordination mechanisms.

#### **Emphasise key strategies:**

- to improve the ability of institutions (public, private, popular) to access information, understand and analyse the complex inter-relationships of environmental issues; and incorporate their findings into their sectoral and organisational work plans. We are



not proposing a competing institution. Components should be anchored in the most responsible, active and effective institution.

- to develop the city's capacity and ability to convert strategies to pragmatic action plans that commit responsible institutions to follow up. In this way we create a sense of ownership, commitment and resolve for follow-up action.
- to introduce the opportunity for a broad-based participatory approach, integrating other stakeholders into the process to utilise their positive contributions.

All of these are based on a recognition of the need to improve coordination mechanisms, with concurrent political and administrative resolve, as opposed to creating new institutions which become inactive over time. Working Groups are less costly and act as catalysts for local capacity building and institutional strengthening.

## **5. The Role of the SCP Project in promoting the above**

Describe the project framework and show how it can serve as the vehicle for effectively addressing the issues and promoting coordination between the different stakeholders:

**At issue-specific working group level** - they bring together stakeholders who possess information and expertise, who are involved in policy and plan formulation and who control implementation instruments. They

- clarify issues
- agree on common strategies to address issues
- prepare and implement action plans

**At coordinating groups level** - they bring together key actors from issue-specific Working Groups and their coordinators. The coordinating group will be instrumental in

- reconciling issue-specific strategies
- preparing a city-wide strategic development management framework
- addressing fundamental institutional issues which affect all issue-specific Working Groups

**At steering committee level** - it brings together key political actors and decision makers to

- ensure proper functioning of the project structure
- ensure access to necessary resources
- ensure the necessary political support

The above will be supported by a small professional technical support unit which will provide the necessary expertise inputs and secretarial and logistical services.

## C5 Examples

In this section...

- City overview - Lusaka
- Overview of the Global Sustainable Cities Programme (SCP)
- Sustainable City Project overview - Lusaka
- City Consultation Overview - Lusaka
- City Consultation Programme - Lusaka
- Welcoming and Opening Speeches - Dar es Salaam
- Participant Manual (structure) - Lusaka
- Summary Proposition Papers - Lusaka
- City Consultation Declaration - Dar es Salaam

## City Overview - Lusaka

Lusaka, the capital city of the Republic of Zambia, is located on the Central African Plateau, at an altitude of 1280m above sea level. Built on a nearly flat terrain in a geographical setting which comprises a basement complex of granites, gneisses and quartzite and overlain by limestones and dolomites, Lusaka's location provides the city with a reliable source of safe water and construction materials. Like the rest of Zambia, it enjoys fair seasons with an average rainfall of 813mm and maximum temperatures of 28.9°C and average minimum temperature of 9.6°C. The city's high elevation, combined with fresh easterly winds, impart a pleasant and healthy climate for most of the year.

Real growth and development in Lusaka began in 1905 with the development of the railway system. However, it was the selection of Lusaka as the site of a capital for the then British colony of Northern Rhodesia in the 1930s that propelled its development into the metropolis it is today. Designed as a 'Garden City' under its master plan, Lusaka has historically had master plans as guides for development and growth.

The city of Lusaka is administered by a council comprising a Mayor assisted by a Deputy Mayor, both elected by Councillors who represent 30 wards of the city. The administration is supported by a management team comprising seven directorates: the office of the Town Clerk, the Directorates of Administration, Housing and Social Services, Finance, City Planning, Public Health, Legal and Engineering Services.

With a population of 769,400 (CSO, 1990) Lusaka is home to 13% of the national total. *Economically*, Lusaka as a province leads the nation in the growing of flowers (84%) and potatoes (48%). In manufacturing, the province provides 41% of the total national employment and 37% of its establishments, while in animal husbandry, the province leads in pig and poultry rearing. While the overall unemployment rate in 1990 was 13.6% against 31.2% in 1980, under-employment is believed to be rampant as reflected by the sudden growth in informal, small-scale trading activities, and the substantial proportion who are economically inactive either because of learning/apprenticeship (37%) or home-making (40%).

The city's *infrastructure* services include a fairly well developed transportation network, comprising 1600km of road network, (850km tarred); a railway line which forms part of the national system, a commuter train service; one international airport, and a city airport. Its *public utilities* comprise reticulated water supply and sewerage systems, both of which are managed by the Lusaka Water and Sewerage Company (LWSC). Electricity based on hydroelectric power is supplied by the Zambia Electricity Supply Corporation (ZESCO), while telephone and postal services are provided by Zamtel and Zampost respectively.

A well developed *health service*, which is currently undergoing reform, provides Lusaka with 35 government-run health institutions, with 134 additional registered private clinics. *Shopping facilities* exist in the CBD and in the neighbouring centres, and new shopping malls are springing up in most prime residential areas. *Communication facilities*, comprising the electronic and print media, include the nation's sound and television

broadcasting stations run by Zambia National Broadcasting Corporation, two private radio stations and a private subscriber-television vendor. Three mass-circulation daily newspapers, the "Daily Mail", the "Times of Zambia" and the "Post", and a number of weeklies are published. A wide variety of *cultural and recreational facilities*, both indoor and outdoor, are available in the city. However most of these facilities are not available in the peri-urban areas where the majority of the population lives.

Environmental issues of immediate concern in Lusaka as identified in the Environmental Profile (Agymang et al, 1997) include;

- poor and inadequate solid waste management;
- inadequate and unsafe water supply and poor sanitation;
- an unattractive and congested Central Business District (CBD);
- poor and inadequate housing;
- an increase in crime and urban violence;
- increasing poverty and social inequity.

To reduce the magnitude of these problems, a number of local and international Non-Governmental Organisations (NGOs) and Community Based Organisations (CBOs) are undertaking projects in the city.

Environmental resource systems, both in their natural state and when managed for production, provide vital products and services in urban areas. Sixteen development sectors considered to be key for sustained urban development and socio-economic life of the city can be isolated in Lusaka. These are: Water Supply; Solid and Liquid Waste Management system; Drainage and Flood Control; Transportation; Telecommunications; Energy; Industry and Commerce; Mining and Quarrying; Small Scale Enterprises; Urban Agriculture and Fisheries; Forestry; Housing; Education; Recreation and Tourism; and Health.

Common to all these activity sectors are the problems of:

- (i) the adverse impact of increasing demands from competing interests for the diminishing resource base;
- (ii) the multiplicity of actors involved in providing or administering the services, often resulting in a clash of interests, and therefore ineffective implementation of policies;
- (iii) lack of financial, human and other material capacities, and especially of reliable and adequate information, to deal with these and other issues of environmental concern.

Apart from the threat of depletion of its natural resource base, Lusaka is also afflicted by two other environmental hazards, namely:

- (i) flooding due to the almost flat terrain and the permanently high water table, which make rainwater run-off or permeation almost impossible;
- (ii) poor public health sanitation and waste management, but perhaps more from the low level of the public's own perception of the need for clean and healthy surroundings.

The management of these resources and hazards is widely scattered among a number of authorities with differing priorities and programmes, often leading to conflicts and even total inaction.

The management arrangements for all the city's activity sectors described above fall under either public, local government, formal private or popular agencies. Their functions are variously in the form of information and technical support, policy coordination, policy implementation, or strengthening the managerial capacity of the council. Traditionally most of these agencies use top-down techniques in their dealings with the sectors, making coordination and public participation in development planning and execution difficult.

The other approach, the bottom-up approach favoured by NGOS, CBOs and the now-evolving Area Resident Development Committees, guarantees full community interest and involvement.

Further, the Lusaka City Council is incapable of effectively coordinating the activities of the various actors, especially the public agencies, because many are not obliged by law to submit their development projects to the council's town planning machinery for scrutiny and approval. All this may be changing with the establishment of a full Department of City Planning, and the on-going Local Government Support Programme (LOGOSP) of the Ministry of Local Government and Housing.

It is also hoped that the Sustainable Lusaka Programme is going to further assist the Lusaka City Council in improving the development trend of the city. The city is not beyond redemption.

## Overview of the Global Sustainable Cities Programme (SCP)

**The Sustainable Cities Programme (SCP)** is a major global initiative of the United Nations which addresses the environmental concerns of cities. Launched in August 1990 as a follow-up to the UNCHS/Habitat documents *Environmental Guidelines for Settlements Planning and Management*, and in response to the repeated calls of the Commission on Human Settlements and the Governing Council of UNEP for more effective collaboration between the two Nairobi-based agencies, the SCP has been mandated by the United Nations to implement 'Agenda 21' and is at present working with a dozen local governments world wide. The SCP is a programme of the United Nations Centre for Human Settlements (Habitat) and, in order to cope with the growing demand, is a joint Habitat/UNEP facility, utilising the complementary skills of the two organisations.

There is a general recognition that cities are fundamental to economic development, generating over half of GNP even in countries where the majority of the population is engaged in agriculture. However, it is easy to see growing cities as problems, as the environmental conditions they confront are all too evident - piles of rotting refuse, polluted lakes and rivers, air pollution, impassable roads, inadequate sanitation and houses collapsing as a result of flooding and erosion. These problems have two related results:

- they impose significant economic costs on development, reducing the competitiveness of the City's and Nation's economy;
- they cause serious health risks, particularly to the low-income majority.

Many cities are unable to manage the environment wisely as a resource, leading to immediate problems and creating fundamental problems for the future, as natural resources are permanently damaged. This failure of environmental management is hardly surprising, particularly in developing countries where cities are growing at an unprecedented pace, outstripping existing capacities and approaches. This is more evident where conventional city management tools such as master plans have ceased to be effective.

The **SCP** seeks to strengthen the capacity of cities to undertake Environmental Planning and Management (EPM) to enable them to manage natural resources and to control environmental hazards. It is initially being introduced on a demonstration basis in 10 cities world-wide in two phases. The first phase cities are Dar es Salaam (Tanzania), Ismailia (Egypt), Concepcion (Chile), Madras (India) and Katowice (Poland). The concept and approaches underlying the SCP have evolved from the experiences of the above cities.

