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The SCP Process Activities: A Snapshot of what they are and how they are implemented

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The SCP Process Activities: A Snapshot of what they are and how they are implemented

1. What is the SCP Process?

The Sustainable Cities Programme (SCP) promotes a city management methodology (process) which shifts fundamentally from the traditional technology driven and resource focused development models, and builds on the following basic premises:

- Sustainable cities are fundamental to social and economic development, they are engines of growth;
- Environmental degradation adversely affects economic efficiency and social equity, and hence obstructs the development contribution of cities;
- Environmental degradation is not inevitable; what is required is a proactive management approach built on an understanding of the complex interactions between development and the environment.

*The SCP process
promotes a new city
management
methodology (process)*

The SCP framework represents one such approach which allows priority environmental issues in a city to be effectively addressed. It is a process oriented framework, which permits the different stakeholders to negotiate strategies and seek solutions collectively to priority issues of common concern. The process consists of a logically sequenced interactive set of activities whose systematic implementation and infusion into existing institutions will lead to profound changes in the ways development issues are perceived and addressed.

In a typical SCP city, the process starts with the preparation of an “Environmental Profile” and the identification of priority issues. Key stakeholders from the different sectors - private, public and community - are involved through a consultative process in the preparation of the profile and in identifying the priority issues facing the city. In some cities this is initially spearheaded by steering committees and small consultative groups, which include key stakeholders. The Environmental Profile has two purposes:

Environmental Profile

- it provides base line data and information on activity sectors, the environment setting and management arrangements
- it highlights the interactions between development and the environment and between the different activity sectors - interactions which are triggered through the competing uses of natural resources or which manifest themselves via

the primary and secondary effects of environmental hazards resulting from sectoral activities.

Volume I of the SCP Source Book series describes the outline, preparation and content of a typical city Environmental Profile.

City Consultation

The preparation of the profile is followed by a City Consultation where stakeholders from all levels of government and relevant sectors come together to deliberate and agree on the priority environmental issues confronting their city. A City Consultation in the SCP context has the following objectives:

- to identify, review and expand upon environmental issues of priority concern which affect the sustainable growth and development of the city in question;
- to bring together key actors from the public, private and popular sectors in order that they may commit themselves to agree on the need for and jointly develop an improved city management process;
- to demonstrate through priority urban environmental issues a process of defining concerns at different levels and key actors, and a methodology to establish a cross-sectoral working approach;
- to agree an appropriate institutional structure for the execution of the project that is integrated with and linked to existing structures and in so doing to demonstrate what and how the necessary resources can be brought together to address the issues;

In many cities, the City Consultation has been acknowledged as a unique event which for the first time brings together a large and diverse group of people, provides broader exposure and awareness and inspires a new sharing of responsibilities and pulling together of resources to resolve issues of common concern. The SCP City Consultation is conducted through well structured meeting modules, which combine plenary and group discussions.

- After the opening session of the Consultation, discussants representing a range of stakeholders - ministries, city authorities, parastatals, the private sector, informal sector operators, CBOs and NGOs - highlight issues of concern from their own perspectives, on the basis of which participants discuss and agree on priority issues.
- In the following sessions, participants concentrate their discussions on selected priority issues, the purpose being to *demonstrate* a participatory working group approach to addressing specific issues. Splitting into thematically organised smaller groups, stakeholders further analyse the issues from different perspectives, the results of which are reported back to the plenary.

- Thereafter, participants examine institutional aspects and the roles of the different stakeholders in addressing the demonstration priority issues.
- In the closing session, the consultation issues a declaration through which participants commit themselves to continue working on the issues through a cross-sectoral participatory process, and initially using the city SCP project as a framework and vehicle.

The details on how to organise and conduct a SCP City Consultation are documented in Volume II of the SCP Source Book series.

