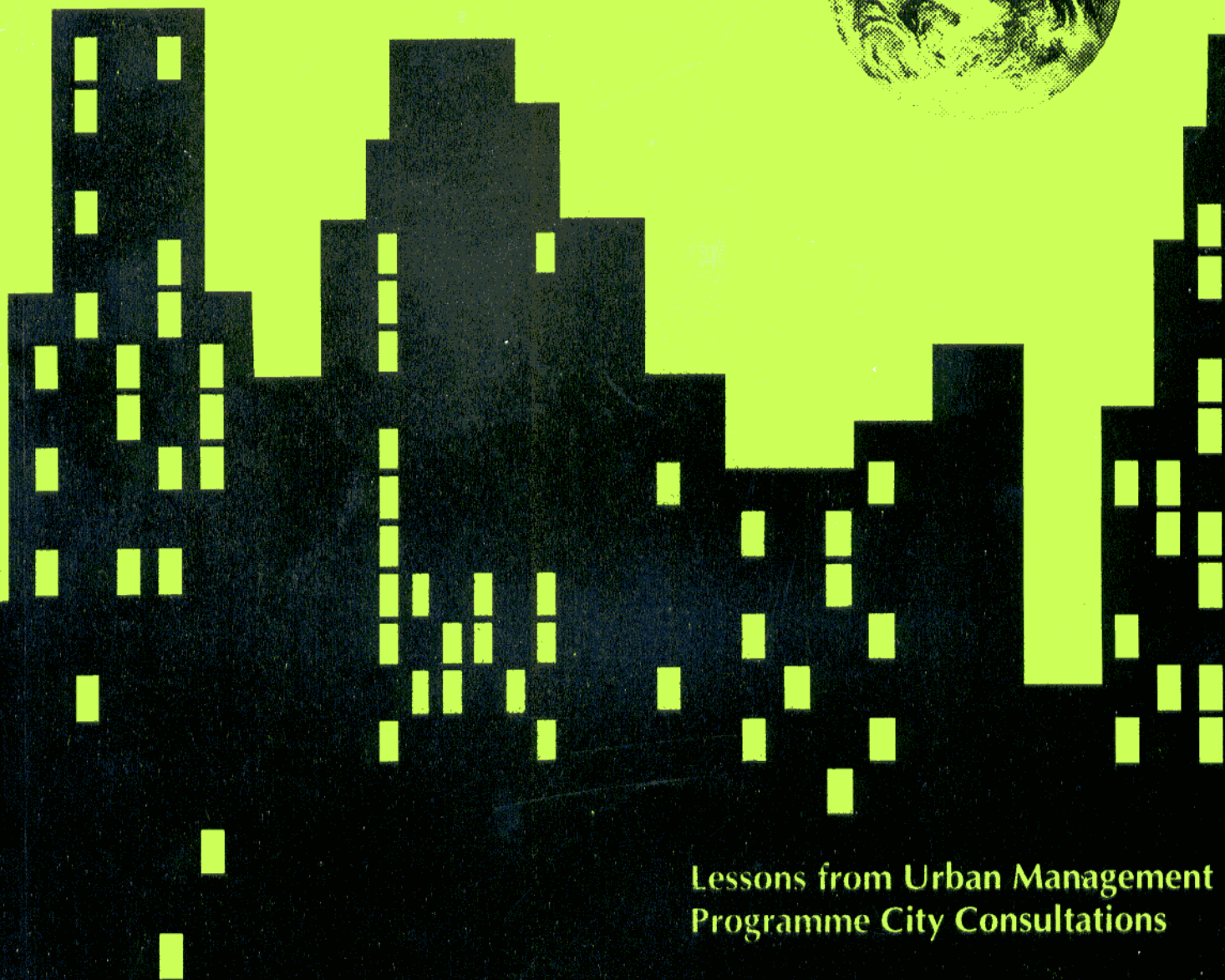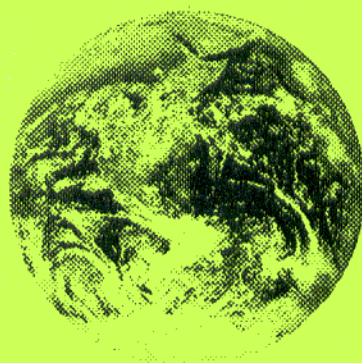# 27

PARTICIPATION TO PARTNERSHIP

Lessons from Urban Management Programme City Consultations

Urban Management Programme

Urban Management Programme
UNDP/UNCHS/World Bank

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PARTICIPATION TO PARTNERSHIP

Lessons from UMP City Consultations

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The Urban Management Programme (UMP) represents a major approach by the United Nations family of organisations, together with external support agencies, to strengthen the contribution that cities and towns in developing countries make toward economic growth, social development and the alleviation of poverty. The programme develops and promotes appropriate policies and tools for municipal finance and administration, land management, infrastructure management and environmental management. Through a capacity-building component, the UMP supports the establishment of an effective partnership with national, regional and global networks and external support agencies in applied research and dissemination of information and experiences of best practices and promising options.

Acknowledgements

Foreword

Improved urban governance is one of the most important factors in reaching the potential of cities, not only in addressing the challenge of urban poverty, but also in harnessing the economic opportunities. During Phase 3 (1996 - 2001), the Urban Management Programme emphasis shifted to more city-specific activities. The principal activities of the programme during this phase have been the convening of "city consultations" and anchoring of the programme in nineteen institutions across the regions.

The UMP Regional Offices in Quito (Latin America and the Caribbean region), Bangkok (Asia and the Pacific), Abidjan (Africa) and Cairo (Arab States), and Sub-Regional Offices in Johannesburg (East and Southern Africa) and New Delhi (South Asia), together with local and regional anchor institutions and various other partners, have undertaken 120 city consultations in 57 countries to address the challenges cities are facing and work together to improve participatory governance. These city consultations bring together all stakeholders involved and concerned with urban management and development and provide a platform for the stakeholders to discuss issues and develop a consensus on the priorities and possibilities for action.

UMP activities and priorities on participatory governance and poverty reduction make strong contributions towards implementation of the Habitat Agenda at the local level. The participatory nature of city consultations emphasizes the "Inclusive City", the theme and strategy of the Urban Governance Campaign of UNCHS (Habitat). The city consultation process promotes participatory decision-making and intends to institutionalise inclusiveness in cities.

This publication is based on the evaluation and analysis of the UMP city consultation experience thus far. This experience is rich and represents diverse cultures and contexts, but despite this diversity, some important common principles and lessons have emerged. This publication reviews experiences, identifies key lessons and highlights how various experiences and difficulties were addressed through out the process. It is intended as a guide for all stakeholders undertaking participatory decision-making processes in their cities to improve urban governance.

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Executive Summary

"As a result of the city consultation, first and most importantly, we realized that we [the City Council] were not the only ones working in the area of community development. Rather there are many more actors, so that we are no longer talking just about the municipal government, but also about NGOs, state institutions, companies, etc. The second concrete result was that the process helped to create a plan in which state institutions, NGOs and private groups are involved. It has helped us build a vision of the future of the city..."

Martin Pumar, Mayor, Villa El Salvador, Lima Peru

Initiated in 1986, the Urban Management Programme is one of the largest global technical assistance programmes in the urban sector. It is designed to strengthen the capacity of urban local governments for poverty reduction, improvement of environmental conditions, improvement in local governance and management of economic growth through participatory decision-making processes.

One of the key implementation strategies of UMP in its third phase (1996 - 2001) is the city consultation process, which is seen as a means of institutionalising participatory governance. Through the process of participation of civil society, the UMP city consultations aim to develop a true partnership among the civil society and the local government.

This publication is based on the evaluation and analysis of 120 UMP city consultations in 57 countries by the UMP regional offices, anchor institutions and local partner institutions. Experiences from these city consultations reveal common themes, concerns, requirements, obstacles and outcomes that demonstrate the success of the participatory process as well as its limitations. The purpose of this evaluation is to review the experience of the UMP city consultation process, identify key lessons and use these important findings to develop appropriate guidelines and tools.

The UMP city consultation experience is rich and represents diverse cultures and contexts. Synthesis of such a vast information base has not been an easy task. But despite the diversity, some important common principles have emerged from the analysis. These principles and key findings summarized below suggest that participation of citizens in local government decision-making can progress from mere

"tokenism" to a true partnership. The future activities of UMP will be oriented toward further fulfillment of this goal.

Some of the key findings of the UMP city consultation experiences are listed below. These lessons are organised around the major stages of the UMP city consultation process: stakeholder engagement, making city consultations happen and action plans.

Stakeholder engagement

- Strong **political will and dedication** of stakeholders is overwhelmingly reported as the single most important aspect of a successful city consultation process. The importance of **strong leadership** was also recognised in more successful city consultations. The proactive role of a key individual (such as the mayor) or group (such as the local partner institute or a civil society group) is instrumental in keeping the process moving.

- The presence of **organised stakeholder groups** emerges as the second most important factor for achieving results in the city consultation process. The more stakeholder groups are consulted and involved, the more likely the process will be successful. This is easier when the stakeholders are more organised and have a collective voice. Involving stakeholders in the decision-making process has a positive impact on the implementation of the action plans as well as strengthening their sense of **ownership**, which supports sustainability and institutionalisation of the process.

- Strong support and involvement of **local partner institutions and anchor institutions** is critical

to the success of a city consultation. Interestingly, in many city consultations the local partner and the anchor institutions went beyond merely supporting the process and took on a real leadership role. They are often credited with being one of the major factors for city consultation success.

Making City Consultations Happen

- **Demand-driven** city consultation processes that are focused on a **key priority issue or theme** and are **clear and precise** have a greater chance for success. Otherwise, the process runs the risk of lack of ownership and commitment. Issues that are strongly perceived as priorities serve the multiple purpose of dealing with the most important problems, motivating people to continue with the process and encouraging creative responses to problems.

- It is critical to show **concrete results** in the city consultation process *at the earliest possible stage*. These results serve to reinforce commitment in the participatory process. Small but highly visible actions and results at intermediate stages of the consultation process lead to sustained interest of all stakeholders.

- **Resistance to the participatory process and conflict between stakeholder groups** are common during the city consultation. Conflict and lack of trust is an even greater obstacle in municipalities where people are getting involved after a long period of perceived exclusion. It is necessary to build trust among stakeholders and create a space for dialogue. The process itself can help resolve these issues and build trust between stakeholder groups.

- A city consultation can and should **capitalize on existing initiatives** in cities. Coordinating and building on existing participatory efforts and creating partnerships lends strength to the UMP city consultation process and improves the likelihood of institutionalisation.

- The participation of **women** in the city consultation process is not a sign in itself of a stronger role for women in a decision making process. Mainstreaming gender means offering women and men the same opportunities and possibilities. While participation is a starting point, more effort is needed in the city consultation process to ensure gender is adequately addressed.

- With decentralization policies still evolving in many countries, **capacity-building** is required at all levels and across stakeholder groups to ensure meaningful and effective partnerships can be established in the city consultation process.

Action Plans

- Action plans need to strike a balance between being **realistic** and, at the same time, incorporating an agreed **future vision** that will result in a real improvement in people's lives. Action plan implementation is more likely when most or all of the key stakeholders have "ownership" of the plan and are committed to work in partnership with all stakeholders.

- **Local resources to implement action plans** are generally both more reliable and more sustainable than resources from external sources. Using local resources also means the activities funded are more demand-driven. Looking at this from another direction, some portion of the action plan should be prepared to fit the local resources. External support is also important but should be sought strategically and not as the only source of action plan funding.

- **Institutionalisation** of the process requires considerable effort to ensure that such participatory decision-making process will become 'the way in which cities do business'. More efforts are needed to ensure institutionalisation occurs but progress is seen in many areas and institutionalisation takes a variety of forms.

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Chapter 1: UMP City Consultation Process

The 21ˢᵗ century will witness massive and rapid urbanization, with two billion new residents in cities of the developing world in the next 25 years. This process, though stimulated by economic development, has also led to sharp divisions in growth between cities and among social groups. The challenge for the cities is to improve equity, efficiency, productivity and governance in order to provide sustainable livelihoods, safe and secure living environment and a better quality of life for its residents.

Along with rapid urbanisation, there has been an increasing trend toward decentralization in many countries. Within the decentralization framework, urban management and development assume increasing importance in the pursuit of national economic goals. Urban local governments are now required to take a more active part in improving governance, fostering economic development, and taking steps to reduce poverty, all without losing sight of their fiscal and civic responsibilities.

Decentralisation programs initiated in many countries have now given urban local governments a greater responsibility for management. The rapidly changing macro-economic environment, democratic decentralisation and increasing urban poverty pose enormous challenges to elected representatives and municipal officers in cities. The ushering in of local democracy has produced a new cadre of political leaders who are enthusiastic but often lack the requisite knowledge and skills for local level decision-making. For municipal staff, the process of local democracy and the problems of rapid urban growth necessitate improved managerial, technical and financial capacity.

Improved urban governance is one of the most important factors in reaching the potential of cities, not only in addressing the challenge of urban poverty, but also in harnessing economic opportunities. The Urban Management Programme (UMP) has promoted participatory governance through its city consultations in the Phase 3 (1996-2001) [See Annex One for a list of cities]. The Urban Management Programme responded to the need for more effective management of urban areas by replacing the largely technocratic processes utilized by urban planning agencies and initiating a more inclusive process of city consultation. These city consultations bring together all the stakeholders involved and concerned with urban management and development. The city consultations provide a platform for the stakeholders to discuss issues and develop a consensus on the priorities and possibilities for action.

Participatory development and governance

Participatory development has now become a common phrase in development literature. People are no longer viewed as beneficiary or clients, but are considered important stakeholders in the design and implementation of development assistance programmes. "Participation is a process through which stakeholders influence and share control over

development initiatives and the decisions and resources which affect them".[1]

Within the perspective of the UMP city consultations, participation is seen both as a means for achieving the programme objectives of sustainable urban management, as well as an end goal for empowering the people and their involvement in urban decision-making process. The UMP city consultations are designed on the tenet of partnership, whereby all stakeholders, both within and outside city government, treat with each other on the basis of respect and equality. In specific socio-political context, where citizen involvement is absent, the city consultations provide a platform for dialogue among the local government and the civil society. The city consultations are designed as a process, not merely an event, and are intended to change the way urban local governments do business. Thus, ensuring participation of the civil society in urban decision-making is intended to lead to a true partnership between the local government and the people.

UMP city consultations are also intended to harness the social capital in urban areas and ensure improvements in urban management. Social capital refers to those stocks of social trust, norms and networks that people can draw upon to solve common problems. Networks of civic engagement, such as community and neighborhood groups, private and business sector associations, cooperatives, etc. are an essential form of social capital. These networks of civic engagement are brought on a common platform with urban local governments in a city consultation process. There has been some discussion on the decline of social capital in modern societies[2]. Putnam provides an excellent overview of the concept of social capital and its decline in the United States in the last generation. Fukuyama writes about the role of trust in creation of social capital and economic growth. The UMP city consultations recognize the important role of social capital in poverty reduction and economic growth in urban areas. Efforts are made to bring these social networks and groups to work with the local government in identifying common problems and evolving consensual action plans.

The city consultation process adopted in urban areas follows the norms of participatory and inclusive governance. As stated in the paper for the Campaign on Urban Governance, governance is not government. Governance as a concept recognizes that power exists inside and outside the formal authority and institutions of government. In many formulations, governance includes government, the private sector and civil society.[3] Second, governance emphasizes 'process'. It recognizes that decisions are made based on complex relationships between many actors with different priorities. The campaign theme - "inclusiveness" - reflects both the vision and strategy of the Urban Management Programme as well. The vision is to realize the "Inclusive City," a place where everyone, regardless of wealth, gender, age, race or religion, is enabled to participate productively and positively in the opportunities cities have to offer. Inclusive decision-making processes are an essential means to achieve this. Toward this vision, the UMP strategy of city consultation views citizen participation in its broader sense of partnership of civil society and urban local government.

Participation to Partnership

The concept of citizen participation used in UMP is much broader than the one described in Arnstein (1969)[4]. She describes participatory process as the redistribution of power that enables communities, presently excluded from political and economic processes, to be deliberately included in the decision-making process. It is the strategy by which the community join in determining how information is

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1   The World Bank and Participation, Operations Policy Department, Washington, DC, 1994
2   Robert Putnam, "The Prosperous Community: Social Capital and Public Life," The American Prospect 13 (spring 1993), 35-42; Robert Putnam, "Bowling Alone: America's Declining Social Capital," Journal of Democracy 6:1 (January 1995), 65-78; Robert Putnam, "The Strange Disappearance of Civic America," The American Prospect 24 (winter 1996); Francis Fukuyama, Trust: The Social Virtues and the Creation of Prosperity. New York: Free Press, 1995
3   Civil society includes individuals and groups, organized or unorganized, who interact in the social, political and economic domains and who are regulated by formal and informal rules and laws. See UNDP 1997.
4   Arnstein, Sherry R. "A Ladder of Citizen Participation," Journal of the American Planning Association, Vol. 35, No. 4, July 1969, pp. 216-224

shared, goals and policies are set, resources are allocated, programs are operated, and benefits like contracts and patronage are parceled out.

She states there is a critical difference between going through the empty ritual of participation and having the real power needed to affect the outcome of the process. The UMP city consultations are also intended to go beyond the rhetoric of participation to bring about a major change in the way decisions are made in cities. The participatory process used in city consultation is expected to sustain over a longer period and be institutionalized to create a true partnership between the city government and the stakeholders from the civil society.

The various forms of citizen participation are characterized on a 'ladder of citizen participation'. The experience of UMP city consultation suggests that the socio-political context often determine the degree of citizen participation. The synthesis of this experience in this report provides various lessons for enhancing citizen participation (or moving up the ladder) and reaching the ideal stage of citizen control.