**The SCP methodology** is a significant advance in environmental management in that it views the environment as a resource to be managed sustainably for the benefit of the city. "Sustainability" means that resources will continue to be available on an economically viable and renewable basis as a result of improved environmental management. The approach recognises that environmental planning can

only be taken with the full participation of those with a vested interest - the “Stakeholders”. Stakeholders have a variety of interests. For example residents want clean water, sanitation, refuse collected and improved health; fishermen want unpolluted water to protect fish stocks; businesses need access to cheap natural resources both as inputs (for example stone and timber for the construction industry) and for waste disposal.

The competing demands upon the environment by various stakeholders must be resolved to enable strategies to be agreed. The SCP provides city managers with an approach which resolves potential conflict between the various stakeholders centred on particular issues. This results not only in agreed environmental strategies but also in action plans with commitments by actors in the public, private and community sectors. The SCP is pragmatic in that it encompasses processes in the real world where economic vested interests and the political process have considerable influence on resource use and environmental management.

**Issues addressed by the SCP** describes the two-way relationship between economic development and the natural environment. Development can have a profound impact on the environment. For instance water supply in urban development can cause environmental problems by causing salinity and by depleting rivers and lakes which have other uses, such as fisheries.

At the same time progress is threatened by environmental hazards such as floods, unstable slopes, earthquakes, cyclones, erosion and health risks. Clearly some of these hazards do not result directly from development activities; cyclones and earthquakes have “natural” causes although risks can be reduced through appropriate planning. Others are largely man-made as, for example, poor agricultural and forestry practices can cause floods and unplanned urban development can exacerbate unstable slopes with resulting landslides. There are also conflicts between:

- the combined demands for a resource and its availability;
- the vulnerability of environmental systems, the impact from development activities; and
- competition between the various actors in placing demands upon a resource (for example fisheries wanting fresh water, water authorities creating reservoirs and some industries dumping wastes. Thence there is an interaction between natural resources, environmental hazards and stakeholder).

**SCP management approaches** assess the limitations of conventional tools for urban planning and management such as the lack of departmental and institutional coordination to enable cross-cutting environmental issues to be tackled. The SCP coordinates a number of actors: those whose interests are affected, those who have the means or instruments to tackle environmental problems, and those who have relevant information and expertise.

The SCP also coordinates between sectors: the private sector, the community or popular sector, between levels of government and with the public sector. Spatial coordination is also essential as environmental problems do not always, for example, respect local authority boundaries or jurisdictions of utility companies. Finally, coordination is required



over time so that consequences of actions taken today can be incorporated into future planning.

The result of the participation and coordination process is agreed strategies. To ensure effective implementation they must closely involve three main levels of organisation: the technical level, the administrative level and the political or policy level.

The introduction of SCP/EPM into each city is a demonstration and can be repeated in other cities in the same country and in other cities within the region. Expertise development in the demonstration cities becomes available for replication so that the emphasis throughout the Programme is on using local expertise from the public, private and community sectors.

**The SCP has developed a process** which begins with preparation of an Environmental Profile which provides baseline information on the environment and the related institutional framework. This is followed by a City Consultation where the stakeholders, technical experts and other actors come together for a 4 to 5-day meeting to identify and prioritise key issues and commit themselves to the process to be followed in tackling them.

Working Groups are then formed around each issue, for example solid waste or planning of informal settlements. These Working Groups, which are permanent and fundamental components of the Environmental Planning and Management process, are made up of stakeholders and technical experts and it is their outputs, “issue strategies”, which together form an environmental management strategy for the city. This is converted into an Action Plan where it is determined how the strategy will be implemented and by whom. The various Working Groups are coordinated to ensure there is no overlap. There is also an overall steering committee which has as its main task mobilisation of political, financial and administrative support for implementation of the strategy. Decisions are essentially bottom-up and already have wide support as they all result from decisions reached by stakeholders resolving their conflicts on each issue.

Investments are identified within the Action Plan and investment packages prepared to be funded by a variety of agencies including donor agencies and local, public and private institutions. Thus, the broad-based participatory process of EPM leads to specific investments which tackle problems such as environmental health, poor sanitation, air and water pollution and so on. The solutions are comprehensive in that they include technical and institutional considerations based on consensus - they are the decisions of the community and are not imposed upon them.

The results of these approaches are becoming evident in the first phase cities. In Dar es Salaam the SCP has rekindled the interest of potential investors as they see a credible management structure being established which is generating sound proposals. External donors are able to fund projects which have a catalytic effect and attract local investment.

## Sustainable City Project Overview - Lusaka

### Framework

In November 1994, the Government of the Republic of Zambia, through the Ministry of Local Government and Housing, asked to participate in the SCP. Subsequently a UNCHS/Habitat identification mission took place in March 1995. Since November 1995 the preparatory activities and formulation of the Sustainable Lusaka Programme (SLP) have been in process.

The SLP forms the Environmental Planning and Management component of the “**National Urban and Peri-Urban Settlements Management Programme ZAM/941003**” signed on 3rd August, 1995, between the Zambian Government and United Nations Development Programme (UNDP), Lusaka. The SLP will be executed by the United Nations Centre for Human Settlements/Habitat and local key partners such as the Community Participation and Training Programme, the National Housing Programme, the Local Government Support Project (LOGOSP), Irish Development Assistance, Care International, Peri-Urban Self Help (PUSH), etc., in joint action with UNDP as part of the global Sustainable Cities Programme.

Lusaka is the Capital City of the Republic of Zambia and is located in the South Eastern part of the country. It is estimated that at least 13% of Zambia's population live in the urban centre of Lusaka with a continued high population growth rate. Like many other urban cities of Africa, Lusaka is faced by environmental problems which include air and water pollution, insufficient water resources, ineffective solid waste management, undeveloped water borne sanitation systems, traffic congestion, open area quarrying and limited urban planning capacities. The perennial outbreaks of diseases like cholera are constant reminders of the presence of some of these problems in Lusaka.

Sustainable Lusaka Programme (SLP) will therefore support a long-term sustained growth and development of Lusaka through an integration of environmental planning with economic development and poverty reduction.

The programme will involve all main stakeholders of Lusaka in formulation and implementation of issue-specific environmental strategies and action plans. Throughout its execution, a systematic effort will be undertaken to institutionalise the Programme within Lusaka City Council, thus strengthening its capacity in environmental planning and management. Based on the experiences from Lusaka, a strategy for replication to other towns in Zambia will be formulated.

### General Scheme of SLP - Implementation

- (i) **Assessment and Start-up Phase (9 - 12 months)**
  - intensive consultations with stakeholders
  - production of the City Environmental Profile
  - City Consultation
  - formation of Issue-Specific Working Groups

**(ii) Strategy, Action Planning and Implementation Phase (15 - 21 months)**

Institutional strengthening and capacity building during this phase will be implemented through the following:

- issue-specific working groups (consisting of stakeholders from public, private and community sectors) prepare and negotiate issue-specific strategies
- co-ordination of overall environmental management and poverty reduction strategies
- agreeing on environmental and poverty reduction action plans.
- implementation of neighbourhood demonstration activities
- consultation with potential funding sources.

**(iii) Follow-up and Consolidation Phase (6 - 12 months)**

This phase will constitute of:

- preparation of neighbourhood replicable projects and technical assistance packages.
- continuation and systematic strengthening and institutionalisation of the environmental planning and management process and capacities
- formulation of strategies for national replication of the EPM approach.

## City Consultation Overview - Lusaka

The Consultation overview serves to familiarise you with the structure of the Consultation, that is, the overall goals, schedule and proceedings.

The City Consultation is a five-day workshop which allows representatives of all stakeholders in the city, whose involvement is required, to agree upon a *modus operandi* for an improved Lusaka City management process through a Sustainable Lusaka Programme.

In particular, the Consultation will determine specific roles and expectations of Working Groups during the project period. A specific process to address new issues is agreed, the roles of the Project Team and the Steering Committee are clarified and the required resources identified.

The Consultation is convened in order to achieve the following objectives:

1. To review and expand upon the most pressing environmental issues identified in the city Environmental Profile which affect the growth and development of the city. With representatives from all sectors of the city participating in these discussions, the Sustainable Lusaka Programme (SLP) project will obtain a clear mandate for areas of intervention.
2. To bring together key actors in order that they may develop and agree, jointly, to the need for an improved city management process that focuses on an enabling strategy, rather than a providing strategy. The enabling strategy will cut across sectors and between levels of government, and it will integrate them with the private and community-based sectors in a partnership of actors, specifically involving women, urban poor and marginalised groups. This Consultation will instil in all of the actors a strong sense of ownership, and a commitment to the objectives and operational procedures of the SLP.
3. To demonstrate – through two priority environmental issues – one method of defining:
  - environmental concerns at the operational, institutional, managerial and political levels;
  - the key actors who will be involved; and
  - the methodology to establish Working Groups to address remaining and future priority environmental issues.
4. To agree upon an appropriate institutional capacity building structure for the SLP – one that integrates it within existing organisational procedures. This will also help to demonstrate what and how the necessary resources can be brought together to address the issues, particularly the political support that may be required to ensure successful project implementation.

The City Consultation is not meant to offer ready-made solutions, but to foster productive discussions among those concerned with and

responsible for urban environmental management. It is designed to identify issues that deserve attention, explore and debate them with a series of Proposition Papers, through discussion groups and Plenary sessions. In so doing, the Consultation will define the priority areas of immediate SLP activities, and it will lay the participatory foundation for the next stage of the project, and for sustained city environmental planning and management. Proposition Papers will further illustrate the link between environment and poverty. This is with the realisation that the urban poor are affected disproportionately by a rapidly deteriorating environment, and that their survival is strongly linked to the exploitation of environmental resources around them.

The workshop has been structured to allow for maximum participation in the daily proceedings and each day will work to achieve one of the objectives above.