After the City Consultation, negotiations on issue-specific strategies resume through Working Groups, which are constituted from the stakeholders in the respective issues to develop action-plans. Acting as cross-sectoral platforms for negotiation, Working Groups bring on board the relevant stakeholders who are affected by the issue (negatively or positively), and who possess the required authority, expertise and information and therefore have the competence and capacity to contribute to addressing the issues. Hence the Working Groups are the primary vehicle of the process, and make cross-sectoral participatory planning and decision-making possible. The procedures involved in establishing and operationalising Working Groups, and in negotiating strategies and action-plans, are described in the SCP Source Book series, Volumes III and IV respectively.

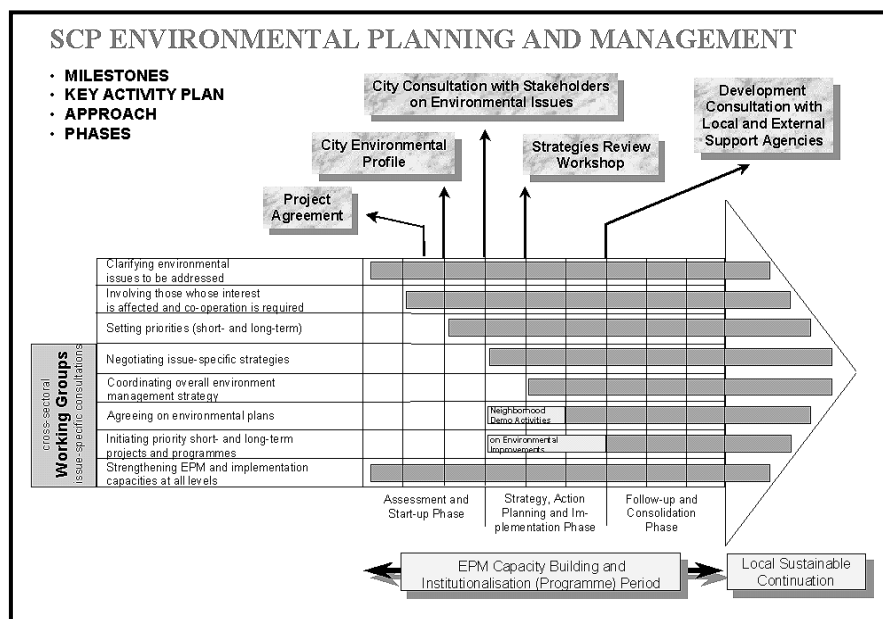
*Negotiating strategies
through Working Groups*

In all activities and phases, institutionalising the process remains the overarching objective which will continue to engage cities long after the SCP demonstration projects have been completed. Although the SCP activities (preparing the Environmental Profile, conducting the City Consultation, establishing Working Groups, formulating strategies and institutionalising the process) are logically portrayed in a sequence of phases and stages, as if one feeds into the other, in reality they rather represent a complex, multi-track process.

2. What SCP city demonstration activities mark the key stages of the process?

- Preparing the Environmental Profile;
- Conducting the City Consultation;
- Establishing and Operationalising Working Groups;
- Negotiating (Formulating) Strategies and Action-Plans;
- Institutionalising the EPM Process (this cuts across and is initiated in parallel with the four activities above).

*The SCP process
activities*



3. The steps: What do you need to prepare the Environmental Profile?

Familiarisation and starting-up

1. Assign local/national consultant to assist local experts and stakeholders in preparing the City Environmental Profile and familiarise her/him with the SCP process and tools;

2. Establish a local 'consultative group' consisting of relevant stakeholders and experts who prepare the profile together with the consultant;

3. Contact the information sourcing institutions and sensitise them with the view to fully involving them in the preparation of the profile; it is crucial that the profile is perceived as a joint product of the stakeholders;

4. Survey the existing stock of relevant information and documents available for the exercise; often the problem is not lack of information, but rather its fragmentation and inaccessibility or its limited sectoral use. The preparation of the profile provides an opportunity to identify sources of information, to determine prevailing information gaps and to make better use of information;