8	Citizen control	
7	Delegated power	Degrees of Citizen Power
6	Partnership	
5	Placation	
4	Consultation	Degrees of Tokenism
3	Informing	
2	Therapy	
1	Manipulation	Non Participation
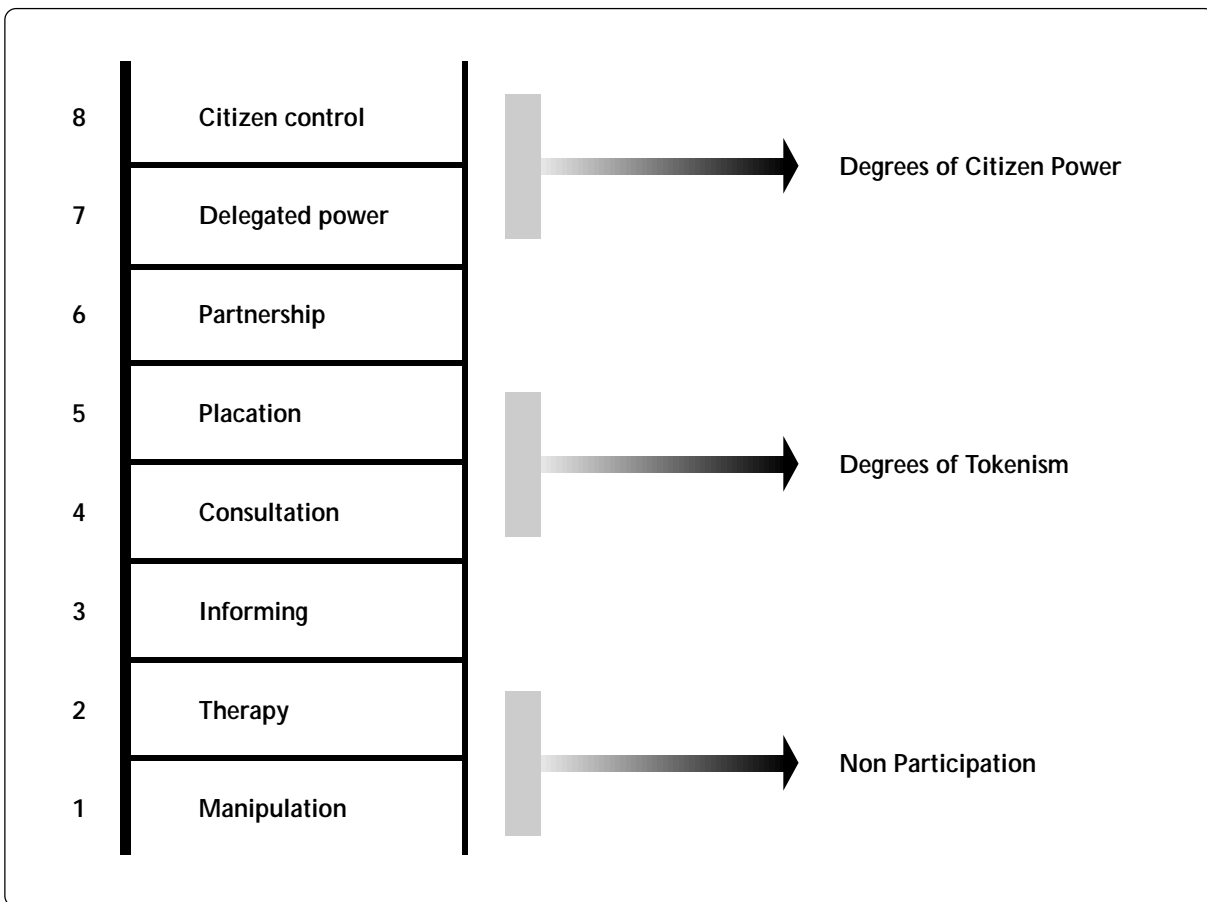
Figure 1: Ladder of Citizen Participation, Arnstein (1969)

At a conceptual level, there appears to be a general agreement as to what construes 'genuine' partnership. Mohiddin[5] suggests partnership can be regarded as the "highest stage of working relationship between different people brought together by commitment to common objectives, bonded by long experience of working together, and sustained by subscription to common visions". Moreover, certain key principal characteristics distinguish partnership from other relationships, such as cooperation or collaboration, and present partnership as somehow of a higher order, more virtuous, more fundamental. Typically,

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[5] Mohiddin A. 1998, 'Partnership: A new buzz-word or realistic relationship?' Development 41(4), 5-12

LESSONS FROM UMP CITY CONSULTATIONS

"partnership is associated with the following characteristics: long-term shared responsibility, reciprocal obligation, equality, mutuality and balance of power".[6] Others emphasize the elements of trust, respect, and ownership. Equality of decision-making and mutual influence are also key characteristics of partnership.

Over the past fifteen years of UMP experience, there has been increasing evidence of the advantages of involving "the beneficiaries" in the development process. From a relatively passive involvement as providers of information, this involvement has changed both quantitatively and qualitatively, so that it is now accepted that the stakeholders should be involved in all stages of the process from design to implementation and evaluation. More importantly, UMP recognizes that through such involvement, the civil society, especially the poor, effectively become partners in the project and the development process. UMP has extended this principle to other domains of governance, partly out of recognition that government alone is not able to decide on the priority issues and the future vision for the city. More significantly, bringing the civil society into the development process as partners provides more than just additional resources. The increase in commitment, knowledge and expertise plus the shared sense of ownership provide better chances for successful outcomes. (See Mumtaz and Wegelin (2001)[7].

UMP city consultation guidelines, (1997; See Annex Three) describe a UMP City Consultation as an embodiment of the tenet of partnership, whereby all stakeholders, both within and outside the city government, treat with each other on the basis of respect and equality. In particular, the views of civil society stakeholders are accorded full consideration, even if they are not expressed in the language and terminology commonly used by the urban development professionals, who often mediate and facilitate the UMP City Consultation process. It is a basic premise of UMP City Consultations that the knowledge and support of civil society stakeholders is essential to solve the problems. Each UMP City Consultation is designed to maximize partnership between city hall and civil society stakeholders. The stronger the partnership, the better the result.

The underlying premise of the UMP city consultation process is that the poor city administration is often due to bureaucratic and unresponsive modes of administration and a result of weak rapport with the stakeholders, particularly the urban poor. Through the city consultation process, the local governments are encouraged to engage in constructive dialogue with the stakeholders and involve them in the decision-making concerning city's development. Towards the goal of ensuring institutionalizing the consultative process, the local and regional partner institutions are encouraged to build adequate rapport with the city government and the stakeholder groups and ensure that institutional mechanisms are established.

UMP experience of working with cities in diverse socio-political contexts also provides a 'reality check' on the notion of participation to partnership. In many countries, where democratic decentralisation process is absent or introduced recently, consultation among stakeholders and the local authority is seen as a major goal. In these countries, the civil society is not encouraged to organize itself, and the local authority derives its legitimacy and authority from higher levels of government, rather than residents of the city. Under these circumstances, promotion of participatory process is both a means and an end. True partnership or citizen control will remain a distant goal in these countries.

UMP City Consultation Process

The city consultation process adopted under the UMP is outlined in Figure 1. The process, as outlined in the figure, is an illustrative guide. The actual process adopted in cities depends on contextual realities. In certain situations, activities under some of the stages occur concurrently.

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[6] Fowler A 2000, 'Questioning partnership: the reality of aid and NGO relations', IDS Bulletin 31(3)
[7] Mumtaz B and E Wegelin (2001), Guiding Cities, UMP experiences 1986-1997, forthcoming

UMP City Consultation Process

Monitoring and Feedback

Implementation
- Implementation of Priority Actions
- Leveraging Local Resources
- Results and Impacts

Preparing for Consultations
- City selection
- Stakeholder mobilizations
- City profie on thematic focus:
  poverty,
  governance,
  environment,
  gender

City Consultations
Stakeholder Engagement
- City-wide consultations
- Focus groups
- Working groups/task force
- Institutional mechanisms

Priority Action Plan

Documentation Dissemination in local media

Action Plans
- Detailed strategy
- Resource mobilization
- Donor Round tables

Intermediate Actions
- Policy formulation
- Demonstration projects
- Stakeholder driven initiatives

Identification of Key Areas
- Prioritization
- Role of stakeholders
- Action areas

Figure 2: UMP City Consultation Process

The UMP consultations are not seen as a one-off event, but rather as a sustainable process of citizen involvement in decision-making. For this to be effective, city consultations are demand-based. This means that they are built on priorities defined by the people themselves and expressed through community contributions. Community groups and actions are based on internal resource mobilization and self-help. In support of a demand-based approach, the local partner institutions that facilitate the consultation process develop clear rules of engagement (including procedures for inclusive decision-making and community contributions) and help community groups to make informed choices among options, comparing costs and benefits, supporting local priorities and initiative and building local capacity.

The organizational capacity of local community groups is critical for a successful city consultation. This is the ability to organize, network with others inside and outside the community to mobilize and leverage resources to achieve shared goals and to resolve conflicts. Communities are not homogenous entities, nor are they all equipped with representative, accountable and transparent organizations. Differences often divide communities along lines of wealth, gender, ethnicity and other social factors which often exclude women, the poor and the marginal from having a voice in community decisions and from enjoying the benefits of local development investments.

In most cases, local governments are better placed than central institutions to allocate public resources across community groups and to assure long-term support to O&M activities that cannot be assured by community groups. Reform and capacity building of local governments is often critical to assure that they have the incentive to reach down to communities and support community groups in a demand-based manner. Strengthening community groups and their capacity to express demands to local governments also helps develop downward accountability of local governments. The willingness and commitment of city

government to the consultative process is therefore very crucial.

Another key to the sustainability of the UMP process is being realised through institutional anchoring, or forming partnerships with selected urban management institutes in the region to develop their capacity to undertake city consultations and other UMP activities. UMP Regional Offices work together with Anchor Institutions in helping cities carry out their city consultations. Anchor Institutions are regional institutions, or 'centres of excellence', that support the process in each region. They establish working partnerships between themselves, local partner institutions, city governments and other stakeholders and provide continuing support to governments and cities in addressing issues of poverty, environment, and governance in a participatory way. They have a broader capacity for research, training, consultancy services and information dissemination and have a region-wide perspective on issues surrounding urban management. Anchor Institutions add value through their overall support and their contribution to and from the regional level - sharing lessons between cities and countries working on similar issues and bring this expertise to bear in the city consultation process.

The selection of a participating city is carefully made on the basis of prior evidence of the city's efforts to improve governance and people's participation. The UMP consultation is designed as a process, not merely an event, intended to achieve improvements in the way city governments do business and not as an end in itself. The process outlined in the city consultation guidelines is also flexible and adaptable to the context, instead of following specific sequence of events. It is essentially a means of bringing all the stakeholders together on the same platform for identification of important issues, developing consensus on the action plans, and ensuring resources and commitments of all stakeholders for the implementation of these action plans. For achieving this, a careful analysis of the stakeholder groups in the city is made and the consultations are kept open to all stakeholder groups.

A typical city consultation process begins with a set of parallel activities related to the preparation of a city profile on identified sectors/themes and position papers on various issues. These position papers are derived from various focus group meetings and consultations with each stakeholder group. These outputs are then discussed in a large stakeholder consultation to arrive at a consensus on the key issues, its prioritization, and potential action areas. Various stakeholder task groups then work on further development of these action plans and their adoption by city government, stakeholder groups and donor agencies.

Objective of this study

It is widely accepted that consultative processes can have a positive effect on urban governance. However very little is known about the actual impacts of the UMP city consultation process. Even though city consultative processes have been promoted for some years, there has not been a systematic evaluation of the impacts, effectiveness and benefits to urban local governments. In particular, the follow-up of action plans has not yet been well documented. The progress toward 'institutionalization' of the consultative process is also not described. This study attempts to provide a synthesis of experience of 120 cities in 57 countries on participatory urban management. Please see Annex One for a list of these cities.

Some key questions this study addresses include:

- What practical lessons can be learned from all the stages of city consultation experiences?
- What best practices can be identified?
- What tools and methods were used successfully throughout the city consultation process?
- How sustainable is the participatory process in UMP cities?
- What is the impact of involving stakeholders?
- What is the impact of decisions made during city consultation process?

The subsequent chapters of this report describe the important lessons of UMP city consultation process. These lessons and specific experiences in selected cities provide important directions for introducing participatory decision-making in cities and moving to a true partnership between city government and civil society.

Chapter 2: Lessons Learned from the City Consultation Process

During Phase 3 (1997 - 2001), the Urban Management Programme initiated many city consultations that are completed or in the final stages. It is now possible to undertake an analytical and in-depth look at the city consultation process. This means looking at *why* and *how* activities unfolded during the process, in addition to *what happened*. In any process as complex as a city consultation, undertaken in such a wide variety of contexts, success depends on many factors and issues linked together. Obstacles arise along the way that hamper the process, especially when the new and unfamiliar modes are introduced.

This chapter draws out lessons, explores some of the difficulties and considers the ways in which many things are inter-linked as the city consultation unfolds. We have attempted to follow the broad outline of the city consultation process, from city selection, through getting people involved, preparing and implementing action plans and institutionalisation. It is important to realise from the outset that these factors and lessons are interdependent and mutually reinforcing. It is not possible to analyze them in isolation from each other or from the political, cultural, social and economic context in the city and country.

It was not possible to include all lessons from the city consultation processes in this document, or to consider the many different contexts at play in any situation.

We have attempted to cover the most important lessons that emerged, especially those that were common in all the regions. As much as possible, we try to contrast successful examples with those that did not succeed, as this helps identify some of the limitations and therefore sheds some light on how these factors can be overcome.

1. Selecting the City

The operational guidelines for city consultations provide selection criteria to guide UMP partners in identifying cities in which to work. These criteria, originally developed in 1996, revolve around a number of factors that were considered important to ensure a successful city consultation process. There is strong proof that the original criteria remain valid in city selection. In fact, experience suggests that even more care and emphasis needs to be taken in the selection of cities to ensure the limited resources of the programme and the anchor and local partner institutions are used most efficiently and effectively. As the following sections demonstrate, commitment of the mayor and key city officials emerges as the most important factor for a successful process, followed by civil society support and commitment. Authority and power at the local government level is also confirmed as an important criteria.

* *Interest of the municipal government*
  Position of the Mayor in relation to the request; dynamism and leadership of the Mayor and his team; priority of the proposed working theme within the municipal agenda, and; previous commitment by the Mayor to the theme

* *Dynamism of local civil society*
  Strength and dynamism of CBOs; nature and representativeness of CBOs; level of mobilization of the CBOs in relation to the proposed working theme; existence of NGOs and other resource centers in the relevant theme(s), and; tradition of NGOs working together with the municipal government

* *Quality and nature of the relationship between the municipal government and "urban partners"*
  Openness of the municipal government to public participation; number and quality of existing and previous participatory programmes; nature and quality of local actors (academics, researchers, private sector actors, CBOs, etc.)

* *Relevance of the problem(s) proposed as the object of the City Consultation at the local level*
  Possible impact on poverty; relation to gender issues; degree of priority within local problems

* *Potentiality for impact and local change in the short term*
  Local national and international resources (human, institutional, financial) which could be mobilized for the implementation of plans of action, programmes, and policies resulting from the City Consultation; potentiality of impacts in the judicial-legal field at the municipal level, and; potentiality of impacts on municipal policy

* *Regional dimension*
  Relations between the city and other cities and actors in the Caribbean and in Latin America; exchanges of experiences (name, importance, etc.); relevance of the theme at the regional level (both sub-regionally and and in the region as a whole) (thematically, to vulnerable groups, in terms of the urban problematic, etc.); existence of the possibility of transferring lessons learnt; interest of the city in "exporting" and "importing" experiences, methodologies, knowledge, etc. to and from other cities within the sub-region and the Latin America and Caribbean region as a whole; interest and capacity of the municipal government in instigating and fostering, through seminars, exchanges, bulletins, etc., a regional or sub-regional working group on the relevant theme

* Local capacity to capitalize on experiences
  Existence of local institutions and interest in documenting the process; previous experience in capitalizing on experiences; nature and relevance of instruments which could be produced during and following the process.

New factors for city selection criteria have also emerged. The important role of the local partner institution in the process is identified as a major factor for success. The existence of networks is not as important as previously assumed, although networks do serve a useful purpose in sharing expertise and lessons. More important is collaboration and partnership with existing urban management initiatives in the city. Follow-up donor financing remains important but many city consultations demonstrate that the focus also needs to be on local resources and solutions to implement action plans.

Additional criteria important for city selection, which have evolved to take into account these experiences, are included in the list below in italics:

- commitment of the mayor and key city officials to the city consultation approach and thematic focus area;

- delegation of authority - sufficient delegated powers in the city for action plan implementation;

- a strong, dynamic, committed and *organised* civil society;

- *dedication* and commitment from local partners, *especially a local partner institute or organisation to support the process locally*;

- *possibilities for collaboration and partnership with existing urban management initiatives in the city*;

- *an existing relationship between the mayor and the community*;

- follow-up financing for implementation of the action plan, *secured from both local and external resources*; and

- the existence of networks (links to other cities in the country and/or sub-region).

2. Stakeholder Engagement

The active involvement of people emerges as the most powerful element for success in the city consultation process. The partnership between local government and civil society demands commitment and dedication of all stakeholders. This depends on a variety of factors, including individual and institutional commitment, capacity and power. We attempt to deal with this in the sections that follow, making an effort to categorize different facets of stakeholder involvement.

Political Will and Political Leadership

Strong political will and dedication is overwhelmingly reported as the single most important aspect of a successful city consultation process. The great majority of UMP city consultations point to political will specifically as the most important factor for the success of the city consultation process. Special mention is also made of the importance of leadership in the city consultation process. This goes beyond the commitment of the local government and has to do with the proactive role of a key individual (such as the mayor or the traditional leader) or group (such as the local partner institute or a civil society group) that is instrumental in keeping the process moving.

City consultations with complete commitment at political and administrative levels come up against fewer obstacles and have greater chances for success. Numerous examples support that the greater the political will and enthusiasm to take on new ways of working, the stronger the process. Strong support from key officials is absolutely necessary, with steady support from a key individual, particularly the mayor, critical. Many city consultation assessments make special mention of this leadership role as a key factor in garnering support and enthusiasm from other key stakeholders who are necessary for the success of the process. This also helps to ensure the process maintains a high profile in the city and can support action plan implementation through continuous support and influence in raising funds.

*The city consultation in **Colombo, Sri Lanka,** stands out from other city consultations in Asia in the areas of complete commitment at political and administrative levels. City consultations were attended by National Ministers, the Provincial Chief Minister, the Chief Secretary of the Province, the Mayor and chief city functionaries. Because of the high level of commitment on all sides, obstacles were absent. In **Lusaka, Zambia,** full and real political commitment and support from the outset was essential. The Mayor, Town Clerk and Heads of Departments must be ready to sacrifice time to be part of the process.*

*In Guatemala, the local government's political will to face the challenge of governing Quetzaltenango with a new perspective, under the complex municipal reality, was one of the main factors cited for success. Members of the municipal team in **Kasserine, Tunisia,** were able to muster the support from government officials at the national level as well as from the municipal council itself. Most decisive was the steady support from the governor of Kasserine throughout the process, and beyond.*

*A local partner institution in **Lalitpur, Nepal,** Lumanti demonstrated a very strong leadership role. In addition to initiating the city consultation, Lumanti has been instrumental in driving and leading the city consultation process. Strong commitment on the part of the local government, together with the local partner institute, is cited as a key factor for success.*

*In **Lurigancho Chosica, Peru,** the active involvement of several key persons with a high recognition in the district is a main factor which allowed results to be achieved. In **Ijebu-Ode, Nigeria,** the traditional leader was very involved in the process and his continuous support and influence to raise funds meant the Action Plan could be implemented in the city.*

Conversely, where political will was not present, the process did not succeed. Lack of strong commitment and frequent leadership changes can lead to the city consultation process being sidelined. A renewed interest by the local government, however, can be enough to prompt the local partner institute and other stakeholders to initiate fresh efforts.