Consultation on Urban Environmental Issues			Programme
Day 1	am pm	Opening Presentation and Plenary Session	<b>Opening and Overview of Environmental Issues</b>
Day 2	am pm	Presentation and Plenary Session Working Session Working Session Plenary Session	<b>Solid Waste Management, Safe Water Supply and Sanitation</b>
Day 3	am pm	Presentation and Plenary Session Working Session Working Session Plenary Session	<b>Environmental Quality of Lusaka Central Business District</b>
Day 4	am pm	Presentation and Plenary Session Working Session Working Session Plenary Session	<b>Institutional Development Management Arrangements</b>
Day 5	am pm	Summary Presentations Plenary Session Plenary Session Closing	<b>Conclusions and Closing of the workshop</b>

**Day 1:** This is the opening day of the City Consultation and deals broadly with the environmental profile of Greater Lusaka Area. A city overview and that of the global Sustainable Cities Programme will be highlighted. A brief project profile will also be presented.

In addition there will be presentations highlighting critical environmental issues by key stakeholders from their point of view. These represent a diverse category and background of sectors within the city of Lusaka.

**Day 2:** The first demonstration issue on Solid Waste Management, Adequacy of Safe Water Supply and Sanitation will be presented on this day. The Proposition Paper will be followed by a poverty assessment of the issue and discussant responses. These presentations will form the basis for debate in group discussions in order to establish common ground on the issue among the stakeholders.

**Day 3:** The second demonstration issue on the Environmental Quality of the Lusaka Central Business District (CBD) will be introduced. Proposition paper presentation of the issue will be followed by a poverty

assessment and discussant responses. These will set the tone for debate in group discussions in order to establish common ground on the issue among stakeholders.

**Day 4:** The fourth day will deal with the institutional framework required to address identified critical concerns. The proposition paper will be presented to analyse existing institutional development management arrangements and point to the need for a better coordinated framework which would improve the environmental concerns of Solid Waste Management, Water Supply and Planning of the Central Business District (CBD). The presentation will be followed by group discussions.

**Day 5:** The fifth day will deal with presentation and discussion of Consultation conclusions and closing of the workshop. Summaries of proposition papers will then be presented, to be followed by a discussion to reach a consensus on key environmental issues that the project should address and to synthesise Consultation results.

A Consultation Declaration will be prepared by participants' representatives for adoption in order to commit the stakeholders in general to work towards a common ground in addressing environmental issues affecting the City of Lusaka.

The official closing will be preceded by a presentation on the follow-up to the Consultation and a general overview of the Consultation itself.

### **Group Discussion Methodology**

Group discussions will use a visualisation method which ensures maximum participation in the proceedings. The workshop will adopt a problem-solving and decision making model which proceeds from collective problem identification and definition, analysis of causes of problems and generation of solutions and action planning for implementation of the adopted City Consultation Declaration.

## City Consultation Programme - Lusaka

**Managing the Sustainable Growth and Development of Lusaka: City Consultation on Environmental Issues**

Day 1	<b>Opening of the Workshop The Environmental Profile of Lusaka</b>	Wednesday 19th March 1997
8:30	Registration Chairperson: <i>Hon. Bernard Mpundu, MP, Deputy Minister MLGH</i>	
9:30	Participants take seats	
9:45	Arrival of Permanent Secretaries, UNDP Resident Representatives, Deputy Ministers, Ministers and other dignitaries	
10:00	Arrival of the Guest of Honour	
10:05	Welcome Address by: <i>His Worship the Mayor of the City of Lusaka</i> Address by: <i>UNDP Resident Representative, Mr. Gary Davis</i> Address by: <i>Hon. Bennie H.W. Mwiinga, MP, Minister, MLGH</i> Official Opening by the Guest of Honour Vote of thanks by UNCHS/Habitat representative: <i>Ms. Axumite Gebre-Egziabher, HSA</i>	
11:30	Refreshments	
12:00	Chairperson: <i>Dr. GAC Khonje, Commissioner, Town Planning, MLGH</i> City Overview: <i>Mr. Fisho Mwale, His Worship the Mayor</i>	
12:10	Global Overview of Sustainable Cities: <i>Jochen Eigen, Coordinator of the Sustainable Cities Programme</i>	
12:20	(SCP) Project Overview: <i>Mr. Francis Muwowo, Project Manager, Sustainable Lusaka Programme (SLP)</i>	
12:30	Workshop Consultation Overview: <i>Mr. V. Mwanza, Workshop Moderator</i>	
12:40	Lunch Break	
14:00	Chairperson: <i>Dr. L Mukuka, Lecturer, Social Development Studies, UNZA</i> <b>Address on Critical Environmental Issues by key stakeholders</b>	
14:20	1. Ministry of Local Government & Housing <i>Dr. GAC Khonje</i>	
14:30	2. Environmental Council of Zambia <i>Mr. Lloyd Thole</i>	
14:40	3. Lusaka Chamber of Commerce & Industry <i>Mr. Mark O'Donnel</i>	
14:50	4. Vendors & Self Help Association <i>Mr. Stanley Jere</i>	
15:00	5. Lusaka Water & Sewerage <i>Mr. Henry Mtine</i>	
15:10	6. Road Traffic Department <i>Mr. John Chipuwa</i>	
15:20	7. Resident Development Committee <i>Mr. Fernard Chisanga</i>	
15:30	8. Lusaka City Council PHD <i>Dr. Chibesa Wamulume</i>	
15:40	9. Poverty Assessment in Lusaka <i>Ms. Gertrude Ngenda</i>	
15:50	10. The Media <i>Ms. Diana Phiri</i>	
16:00	Refreshment Break	
16:15	Plenary Session	
17:00	END OF DAY: Workshop Moderator	

Day 2	<b>Solid Waste Management, Safe Water Supply and Sanitation</b>
8:30	Registration
9:00	Chairperson: <i>Dr. C Wamulume, Director of Public Health, LCC</i> Resource Person: <i>Dr. MJ Tambatamba</i>
9:05	Presentation of Proposition on: Solid Waste Management, Safe Water Supply and Sanitation
9:35	Presentation of Poverty Assessment Paper by: <i>Dr. Frederick Mutesa</i> Presentation of Discussion Papers by:
9.50	1. Management of Solid Waste in Lusaka <i>Mrs. P.B. Muleya</i>
10.00	2. Minimisation and disposal of Solid Waste <i>Mr. P. Zulu</i>
10.10	3. Water Supply and Sanitation <i>Mr. E.G.K. Nyirenda</i>
10:15	Coffee/Tea Break
10:30	Plenary Session (questions and comments)
11:00	Working Session: Formation of Working Groups and Specification of procedures to be followed by Workshop Moderator.
11:15	Discussion Session in five different Working Groups 1. Inadequate Solid Waste Management in the Central Business District, Suburbs and Markets. 2. Minimisation of Solid Waste (through recycling and composting) 3. Inadequate Water Supply - in extent and quality 4. Inefficient liquid waste management in disposal and treatment 5. On-site sanitation
12:30	Lunch Break
14:00	Discussion Group Session
15:30	Refreshment Break
15:50	Plenary Session
17:00	END OF DAY: Workshop Moderator



Day 3	<b>Environmental Quality of the Lusaka Central Business District</b>
8:30	Registration
9:00	Chairperson: <i>Mr. W. Lungu, Director of Engineering Services</i> Resource Person: <i>Mr. Wedex Llunga</i>
9:05	Presentation of Proposition Paper on: The Environmental Quality of the Lusaka Central Business District
9:35	Presentation of Poverty Assessment Paper by: <i>Mr. Stephen Muyakwa</i> Presentation of Discussion Papers by:
9.50	1. Traffic management in the CBD <i>Mrs. Joseph Mwewa</i>
10.00	2. Street vending in the CBD <i>Ms Nakatiwa Mulikita</i>
10.10	3. Street Vending in the CBD <i>Mr. Stanley Jere</i>
10:20	4. Form and Function of the CBD <i>Mr. Baidwin Mbuzi</i>
10:30	Coffee/Tea Break
10:50	Plenary Session (questions and comments)
11:50	Working Session: Formation of Working Groups and Specification of procedures to be followed by Workshop Moderator
12:00	Discussion Session in four different Working Groups 1. Traffic management in the CBD 2. Environmental quality and street vending 3. Land use planning in the CBD 4. Effects of unsanitary and inefficient drainage system
12:30	Lunch Break
14:00	Discussion Group Session
15:30	Refreshment Break
15:50	Plenary Session
17:00	END OF DAY: Workshop Moderator

Day 4	<b>Institutional Development Management Arrangements</b>
8:30	Registration
9:00	Chairperson: <i>Ms. Suzyo Kairo, National Youth Coordinator, YWCA</i> Resource Person: <i>Mr. Benson Chisanga</i>
9:05	Presentation of Proposition on: Institutional Arrangements
9:35	Presentation of Poverty Assessment Paper by: <i>Ms. Gertrude Ngenda</i> Presentation of Discussion Papers by:
9.50	1. Water Sector Development Group <i>Mr. Isaac Mbewe</i>
10.00	2. Environmental Council of Zambia <i>Mr. Paul Banda</i>
10.10	3. Lusaka Chamber of Commerce and Industry <i>Mr. B. Fyfe</i>
10:20	4. Investment Centre <i>Dr. Ng'andu</i>
10:30	5. District Development Coordinating Committee <i>Mr. J. Mulenga</i>
10:40	6. Ministry of Local Government and Housing <i>Mr. P.J. Banda</i>
10:50	7. The Environmental, Planning and Management Approach <i>Mr. Ole Lyse</i>
11:00	Coffee/Tea Break
11:15	Plenary Session (questions and comments)
11:45	Working Session: Formation of Working Groups and Specification of procedures to be followed by Workshop Moderator
11:55	Discussion Session in five different Working Groups 1. Institutional arrangements for Solid Waste Management 2. Planning and Land Use Management 3. Environmental Health and Sanitation Management 4. Water Supply and Distribution Management 5. Environmental Degradation of the Central Business District (CBD)
12:30	Lunch Break
14:00	Discussion Group Session
15:30	Refreshment Break
15:50	Plenary Session: Reporting back of group discussion results
17:00	END OF DAY: Workshop Moderator