Preparation

5. Prepare the Table of Contents of the profile and discuss it with the stakeholders. This discussion serves two purposes: one, it familiarises the stakeholders with the generic structure of the profile and the principles this structure has been founded on, and allows them to customise the structure according to their local circumstances (the generic Environmental Profile table of contents which appears in Volume I of the SCP Source Book is reproduced below); and two, it encourages stakeholders to start thinking in terms of 'cross cutting priority issues';

6. Prepare an annotated outline. This is an expanded version of the Table of Contents which breaks the structure into sections,

headings and sub-headings and flags key issues or items which will be covered in the profile;

7. Discuss the annotated outline with the project team, the consultative group and key stakeholders and actively solicit their comments; a good annotated outline presages a good profile;

8. Draft the profile and circulate it among the same group of people who have discussed the annotated outline for their review and comments;

9. Produce the profile in three versions: one, a comprehensive working document in unbound format (in a spring file) which includes detailed information on each section of the environmental profile together with relevant appendices and with a complete list of source materials; two, a summary report (not more than 25 pages) which follows the same outline as in the comprehensive profile, but in summary form; and three, an executive summary (not more than two pages) which highlights the major findings and lists possible priority issues as reflected in the profile. Each of the versions will have a specific use and audience: (a) the comprehensive profile remains as a working document which will be used and constantly updated by the relevant working groups; (b) the summary profile is for wider circulation and day-to-day use by decision makers and practitioners; (c) the executive summary is for presentation and discussion at the city consultation;

10. Finalise the profile and launch it at a workshop or seminar where its content can be highlighted, and its future use and updating discussed.

EXAMPLE: Table of Contents

TABLE OF CONTENTS

Chapter 1. City Introduction

- 1.1 Physical Characteristics**
- 1.2 Historical Development**
- 1.3 Social Structure**
- 1.3 Population Characteristics**
- 1.4 Employment**
- 1.5 Economic Structure and Activities**

Chapter 2. The Development Setting

- 2.1 Agriculture**
- 2.2 Water Supply**
- 2.3 Sanitation**
- 2.4 Fisheries**
- 2.5 Industry**
- 2.6 Tourism and Recreation**
- 2.7 Wastewater Management**
- 2.8 Solid Waste Management**
- 2.9 Transportation and Telecommunication**
- 2.10 Housing**
- 2.11 Health Care**
- 2.12 Energy**
- 2.13 Informal Sector**

Chapter 3. The Environment Setting

Urban Environmental Resources

- 3.1 Land**
 - *build up*
 - *urban agriculture*
 - *forestry*
 - *recreational natural areas*
 - *mining*
- 3.2 Water**
 - *surface water*
 - *ground water and aquifers*
- 3.3 Air**

Urban Environmental Hazards

- 3.4 Flooding**
- 3.5 Landslides**
- 3.6 Earthquakes**

Chapter 4. The Governance and Management Setting

- 4.1 Governance**
- 4.2 Key Stakeholders**
 - *Public Sector*
 - *Popular Sector*
 - *Private Sector*
- 4.3 Management Setting**
 - *Information and Expertise*
 - *Policy Formulation*
 - *Policy Implementation*
- 4.4 Strengthening Management Arrangements**

ABBREVIATIONS

BIBLIOGRAPHY

Annex A:....

Annex B:....