For a city consultation process to begin, a minimum of commitment to stakeholder engagement should exist in the local government. As the vast majority of UMP city consultations are initiated by local government, this minimum is already in place. The presence of a strong and dedicated individual or group taking the lead helps the process tremendously. The criteria used in the city selection process are an additional safeguard, and need to be adapted to suit regional context.

Local Government Authority

It seems that the greater the political will and leadership, the greater the chances for success and institutionalisation of participatory processes. But many city governments face a real lack of power and resources due to highly centralized government systems. In many countries in the Africa region, the national government has undertaken local government reforms and decentralisation programmes, but these are still very recent initiatives. The transfer of responsibilities and the transfer of the accompanying resources has been extremely limited. In the Arab States, efforts at giving more autonomy to local authorities through decentralisation have been, at best, half-hearted.

Lessons from Asia show more advances in real local government power, but confirm that despite decentralisation initiatives in some South Asian countries, the federal and provincial government continue to have control over local bodies through legislation, appointments and other such controls. Where there is greater decentralisation, the city consultation itself has a more empowering effect on those involved. The quality of outputs and city consultations have been higher where decentralisation exists, as the local government is in a better position to make and implement decisions.

The trend in Latin America and the Caribbean is to encourage the decentralisation and autonomy of local governments. However, actual implementation of this is hampered due to the lack of operative mechanisms and, especially, to the lack of financial resources to allow the establishment of real local autonomies.

Chhim, Lebanon: Innovation under Constraint

Despite institutional and regulatory obstacles, there is room for new practices within local government. Understanding the potential contribution of municipalities to national development, the Lebanese government initiated a series of municipal reforms aimed at strengthening municipalities. Municipal elections paved the way for the newly elected local governments to play a more prominent role in local and national development. However, Lebanese municipalities continue to face tremendous difficulties in fulfilling their new roles. They lack a qualified and motivated human resource base that could implement local development projects, and their financial viability and ability to deliver services are hampered by their inadequate size and dependence on government transfers.

*To improve its capacity to identify and address local development priorities, the municipality of **Chhim** needed to identify strategic priorities that could be addressed within their financial limitations. The consultation turned into a participatory budgeting process with a participatory research phase, a validation workshop and adoption of a budget of commonly agreed priorities.*

A key success factor in the city consultation was the municipality's willingness to look beyond constraints and obstacles and seize available opportunities. Convinced that the consultative process is an effective tool for more effective financial management and greater transparency, the municipality has indicated that it will continue using the process for its future budgets.

Dealing with Changes in Government

Political will and leadership are obvious requirements in a city consultation. But some of the most serious obstacles and difficulties arise through the often inevitable change of government during the process. These changes can take place in the external environment or within the local government itself. National or municipal elections can delay the process or worse, when the new local government views the city consultation process as the initiative of another political party.

What lessons can be drawn from experiences with this? The first is that, wherever possible, the city consultation process should not be held when governments are in the process of change. Those city consultations that faced a change of political leadership were all negatively effected to some degree. In some cases complete re-negotiation was required, greatly lengthening the process and stretching the resources, while in others Action Plan implementation was jeopardized.

However, it is not always possible to predict or control these changes. The question then is not whether changes in leadership will affect the process, but rather by how much. What can be done to prepare for this, and how does one reduce the impact of political change?

A number of strategies have been used successfully to counteract or minimize the negative effects. Supporting officials of the municipal government and building their capacity so they are involved in the process is crucial. In addition to being responsible for the day-to-day operation of the city, they are not normally affected by changes of leadership and are well placed to ensure the process continues. For example, frequent changes in the office of the Town Clerk and various political issues within the council in Harare, Zimbabwe, led to the whole city council being dissolved by central government. These problems were manageable and the process was able to continue as the city consultation relied on the involvement and commitment of municipal officials who were not involved in the political leadership.

Another major strategy involves actively engaging non-governmental stakeholders, particularly the private sectors and civil society groups, in the overall process in general and the formulation of the Action Plans in particular. The strong sense of ownership that results from this mean these groups can exert considerable influence when it comes to implementation, enough to weather changes in local government.

Taking this one step further, it was also found that making every effort to institutionalise mechanisms for coordinating the city consultation process and ensuring involvement within the council as early as possible in the process, rather than waiting for the action planning phase of the city consultation to address this, is important. This ensures that all stakeholders are involved in the decision-making and the process is more likely to continue despite obstacles or change.

Making the process as non-political as possible also helps weather changes in government, as the process is then not linked to a particular political party. This must be balanced with the obvious need to capitalise on political will and commitment, which is necessary to drive the process. If owned by both the political leaders and the management, with a strong commitment from civil society, there is less risk of political change derailing the process.

It is important to mention the importance of advocacy when the city consultation faces a change such as this. This advocacy role, especially for the supporting institutions and the key and high-profile leader in the process, can make the difference in getting the process back on track.

Responding to Political Change: contrasting experiences from Asia and the Arab States

In **Kasserine, Tunisia,** elections took place when the consultation was well under way and when the main elements of the action plan were being defined. As expected, a new Mayor took office from the same party as the former Mayor. While two thirds of the Municipal Council changed, nearly all members involved in the consultation remained in office. There was a brief delay in the activity as the new administration settled in. The new mayor was aware of and supported the process, and stakeholders were already mobilized with a mechanism for participation and implementation, in the form of an Enlarged Municipal Team, already in place. Although a very dynamic and charismatic mayor left, there was enough support and commitment from all stakeholders to ensure the process moved forward.

In **Zarqa, Jordan,** municipal elections occurred shortly after the planning phase of the consultation. Unexpectedly, a new Mayor, from a different political party with a drastically different outlook was elected. The majority of municipal councillors changed. Shortly after the new mayor took office, a series of meetings were held to brief him on the consultation and advocate for its continuation. It required several meetings to bring him fully on board and the process needed to be somewhat adapted to meet his concerns and philosophy regarding financial management. There was a fairly long delay in activities while this took place. This unexpected change, together with a reduction in political will and leadership and the fact that there was no mechanism in place for stakeholders to take part in the city consultation, contributed to the greater difficulties in re-starting the process in Zarqa.

In **Nagpur, India,** mayors were traditionally allowed short tenures of one year. Recently, a governmental fiat allowed this tenure to be revised to two and a half years. While this helped to give the city greater political continuity, the Mayor, despite being popularly elected, continued to be only the ceremonial head although by virtue of the position was able to wield influence on the affairs of the city. The Municipal Commissioner, an appointee of the State Government and a civil servant, was the effective administrative head. Any initiative in Nagpur required the commitment of both the functionaries.

While consultations began in Nagpur with support from the Mayor and the Municipal Commissioner, both were out of office within a year. The subsequent Mayor continued for longer, and was generally supportive,

but municipal commissioners rapidly came and went, giving repeated setbacks to the consultations. The lack of continuity affected the lower rungs of the administrative hierarchy, who were unwilling to proceed without firm directions from the top. Progress achieved to deal with this was undone by a fresh wave of changes at the top. The Local Partner Institution had difficulty contending with these changes. The consultations were brought to a halt when the last incumbent in the commissioner's seat failed to buy the UMP philosophy and was convinced of the efficacy of the technology-driven approach rather than the community-driven approach. These experiences led to UMP to focus more on State level Maharashtra consultations, of which Nagpur forms a part.

Local Government Capacity

Building the capacity of local government and all stakeholder groups is one of the principle aims of the UMP. It is linked with a broader concern around local government accountability, efficiency and decentralisation at a time when demands on local government are increasing dramatically. The city consultation addresses this need to develop and foster new partnerships and capacities of urban local governments.

Different degrees of local government capacity are reported across and within regions. Strong political commitment to the city consultation process does not necessarily imply a high level of capacity.   In cities where participatory processes have been undertaken before, a level of understanding, capacity and even institutional mechanisms may already be in place. Where the process is new, extra effort is needed to ensure that those involved have the capacity and tools to participate in a meaningful way.

The participatory capacity-building process itself is a tool for empowering various stakeholders, including local government. The decisions on the nature and the context of the city consultation should be on par with the level of capacity (and power, discussed above) that exists within the local government and among other stakeholders. As the capacity grows, so can the level of the issues and activities undertaken through a participatory process.

Anchor institutions in Africa feel that the general weakness of local governments is a major constraint in their work and considerably lengthens the time frame for a city consultation activity. However, weak local government is a characteristic of the region and building the capacity of local government is the objective of the programme. In contexts where local governments are weak, civil society groups play an important role in fostering participatory processes. Local government capacity often has to be built so that this dialogue with civil society can begin. This has consisted of changing traditional bureaucratic approaches to urban management and overcoming scepticism in the communities and the private sector. It also places an important emphasis on the capabilities of the local partner institution in supporting the process, and experience shows that a local partner or anchor institution that is physically situated in or near the city helps to better support the process through continuous guidance and facilitation.

Malindi, Kenya: Building Local Government Capacity through the Participatory Process

*Municipal officers in the city consultation process on governance in **Malindi, Kenya**, identified local government weaknesses and requested in-house training to address them. At the same time, and as a strategy to deal with capacity gaps, the local government changed their perception about community involvement in development planning, seeing the community as a partner in their efforts. New partnerships between the local government and the private sector has resulted in concrete results such as improvements to school grounds, improved safety measures at a dangerous traffic intersection and construction of a craft market on city council land. Close working partnership between the local partner institute, GTI Mombasa, and the local government at all stages of the consultative process helped to build local government capacity.*

The capacity of local governments and stakeholders is enhanced through the consultation process. It is recognised, however, that the local government has to be seen as a willing and "credible" entity to civil society organisations for the consultation process to be initiated. This credibility stems from demonstrations of good urban governance norms (e.g. sustainability, subsidiarity, equity, efficiency, transparency and accountability, civic engagement, security, inclusiveness). It is, therefore, important to build capacity of local governments in the practice of these norms.

Impact of Stakeholder Involvement

Not surprisingly, the active involvement of stakeholder groups (groups other than the local government) emerges as the second most important factor for achieving results in the city consultation process. A majority of the UMP cities refer to this explicitly as one of the main lessons and/or factors for success. Four key lessons emerge around this topic. One has to do with the *degree* **of stakeholder involvement** - the more stakeholder groups are consulted and involved, the more likely the process will be successful. The second has to do with *impact* - the role of stakeholders in the decision-making process and implementation of the action plans. A third lesson involves the *type* **of stakeholder involvement**: formal, organised stakeholder groups have greater capacity to get involved and make an impact, but

traditional groups also play a major role in supporting the process. A fourth lesson deals with the issue of *genuine participation and partnership*. Stakeholder involvement must be genuine, resulting in a true partnership, for the process to truly be sustainable.

The success of city consultations in all regions is attributed to the stakeholder involvement from the inception stage of the process and strong commitment and enthusiasm from those involved. The process builds on itself as people begin to realise the value of collective action to address key problems in their city and take advantage of their involvement to speak about priority issues, define problems and find solutions.

An added benefit is that the city consultation process provides a forum for participation and partnership, essential ingredients of sustainable development, which did not necessarily exist previously. Bringing community-based organisations and local governments together to collectively discuss their common problems often results in a resolution to work together to improve the welfare of their communities. In turn, city officials begin to recognise that stakeholders are knowledgeable about their problems and can provide concrete ideas on how to solve them. These consultations support the preparation of plans of action that respond to the real needs of citizens, especially those from the lowest socio-economic strata.

The Value of Participation and Partnership

*In **Tres Manuelas**, **Quito**, **Ecuador**, it was found that a project with actor participation takes more time than a project without actor participation, but the single fact of implementing a participatory project or programme gives legitimacy to the proposal, which influences its feasibility. The city consultation in **Phuket**, **Thailand**, found that stakeholder involvement starting at the inception stage is beneficial to all concerned. Everybody learned and appreciated their respective strengths and weaknesses, and the value of collaborative action. In **Zarqa**, **Jordan**, a city consultation on financial management proved to be a successful method. It was a great opportunity for the participants who represented the decision makers, stakeholders and local community, to speak loudly about the city's priority issues, trying to define and determine the problems and find solutions.*

*A lesson from the process in **Kaduna**, **Nigeria**, was that many policies do not encourage public participation, which is an essential ingredient of sustainable development. The city consultation process brought community-based organisations together to collectively discuss their common problems and they have now resolved to work together with the local government to improve the welfare of their communities. City officials in Kaduna now recognise that stakeholders are knowledgeable about their problems and can provide concrete ideas on how to solve them.*

The impact of stakeholder involvement takes us to the very core of the city consultation objective - including people in both decision-making and implementation of activities that directly affect their lives. It is also interesting to note that stakeholder involvement and participation is almost always purported as a key factor leading to success in the Latin America and the Caribbean Region (LAC). The underlying message from the LAC Region, and to an extent Asia, is that stakeholders want to get involved, and that they are in many cases already organised, with the necessary capacity to take part.

On the other hand, the Africa and the Arab States regions report that the capacity and strength of formally organized civil society organisations is often low, particularly at the local level. In the Arab States Region, despite an important growth of civil society organisations at the national level, grass roots community based organisations remain weak and few in numbers. These groups, regardless of level, do not yet constitute a reliable or equal partner in negotiation with government. Local NGOs rarely have a constituency that extends beyond their core membership and they are often viewed as extensions of the states, with laws in place to ensure control over their activities. In spite of this unfavorable context, civil society organisations are beginning to play a more active role in urban issues. These organisations require greater support in the process so that they can become full partners in local development.

In contrast to this, cultural and traditional stakeholder links and organisations are very prevalent in the African and Arab States region and continue to be powerful groups in the community. They provide a respected entry point into the community and their continuous and stable structure is valuable for the process. Traditional leaders are often endowed with much greater legitimacy than most local formal government structures can claim. They are therefore indispensable actors when implementing consultations in conservative communities. However, traditional forms of government are not always representative of the poor or of women, for example, and this must be kept in mind as there is always a need to prioritise the more vulnerable sectors in a community. Alternative means to ensure the participation of those excluded in the process are needed.

formalised through a Development Board created during the city consultation process to implement the action plan and drive the action planning process. This Board is jointly chaired by the traditional leader and the local elected authority. The traditional leader has been instrumental in getting stakeholders involved in the process and his influence has raised considerable funds for Action Plan implementation.

Involving stakeholders from the beginning and setting goals and designing and managing the process together helps address issues in a better way, strengthens stakeholder ownership and in turn strengthens the likelihood that action plans will be implemented. This concept takes on even greater importance when we consider that stakeholders can mobilise resources, both financial and human, from their communities. This reduces reliance on donor dependency and increases the sustainability of the process.

Often, regardless of the history of the stakeholder group, there will be a need for capacity-building and support through the process to really allow for effective participation and partnership. It is also important to ensure the groups are truly representative voices. An Inner City Community Forum in Johannesburg, that brought together over fifty community groups needed to make extra efforts to be able to truly represent their constituency in a way that ensures concerns are heard and the process is owned.

An unexpected benefit was sometimes found in the enthusiasm of the community groups and the private sector, who actively participated when given the opportunity to be involved in improving their own quality of life. This can be contrasted to the resistance sometimes on the part of the municipal government to take on what they view as additional responsibilities to their routine functions.

In contrast, there are clear examples where lack of stakeholder involvement hindered the process. A city consultation on down-zoning was initiated during Phase 2 (1992 - 1996) of the UMP in Amman, Jordan. This effort initially failed partly because not enough discussion had taken place with the concerned municipalities and other stakeholders had not been mobilized. The activity was redesigned in 1997 to use the consultative approach, and its success was largely due to the fact that support was mobilised in the municipality and from other stakeholders for the proposed reforms by using the consultative process.

In order to effectively involve a range of stakeholders, the process must be apolitical - not linked with any party or agenda - and must truly incorporate many different views and objectives. The Regional Office for Africa reports that in some cities where the city consultation process received positive feedback from the stakeholders involved, the local government wanted to use the process for political ends. This was not helpful to maintaining the overall sustainability of the process and also served to alienate some crucial stakeholders who were not of the same political allegiances. There is a risk that community issues become politicized and used for individual agendas. The result can be that leaders rather than communities are empowered. Care must be taken to ensure the involvement of stakeholders is done in as neutral way as possible, and that those involved are truly partners in the process.

The Critical Role of Local Partner Institutions

The role of the local partner institutions (LPI) is to support cities in carrying out the city consultation process and implementing the action plan. When a lack of stakeholder power at the local level is combined with a lack of capacity, it presents quite a serious challenge and this gap needs to be filled by the local partner and anchor institutions.

Local partner institutions or groups are generally city-based and are brought on board to assist with the city consultation process on the ground. Their role is more important than previously realised in implementing the process and the action plans. Strong support and involvement of local partner institutions during the process is the third most reported factor contributing to the success of a city consultation. Interestingly, in some city consultations the local partner institutions went beyond merely supporting the process and took on a real leadership role. They are often credited with being one of the major factors for city consultation success and have an important role in terms of support and advocacy in the process. Those located in the city itself also have a direct stake in the success of the process.

Experiences with local partner institutes were not always positive. In some cases, these institutions simply did not have the capacity to deal with some or all of the issues or problems that arose during the process or were not familiar with participatory processes. Local partner institutions themselves may have an agenda of their own or may not have a good relationship with the council or the community. So the success of the UMP city consultation process depends in large part on a local partner or institution with a clear understanding of the issues, the ability to implement activities on the ground, work well in partnership with others and influence policy. These institutions have an important role in detecting the obstacles that may arise and taking the necessary careful steps to restart activities in case of difficulties in the process. They also play a key role in the areas of facilitation and guidance, and need to maintain their position through transparency, fairness and neutrality. LPIs with a dynamic nature and qualified and experienced professionals are a great bonus and can also provide a focal point through which experiences can be shared regionally. Building the capacity of these LPIs is important to ensure this.

The city consultation process itself helps LPIs learn to form an effective interface between the people and government so that they situate themselves in a position to influence policy. Successful city consultations are often those with a local partner institution or anchor institution situated in close proximity, allowing for continuous encouragement and guidance.

Regions have indicted that there is a need to identify more local partner institutions to help anchor institutions cover their regional portfolios, but care must always be taken to ensure local government and the community feel equal ownership in the process. A successful model involves establishing task teams within the council to lead the process, which are well-supported by a local partner institution and receive on-going facilitation from the anchor institution. The benefit of this is that it places the local council firmly in the driving seat of the process, strengthening ownership and sustainability. Involving a local partner institute or group means there is support on location as the process unfolds and this also broadens the base on which the city consultation is built, giving it more strength in the event of change.