Day 5	<b>Presentation and Discussion of Consultation Conclusions and Closing of the Workshop</b>
8:30	Registration
9:00	Chairperson: <i>Collr. P. Nawa, Deputy Mayor, Lusaka City Council</i> Resource Person: <i>Mr. Benson Chisanga</i>
9:05	Summary Presentation of Proceedings by Workshop Moderator Summary of Proposition Papers
9:10	Plenary Session Presentation and discussion of results of Working Group sessions on: Solid Waste Management, Adequacy of Safe Water Supply and Sanitation
9:40	Presenter: <i>Dr. M.J. Tambatamba</i> Plenary Session Environmental Quality of the Lusaka Central Business District (CBD)
10:10	Presenter <i>Mr. Wedex Llunga</i> Plenary Session Institutional Development Management Arrangements
10:40	Presenter <i>Mr. Benson Chisanga</i> Poverty Assessment <i>Ms. Gertrude Ngenda</i>
11:00	Coffee/Tea Break
11:20	Presentation of key environmental issues to be addressed by the project and synthesis of Consultation results Presenter: <i>Mr. Kofi Agyeman</i>
11:30	Plenary Session: Discussion on the draft Declaration
12:30	Lunch Break
	<b>Closing of the Consultation</b>
14:00	Chairperson: <i>Hon. Elizabeth Kalenga MP, Deputy Minister, Ministry of Local Government and Housing</i>
14:05	Presentation of Declaration by: <i>Mr. Gibson R. Zimba, Town Clerk, Lusaka City Council</i>
14:35	Discussion and adoption of Declaration Follow-up to the Consultation: <i>Mr. Francis M. Muwowo, Project Manager SLP</i>
14:50	<i>Global Overview, UNCHS/Habitat</i>
15:05	Overview of the Consultation: <i>Collr. Fisho P. Mwale, Mayor, LCC</i>
15:35	Official closing of the Consultation by <i>Hon. W. Harrington, MP Minister of Environment</i> Vote of Thanks by Lusaka Chamber of Commerce and Industry

## Welcoming and Opening Speeches - Dar es Salaam I

### **Opening Speech - UNDP Resident Representative**

His Excellency Dr. Wally N'Dow  
Resident Representative of the United Nations Development Programme  
Opening Speech, City Consultation on Environmental Issues  
Dar es Salaam, 26th August 1992.

It gives me very great pleasure to be invited here this morning, to give this introductory address before the formal opening of this Consultation on Environmental Issues affecting the city of Dar es Salaam.

As you will have read from the background papers, this Consultation brings us to the end of the first stage of the Sustainable Dar es Salaam Project, bringing us together specifically to discuss and agree upon the key issues that the Project should address, and to pave the way for action over the coming 18 months.

The fact that the Project has progressed this far, and has already included substantive technical assistance in preparing for a sustained solid waste management system for the city, reflects the sense of urgency felt by the Government to deal with the problems that the city faces, and in particular the keen personal interest that you, Your Excellency the Prime Minister, have taken in support of the Project's endeavours.

It is therefore worth noting that the Sustainable Dar es Salaam Project is spear-heading a refined approach toward urban management, which is being followed by some 12 cities around the world under HABITAT's Sustainable Cities Programme.

Whilst cities differ in type and severity of the environmental problems they face, and in their capacity to deal with those problems, cities the world over have in common a strong commitment to resolve their problems through the broader involvement of the public, private and community-based sectors. Indeed, a common philosophy with regard to urban management is being implemented, recognising the need:

- (1) for environmentally sustainable development based upon a balanced use of resources, with development made to last, safe from environmental hazards;
- (2) to build up management capacities at the local government level, so they may better plan, implement, monitor and appraise urban development over a sustained period; and
- (3) to ensure self-financing through revised cost recovery mechanisms for financial sustainability.

This approach represents a consolidation of field experience gained not only by a variety of UN agencies and bilateral donors; but also, most importantly, by city managers throughout the industrialising world over many years. This experience is combined with lessons learned from a variety of environmental conferences – including the most recent Earth

Summit in Rio – which continue to underline the importance of environmental management.

The process also reflects the importance being placed by your Government on strengthening local government operations to capitalise on the urban sector as an engine of national socio-economic development, and on the need for further investment in initiatives to eradicate urban poverty.

As such, the Sustainable Dar es Salaam Project mirrors many of the broader themes of UNDP development assistance to the United Republic of Tanzania, currently under discussion for the next country cycle.

Therefore, your Excellency, I feel confident that with your continued support and that of your colleagues, coupled with the active involvement of Senior Government officers in a partnership with city officials, this Project will make steady progress toward a process that will bring about sustainable development for the city.

It is in this regard that I'm sure you will join with me in encouraging the participants of this Consultation to give their full commitment to cementing that partnership, and to exploring opportunities for the private and popular sectors to play their respective roles in urban management. In particular, the Project should be seen as the focal point to integrate other actors in the overall urban development process. Staff should be seconded from key ministries and parastatals to the Project Working Groups, in order to bring together the necessary expertise and authority, while at the same time providing the links between this important initiative and the existing institutional arrangements.

## Welcoming and Opening Speeches - Dar es Salaam II

### **Opening Speech - Prime Minister**

PRIME MINISTER, UNITED REPUBLIC OF TANZANIA  
Opening Speech, City Consultation on Environmental Issues  
Dar es Salaam, 26th August 1992.

Madam Chairperson, The Resident Representative of the UNDP,  
Distinguished Delegates, Participants, Ladies and Gentlemen:

It is indeed a great pleasure and privilege for me to be addressing this Consultation on 'Managing the Sustainable Growth and Development of Dar es Salaam'. Needless for me to say, this Consultation is of historic significance. It is, I am sure, the first gathering of eminent professionals, politicians and decision makers in the country invited purely in their professional capacities to reflect on the failures and achievements in the social and economic sectors of Dar es Salaam, during the past several years of implementing master plans. Also, in light of such reflection, to look to the future and to identify a course of action to be charted in order to ensure sustainable growth and development of Dar es Salaam.

Looking at the deterioration of the Dar es Salaam urban setting, in terms of its infrastructure, housing conditions, transportation network and waste disposal systems, it is reasonable to assume that the management of these essential systems which make the city function, has not received adequate attention, neither in terms of analysing the inherent problems objectively, nor through the deployment of knowledge whereby concerned scholars and practitioners can find viable solutions. At the same time, politicians and decision-makers have not been accorded an opportunity to develop viable policy approaches so that these problems can be tackled on the basis of what the people really want. It is therefore very important that there be mutual understanding and cooperation among scholars, practitioners, investors, developers, politicians and decision makers throughout the process of planning and implementation.

Many metropolises throughout the world share common features, styles and types of problems. However, every city, because of its unique history, cultural pattern, social background, natural environment and economy also has its own particular problems. This calls for the design of a solution to the city's problems with the city's unique characteristics in mind.

With this in mind, let me now touch upon the important themes and related items for discussion that you may need to address during this workshop, and hopefully come up with tangible solutions aimed at alleviating the problems I will mention in particular.

Firstly, we are aware of the fact that about 70% of Dar es Salaam's population lives in unplanned settlements with marginal access to piped water, sanitary waste disposal systems, drained roads, or basic social services. These settlements are largely overcrowded and the incidence of diseases – like malaria, cholera and typhoid fever – in these areas, is quite high. This phenomenon of squatting arises from the fact that

urbanisation continues to be rapid, and the government cannot cope with its basic task of providing serviced land for the various activity systems in the city.

Secondly, due to increased commercial activities within the central business district of the city, and the increase of vehicular and pedestrian traffic, the city suffers from a high-traffic congested environment and a lack of adequate parking opportunities and recreational corridors.

Thirdly, the inner city environs of Dar es Salaam are continuously decaying, for example Kariakoo. Infrastructure and servicing requirements for these areas are essential, as are densification and redevelopment functions for the city centre to improve on the accessibility, sanitation, parking and water supplies.

Fourthly, up to 75% of the city's households rely on cost effective pit latrines. Limited emptying operations and a high water table result in unsanitary wastes flowing in surface drains and gullies to the main rivers and the sea. Even our industries resort to toxic chemical and heavy metal dumping directly into the city's river systems.

Fifthly, there has been an outcry from the people that Dar es Salaam has turned into a harbinger of filth due to inadequate services in hauling the solid waste from various parts of the city. When this solid waste has been collected, it has been disposed of by crude dumping, polluting nearby residential areas with smoke, dust and smell. And poor site management of these dumping areas has led to an increase in vermin and mosquito breeding.

I have deliberately cited these intriguing problems in order to stimulate your awareness in addressing the situation at hand. The level of success of your Consultation clearly depends upon a number of factors, but the most crucial ones will be:

- (1) Access to decision makers and politicians who should develop a sense of ownership and commitment toward the implementation of the SCP Project. In this regard, they should prioritise the key environmental issues, define the scale and areas of intervention, second their staff to the Working Groups and develop methods of development and operational financing to implement sustained urban development. This calls for a high degree of institutional coordination between levels of Government, and the private and community based sectors, with the City Council acting as a convener.
- (2) Institutional strengthening through the employment of capable and competent staff. I have been informed that the Environmental Profile for Dar es Salaam has been prepared in collaboration with Ardhi Institute and the University of Dar es Salaam. Therefore, it is important that these institutions be properly equipped with the resources to enable them to continue to support a project of this magnitude; especially as the City Council of Dar es Salaam, through the design of this Project, will need more qualified staff to see it through its implementation.

I also wish to underscore the importance of the Project in developing the relevant institutional and financial arrangements to ensure implementation. It is here that a new partnership should be forged among the Council, the Ministries, the Parastatals, the Private Sector and the City Communities to develop realistic ideas that do not place heavy burdens on the Government, but do ensure affordable standards of development that will promote equitable cost recovery mechanisms. There is a saying which goes "social inequity causes deeper concern than poverty itself". It is therefore more important to improve social equity in the sharing of tax burdens than to expand the public financial base. With this logic we shall be striving to improve the conditions of more than 70% of our city's population currently living under conditions of absolute uncertainty.