4. The steps: What do you need to do to organise and conduct a City Consultation?

1. Commit stakeholders in the public, private and popular sectors: political leaders, officials at the helm of the key sectors, community and private sector representatives, leaders of women's and youth groups and academic institutions are potential stakeholders and partners whose support for the promotion and eventual institutionalisation of the process is required;

Establishing COT & committing participants

2. Establish a Consultation Organising Team (COT) and thoroughly brief and task the members: the team should, among others, include the city SCP project team, resource persons, consultants, personnel whose support and skills are required for organising the necessary logistics and media or press person;

Preparing the City Consultation

3. Prepare the consultation workplan: the consultation is a high profile city-wide public meeting which requires a detailed check list of preparation; nothing is too small and trivial to be overlooked;

4. Identify participants and commit them to participating in the consultation: this involves fixing tentative consultation dates, advance announcement of consultation date and early contact and dissemination of general background information;

5. Focus the consultation on priority issues in general and demonstration issues in particular. Demonstration issues are issues which are suitable for demonstrating a cross-sectoral working group approach to addressing environmental issues;

6. Prepare core papers, proposition papers and discussion group worksheets¹: this involves preparing TORs, assigning resource persons, agreeing on annotated outlines and worksheet designs, following-up, finalisation and production.

7. Select, assign and guide discussants; discussants are stakeholders who highlight issues of concern from their perspectives and who in response to propositions reflect what key aspects and elements of issues they think should be considered and how they should be addressed;

8. Select, assign and engage an experienced consultation facilitator who is familiar with the SCP process, its consultation modules and the use of visualisation techniques. The earlier the facilitator is involved in the preparation the better so as to ensure he/she is fully aware of all the necessary details;

¹ Core papers consist of overview papers on the city, the SCP process, the city SCP project and the city consultation. A Proposition Paper is a forward looking issue-specific paper which will provide an overview of the issue and highlight possible approaches and experiences that can be adapted in dealing with the issue.

9. Produce the 'Participant Manual'; a Participant Manual is a carefully selected set of documents prepared and packaged in advance for distribution at the City Consultation; participants will come to the consultation, not to merely listen, but to deliberate and air their views, and hence need to be well briefed and equipped with relevant background documents, proposition and discussion papers;
10. Arrange and finalise logistics.
11. Contact and confirm with the guest of honour, keynote speakers and other high level officials whom you aim to draw to the consultation. Finalise the consultation programme and assist in preparing opening speeches;
12. Select and assign chair persons of the plenary and discussion groups, and introduce them to the themes of the respective sessions and the use of visualisation techniques;
13. Use the media and press consciously and aggressively to inform the public of the purpose of the consultation and its follow-up activities, and of the progress of consultation preparations;
14. Conduct the consultation: establish an executive group, which will oversee the proceedings of the consultation and take strategic decisions where adjustment and improvement will be necessary;
15. Report the consultation proceedings and its substantive results: the report will be produced in a comprehensive version for reference and a summary version for circulation.

Sequence of City Consultation Modules

Module 1	Opening and Overview
Module 2	Reviewing Environmental Issues
Module 3	Discuss Environmental Issues
Module 4	Discuss Institutional Issues
Module 5	Summary
Module 6	Adoption of the City Consultation Declaration and Closing

16. Produce and disseminate the Consultation Report.

5. The steps: What do you need to do to establish and operationalise "Working Groups"?

1. Identify key stakeholders: key stakeholders are those who are seriously affected by the issue, those whose capital, expertise and information is crucial to resolving the issue, and those who possess relevant policy and implementation instruments;²

² Initially the focus should be on primary or key stakeholders who may have to form the core working groups. A technique that could be applied for identifying

2. Sensitise stakeholders and solicit their support; initially sensitisation can take place on a bilateral basis, on a sectoral basis, or by targeting clusters of interest groups. Bringing all stakeholders around an issue is not necessarily a straightforward thing. Experience has shown that even where people have a fairly observable common interest and concern around an issue, a number of factors obstruct them from coming together and solving the issue. Such factors include, among others, the following:

Identifying and sensitising stakeholders

- differing perceptions of and perspectives on the issue among the different groups of stakeholders;
- the propensity of stakeholders to identify themselves with activities and sectors or geographic constituencies/entities rather than with issues, which are cross-cutting, link sectoral activities and transcend administrative levels.