UMP Asia has recently adjusted its evaluation criteria for LPIs and has given stronger emphasis in its evaluation chart on "commitment" above other relevant technical and organisation capabilities. This reinforces the sentiment that capacity can be learned, but attitude and commitment are the responsibility of the individual and as such are more difficult to foster (although there are lessons that suggest ways to increase commitment, such as through demonstrated results -see the section on Action Plans).

Local Partner Institution Contributions in Colombo

*The excellent results of the **Colombo** City consultations were the outcome of the strong support and commitment from all stakeholders. But the quiet and dedicated groundwork of the Local Partner Institute, Sevanatha, its ability to cement bonds, create a shared vision among stakeholders and relate to their varied needs was a major contributory factor.*

Sevanatha was founded in 1989 with a mission to provide an improved living environment for the urban poor in Colombo by implementing community-based participatory resource management and poverty alleviation programmes. It has been playing a role complementary to the Government's development programme and has been introducing innovative methods and practices for low-income settlement development. Sevanatha's innate strengths in working with the community were reinforced through the city consultation process in equally strong working relations with the City Council. Along the line, it also developed fruitful partnerships with donor agencies working in Colombo.

Sevanatha consists of a group of professionals and community leaders of urban poor settlements in Colombo. An Executive Committee comprised of the nine founding members of the organisation oversees its activities.

Regular monthly meetings guide and monitor its performance. To begin with, its operational activities were conducted by a small group of dedicated workers, but this group was expanded as the workload increased. In the UMP city consultations in Colombo, Sevanatha was responsible for familiarizing the Council administration with the philosophy of the UMP and the nuances of the project, carrying out status studies on municipal service delivery, decentralisation and community participation. They produced a city profile, organized stakeholder workshops and contributed inputs to the preparation of action plans and their implementation. The most outstanding contributions of Sevanatha, however, were in furthering the consultative process in the city, building an interface between the communities and the Council and focussing the attention of the Council on urban service delivery to the poor communities.

The city consultation process is truly a multi-actor activity. Areas of weakness in one group can be balanced by strength in another group, especially at the beginning of the process, but ideally the capacity and commitment of all groups will converge more and more as the process unfolds. The role of the local partner institutions and Anchor Institutions in managing this cannot be underestimated. Their commitment to the process is crucial as they are the ones who will intervene and help broker solutions when the process runs into difficulties.

Kasserine: New Roles in the City Consultation process

*A successful city consultation involving youth in **Kasserine**, **Tunisia**, is an interesting illustration of the new roles each stakeholder needs to play in fostering participation. The youth mediators came to acquire a special status and recognition within the neighbourhood and the municipality. Their legitimacy was directly linked to the progress made on the ground and their credibility suffered when the consultative process broke down on several occasions. The members of the municipal council faced a different dilemma. As leaders in the consultation process they tried to break down the barriers between themselves and the youth representatives. For this purpose, they had to foster a climate of free and uncensored dialogue. However, as elected officials, they could not overtly dissociate themselves from the official discourse. The ambiguity inherent in their dual role was most apparent during large public meetings where they were unable to bridge the difference between youth groups and the representatives of state institutions.*

Stakeholder Roles during the City Consultation

Thus far we have discussed the importance of the commitment and active involvement of different stakeholders engaged in the city consultation process. It is worth re-emphasizing that this involvement is dynamic, with groups having different roles to play at different times, depending on how the process unfolds. In fact, these roles may be very new, especially in cases where the participatory process is a new working method for the city.

Initially, there seems to be a greater need for advocacy and guidance from local partner institutions and anchor institutions in garnering the necessary support behind the original idea. As the process unfolds and stakeholders become involved, the role of local government and civil society organisations take on more importance for action planning and implementation. Institutionalisation requires strong support in the municipality. Leadership is most required when the process runs into obstacles, such as local government changes or conflict between groups. The more genuine the partnership is between all actors in the governance equation, the more important that each fulfill their various roles as the process unfolds. The following section deals with the process in more detail, and helps illustrate more clearly these roles in action.

3. Making City Consultations Happen

UMP city consultations are conducted on one of the key programme themes. These are poverty reduction, environmental management and urban governance,

with gender as a cross-cutting issue. A few lessons have emerged around city consultations conducted on each of these various themes. Experience has demonstrated that poverty is more than simply an issue of lack of income. It is also rooted in social and cultural inequities. In all societies, there are mechanisms that lead to the exclusion and marginalisation of certain groups. These mechanisms may be linked to policies and regulations, or the absence thereof; cultural values; economic priorities, and/or market dysfunction. The component of poverty, then, should be enlarged to include the issue of exclusion. The city consultation process has demonstrated a mechanism to include the poor in the decision-making process. However, only in cities where the poor were well organized and had an institutional basis, it was easier to direct the consultations to address their problems.

A main lesson on the theme of participatory urban governance is that institutionalisation of the consultative process requires considerable efforts to ensure that such participatory decision-making process will become 'the way in which cities do business'. This is due to the fact that the concept of stakeholders and partnerships is very new to many elected leaders and municipal bureaucrats. The city consultation process may be the first ever occasion for the city government to engage with the civil society. These consultations have brought about a major change in the mindset of the local government officials and many important issues related to transparency, accountability, efficiency and responsiveness of the local governments have been highlighted in these consultations.

Another important lesson, one touched on earlier in this text, is that while many countries have adopted decentralisation policies, excessive controls are still exercised by higher levels of governments in Asia, Africa, and the Arab States. As a result, urban local governments have limited domain of functional and financial responsibilities.

City consultations show that the more specific the topic is, the more the process advances, since the precision of the topic facilitates agreement and helps define objectives. Taking that lesson one step further, it is also evident that concrete topics, such as the environment, make relatively easier entry points than less tangible issues. This holds true because stakeholders can see an immediate improvement in the area of waste collection, for example, compared to results associated with governance or poverty, which are harder to see and measure. Populations can be mobilized and organized with the objective of improving their local environment. Opportunities to involve the private sector are also numerous. One of the important lessons learned was that solid waste management is a common entry point for city consultations. It is an area that is well within the domain of the urban local government and it is possible to mobilize all the stakeholders in the city around this issues. More often, these consultations have also resulted in action plans that are collectively owned by all stakeholders.

The Theme for a City Consultation

Experience suggests that the city consultation process should focus on a key priority issue or theme from the outset. Otherwise, the process runs the risk of lack of ownership and commitment. Besides ensuring the focus of the city consultation is an agreed priority, it is also important to be clear and precise about the subject. In city consultations that focus on the broad areas of governance or poverty reduction, it is important to resist the temptation to address every development issue that falls under these headings. If not, the resulting action plans become too large and all-encompassing. In addition to being difficult to implement, they often lack the strategic links between complementary activities within the overall goal.

At the beginning of the city consultation, different stakeholders often have divergent views on what the process should address. Conducting preparatory multi-stakeholder consultative meetings, either with everyone in attendance or separately, assists in identifying areas of convergence for the city consultation. These meetings also provide opportunities for those committed to a particular theme or topic to "sell" their idea to other stakeholders, as was done by the Governor of Phuket Province in Thailand. Offering a menu of topics within the UMP thematic areas helps to focus the approach while at the same time remaining open to a variety of different ideas. It is important to realise that these topics will mature or evolve as the city consultation progresses. This is a positive outcome as it reflects the necessary flexibility of the process, but needs to be balanced with the need for focus and clarity.

Lessons from the LAC region indicate that innovative topics as entry points generate new spaces which make the stakeholder process easier. For instance, in the case of Barra Mansa, the idea of a youth council and a participatory budgeting by young people were very new ideas. No flags of any party, stakeholder or institutions had been put on these aspects. That is why it could be 'appropriated' by a large number of stakeholders.

Ensuring a Flexible Process

Many of the lessons from the city consultations point to the need for a very flexible process. The complex reality characterized by a great diversity of approaches and methodologies used throughout and between regions suggests that city consultation guidelines are simply guidelines to explain the consultative approach. An on-going awareness that many issues will arise during the process is needed. In contrast, the guidelines also serve to provide a framework for activities and outputs, which can be a welcome structure when undertaking a new process.

City consultation guidelines set suggested parameters of six to eight months in duration to move through the various steps of the process. There is strong support for ensuring the process quickly moves to a stage where concrete results can be achieved. Within this general framework, however, a successful

consultation takes many shapes and involves many inter-linked factors.

Experiences from the UMP LAC region suggests that a consultation should combine with flexibility a 'three-multi' approach: multi-actor, multi-sector and multi-level. The UMP Asia Office points out that city consultations aimed at municipal management change processes in countries with a higher degree of *de jure* or *de facto* governmental centralisation need to incorporate higher governmental levels above the municipal level to a much larger extent than city consultations in countries with more decentralised systems.

The governance structure in the Arab States is characterized by a relatively high degree of centralisation. As a result, it is impossible to ignore the importance of national level authorities when trying to influence urban management. To ensure impact at the national level, strategies implemented in the region require inclusion of local representatives of national governments and administrations at all stages of the consultation process. In addition, the organisation of parallel city consultations on the same theme in different cities gains more national exposure and promotes inter-municipal collaboration. National level meetings and broad media coverage help ensure information is spread widely.

Poverty Reduction in Tunisia: Working in Centralised Contexts

*The National Federation of Tunisian Cities implemented an innovative process of consultation in **Tunis**, **Bou Salem** and **Kasserine** to evaluate poverty reduction efforts in these three markedly different municipalities, each having undertaken innovative activities in this field. The originality of the activity lies in the fact that it enhanced dialogue both within and between the municipalities. They met regularly to learn from each other's experience, identify solutions to common problems and draft a municipal framework of action for poverty reduction.*

The consultation highlighted the dearth of resources available to all three municipalities to effectively address the challenge of urban poverty. An important conclusion, however, was despite limited resources, cost-effective and sustainable poverty reduction actions have a good prospect for success if they rely on community participation at every step of the way, from the design phase to implementation. This general precept was integrated as one of the key principles in the municipal framework for action adopted by the three municipalities. This represents a significant result in a country where few urban development projects are based on participatory approaches.

Much of the importance of a flexible city consultation process lies in the need to adapt to the local context,

both taking into account local culture and sensitivities and building on the advantages of having local

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solutions available. Wrapped up in this is the need to have a simple, locally understood message and dealing with stakeholders in their local language as a means to increase effectiveness of the process. Making use of locally based local partner institutions and respecting local culture and tradition supports sustainability.

The informal nature of the process was also cited as a factor that enabled results to happen. This suggests that in some contexts, informal consultation will bring out issues and problems that may not be discussed formally. Though the UMP experience represents diverse contexts, it is important to recognize the need to include local voices, build local capacity and find local solutions. The flexibility of the approach is ultimately its greatest strength as it enables it to adapt to a variety of local and national contexts. To do this, preparatory work in advance of the city consultation, carried out by local partner and anchor institutions, is important to ensure that the process is tailored to suit the context of the city.

Resistance to Change

The UMP city consultation sets out to break down barriers of communication, long-standing beliefs and established structures that may have been in place for many generations. The process can threaten those that feel they may lose something by being more participatory or inclusive. Reports from all regions show that not all stakeholders are necessarily convinced of the benefits of the city consultation process.

Local government can also be resistant to real change, despite the fact that they may have initiated the process and are fully involved with it. A city consultation in Maranguape, Brasil, found that the introduction of a participatory management model implies change of traditional behaviour and cultural values and the modification in the structure of local power. For this reason it is a slow process, which requires a lot of political perseverance. In this process, the Municipal Council may function as an opposing force, since it may sees power diminished.

Opposition often comes from civil servants who are simply not trained or equipped to deal with participatory process. In Ibadan, Nigeria, civil servants not used to the participatory nature of the city consultation process initially had very negative perceptions. They did not know how to effectively participate and only looked at the time consuming nature of participation. A careful explanation of the city consultation process helped reduce these perceptions and the many motivated members of the working groups were also able to address issues with some success. For this reason it is important to provide more training and focus for local government to help them take on these new methods of working.

Resistance to change can arise due to mistrust or political agendas and rivalry. In Mumbia, India, obstacles arose in the form of a preconceived adversarial position of the city council vis-à-vis communities and within groups of communities. These relationships were improved through sharing in the city consultation. Or strong political rivalry may confront a project team. A balanced and politically-neutral city consultation process helps secure the required acceptance from the citizens and the city authorities in a situation like this. Transparency in decision-making can also helped to resolve the conflict. Often, as the process unfolds, the participants come to the realisation themselves that to move from inter-agency competition to co-operation, there is a need for trust between all stakeholders.

Nonthaburi, Thailand: Dealing with Resistance to Change

*Strong resistance to the city consultation in **Nonthaburi, Thailand** on environmental planning and management of the urban canal originated from local land speculators, who object for obvious reasons to the idea of environmental and cultural landscape preservation. The city consultation in Nonthaburi operates in a political minefield of local politics, which requires extreme care in designing all approaches taken and activities conducted through the city consultation. The problems were partly overcome, mainly as a result of the growing organisational strength of the local institution, strong backup support from the UMP Regional Office and certain personnel changes at lower levels induced by top government officials. It remains doubtful, however, that the opponents*

to the city consultation have entirely given up their ambitions. The strategy envisaged to deal with this is to slowly integrate the strongest opponents into the structure at a later stage. This opposition will certainly remain the strongest threat for the foreseeable future to any long-term sustainability of achievement, and has been the driving force behind the UMP Regional Office's proactive search for international follow-up activities to the city consultation with long-term commitment.

Another reason to resist the process is the perception that traditional or local values will be compromised. A city consultation in Siwa, Egypt found that local Siwans were upset and offended by the way gender issues were raised by outsiders from the community. Or, diversity within stakeholder groups can lead to initial conflict, as was the case in Cotacachi, Ecuador. Specific work methodologies that consider the ethnic, cultural and age diversities were established to obtain optimal results.

Resistance can arise over a variety of issues and in all cases has to be dealt with before the city consultation process can continue in a meaningful way. UMP city consultation experiences demonstrate that it is possible to overcome this resistance through processes of advocacy, participation, negotiation and conflict resolution. Consensus can be reached and the city consultation can move ahead. A core group of motivated individuals within various stakeholder groups and supporting institutions are needed to carry the process through (it is here that the importance of leadership is demonstrated), despite setbacks, and the more people that fit this definition, the more successful and swift the process. In many cases this was enough to move the city consultation forward and to see real results. The following sections explore this further.

Dealing with Conflict & Building Trust among Stakeholders

Another common difficulty in the city consultation process emerges around conflict and trust between the participants. A number of lessons can be drawn from this. One is that conflict and lack of trust is an even greater obstacle in municipalities where people are getting involved after a long period of perceived exclusion. This finding was more dominant in the Arab States and Africa regions than in Asia and LAC, where stakeholders feel they have more of a voice in

the governance process, either through their local governments or their community groups. Another lesson is that the city consultation process itself can help to resolve these issues and build trust between stakeholder groups, especially if the these stakeholders are truly involved in the process.

In city consultations where there has been a long absence of communication between local government and the communities, such as in St. Louis, Senegal, and Ouagadougou, Burkina Faso, public forums lasted all day and late into the evening. As communities were able to participate in a debate with the authorities after a long period of exclusion, conflict resolution was difficult to manage due to the passion of some speakers. A lot of patience was required to listen to the criticism aired and to effectively steer the debates to a constructive solution.

On the other hand, local government sometimes saw these forums as simply a place for demands and criticism and individuals did not see the possibilities of working together. This was the case in Los Olivos, Lima, Peru, but the city consultation itself opened a space for dialogue through which the potential of negotiation and cooperation were again valued. Communities were given a space in which to express themselves and this demonstrated their power to influence political decision-making.

In Nigeria, the Somolu city administration had alienated itself considerably from the community through its top-down planning approach and its inability to improve the quality of life in urban areas. The city consultation broke this communication gap between the community and the Local Government and opened up a dialogue, which is now driving the implementation of the Action Plan. The frankness in deliberations helped reduce the community suspicion of local government officials.

*The city consultation organised in **Petra, Jordan** is a good example of using the city consultation methodology as a tool for the resolution of conflicts. In the early eighties, the B'doul tribe was relocated from the Petra Archeological Park, where they had been living for generations, to Oum Sayoum, a site near the entrance of the park where they were provided with housing and land. In 1995, the Petra Regional Council (PRC) adopted a regional master plan aimed at reconciling urban expansion with the need to preserve the archeological site of Petra. This was done without consulting the population and strictly limited the expansion of Oum Sayhum. The B'doul tribe claimed that this plan did not allow room for the needed growth of their settlement. There was also an acute sense that the government was, once again, reneging on promises made when the tribe was relocated. The conflict was made worse by the social and political marginalisation of the tribe and its exclusion from all decision-making structures.*

After documenting the issues through a participatory research approach, a series of separate meetings were organised with the actors in the conflict. A rough draft action plan was developed, identifying areas of possible understanding and compromise. A formal consultation, gathering all parties in the conflict, was held with two working groups discussing issues of governance and land.

As a first step, the PRC requested that a comprehensive land use study be carried out to incorporate the views of all concerned. This study was used as a basis for revising current planning regulations and resolving existing land conflicts. A working team was constituted to follow-up on the implementation of the action plan. Ultimately, land was redistributed to the B'doul tribe for the expansion of the village and tribal representatives are now members of local advisory committees. At the same time, village upgrading and road paving are being carried out. The Petra Regional Authority has created committees of local representatives to discuss community problems, as a first step in institutionalising city consultations. The consultation successfully contributed to the resolution of longstanding disputes and laid down the basis for the continuation of the consultative process beyond the engagement of the UMP.

Participatory processes themselves often imply the emergence of conflicts. Allowing criticism to be aired appears to help in moving the process and "cleaning the slate" so diverse stakeholder groups can all participate in an honest and meaningful way. The city consultation process is based on trust and real partnership and this cannot be achieved unless people feel ownership and involvement in the process itself. It also seems that the first step towards this new partnership needs to be taken by the local government. Until they demonstrate they are willing to work in new ways, the process hasn't really begun.

It is also important to build trust through actions in addition to words. A combination of communication and demonstration of integrity through genuine participation seems to be most effective. Dhaka, Bangladesh is a country characterised by top-down process. Initially, the bureaucratic approach of the city corporation was an obstacle, but participation of the people and the Ward Commissioners broke the ice. The city consultation process in Nonthaburi, Thailand, suggests that joint fund management and cost control by all participating stakeholders can be identified as a core aspect in establishing mutual trust among the stakeholders and developing a sense of real ownership of the city consultation process.

In Quito, Ecuador, the city consultation process found that it was relatively difficult to enter into a concrete planning of activities with the community. Many internal conflicts exist among different community groups. A conflict resolution meeting was organised with representatives of different groups who had been invited to participate in the Project Management Committee to plan activities together and in a co-ordinated form.