Reading through the Participant Manual, I understand that the success of your deliberations over the next week will be reflected in agreed areas for immediate action with multi-sectoral Working Groups to further address these issues in a collaborative manner; I therefore, look forward to receiving your conclusions and recommendations in due course. Meanwhile, on behalf of the Government of the United Republic of Tanzania, I would like to express my sincere gratitude to the UNDP Resident Representative for his inspiring speech on the importance of the Sustainable Cities Programme. The President, His Excellency Ali Hassan Mwinyi, having returned from the Rio conference, has come back with a global declaration on the importance of sustainable development in order to improve the human habitat. The UNDP'S positive role in assisting the Tanzania Government to design the Sustainable Dar es Salaam Project is a very welcome initiative, and I would like to guarantee the government's total commitment to supporting the objectives of the Project and the eventual participation of the actors in the implementation of the projects that will be identified.

And I now have the pleasure to declare that the Consultation on "Managing the Sustainable Growth and Development of Dar es Salaam" is now officially OPEN.

THANK YOU



## Welcoming and Opening Speeches - Dar es Salaam III

### **Opening Speech - UNCHS Human Settlement Advisor (HSA)**

Sara Wakeham

Human Settlements Advisor, the United Nations Centre for Human Settlements

Opening Speech, City Consultation on Environmental Issues

Dar es Salaam, 26th August 1992.

Your Excellency Prime Minister and First Vice President, Distinguished Guests, Ladies and Gentlemen

I wish to thank you most sincerely on behalf of UNCHS (Habitat) for your support to this occasion and your inspiring opening remarks. We are most grateful and encouraged by the personal interest that you are taking in the Dar es Salaam Sustainable Cities Project. I would concur with Mr. N'Dow's observation that the significant progress made to date reflects this personal interest.

It gives me great pleasure to see that the government has recognised the need for strengthening the urban management process as a means of implementing planning proposals more effectively than the traditional Master Plan approach.

The Sustainable Cities approach replaces a **prescriptive** process with a **participatory** one. We planners have for too long behaved like the doctor who, without waiting for the patient to describe his symptoms in detail, simply writes out a prescription – take this and you will soon feel better – just implement this Master Plan: it will make everything all right.

The Sustainable Cities Programme encourages a process which will involve interest groups in the discussion of the problems and in finding solutions. It does not prescribe, but attempts to develop a partnership between the public and private sector on the issues to be addressed and the means to address them.

So the process will be the same, but from Dar es Salaam to Jakarta, Santiago to Moscow, the issues raised will vary and the solutions will be appropriate to the particular local situation and so ensure that Moscow, Santiago, Jakarta and Dar es Salaam find their own way to being sustainable cities.

Hon. Prime Minister,

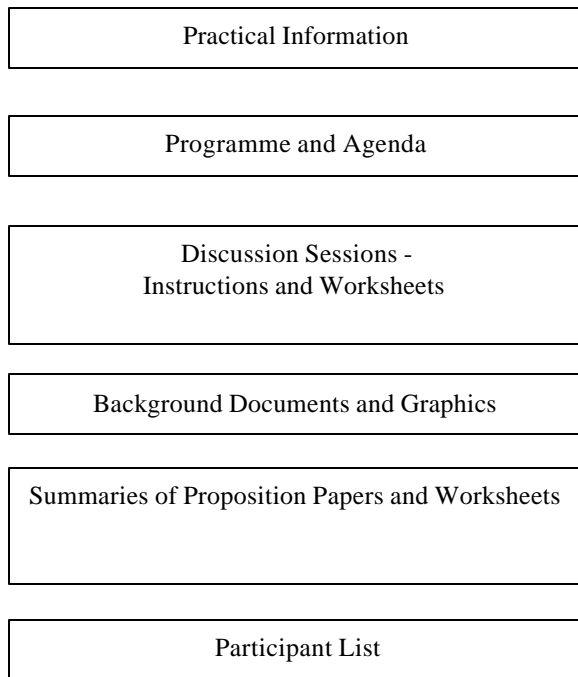
The next four days are the start of a process in Dar es Salaam and we trust that as many people who are here today as possible will stay to join in the discussion. If you are unable to remain, please at least come back on the fifth day – next Tuesday September 1st, to hear the conclusions of the discussion and, I hope, the proposals for action.

Hon. Prime Minister,

Once again I wish to thank you for your tremendous interest and support in this endeavour, to which I assure you Habitat will continue to give its wholehearted support.

May I take this opportunity to invite you to take coffee with us and to view the illustrations of the environmental issues that the City Council and its partners in urban management have identified for the purpose of this Consultation.

## Participant Manual Structure (Lusaka)



## Summary Proposition Papers (Lusaka)

### **Summary of the Proposition Paper on Solid Waste Management, Adequacy of Safe Water Supply and Sanitation**

#### **1. Introduction**

The City of Lusaka like many other cities in Zambia and the world over is ill-equipped to manage the urban environment prudently. This is leading to degradation of the quality of the environment. The failure to adequately manage the urban environment can mainly be attributed to lack of sufficient resources (financially, human and equipment) coupled with an increased population as well as increased economic activity.

To the public, the main risks to health are indirect and arise from the breeding of disease vectors mainly flies and rats.

The most obvious environment damage caused by solid waste is aesthetic- the ugliness of street litter and the destruction of the beauty of the country side by uncontrolled dumping of city waste. More serious, however and often recognised, is the transfer of pollution to water which occurs when leachate from a refuse dump enters surface water or ground and the pollution of air rising from the inefficient burning of solid waste.

These problems impose substantial costs on development reducing the competitiveness of the city's and nation's economy.

#### **Present Situation**

Lusaka is one of the fast growing cities in Africa. Unplanned settlements have sprung up at a much faster rate making it difficult for the Council to provide basic services. Economic activities in the City have increased as a result of the liberalisation policies of the current government. However, liberalisation has also resulted in loss of employment for many people in the City. With the rising rate of unemployment, street vending is rising in magnitude thus further contributing to the volume of solid waste in the City, putting pressure on the need for more water and creating a demand for sanitary premises in which to conduct their business.

#### **Solid Waste Management**

Domestic waste constitutes the bulk (more than 80% - ECZ, 1997) of the solid waste in the City. The daily per capita waste generation rate in Lusaka is 0.5Kg (Milanzi, 1996). In 1996, a total of 243,329 (ECZ, 1997) tonnes of solid waste was generated as compared to 25,000 tonnes in 1970 (Duffryn, 1970).

Aspects of Solid Waste Management are:

- a) Storage at or near source the point of generation
- b) Collection and transportation
- c) Disposal

Each one of these aspects is of vital importance to an efficient system. In Lusaka, the management of solid waste with respect to all these aspects is poor. Among the reasons for the current poor situation in solid waste management are the following:

- i) The poor financing situation at the Council
- ii) Increased waste generation
- iii) Attitudes
- iv) Lack of concern for statutory duties

### **Water Supply**

Water supply in the City of Lusaka is the responsibility of the Lusaka Water and Sewerage Company.

The main sources of the water are Kafue river (1 00,000 m<sup>3</sup> per day) and ground sources (800,000 m<sup>3</sup> per day). These figures exclude the numerous boreholes. Total current supply is therefore 180,000 m<sup>3</sup>. However, daily demand is estimated at 350,000 m<sup>3</sup>. There is therefore a shortfall in the supply of water to the residents of Lusaka. The principal result of inadequate water supply is a high incidence of disease.

### **Sanitary System**

The main methods of sewerage disposal in the City of Lusaka are pit latrines, sewer lines and septic tanks. Coverage is as follows:

- a) Pit latrines - this type of sewage disposal is used by about 50% of the population of Lusaka
- b) Sewer lines -these cover about 30%
- c) Septic tanks -20%

## **2. Socio-economic effects of inadequate solid waste management, unsafe water supply and poor sanitation on the development of the city.**

### **At community level**

#### **i) Public health hazard**

Uncollected solid waste is a breeding ground for flies, mosquito and rodents. These vectors spread such diseases as typhoid, dysentery, plaque etc.

Water that is not of good quality is a risk to the health of the community. The lack of water brings about dirtiness and diseases such as scabies, trachoma, etc.

#### **ii) Pollution of surface and ground water sources**

Leachate from legal and illegal dumping sites pollute both ground and surface water sources, both of which are major sources to the residents of the City.

#### **iii) Depreciation of land value**

With uncollected waste, land and recreational value depreciates.

### **The informal business sector**

While the informal sector contributes greatly to the problems of solid waste, the sector is also significantly affected by uncollected solid waste which may obstruct their "business premises".

### **The formal business sector**

Access to adequate and safe water, appropriate good sanitation facilities and a clean neighbourhood are critical and contribute a conducive environment for the private sector to flourish. Besides, some of the industries may require clean water as their raw material.

Earnings from the tourism sector decline as tourists would not like to visit a city with poor and unsanitary conditions for fear of getting ill.

### **The Central Government**

Since inadequate solid waste management, unsafe water and general poor sanitation leads to a high prevalence of disease, this places a heavy burden on public health services. Labour productivity fails as a result of illness.

## **3. Current initiatives**

### **By the various actors**

Both the City Council and the various stakeholders have realised the need to participate in the improvement of the solid waste management system in the City.

Local communities and institutions have taken up significant steps to supplement Council efforts in trying to improve the quality of the urban environment,

### **Constraints hindering current initiatives**

Some of the initiatives and efforts cited in 3.1 have encountered problems leading to low rates of success. This is mainly due to the fact that these efforts are fragmented, uncoordinated and in certain instances overlapping.

## **4. Towards sustainable solid waste management, water supply and sanitation systems**

It is apparent from the highlights of this proposition paper that the current situation in solid waste management, water supply and sanitation is likely to lead to a worse urban environment sooner or later if nothing is done. The efforts of the various actors are indeed commendable but need a structured framework so that experience, expertise and information are shared for cost effectiveness. The efforts should neither overlap nor be duplications of the various actors. There is a need to look at other

sustainable options in solid waste management, water supply and sanitation.

## **Summary of the Proposition Paper on Institutional Development Management Arrangements (Lusaka)**

### **1.0. Introduction**

A common feature of the cities and forms in the developing world is the high incidence of public health problems, which could be partly attributed to inadequate environmental planning and management. One of the major constraints in environmental planning and management is the lack of effective institutional arrangements.

