

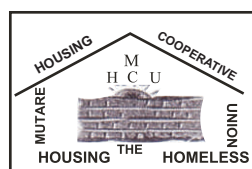


Community Based Urban Planning Toolkit(CBUPT)

A Step-By-Step Approach to Community Based Urban Planning & Development in Zimbabwe



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Glossary Of Terms

CAPP	-	Community Action Planning and Prioritization
CBUT	-	Community Based Urban Planning Toolkit
CBP	-	Community Based Plan
CBOs	-	Community Based Organizations
CCDS	-	Centre for Community Development Solutions
EMA	-	Environmental Management Agency
ICTs	-	Information Communication Technologies
MDU	-	Manicaland Housing Cooperative Development Union
NGOs	-	Non-governmental Organizations
SMART	-	Specific, Measurable, Achievable, Realistic and Time-bound
PEOPLE UP	-	Promoting Examples of Participatory Urban Planning
WADCO	-	Ward Development Committee
UN-HABITAT	-	United Nations HABITAT
UZ	-	University of Zimbabwe

Foreword

The Community Based Urban Planning Toolkit (CBUPT) is designed to document key processes, steps and tools that strengthen participatory urban planning to improve service delivery in urban and peri-urban areas of Zimbabwe based on practical lessons and experiences in the field. The toolkit presents a unique opportunity for practitioners, researchers, policy makers, local government officials and their allied professionals to understand the key principles and benefits of community based urban planning in urban and peri-urban areas. The benefits of applying community based planning principles to urban and peri-urban planning are many and varied: they include strengthening ownership of the planning process and outcomes, unlocking of stakeholder value and support for urban development initiatives, increased transparency and accountability of local development processes and increased investment and growth within the local authority itself.

The CBUPT presented in this module has several key steps as follows:

- Step 1:** Making a Case for Community Based Planning
- Step 2:** Engaging and Mobilizing Key Stakeholders
- Step 3:** Developing a Planning Road Map
- Step 4:** Preparing for Community Based Urban Planning
- Step 5:** Conducting the community based urban planning process at Ward Level
- Step 6:** Integrating Community Based Planning Outcomes into Municipal Planning Process
- Step 7:** Creating Linkages with Multiple Stakeholders and the Private Sector
- Step 8:** Conducting participatory reviews of Municipal Strategic Plan
- Step 9:** Influencing the Local Authority Planning and Budgeting Process
- Step 10:** Facilitating Participatory Municipal Action Plan Development
- Step 11:** Developing a Participatory Monitoring and Evaluation System
- Step 12:** Evaluating Municipal Performance and Taking Corrective Action
- Step 13:** Institutionalization of Good Practices
- Step 14:** Sharing good community based urban planning practices with others
- Step 15:** Gaining recognition and support at all levels.

These 15 steps are not necessarily cast in stone as they are always adapted in different situations and depending on the existing processes within any given local authority. The steps can be applied in an innovative way in different local authority settings in Zimbabwe.

Foreword

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Acknowledgements

The Toolkit on Community Based Urban Planning is unique in a number of ways. Firstly, it reflects a combination of key principles in participatory development and the modern requirements for sustainable urban development in Zimbabwe. Secondly, the key steps and tools can be adapted to different contexts with relative easiness if the user is innovative and well versed with the principles of participatory and interactive development. Thirdly, the toolkit is designed for use by a wide variety of practitioners including researchers, community based workers, rural and urban development facilitators, extension support agencies and any other interested audiences.

The final product owes its meaning and sharpness to some concerted level of effort by Practical Action Urban Services Project Team led by Tariro Kadzirange who worked tirelessly to guide the planning and development process of the toolkit. The partners of the People UP Project namely Civic Forum on Housing and Mutare District Housing Union provided valuable inputs on some of the specific tools and practical case studies and experiences from the field. The project must be credited for having managed to maintain a very good database and documentary base on the project which enabled the Centre for Community Development Solutions (CCDS) to effectively support the design and layout of the Toolkit. CCDS must be credited with its tireless efforts to see the process through given the need to consult widely with all the stakeholders.

The production process of the toolkit involved extensive review of the existing documentation, production of an inception report laying out the structure and content of the toolkit, review, writing and re-writing of key sections of the toolkit, peer review of the toolkit with partners and interested key stakeholders to check relevance of the toolkit and ensure a balanced refinement process. Finally overall clarity of the Toolkit was ensured through working with some critical reviewers with hands-on knowledge and experience on community based urban planning in Zimbabwe.

Tariro Kadzirange

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Introduction to the Community Based Urban Planning Toolkit

CONTEXT AND FRAMEWORK

Participatory Urban Planning is a dynamic process that emphasizes involving the entire community in the strategic and management processes of urban planning. It emanates from the perspective that poor and often marginalized people can and should be enabled to analyze their own reality in order to participate effectively in the planning and development process. This consideration has been made much more significant by the constant pressures for urban local authorities to provide more efficient and effective services to the meet the needs and priorities of citizens. Local authorities often lack good urban governance and management tools for ensuring service delivery demands are met. Urban local authorities in Zimbabwe are not an exception to this scenario of unmet service delivery needs. Practical Action Southern Africa, concerned with deteriorating urban conditions, designed a project entitled Promoting Examples of Participatory Local Empowerment (PEOPLE UP)

aimed at improving the living conditions of poor and marginalized urban and peri-urban residents by accessing and sustaining basic municipal and infrastructure services.

The PEOPLE UP project recognized that the legal provisions for citizen participation in the affairs of Local Authorities as enshrined in the Urban Councils Act have not often resulted in effective community participation. As a result, urban residents have progressively been marginalized from the planning process resulting in exclusion of their voices in service delivery priorities. Consequently, lack of citizen participation combined with macro-economic challenges faced by the economy in the past 10 years, has resulted in poor service delivery characterized by erratic water supplies, collapsing waste management systems, poorly maintained roads, chronic sewage blockages and unresolved tenure issues in urban areas.



Community-based planning in progress in Epworth.

The PEOPLE UP project seek to promote a bottom-up approach in which communities are equipped with the skills and a platform to participate in the municipal planning process. The project seeks to demonstrate inclusive and replicable approaches for the delivery of basic urban services for poor men and women in City of Mutare and Epworth to enhance ownership and income of poor people. The project envisaged four main outcomes:

- Strengthened Local Authorities with established structures and processes to consult and fully integrate infrastructure service delivery needs and priorities of poor urban and peri-urban residents.
- Enhanced capacity and voices of local communities and their leaders to understand and demand improved service delivery and also establish partnerships that

improved service delivery and increase income and employment opportunities for the urban poor.

- Formation of partnerships that increase income and employment opportunities for urban poor from service delivery and finally;
- Development of a toolkit for dissemination to other local authorities as a way of influencing their practice as well as embedding participatory practices and articulating the local development agenda in the planning process.

Introduction to the Community Based Urban Planning Toolkit

While there are many urban development projects that have attempted to incorporate participatory urban planning principles, the tools and methodologies used have not been documented and shared in a systematic manner to enable key stakeholders such as local authorities and other local support organizations to promote them within their day to day work. This forms the main motivation for the development of a participatory community based urban planning toolkit by Practical Action based mainly on field practice and lessons from the PEOPLE UP project implemented in City of Mutare and Epworth.

A large proportion of these tools are not entirely new to development practitioners but their application in different contexts may vary, hence the need for practical skills to help improve wider uptake and use in different local authority contexts.

THE PARTICIPATORY URBAN PLANNING PROCESS IN ZIMBABWE

There is no universally defined participatory urban planning process in Zimbabwe. However there is a rich history of urban planning practice in Zimbabwe that has created the current urban planning system in the country.

With the introduction of participatory approaches, in the late 1980's, interest in developing participatory planning techniques for urban areas also grew mainly through NGOs who started to integrate new methodologies within their work. Practical Action is one of the leading international agencies that have been using participatory community based planning approaches in their urban work in different continents of the world.

Despite all the initiatives focusing on participatory community based urban planning; replication on a wider scale has been problematic due mainly to limited access to tools that have worked in real practice by key actors such as local authorities. The Community Based Urban Planning Toolkit should therefore be seen as a catalyst for a move towards strengthening the participatory urban planning process in Zimbabwe.

Introduction to the Community Based Urban Planning Toolkit

THIS TOOLKIT

This “Toolkit” is designed to link key urban planning processes with relevant tools of practice to make it easy for local government officials and other interested users to promote participatory urban planning within their work. The toolkit is designed as follows:

Phase	Key Steps	Replicable Tools
PREPARATION AND STAKEHOLDER MOBILIZATION	Step 1: Making A Case for Community Based Urban Planning Step 2: Stakeholder Engagement & Mobilization Step 3: Developing a Planning Roadmap	Readiness Assessment Checklist Facilitation skills and competences Checklist City Profiling Vulnerability Assessment Gender Assessment Stakeholder Mapping and Analysis Multi-stakeholder dialogue facilitation Future Search Scenario Building
PARTICIPATORY PLANNING AND STAKEHOLDER COMMITMENT	Step 4: Pre-planning with Local Stakeholders Step 5: Community Based Planning Step 6: Participatory Local Government Planning and Budgeting Process Step 7: Building multiple linkages with stakeholders and the private sector	Situational Analysis Template Debriefing Local Stakeholders CBP Training of Trainers Workshop Identification of Socio-Economic Groups (SEGs) Ward Level Planning Process Community Feedback & Prioritization Workshops Local Government Participatory Planning and Budgeting Workshops Responsive Capacity Building Stakeholder feedback and planning workshop
PARTICIPATORY STRATEGY FORMULATION AND IMPLEMENTATION	Step 8: Participatory Municipal Strategic Plan Review Process Step 9: Strategic formulation and public awareness Step 10: Participatory Local Authority Action Plan Development and Implementation	Strategic Review Workshop Strategic Issues Public Awareness Template Local Authority Action Plan Template
FOLLOW-UP, MONITORING AND EVALUATION	Step 11: Identifying most relevant monitoring tools for tracking agreed targets Step 12: Evaluating Performance and Taking Corrective Actions Step 13: Institutionalization of good practices	Community Monitoring Tool Monthly Feedback Meetings Annual Reviews
LEARNING, GROWTH AND POLICY INFLUENCING	Step 14: Sharing good practices with others to influence institutional and policy processes Step 15: Gaining recognition and support at all levels.	Stakeholder Workshops Thematic Learning Workshops Symposiums on Topical Issues Expos

Introduction to the Community Based Urban Planning Toolkit

The objectives of the five phases for participatory urban planning are outlined in the table below:

Phase	Specific Objectives
Preparation and Stakeholder Mobilization	This phase initiates the participatory urban planning process and comprises the following key stages: • Building internal commitment for participatory urban planning process; • Sensitizing and mobilizing all relevant stakeholders; • Preliminary profiling of the situation on the ground and baseline; • Identifying key issues for planning and stakeholder engagement. • Developing a roadmap for participatory urban planning.
Participatory Planning and Stakeholder Commitment	This phase is designed to deepen the participatory and consultation processes for effective citizen and stakeholder participation. It entails: • A more detailed situational analysis; • Community based planning based with existing socio-economic groups and stakeholders. • Community Action Planning and Prioritization (CAPP) • Integrating community priorities into local government planning and budgeting cycle • Building strategic partnerships with stakeholders, civil society and the private sector for effective implementation of community projects.
Participatory Planning and Stakeholder Commitment	This phase is designed to deepen the participatory and consultation processes for effective citizen and stakeholder participation. It entails: • A more detailed situational analysis; • Community based planning based with existing socio-economic groups and stakeholders. • Community Action Planning and Prioritization (CAPP) • Integrating community priorities into local government planning and budgeting cycle • Building strategic partnerships with stakeholders, civil society and the private sector for effective implementation of community projects.
Follow-up, Monitoring and Evaluation	This phase is designed to develop responsive monitoring tools linking community level urban planning processes with meso-level processes focusing on: • ☐ Ensuring implementation of agreed action plans; • ☐ On-going monitoring and evaluation • ☐ Scaling-up replicable initiatives • Documentation and institutionalization of good practices.
Learning, Growth and Policy Influencing	This phase is designed to promote participatory learning and reflection by all actors involved in the participatory urban planning process to ensure growth and policy influencing.

Introduction to the Community Based Urban Planning Toolkit

APPLICATION OF THE TOOLKIT

The analytical framework for participatory urban planning toolkits provided above is meant to provide a generic framework for enabling the practitioner to make appropriate choices on what tools to use in a given situation. The practitioner should have much more power over the toolkit than the other way round. Whatever their specific origin, these are *generic tools*, not designed for particular situations but *generally applicable*, with suitable modification, to any specific local context. Local application in this sense means that the details of the tool and its use can be modified to suit important variations among city situations. The basic tool concepts, however, remain unchanged because they are valid for the full range of different city circumstances. The ways in which this Toolkit can be locally applied will vary significantly, depending not only upon local circumstances but also upon the nature of the task at hand. The framework, for example, can be applied as an over-all concept and approach, together with all of the relevant tools, or a specific set of tools can be used to improve or support one or more particular elements in a participatory urban planning process. The geographic scale and the thematic scope to which the tools are applied will often vary from one city to another, as may the intensity of their use. The variation in local applications of the Toolkit may be partly determined by local variations in terms of available human and other resources, prevailing institutional systems and the starting point state of affairs.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

STEP 1 TOOLS

Tool 1.1: Readiness Self-Assessment Tool

Purpose

To assess your current strengths and weaknesses in undertaking a participatory urban planning process and your ability to sustain the process to the end. It will be very difficult to stop the process once you get started.

Principles

- Openness and frankness with your internal situation, strategies, policy and constraints.
- Open consultation with other stakeholders about the relevance of the process.
- Long-term conviction about results and outcomes to be achieved by the process.

How the tool works in practice:

The tool involves answering the following key questions:

- Is senior leadership fully committed to the participatory planning process?
- Is there a clear resolution of council mandating the process to take place across the whole organization and city?
- Are resources committed to the participatory planning process adequate?
- Are stakeholders aware and committed to the participatory urban planning process?
- Is sensitization and awareness of all stakeholders a priority?
- Is there a team or task force to drive the participatory urban planning process?
- Has the task force been fully briefed about their role?
- How is the process going to be monitored by top leadership?
- How is the process going to be accountable to stakeholders and communities at large?

Exhibit 1: The Use of A Participatory Community Based Planning Manual in City of Mutare and Epworth

Before the initiation of participatory urban planning in Epworth and City of Mutare, a Community Based Planning manual was developed to guide the whole process. This manual outlined all the steps that needed to be undertaken from start to finish. It outlined all the training requirements especially of the facilitation teams and the re-orientation and transformation of community leadership structures.

This manual can be adapted from one local context to another ensuring that voices of local stakeholders influence the design and implementation of the participatory urban planning process building local ownership and accountability. The process must be fully owned by the local authority and all its stakeholders if it is to be successful.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Introduction

This phase initiates the participatory urban planning process and comprises the following key stages:

- Building internal commitment for participatory urban planning process;
- Sensitizing and mobilizing all relevant stakeholders;
- Preliminary profiling of the situation on the ground and;
- Identifying key issues for planning and stakeholder engagement.
- Developing a roadmap for participatory urban planning.