3. Prepare user-friendly materials suitable for systematic orientation and sensitisation. Generally the sensitisation sessions should follow the following sequence: introducing the SCP concept and process, followed by clarification of priority issues and succeeded by the introduction of special techniques and tools relevant to each of the subsequent SCP process phases;

4. As part of the sensitisation process, start exploring, together with the stakeholders, the most suitable and effective institutional framework which will enable the operationalisation of cross-sectoral participatory processes such as the working group;³

5. Establish core Working Groups: these can be anchored in or attached to the respective lead institutions, paving the way for the eventual relocation of working group activities into the host (lead) institutions;

Establishing core groups

6. Formalise the Working Groups and the participatory process (with the Working Groups as its vehicle) at the City Consultation;⁴

Formalisation and consolidation

7. Immediately following the City Consultation, assign one coordinator for each working group and establish a Coordinating Working Group which is composed of the group coordinators and possibly of professionals selected from within the project's Technical Support Unit (TSU).⁵ Immediately after the consultation,

the primary stakeholders is illustrated in Volume III of the SCP Source Book series.

³ Learning from experience, the establishment of Working Groups in Chennai and Lusaka was preceded by a detailed analysis and determination of the institutional framework in which the working groups should operate.

⁴ The first formal document through which stakeholders confirm their subscription to the principles of the cross-sectoral participatory process will be the declaration, which is issued at the end of the City Consultation.

⁵ A generic Terms of Reference for a Working Group Coordinator, a Coordinating Working Group and a Technical Support Unit appear in Volume I of the SCP Source Book Series.

the first task of the Working Groups will be to further sharpen and articulate the issues, while that of the coordinators will be to develop a detailed work programme guiding the Working Groups;

8. Set up, with the establishment of the Working Groups, a documentation system⁶, which will track progress at each stage of the process. The documentation exercise has three other purposes to fulfill:

- one, it facilitates the construction of the outputs of the Working Groups which emerge incrementally in bits and pieces into tangible end-results, namely strategies, action plans and projects;
- two, it enables the building of issue-specific data bases which then feed into a multi-modular Environmental Management Information System (EMIS); and
- three, it catalyses the learning process.

9. Expand the Working Groups by including new members whose interest and role has been recognised at the City Consultation and thereafter;

10. Constantly build the competence and vitality of the Working Groups, through the following:

- ensure that the Working Groups are composed of (a) the key stakeholders including the most pertinent institutions; the composition should reflect the stake or interest, concern and competence vis-à-vis the issue; and (b) the most senior representatives of the stakeholder groups; so as to enable the decision making capacity and competence of the working groups;
- in a situation where it is difficult for senior decision makers to regularly participate in Working Groups, create a small second higher tier of groups which are particularly composed of key decision-makers with the view to ensuring that proposals of Working Groups are implemented;⁷
- adjust the composition of the Working Groups as you go through the strategy planning exercise with the view to obtain and maintain the right mix of expertise and competence; while the participating institutions, and possibly the core members can remain the same, some of

The competence of the Working Groups is key to success

⁶ A complete and comprehensive documentation system include two types of documentation: one, substantive documentation which follows the issue-specific strategy formulation cycle and which will make extensive use of maps; and two, the process focused narrative describing who was involved and how the strategies and the action plans were negotiated and agreed.

⁷ City examples of such two-tier structures applied in Chennai, Dar es Salaam and Lusaka are described in Volume III of the SCP Source Book Series.

the members may change over time due to the changing nature of required expertise and mandate at each stage of the process; as a general rule, the role of policy makers and legislators is extremely important at the strategy negotiation stage, whilst this role will be progressively shifted in favour of people at the managerial and technical level as the exercise gradually moves to the action planning and project development stage.