Dialogue for Conflict Resolution in St. Louis, Senegal

*Some people in the community in **St. Louis, Senegal** felt that the former Mayor was running the city in a technocratic way without involving civil society in the decision-making process. As St. Louis is seriously affected by flooding every 10 to 20 years, there was particular criticism of the way in which the flood issue was being handled by the municipality.*

During the process, some members of the community felt that the studies had already been finalized without their involvement and that the development options presented in the profile were already agreed upon, leaving no room for discussion. Overall the population still felt marginalised from the development vision of St Louis.

During the city consultation forum, the city profile was presented to the participants and the ZOPP methodology was used to explore the problem issues highlighted by the study. The forum gave the community an opportunity, for the first time, to talk directly to the mayor and to voice their opinion on his management of the city. In the beginning the mayor was wary of this confrontation, but he accepted it later after being convinced of the merits of this participatory method. This enabled the community to pour out their feelings and to break the ice during the forum.

The results of this process were that confidence was restored in the mayor's leadership and the population started to feel empowered. The population reconciled with the local authorities through the institution of a transparent dialogue and the municipality was able to express its possibilities and limitations. The process allowed St. Louis to go beyond simple development orientation by changing priority needs into action programmes, which built on new partnerships developed during the process.

Methods of resolving conflicts vary from city to city but in essence it is up to the facilitators and commitment of the stakeholders to the process to ensure conflicts and lack of trust between individuals and groups are resolved. The most common technique is to continue with discussion and communication until a common ground is achieved.

Communication - Creating a Space for Dialogue

Communication is the cornerstone of the city consultation process as one of the key objectives is partnership with stakeholders, especially those who may have been previously excluded. This dialogue must be open and honest and is directly linked with building trust between participants and groups.

A city consultation in Lilongwe, Malawi, provided a formal platform where city managers and residents were able to talk to each other openly and candidly. Residents rediscovered that they had an opportunity to question some of the decisions taken by the councils. On the side of the council, city managers began to appreciate a direct dialogue with the community. They began to question some of the methods they used in

dealing with problems that have a direct bearing on the community. The whole issue of user participation in city management, particularly in setting priorities and allocating resources, began to make sense.

It seems that communication is most effective when combined with concrete forms of participation, and that getting the "excluded" or new parties involved immediately, in a way where they can truly participate, is the shortest route to re-initiating the consultation process when it runs into difficulty. Using innovative methods such as public assemblies, surveys and street festivals helps to foster this active communication. This was necessary in Siwa, Egypt, to ensure women's voices were heard despite the fact that they could not be present during formal consultation events for cultural and traditional reasons. A separate women's working group, conducted by a trusted female community development expert, was organised in a private home. The outcome of this women's meeting was integrated into the framework for action. This marked the first opportunity for Siwan women's voices to be heard in a public forum.

The city consultation helps to install the view among the stakeholders that intergovernmental cooperation does not necessarily result in competition (the tradition view), and that inputs from non-governmental stakeholders are not necessarily threatening the authority of the governmental actors. In Ijebu-Ode, Nigeria, the new local government took on the role of vice-chair of the Development Board, a body created from the process with the support of the previous local government, and members of the local government legislative house were incorporated immediately in the working committees of the Board.

Sometimes, creating a space for dialogue means limiting participation. Large public meetings, while useful to publicize the process and muster support for it, sometimes proved disappointing as consensus building and participatory tools. In countries characterized by high degrees of centralisation, hierarchical relations and a dearth of democratic practice, large meetings can inhibit open dialogue. In these cases smaller meetings may be more effective, but care must be taken to ensure the increased effectiveness does not jeopardize participation and inclusiveness.

There are other tools and techniques to help build understanding and advocate for both the process and the issues. The local media is an excellent partner for this. In a context marked by the weakness of independent civil society and a strong government, the media is better able to play an important role in voicing the concerns of residents who are not organized and therefore not able to fully participate in the consultative process. Involving the media increases the profile of the city consultation. A media committee can then serve as a "watchdog" to ensure follow-up

and implementation of the action plan. Regional Offices often cite that using the local mass media greatly increases the profile and chances of success for the process.

In some cases the "newness" of the concept itself can require more time in order to build understanding. A number of city consultations in Africa focused on the rather unfamiliar issue of biomedical waste management as part of an overall strategy to enlist economic youth groups in waste collection. The objective was to help reduce poverty while at the same time dealing with biomedical waste. Campaigns around the issues were key in raising awareness and understanding of the stakeholders and the general public, enabling the process to move forward.

Fostering a Culture of Participation

Another obstacle seems to emerge in situations where participation is not part of the culture or tradition. A number of cities in all regions, but in Latin America and Asia in particular, confirm that a tradition of participation has meant that the city consultation has been implemented faster and with less difficulty. In Villa el Salvador, Peru, the participatory and organisational tradition of the population was cited as one of the major factors for success, as it was in Icapui, Brasil. The Colombo city consultation in Sri Lanka showed excellent results in a short time, in part due to an existing understanding of the concept of participation.

In cities with a history of civil society organisations, the city consultation process has led to an acceptance of the fact that city government can use civil society organisations to achieve significant improvements in urban governance. The city consultation process thus helped local government to realise the importance of building partnerships.

Bangalore, India: Building Partnerships

In **Bangalore, India**, the UMP was preceded by the presence of many civil society organizations, which spoke of a fair degree of civil society vibrancy. These organizations, however, generally saw themselves in an adversarial role with State organizations. Alternately, they sought to work in isolation, addressing very local issues and finding local solutions. Quite naturally, State organizations viewed civil society organizations with suspicion and kept them at a distance.

The UMP city consultations strove to change these perceptions. They sought to build partnerships between City Government, NGOs and smaller community-based Resident Associations through mutual understanding, discussion and debate. These consultations took place around the themes of environment and municipal governance. They resulted in action plans such as a community-based solid waste management plan and self-assessment of property tax by citizens. Such a process achieved substantial understanding and acceptance on the part of both local government and civil society groups that by working together, significant improvements could be achieved in urban governance. On the one hand, this culture of participation spread to other parastatals in the city such as the Water Supply and Sewerage Board and Bangalore Metropolitan Transport Corporation, who began holding frequent stakeholder consultations in their planning process. On the other hand, small community groups themselves felt the necessity of erecting an umbrella body and formed a Confederation of Bangalore Residents' Association (COBRA). Additionally, NGOs that had hitherto primarily represented middle class concerns felt the need to address those of the poor for building a sustainable city. The culture of participation and inclusion thereby found fertile soil in the city.

Some city consultations in Africa and the Arab States found themselves 'starting from scratch' with regard to the participatory process. In cities where this was a new concept, extra effort was required, but, once implemented, the rewards were very satisfying. The Regional Office for Africa found that the participatory nature provided stakeholders with a space where they felt that they were more than just the objects of an external exercise. They were extremely enthusiastic and motivated to become involved in the action planning exercise. Many city consultation forums ran significantly over the time originally allotted to the exercise due to the quality of the debate and the willingness of everyone to be involved. The Arab States report that consultations have revealed a demand for participation from concerned populations that was not expressed, often because it simply was not an available option.

Working Together and Building on Existing Initiatives

Working together is explicit in the goals and objectives of a city consultation. The main lesson that emerges here is that a city consultation can and should capitalize on existing initiatives. Coordinating and building on these efforts and creating partnerships lends strength to the UMP city consultation process and improves the likelihood of institutionalisation. The UMP city consultation process is increasingly being seen by other external support agencies as a programme that adds considerable value to their own initiative. UMP needs to capitalise on this recognition and take the lead in building a convergent approach to donor support.

An important partnership emerging in a number of city consultations is that between the public and private sector. As trust and dialogue develops between the local government and civil society groups, initiatives for such things as the management of urban services are underway, and with clear results.

Towards Public-Private Partnerships in Africa

*Public-private partnerships are a relatively new concept in Africa. However, they have been an effective means for action plan implementation and are at times a natural result of the participatory city consultation process as a new dialogue progresses and trust is developed between local government and the community. In **Malindi, Kenya**, there is very strong good will between the mayor, the civic leaders and the community. The mayor is very dynamic in promoting the town of Malindi and in establishing new partnerships for development. Through his relationship with the private hotel industry, a number of partnerships have been taken forward which provide public amenities to the community, such as a craft market and school fencing.*

*In **Windhoek, Namibia**, the council expressed a willingness to hand over the management of some urban services to community groups and community contractors. Although the action plan is still being prepared, community contractors are being used successfully in road building and rehabilitation contracts. The importance of building community contractors capacity has been recognised and the city council is hoping the private sector will be able to assist in this respect. In **Dakar, Senegal**, biomedical waste management is effectively undertaken jointly through agreements between the private sector, public institutions and the local government. These partnerships are relatively new in Africa but based on the positive results and impact, need further nurturing and support.*

Experiences confirm that different interventions must be linked; otherwise they undermine each other rather than being complementary. It is advisable to start with what exists in the City Council and thereby avoid "reinventing the wheel". The city consultation process is a good mechanism for linking together the efforts from, for example, the municipality, universities, NGOs and many other urban actors.

In Johannesburg, South Africa, a key lesson learned was that the successful institutionalisation of the city consultation process should be part of an overall ideal framework of the local government's ongoing programme, and nothing seemingly new. In Kasserine, Tunisia, the city consultation process successfully built on an existing structure (the Enlarged Municipal Team) that was created to promote an active partnership between municipal authorities and the local community.

A series of stakeholder consultations during a city consultation in Colombo, Sri Lanka, highlighted an urgent need for the revival and strengthening of participatory forms of local governance that were established in the 1980s. Concrete results were accomplished in just a year and a half from the start. While these can be attributed in large part to the strong commitment of the Council and the local partner, a focus on revival and revitalization of already established institutional arrangements for participatory governance also contributed to the success of this city consultation. The success of the city consultation process in Colombo also led to its selection as one of the cities for developing a "City Development Strategy" under the Cities Alliance initiative. CDS city consultation activities are a further step in coordinating and working together in cities on urban issues.

Does Size of the City Matter?

UMP city consultations have taken place in small neighbourhood communities as well as megacities. The lesson that emerges is that all scales are possible, as long as efforts are focused either in a thematic area or a specific neighbourhood or community. This focus is used to demonstrate the process and achieve results. From there, up-scaling should be undertaken to ensure the process reaches further in the city and beyond a single issue or theme. The Africa Region has found that city size is less of a constraining factor than the political sensitivity of a city. Capital cities and economic growth centres are often where national and local politics become more important and their effects can affect the process.

Experiences in the Arab States region show that the coordination of city consultations is easier in small to medium size cities but that these cities have limited means to implement action plans and less capability to leverage funds. Civil society organizations also tend to be weaker in smaller cities, which means that other channels to represent the local community must be found. Larger cities have a more vibrant civil society but also, especially in the case of capital cities, more complex administrative structures that can hinder collaboration within city administrations and with national players.

In Mumbai, India (pop. 12 million), the city consultation process was in more ways difficult to handle because of the diverse backgrounds of communities, difficulties of everyday life of citizens and the considerably onerous responsibilities of the City Council. But the process in certain ways was simpler because of the higher levels of awareness among citizens, the presence of many important people among the rank of citizens and their urge to address civic issues.

Experience in Dhaka, Bangladesh (pop. 10 million), suggests that for a programme such as UMP to succeed, it may be a better idea to select smaller cities which have not had the benefit of extensive international assistance in the past. In a megacity such as Dhaka, the significance of the consultation process pales in comparison to the large funding offered by other external support agencies.

City consultations do seem easier to manage in small and medium-sized cities. It is also worth noting that other processes in large cities such as Johannesburg (pop. 7.5 million in the Inner City), Belem (pop. 1.3 million) and Mexico City (pop. 8.5 million) have been successful. In Belem, human, financial and material resources were more available in the metropolis, although problems were seen as bigger and more serious.

In large cities, using a thematic or geographic entry point helps focus and scale the process to a manageable level. UMP LAC experiences are confirmed in other regions: that entry through the neighbourhood as a 'physical piece of the city' is very positive. It allows the efforts of the city consultation to go beyond sectoral limits and isolated actions. In addition, from a social viewpoint, it is precisely through the 'territory' that it is possible to build identity and appropriation by the people. This identity building is crucial to the sustainability of the process. From there, efforts should be made to up-scale beyond the original scope in order to reach further into the city.

4. Gender Participation and Mainstreaming in the City Consultation

Gender mainstreaming is a strategy for integrating the concerns and experiences of both women and men equally in the development process, to achieve sustainable and equitable development. Mainstreaming gender offers women and men the same opportunities and possibilities, and is a tool through which gender equality can be achieved. The participation of women can be seen as a first step towards gender mainstreaming in the city consultation process, but does not necessarily promote the access of women to local decision making. If gender issues are not thoroughly incorporated, the different needs of women and men will not be addressed. To succeed with gender mainstreaming, several aspects need to be considered. The best results are reached when the promotion of gender equity is addressed through several approaches and methodologies and is supported by legislation.

The capacity of women to have an equal role in decision-making has been recognised as a major hindering factor for empowering women in Africa. A city consultation held in Lilongwe, Malawi examined the gender dimensions of local government and outlined a number of factors that hindered women's participation in local governance. These included women's general low level of education and skills, their heavy workload in the home, the absence of affirmative action in policy frameworks and the cultural and religious barriers to women participating in public life. The necessity of earning income has forced many women to enter the workforce, mainly in the informal sector. However, they still suffer from discriminatory attitudes when accessing education, formal employment and credit/savings institutions. In Mali, for example, only 41% of girls attended primary education against 86% of boys the same age. There is a need, then, to pay special attention to building the capacity of women as a first step towards gender equity.

Three approaches have been adopted in mainstreaming gender in the city consultation. The most common approach has been deliberately increasing the number of women participating, either in the city consultation process or in a women-specific activity within the process. Although the participation of women can be seen as a starting point of a longer process, mere participation does not provide adequate information about women's role and contribution to the city consultation process. Participation is not a sign in itself of a stronger role of women in a decision making process. While these are positive developments, they should not be equated with gender mainstreaming.

Gender Mainstreaming Approaches in City Consultations

Approach I.   *The city consultations that exhibit a high degree of gender mainstreaming are characterised by the following factors:*
- *gender concerns were included in the overall design of the city consultation process including all stages of the decision-making process*
- *during the city consultations, women expressed their particular needs and made proposals to address them*
- *the city consultation included the strengthening of women or promotion of gender equity in its objectives*
- *there is major participation of women with other actors;*
- *gender equity is included in strategies or actions of the action plan*

Approach II.   *The city consultations that exhibit a medium degree of gender mainstreaming are characterised by the following factors:*
- *collection of gender disaggregated data*
- *definition of some concrete activities concerning gender or women in the city consultation*
- *awareness of different needs of women and men*
- *gender aware approach in the development of city consultation and action plan*

Approach III.   *The city consultations that exhibit a low degree of gender mainstreaming are characterised by the following factors:*
- *the numerical presence of women in the city consultation is the only gender indicator*
- *there are few references to gender problems during city consultations process*
- *mention of the need to include a gender perspective only*
- *reference to women's participation during the process*

Source: UMP-LAC PRC Report 2001.

Regional Experiences in Gender Mainstreaming

All regions indicate a mixed approach and success rate in mainstreaming gender in the city consultations. In Africa, for example, few city consultations report gender mainstreaming elements. In many African and Arab States communities, and in other cities and countries to varying degrees, women remain subordinate to men for religious and socio-cultural reasons, making gender mainstreaming difficult to address in a constructive manner.

During the process, however, effort is made to deal with this. In Lilongwe, Malawi, the city consultation focused on increasing women's participation in local government. In Lusaka, Zambia and Harare, Zimbabwe, gender was one of the thematic areas discussed in detail both in plenary and in working groups during the city consultation. In Ibadan, Nigeria, gender issues were highlighted in the city profile by using disaggregated data. Women's roles and responsibilities in biomedical waste management were stressed at all times. In Ijebu Ode, Nigeria, women were present as stakeholders at all meetings. The city profile also highlighted specific gender issues.

The Ibadan City profile on biomedical waste shows gender disaggregated data. This was important in order to review the role of women in this sector. While both men and women are engaged in biomedical waste management, women's role in waste management focuses on sweeping and collecting while men are involved in transporting the waste. This task differentiation showed that women were most often the ones directly handling biomedical waste and were therefore exposed to greater risks. It was also observed that women were not effectively trained to manage these risks of contamination.

Biomedical Waste handlers in Ibadan

	Category of Health Facilities	Male		Female		Total	
		Freq.	%	Freq.	%	Freq.	%
1.	Tertiary (UCH)	6	60.00	4	40.00	10	100.00
2.	Govt. & large hospital	10	71.43	4	28.57	14	100.00
3.	Private hospital	3	18.75	13	81.25	16	100.00
4.	Maternity	4	30.77	9	69.23	13	100.00
5.	PHC	4	26.67	11	73.33	15	100.00
6.	Diagnostic Labs.	4	66.67	2	33.33	6	100.00
7.	Veterinary Clinic	5	83.33	1	16.67	6	100.00
	Total	36	45.00	44	55.00	80	100.00

Source: Ibadan City Profile, ROA 1998.

City consultations in the Arab States region also showed that gender mainstreaming can succeed in the process even though structures like strong traditions, institutions or legal frameworks are not always favourable to women. Aware of this, extra emphasis was placed on the gender aspect in this region. As a part of these efforts to integrate gender in all activities, the media was used to play a constructive role in raising public awareness of gender issues, often giving voice to those who were not in a position to speak openly. The strategy to do this in the Arab States builds an active partnership with the media to promote a better understanding of gender issues among policy makers and the general public. The first step was holding a gender sensitization workshop for regional media personnel. The outcome of this was the development of a regional media action plan, a gender training manual for media personnel and increased media coverage on gender issues.

City consultations in the Asia region show some progress and success in incorporating gender issues into the process. In many cases women are already involved in local decision-making through roles in local government or local development NGOs. They show strong commitment and dedication to the process and often play key roles in driving the city consultation forward. Despite this, great disparities exist between men and women's opportunities and the UMP Regional Office in Asia draws a strong link between women's roles and poverty reduction, placing emphasis on building women's capacity to participate. Efforts to reduce poverty in city consultations focus on women's groups and their needs.

The city consultation process in Latin America has integrated gender mainstreaming as a strategic line of focus in its overall programme implementation.

This entails promoting women's access to local decision-making by supporting associations of women leaders, wide dissemination of activities related to achieving gender equity and links to regional and international networks.

Although most of the city consultations adopted an approach aimed at increasing women's participation, a few of them integrated gender aspects in the entire consultation process. In Cuenca for example, the question of gender is one of the major themes and priorities of municipal management, and therefore integrated in the city consultation process. Gender guidelines were established to be considered at different points of strategic plan and an institutionalisation plan of the gender theme was designed by the municipal management.