This involves use of the following key steps and tools:

Step	Tools
Step 1: Making A Case for Participatory Community Based Urban Planning	Readiness Self-Assessment Facilitation skills and competences checklist Preliminary Situational Analysis Gender Analysis
Step 2: Stakeholder Engagement	Stakeholder Mapping and Analysis
Step 3: Developing a Planning Roadmap	Multi-Stakeholder Dialogue Facilitation Road Maps

Step 1: Making A Case for Participatory Community Based Urban Planning

Participatory urban planning only happens if there is desire by an actor or actors for it to happen. The actor may be government, local government, civil society organizations, community based organizations or an individual with an interest to see inclusive processes within the city shaping the development process. Before an actor embarks on a full-scale participatory urban planning process, it is important to conduct a readiness assessment at the start so that a long-term commitment to the process can be developed. Without building long-term commitment at the start, some actors get frustrated before they finish the process resulting in proliferation of half-backed initiatives across the country. This sad situation can be prevented before the process has been started through a Readiness Self-Assessment Tool. After the readiness assessment, prime actors also need to make sure they have good facilitation skills and competences, a good preliminary understanding of the situation and an appreciation of the gender dynamics at play.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

STEP 1 TOOLS

Tool 1.2: Facilitation Skills and Competences Checklist

A participatory process brings together diverse groups of stakeholders and uses mechanisms such as consultative groups, working or task groups, and city consultations to facilitate and maintain the sharing of views and information, dialogue and exchange, negotiation on strategies and actions, and consensus-building. But these desirable results do not happen simply because stakeholders are brought together. The various participatory mechanisms succeed only when properly organized, structured, focused, and supported - in short, facilitated.

Purpose

1. To create an environment for constructive and cooperative interaction.

Good facilitation helps create conditions which encourage diverse participants to freely interact on a basis of mutual respect and shared concerns, with each being able to participate actively in discussions and problem solving. Facilitation overcomes barriers and creates the non-threatening and less formal environment needed to foster common understanding and reach consensus.

2. To maximize productivity of group work and participation.

Discussions and activities which are unfocused and open-ended, on the one hand, or are rigidly formalized and hierarchical, on the other hand, are almost invariably ineffective and devoid of substantive content. Carefully planned and executed facilitation is an essential prerequisite for successful participatory mechanisms. Facilitation ensures, for instance, that meetings and consultations are clearly focused, well-structured in relation to the objectives, and organized in a way which will maximize constructive participation by all the stakeholders. This holds true for big events such as a city consultation and for every-day activities such as a task group meeting.

Principles

Everybody has something to contribute. Many stakeholders are unaccustomed to meetings and public events and may be reluctant to participate actively (especially the poor and marginalized groups). Nonetheless, every stakeholder has legitimate interests to express, protect and negotiate, as well as important and useful information to contribute. Facilitation should ensure that all stakeholders contribute and gain from participatory cooperation.

Promote logical thinking and analysis: The facilitation process must be grounded on principles of a logical discussion process which mirrors the strategy decision-making process and ensures a clear focus and visible progress.

Facilitation provides a conducive environment for discussions and maximizes productivity of consultations. Facilitation makes participatory activities work effectively through proper structure, focus and support. The facilitation skills and competence checklist ensures the participatory urban planning process is well facilitated to maximize inputs and contributions by all stakeholders.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Tool 1.2: Facilitation Skills and Competences Checklist`

How the Tool Works in Practice

The tool involves open and transparent selection of Facilitation Teams for spearheading the participatory urban planning process using a minimum criterion which comprise the following key attributes:

- Good technical knowledge in conducting 'facilitated dialogue processes' with multiple stakeholder groups (small and big).
- Ability to specify the technical tools needed during a properly facilitated process/session such as visual aids, room arrangements, cards and boards)
- Ability to provide sound advice on how to organize the advance preparations which are essential for success (well-organized agenda, programme of activities, preparation of papers and materials).
- A good Facilitator must be able to:
 - Define clearly the objectives of meetings or other events, both in terms of outputs (Results) and in terms of process (what is gained from how it is done).
 - Apply simple but effective visualization and moderation techniques; for instance brainstorming visualization techniques such as the card system are often quite helpful in generating and organizing ideas in a participatory way.
 - Listen carefully to all contributors and capture or extract ideas, particularly where these may not be well articulated.
 - Prepare a generalized logical structure for the discussion - presented at the beginning – in order to focus contributions in a way which leads to concrete outcomes.
 - Create a pleasant and informal atmosphere which will encourage free communications and friendly interaction among participants.
 - Provoke and encourage people to talk and contribute by providing, when necessary, positive feedback and emotional support.
 - Take polite but firm steps to prevent anyone from unduly dominating the proceedings.
 - Consolidate results progressively through stepwise merging and allowing consensus to develop around key conclusions agreed by all. This can be done by gradually removing ideas which duplicate each other or which are not clearly expressed. However, an attempt should be made to rephrase such ideas first for clarity. Then by highlighting ideas which capture the central focus, obtain and confirm agreement from participants on the final outcome(s) of the activity.
 - Generate concrete commitment from participants for specifications to be taken after the meeting or consultation. Participants should always leave with a clear understanding of what is to happen next.

Examples of proven facilitation techniques in the participatory urban planning process

The Brainstorming Technique	The Card System as visualization technique
1. Every idea is written down as stated 2. There is no discussion or evaluation to impede the free flow of ideas 3. The important thing is idea quantity not quality 4. Think of ideas that build on previous ideas or even contradict them 5. Do not overlook silly and even absurd ideas - there could be something of value in them 6. Stop after five minutes	The card system is applicable in small working groups to: 1. Generate a list of ideas useful for information and expertise gathering and for building consensus. 2. The structure of questions that the group is dealing 3. Portray each question answered in a different color of card. 4. Display the cards on walls for dialogue and discussion.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Tool 1.2: Facilitation Skills and Competences Checklist``

Exhibit 2: Selection of Facilitators in Epworth

At least 4 people were selected by their councilors in each ward to attend the TOT workshop. They were selected based on their level of education as those who had reached O level were highly recommended as they had a better command of the English language. Emphasis was also placed on the need to promote gender balance. A total of twenty-nine participants were trained in CBP facilitation concepts and principles using focused group discussions and generative themes created during plenary discussions and role plays. Mock facilitation sessions were also used to assess the performance of the facilitators in terms of understanding their roles and responsibilities during the roll out phase.

Building capacity of the core facilitation team ensures shared understanding and inclusion of all socio-economic groups in the planning process. The facilitators were responsible for sensitizing the ward leadership structures on the CBP process and mobilizing the various socio-economic groups in their wards to attend the ward planning sessions. Also they were to organize the venue, firewood, and the cooking people. During the ward planning sessions the facilitators were responsible for leading the sessions and documenting the proceedings as well as sharing the document with the local leadership.

The use of local facilitators for strengthening community based urban planning was cost-effective and efficient for a number of reasons:

- They were well known within their communities and were not resisted by local elites.
- They gained useful skills for facilitating local development processes ensuring availability of technical support in communities.
- The teaming approach by the facilitating team showed people can work as a united force in addressing their social and economic needs.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

STEP 1 TOOLS

Tool 1.3: Preliminary Situational Analysis

Purpose

- To assess local conditions for a participatory community based urban planning process
- A key element of the preliminary situational assessment focuses on assessing the political and institutional conditions available that may promote or hinder the urban participatory planning process. This is necessary in order to design an appropriate entry strategy for the project. Understanding the level of political will and local “ownership” is a crucial ingredient for the success of participatory urban planning.
- To assess the strategic fit of the participatory community based urban planning framework to the needs of the Municipality and make necessary adjustments to the framework
- The aim is to identify issues that can make a good case for the use of participatory community based urban planning to convince internal and external stakeholders of the required process and tools needed for improved interventions at all level.
- To conduct a rapid baseline assessment in order to assess the pre-intervention situation.
- The aim is to assess current status on the key issues and change indicators to enable measurement of progress and performance.

Principles

- A key principle of the preliminary situational assessment is being open and truthful about the existing situation to inform the urban planning process.
- There is genuine engagement with all key stakeholders.
- The outcomes should lead to agreement on the priority issue(s) and on the scope, content and form of the participatory urban planning process to be applied.

How the tool works in practice

A preliminary situational assessment looks at the following key issues and factors:

a) Level of political will, political capacity and therefore local political “ownership”;

This can be manifested in the following ways:

the top leadership views and perspectives on the local urban development process, whether the focus is on top-down and/or bottom up urban planning approaches.

expressed commitment to mobilize local resources for implementation of participatory urban planning processes and initiatives.

b) Presence of Stakeholder Groups:

strengths and interests of social organizations and community based organizations (CBOs)

legitimacy and constituency of the CBOs

level of mobilization of social organizations in relation to priority issues

presence of advocacy groups and organizations in relation to the priority issues

experience of NGOs working with the local authorities

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

STEP 1 TOOLS

Tool 1.3: Preliminary Situational Analysis

Exhibit 3: Baseline Assessment in City of Mutare and Epworth

The baseline process used a number of tools to examine the preliminary situation and context in City of Mutare and Epworth. The baseline analysis report highlighted the following:-

- 61.8% of households surveyed were male headed.
- Literacy levels were high at 80%
- 80% of the people derived their livelihoods from informal sector
- Most people are poor and live on less than \$1 per day
- Most people were not aware of their rights and responsibility to demand for good quality service delivery,
- Councilors and Ward Development Structures were seen as major vehicles for local participation in local government affairs.
- The urban poor also participate through residents associations but only 15% could demonstrate their participation and role.
- There are many stakeholders interested in provision of infrastructure service delivery ranging from government departments, local authorities, NGOs, private companies, cooperatives and other community based organizations.
- There are possibilities of forging six types of partnerships for improved service delivery in both City of Mutare and Epworth and these are: Local Authority – Private Sector, Local Authority-NGO, Local Authority-Public, Local Authority-Public-Private, Local Authority-Government-Public and Local Authority Government. All these avenues for partnership can be explored for the improvement of service delivery by any of the interested actors in urban development.
- The Local Authorities were finding it extremely difficult in providing quality services especially in the areas of housing, sanitation, waste management, health and other social services.
- There were high levels of political polarization at community and local authority level which was worsening provision of services for all residents.

This document has only captured a summary of the issues emerging for a preliminary situational analysis which is very critical for participatory community based urban planning and development. The benefits of this preliminary process in the context promoting community based urban planning are:

- It creates a basis for future assessment of performance
- It prepares key stakeholder groups for participation in the community based urban planning process.
- It highlights issues of critical concern to the various stakeholder groups enabling them to speak with a much stronger voice to the local authority,
- It creates an agenda for dialogue with the local authority on a number of key issues affecting service delivery and quality of urban governance.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

STEP 1 TOOLS

Tool 1.4: Gender Analysis Tools

There is wide recognition that integrating gender-responsiveness is an important element in efficient urban planning and management and that no participatory process will be complete without gender mainstreaming. Local Authority experiences in Zimbabwe show that lack of gender awareness can lead to poor decision-making and inefficient implementation of action plans. Action plans and project implementation improve considerably if gender concerns are appropriately integrated into programme and project design using appropriate gender analysis tools.

Purpose

1. To ensure that the needs of both women and men are considered and addressed.

Women and men have specific roles and interests in human settlements development. For example, women generally play the leading role in household management, often including the securing of housing and basic services. Women are often the backbone of the livelihood system of their families, generating cash or in-kind income. Yet in most situations, planning and decision-making are dominated by men and generally do not take women's special interests, needs and capabilities into account. As a result, women typically do not benefit from urban management interventions, and indeed are often significantly disadvantaged by them. Gender responsive decision-making helps overcome this fundamental problem and allows the needs of both men and women to be given due consideration.

2. To improve decision making and implementation

A gender sensitive decision-making process taps the enormous potential of energy, expertise, and other resources from both women and men, but especially from women who are otherwise largely excluded from the process. Mobilizing the maximum participation of both men and women significantly increases the effectiveness of implementation of strategies and development plans.

Principles

Inclusiveness; gender mainstreaming and responsiveness is fundamental for meeting the criterion of inclusion.

Gender responsiveness is a fundamental criteria of inclusiveness and leads to better decision making and Implementation.

How the tool works in practice

Some of the ways in which tools can be modified and/or used to increase gender responsiveness in participatory urban planning, include the following:

1. Use of gender dis-aggregated data to improve information collection. This provides the necessary basis for gender analysis and gender responsive planning and management. Presenting issue specific information where possible along gender lines is highly desirable and in some cases even necessary, in order to underscore the impact of issues and activities separately on women and men for impacts which affect them differently. This gender-specific information is also important for stakeholder identification.
2. Gender Specific use of tools. For example, several tools used in crime and security analysis have been successfully adapted and applied for gender-specific studies, such as women victimization surveys to assist strategy formulation for prevention of crime against women.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

STEP 1 TOOLS

Tool 1.4: Gender Analysis Tools

3. Stakeholder Analysis. Gender differentiation is increasingly used as an integral part of stakeholder identification and analysis, leading to more balanced and hence stronger stakeholder participation.
4. Gender Specific Use of Analytical Tools. Many analytical tools, such as Cost Benefit Analysis or Planning Balance Sheet Analysis, are used to support urban development planning and policy-making, but these have traditionally not incorporated any consideration of gender. However, it is perfectly possible to use an orthodox Cost Benefit Analysis to show the different distribution of costs and benefits to men and to women.
5. Capacity building tools. City experience increasingly shows that women require special capacity-building support, because of the many disadvantages which have constrained their abilities to effectively participate. It is also clear that capacity-building activities designed specifically for women are called for, and when these are applied to help bridge knowledge and skill gaps and to empower women and women's groups, the results can be dramatic in terms of stronger and more effective participation.

Exhibit 4: Emerging gender issues

Although, the process in City of Mutare and Epworth did not fully apply gender analysis tools in the planning and implementation of the project, strong lessons on gender emerged from the planning and implementation process.

- Women have played a greater role in the shaping of the history of Epworth. They have continued to play a central role in the religious sphere of the area, both in the traditional and Christian arena.
- Despite occupying the religious sphere, women have remained in the background in the development of the area. The majority of women are not stand owners which are registered in their husbands' or male relatives' names in the case of widows (lack of security of tenure).
- Due to the polarized nature of the area and fear of victimization, women find it difficult to participate in the political arena. This is because the playing field is uneven due to male domination and politically motivated violence hence the voices of women are not coming up in the open for policy inclusion and influence.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Step 2: Stakeholder Engagement

Stakeholders are:

- Those actors whose interests are affected by the planning process or those whose activities strongly affect planning outcomes.
- Those actors who possess information, resources and expertise needed for strategy formulation and implementation and;
- Those who control relevant implementation processes and instruments.

It is vital therefore that the stakeholders are properly mapped out and analyzed through relevant participatory urban planning techniques. This can be achieved through **stakeholder mapping and analysis**.

Step 2 Tools

2.1 Stakeholder Mapping and Analysis

Exhibit 3: Baseline Assessment in City of Mutare and Epworth

Purpose

• To ensure inclusion of all relevant stakeholders

Experience has shown that inclusion of the full range of stakeholders is not only an essential pre-condition for successful participatory urban planning but also vital for promoting equity and social justice in urban governance. For example, when decisions are made, priorities set, and actions taken without involving those relevant stakeholders, the result is usually misguided strategies and in appropriate action plans which are badly (if at all) implemented and which have negative effects on the 'beneficiaries' and on the city at large. These approaches, which fail to properly involve stakeholders, have been widely proven to be unsustainable. This Stakeholder Analysis Tool therefore encourages a far-reaching review of all potential stakeholder groups, including special attention to marginalized and excluded social groups such as the poor women, elderly, youth, disabled, or others. This allows identification of representatives of these groups, so that they may be included in the urban planning process.