11. Along with the above, ensure that the Working Groups are provided with the necessary technical advice and support services;⁸ such needs can be of a general support nature such as profiling the base line situation, GIS and mapping, financial and economic analysis of priority projects and moderation of meetings and negotiations, and of a specialised nature which requires special scientific and technical expertise in understanding and resolving specific issues; the type of technical support and the amount of work hours required depends on four factors:⁹

- one, the complexity and scale of the problem the working group is dealing with;
- two, the goal (target) to be achieved and the scale and complexity of programmes and projects that need to be developed;
- three, the competence of the working group members; and
- four, the stock of existing knowledge and know-how the working group can readily draw on;

12. Build credibility by demonstrating that the process can incrementally lead to better solutions and profound changes through concrete initiatives and projects, which later can be up-scaled and replicated;¹⁰

⁸ Technical support services to working groups can be organised through the Technical Support Units, national and international consultants. For the different modalities of organising technical support see Volume III of the SCP Source Book Series.

⁹ Technical support needs have a direct functional relationship with the first two factors and an inverse relationship with the last two factors.

¹⁰ A project would be considered a demonstration project with a potential to be replicated when, among others, it can pass two tests: one, that it is financially feasible; meaning that it can self finance or recover its cost or has the likelihood to be implemented through resource leveraging; two, that it is institutionally feasible, meaning there is a clear and sound institutional framework in place geared to ensuring the operational and managerial sustainability of project achievements.

What is NOT a Working Group?	What IS a Working Group?
<ul style="list-style-type: none"> ▪ It is not a technical committee ▪ It is not a mere advisory group ▪ It does not replace an institution ▪ It is not permanent ▪ It is not confined to specific levels of interventions ▪ It is not rigid ▪ It is not necessarily citywide ▪ It is not confined to short term interventions ▪ It does not rely on any one single institution for technical support ▪ It is not sector specific 	<ul style="list-style-type: none"> ▪ It is a platform for negotiations ▪ It is a decision-making mechanism and is able to translate its agreements into action ▪ It brings together institutions and forges partnerships ▪ It lasts till the resolution of the issue ▪ It negotiates at the political, managerial and implementation levels ▪ It is flexible enough to accomodate new stakeholders and related issues ▪ It can focus on issues of particular localities or neighbourhoods ▪ It articulates visions and formulates strategies ▪ It draws on the resources and expertise of a variety of institutions ▪ It is cross-sectoral in representation

6. The steps: What do you need to do in negotiating (formulating) issue-specific strategies?

Clarification of issues

1. Clarify the issue: clarification of an issue entails analysing the problem from different perspectives; techniques like “problem trees” which enable the construction and analysis of a hierarchy of causes and effects can be applied; the technical rigour of problem analysis will not suffice for an effective understanding and resolution of an issue; considering the issue from the different perceptions and perspectives of the concerned stakeholders is the key aspect of strategy planning in the context of the SCP process; what the issue means for one group of stakeholders may differ from that of another group, and such differences should not be diffused, rather they must be clarified and reconciled;

2. Conduct carefully organised issue-specific mini-consultations with a view to involving a wide range of stakeholders in clarifying issues and in discussing strategy options, and make better use of the Environmental Profile throughout the process of issue clarification;

3. Build, through a series of deliberations, a common understanding of the issue: this builds on problem analysis, the results of which highlight the economic and social significance of

the issue, the underlying causes and factors, the prevailing, financial, technical and institutional constraints, and the economic and social costs borne by the different stakeholders;

4. Consider policy options: this requires a thorough knowledge of two things:

- one, what policy instruments exist and who has control on them. Participation in the Working Groups of those stakeholders with policy instruments is crucial; and
- two, knowledge of the possible effects of the different policy instruments vis-à-vis the issue; previous experience and tested models should form the basis of deliberation and decision-making, and therefore expertise to advise the working groups on the relative impacts (pros and cons) of the different policy options is necessary.