*The city consultation in **Cotacachi, Ecuador**, promoted women's access to local decision-making by considering both gender and ethnic background at all stages of the process on Childhood and Youth as Partners for Local Management within a multi-cultural and multi-ethnic context. One of the objectives of the Canton democratisation plan was to reach gender equity and to provide quotas for the participation of women. Because of the special nature of the city consultation a lot of attention was given to the participation of young girls. Girls had greater nominations in the positions of representation in the children zone congress and one of the girls participated in the International Seminar on consultative governance in Brasil.*

*The city consultation in **Cochabamba, Bolivia** is a good example of how parallel activities aiming at the same objective provide the best results and support institutionalisation. The gender issue was considered from the beginning of the process. Gender issues and the equal participation of men and women were included in the programme. At the end of the process, a Gender Approached Development Strategic Plan was developed by a woman councillor of Cochabamba, with the support of IFFI, a local actor, as support to the planning process of the Municipality of Cercado. This plan was the first of its kind in Bolivia.*

*During the city consultation process, in **Quetzaltenango, Guatemala** technical back-up was provided to local partners for the definition of the action plan and Priority Action Programme, which would benefit and facilitate the inclusion of rural women traditionally excluded from decision-making at the city level. A key outcome is the creation of a municipal secretariat for women. The role of the secretariat is to promote women's perspective in the development process at all levels for a more equitable society. The secretariat is also tasked with the responsibility of promoting inclusive processes that ensure women's concerns and interests are integrated in municipal planning and management. The main concerns for the Quetzaltenango women are intercultural relations, economic self-development, access to decision making, self-confidence, empowerment and organisation strengthening.*

The UMP LAC Office is also undertaking some activities to promote the participation and visibility of women in local decision-making. These include a joint UNIFEM, UNCHS, and Federation of Female Mayors and councillors (FEMUM) award competition for exemplary women's leadership in decision-making. This competition aims to publicise and legitimise successful experiences on the inclusion of a gender perspective in urban management and planning, as well as on women's leadership in decision making.

Some Key Lessons on Gender Mainstreaming

Participation of women a starting point in gender mainstreaming
The participation of women in the city consultation is a first step to gender mainstreaming. Although this approach is viewed as a lower degree of integrating gender in development processes, women's participation as stakeholders in the consultation process ensures that their issues and priorities are reflected in the action plans. This participation needs to include the recognition that women are specific actors with specific problems and responses. Additionally, more effective participation of women in the city consultation takes place when they participate as a well organised group having already identified their needs and problems and are therefore looking for social recognition as political actors. It has however, been noted that mere participation of women is not equal to gender mainstreaming. Collecting gender disaggregated data, which shows the different needs of women and men and overall inclusion of a gender strategy in the planning and implementation of the city consultation, will ensure the mainstreaming of gender aspects.

Socio-cultural constraints can be overcome
Experiences from all regions show that the city consultation process can strengthen the role of women in a society that has traditionally restricted the women's participation and access to power. Even though culture influences the implementation of the city consultation process, the socio-cultural context can

adapt to changes and new expectations. At the same time, however, localising gender very much means taking local context into consideration.

In Siwa, Egypt, it was impossible for women to be present during the public formal consultation events. To deal with this, a separate women's working group was organised in a private home, and the results of that working group were presented to the main group. The consultation marked the first opportunity for Siwan women's voices to be heard in a public forum, albeit through a spokesperson. Women were able to voice problems that directly affected their lives and the fulfillment of their roles, and this revealed the extent of women's contribution to the social and economic development of Siwa. In Rio Bonito do Iguacu, Brazil, women were encouraged to express their opinions and perceptions. This was something new in a society dominated by men. The city consultation provided a forum for these women to gather together, form groups and to come to innovative solutions how to improve their possibility of association. Under the umbrella of the city consultation the women of the city formed mothers' clubs, small offices and started natural medicine production.

Women as a driving force in the city consultation process
City consultations have not only provided a forum for women to raise issues important to them; they have also provided a tool to break barriers hindering the participation of women. In many cases, women have been both the driving force and the leading force of the whole process. In the city consultation in Nonthaburi, Thailand, women were not only strongly represented but they took a main responsibility of organising the process. Heads of 17 governments reflect a strong representation of women leaders, the current Chairman of GRN is a woman, several of the 31 coordinators of the city consultation are female and all have taken over responsibility of organising the process.

The strong participation of women had an influence on the issues raised during the process in Bangkok, Thailand. The Performance Improvement Task Force (PITF) included women officials. Their inputs to the discussion of performance discrepancies, particularly those related to corruption, were significant. In general, women conducted the whole process in Bangkok and participated more than men. In the

meetings and in the general work the women's participation was 85%, and six of the seven organisations are lead by women.

Poverty as a thematic focus provides a good entry point
Based on experiences in the city consultation process, the thematic focus on poverty alleviation provides an excellent entry point for addressing gender issues. UMP Asia has noted that ensuring adequate emphasis on women's requirements in urban development, a shift in UMP focal themes was made. As a result, the majority of city consultations under AIT management now focus on raising gender awareness among urban stakeholders and introducing adequate gender-monitoring systems into administrative procedures at the municipality level. In line with this, gender-awareness training activities as a means of poverty alleviation became a new focal point of capacity building activities in city consultations to meet the growing demand in the region for incorporating gender policies into the agendas of sustainable urban development.

5. Getting Results

The city consultation process measures success through both the implementation of the Action Plan and the institutionalisation of the process. From the stakeholder perspective, concrete results that lead to improvements in their communities and lives are often more important than the process. The most important lesson that emerges in this area is that it is critical to show concrete results and impacts in the city consultation process at the earliest possible stage. The results that are an outcome of the action plan serve to reinforce commitment in the participatory process. Another key lessons is that Action Plan implementation is more likely when most or all of the key stakeholders have "ownership" of the plan and are committed to working in partnership with all stakeholders. A strong local government, with the ability to mobilise stakeholders for implementation, becomes even more important at this stage of the process.

Action Plans and Impact
The Action Plan is a concrete outcome of the city consultation process, and in many ways serves to demonstrate the success of both the process and its impact. In some situations the Action Plan emerges

as a stakeholder "wish list"; in others it is more focused on priority issues with a limited number of concrete activities. The more focused and concrete the action plan is, the more likely implementation can occur. This does not rule out the utility and relevance of an overall vision or plan for the city or community. What is does mean is that within that "wish list" or vision it is critical to focus on a number of priority actions.

Barra Mansa: Action Plan on Participatory Youth Budgeting

*A city consultation on Participatory Youth Budgeting in **Barra Mansa**, **Brasil** had the objective of stimulating citizenship and youth participation in public management of the city, generating a new type of leadership, local development and municipal decision-making to improve living conditions in the city. The Action Plan process was based on assemblies at the territorial levels closest to the children: neighbourhood level first, then integrating the action plan at the municipal level and then to the regional assemblies. Following this process, the necessary meetings were implemented to analyse the feasibility and define the prioritised projects according to the resources available. This methodology had the great advantage of starting from the public resources available and therefore did not create false expectations. Rather, it gave a solid base on which to manage additional funding from diverse actors in order to allow the implementation of other priority projects that could not be implemented within the Action Plan. It proved a totally realistic and viable process.*

The city consultation yielded impressive results and very high levels of participation, and during the process the scarcity of resources to allow the more effective involvement of different actors was overcome by a lot of will, commitment, personal belief and voluntary work. A Youth Council for participatory budgeting was formed, and neighbourhood assemblies saw active participation of close to 7,000 participants. Children and youth decided upon and implemented projects, such as lighting of public areas, building and improving sports fields and grounds, and improving recreational and play areas for children and young people in their neighbourhoods. Where these child-defined Action Plans have been implemented, the confidence of the youth has increased and the living conditions have improved. The positive impact has wide-reaching benefit as the youth prioritised projects which benefited the community and city as a whole. Twelve projects have been implemented and the project won a National Award "Prêmio Prefeito Criança - Fundacão Abrinq". Experiences from Barra Mansa on Participatory Youth Budgeting have been disseminated at all levels, in order to support replication of the process.

Action Plan implementation is more likely in situations where a wide variety of factors have come together - political will, stakeholder involvement, prioritisation of the issue, strong support from the local partner institute and the anchor institution, strong communication, etc. A strength in one area (such as political will or community involvement) seems to make up for a weakness in another (such as financial resources, for example).

Lessons from UMP city consultations also suggest that implementation of the action plan serves to both allow results to happen and solidify the commitment of the actors. Concrete results are extremely convincing and can make the difference in community and local government support for the process. Promises from authorities are nothing new to many stakeholders; they have heard much before but often very little has been delivered. This perception can result in resistance to get involved in yet another activity until concrete results have been demonstrated. This is of crucial importance to those leading the city consultation as the success of the process often lies with the very people who are wary about getting involved.

If results can be demonstrated early on in the process, there is more willingness to continue and institutionalise. Intermediate results (little successes that show progress) should be built into the process in order to solidify support. More efforts need to be made in this area, as the importance of demonstrated results can not be underestimated. Reducing negotiation time would arguably save time and resources that could be better spent on getting results.

Towards Realistic Action Plans

Action plans need to strike a balance between being realistic and, at the same time, incorporating an agreed future vision that will result in a real improvement in people's lives. As demonstrated in the section on Stakeholder Involvement, lessons from city consultations in all regions suggest that the more key people are involved in the process, the more likely the Action Plan is to be implemented. This is linked with the very nature of the Action Plan: often, many of its components depend on human resources in addition to or separate from financial ones.

The development of a participatory process can make the social actors commit themselves to defined activities and give these types of activities better sustainability and credibility to society. In Belem, Brasil, some of the key activities implemented include a credit fund formed for the project that includes 300 families and involves 11 projects. 20% of the project budget has already been committed by local partners in the amount of over 2 million US$.

at the top of the political and development agenda. Three specialist NGOs were involved as partners for looking at issues of health, education and income/savings. The Community Development Section of the City Council served as the focal point and also looked closely at the community development activities. The poverty profile served to bring the issue of urban poverty to the forefront of the local and national government agenda and the consultation process has established a forum for increased participation in the poverty reduction process. The residents of Lalitpur are involved in making a real difference in their lives in the city.

The partnership established amongst Lumanti, other NGOs and the Community Development Section of LSMC is being expanded in the second phase of consultations to include other partners such as the Lalitpur Chamber of Commerce and Industry and the Yala Mankakhala, a citizen's group concerned with civic issues in Lalitpur. The major activities envisaged for this phase of the programme include establishment of ward level networks of CBOs, operationalisation of the urban poverty fund, indigenous skill development training, establishment of Lalitpur Support Forum, and capacity building programmes for ward officials. The activities under this phase of the consultation process are underway and the thematic action plans are being refined on the basis of the pilot experience to enable successful up scaling of the initiative to all 22 wards of the city.

Besides funds pledged by the local community and the local government for implementation in Shomolu, Nigeria, the Local Government Information Unit has been active in recording the impacts of the process and disseminating this to the communities. The Community Development Association acts as a continual pressure group on the Local Government to ensure mobilisation of resources and implementation of activities. A day care centre, police station and primary health care centre have been constructed and equipped, micro-credit schemes are in place (with a $10,000 revolving loan provided by the local government) and public forums have been established in each ward to promote dialogue.

The activities outlined in the strategy and action plan in Kasserine, Tunisia were realistic and are being implemented by relying partly on local resources. Besides the establishment of a team to ensure dialogue between stakeholders and local government, a Municipal Youth Office and Municipal Council of Youth were established and a community resource centre for youth is underway. A budget line for participatory projects has been created, allowing for the channeling of governorate and national resources to support youth initiatives. These mechanisms are expected to act as catalysts for future activities.

Focusing on Priority Issues: Priority Action Plans

Another lesson from the city consultation process is that focusing on issues that are true priorities to the city results in a smoother and more effective implementation. Issues that are strongly perceived as priorities by both the community and the local government serve the multiple purpose of dealing with the most important problems, motivating people to continue with the process, encouraging creative responses and ultimately making the process work better. In addition, the issues should be clear and precise to avoid confusion. This leads to a more likely scenario for institutionalisation and there are many examples that support this.

An interesting concept being utilised in the Latin America and the Caribbean Region is the idea of a "Priority Action Plan", or PAP. The PAP is prepared after the city completes an Action Plan and is intended to result in tangible improvement, even if limited, in the living conditions of the urban poor who participated in the process. Here, the scope of the activities, normally broad in the Action Plan, become more focused. Four sub-phases (design, agreement, approval by local authorities and resource mobilisation and allocation) have been identified. This more focused plan supports the notion of tangible results and concrete impact to ensure commitment and institutionalisation of the process.

There are situations where cities are faced with issues that need to be addressed and for which public support and understanding may not yet be high enough. Or, it may be that many issues need to be addressed together, especially where more complex issues are involved. This requires extra effort during the consultation itself. The outcomes of the biomedical waste city consultations in four cities in Africa are a good case in point. Although based on an unfamiliar idea, they involved a wide variety of stakeholders, were able to implement action plans and replication is underway in various areas. Once completed, they served multiple purposes beyond biomedical waste management (including creating employment opportunities for youth groups).

The Regional Office for Africa reports that the first round of city consultations were not fully demand driven due to the need to provide results which could publicise the UMP and encourage cities to participate. This caused a number of problems in many cities and resulted in a lack of clarity about whether the city consultation process is owned by the anchor institution, its local partner institution or the local government. Many anchor institutions feel that the local government could have contributed much more to the process if ownership had been better developed. The second round of city consultations in the region are all demand-driven, however, to address this problem. In Asia, the commitment of the main stakeholders is mainly determined by the extent to which the city consultation action plan is expected to satisfy real needs of the city.

The action plan (and the city consultation process) seems to serve another important purpose, as people are aware of the problems in their cities but don't necessarily know how to solve them, or indeed even how to take the first step. In Ouagadougou, Burkina Faso, the key factor for success in the city consultation was raising awareness among the stakeholders. A number of stakeholders knew about the problems but didn't know how to act to resolve them and improve the situation. The city consultation allowed information specific to the city to be discussed to try and find solutions.

Financial Resources: not an insurmountable obstacle

There are two explicit areas to consider when looking at financial resources: the first involves the resources needed to carry out the city consultation process itself, and the second involves the resources required for implementation of the action plan.

The Urban Management Programme provides a small amount of "seed money" to undertake the city consultation. These funds are used to leverage further resources from other stakeholders to carry out the process. That city consultation activities can be carried out at a relatively low cost is seen as a major strength of the programme. All regions have reported success in leveraging funds to contribute this process. And with human resources required in greater amounts than financial resources, signs are positive that the process itself can be fairly easily implemented if commitment exists within the local government and the community.

Lack of financial resources presents the biggest problem in implementing the action plan. Funds are leveraged to support action plan implementation, both from local resources and from external sources. Although funding is necessary in many cases to move forward, innovative approaches and realistic action planning can go a long way towards concrete results and improvements on the ground. This is an important lesson from the city consultation process, especially taking into consideration the fact that many city consultations are put in place expressly to reduce or eliminate a problem of poverty in the city.

Mobilising Funds for Poverty Reduction in Ijebu-Ode, Nigeria

Ijebu-Ode, Nigeria is an ancient town with strong traditional-cultural systems that have significant influence over the modern administration of the town. The city is a commercial centre and boasts a new market that is considered one of the biggest in West Africa. With 60% of the population at an annual income of less than $100, it faces problems of poverty and overwhelming demand on urban services. Informal sector activities predominate the city economy, households are overcrowded and only 28% of residents have access to piped water.

There is a strong desire in Ijebu-Ode to address the growing situation of urban poverty and re-build the fortunes of a town known for its religious-cultural festivals, traditional customs and commercial activities. The traditional ruler of Ijebu-Ode was instrumental in getting community support for a UMP City Consultation to confront urban poverty. The resulting action plan focused on income generation and improving the provision of basic urban services. The elected local government council was quickly incorporated in the implementation of the action plan - bringing previously divided groups together and leading to the collection of $100,000 for action plan implementation from community donations, both local and abroad. $150,000 was made available in the micro credit scheme to support small scale enterprise initiatives, with loans to women's groups as high priority.

The city consultation in Ijebu-Ode, Nigeria, asserts that the ability of the community to mobilise both human and financial resources following the city consultation was the main driving force in implementing the action plan. And mobilisation of the community, the traditional leader and the local government behind the Action Plan made considerable resources available for the implementation of activities. Traditional government in Nigeria has a very extensive network of relations, and making use of these relations was very successful for fund raising. In this case, the Nigerian community living abroad was tapped and quite substantial resources made available to implement action plans.

Securing Resources to Implement Action Plans

Mobilising resources for implementing action plans, whether local or external, remains a challenge for many city consultations. Sometimes, despite a very successful, participatory and well-prescribed process, there simply aren't funds available to implement some or all of the Action Plan. What have cities done to

deal with this? Experience suggests that local resources should be identified first, especially to begin action plan implementation, and then external resources should be sought.

Local resources, especially those committed through local or national governments or other local stakeholders, are generally both more reliable and more sustainable than resources from external sources. Using local resources also means the activities funded can be as demand-driven as possible. Looking at this from another direction, a key lesson is that action plans, and particularly the more focused, priority action plans, designed to demonstrate immediate results and impact through specific activities, should be prepared to fit the local resources. Dependence on donor resources is neither sustainable nor desirable.

Another benefit of obtaining resources locally is that it is possible to monitor this over time at the local level, making adjustments as priorities change and issues develop. In some cases, local governments need to ensure they are collecting the necessary revenue to support this. Information and awareness-raising directed at the community can be the first step in encouraging the populations to pay their taxes, and mechanisms can be put in place to ensure taxes are properly collected. This, of course, needs to be supported with regular delivery of services and a feeling of confidence in local government commitment.

Having said that, however, it is not always enough to manage scarce resources when trying to implement action plans fully. International aid is critical in situations where cities are almost bankrupt or struggling with debt. Long term investments need capital. For cities to actively participate in the global economy it is more and more important that well-conceived long term strategic planning is in place.

Mobilising external resources, particularly from bilateral and multilateral assistance agencies, involves complementarity between the Action Plan and the policies and programme of those agencies. This means that the issues and priorities of cities should be communicated to these agencies to ensure policies and programmes reflect the true needs on the ground. In addition, the proposed timetable for implementing the Action Plan should coincide with the processing of donor support. When both complementarity and timing come together it is possible to see real convergence of funding objectives around the city priorities.