• To maximize the role and contribution of each stakeholder

It is well recognized that broad-based stakeholders' involvement and commitment is crucial to successful strategy and action plan implementation and therefore to sustainable urban development. With a multi-stakeholder approach to implementation, a wider variety of implementation instruments can be utilized. The stakeholder analysis facilitates mapping of potential stakeholder roles and inputs and access to implementation instruments. This will indicate how best to maximize the constructive potential of each stakeholder whilst also revealing bottlenecks or obstacles that could obstruct realization of their potential /contributions. For example, an analysis could identify a particular stakeholder's lack of information and skills for dialogue and negotiation, factors which undermine the contribution or influence of an otherwise importantly affected group of stakeholders.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Step 2: Stakeholder Engagement

Exhibit 3: Baseline Assessment in City of Mutare and Epworth

Principles

Inclusiveness. Ensure inclusion of the full range of different stakeholders, including marginalized and vulnerable groups.
Relevance. Includes only relevant stakeholders - those who have a significant stake in the process (i.e., not everyone is included).
Gender Sensitivity. Both women and men should have equal access within the participatory urban planning process.

How the tool works in practice

Stakeholder Analysis can be seen in terms of five generally sequential stages of activity:

1. Specifying issue(s) to be addressed. Stakeholders are defined and identified in relation to a specific issue - people and groups only have a concrete "stake" in a specific issue or topic. Hence, the stakeholder identification process operates in respect to a particular specified issue.
2. Long Listing. With respect to the specified issue, a "long list" of possible stakeholders, as comprehensive as feasible, should be prepared, guided by the general categories of stakeholder groups (e.g., public, private, and community/popular, with further sub-categories for each, gender, etc., also identifying those which: are affected by, or significantly affect, the issue; have information, knowledge and expertise about the issue; and control or influence implementation instruments relevant to the issue.
3. Stakeholder Mapping. The "long list" of stakeholders can then be analyzed by different criteria or attributes. This will help determine clusters of stakeholders that may exhibit different levels of interest, capacities, and relevance for the issue. Knowledge of such differences will allow systematic exploitation of positive attributes. Identify areas where capacity building is necessary for effective stakeholder participation, and highlight possible "gaps" in the array of stakeholders.

One of the several forms of stakeholder mapping is by degree of stake and degree of influence, as shown in the matrix below: influence, as shown in the matrix below:

	Low Influence	High Influence
Low Stake	Least Priority Stakeholder Group	Useful for decision and opinion formulation, brokering
High Stake	Important stakeholder group perhaps in need of empowerment	Most critical stakeholder Group

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Step 2: Stakeholder Engagement

Exhibit 3: Baseline Assessment in City of Mutare and Epworth

A participatory stakeholder mapping process can also be conducted in identifying the different clusters of stakeholders and their roles.

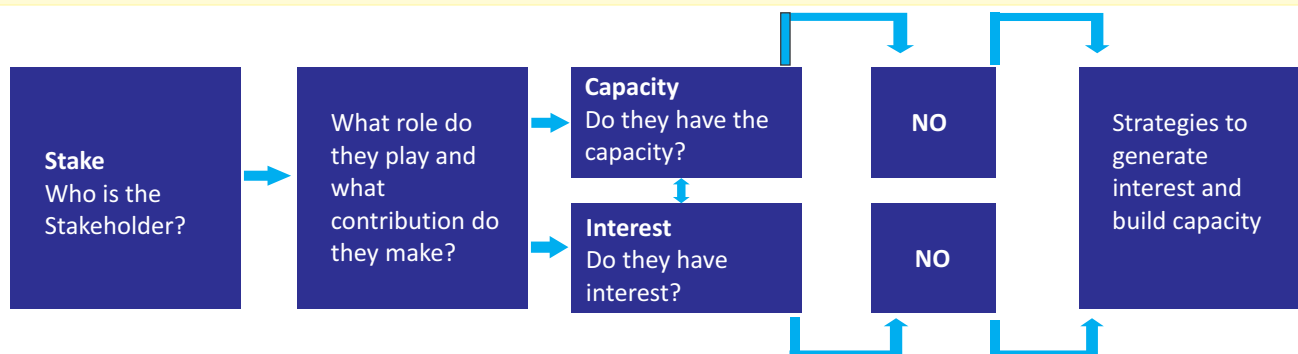
Participatory Stakeholder Mapping Process

Objective: To achieve a shared view of stakeholders, their relations to the issue and their relative Importance.

The following group technique can be applied:

1. The participants put the name of each stakeholder on white, circular cards of approx. 10cm in diameter, and put them on a big table, or the floor or a wall (with removable adhesive).
2. When no more suggestions for stakeholders are presented, the main interests of each stakeholder are identified in relation to the focus questions.
3. The cards are organized in clusters of related interests. When agreement has been reached, the white cards are replaced with colored cards, one color for each cluster. The name of the stakeholder is transferred to the colored card, and the main interests of the stakeholder are written on the card below the name.
4. The coloured cards are organized in starlike fashion along a line for each cluster where the centre of the star is the project or the initial focus question. Using group judgments, the cards are placed at a distance from the centre corresponding to the importance of the stakeholder for the project. The cards must be fixed with removable adhesive, allowing later modifications of the visual presentation.
5. Verify analysis and assess stakeholders' availability and commitment. Review, perhaps utilizing additional informants and information sources, the initial analysis to ensure that no key and relevant stakeholders are omitted. Also, assess the identified stakeholders availability and degree of commitment to meaningful participation in the process.
6. Devise strategies for mobilizing and sustaining effective participation of stakeholders. Such strategies should be tailored to the different groups of stakeholders as analyzed and classified above. For example, empowerment strategies could be applied to those stakeholders with high stake but little power or influence.

Stakeholder Analysis for Participation – A Framework



PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Step 2: Stakeholder Engagement

Exhibit 5: Stakeholder Mapping in Epworth

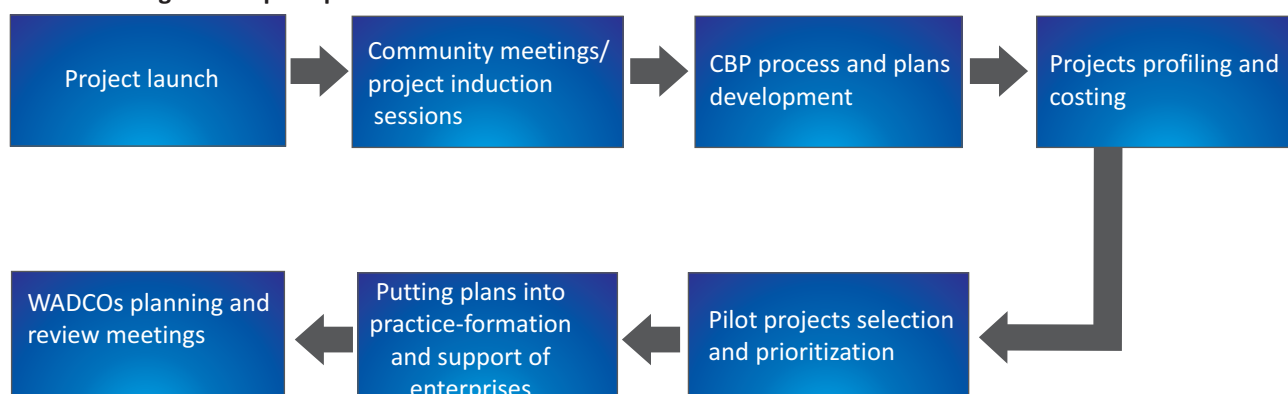
Stakeholder	Strategic role
Epworth Local Board staff	Coordination, monitoring and overall support to the project team and beneficiaries at local level
Ward Development Committees	Community mobilization and selection of beneficiaries Implementing project activities at ward level Monitoring activities at ward level and providing feedback to councilors Liaison with project team
Councilors	Monitoring activities at neighborhood level Providing feedback to council on project progress
School Development Committees	Monitoring activities at district level Providing venues for meetings
Dialogue on Shelter	Leading Partner on addressing issues of security of tenure
Oxfam	Partnership on addressing issues of water and sanitation
Roman Catholic Church	Providing venue for activities/meetings at neighborhood level

Step 3 Tools

3.1 Planning Roadmap

The planning roadmap is a culmination of several processes that often result in consensus building by all the participating actors on the direction and flow of project activities. For example, stakeholders in Epworth came up with the following roadmap for the planning and implementation of their local urban development project:

Exhibit 6: Planning roadmap in Epworth



PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Introduction

This phase is designed to deepen the participatory and consultation processes for effective citizen and stakeholder participation. It entails:

- A more detailed situational analysis;
- Community based planning based with existing socio-economic groups and stakeholders.
- Community Action Planning and Prioritization (CAPP)
- Integrating community priorities into local government planning and budgeting cycle
- Building strategic partnerships with stakeholders, civil society and the private sector for effective implementation of community projects.

This involves use of the following key steps and tools:

Step	Tools
Step 4: Pre-planning with local stakeholders	Readiness Self-Assessment Facilitation skills and competences checklist Preliminary Situational Analysis Gender Analysis
Step 5: Community Based Planning	Stakeholder Mapping and Analysis
Step 6: Participatory Municipal Planning and Budgeting	Multi-Stakeholder Dialogue Facilitation Road Maps
Step 7: Building multiple linkages with Stakeholders and the Private Sector	

Step 4: Pre-Planning with Local Stakeholders

This step involves working closely with locally identified stakeholders to plan the logistics of a participatory planning process taking into existing norms and practices. This ensures that some of the local practices are adhered to so as to avoid any distortions.

Step 4 Tools

Tool 4.1: Stakeholder Inventory

Purpose

To assess your current strengths and weaknesses of identified stakeholders in undertaking a participatory urban planning process and their capacity to sustain the process to the end.

Principles

- Openness and frankness with anchor organization's internal situation, strategies, policy and constraints.
- Open consultation with other stakeholders about the relevance of the process.
- Long-term conviction about results and outcomes to be achieved by the process.

How the tool works in practice:

The tool focuses on simply drawing up a stakeholder inventory starting with the anchor organization(s), that is the one (s) responsible for driving the whole process. The tool involves constructing a stakeholder matrix which analyzes strengths, weaknesses and opportunities for strengthening community based urban planning for each stakeholder as well as roles and responsibilities in the process.

This tool is self-explanatory and can be used differently by different practitioners in community based planning and management.

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Step 5: Community Based Planning

This step involves a sequence of coordinated processes for a comprehensive and inclusive planning process:

- Training of Trainers to impart knowledge of key concepts among different community leadership groups in the community.
- Debriefing workshops with local leadership structures using the trained Training of Trainers.
- Systematic identification and debriefing of socio-economic groups at community level to ensure they select representatives of their to participate in the planning process.
- Development and production of ward plans that are realistic and based on visions, aspirations and strengths of communities rather than needs and problem-centered plans.
- Transparent endorsement of plans by communities and development of implementation plans.

Successful execution of these processes would require careful selection of tools that are complimentary and mutually-supportive. The tools below draw extensively from practical field experiences of Practical Action Southern Africa.

Step 5 Tools

Tool 5.1: Pre-planning checklist

Introduction

Once a decision has been made to conduct a community based planning process, it will be difficult to stop it half-way through. It is therefore important to ensure all the planning and logistical requirements are in place. A simple checklist can be used.

Purpose

The purpose of the pre-planning checklist is to ensure that all the requirements for a successful community based planning process are in place and all the actors are fully informed of the process.

Principles

The checklist must be based on all elements of the community based planning cycle as per the lessons and experiences in Zimbabwe. The elements in the CBP cycle are:

How the tool works in practice

The tool is based on the key steps in the community based planning process. These steps and corresponding items for inclusion in the checklist are as follows:

PHASE 1: PREPARATION AND STAKEHOLDER MOBILIZATION

Step 5 Tools

Tool 5.1: Pre-planning checklist

Step	Step
1. Local leadership debriefing meetings	Local leadership identification forms Local Maps
2. Community debriefing meetings	List of socio-economic groups and their key representatives
3. Situational Analysis and Background Information Compilation	Socio-economic profiling template Refer to Tool -
4. Community Planning Launch	Key participants lists, venue and invitation letters. A good and up to date contact list
5. Timeline Analysis of the ward	Timeline template
6. Profiling community activities and service provider links	Activity and service provider mapping templates Service provider interview guides
7. Community livelihoods analysis	Livelihoods Analysis Templates Wealth ranking templates
8. Community Resources Analysis	Resource mapping templates
9. Asset Ranking and Vulnerability Mapping	Asset mapping templates
10. Community SWOT Analysis	SWOT analysis templates
11. Community Visioning	Visioning Cards
12. Community Projects Selection and Funding	Project profile templates
13. Community Action Planning	Action plan templates
14. Implementation Strategy and Plan	Strategy mapping templates
15. Monitoring and Evaluation Plan	M&E Templates
16. Marketing the Plan	Audience mapping templates List of corporate and financial sponsors list of social marketing agencies

In this toolkit, the CBP is broken into five major steps:

1. Leadership Awareness & Capacity Building – (1-2)
2. Situational Analysis & Vulnerability Mapping - (3-9)
3. Strategic Mapping & Participatory Action Planning -(10-13)
4. Implementation, Monitoring and Evaluation - (14-15)
5. Marketing and Partnership Building - (16)

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.2: Leadership Awareness and Capacity Building

Purpose

The main purpose is to ensure local leaders are fully briefed on the need for a community based planning process and how the process will be carried out within their communities. Once they have understood the need, they will immediately take part in mobilizing their communities for participation in the community based planning process. If there is any demand for capacity at the early start of the process, this must be addressed before the leaders are involved in mobilizing the community as part of capacity building.

Principles

- Respect and follow local protocols in approaching local leadership structures.
- Focus on the overall planning process within which the community plans fit
- Discuss expectations and concerns openly with the local leaders to build their interest and enthusiasm for the process.
- Discuss how the intensive planning is to be done
- Discuss role of local leaders in the facilitation and launching of the project.

How the tool works in practice

This tool is used at the entry point of the community based planning process to facilitate smooth entry and acceptance of the community based planning process by local elites.

Exhibit 7: Face to face dialogue with stakeholders in City of Mutare

The Community Based Urban Planning Process in the City of Mutare started with the briefing of local leadership structures which included councilors, leaders of all political parties and ward coordination structures. The project had targeted five wards for effective engagement of leadership structures. This strategy was a huge success, as these local leaders immediately embraced the project and undertook to mobilize their communities at ward level. By following local protocols and procedures in the introduction of the project it was realized that the project was for the good of all community members.

According to MrDuru, the Chairperson for the Mutare District Union, "face to face dialogue with councilors, political party leaders, civil society groups at ward level and all community leaders was the main secret in their breakthrough success to mobilize communities for participatory community based urban planning in the City of Mutare."

The MDU learnt a lot of lessons about engagement of relevant stakeholders for community based urban planning processes, including:

- The need to explain the benefits of community based urban planning to all local leaders;
- Councilors do not open up their territories easily for local development work even if its good on paper.
- The agenda of the facilitating agency must be clearly understood by local political elites failure upon which the activities can be disrupted.
- Going beyond the existing structures to engage a range of socio-economic groups creates a good and rich platform for engagement with local level structures.
- An inclusive process ensures the building of bridges for peaceful co-existence among the different groups operating at community level.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.3: Situational Analysis and Vulnerability Mapping

Purpose

The detailed situational analysis builds on the preliminary situational analysis discussed under Tool 1.3. The purpose is to capture all the relevant social, economic, institutional, cultural and political information that helps the smooth organization and management of the community based planning process. Vulnerability mapping will enable systematic identification of population groups that deserve to be given special focus during the entire process as there people who may be constrained to participate due to conditions such as disability, marginalization, political and or religious belief and any other prohibitory factors.