This paper reviews the major strengths and weaknesses of the existing institutional framework for environmental planning and management in Lusaka; discusses the key requirements for an efficient institutional framework and how the Sustainable Lusaka Programme could address these requirements. The case of solid and liquid waste, and water supply management is alluded to for demonstration purpose.

### **2.0. Existing Institutional Framework**

#### **2.1. Solid and Liquid Waste and Water Supply Management**

The key central government institutions involved include Ministries of Environment and Natural Resources; Local Government and Housing; Office of the Minister for Lusaka Province; Street vendors desk at State House; and Environmental Council of Zambia. The first four institutions operate at institutional managerial level and formulate policy strategies and implementation instruments related to public health. The Environmental Council of Zambia operates at technical operational level and is responsible for the enforcement of regulations relating to waste management and pollution.

### **3.0. Strengths and Weaknesses of Existing Institutional Framework**

#### **3.1. Strength**

The potential strengths are those relating to the availability of information and expertise, availability of policy and plan formulation. and a wide range of implementation instruments such as information campaigns and public education, and regulatory mechanisms like public health laws. These strengths are located across the sectoral divide in the public, private and community sectors.

#### **3.2. Weaknesses**

The main weaknesses are those relating to the lack of exchange of information and sharing of expertise, uncoordinated policy and plan formulation leading to conflicting decision making., and the partial use of the available range of implementation instruments.

### **4.0. Key Requirements of an efficient Institutional Framework**

#### **4.1. Principal Requirements**



An efficient institutional framework should be able to facilitate the following:-

- (a) Identification of environmental problems before they become emergencies through efficient information system;
- (b) Agreeing upon common strategies involving all actors to tackle the issues; and
- (c) Co-ordinating implementation by involving all actors and making use of the full range of implementation instruments.

#### 4.2. Function of Environmental Management

An efficient institutional framework should also be able to facilitate the following specific functions of an environmental planning and management system:-

- (a) Functions of information and expertise with respect to the clarification and prioritisation of environmental concerns based on relevant, accurate and up to date information which involve:
  - those who are affected by the problem
  - those who are the cause of the problems
  - those who possess relevant information expertise to address the problems.
- (b) Policy and plan formulation functions, with respect to negotiating environmental management strategies, and reconciling them into an overall environmental strategy with the participation of the following:
  - those who control policy and planning tools
  - those who are supposed to implement policies and plans
  - those whose interests will be affected by policies and plans.
- (c) Implementation function, in terms of putting environmental policies, strategies and plans into practice and achieve the desired objectives, in collaboration with those who control implementation instruments. and those who can contribute solutions to address the environmental problems.

#### 4.3. Other Requirements

The additional requirements for an efficient institutional framework include the need for all relevant actors to participate in the design of the institutional framework. and the mobilisation of political support in order to enforce the institutional arrangements.

### **5.0. Organisational Structure of Sustainable Lusaka Programme**

#### 5.1. Issue Specific Working Groups

These could bring together an inter-disciplinary team of actors including those who possess information and expertise; policy and plan formulation; and those who control implementation instruments. These groups should be able to clarify environmental problems; agree on a common strategy; and prepare and implement action plans.

#### 5.2. Co-ordinating Working Group

*Organising, Conducting and Reporting an SCP City Consultation*

This group could consist of key actors from the issue-specific working groups for the purpose of reconciling issue specific strategies; preparing structural plans; and addressing common issues faced by issue-specific working groups such as institutional issues.

### 5-3. Steering Committee

The Committee could bring together key actors from the public, private and community sectors directly related to the project. The main functions of the committee is to ensure the secretariat for the working groups and steering committee; provide the required expertise; and provide the necessary logistical support to the programme structure.

The overall objective of the Sustainable Lusaka Programme is not necessarily to create a new institution to decide on behalf of the stakeholder in the public, private and community sectors but rather to provide a forum for them where information and expertise could be shared; policy and plan making could be co-ordinated; and action plans be effectively implemented. Similarly, the proposed organisational structure is not necessarily a new innovation in Zambia. An attempt has already been made, especially in the public sector, to articulate similar innovative institutional arrangements at the national level to facilitate effective planning and management. Some of these innovative structures and experiences are alluded to in some discussion papers on institutional framework. Therefore, the proposed organisational structure is basically a build up on these experiences at the national level and replicated at the local level.

Local Authorities operate at the level of institutional, managerial, and technical operation through the relevant council standing committees and operational directorates namely, Health Services; and Plans, Works and Development committees; and Public Health and Engineering services directorates.

The private sector participation in solid waste management is not yet established, except in the -area of sanitation. Participation is at the technical operational level, with the relevant technical information and expertise in the collection and disposal of waste.

Community sector participation is also at the technical operational level, in command of relevant information and expertise, and implementation instruments. The most pronounced actors include CARE Zambia, Project Urban Self Help (PUSH), and Irish-Aid Zambia.

The University of Zambia's School of Engineering and the National Council for Scientific Research (CSR) are the Research and Training Institutions with relevant technical information and expertise on solid waste management technology.

## Example of a Consultation Declaration

### DAR ES SALAAM DECLARATION

**The Consultation on Environmental Issues for Managing the Sustainable Growth and Development of Dar es Salaam (26th August to 1st September 1992)**

**Recognizing** that deteriorating environmental conditions in and around the rapidly expanding and densifying city of Dar es Salaam present major obstacles to achieving sustained and equitable socio-economic growth and development;

**Accepting** that efficient and effective environmental management for the city of Dar es Salaam is based on the following principles: (1) that natural resources are the basis for sustainable development, and that environmental hazards threaten development achievement; (2) that the environment forms an integral concern in development management; (3) that environmental issues cross development sectors, geographic space and time; (4) that environmental management must reconcile competing interests; (5) that environmental management entails coordination, implementation and technical support; (6) that environmental management must adapt to and involve existing mechanisms and institutions; (7) that environmental management must evolve incrementally over time; (8) that environmental management requires active involvement of those whose interests are affected and whose support is required; and (9) that environmental management requires deliberate and continuous public awareness and political support.

**Having deliberated** on a number of key environmental issues and discussed the papers and case studies presented on specific problems of solid waste management and servicing urban land in the city; we the participants of this consultation have gained a better understanding of each others' roles and responsibilities in city management, not only across sectors, between levels of government, but perhaps most importantly with respect to the contributions that both the private sector and community based organizations can make to more effective urban environmental management;

**Recommend that:** 1. The Dar es Salaam City Council cannot continue to be the provider of subsidized services due to the limited central government financial subsidy and poor revenue collection;

2. A new partnership approach to city management is therefore required, which broadens the range of actors involved to include the private sector and community based organizations;

3. Working groups be established to address the key environment issues identified, which must have representation from (a) affected sectors and levels of government, (b) affected geographic locations, and (c) the private sector, and -community groups and interested individuals in order to overcome the poor coordination arrangements which are seen to represent the principal constraint on effective city management so that they may together chart out concerted actions in sufficient operational detail to ensure the sustainable growth and development of our city recognizing its unique history, cultural and social background, natural environment and economy;

4. A clear focal point be established through the Sustainable Dar es Salaam Project where the partners can feel comfortable to meet and deliberate upon issues, and discuss alternative courses of action if such working groups are to be effective;

5. Such a focal point be directly integrated with existing city management practices, but with sufficient independence to encourage a sense of ownership and participation by the city's partners in the public, private and community sectors so that they may readily contribute their ideas, information, skills and financial resources;

6. The Sustainable Dar es Salaam Project focuses its resources on building up a core of dedicated interdisciplinary professionals from both levels of government, the private sector and community organizations who will together support the planning, coordination and management of the city's future growth and development in a sustained manner requiring in turn (a) the necessary supporting facilities, equipment and services, (b) secondment by relevant institutions through the Ministry responsible for Local Government of additional professionals to participate in the project technical support team and working groups, with commensurate incentives; (c) to nominate desk officers to act as project focal points within the key government agencies;

7. Broader policy issues be reserved for central government decision, especially in the field of urban land, allowing the city authorities to be the active implementors of such policies in planning the city's expansion, detailed subdivision design, survey and land allocations;

8. Integrated cross subsectoral working groups immediately be established for the following two priority issues and topic areas: (a) solid waste management, (b) servicing urban land;

9. Additional working groups be established through a consultative process similar to this consultation to address environmental issues such as the following: (a) air quality management and urban transport, (b) surface water management and liquid waste, (c) management of coastal area resources, (d) management of recreational resources and tourism attraction, and (e) management of urban agricultural potential;

10. The above be addressed through the Chairman of the concluding session, the Hon. Attorney General, to the Hon. Minister of State for Local Government, requesting that this declaration be forwarded to the Right Hon. Prime Minister for his information, and to all Ministers for their cooperation, information and continuing support. Copy to the Resident Representative of the United Nations Development Programme and the Executive Director of the United Nations Centre for Human Settlements (Habitat) for their information and continuing support; and copied to all participants.



## C6 Sample Letters

In this section:

- Announcing a City Consultation
- Confirming Verbal Commitment of Participation
- Sending Terms of Reference to a Resource Person
- Assigning a Resource Person

## Sample Letter for Announcing a City Consultation

The first announcement of the Consultation should be brief, but it should also arouse interest and attract participants. You will be sending a number of other letters and packages to the potential participants, so do not try to load all the information into this first letter.

The following is a sample announcement letter. Do not feel restricted by its content, as it is provided to serve you as a general guide. However, do keep your announcement letter brief and specific.

<p>date name title agency/organisation address</p> <p>Dear _____,</p> <p>I am writing to invite you to participate in the Sustainable _____ Project's Consultation. This event will bring together representatives from various sectors of our community, to discuss the pressing environmental issues we face in _____. Participants in this consultation will include:</p> <p style="text-align: center;"><i>Here, it is a good idea to include the names of any high-ranking government officials or other participants (already committed to attend) that arouse interest and/or attention in your area.</i></p> <p>This is a unique opportunity for you to exchange information and ideas about our community's environment with representatives from all over _____, and to become involved in the environmental decision making process*.</p> <p>The Consultation will be held from _____ to _____, at _____.</p> <p>We welcome your participation in this special event.</p> <p>For information about registration, and for additional information about the Consultation itself, please contact me at the Sustainable _____ Project Office (address provided below).</p> <p>Sincerely,</p> <p><i>name of the Project Leader</i></p>
--

\* This sentence is relevant only to actors outside of the Government system. For government officials, you may replace it with the following phrase: "and to improve the efficiency of the environmental decision making process".