Colombo: bringing external resources together

Colombo, *the largest city of Sri Lanka, and one of the oldest in South East Asia, has 52 per cent of its total population of 800,000 living in low-income settlements without proper security of tenure, and with insufficient urban service delivery. Only half the population has piped water supply and at least 20 per cent of the physical area of the city does not have sewerage facilities. Quite evidently, it is the bulk of the poor communities that lack these services. In the light of this, UMP initiated its assistance to the Colombo Municipal Council (CMC) in November 1998 through the development of a participatory approach for urban poverty reduction, and in building capacity of the CMC to undertake poverty reduction programmes in such a framework. UMP funds were for technical support and pilot projects in two districts of the city. The CMC made contributions through staff time and consultation facilities and dovetailed the City's budgetary resources in these two districts to cater to the requirements of this initiative, aiming at the revitalization of Community Development Councils (CDCs) and strengthening of district offices of the CMC.*

The city consultation raised several critical issues. The most immediate was the development of an integrated programme for urban poverty reduction in Colombo. With a view to addressing these issues and implementing the poverty reduction action plans developed through the process, the Department for International Development of the UK pledged support of US$ 337,870 to the city of Colombo. The JBIC of Japan also provided support for an improved sanitation programme in low-income settlements. GTZ is now developing a city-wide upgrading programme. The leveraging of such resources were made possible by the quality of results that were achieved during the UMP city consultations.
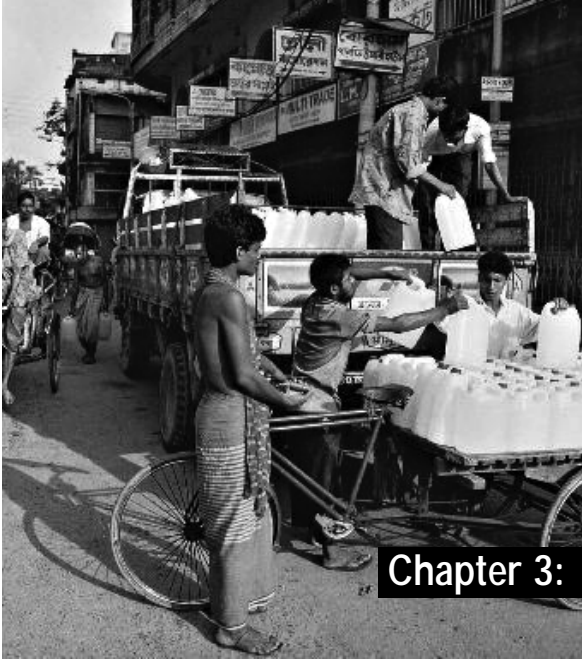
Chapter 3: Sustainability of Participatory Processes

Analysis of city consultations overwhelmingly reveals that participatory processes for governance are both the means and the "end". The majority of effort and energy for a city consultation is focused on the goal of making the process participatory. This is identified as a major outcome of the city consultation and indeed forms the core of what needs to be institutionalised: the process itself. Ensuring that the dialogue created during the process continues beyond the activity is one of the key challenges that all consultations face. The massive energy and fundamental change required to achieve this cannot be underestimated.

Process, Not Project

Even though a major goal of the city consultation is poverty reduction, the process also has an empowering effect, which is less visible but by no means less important. Zolezzi, in his study of Peruvian case studies, concludes that the city consultations have effects in terms of 'mutual enrichment' for the participants. Communities indicate that the participatory process itself generates self-esteem. This empowering role is also expressed by municipal civil servants and it appears to be a prerequisite for starting meaningful dialogue among actors.

It is important to be clear that the city consultation is a process, not a project, and as such should continue well beyond the intervention of the UMP and the anchor institution. For many cities that are used to implementing projects, this concept is difficult to come to terms with. Some local governments, viewing the

city consultation as more of a project than a process, await the results of the process (expecting external funding for the action plan activities) without understanding that meaningful, sustainable impacts depended on them. However, looking at the city consultation as a process influences how it is carried out (with the aim of continuity and maintenance), and indeed helps the process to sustain. Anchor Institutions and local partner institutions, then, must first take the process on board, and then local actors need to have their understanding and capacity in this area supported.

Sustainability of the City Consultation Process

In general, the process of institutionalisation of participatory decision-making in UMP cities seems to have just begun. Formalisation of what is in many cases a completely new way of working in a city understandably presents a serious challenge. It is at this stage that many city consultations run into the most difficulty. The variation among regions on this topic presents interesting outcomes. In Latin America, there is more concern around ensuring the process stays dynamic, with a greater focus on institutionalising Action Plan implementation. In Africa and the Arab States, cities may have dealt with participatory decision-making for the first time. In these regions it is critical to ensure that formal processes are in place so that the dialogue can be maintained. It is as important to institutionalise these mechanisms, as well as ensuring institutionalisation of action plan implementation. In Asia, the presence

of strong civil society organisations has ensured that the interactions with urban local government are sustained.

A major lesson that emerges is that institutionalisation takes many forms and should be seen as a gradual process, with each city moving at its own pace from dialogue to participation to partnership, depending on local context. Three overall methods of institutionalising the city consultation process emerge from city consultation experiences. One **is establishing new forums for discussion and decision-making** between stakeholders and stakeholder groups. The second is **alternative institutional mechanisms** in the city, such as for service delivery or micro-credit, in which the stakeholders have decision-making power. The third is a **legal or policy framework** that establishes participatory decision-making in the city. Most city consultation processes are strongest in institutionalising new forums for discussion and decision-making.

Latin America is a region characterised by strong stakeholder groups and often a previous history of participation in decision-making in some form or another. The concept of institutionalisation therefore sparks debate, mainly because formalizing the process can in some respects stifle or alter the dynamics of stakeholder participation. Securing the right to participate and formalizing spaces for participation may be less important (because they already exist, formally and informally) than institutionalising the results of the process through mechanisms, laws, by-laws, decrees or local policies taking the concrete activities and directions contained in the action plan on board.

The more specific the theme of a city consultation, the more specific were the forms of participatory mechanisms (e.g. working groups on thematic areas). City consultations are often a new way of problem solving with stakeholders who have been previously excluded from a decision making process.

The "Mesa de Concertación" - a Forum for Participatory Governance

The "mesa de concertación" established during the **Lurigancho-Chosica** City Consultation is, generally speaking, a forum for participatory governance, in which local actors come together to discuss, debate and agree on proposals for the development of their own community, district or city. The aim is to achieve a pooling of the assets, resources and capacities of different local actors, from different sectors, and to synthesise common interests, for the good of local development. The Mesa is institutionalised in order to ensure continuity and sustainability, especially across political elections.

The Mesa enables local actors to define and implement a local vision for future development and to assume joint responsibility for that development. All sectors - local government, the private sector, NGOs, CBOs, etc. - can be involved in the Mesa and work together, sometimes with external actors, to make and implement decisions. Projects are formulated, implemented and monitored in a wholly participatory and democratic manner. Mesas have been set up in Latin America in the following cities, among others: San Salvador (El Salvador), Cotacachi (Ecuador), Meso de los Hornos (Mexico), Córdoba (Argentina) and Lima (districts of Los Olivos, Lurigancho-Chosica, Ate-Vitarte and Villa El Salvador) (Perú).

In the case of Lurigancho-Chosica, a district of Lima, Perú, a Mesa was formed to strengthen local management, particularly in the following areas: (1) environment, disaster prevention and housing; (2) basic services, and (3) security, income generation and capacity-building; these were the three priority thematic areas for action developed in the City Consultation. The Mesa was formed in October 1999, led by the district mayor and supported by technical NGOs, professionals and public institutions working in the various thematic areas. The Mesa immediately defined 10 priority projects, especially in the environmental area, and at the same time has striven to build local participatory governance. Special attention has been paid to the integration of women, children and young people into the district's development. The need for strengthening of the Mesa itself, so that it can play the most effective role possible as leader of local development, has also be recognised. For this reason, courses in environmental management, women and leadership, and institutional strategic planning are being sought and undertaken in order to build the capacity of the Mesa.

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In the Arab States the situation is made very complex by the fact that the city consultations often represent the first time that local stakeholders have an opportunity to participate in city-wide decision-making. In addition, the legal and institutional frameworks do not always support the formalization of participatory processes. Experience here shows that while it has not always been possible to institutionalize participation, this has not prevented significant progress from occurring in a wide variety of ways.

Institutionalisation in the Arab States Region

In **Siwa, Egypt**, the city consultation provided the first opportunity for the governor and local Siwans representatives to engage in a dialogue around local development priorities. This dialogue has been maintained since with two further consultations taking place. In addition, the planning of the town major annual religious festival was done in close collaboration between the Governor and the tribal sheikhs and other local opinion leaders. In Chhim, Lebanon, the municipality has adopted the participatory budgeting approach and plans on using it every year.

In **Petra, Jordan**, committees of stakeholders were created to discuss local development matters (in particular land development) following the consultation and have met on several occasions since. These committees are not part of the formal local government structure and play an informal advisory role. They are an important tool for dialogue and conflict prevention. In **Kasserine, Tunisia**, the municipal council has created a budget line in the municipal budget especially dedicated to funding participatory projects. The Municipality is also promoting the wider use of Enlarged Municipal Teams (i.e., teams that include members of the municipal staff, council and of other concerned stakeholders), a Municipal Youth Office and a Municipal Council of the Youth and the creation of a community resource center for the youth.

While formal institutionalisation of the consultation process is not always a feasible objective, other means can be found to ensure that the dialogue is sustained beyond the city consultation process. A prerequisite for this to happen is, however, that the stakeholders stay mobilized and continue to be consulted on important local decisions.

In the Africa region, one of the criteria for completion of a city consultation is to address institutionalisation in some form, particularly through the establishment of a city-level structure to drive action plan implementation. It is felt that such a structure should be able to use participatory approaches in the implementation of the action plan activities and influence other city level activities. It also provides a source of expertise in participation and partnership and functions as an identified structure, which would be more sustainable in the context of local government changes.

There are no examples of legal frameworks being changed following a city consultation process in Africa as yet, but in cities where these frameworks exist, such as Johannesburg, South Africa, the process has provided a methodology for taking the consultative approach forward.

Building on Existing Frameworks in Johannesburg, South Africa

In 1994 extensive research was conducted into economic trends in the Inner City of **Johannesburg**. The research was intended to identify and explain the major changes under way in the Inner City economy. The next step was to work with stakeholders to formulate an economic vision and to develop practical, collaborative interventions that would help to achieve that vision. However, the second step, stakeholder involvement and action planning, was never implemented.

An opportunity for collaboration between these on-going efforts and the UMP process was identified around economic development in the Inner City and a city consultation methodology was proposed. The city consultation was a mechanism to further the analysis already completed on Inner City economic trends and to further entrench principles of stakeholder involvement and participation in the creation of this economic strategy. Coupled with this was the desire to carry out this process in such a way that it would have credibility and hold the Inner City managers accountable to all stakeholders located in this urban geographical area.

The uniqueness of this process was that the City Consultation process built on existing strategies and processes. It was emphasized by those involved in this process that it was not necessary to reinvent structures and conduct primary research (profiling work) to launch the City Consultation. This already existed and could be built upon. The added value of the city consultation process was not due to the introduction of new ideas and principles on participation and stakeholder involvement in urban management. Rather, it served to enhance and reaffirm these ideals.

In most cities, task forces or inter-sector committees have been established within the council to manage the city consultation process and support stakeholder dialogue. These committees have been instrumental in integrating consultation processes into the daily operation of the city council. These represent strong trends towards institutionalisation. In Ijebu Ode, Nigeria, the gradual process of institutionalisation has begun. The Development Board, which was created out of the city consultation process, has helped institutionalise participation through the diversity of its board members. All stakeholders involved are represented and have a say in how the Board functions. The local government has made its 2000 budget available to the Development Board and in 2001 plans to integrate its activities with those of the Board. The community has been significantly empowered and doesn't hesitate to demand service-delivery from the local government.

In other cases, participation has been institutionalised, although partnership is as yet not formalised. For example in Shomolu, Nigeria and Malindi, Kenya, dialogue has been established through public forums, meetings and municipal information. This has helped build trust between the communities and the local government and sets a precedent which future mayors would need to address.

Institutionalisation experiences vary in the Asia region. Experience has shown that internal governmental management reforms are limited if new administrative policies are not accompanied by policy reform efforts at the central government level. The implementation of change processes requires commitment at the national level to provide the necessary legal background as a basis for sustainable institutionalisation. City consultations aimed at municipal management change processes in countries with a higher degree of governmental centralisation need to incorporate higher levels above the municipal level to a much larger extent than those in countries with more decentralised systems. This calls for flexibility in the approach, and suggests making use of a wide network in the city consultation, including local partners groups and civil society stakeholders, to support alternative forms of institutionalisation. Building on existing frameworks has also been successful in the Asia region.

In countries where participatory decision making is provided for in legal instruments, the city consultation process brings added value. The Ministry of Interior in Thailand issued a directive to all Thai municipal governments to organise multi-stakeholder environmental management committees to foster participatory decision-making. Building on this, the city consultation process in Phuket developed guidelines for improving organizational structures through the city consultation process. These were subsequently adopted by municipal government as a reference for managing urban environment more effectively and efficiently. In Pasig City, The Philippines, Local Government Code provides for multi-sectoral representation in the Local Development Councils. This law enables all sectors of the community, including women, youth and minority groups, to participate in the process. While it is not always possible to implement the law, people do have a legal basis to demand proper representation.

*A series of stakeholder group meetings were held at the beginning of the city consultation in **Colombo, Sri Lanka**. One of the major outcomes expressed was an urgent need for revival of participatory forms of local governance such as Community Development Councils (CDC) and other community-based organisations, which were established in the 1980s. The efforts in these areas had died down, creating a void in the service delivery system of the Colombo Municipal Council and leading to deterioration in maintenance of facilities. The need to strengthen the CDCs and accept them as the lowest rung of local government, delegating to them both power and responsibilities, was recognized. There was also a need for a forum to engage various actors and stakeholders in a constructive exchange on issues of common concern.*

The Community Development Councils in Colombo have been strengthened and CDCs are involved in action plan implementation, including greater duties and tasks related to service provision and other municipal functions. This has been accompanied by training and capacity building to ensure CDCs and other groups could manage their new duties and tasks effectively. With the establishment of the District Community Management Forum, the process of stakeholder participation has been effectively institutionalised in these districts insofar as service delivery to the urban poor is concerned. The result has been improved council-community partnerships in civic performance.

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| Chapter 4: | Future of City Consultations |

There is an emerging consensus at both the local and international level that good governance is a crucial prerequisite for poverty eradication and social inclusion in cities. Fifteen years of Urban Management Programme experience has shown that participatory decision-making is the cornerstone of good governance. Members of civil society, especially the poor, are crucial partners in any development process. Involving stakeholders provides additional resources but more importantly, increases commitment, knowledge and shared expertise in the process, making it more sustainable.

This document has made an effort to outline lessons and highlight examples from over 120 Urban Management Programme city consultation experiences in 57 countries over the past four years. The outcomes of this review have been enlightening and encouraging, showing progress in cities and communities in the struggle against urban poverty and towards participation and partnership. In many situations, communities are getting enthusiastically involved in their own local development, together with local governments and the private sector, for the first time. UMP city consultations have made a very strong contribution to implementing the key commitments and strategies of the Habitat Agenda at the local level, putting an emphasis on participation and partnership in the areas of shelter, social development and eradication of poverty, environmental management, economic development, governance and international cooperation.

At the same time, this review has clearly indicated that more effort is required in moving from mere participation of stakeholders in city consultations to a true partnerships among local authorities and stakeholders and in establishing sustainable participatory decision making process. In many UMP cities, the process of city consultation has been instrumental so far only in providing a political space for stakeholders and it is not certain whether this process will be sustained in future. Differences between and across regions show how the national and local context affect outcome, how flexibility is mandatory and how a small success in one city can be perceived as quite groundbreaking in another. The results of the city consultations in terms of resultant actions and outcomes are also mixed and it is too early to assess both its impact on the decision making process in the UMP cities, and on the stakeholders who have participated in the process.

Consolidation

There is thus a need to further consolidate this rich and diverse experience of city consultations, building on the strengths, as well as mitigating the shortcomings of the consultation process. The strength of city consultations is evident in its focussed approach on important thematic areas, enablement of decentralisation and empowerment of local governments, and demand-driven, open and flexible consultation activities that meet the specific requirements of cities in different regions of the world. These city consultations have promoted the process of participatory urban governance in many cities.

However, as experience suggests, greater efforts are required to promote and strengthen participatory urban development and ensure institutionalisation of the city consultation process. Progress has also been insufficient on the preparation and implementation of action plans that benefit the poor. There is a need to deepen the city consultation process, sharpening the tools and methodologies and building capacity of all stakeholder groups.

Scaling-up

The present activities in 120 cities in 57 countries appear impressive, but they are not yet enough to reach a vast majority of urban local governments in the developing world. More efforts, therefore, are needed to scale-up the consultation activities. But scaling-up does not necessarily imply the inclusion of more cities under UMP consultation. It requires the promotion of the city consultation as a 'generic' methodology for participatory governance, and means involving a large number of institutions and networks to adopt this methodology.

The Urban Management Programme is developing Phase 4 of its programme (2002 - 2005) to continue to support, through Regional Offices and Anchor Institutions, the participatory decision-making process. Phase 4 will strengthen programme focus on pro-poor governance and on activities that lead to a definite impact on the living conditions of the urban poor. Regional Anchor Institutions will be fully engaged in city consultations, while UMP Regional Offices will focus on knowledge management through strengthened networks or regional institutions and municipal associations. Inter-regional experience sharing and increased synergy and co-ordination between the UMP and other programmes and partners of the UN system of agencies and institutions, as well as other key partners, will be a major feature of Phase 4. The programme will also work within the framework of the UNCHS (Habitat) Urban Governance Campaign to build on and synthesize the efforts and experiences of the programme thus far.

Participation and partnership can take many forms. It is important that cities, and the stakeholders in cities, begin to examine how they function, and ask themselves whether they can do anything to improve governance and inclusion in their cities. It is strongly believed that moving from participation to a true partnership is the only way to improve governance and achieve the Inclusive City. As the UMP city consultation experiences demonstrate, commitment to participatory decision-making process and partnership with the civil society are essential for a productive, inclusive, and sustainable city.