Principles

Most of these are covered under Tool 1.3 in this Toolkit. In addition;

- Focus on what can reasonably be collected at the start of the process. There could be more information required at the point of strategy formulation.
- The information collection process should not be seen as an end but the beginning of a relationship of work between the local community and all the facilitating agents in the municipality.
- The vulnerability assessment process must empower local communities to raise their voices on issues affecting disadvantaged groups in society.
- For cost-effectiveness, it is always prudent to make use of local researchers and facilitators.

How the tool works in practice

It would be advisable to use a simple socio-economic profiling template that ensures that all the key informants are identified and sensitized. There is need to focus on the most useful information covering:

- Review of existing plans and gaps that need to be addressed.
- Demographics and population distribution
- State of infrastructure and services in the community
- Health records and situational status
- Informal sector activities and groups
- Major investment areas and economic opportunities
- Information of service providers, quality of services and their relationships

Exhibit 8: Situational Analysis and Vulnerability Mapping in Epworth

The situational and vulnerability analysis in Epworth was conducted as part of the community based planning process. This ensured that communities were able to map out their existing poverty situation and at the same time be able to work on strategies for moving out of their vulnerability situation. The critical lesson was that situational and vulnerable assessments that do not lead to actions for improvement can be a negative factor to the community. Participatory urban planning processes must therefore strive to integrate situational and vulnerability assessments so as to capture ideas, suggestions and imaginations of the urban poor.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

This toolkit for strategic mapping and participatory action planning involves four major sub-steps and these are:

- Community SWOT Analysis
- Community Visioning
- Community projects selection and funding
- Community Action Planning

Purpose

- To identify strengths, weaknesses, opportunities and threats within the community. The CBP processes builds significantly on existing strengths and opportunities.
- Community visioning is undertaken to ensure consensus building by a divergent range of community groups on a community vision for the next 10 to 20 years.
- Community projects selection ensures that vulnerable groups identified under Tool 5.3 are meaningfully involved in design of social and economic projects that benefit the population in the Municipality.
- Community Action Plan ensures resources are committed to carefully planned activities and timelines, outputs, results and outcomes are clearly defined.
- Principles
- The process should be built on existing strengths and opportunities and not on problems.
- Vision based planning and thinking.
- Inclusion of all key stakeholders and transparency in project selection
- Commitment towards implementation success by community leaders and other key stakeholders.
- Local ownership of the process from planning to implementation.

How the tools works in practice

(a) SWOT Analysis

A SWOT Analysis is a simple and effective technique that analyses an organization or community's Strengths, Weaknesses and Threats. Implicit in the SWOT Analysis is the aim building on the competitive edge of the organization or community or the key points of leverage (opportunities) through:

- Building on the community or organization's strengths
- Reducing the weaknesses or adopting a strategy that avoids the weaknesses
- Exploiting the opportunities particularly build on the identified strengths
- Reducing the exposure of the community or organization to or developing measures to counter the threats.

The SWOT Analysis is used as a rather crude and subjective tool in the community based planning process. It should be simple and when presented should not be more than a page. It gives a quick snapshot of the strengths, weaknesses, opportunities and threats.

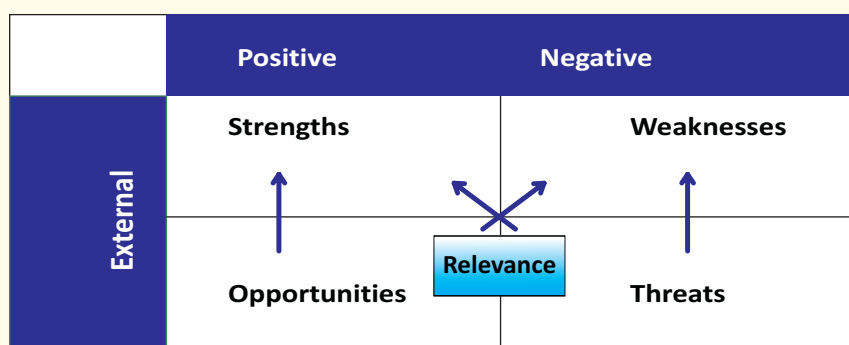
The process of creating a SWOT Analysis is valuable because it involves community and stakeholder discussion creating a common understanding of what needs to be done to build on strengths, to address weaknesses, to respond to opportunities and to withstand threats that affect good urban planning and development.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

The key steps in conducting a SWOT Analysis are:

- Listing of the Strengths, Weaknesses, Opportunities and Threats. Only important factors should be selected although some factors will always be important than others. Factors should be listed randomly first and then ranked in order of important according to the judgment of the group that is involved in the SWOT exercise. It is always useful if the process can be done by multiple groups so that the results can be compared and key trends can be made out in the plenary session.
- Each point must be short and precise so that it can easily be understood for the planning process. Avoid long and winding statements that have potential to cause confusion.
- The crucial point in identifying strengths and weaknesses is relevance especially to the opportunities and threats that exist. (see diagram below):



- Strengths matter if they can be used to exploit an opportunity or counter a threat. Strength is a potential source of competitive advantage for the community or organization.
- Since competitive advantage can only be realized if community and/or stakeholder needs are met, SWOT analysis must have a customer focus. Similarly, a weakness that relate to specific customer needs should be addressed as a priority.
- Weaknesses may not be very apparent at first, so considerable time is needed to identify potential weaknesses for the community.
- Opportunities and threats should be considered in the context of strengths and weaknesses.

Significance of the SWOT Analysis to the Planning Process

- The SWOT Analysis is a snapshot of a community's position and provides a useful input into the generation of strategic options. It gives the community and local stakeholders a clear outline of the major issues affecting citizens and urban planning in general and identifies strategies for addressing these issues.
- A SWOT Analysis should be easily understood by the community and all key stakeholders as it begins to shape a long-term dialogue processes on key strategies for implementation.
- The SWOT ensures a balanced approach in that the focus is not only on the upside but on realizing the challenges that need to be resolved for progress to be made.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

(a) Visioning and Goal Setting

A vision sets out the purpose and direction where the community or organization wants to go. A vision statement must be easy to understand and must be enduring. In the community based urban planning model, a vision must capture where communities desire to be in a given period, say 10 years.

'By 2011 we will be a vibrant community where people like to live and work, people are well fed, able to access health and education services....'

A goal should be more specific but also fairly long-term, such as 5 years. In the community based urban planning process there will be 4-5 goals pulling out the different elements of the broader vision. The goals give a concrete picture of what the community wants to see achieved in a longer period of time such as in five years' time. From the vision presented above, one of the goals might be "health of our ward improved, especially for under-fives and the elderly".

Strategies and objectives describe the main things need to achieve the goal. For example the main strategies to improve health in the ward would be "eradicate malaria" and "improve nutrition for school children".

Good objectives should be SMART – Simple, Measurable, Achievable, Realistic and Time-bound.

Objectives must also have very good indicators – these are specific measures of achievements

Projects are specific things need to be achieved in the strategy. For example if the strategy is to eradicate malaria, the key project activities would be:

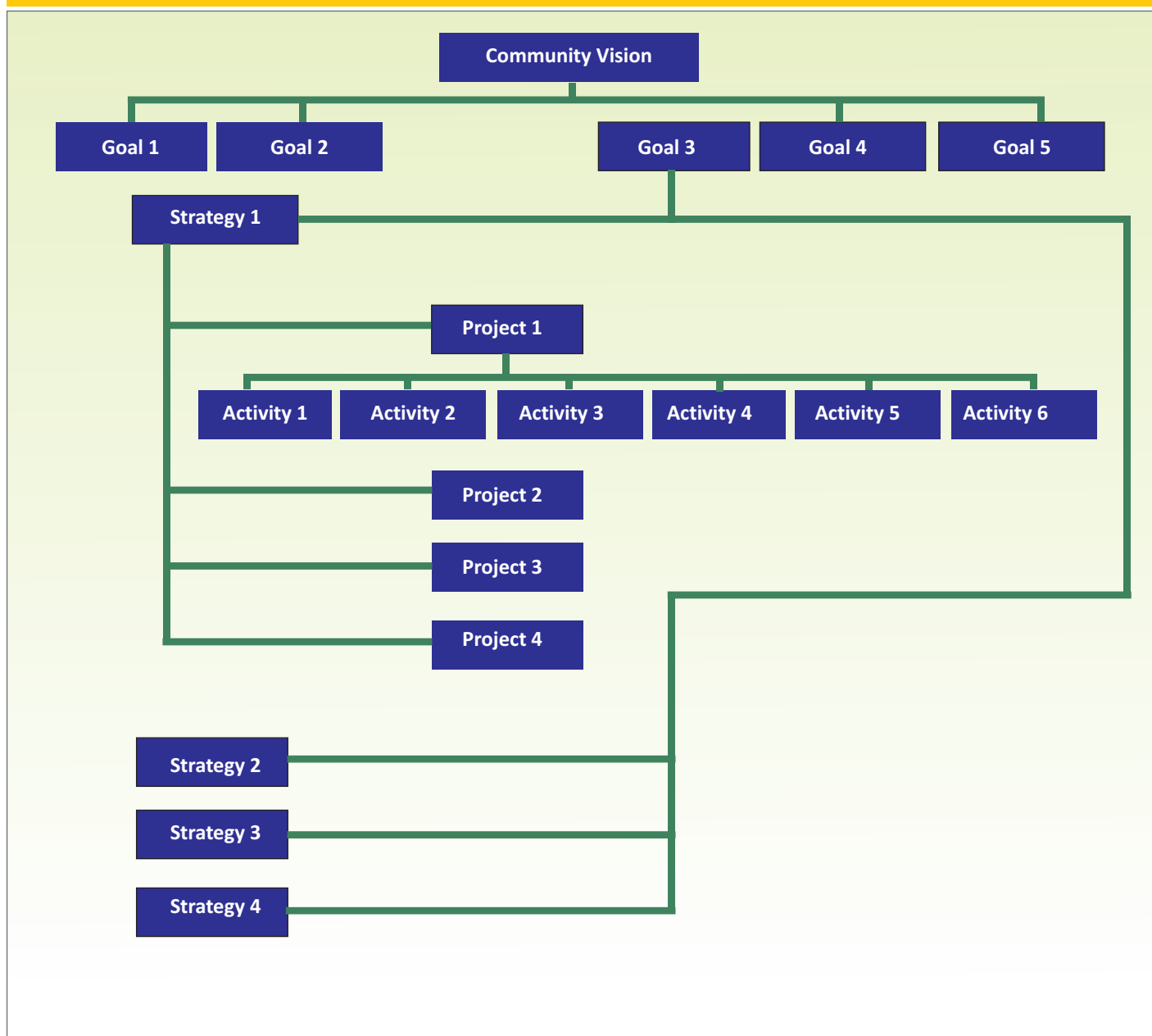
- Ensure people are using bed nets
- Ensure the local chemist stocks chloroquine

Linking vision, goal, objectives and projects

The diagram below shows the linkages between the vision, goal, objectives and projects. This is based on practical community based urban planning projects in Epworth and City of Mutare as well pilot experiences on community based planning and management.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning



PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

Significance of Visioning and Goal Setting

The visioning and goal setting processes are critical to the success of community based urban planning process in Zimbabwe. Community based urban plans should be based on a shared vision of the community which expresses the aspirations of different socio-economic groups within the community. The visioning process must be based on a thorough review of people's assets and existing services. The process of visioning must be based on strengths and opportunities to ensure a more positive approach towards securing the future, whatever the current situation.

A shared visioning process should create room for negotiation and consensus building in order to build some common aspirations by different socio-economic groups in the community. The benefits of participatory visioning are many and include the following:

- An opportunity for empowerment of local communities and stakeholders to own and drive the participatory urban planning process.
- A reliable participatory process to obtain realistic and focused local urban development plans.
- Potential for integrating community and service providing organizations resource envelopes in an open and transparent manner thereby enhancing chances of creating additional resources for implementing agreed plans.
- The enhancement of transparency in the selection and prioritization of urban development initiatives.
- Opportunity for increased accountability in the implementation of local urban initiatives.

(c) Strategy mapping and Community projects selection

Good projects are derived from the goal setting and strategy formulation processes as described above. In some local authorities, project selection is a haphazard process that does not into account the realities at stake and more importantly the priorities of the community. These pitfalls can easily be avoided if a proper strategy mapping and project selection process is used.

In the community based urban planning model, it would be useful to conduct two critical things:

- Prioritizing the strategic objectives of each goal;
- Selecting strategies and projects that address the needs of different groups

The process proceeds as follows:

- Focus on one goal at a time;
- Draw a matrix showing the Goal, Strategies and Project Activities as shown below:
- List the agreed strategies for the selected goal on the vertical and horizontal axis
- Let the participants select priority strategies based on importance, urgency, easy of execution and relevance to socio-economic groups
- Add up the votes and come up with a finalized priority list for each goal.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

GOAL 1: Improving infrastructural facilities in the ward by 2006

Strategies	3. Expand facilities that are available in some parts of the ward to other parts where they are absent	2. Increase facilities where they are shortages	1. Repair and maintain existing infrastructural facilities
1. Repair and maintain existing infrastructural facilities	2	2	
2. Increase facilities where they are shortages	3		1
3. Expand facilities that are available in some parts of the ward to other parts where they are absent	Shade this area because you can not compare 1 and 1	2	3

Analysis

There are three votes for strategy 2, two votes for strategy 3 and one vote for strategy 1. They will be prioritised accordingly i.e:

1. Increase facilities where they are shortages
2. Expand facilities that are available in some parts of the ward to other parts where they are absent
3. Repair and maintain existing infrastructural facilities

Once the key strategies have been prioritized it will be critical to ensure a proper project selection process by communities who are the main targets for these projects. In the community based urban planning model, this includes:

- Developing clear projects for each prioritized strategy;
- Prioritizing projects for each strategy;
- Allocating roles and responsibilities among the different stakeholders interested in the project (from the stakeholder mapping process).

The Process

- Focus on one strategy at a time
- Priorize projects using a matrix as above
- Create room for debate and discussion on selected projects in plenary
- Present prioritized projects in a template as shown below:

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

GOAL 1: Strengthening peri-urban agricultural production and marketing especially for the marginalized and vulnerable groups in Epworth by 2015

Priority Strategies	Priority Projects
1. Improve utilization of wetland areas for agricultural purposes	• Horticulture farming • Poultry production • Pig production
2. Improve market access for processed and non-processed agricultural products	• Tomato processing factory • Poultry Management Centre
3. Promote improved natural resources management by all peri-urban producers	• Gully rehabilitation • Urban greening initiative • Farmer to Farmer Extension Network

(d) Community Action Planning

After identifying the projects, it is critical to ensure that a clear community action plan is developed in partnership with stakeholders with a potential to support some of the emerging priorities. The community action planning process must also aim to establish a good basis for private public partnerships in urban project management and implementation. Through these partnerships, more resources could be leveraged to ensure more effective implementation of projects meant for improved service delivery. A simple framework can be used for the action planning process such as the one below:

Project/Activity	What do we need to do	What does the Council need to do	What do other stakeholders need to do	Timeframe

Once the initial planning has been completed it would be critical to kick start the plan, by drawing out a 3-month action plan which summarizes all the items needing some urgent action.