## Sample (Cover) Letter for Sending TOR to a Resource Person

This letter should be sent with the Terms of Reference and the SCP Consultation Workplan. Please use this letter as a guide, and do not feel restricted by its content.

<p>date name title agency/organisation address</p> <p>Dear _____,</p> <p>This is to confirm our recent conversation in which you agreed to serve as a Resource Person for the Sustainable _____ Project Consultation. The Consultation is scheduled to take place from _____ to _____ at _____.</p> <p>The responsibilities of the Resource Persons are summarised in the Terms of Reference (TOR), and a copy of this TOR is enclosed for your convenience. Your responsibilities include four tasks for each assigned Discussion Session:</p> <ul style="list-style-type: none"><li>▪ prepare a Proposition Paper;</li><li>▪ help prepare Discussion Papers;</li><li>▪ during the Discussion Sessions, present your Proposition Paper and support discussions; and</li><li>▪ summarise the proceedings and substantive conclusions for the Consultation Report.</li></ul> <p>Your Discussion Session assignment and additional instructions will be sent to you soon.</p> <p>A Consultation Workplan is enclosed as well. We anticipate that it will take 35 working days for you to complete the tasks outlined in the TOR: 20 days of advance preparation, 5 days of active participation during delivery of the Consultation, and 10 days to summarise the proceedings and conclusions.</p> <p>Please confirm that you are available to complete the tasks in the TOR by initialling and returning copies of each of the following items: this letter, the TOR, the SCP Consultation Workplan, and the outline of your Proposition Paper. Please return the initialled copies to me, retaining the originals for yourself.</p> <p>I look forward to working with you on this Sustainable _____ Project Consultation. We will be pleased to count you as a member of our team.</p> <p>Sincerely Yours,</p> <p>(...name ...) Chief Technical Advisor, SCP, or Project Director, SCP</p> <p>confirmed: _____ date: _____</p>
--



## Sample Letter for Assigning a Resource Person

The following letter should be sent to the Resource Person, once she/he has accepted the TOR for the Resource Person . The letter should be accompanied by a current version of the Consultation Programme and an outline of the Discussion Session to which she/he is assigned, and any other additional instructions prepared to guide the preparation of the Proposition Paper.

date  
name  
title  
agency/organisation  
address

Dear \_\_\_\_\_ ,

Pursuant to our recent correspondence in which you agreed to serve as a Resource Person for the SCP Consultation scheduled to take place from \_\_\_\_\_ to \_\_\_\_\_ at \_\_\_\_\_, this is to explain your specific assignment.

The general responsibilities of a Resource Persons are summarised in the Terms of Reference that we sent you earlier. The enclosed Consultation Programme provides an overview of the Consultation. The following Discussion Session(s) has (have) been assigned to you: [Session number(s)]. We have enclosed an outline of your Discussion Session(s) and instructions for your Proposition Paper. Your Paper will lead several Discussion Papers, in which Discussants respond to the specific propositions of your Paper with a review of local circumstances and experiences. Also, your Paper should dovetail with Proposition Papers currently under preparation by other experts. The outline provided has taken this into account; therefore, it is important that your Proposition Paper adheres to the outline.

Please telephone me after reviewing this assignment to discuss your Proposition Paper in detail. After our discussion, please confirm your acceptance of this assignment by initialling the enclosed copy of this letter, the Consultation Programme, and the Proposition Paper instructions. Please return the initialled copies to me, retaining the originals for yourself.

Sincerely yours,

(...*name* ...)  
Chief Technical Advisor, SCP  
or  
Project Director, SCP

confirmed: \_\_\_\_\_  
initials date



## C7 Sample Forms

In this section:

- Recording contacts made with participants
- Recording contacts made with the media
- Issuing press releases
- Designing a Worksheet for Group Discussions on Priority Issues
- Designing a Worksheet for Group Discussions on Institutional Framework
- Summarising participants' contributions/interventions in Plenary
- Creating a Participant Database
- Registering participants
- Registering Discussion Group participants

## Sample Form for recording contacts made with participants

Once you have initiated contact with potential participants, you will need a system for recording each contact that has been made, so that any member of the COT can access complete information about the status of a given participant.

There are **two** recommended options for recording all telephone, mail and direct contacts with possible participants:

1. Create files by participant name on a computer data base; or
2. Create files by participant name in a ring binder, with a sheet for each participant.

If you do not have access to a data base programme, check your word processing program - most of them have some type of Notebook option; or, if using a computerised data base, remember to keep back-up files. Also, a hard copy with the basic contact information should be on hand for "electronic emergencies" (i.e. computer breakdowns and power outages).

In either case, the contact information for each participant should include the following:

Name: Organisation: Address (specify home or office): Alternative Contact Person:				
Contact Log: <i>This space is provided for Team members to log in the date and a brief summary of each contact that is made with the potential participant. For example:</i>				
Date	Time	CP*	Mode (snd/rcv)	Comments
16 May	2pm	mr	Fax/snd	Announcement letter
17 May	11 am	js	Phone/snd	He is considering, not sure he will have time, may send a colleague
25 May		mr	In person	Briefing by Profile Consultant
27 April	9.30 am	js	Phone/rcv	He will send Joe Smith as his representative
<i>*To avoid confusion and aid follow-up, it is useful to keep a record of which team members received/made the contacts</i>				

## Sample Form for recording contacts made with the Media

Once you have initiated contact with a media representative, you will need a system for recording each contact that is made, so that any member of the COT can access complete information about the status of each contact.

There are two recommended options for recording all telephone, mail and direct contacts with the media:

1. Create files by organisation and individual names on a computer data base; or
2. Create files by organisation and name in a ring binder, with a sheet for each media contact.

If you do not have access to a data base programme, check your word processing program - most of them have some type of the Notebook option; or, if using a computerised data base, remember to keep back-up files. Also, a hard copy with the basic contact information should be on hand for "electronic emergencies" (i.e. computer break-downs and power outages).

In either case, the contact information for each media organisation or individual should include the following:

Name:

Media Organisation:

Address (specify home or office):

Telephone/Telex/Fax (specify home or office):

Alternative Contact Person:

Contact Log:

*This space is provided for Team members to log in the date and a brief summary of KEY contacts that are made.*

NOTE: Unlike the Participant Contact Sheets, it is not necessary to record every contact with the media. In fact, it probably will not be possible, as the media will begin to flood your office with calls as the Consultation draws near. Therefore, record only the most CRUCIAL information, related to following up on an interview or a feature story, or sending additional materials.

## Sample Form for issuing Press Releases

A press release should provide the basic information about an event (i.e. the Consultation, publication of the Profile, etc.). Your press release should provide concise answers to the following questions:

### **WHO, WHAT, WHERE, WHEN and WHY**

Use clear and simple language, and don't be afraid to add a bit of excitement as well... if journalists are bored while reading it, they will not want to write about it.

The following format is a standard press release design. ALWAYS remember to put the contact person's name and numbers on the top of the front page.

<p style="text-align: center;"><b>PRESS RELEASE</b></p> <p style="text-align: center;">Title of the SCP Project and/or Consultation</p> <p style="text-align: center;">Contact Person: <i>(name and phone/fax/address)</i></p> <p style="text-align: center;">(Specific subject of the Press Release)</p> <p style="text-align: center;">Begin text here.....</p>
---

## Designing a Worksheet for Group Discussions on Priority Issues

1. *Establishing the issue as a serious concern:* In what ways does the issue affect the socio-economic development of the city and who bears the cost?

<b>In what ways does the issue affect the development of the city?</b>	<b>Who bears the cost or who is affected by it?</b>	<b>Who contributes to the issue/problem?</b>
<i>For example, water pollution causes water borne diseases</i>	<i>For example, particular settlements &amp; users located down-stream of polluting activities can be cited for this specific issue</i>	<i>For example, particular industries such as chemical industries known for their water pollution can be cited here</i>

2. *The key components:* Which components need to be looked into in order to address the issue in a holistic and systematic manner?

*For example, if the issue is solid waste management, waste collection, disposal and recycling can be considered as components and later on working groups may be established around these components.*

3. *The way forward:* Broadly, what long term and short term actions can be considered with respect to each of the above components?

<b>Long term actions</b>	<b>Short term actions</b>
<i>For example, if the issue is water scarcity and pollution, strategies such as promoting cleaner industrial production technologies/processes, applying the 'polluter pays' principle or relocating highly polluting industries can be considered here</i>	<i>For example, actions such as a comprehensive user survey, mapping critical water source areas, initiating remedial projects at 'hot spots' and monitoring and controlling agricultural fertiliser use, etc. can be considered.</i>

4. *The stakeholders:* Who should be involved in negotiating strategies and in implementing them? and what can they contribute?

<b>Who should be involved?</b>	<b>What can they contribute?</b>			
	Expertise & information (e.g. data, knowledge and know-how)	Policy instruments (e.g. mandate to enact laws and to establish standards)	Implementation capacity (e.g. experience and mandate to implement projects)	Financial resources
Public sector				
Civil Society				

## Designing a Worksheet for Group Discussions on Institutional Framework

Summarise (basically retrieve) from previous discussions who the stakeholders are and what each one of them can contribute. That will form the basis for analysing the issues related to the institutional framework.