*Policy and
implementation options*

5. Consider implementation options: a selected policy option can be implemented via different modalities;¹¹

6. Organise an Environmental Strategies Review Workshop (ESRW) to present the draft strategies to the wider interest groups and to formally adopt them as 'agreed strategies';

7. Translate the agreed strategies (agreed broad policy and implementation principles) to action through action plans by applying the following procedures:¹²

- Take stock of who the potential actors are, what technical, managerial and financial resources they have and what constraints (including legislative and institutional) they face? In other words consider the action possibility curve - what and how much can be done in a given time frame?
- Derive realistic and physically measurable targets (goals);
- Determine the necessary human and financial resources and the institutional and legislative requirements necessary for achieving the specific (targeted) goals;
- Negotiate who does what and who foots the bill;
- Negotiate the time frame and ensure that the activities, the corresponding costs and time frame are aligned with, or fed into, the work programmes and annual budgets of the

Action planning

¹¹ An example in Volume IV of the SCP Source Book series illustrates how different modalities of privatisation have been considered and evaluated for implementing the privatisation of solid waste collection in Dar es Salaam.

¹² Strategies themselves can be considered as broadly defined actions or interventions. The further breakdown of such broad interventions into more concrete action elements and sub-elements with clear specification of the actors, cost estimates and time frame will result in action plans.

respective institutions participating in the preparation of the action plan.

8. Reconcile and aggregate issue-specific strategies. This will be done through the construction of development suitability maps resulting from spatial environmental sensitivity analysis and through the overlaying of maps capturing issue-specific strategies which are relevant for determining the future growth pattern of the city;¹³

7. How do you ensure that the approaches and activities promoted and the capacities improved through the SCP demonstration activities will be institutionalised?

7.1 What is institutionalisation?

The SCP process is said to be institutionalised when it is understood, widely accepted and routinely applied to decision-making in environmental and urban management and planning. Changes in management approaches and processes, and their economic and social returns and positive effects can be felt only when they are firmly rooted and routinely practiced, and this is achieved through a consistent internalisation and mainstreaming of the process activities and approaches within the existing institutional framework.

7.2 What to institutionalise?

The consistent application and promotion of the SCP process is expected to lead to the consolidation of participatory approaches, the strengthening of system wide capacities and the improvement of cross-sectoral and inter-agency coordination.

More concretely, the consistent application and promotion of the SCP process leads to improvements in information and expertise, in decision-making, in implementation and in efficient resource-use. What the SCP cities aim to institutionalise therefore are the core principles, the system wide capacities and the process-led products or outputs which are instrumental in effecting change and improvement in the above mentioned four areas.

¹³ An example from Dar es Salaam on aggregating issue-specific strategies and developing a Strategic Urban Development Planning Framework appears in Volume IV of the SCP Source Book series.

What to institutionalise?

	Information	Strategies & decision making	Implementation	Efficient Resource Use
Hard core (core principles)	transparency and sharing of information	strategies around issues	coordination	leveraging of resources and strategic use of external resources
Software (capacity & expertise)	expertise in EMIS and GIS	expertise in planning and project formulation	absorptive capacity (in executing projects), mechanisms for coordination	improved capacities in project packaging and resource mobilisation
Product (EPM outputs)	Environmental Profile	strategies, action plans, agreed development principles and rules	implementation of demonstration projects and up-scaled demonstration projects	increase in resources, funding sources and partners

7.3 How to institutionalise?

Which of the above are promising areas for improvement and therefore for institutionalisation, and how to go about this, will of course be greatly affected by the political and administrative arrangements, the development and environment setting and the level of administrative sophistication prevailing in each particular city and country. It is also up to the concerned city to identify the critical management bottlenecks and the promising areas it would like to focus on, for effecting change and improvement. In general however, institutionalisation of the SCP process can be pursued through the following ways:

- building institutional structures;
- changing and adjusting institutional mandates;
- identifying and tasking anchoring/lead institutions;
- linking the process to strategic policy instruments such as capital budgeting and physical planning;
- developing the necessary skills;
- changing or amending relevant legislation;
- providing the necessary funds to finance the recurrent expenditure required to support the process;
- Establishing a knowledge gate-keeping mechanism and keeping the learning and experience sharing process alive.