The template below can guide the development of an operational plan in the first 3 month:

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

What needs to be done in the next 3 months	By Who?	Target Date
1. Feedback draft plan to community at large.		
2. Costing all proposed projects		
3. Selecting water and sanitation project committee		
4. Collecting contribution for orphan fund		
5. Assessing state and maintenance requirement for all community roads		

(e) Documenting the Plan for Implementation

Most community based urban plans involving communities have been poorly documentation resulting in a lot frustration by communities and support organizations. This component of the community based urban planning process must therefore never be taken for granted. It is important that plans are developed in a standard way to be used for higher level authorities and service providers. The documentation phase involves:

- Pulling together all the information generated during the planning process into a standard format of a community based urban plan.
- Finalizing the plan for feedback to the broader community
- Developing project proposals for funding and/or community enterprise development

The Process

- The Facilitation Team should review all the information collected during the planning work and package it in the most appropriate manner, preferably using a Community Based Urban Planning Template
- After compiling the plan, organize a Ward Forum meeting to present the plan to the broader community
- Project profiles must be written up for all those that require external support using technical skills of local stakeholders.
- Finalized community based plan should be presented to the broader community by the Councilor and team of local facilitators.
- Communicating the plan to various stakeholders can be conducted using a range of techniques including drama, radios and use of local languages.
- Visual techniques will usually result in quicker appreciation by those participating in the process.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

Exhibit 9: Community Based Urban Planning Process in Epworth

The community based urban planning process is one of the most critical processes for ensuring the success of participatory urban planning. In this box, the CBUP process that took place in Epworth will be fully described with a view to demonstrate some of the constraints and challenges.

- **The CBP Process in Epworth**

Preliminary debriefing meetings were conducted with WADCOs and Councilors which led to the passing of a council resolution and launch event to carry out the process in Epworth. It was noted that the aim of carrying out these CBP processes in each ward was to ensure that community ideas at all levels were captured and presented to the Board so that these could be incorporated in the broad Epworth 5 year Strategic Plan that was about to be reviewed. Community ideas had to be presented in a coordinated manner hence the CBP process was targeting this opportunity and seeking to draft ward plans that could be integrated in the board strategic plan.

A core team of CBP facilitators was set up and trained over a period of one week in the CBP concept before rolling out the process in the wards. The pre planning process for the TOT workshop included briefing the Epworth Local Board Secretary on the intended training program, handing out CBP manuals to delegates a week before the training was scheduled to start to enable them to familiarize with some of the concepts, setting up a cooking committee and booking the venue. The core facilitation team included at least four people selected from each ward, technical government extension staff from the Health department, the local councilor and ward development committee representatives.

Tools Used	Purpose	Impact of the Tool
Situational analysis	To have an understanding of the events that occurred in the past by creating a timeline developing a sequence of key past events	• The community gained an understanding of the impact certain events have had in people's lives and the environment. • The younger generation found the session very informative on the history of the area. • People revisited old traditional practices that are no longer being practiced today and shared the experiences with the younger generation.
Community activities and service providers	To rank service providers and assess the degree of the importance of their services and accessibility of the services to the community.	• Participants had an opportunity to critically examine service providers and the quality

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Tool 5.4: Strategic Mapping and Participatory Action Planning

Tools Used	Purpose	Impact of the Tool
Socio-economic groups analysis	To understand the different socio-economic groups livelihoods and wealth status.	Socio-economic groups managed to share their experiences and appreciated the need to improve their livelihoods so that their children can have a better life.
Community resource mapping	To have a community perspective of the current layout of the ward or community, as well as how it came about and possible future options for arresting depreciation and enhancing resource mobilization	The resource mapping process brought to the fore the urgent need to address the issue of boundaries. The participants noted that the issues of security of tenure needed to be addressed to facilitate infrastructural development of the area and clear ownership conflicts.
Community scan (SWOT analysis)	To examine the community strengths, weaknesses, opportunities and threats.	The exercise enabled the participants to appreciate the level of polarization of their community and how incidences of politically motivated violence have continued to hinder development of their area.
Community visioning process	To ensure that participants have negotiated and prioritized a shared vision for the development of their ward	It helped participants to look into the future and articulate where they would like to go in terms of the initiative and development priorities of the community.
Identifying goals, strategies, project activities	To articulate clearly the roadmap to achieve the community vision	It helped the participants to appreciate the level of work that needs to be done to realize their vision and the input needed from other stakeholders.
Writing project profiles/concept sheets	To define the elements of the project.	- It helps in monitoring project progress and holding people accountable for their actions. - Presenting an orderly business plan to prospective funders for community projects.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4: Strategic Mapping and Participatory Action Planning

Exhibit 10: Outcomes of the CBP Process in Epworth

Ward Name	Priorities for Local Development
Ward 1	• Provision of decent housing • Provision of electricity • Employment Creation • Improved educational facilities • Improved health facilities • Good infrastructural facilities • Peaceful environment
Ward 2	• Provision of decent housing • Provision of electricity • Access to safe and clean drinking water • Improvement in educational facilities • Improvement of health facilities • Employment creation
Ward 3	• Attain land tenure and security • Provision of decent housing • Improved infrastructural facilities • Household food security • Improvement in educational facilities • Improvement in health facilities • Peace building • Employment creation
Ward 4	• Attain land tenure and security • Provision of decent housing • Improvement in infrastructural facilities • Improvement in educational facilities • Improvement in health facilities • Peace building • Employment creation

It was evident that the priorities at the ward level were very consistent and communities had demonstrated their capacity to engage in the planning process. Issues such as land tenure and security and improved in infrastructure and health services were prioritized by the Epworth Local Board.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4 Marketing and Partnership Building

Purpose

Public Marketing plays a pivotal role in publicizing the products of community based urban planning as a basis for building partnerships in a local authority.

Principles

- Ensure communities have a voice in organizing the event for marketing their products and services.
- Ensure preparedness planning on how the products and services will be marketed.
- Ensure good information flow on who is targeted for the marketing event.
- Ensure more events are organized to reach out to less mobile members of the community.

How the tool works in practice

Good event management skills are required to ensure successful planning and organization of the marketing event. Some people make use of relevant marketing agencies in preparing for the event if the skills cannot be found within the organization. Usually a taskforce comprising all the interested stakeholders is also put in place to ensure effective organization of the event. Communication must be made to all key guest speakers in time so that they diarize the event in time. Senior officials of the Local Authority would need to be part of the planning process as they will have to bless the event. The event should have some spinoff benefits for the Local Authority to secure maximum attention against competing priorities.

Exhibit 11: The CBP Expo in City of Mutare and Epworth

Idea

The idea of the Ward Expo was to market the Community Ward CBP plans to strategic stakeholders in order to unlock other resource envelopes for projects that could not be supported by the PEOPLE UP project but are of importance to the community. Also this would promote a framework of partnerships amongst ELB, the residents and other stakeholders.

Who participated

- Epworth Ward Development Committees members, residents and councilors
- Epworth Local Board staff members
- Chitungwiza Town Council staff
- Ruwacouncillors
- EMA
- UN Habitat
- UZ Rural and Urban Planning Department
- Epworth Chapter on Conflict Management and Resolution Trust
- Staff from Practical Action and Civic Forum on Housing.
- Mutare District Housing Union

Outcomes

- (i) The creation and development of partnerships between the Epworth Local Board, the residents and stakeholders in relation to service delivery. The expo managed to unlock resources from the ELB to support brick making enterprises with materials such as pit and river sand and technical support.
- (ii) It promoted the concept of residents participation in the planning and implementation of enhanced urban service delivery as copies of the ward plans were distributed hence destroying the myth that the municipal planning process is too technical for ordinary residents to comprehend.

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Tool 5.4 Marketing and Partnership Building

Lessons

- Stakeholder participation is very critical at the event as they are key in resourcing the projects that the Wards will be exhibiting. They should be involved in every stage of the preparations so that they feel they are part of the process and should support it.
- There is need for great support by the participating LA and the local leadership structures for the successful hosting of the event.

Implications for the CBUP

- The link between local level planning processes and resource allocation processes need to be followed up to explore potential areas of making community based plans to be implemented and translated into meaningful activities on the ground for poverty alleviation and promotion of local economic development initiatives at community level.

Step 6: Participatory Municipal Planning and Budgeting

Step 6 Tools

Tool 6.1: Participatory Consultation for municipal planning

Introduction to the Tool

Participatory consultation for municipal planning is a participatory process for bringing stakeholders together to create a better understanding of issues, to agree on priorities, and to seek local solutions built around broad-based consensus. Throughout the participatory urban planning process "participatory consultations" are carried out at various levels, forms, and scale to address different issues that need to be tackled in the municipal planning process.

It is prudent to kick start the process with a large scale stakeholder meeting to ensure these are aware and contribute more meaningfully to the consultation process. Some stakeholders can even contribute resources towards mobilizing their own constituencies for consultation and input into the municipal planning process. It is therefore critical for this process to be informed by the stakeholder mapping process which will ensure all citizen groups can easily be reached by the process.

The participatory consultation process builds a collaborative approach to the municipal planning process and leads to agreement on major priority issues that need to be considered in the planning and resource allocation process.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4 Marketing and Partnership Building

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Purpose

The participatory consultation for municipality planning process has the following main purposes

1. To identify, review and expand upon urban issues of priority concern, which affect the sustainable growth and

development of the city.

2. To bring together key actors from the public, private and civil society sectors in order that they agree on the need for, and commit themselves to jointly develop, an improved city management process which is built on partnerships and which cuts across sectors to promote sound development.

3. To demonstrate a process of defining priority concerns and identifying key actors

and a methodology to establish the participatory cross-sectoral working group approach.

4. To agree on a mechanism for developing an appropriate institutional frame work, for strengthening and maintaining the process, and for linking these activities to existing structures, as well as demonstrating the necessity for pooling resources in order to address the priority issues.

5. To mobilise social and political support and to obtain the commitment necessary

to operationalise the cross-sectoral working group approach in addressing the agreed priority issues.

The process facilitates information sharing, consensus building and broad based stakeholder participation.

Principles

The participatory consultation for municipal planning process is built upon the following principles.

Inclusiveness. The process aims to bring together all key stakeholders groups (including marginalised and vulnerable groups), providing an opportunity for such groups to identify their concerns, to express their positions, and to determine their role and contributions.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4 Marketing and Partnership Building

Continuous Process ("not an end to itself"). The initial consultation processes are not an end in themselves. They build platforms for further action by stakeholders based on their issue areas of interest. These will act as hooks for continuous engagement and planning by the Municipality. Multi-sector task teams can also be formed to lead on the different consultation processes identified as critical in enhancing quality of the municipal planning process.

Demand Driven. A participatory consultation process is carefully structured and facilitated to lead to concrete outputs, whilst remaining open and responsive to the stakeholders' needs. Each of the major stakeholder groups has ample opportunity to identify their concerns, to outline their perspectives, and to argue their case. The facilitators of the process should ensure a structure conducive to free and focused discussion, but they do not build in pre-made answers or solutions - these must evolve in response to participant discussion and negotiation.

Bottom-up process. The participatory consultative process is not based on statutory instruments and formal administrative procedures, but instead draws its mandate and legitimacy from the expressed collective will of the stakeholders participating.

Co-operation not confrontation. The participatory consultation process builds on finding common ground and on sharing knowledge, expertise, and resources from different sources. It promotes cooperation and pooling of information and encourages the joint mobilization of resources. It fosters a common understanding on issues and builds consensus.

Conflict Resolution. The participatory consultation promotes better understanding of different perspectives and interests, and facilitates finding common ground and shared interests, and also builds willingness to work out mutually acceptable solutions

Flexibility. The participatory consultation process has been successfully used in many different socio-cultural contexts, at

different scales and intensities and is usually a good foundation for initiating participatory budgeting process in the municipality.

HOW A PARTICIPATORY MUNICIPAL CONSULTATION PROCESS FOR PLANNING WORKS IN PRACTICE

The participatory consultation process can take 2 -5 days depending on scope, scale, objectives and resources that are availed for the process.

The following preparatory activities are usually undertaken in order to ensure successful running of the participatory consultation process:

- Endorsement by high level decision makers (and if need be a full council resolution) (to ensure political, financial and organizational support)
- Establishing a multi-sector coordination team or working group to steer the planning and implementation of the participatory consultation process.
- Identifying key facilitators for the process at different levels of the consultation process.
- Identifying key stakeholders based on stakeholder mapping tool to be involved in the consultation process.
- Mobilizing and briefing consultation teams and resource persons
- Deciding the number of consultation days (2-5) and preparing an agenda and programme of activities to fit
- Preparation of resource materials: profiles, current performance reports, position papers and any results of community surveys recently conducted.
- Holding strategic consultations within certain stakeholders affected by specific issues
- Raising public awareness of the Municipal Consultation process so that citizens are not taken by surprise
- Finalizing substantive and logistical preparations
- Re-confirming stakeholders participation
- Re-confirming political support and participation

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 5.4 Marketing and Partnership Building

- It would be good to back up all the planning processes with a checklist of all the key activities that are needed for final execution, feedback and analysis of the key outcomes as well as preparing a timetable that should be communicated in advance to all targeted audiences.
- The checklist can include the following items:

A. Substantive Preparation

Profile, Position Papers, Participant Information Materials, City Survey Reports, Facilitation Materials and Guidelines, Worksheets for working groups, Press Releases and Key Note Speeches.

B. Organizational Preparation

Programme/ Agenda, List of Participants, Working Groups and details of Facilitation Team members.

C. Logistical Preparation

Presentations (Overhead projector, flipcharts, markers), Venue (plenary and working groups rooms/ classrooms), Room and equipment for facilitators, Refreshments and Food provisions (if any) and Transport arrangements.

Exhibit 12: MDU experience on building city consultation processes for enhanced public participation in the City of Mutare.

The MDU worked closely with councilors to ensure they understand the issues and priorities of communities. Once councilors had fully understood the issues from the community based urban planning process, they discussed the issues in the full council meeting and also briefed technical staff on the need for embracing community based urban planning across the whole city. This resulted in a series of meetings between council, councilors and civil society organizations that were piloting community based urban planning in the City of Mutare. Practical Action helped these processes through providing relevant technical information and pamphlets on community based urban planning and sharing some of the documented lessons and experiences from other locations.

Following the demand for more structured dialogue processes, Neighbourhood Committees were formed at ward level amalgamating individual ward plans into bigger area plans for purposes of consultation and inclusion of priorities in the city planning and budgeting process. MDU believes 60% of issues coming out of the Sakubva Amalgamated Plan were taken up by Council.

As the city, civil society and stakeholder dialogue processes were going on, it was realized that the public were not aware of urban planning issues for them to participate meaningfully. A local talk show, the Mai Chisamba Show, was convened in the City of Mutare and brought people from all walks of life to debate participatory community based urban planning issues and how these could be addressed.

The Neighbourhood Committees are well represented in the City Master Plan development process along with a number of stakeholders already working with the City of Mutare which has reinforced the consultation culture within the City of Mutare. (see City of Mutare Master Plan Stakeholder Working Group).

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 6.2: Stakeholder Working Groups

Introduction

A Stakeholder working group is one of the institutional mechanisms to follow up Agreements reached at the participatory municipal consultation process (Tool 6.1). It evolves from and builds on consultative groups which are usually established at the start-up or profiling stage and on the discussion groups which are established during the participatory consultation process.