1. <i>Constraints experienced by key stakeholders</i> : What constraints (structures, legislations and procedures, mandates, capacities, skills, etc) must be overcome to enhance the role of the stakeholders in making the said contributions to addressing the issues?			
<b>Stakeholder</b>		<b>Constraint experienced</b>	
<i>For example for the issue of water pollution, the Water Authority can be stated as one obvious stakeholder</i>		<i>The Water Authority may in this case state that it is under-equipped to undertake regular water quality monitoring or could state that it does not have the necessary mandate to control water pollution</i>	
2. <i>Constraints undermining coordination</i> : What constraints must be overcome to improve coordination and cooperation between the different stakeholders in addressing the issues?			
<i>Again for the water pollution issue, overlapping mandates between the Water Authority and the National Environmental Agency or failure of industry to cooperate in initiating pollution abating measures could be cited</i>			
3. <i>The role of the City SCP project framework</i> : What new approaches, structures and mechanisms can be considered to improve coordination and cooperation and how the city SCP project framework can contribute towards building and operationalizing such structures and mechanisms?			
<b>What coordination structures and mechanisms can be established?</b>	<b>How should these structures and mechanisms operate?</b>	<b>What should the role of such structures be?</b>	<b>What kind of political support will they need?</b>
<i>The SCP working groups and the working group process can be stated here</i>	<i>For example, in the case of the linkages between working groups and existing institutions, consider how often they can meet, how they can access information, how they can ensure that their proposals are implemented</i>	<i>Negotiating issue-specific strategies and action plans can be stated as the role of the working groups</i>	<i>In the case of working groups ensuring participation of stakeholders at the highest possible level of representation and ensuring implementation of agreed strategies and action plans requires strong political support</i>

Summarising participants' contributions/interventions in Plenary



Managing the Sustainable Growth of (...name of city...)  
City Consultation on Environmental Issues

Summary of Contribution

Date:

Time:

Name:

Please summarise your contribution:

## Sample Form for Creating Participant Database

**Personal Data Form for Consultation Participants**  
**Fiche Personnel de Renseignement pour les Participants**

Last Name/Nom:

First Name/Prénom:

Affiliation:

Agency/agence - organisation/institution

Mailing address/adresse postale:

Street address/adresse physique:

Telephone:

Telefax:

Telex:

Personal mailing address/adresse postal personel:

Personal street address/adresse physique personel:

Personal telephone/Telephone personel:

Personal telefax/Telefax personel:

Alternative way of contacting you (care-of somebody/institution):  
Autre moyen de vous contacter (au bon soin de quelqu'un/d'une institution):

## Sample Form for Registering Participants

Managing the Sustainable Growth of (... *city name* ...)  
City Consultation on Environmental Issues

Daily registration  
Date:

<b>Number</b>	<b>Name</b>	<b>Organisation</b>	<b>Signature</b>
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			

Sample Form for Registering Discussion Group participants

<p>Managing the Sustainable Growth of (... city name ...) City Consultation on Environmental Issues Discussion Group Registration List</p> <p>Date: Topic of Discussion:</p>	
Name	Affiliation
Chairperson:	
Rapporteur:	
Participants:	

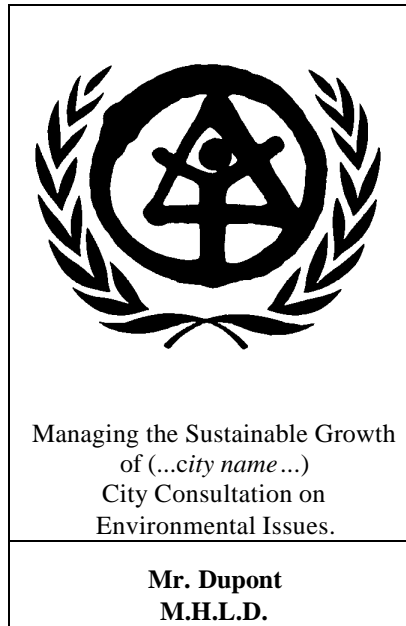
## C8 Sample Badges and Name Labels

Badges and table tags can easily be prepared with a mail merge computer programme, using the participant list.

### 1. Badges

The purpose of the badge is to allow participants to identify each other. A common mistake when preparing the badge is to allow the title and emblem of the Consultation to take prominence over the name and organisation of the wearer. Remember, the purpose of the tag is the *identification of the individual* first, so make sure their name and organisation are in the largest print on the tag.

BAD EXAMPLE:



GOOD EXAMPLE:

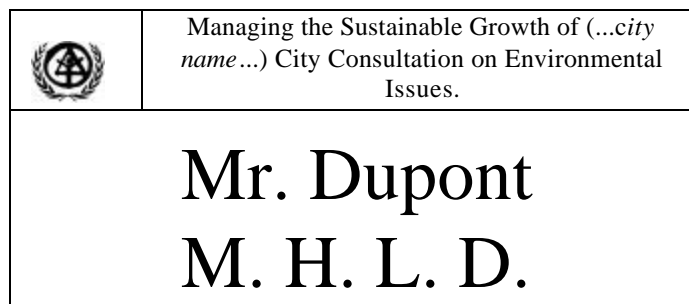


Table Tags

The Table Tags should be printed on an A4 white manila paper. The name should appear on both sides.

<p><b>Mr. G. DUPONT</b> <b>M.H.L.D.</b></p>	<p><b>Mr. G. DUPONT</b> <b>M.H.L.D.</b></p>
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## C9 Checklists

In this Section...

- Following up **Substantive Activities**
- Following up with **Participants**
- Following up with **Logistical Needs**
- Following up with **Supply of Consumables** required for the Consultation

## Check List for the Substantive Activities: The four 'P's

### **Participant List**

- identifying and short-listing
- contacting, briefing and sensitising
- confirming attendance/committing

### **Participant Package**

- finalising Participant List
- finalising Programme and agenda
- finalising summaries of Proposition Papers and Core Papers
- finalising the Environmental Profile
- finalising Discussion Worksheets
- finalising the write-up of essential 'notes' on sessions and administrative matters

### **Profile**

- finalising Terms of Reference
- identifying Consultant
- hiring, briefing and engaging her/him
- agreeing on detailed outline
- agreeing on annotated outline
- presenting annotated outline or draft Profile to stakeholders
- finalising Profile

### **Proposition Paper**

- identifying the two specific issues to be discussed at the Consultation
- finalising Terms of Reference
- identifying Consultants
- hiring, briefing and engaging Consultants
- agreeing on outlines
- agreeing on annotated outlines
- finalising Proposition Papers



## Check List for Substantive Activities: The two 'D' s

### **Discussants:**

- identifying the potential priority issues;
- identifying the two specific issues to be discussed in detail;
- identifying the potential stakeholders;
- selecting discussants among the key or lead stakeholders;
- contacting, committing and briefing them;
- providing them with resource support.

### **Discussion Groups**

- finalising the Participant List;
- determining the themes and issues for discussion;
- determining the number and composition of the discussion groups;
- organising discussion rooms and an adequate number of the necessary visualisation aids, cards, worksheets, etc.;
- identifying, among participants, potential Chairpersons and Rapporteurs;
- informing, committing and briefing Chairpersons and Rapporteurs.

## Check list for following up with Participants

The following is a comprehensive list of all the roles that need to be filled for the Consultation. Depending upon the specific needs of your city and the size of your Consultation, actual numbers may vary. Also, you may find one participant filling more than one role; as long as these roles do not conflict, this is acceptable.

For each role, list the name(s) of the participant filling that role, and check off each of the following as they apply:

	Confirmation letter received	Briefing completed
Opening Day Opening Session Chairperson: Opening Speakers: 1. 2. 3. etc.		
Day Two - Environmental Issue Plenary Session Chairperson Facilitator: Resource Person: Discussants: 1. 2. 3. etc Discussion Group Chairpersons: 1. 2. 3. etc. Rapporteurs: 1. 2. 3. etc.		
Day Three - Environmental Issue <i>(same as Day Two)</i>		
Day Four - Institutional Issues <i>(same as Day Two)</i>		
Day Five - Closing Closing Session Chairperson: Closing Session Speakers: 1. 2. 3.		

## Check list of Logistic Needs

### **1. Consultation Site**

- adequate size
- convenient location
- organised for round-table discussion facilities
- suitable for discussion groups to work separately
- office for Consultation secretariat (1 room in the hotel)
- facilities suitable for coffee/snacks (during breaks) and lunches
- adequate furniture
- restrooms
- other

### **2. Consultation Equipment**

- microphone system
- projectors (slide and overhead) and screens
- TV and video cassette player
- blackboard, flip-chart, pin-board, pads and easels
- 2 word processors with WP5.1 software and a printer
- photocopier with sorter and copying paper (~4000 copies)
- telephones telex/telefax
- maps (for each group)\*:
  - 1 base map, 10 copies
  - 3 thematic maps, 10 copies
- banner
- other

### **3. Support Services:**

- secretary, receptionist, telephone operator
- local transportation (short-term drivers, cars)
- catering during breaks and lunches (for more people during opening and closing than during days 2 to 4)
- sitting allowance
- other

### **4. Expendable Consultation Material:**

- Participant Manual
- paper, note pads, pens
- drawing material, mylar, tape, coloured felt pens, chalk, erasers
- Badges and table tags
- other

## Check list for following up with the supply of consumables

The following items should be made available for the use of the Organising Team, in preparation for the Consultation. The quantity for each item is just a rough estimate for a Consultation involving 100 participants; you can easily make your own estimates. Determine the specific requirements of your Organising Team, and the availability of these items in your area, and place purchase orders if need be. Make sure that you have sufficient lead time for delivery; some items may not be easily available in town, and alternative sources may have to be explored.

**Expendable Materials:** (for 100 participants)

PVC box files A4 two ring (blue)	100
Dividers set of 5 (blue)	100
Reams imported coloured paper (blue)	1
Plastic cover A4 (ordinary)	100
Manila paper A4 (white)	200
Conference badges (imported)	100
Manila paper size (29.7 x 10.5 cm) (300 p/colour)	1500
Transparency Paper A4 (box)	1
Box of permanent markers for transparencies (5 colours)	1
Markers (5 red, 5 blue, 5 green, 25 black)	40
Pads - writing lined A4, glued top	100
Pens - ball points, black	100
Pins - mapping, small, all colours	1000
Pencils - HB with rubber tips	10
Diskettes - computer 5.25 DS, DD (box)	2
Diskettes - computer 3.5 micro DS, DD, SS (box)	2
Envelopes - manila 7" x 10"	100
Envelopes - manila 8" x 12"	100