The SCP process activities can be embedded in, or linked to

- the lead institutions which have the most visible role and the relevant policy and implementation instruments through strengthening their capacities and competencies by equipping them with process and topic specific tools and support services such as the EMIS and the GIS;¹⁴
- the existing routine systems which serve to shape decisions, allocate resources and set priorities, such as capital budgeting and urban development planning, via the modification of existing procedures and budgeting and planning practices with the view to make them accommodate strategies and project priorities generated through the process;
- the education establishments by involving them in translating and fine tuning the SCP process and topic tools for better local use and in integrating them into their training curricula; and
- The research institutions and consulting firms via the creation of a pool of experts who are conversant with the process so as to be able to propagate (through researched case studies and documentation and workshops and seminars designed to promote sharing of experiences) and support city demonstrations and replications.

7.4 Who are the 'change agents'?

All said, institutionalisation can succeed only if it is perceived as a self propelling and locally owned process, and this requires people who have well understood and subscribed to the process, and are strategically placed and prepared to nurture and promote it consistently. These are the 'change agents' and propellers of the process. Potential 'change agents' could be identified by:

- their position in the decision making process (e.g. the city mayor and chair person of an elected council);
- their position in the execution of development strategies and programmes (e.g. head of the water sector);
- their role in decision-making support services including information and research (e.g. head of the planning and research department and the GIS specialist);
- their enlightenment and exposure to the SCP principles, approaches and processes (environmental specialists and activists, academics and consultants);

¹⁴ That is precisely why the lead institutions should form part of the core working group and be brought on board from the word 'go'.

- their valuable local knowledge (e.g. retired civil servants, local community leaders);
- their popularity and acceptance in their constituencies (e.g. women and youth leaders, senior citizens, long serving elected councilors);
- their outstanding public relations and communication skills (e.g. reputed journalists and training specialists).

8. How do you know that changes are being effected through the SCP process?

The SCP process is about changes in management approaches and practices and improvement in decision-making and planning capacities. The functional relationship existing between the SCP process on one hand and better information, decision making and implementation capacities on the other is not disputed. Cross-sectoral and stakeholder based participatory planning approaches are well established as a more efficient city management methodology. However monitoring progress in the realm of management is a task haunted by two difficulties:

- one, the process is characterised by features and attributes such as participation and consensus building, which are difficult to quantify and measure; and
- two, like all other causations, correlating precisely the functional relationship between the progress in the process and the changes and improvements on the ground is not quite straightforward.

Nonetheless, pioneering ground work which attempts to introduce a systematic set of procedures and indicators to measure progress in the Environmental Planning and Management (EPM) process has been undertaken through the Urban Environment Forum and its results have been published.¹⁵

Although the process indicators would naturally involve subjective judgment, over time, their consistent application will allow gauging directions and trends of change in improving planning and management. The process indicators will enable a systematic response to the basic questions of monitoring, namely, who, where, when, how much? and how good?

A complete monitoring system, in the SCP context, covers the following three levels:

¹⁵ For details see the UEF document entitled “Measuring Progress”, 1999. The key elements and modules of the SCP act as a corollary to those of the EPM process, and therefore the EPM indicators are fully applicable to the SCP process.

Three levels of measuring progress

- Process level: Measuring progress at the process level is focused on the adaptation of the fundamental SCP principles (such as stakeholder participation in decision-making or formulating strategies through negotiations and consensus building) and building system-wide capacities not only in the traditional public sectors, but also in the private and popular sectors;
- Project level: Measuring progress at the project level is related to the conventional practice of tracking immediate objectives and expected outputs through indicators which are traditionally known as 'success criteria';
- Physical level: This is related to monitoring improvements in the physical environment, economic efficiency and social equity resulting from, and attributable to changes engendered through the SCP process.