Working groups are constituted by representatives of stakeholder groups and institutions and they last as long as is required for strategies and action plans to be negotiated and agreed, and for demonstration projects to be developed. Their composition and size, and intensity of work, varies with the different stages of the process and project cycle, allowing flexibility and dynamism. In some cases working groups are also referred to as task groups, technical advisory groups, coalitions etc.

PURPOSE

A stakeholder Working Group has the following primary purposes;

1. To elaborate, consolidate, and build on the consensus reached during the participatory municipal/urban consultation processes.

A participatory urban consultation process ends with agreed priority issues and action areas, which are outlined in a draft Memorandum of Agreement with Stakeholders which is sometimes referred to as an Urban Pact. This will normally include agreement on the institutional follow-up, including the setting up of Working Groups for the priority issues or action areas. An immediate task of the working groups is to finalise the urban pact/agreements for formal endorsement by responsible partners, including particularly the local authority leadership (full council and management). Furthermore, because working group activities (clarifying issues, reviewing strategies, negotiating action plans and demonstration projects) take place through focused diagnosis of issues, and through discussions, consensus-building and negotiations, the working group process steadily refines and strengthens the agreements and commitments reached earlier during participatory consultations.

2. To ensure cross sectoral linkages and coordination in urban planning and decision making

The composition of working groups, with representatives of many different stakeholder interests and institutions, provides the basis for better coordination of decisions and actions that relate to cross-sectoral issues or concerns. By bringing together representatives from diverse stakeholders, including those representing different sectoral interests, the working group process builds capabilities for and habits of collaboration and cooperation. The process of working together to clarify issues, formulate strategies, develop action plans, and execute demonstration projects, demonstrates in practice the advantages of cross-sectoral cooperation and shared commitment to agreed common aims; it then supports a better mobilisation and leveraging of resources and implementation instruments in order to more effectively change the physical situation.

The key for effective functioning of a working group is its composition and the level of competence of its members. A working group is cross sectoral and multi- institutional mechanism that augments existing Institutional arrangements.

Key Principles

Cross sectoral and multi-institutional: Improved coordination can only be achieved through cross sectoral representation and multi institutional participation in working groups which underlines the critical importance of stakeholder analysis tool.

Consensus building: Working groups function through the principles of consensus building and therefore are most effective in dealing with cross cutting issues for which traditional administrative arrangements are least suitable.

Flexibility: The working group approach is flexible and can readily accommodate changes, for example, creating sub-groups for emerging sub-issues and their components, adjusting size, modifying composition of members, etc.

Legitimacy: Working groups are not independent institutions or parallel structures; they draw their mandate from the existing institutions who are participating through their representatives. Neither are they permanent. Their most active period lasts only until strategies are negotiated and demonstration projects are developed.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 6.2: Stakeholder Working Groups

How it works: Key Elements

1. Establishment: working groups evolve through the process participatory decision-making process. This normally begins with consultative or focus groups which are formed prior to the City Consultation. These consultative groups are small (5-10) and comprise core stakeholders who participate in the preparation of profile(s) and proposition papers. During the city consultation, a wider range of participants become involved in dialogue through thematically structured discussion groups.

The participatory consultation is immediately followed by the setting up of issue- or topic specific

Working groups to follow up and develop further what has been discussed and agreed at the consultation.

2. Mandate: Working groups draw their mandate from the commitments made by participants at the city consultation, which are outlined in the draft “urban pact” agreed at the city consultation. These publicly-made institutionally-based commitments provide the basis of legitimacy and mandate for the working groups.

3. Size and Composition of WG: Experience has clearly shown that a working group should be of the appropriate size to actually “work” and carry on constructive discussion - usually around 10-12 members. Larger size of membership diminishes the ability of members to interact readily, function as a team, and find time suitable for meetings. But the key elements for successful working group effectiveness are composition and level of representation. Missing out important stakeholders or failure to attract representatives at the proper level of competence and authority, will quickly undermine the effectiveness of the working groups.

4. Support to Working Groups: Working groups need different types of support in order to perform effectively. This support will vary in relation to the different working group activities, but should include general process support such as moderation of meetings, training in facilitation, and mediation in negotiation and conflict resolution. There should also be substantive support, such as guidance in action planning and project development. Where resources allow, support can also include specialized technical advisory services in specific areas such as water and sanitation or infrastructure provision, or in application of information technology (IT) tools in different thematic areas such as environmental planning and management.

Exhibit 13: The City of Mutare Masterplan Stakeholder Working Group

The City of Mutare has fully adopted the concept of stakeholder participation in its urban planning process. The need for revisiting the Masterplan of the City was a product of interaction with stakeholders from all sectors (private, public and community). In 2008, the City of Mutare decided to set a Multi-Stakeholder Committee to facilitate the development of a Masterplan.

The City of Mutare established partnerships with civil society organizations and other private sector consultants with extensive knowledge and experience in the field of masterplan development.

The significant issue for this toolkit is the fact that the broader involvement of all key stakeholders has enriched the master-planning process in the City of Mutare and several other local authorities have visited the City to learn more on participatory master planning processes.

As a result of the experience with the Masterplan process, stakeholders from civil society and the private sector are now more willing to collaborate with the Local Authority on any other initiative meant for the good of the City.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 6.3: Creating a Working Relationship with the Local Authority

Purpose

To harness the support of the Local Authority for Community Based Urban Planning and build strategic commitment towards resource allocation for community defined service delivery priorities.

Principles

- Be open and genuine about the relationship being created with the Local Authority.
- Identify strategic people within the Local Authority preferably with decision making power and respected within the local authority.
- Never take advantage of loopholes in the Local Authority and always follow the right channels.
- Use formal communication to ensure the dialogue process is institutionalized and actions agreed can be followed up.

How the tool works in practice

There are several key steps in creating a working relationship with the Local Authority including:

- Identifying the key entry point
- Identifying critical alliances within and outside council that can support the case for a working relationship with the council.
- Developing a clear framework for dialogue with the Local Authority and setting a clear and non-political agenda.
- Clearly spell-out the key target groups, how and why they are being targeted.
- Convene roundtable meetings with all the relevant key actors
- Agree on a good feedback system that connects all the key actors
- Ensure council is comfortable to work with all the identified actors
- If council and other stakeholders have problems with certain actors, provide adequate information on their role and purpose in the proposed partnership arrangements with Council.
- Always act promptly and timeously when required by the Local Authority and ensure they have full confidence in the Facilitating Agency.

Exhibit 14: Creating a Working Relationship Between Civil Society Organizations and the Epworth Local Board

Epworth is a peri-urban location characterized by a multiplicity of social and political dynamics that always impact on processes of participatory urban community planning and development process. In facilitating the community based urban planning process, it was critical for the Civic Forum on Housing, to facilitate the creation of a good working relationship between the Epworth Local Board, NGOs and the Community Based Organizations (CBOs) that were created through the community based planning process. A good working relationship was created through the following key steps:

- Training and Sensitization of Ward Development Committee Chairpersons on the need for effective local community-city linkages for effective service delivery.
- Engagement of councilors by the ward development committees on issues that needed to be raised at full council level.
- Engagement of full council and council executive staff by councilors
- Round table meetings with local authority, civil society organizations, private sector and other interested parties'
- Agreement on key liaison structures for collaborative working within the council, eg working with the Engineering Department for equipment support to community based enterprises.
- Organizing regular feedback meetings
- Using council officials to officiate at key meetings with communities to build their confidence in the relationship.

Despite the creation of a good working relationship with the Local Authority, there were challenges arising from high levels of polarization in Epworth as a peri-urban local authority. Some of these challenges can slow down the momentum in building good and sustainable working relationship between the local authority, civil society organizations and the local authority for effective service delivery.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Step 7: Building multiple linkages with Stakeholders and the Private Sector

Step 7 Tools

Tool 7.1: Stakeholder Dialogue Meetings

Purpose

Urban development is a complex process requiring effective partnership with other stakeholders working within the city. These meetings build on the initial stakeholder mapping processes as described in Step 2.

The main purpose is to build some partnership agreements with key stakeholders on prioritized service delivery areas and to leverage resources from the private sector. The private will be lured if the local authority can provide some clear investment opportunities coupled with the creation of an enabling environment.

Principles

- Local Authority must maintain a valid and up to date register of all stakeholders based on the stakeholder mapping process.
- Relationship mapping processes must be conducted with the participation of the concerned stakeholders to ensure good responsiveness to stakeholder dialogue meetings.
- Stakeholder dialogue meetings should assess strengths and weaknesses of each targeted stakeholders so as to agree on capacity building processes that are needed to enhance the success of the partnership.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 7.1: Stakeholder Dialogue Meetings

How the tool works in practice

Stakeholder Dialogue Meetings are simple to conduct as they follow the procedures of any business meeting. There would be need for a clear agenda for the meeting to make sure its results focused and purposeful.

Exhibit 15: Stakeholder Dialogue Meetings in Epworth

Linkages were created with Dialogue on Shelter on addressing issues of tenure of security. This was done through holding combined meetings with ward leadership structures, the LA, DOS and the project team. DOS facilitated the process of regularizing ward 7 which managed to have a topographical map developed of their ward. Also, DOS through this arrangement managed to send two of its community representatives to Kenya during the PEOPLE UP exchange visit to share their experiences. The greatest lesson was that combining forces makes it easier to push for action from the LA who are sometimes deliberately slow to address issues. No tangible links were developed with the private sector.

Tool 7.2: Stakeholder Exposure Visits

Purpose

Stakeholder exposure visits are strategically designed visits to create interest around key 'hooks' that have potential to attract the attention of stakeholders and the private sector. These visits are meant to unlock interest, resources and collaboration opportunities.

Principles

- Clear hooks for luring interest and investment by the private sector must be identified.
- Objectives of the exposure visit must be realistic
- Opportunities must be created for as many stakeholders and private sector players to participate
- Exposure visits must be learning-oriented and ensure participants can interact and learn from each other

How the tool works in practice

Given the multiplicity of actors involved, it would be best to put together a team and/or taskforce that coordinate the stakeholder exposure visit. All the logistics such as transport,

accommodation, per diems and meetings must be arranged well before the exposure visit. The visit must be planned with participation of those who are being visited to ensure preparations happen on both ends of the spectrum.

The objectives of the visit can also be agreed by all the participants although it would be good to ensure each participant has set it's own learning objectives. Different perspectives must be allowed to emerge to harness the full benefits of the visit.

The organizing team will evaluate the visit to assess the outcomes and results. This will lead to improvements in the planning of such visits in future.

A post-visit conference is usually required in order to build a platform for stakeholders to express their own views on partnership opportunities based on the visit. This is normally a major omission by most organizers of stakeholder exposure visits.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 7.1: Stakeholder Dialogue Meetings

Exhibit 16: Facilitation of a Regional Exposure Visit for Urban Practitioners from Zimbabwe to Kenya

Objectives

- To learn from the Kenyan experiences as they had used a similar approach with positive impacts on improving urban poor's lives
- To demonstrate the impact of similar approaches to the projects being implemented by Practical Action in Kenya with a very strong and positive impact on service delivery.

Who attended?

- 2 community representatives (Mutare and Epworth)
- 2 Local Authority representatives (Mutare and Epworth)
- 2 project partner organizations representatives (CFH and MDU)
- 2 representatives Zimbabwe Homeless People's Federation funded by Dialogue on Shelter
- 2 Practical Action project team members.

The major lessons learnt through this visit were:

- The need to ensure there is full ownership and control of projects by communities for success of community based urban projects.
- The need for a favorable policy environment to ensure all stakeholders harmonizes their actions towards target communities.
- The need for full buy-in of the local authority for increased responsiveness to demands of local community groups.
- The need to target more creative and sustainable partnerships to support local community initiatives.
- The need for coordinating resource sharing and targeting to duplication and double dipping by beneficiaries.

Tool 7.3: Stakeholder Consortia and/or Taskforces

Purpose

Stakeholder Consortia and/or Taskforces are usually joint stakeholder initiatives based on pooling technical, financial and logistical resources for the purposes of executing a task that requires cooperation and collaboration for effective delivery and result achievement.

Principles

- Joint problem analysis by stakeholders affected by an issue eg Waste management
- Agreement on roles and responsibilities in addressing the issue
- Joint monitoring and review mechanisms are developed.

- Cooperation and /or collaboration agreements are clearly defined for coordinated action.

How the tool works in practice

Stakeholder consortia are becoming more popular as a result of the complexity of challenges in urban development but also due to changing donor trends which are now encouraging consortia and bigger chunks of funding to achieve better impact at scale.

Consortia are initiated by stakeholders themselves on the basis of their comparative strengths and weaknesses in addressing urban development issues within a local authority.

PHASE II: Participatory Community Based Urban Planning And Stakeholder Commitment

Tool 6.2: Stakeholder Working Groups

Exhibit 17: Stakeholder Consortiums for Effective Service Delivery in City of Mutare

The City of Mutare created Thematic Teams for tackling some of the recurrent challenges as one of the outcomes from the July 2009 Future Search workshop. The teams were formed around the following key areas:

- Water supply
- Investments, jobs and SMEs
- Electricity supply
- Recreational facilities
- Health system
- Inclusive public participation
- Housing
- Clean City
- Sewerage reticulation and treatment
- Good education system and facilities

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Introduction

This phase is critical in building strategic commitment and focus through a consensus building process involving the Municipality and it's key stakeholders. The process involves:

- Setting strategic priorities for city-wide initiatives;
- Stakeholder Negotiations and Strategic Action Plans
- Design and implementation of agreed strategic projects

This involves use of the following key steps and tools:

Step	Key Tools
Step 8: Participatory Municipal Strategic Plan Review Process	Readiness Self-Assessment Facilitation skills and competences checklist Preliminary Situational Analysis Gender Analysis
Step 9: Strategic Formulation and Public Awareness	Stakeholder Mapping and Analysis
Step 10: Participatory Local Authority Action Plan Development and Implementation	Multi-Stakeholder Dialogue Facilitation Road Maps

Step 8: Participatory Municipal Strategic Plan Review Process

Tool 8.1: Stakeholder Strategic Planning Review Workshop

Purpose

The community based urban planning process is not an end in itself but should lead to meaningful outcomes at the Municipal level. Through participation in the community based planning process, the Local Authority should be well motivated to initiate a Participatory Municipal Strategic Planning Review process involving all key stakeholders in the Local Authority. The aim should be to sharpen the existing strategic plan so that it reflects the aspirations of communities and stakeholders for their effective participation and support.

Principles

- The Local Authority must have an up to date profile of stakeholders in it's area of jurisdiction.
- Stakeholders must be informed of the date, venue and agenda for the participatory strategic review meeting in good time (at least two to three weeks before the meeting).
- The agenda of the meeting must allow genuine stakeholder participation and not a platform to endorse already defined priorities.
- Good and balanced facilitation is required.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Tool 8.1: Stakeholder Strategic Planning Review Workshop

How the tool works in practice

- The Local Authority usually leads in organizing the strategic planning review process and normally works with some collaborators who may provide financial, technical and/or logistical support to the process.
- There is need for a good readiness assessment before the workshop to ensure all preparations for success are in place and all key stakeholders are informed of the event.
- It would be good to involve the local media to publicize the event and to provide some pre-views of the previous strategy.
- A good facilitator must be identified to ensure contributions by stakeholders are well harnessed.
- A preliminary situational analysis could also enrich deliberations of stakeholders as they review progress and performance targets of the previous strategy.
- Relevant social impact issues including gender issues are also covered in the review process. Thus the review will not only focus on physical targets but on the progress happening at the societal level in different aspects of urban livelihoods.

Exhibit 18: Municipal Strategic Review and Future Search Visioning in City of Mutare

The City of Mutare was one of the first urban local authorities to demonstrate how council policy and decision making can bring transformation to the entire social and economic outlook of the city. Just after the inclusive government was formed in 2009, the City of Mutare, convened a strategic review and planning workshop code name "Together we can move mountains" which saw strong seeds for a move towards stakeholder participation in urban planning.

The main focus of this workshop was to use the "future search methodology" to identify new directions for the City of Mutare and these strategies were developed for implementation. Ever since this workshop, the City of Mutare has been a centre of attraction for many local authorities in Zimbabwe.

City of Mutare is still moving forward into the future with it's vision anchored on being the best governed local authority in Zimbabwe.

Tool 8.2: Citizen Reviews and Public Accountability Workshops

Purpose

Although citizens have some form of representation in the Local Authority Strategic Planning Process, it should never be assumed that they have already endorsed outcomes of such meetings. The representatives in collaboration with the Local Authority should conduct citizen reviews on key performance gaps in service delivery using techniques such as citizen score cards. This will allow the Local Authority to re-align it's priorities based on feedback on previous performance and agreeing priorities for future action.

Principles

- Ensure all citizens are informed of their role in the strategic planning review process through their representatives especially councilors and other community leadership structures identified through the community based urban planning process.
- Identify accessible venues for the community reviews to enable all local socio-economic groups to participate in the process.
- Ensure other local civil society organizations are well informed about the process to help with documentation and future support to community needs and priorities.
- Exercise a high level of integrity and honesty in responding to community concerns.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Tool 8.2: Citizen Reviews and Public Accountability Workshops

How the tool works in practice

Citizen reviews and public accountability workshops have not been regularly conducted by Local Authorities for a number of reasons. Firstly, lack of organized community structures has been a major hindrance and when public citizen reviews are conducted without mobilization of communities by local level structures, chaos can be the result.

This is where the community based planning process has helped in the re-organization of community level structures so that they are better configured to interact with the local authority and other relevant structures. Local community based facilitators can then be used to facilitate citizen reviews making the process more cost-effective.

The outcomes of these reviews would need to be consolidated by a team at the local authority level in order to re-align the key priorities for resource allocation. Final priorities are then discussed in full council meeting for resource allocation and appropriate feedback is provided to communities through the appropriate avenues.

Exhibit 19: Citizen reviews of the Strategic Plan in City of Mutare

Local authorities sometimes develop cold feet when it comes to inclusion of communities and stakeholders in their strategic and budget review processes and yet these represent an important part of the strategic planning and budgeting process. City of Mutare has started to make some inroads into this area as of its development strategy and plan.

Tool 8.3: Citizen Juries

Purpose

Citizen juries create a public deliberation platform involving citizens and service providers on the other end. The service providers and policy makers present their position papers on various issues affecting citizens detailing the key strategies, justifications and expected results and impacts. Citizens sitting as a jury will examine all the submissions made on the issues of concern and debate on the merits and demerits. After extensive deliberations, citizens pass their own verdict on whether they agree with the propositions or reject them citing their reasons. A citizen jury verdict may postpone an action and/or stop it altogether if it is not for the good of citizens. It is a tool that ensures that the rights and entitlements of citizens are strengthened by local authorities and that citizens are involved in the decision making process of the local authority. Citizen juries need to be well managed and properly executed in a polarized environment as it can be sensitive since the tool is based on the principle of open deliberation between citizens and service providers/decision makers.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Tool 8.2: Citizen Reviews and Public Accountability Workshops

Principles

- Open dialogue and deliberation between citizens and public officials
- Citizens need training and empowerment in application of the citizen jury approach
- There must be a neutral oversight panel to monitor quality of deliberations and points of consensus being reached.
- Documentation of the process must be thorough to ensure there are no distortions in verdicts.

How the tool works in practice

For this to be effective, citizen juries are organized through organizations that work with citizens to strengthen their participation in service delivery. For it to be cost effective it will require a network of organizations working in the different wards of the community to work together in planning the logistics of the jury process and the officials to be targeted for giving witnesses on different issues affecting citizens. The determination of issues affecting citizens can also be a sensitive issue and care must be taken to identify genuine citizen development issues.

Exhibit 20: Experiences of pilot citizen juries by Combined Harare Residents Association (CHRA)

CHRA is one of the first community based organizations to use citizen juries to encourage community debate and resolutions on urban service delivery issues. The citizen jury approach enable residents to reach consensus in different suburbs of the City of Harare and these resolutions were packaged for presentation to the City Fathers as citizen resolutions.

Citizen juries create a lot of legitimacy on issues being advocated for by citizens and policy makers tend to respond faster when issues are raised by citizens themselves.

Step 9: Strategic Formulation and Public Awareness

Step 9 Tools

Tool 9.1: Citizen Education Campaigns

Purpose

Strategic formulation should not just be a technically driven process as citizen interests will need to be safeguarded during this critical process. One way to ensure citizens are kept in the loop is through citizen education campaigns on some of the emerging strategic priorities. This may involve face to face processes combined with relevant media coverage as well taking advantage of other public meetings taking place in the Local Authority.

Principles

- Always maintain open communication lines with citizens throughout the strategic planning process.
- Develop campaign materials for emerging strategic directions from the participatory strategic planning process highlighting implications of each strategy.
- Use the most appropriate language to ensure good understanding by all citizens.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Tool 9.1: Citizen Education Campaigns

How the tool works in practice

A teamwork approach is encouraged between the Local Authority and Civil Society Organizations working with communities.

Exhibit 21: Conducting citizen education campaigns in Epworth

The art of mobilizing citizens to participate in urban planning and development sometimes require local civic leaders to conduct citizen education campaigns sharing the benefits that will accrue if citizens participate. Strong local leadership skills are required if significant results are to be achieved.

Local civic educators need to be given more space to conduct the citizen education campaigns but they can be irritating to some of the community members. In Epworth, the local ward community leadership conducted citizen education campaigns to ensure people's participation.

Tool 9.2: Empowering citizen groups and alliances

Purpose

Citizens have their own groups and alliances that need empowerment to be able to play a significant part in strategic formulation and implementation. Empowerment of these groups and alliances enables their voices to be heard by the local authority and other service delivery organizations and ensures responsiveness to their needs and priorities.

Principles

- Facilitate mapping of all socio-economic groups active at community level including the marginalized groups.
- Provide all relevant strategy development information to these groups and allow groups to identify areas of interest.
- Create a platform for the different groups to express their needs and priorities.
- Provide feedback on priorities that are likely to be considered in the strategy and reasons why other ideas may not be considered.

How the tool works in practice

This tool is designed to strengthen the inclusion of marginalized community groups in strategic planning processes of the local authority. It requires the local authority to partner with relevant civic organizations to map all the different socio-economic groups and provide all the relevant information.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Tool 9.1: Citizen Education Campaigns

Exhibit 22: Empowerment of Citizen Groups and Alliances in the City of Mutare

One of the major outcomes of the community based planning process is the strengthening and or creation of local citizen groups united through some joint project or process of change. These groups are created by various stakeholders and sometimes council is not aware of the number of these groups and those who have worked from behind in forming them. Whatever the process of their creation, they also have an interface with the local authority one of the days.

Many cities do not have a clear plan for dealing with a lot of the ephemeral groups and yet they may be problematic if not handled carefully. As a result of the CBP, the City of Mutare found itself being faced with increased demand for services and communities were basing these demands on their completed community based plans.

The main lesson from the City of Mutare is that if citizen groups are empowered they are able to structure their working relationship with the local authority.

Tool 9.3: Using ICTs and Information Kiosks

Purpose

Effective information and communication systems are critical for an informed citizenry during the local authority strategic formulation process. There is therefore need for innovation and embrace new communication technologies and other social communication strategies for those lacking access to ICT.

Principles

- Assessment of information dissemination pathways for reaching out to all citizens.
- Community information needs analysis on local authority decision making process
- Looking at both information demand and supply mechanisms

How the tool works in practice

Communication tools must be demand driven and culturally sensitive. The most critical thing is to consult the intended beneficiaries in designing appropriate communication packages.

Exhibit 23: The experience with new information technologies in Epworth and City of Mutare

Practical Action and its Partner, Civic Forum, realized the need to strengthen local level communication especially within the structures of the Ward Development Committee and decided to work on information kiosks that would also serve as feedback centres for the community.

Fourteen handsets and lines for use as community information and feedback centres were handed over to the Chairpersons and Secretaries of the Ward Development Committees in all the seven wards as well as counter books to use as record books. The idea of the information centre is to facilitate the sharing of information pertaining to service delivery matters between the community and the local board through the ward development committees. A mini-contract was drafted and signed by recipients of the cell phones on the day of disbursement. Provisions therein included a section on the identification details of the recipient, general maintenance of the phone, commitment to publicize the number and calls record keeping and a section on wear and tear conditions.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Step 10: Participatory Local Authority Action Plan Development and Implementation

Step 10 Tools

Tool 10.1: Municipal Action Planning Team

Purpose

The main purpose of the Municipal Planning Team is to coordinate the development and implementation of a Local Authority Action Plan ensuring that all stakeholders are participating. The team also periodically monitors results of agreed interventions and communicates regularly to management and all relevant bodies within the Local Authority. Its membership draws from various departments of the Municipality and sometimes stakeholders are coopted depending on issues being facilitated by the Planning Team.

Principles

- Team members must be committed to their work.
- Ensure gender and skills balance in composing the team.
- The team must not exceed 10 people for effectiveness.
- The team should have a defined schedule of meetings
- The team must establish some operational norms and rules.
- The team must have full support and backing of the Local Authority management and leadership.

How the tool works in practice

The Planning Team is normally put in place by the Management of the Local Authority with a Team Leader designated to coordinate all its activities. The team is responsible to allocating roles and responsibilities among its members to ensure that all its mandated responsibilities are fulfilled and agreed targets are met.

The team regularly provides feedback to management and other concerned stakeholders through feedback meetings and written reports. The team sometimes acts as an internal advocacy team on issues affecting the operations of council and usually provides technical advice on new approaches and methods of service delivery.

It is therefore critical that the Team Leader has good leadership and coordination skills to inspire the confidence of all the members in the team.

Exhibit 24: Experiences of the Local Action Planning Team in Mutare

In 2010, the City of Mutare created a Local Action Planning Team comprising experts from various departments to spearhead the planning and implementation of a local government capacity building programme that was being technically monitored by RTI International. The idea of the Local Action Team was born out of the realities of complications that would occur if external agencies would be involved in local community planning processes. The environment in Zimbabwe has not been very conducive to allow NGOs to champion local development programmes that target local authorities.

The work of the Local Action Team was very innovative as it resulted in a number of achievements including:

- Self-diagnostic assessment of local government capacity to carry out core functions;
- Development of a responsive training and capacity building programme
- Strengthening of corporate governance systems and team working across entire local authority.
- Dialogue on the establishment of an accountability charter.

The essence of this experience in the City of Mutare is that it is possible for local authorities to initiate and drive their own process of change using participatory approaches.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Tool 10.2: Municipal Planning Workshop

Purpose

The main purpose of the municipal planning workshop is to review the previous plan and agreed planning targets for the coming period which is normally 12 months. The municipal planning process becomes the basis for resource allocation.

Principles

- Information sharing on performance of previous plans with all key stakeholders invited to attend the planning workshop.
- Participation and representation of marginalized groups
- Gender representation

How the tool works in practice

The Municipal Planning Workshop is an effective method to

develop a shared plan by Local Authorities involving citizens, relevant stakeholders and the private sector. The key stakeholders based on the mapping process which should be done continuously are invited to a 2 to 3 day meeting where the Local Authority will be taking stock of it's achievements and challenges over the past year. Stakeholders will participate in formulating the plan for the coming year and to set concrete targets, roles and responsibilities.

The final plan is usually approved by full council for implementation. In the community based urban planning process, the municipal planning process is an aggregation of all the community based plans. Stakeholder dialogue helps to build consensus on the key priorities for implementation by the Local Authority.

Exhibit 25: Implementation Priorities for Epworth Local Board



Road maintenance in Epworth.

PHASE III: Integrating Community Based Planning Outcomes Into The Municipal Planning And Development Process

Tool 10.3: Integrated Development Planning and Implementation

Purpose

The purpose of integrated development planning is to foster collaborative planning and development processes in order to optimize use of available resources and strengthen efficiency in the service delivery process.

Principles

- There is need for greater inclusiveness by all sectors that contribute to the local economy of the local authority.
- There is need for leadership commitment and support

towards collaborative working.

How the tool works in practice

Integrated development plans ensure there is harmonization of previously disparate initiatives within the city. New systems and cultures of working are also defined to build commitment and new ways of working by stakeholders. There is need for investment in leadership and management development to ensure new initiatives are promoted at the strategic level.

Exhibit 26: The Integrated Development Planning Process in the City of Mutare

The City of Mutare has been in the forefront in spearheading the Integrated Development Planning (IDP) process and the following key performance areas were agreed:

- *Housing*
- *Municipal Services*
- *Environmental Management*
- *Local Economic Development*
- *Democratic Governance*

Key indicators for measuring achievements in these performance areas were identified and documented for future tracking and referencing. The IDP process also resulted in identification of key change management goals which focused on:

- *Human resources development*
- *Financial resources management*
- *Technical resources management*
- *Sustainable community settlement framework*
- *Effective and efficient governance*

PHASE IV: FOLLOW-UP, MONITORING AND EVALUATION

Introduction

This phase is designed to develop responsive monitoring tools linking community level urban planning processes with meso-level processes focusing on:

- Ensuring implementation of agreed action plans;
- On-going monitoring and evaluation
- Scaling-up replicable initiatives
- Documentation and institutionalization of good practices.

This involves use of the following key steps and tools:

Step	Key Tools
Step 11: Identifying most relevant monitoring tools for tracking agreed targets	Community Based Monitoring System
Step 12: Evaluating Performance and taking corrective action	Performance Management Plan (PMP) Results Based Management
Step 13: Institutionalization of good practices	Publication of outcomes for internal and external sharing

Step 11: Identifying most relevant monitoring tools for tracking agreed targets

Step 11

Tool 11.1: Community Based Monitoring System

Purpose

The purpose of community based monitoring is to empower communities to be more involved in monitoring the results of their own actions by conducting simple processes such as community review meetings and service delivery score cards which can be done using local materials and resources within the community. Such a reporting system will be linked to higher level monitoring processes.

Principles

- Monitoring should be a basis for providing useful information for feedback and corrective action
- Monitoring should be organized and implemented in a fully participatory way with all key stakeholders making an input to the final design of the monitoring system.

- Monitoring should benefit decision making processes and actions by stakeholders in the city

How the tool works in practice

- Need for clarity on what is to be monitored. Through a participatory process, there is need to identify what will be monitored and formulate feasible measures which can be used as indicators for monitoring.
- Ensure inclusion of a diverse range of stakeholders including marginalized groups
- Ensure gender balance in those participating in the process of identifying key measures or indicators.
- Ensure measures are appropriate for the different processes involved.

PHASE IV: FOLLOW-UP, MONITORING AND EVALUATION

Tool 11.1: Community Based Monitoring System

- Gather baseline information at the start of the process so that indicators have a starting point against which measures can be later compared.
- Create opportunities for stakeholders to self-assess their performance based on agreed roles and responsibilities.
- Need for analyzing information in different formats for different audiences.
- Monitoring information should be disseminated widely and constantly to maintain a high level of stakeholder participation and engagement.
- It is important that results of monitoring are used to modify the process where there are constraints.
- By making the monitoring process participatory and inclusive with all stakeholders being able to access the results, greater transparency is created.
- Regular field monitoring visits are needed to confirm trends and result patterns.
- Annual monitoring reports must be produced to ensure a good monitoring trail of the process.

Exhibit 27: Developing a Community Based Urban Monitoring System for Epworth

The M&E process in Epworth was designed with the local Ward Committees.

- Regular monitoring visits
- Regular reviews with WADCOs and Local Authority
- A template was developed which had the following columns:

Implementation Dates	Objectives	Project updates	Proposed activities	Implementation status	Indicators	Due date	Completed by	Variance
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Impact achieved

- Improved quality of service delivery
- Engaged, organized and coordinated local enterprises
- Structured engagement with Local Authority

PHASE IV: FOLLOW-UP, MONITORING AND EVALUATION

Step 12: Evaluating Performance and Taking Corrective Action

Step 12 Tools:

Tool 12:1: Evaluation

Purpose

The purpose of an evaluation is to gain a better picture of whether local authority services or programmes are having the desired effects and to document reasons for unforeseen variations in performance and results. Because resources available for service delivery and community development are so limited, accurate and up to date information about implementation processes is important to ensure that resources are being put to best use. Evaluation information will enable the local authority and its stakeholders to learn from both mistakes and successes of their programmes to improve future actions.

Principles

- Evaluation should be a systematic and objective assessment process
- Evaluation should assess the design, implementation and results of interventions or processes in a local authority or at community level.
- The goal should be to determine the relevance, achievement of objectives, cost-effectiveness, and efficiency in resource use, impact and sustainability.
- Information used for the evaluation process must be credible and lead to clear lesson learning processes for future improvements
- Evaluation should provide a basis for accountability, including the provision of information to the public.

How the tool works in practice

An evaluation requires fulfillment of a number of steps in its planning and execution which involves preparing an evaluation plan, developing indicators for measurement of progress, structuring indicators at different levels: policy, service provision, operations, efficiency and impact.

Exhibit 28: Outcomes and Recommendations of Mid-term Evaluation for People-Up Project in Epworth and City of Mutare

PHASE IV: FOLLOW-UP, MONITORING AND EVALUATION

Tool 12:1: Evaluation

A mid-term evaluation was conducted through technical support from Vibes Consultancy Services. A mid-term evaluation is a vital tool for checking what has worked and what has not worked in the implementation of a project.

The following key lessons were learnt

- Timely communication when delays are anticipated is key to community development
- Localised stakeholder conflicts impact negatively on project implementation
- Drivers of the project concepts should be involved throughout the project cycle
- Capacity building must simultaneous be done at all governance structures to avoid confusion between the technocrats and the residents
- Good demonstrations are key to the adoption and advocacy of new practises
- Aligning project activities to Local Authorities planning calendars have an effect in adoption
- Constitutions should precede implementation of community projects to minimise conflicts
- Communities expect to be part of the beneficiaries from projects in return for services they will have offered for free
- Communities need guidance on fundable projects before making project priority list to avoid disappointments.

The main conclusions were:

- The need to carefully manage software and hardware processes in a balanced capacity building process to avoid conflicts and squabbles on who benefits and who loses.
- The need to ensure a good balance between training and application of the knowledge gained is critical for success.
- The need to invest in effective communication by communities and local organizations including skills for advocacy in support of their expressed needs and priorities.

Clearly, evaluations are a critical learning opportunity for all actors in a project.

PHASE IV: FOLLOW-UP, MONITORING AND EVALUATION

Step 13: Institutionalization of Good Practices

Step 13 Tools

Tool 13.1: Institutionalization

Purpose

Institutionalization ensures wider understanding and acceptance of the community based urban planning approach at society, institutional and policy levels resulting in wider scale replication and scaling up of similar initiatives. The main purpose is to ensure community based urban planning processes are widely understood, accepted and sustained through routine day-to-day application.

Principles

The institutionalization process must be based on gradual changes in people's understanding and acceptance of the key processes, tools and principles of community based urban planning. The basic approach is to build incrementally on successive achievements and overtime certain practice are naturally embedded into organizational systems.

How the tool works in practice

The institutionalization process is based on a number of key considerations:

- What to institutionalize: This can be discussed within the network of organizations to clearly define and have a shared understanding of what are the good practices that can be institutionalized.
- Redesign of key capacities and functions within the organization based on lessons and experiences from the community based urban planning processes.
- Identifying key anchor institutions for driving the new changes at societal and institutional/policy level.
- Incorporation of new practices into new budgets, human resource allocation practices

Exhibit 29: Institutionalization of the CBP Process in Epworth and City of Mutare

Institutionalization is a great show of policy commitment towards system-wide use of a proven process. In both City of Mutare and Epworth local authorities, the CBP results are convincing but there are fears that the local authority itself would face some resistance in spearheading community based planning at local level suggesting that there will always be need for a neutral actor to make communities more open and willing to commit their time and resources to community based planning processes. There is need to learn from other local authorities on how processes such as CBP have been institutionalized by a Local Authority.

PHASE V: LEARNING GROWTH AND POLICY INFLUENCING

Introduction

This phase is designed to promote participatory learning and reflection by all actors involved in the participatory urban planning process to ensure growth and policy influencing.

This involves use of the following key steps and tools:

Step	Key Tools
Step 14: Sharing good practices with others to influence institutional and policy processes	Annual Review and Learning Workshop Periodic Symposiums
Step 15: Gaining recognition and support at all levels	Seminar Participation Publicity and Marketing Events Public Competitions and Award Winning

Step 14: Sharing good practices with others to influence institutional and policy processes

Step 14Tools:

Tool 14.1: Annual Reviews and Learning Workshops

Purpose

The Annual Reviews and Learning Workshop presents a unique opportunity to bring all key stakeholders together to review progress on agreed targets over the year. This process should provide key stakeholders with the opportunity to learn what has worked and what has not worked. Stakeholders have an opportunity to suggest new ideas that would lead to the growth and development of their Council. The Annual Reviews and Learning Workshops should be part of the Calendar of Events for the Local Authority and should therefore be adequately budgeted for in the budget.

Principles

- Local Authorities should embrace the spirit of collaborative review and learning as part of their service delivery charters.
- All key stakeholders in the Municipality must be given an opportunity to be adequately represented in the annual review and learning workshop.
- New ideas from the annual review meetings must be taken seriously by council for implementation.
- There must be feedback on progress being made on agreements reached in public annual review and learning workshops.
- Documentation of progress must be presented in subsequent review meetings and records maintained within the Local Authority Information Management System.

How the tool works in practice

The Annual Review and Learning Workshop should be publicized through the normal council stakeholder communication channels ensuring that feedback on who is attending is obtained prior to the meeting. If the intended stakeholders are tied up on the proposed day of the meeting, it would be good to reschedule the meeting. Stakeholders need some kind of respect and if their interests are respected, they often contribute their best.

PHASE V: LEARNING GROWTH AND POLICY INFLUENCING

Tool 14.1: Annual Reviews and Learning Workshops

Exhibit 30: The PEOPLE UP Stakeholders Annual Review and Learning Workshop in the City of Mutare



Tool 14.2: Periodic Symposiums – Leading the Debate

Purpose

Periodic symposiums provide a good platform for different types of stakeholders interested in specific urban issues and challenges to debate and generate new ideas and perspectives with a view to improve current practice and influence stakeholder uptake of issues for action as well as influencing policy direction through collective thinking and visioning.

Principles

- Issues for the symposium must be clearly identified and relevant stakeholders mapped out
- Resource persons and panel experts for the symposium must be informed prior to the meeting.
- Good and impartial facilitation of the debate is needed.

How the tool works in practice

Symposiums are a common feature in Zimbabwe. They take the form of thematic workshops where issues that are topical are usually prioritized mainly because new ideas will be needed to guide society on possible actions and decisions. They are usually held timeously to ensure that ideas and recommendations that emerge from these meetings can quickly be shared with relevant audiences to ensure quick uptake by responsible authorities. For example Practical Action convened a public symposium on urban planning and policy in Zimbabwe. They also convened other symposiums to discuss relevant topics such as private public partnerships. The issues and outcomes from these symposiums are described below as Exhibits.

PHASE V: LEARNING GROWTH AND POLICY INFLUENCING

Tool 14.1: Annual Reviews and Learning Workshops

Exhibit 31: “Putting Urban Residents Participation in Planning into Practice-Experiences and Opportunities”

This symposium targeted key stakeholders in urban service provision from the Ministry of Local Government, other NGOs, private sector, banking sector, City of Mutare, Epworth Local Board, project beneficiaries from Mutare and Epworth, UZ Department of Urban and Rural Planning. The main outcomes were:

- Short-comings of supply-driven local authority decision-making processes were exposed through dialogue and discussion with a range of stakeholders.
- The need for creation participation space for all socio-economic groups was noted by all the stakeholders at the symposium.
- The importance of having an enabling environment supportive of local authority and stakeholder initiatives also became very apparent in the dialogue process.
- All stakeholders adopted the principle of local resident participation as a good practice to be taken on board by all stakeholders involved in urban planning and management.

Exhibit 32: Symposium on Public Private Partnerships in Local Authorities

This symposium was held in the City of Mutare with the participation of NGOs, local authorities, community based organizations, micro-finance institutions and other private sector actors. The main conclusions were:

Though Public Private Partnerships (PPPs) is a relatively new approach to development in Zimbabwe, lessons could be drawn from the experiences of developed and developing countries on the conditions for the success of PPP. As a relatively late entrant in the PPP development process, Zimbabwe can learn and benefit from these lessons. The examples are as follows:

- (i) Need for detailed policy and planning.
- (ii) Provide adequate protection for lenders.
- (iii) Avoid renegotiation and midway changes to save costs and delays.
- (iv) Development of public sector capacity.
- (v) Full and clear support by government.

PHASE V: LEARNING GROWTH AND POLICY INFLUENCING

Step 15: Gaining recognition and support at all levels

Step 15Tools:

Tool 15.1: Seminar Participation

Purpose

Participation in relevant seminars by actors involved in the urban development process can create significant value for the local authority growth and development process. Seminar participation therefore requires a much more coordinated framework for scouting the relevant learning priorities for the local authority and identifying actors who must represent the local authority based on their role, positioning and influence. Seminar participation also creates space for the local authority and its stakeholders to influence their internal and external environment especially on issues requiring external attention.

Principles

- Need for preparedness planning by all stakeholders on possible seminars addressing issues of interest through better connection with media, internet browsing and other networks on urban development.
- Keep connected to regional and international urban planning and development networks.
- Set resources aside for networking and seminar participation.
- Know your value networks

How the tool works in practice

Seminar participation is often not a well-structured process. In this toolkit, seminar participation should be well planned through the following key steps:

- Identify topics of interest for the year for the local authority which are good enough for resource allocation.
- Workout a seminars budget
- Identify possible seminars from current invitations and networks
- Use your previous experience to project other likely seminars
- Identify possible resource persons to attend these seminars
- Ensure preparedness planning for effective participation in the seminars
- Arrange for feedback report and live feedback to other interested stakeholders.

Exhibit 33: Seminar Participation – Bye-Law Formulation in City of Mutare

The City of Mutare through the coordination of the Local Action Team hosted a workshop for community based organizations to create awareness on the current by-laws of this city. The issue of lack of knowledge of by-laws was raised at an Annual Review Meeting of the PEOPLE UP project that was being implemented by Practical Action in partnership with the Mutare District Housing Union (MDU).

It became apparent that most of the invited guests had never been involved in the dialogue on by-laws and their flouting of the City's by-laws was not deliberate but genuine lack of information and knowledge.

Seminar participation for all civic groups is critical for management of the city by-laws as this provides a forum for understanding the regulatory framework as well as building a relationship of trust and confidence with each other.

PHASE V: LEARNING GROWTH AND POLICY INFLUENCING

Tool 15.2: Publicity and Marketing Events

Purpose

Creating good publicity is good for revenue generation and investment attraction in the Local Authority. Without good publicity the Local Authority reputation may be damaged. A good marketing strategy is therefore critical for the local authority especially taking advantage of key marketing events in the country. These marketing events include business publicity events like the International Trade Fair, the Annual Tourism Expos, Local Government Events and National Workshops and many others.

The main purpose for participating in these events is to market the core products and services of the local authority with a view to create new partners for the growth and development of the Local Authority.

Principles

- The marketing process must be conducted using appropriate marketing materials and toolkits which showcase the potential for investment and development in the Local Authority.
- The people doing marketing business for the local authority must be well trained and reputable.
- Always avoid over-marketing the Local Authority – restrict yourself to products and services that available.
- Collective marketing platform with other Local Authorities is also good for affordability and cost-effectiveness.

How the tool works in practice

The marketing techniques vary from one organization to another. It is highly recommended for the organization to identify its strengths products and services and the opportunities for increasing value through marketing. Where the cost of individual marketing is high, working in collaboration with other local authorities would be a good idea especially at National and Regional Level. Some marketing initiatives are conducted through the Local Authority Associations in order to be more effective in creating attention at that level.

Exhibit 34: Generating City Publicity through Participating in Marketing Events – City of Mutare

The City of Mutare has managed to create lots of good publicity for itself through determined participation in public marketing events such as the Trade Fair which is an event that happens annually.

A feedback from the City of Mutare revealed that a number of issues should be taken into account when publicizing the City to the outside world and these issues include:

- Proper planning
- Proper audience analysis in order to participate in these events with the right tools.
- Adequate manpower to manager your marketing stand.
- Adequate resource materials for sharing with the public.
- Carry a register to capture new business for the organization.
- Must be prepared to explain both the positive and negative picture of the organization.

PHASE V: LEARNING GROWTH AND POLICY INFLUENCING

Tool 15.3: Public Competitions and Award Winning Attitude

Purpose

Local Authorities often shy away from public competitions to assess their competitiveness in public service delivery. In this toolkit, participation in public competitions and adopting an award winning attitude is critical for the service delivery success in a Local Authority.

Winning Awards such as Best Local Authority in Service Delivery is key in building the confidence of stakeholders and citizens to contribute to the revenue generation targets of the city.

Principles

- Local Authority Leadership must embrace the notion of competition in their operations and must aim to compete with the best at all times.
- There is need for responsiveness to invitations for participation in public service delivery competitions.
- Good progress and achievements must be celebrated by all stakeholders in the Local Authority.
- There must be some rewards for those spearheading the marketing and publicity of the Local Authority to the outside world.

How the tool works in practice

Participation in public competitions requires the Local Authority and it's stakeholders to be aware of the various competitive awards available for competing with others. Mapping of these processes should be done during the Local Authority Action Plan Development Process (See Step 10).

Exhibit 35: City of Mutare Award Winning Attitude

The City of Mutare claims it has adopted a winning mentality when it comes to service delivery and this mentality is strongly backed by adoption of some key principles to service delivery and governance. The vision of the city revolves around being the best governed city in the country. With that self-driving mind-set, the City of Mutare has managed to mobilize community, stakeholder and donor support to develop examples of good practice in local governance. Despite some challenges in early 2012, City of Mutare has managed to maintain it's focus on the provision of quality services to residents.

As a result of the City of Mutare investment in quality service delivery, the City was the winner of the Zimbabwe National Chamber of Commerce (ZNNC Award) in 2011.

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