Annex One: UMP City Consultation Global Overview - Form G

Subject	Completed City Consultations	Active City Consultations	Pipeline City Consultations	Total
Africa				
Urban Environmental Management	1. Bamako, Mali 2. Dakar, Senegal 3. Cotonou, Benin 4. Ibadan, Nigeria 5. Ouagadougou, Burkina Faso 6. Toumodi, Cote d'Ivoire 7. Vavoua, Cote D' Ivoire 8. Djougou, Benin	1. Niamey, Niger 2. Nouakchott, Mauritania 3. Bamako, Mali 4. Abidjan, Cote d"Ivoire 5. Dakar, Senegal 6. Cotonou, Benin 7. Ouagadougou, Burkina Faso 8. Osogbo, Nigeria 9. Arusha, Tanzania 10. Mipiggi, Uganda	1. Dessi, Ethiopia 2. Brazzaville, Congo	
Urban Poverty Alleviation	9. Ijebu-Ode, Nigeria 10. Lusaka, Zambia 11. Harare, Zimbabwe 12. Matola, Mozambique 13. Windhoek, Namibia	11. Minna, Nigeria 12. Cape Town, South Africa 13. Johannesburg, South Africa	3. Kigali, Rwanda	
Participatory Urban Governance	14. Malindi, Kenya 15. Ouagadougou, Burkina Faso 16. St. Louis, Senegal 17. Kaduna, Nigeria 18. Lagos-Somolu, Nigeria 19. Accra, Ghana 20. Johannesburg, South Africa 21. Lilongwe, Malawi 22. Lome, Togo 23. Kumasi, Ghana	14. Bamako, Mali 15. Kano, Nigeria 16. Douala, Cameroon		**42**
Arab States				
Urban Environmental Management	24. Damascus, Syria 25. Siwa, Egypt	17. Salt, Jordan 18. Damascus, Syria	4. Tunis, Tunisia	
Urban Poverty Alleviation	26. Amman, Jordan 27. Damascus, Syria 28. Tunis, Kasserine, Bou Salem, Tunisia	19. Kasserine and Tunis, Tunisia	5. West Bank, POT 6. Marrakech, Morocco	
Participatory Urban Governance	29. Tunisia (land) 30. Morocco (land) 31. Amman, Jordan 32. Petra, Jordan 33. Zarqa, Jordan	20. Morocco (CDA) 21. Chhim, Lebanon 22. Sousse & Sfax, Tunisia	7. Jordan 8. Tunis (CDS) Tunisia	**21**
Asia				
Urban Environmental Management	34. Phuket, Thailand 35. Dhaka, Bangladesh 36. Surat, India 37. Mumbai, India	23. Leshan, China 24. Nonthaburi, Thailand 25. Yala, Thailand		
Urban Poverty Alleviation	38. Lalitpur, Nepal	26. Phnom Penh, Cambodia 27. Hyderabad, India 28. Nagpur, India 29. Vientienne, Loa PDR 30. Pasig, Philippines 31. Semarang, Indonesia		

Subject	Completed City Consultations	Active City Consultations	Pipeline City Consultations	Total
Participatory Urban Governance	39. Colombo, Sri Lanka 40. Bangkok, Thailand 41. Bangalore, India 42. Hanoi, Vietnam 43. Ho Chi Minh City, Vietnam	32. Shenyang, China		20
Latin America and the Caribbean				
Urban Environmental Management	44. Belem, Brazil 45. Cerro de Pasco, Peru 46. Independencia, Brazil 47. Iquitos, Peru 48. Lurigancho-Chosica, Peru 49. Puerto Cortes, Honduras	33. Cap Haitien, Haiti 34. Port of Spain, Trinidad and Tobago 35. Quito, Ecuador		
Urban Poverty Alleviation	50. Ate-Vitarte, Peru 51. Los Olivos, Peru 52. Maracanau, Brazil 53. Maranguape, Brazil 54. Col. Romero Rubio, Mexico 55. Mesa de los Hornos, Mexico 56. Neiva, Colombia 57. Santo Andre, Brazil 58. Ciudad Guayana, Venezuela 59. Tres Manuelas, Quito, Ecuador	36. Cordoba, Argentina 37. Maracaibo, Venezuela 38. Santo Domingo, Dominican Republic 39. Leon, Nicaragua 40. Barquisimeto, Venezuela 41. Rio Bonito do Iguazu, Brazil	9. Belize City, Belize	
Participatory Urban Governance	60. Barra Mansa, Brazil 61. Cotacachi, Ecuador 62. Cochabamba, Bolivia 63. Ciudad Alfaro, Ecuador 64. Icapui, Brazil 65. Villa el Salvador, Peru 66. Mexico City Historic Centre 67. Montevideo, Uruguay 68. Paraiso, Costa Rica 69. San Salvador, El Salvador 70. Rimac, Peru			
Gender	71. Quetzaltenango, Guatemala			
All themes		42. Quito, Ecuador 43. Cuenca, Eduador 44. Santo Andre, Brazil	10. Montego Bay, Jamaica 11. Manizales, Colombia	43
TOTAL	**71**	**44**	**11**	**126**

Country coverage: Africa: 23; Arab States: 7; Asia: 11; LAC: 19

Total countries: **60**
Total cities: **126**

Annex Two: Lessons Learned Form F

Phase 3 Activity on Lessons Learned

Identification of the City Consultation and Action Plan

City:	*Municipality:*		*Country:*
Type of City:			
Population Total:			
City Consultation:	*Completed*	*On going*	
Thematic Entries:	*Poverty*	*Environment*	*Governance*
	Gender	*Multi-thematic*	

Title of the City Consultation:

Area / Scale of intervention (district, entire city, neighbourhood, district, commune) and estimated population:

Brief description (250 words maximum):

A. The process

During the CC process, how many steps were followed?	*Followed*		*If not followed, why not? Comments*
	Yes	*No*	
Appointment of consultant /local institution			
Profile/ issue papers prepared			
Discussion with city authorities for the prioritisation			
Principle consultation forum /city consultation event			
Follow-up consultation groups/ working groups			
Preparation of the Action Plan			
Formal Adoption of the Action Plan by the city government			
Implementation of the Action Plan			
Follow-up donors meeting			
Follow-up investments			

1. List the key dates related to the City consultation and the Action Plan.

B. The City Consultation and Participation

2. Regional or Local Anchoring Institution(s) involved (Include contact details)

3. Local institution(s), social organisation(s), academic institution(s) and other actors that participated in the CC (Include contact details).

4. Were any steps added to the CC process? If so, explain which ones, why were they necessary and how they were carried out:

5. Which tools were used in each stage of the CC process?

6. Indicate the level and quality of the participation of the interested parties (not in terms of attendance at meetings but in terms of human and financial resources)

7. How was the gender issue addressed and taken on board in the CC process?

C. Action Plans

8. Brief description of the content of the Action Plan (maximum 100 words):

9. What was the methodology used for the preparation of the Action Plan? (explain how realistic these Action Plans are given the available resources)

10. Which follow-up activities have been initiated? Explain when did they started and how much progress has been reached.

D. Lessons learned
11. What were the main lessons learned in the CC process? (we suggest consideration of the gender issue here)

   11.a. By UMP (e.g., in terms of the CC process, tools, methodology, administration and management)

   11.b. By the Anchoring Institution (e.g. in terms of the CC process, tools, methodology, administration and management)

   11.c. By the local government (e.g., in terms of policies and organisational culture)

   11.d. By the communities (primary beneficiaries) (e.g., in terms of participation, key benefits obtained, their perceptions/impressions of the CC process)

12. What were the distinctive or unusual characteristics of this CC (that makes it different from the rest)?

13. Did obstacles or difficulties arise during the CC? If so, which ones, and how were they overcome?

14. Were there negative perceptions of problems or costs associated with the CC process? If so, who felt that way and how were these perceptions dealt with?

15. What were the main achievements or results of this CC? (Include a reference to changes in gender relations, if any)

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16. What were the main factors which allowed the achievement of these results?

E. Institutionalisation of the process in the city

17. Has the CC led to the adoption of participatory processes in the city? Give examples to support your response.

18. What institutional mechanisms exist to support the processes of participatory decision making in the city?

19. Give examples of new practices that reflect the changes in the operating manner of the city government (e.g., service delivery, decision making, empowerment of the community)

F. Capacity Development

20. Was there any new capacity developed during the process? If so, what?
    20.a. In the Anchoring Institutions:
    20.b. In the local government
    20.c. In communities/other interested parties

G. Conclusions or final comments

21. In summary, what are the three lessons from, or characteristics of this city consultation which you consider the most important?

22. Please provide any additional ideas or comments:

Completed by:
Date:

Annex Three: Operational Guidelines for the UMP City Consultation

1. Introduction

At the meeting of the UMP's Programme Review Committee (PRC) in The Hague in June 1998, it was agreed that the Core Team would produce guidelines for the UMP regional offices on procedures for conducting city consultations. This document is the outcome.

Although the guidelines are generic, that is, applicable to all regions, they should be used flexibly. Various cases will emerge requiring innovative solutions that will involve development of new methods, or variations on the sequence of activities outlined here. The purpose of the guidelines is to provide a framework, not a straitjacket.

These guidelines have been written with two audiences in mind: UMP Regional Coordinators and their staff; and anchor institutions. It is suggested that Coordinators prepare shorter, more accessible versions for use by cities and stakeholders. Finally, it is important that in future our approach is consistently referred as the *UMP City Consultation* approach, in order to distinguish it from other city consultation methodologies such as that of SCP.

2. Concept

Context

Cities have been assuming increasing responsibilities as a result of the worldwide trend towards decentralisation. This has been accompanied by demands from many quarters for greater democracy in local government. Many cities have found it difficult to cope with increased expectations and responsibilities. UMP City Consultations are intended to assist cities in responding to this changed environment

Characteristics of a UMP City Consultation

A UMP City Consultation is primarily intended to improve cities' policies, management and administration in the UMP thematic areas of poverty, environment and governance, although it is theoretically possible for it be applicable to many more areas of city administration. The underlying premise of a UMP City Consultation is that poor city administration in these and other areas is often a result of weak rapport with the urban public, particularly where bureaucratic and unresponsive modes of administration are the norm. The UMP City Consultation approach has been designed to bridge this gap and to enable a process of *dialogue* between city administration and key stakeholders in the community to address a particular problem. The outcome of dialogue is an action plan that has citywide support. The adoption of the UMP City Consultation approach is intended to increase cities' responsiveness to the publics they serve. The value-added of the approach is that many cities do not have many methods of consulting with their residents other than at elections (and sometimes, not even then), and the UMP City Consultation approach is one means of doing it.

Many cities are not very goal orientated, and often consider their job as being limited to delivering services that they have historically provided, and have structured their administrations into virtually independent sectoral departments to that end. In many cities the idea of management by objectives, for example, to reduce poverty, is virtually unknown. The *thematic concentration* of UMP City Consultations, which often cuts across traditional departmental boundaries, is aimed at assisting cities in re-examining some basic thinking about what they are in business to achieve, and how best to achieve it

A UMP City Consultation is an embodiment of the tenet of *partnership*, whereby all stakeholders, both within and without city government, treat with each other on the basis of respect and equality. In particular, the views of civil society stakeholders are accorded full consideration, even if they are not expressed in the language and terminology commonly used by the urban development professionals, who will often be mediating and facilitating the UMP City Consultation process. It is a basic premise of UMP City Consultations that the knowledge and support of civil society stakeholders is essential to solve the problems. Each UMP City Consultation should be designed to maximise partnership between city hall and civil society stakeholders. The stronger the partnership, the better the result.

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What a UMP City Consultation is Not

The partnership concept of the UMP City Consultation approach can be contrasted to the *participation* approach that is particularly associated with consultation on urban physical plans. Participation of the public often tends to occur in relation to proposals that have already been formulated. Partnership on the other hand entails the fullest possible public engagement from inception of the consultation process to its conclusion.

Distinctions need to be drawn between UMP City Consultations and *urban physical planning*. Some city authorities that have adopted physical planning as their principal tool for city management tend to see a UMP City Consultation purely as an input into it. This is not correct, although we must also be modest enough to stress that UMP City Consultations are an addition to the armoury of tools available to cities, such as physical planning, not a replacement. Physical plans are still essential tools to guide and coordinate infrastructure investment with land use development and control. However, the introduction of a city consultation approach in a city may lead to reappraisal of the role of physical planning. One interesting fusion between consultations and physical planning may be the development of a strategic planning approach. The implications of this are beyond the scope of this paper.

Neverthetheless, city planners, with their professional emphasis on multi-disciplinary coordination, will have a valuable role in broad-based problem analysis and formulation of action plans associated with UMP city consultations.

City consultations as, a form of external support, are also different from traditional donor supported *technical assistance*, which is reliant on external expertise and is often isolated from local conditions and problems. Furthermore, external assistance in UMP City Consultations is intended to be catalytic, and does not seek to directly undertake city consultations or implement the resultant action plan. By placing this responsibility on local actors, it is intended that stakeholders and cities will feel commitment to the action plan and the process that produced it.

Distinctive Features of UMP City Consultations

The UMP Consultation approach has undergone an important change in the transition to Phase 3. During Phase 2 the emphasis was on *policy change* at the national as well as the city level. Consultations were often designed as one-off events intended to spark a process of policy debate and reform. Although policy change and development is still an important intermediate objective of UMP[8], it is no longer the only consideration for Phase 3. *Capacity building*[9], which is by nature a longer-term process, is now also important. Therefore, UMP City Consultations have moved from being merely an *event* in itself (a workshop, a single meeting) as was often the case in Phase 2, to being a *process.* Thus, the holding of a city consultation meeting does not satisfy in itself the requirements of the Programme. UMP City Consultations must be designed as a process intended to achieve improvements in the way city governments do business and not as ends in themselves.

The capacity building focus of UMP City Consultations is on city governments, but in some cases it will be necessary to support complementary capacity building of *civil society* stakeholders in order to ensure that they can participate effectively in UMP City Consultations. Indeed, a focus on civil society may in some cases be a key element of a city consultation strategy. Indeed, a UMP City Consultation can be an effective tool in building the confidence and capacity of stakeholder groups, thus nourishing participatory democracy. But this support will always be provided in the context of the overall objective of improving city hall's governance. The UMP is not a programme targeted at the development of community organisations as an end in itself.

The interest of the cities requesting UMP support should be on improving their performance by making the best and most productive use of the resources at their disposal. Although UMP can assist in leveraging additional external resources to implement action plans resulting from city consultations, this should be a distinctly secondary consideration. If the primary content of a city's demand for UMP support is to generate additional *external resources*, then the UMP City Consultation approach is likely not to be appropriate. As a caveat to this, it should be recognised that development

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[8] UMP Phase 3 Project Document p.33, Objective i
[9] ibid., objective ii

of a city's capacity to mobilise additional resources (both internal and external) on a sustainable basis is a suitable component of a UMP City Consultation.

The UMP City Consultation approach is *flexible*. Other approaches provide very detailed guidance on the sequence and content of a consultation. The guidance provided below should not assume the status of holy writ. If it is felt to be necessary to change the order of events, or to repeat some of them, or to introduce new elements, this is entirely in the hands of those administering the process.

A novel element in the Phase 3 UMP City Consultation process is the introduction of *anchor institutions*. It is intended that these institutions will eventually take over the lead role in handling city consultations. They should therefore take a progressively more prominent role during UMP City Consultations. This may require that they are supported and coached by the UMP regional office during the UMP City Consultation process. This support should be built into UMP City Consultation planning (see below).

As UMP City Consultations should be *problem-orientated*. This is because an important aspect of the UMP City Consultation approach is to assess strategic priorities through dialogue with stakeholders. Priorities reflect real world problems. To prepare action plans without being clear about the problems that they are solving runs the danger of putting the cart before the horse. There is also the danger that an action plan unrelated to carefully delineated problems will simply result in a shopping list of unrelated requirements.

One important success *criterion* is not whether the consultation is carried out or not, but whether it produced a lasting or *sustainable change* in the way in which a city normally does business i.e. did it adopt the UMP City Consultation approach, or at least some part of it?

Furthermore, success is also measured by the degree to which the *action plan is successfully implemented*. Without this happening, the viability of the UMP City Consultation approach cannot be demonstrated. It is also evident from the UMP project document that some real "on-the-ground" impact is desired.

Another important success criterion is *replicability*. In order to maximise the possibility of this happening, as many cities as possible should be exposed to the UMP City Consultation approach, perhaps through being observers of the process taking place in a host city, although there are a variety of means which can be used.

3.   Immediate Objectives
UMP City Consultations have three objectives for the cities participating in the UMP City Consultations:
a)   Cities are better managed;
b)   Cities adopt and implement more effective and appropriate policies concerning environment, poverty and governance;
c)   Action plans satisfactorily implemented.

4.   City Consultation Process
Stage 1 - Selection of City
The selection process is demand-driven, but not all cities requesting assistance can be selected. Each UMP regional office should develop a selection methodology, which can be quantitative (normally a scoring matrix to rank cities), qualitative or a mixture of both. Whatever means are adopted, the following criteria should be taken into account:

i)   Commitment of mayor/key city officials to city consultation approach/thematic focus area - This can be assessed in two ways: a) the care with which a city administration prepares and presents its key problem area is a good indicator of a city's seriousness; and, b) the willingness of the city to make a (preferably financial) contribution to the cost of the UMP City Consultation is a good guide to commitment. If there is significant lack of enthusiasm, or hostility, by any key actors for either the involvement of stakeholders or to dealing with the chosen focus area then caution about proceeding is in order.

ii) Delegation of authority - a city must have the sufficient delegated powers to be able to implement the action plan resulting from a city consultation. In some countries cities do not have the discretion to initiate new activities. The nature of the prohibitions imposed must be assessed to see if there is sufficient flexibility to allow a UMP City Consultation process to be properly and fully concluded.

iii) Civil Society - A strong, dynamic civil society structure will help ensure the success of a UMP City Consultation, but those cities lacking such attributes may be those in the most need of assistance. In the latter case, the potential for inducing civil society development should be assessed before proceeding.

iv) Commitment of Local Partners - Potential partners from civil society must be willing to actively participate in dialogue on the focus area selected by the municipality.

v) Networks - In order to achieve replicability, the selected city should have strong links to other cities in the country/ sub-region, for example, through a leadership role in a local authorities association. In some cases where city networks are weak, UMP may have to assess whether there is potential to assist in improving them.

vi) Follow-up Financing - If it is likely that additional resources will be essential for implementation of the action plan, an assessment should be made of the prospects that these will be forthcoming. If the chances are scant, expectations should not be raised that cannot be fulfilled and the proposed UMP City Consultation should be dropped.

Additional criteria could be included according to the regional context, for example, representativeness of the focus area in relation to problems found in the region. However, the six criteria cited above are the most important.

It is the responsibility of each UMP regional office to collect information on the five criteria and to undertake the discussions with the city on the potential topic area. The dossier approach as used by the UMP-LAC office has much merit as it throws much of the responsibility of for collection of information and establishing a case on the city. This tests the seriousness and resolve of the city, and increases its sense of ownership over the process. Whatever the approach selected, the selection assessment should be documented for the purposes of justifying inclusion in the work programme to PRC.

During Stage 1, it will be essential that the first stab is made at the thematic focus, and, within that broad frame, the likely topic area of the UMP City Consultation (First Step - Problem Identification) so that there is a basis for discussion with and between key actors. Many cities will of course already have a good idea about its priorities - UMP consultations rarely start from the very beginning - but there will often be a need for increased focus and definition of their topic area.

There are two outputs of Stage 1:
- a *Letter of Intention* from the city, confirming its strong desire to undertake a UMP City Consultation within a specified topic area;
- a *Draft Initiating Brief*, including a budget, the details of which will be necessarily short and sketchy. Preparation of the IB by the regional office, and its approval through the Core Team is necessary to release the funds necessary for disbursement during Stage 2.

Stage 2 - Planning
Detailed planning of the UMP City Consultation by the already known key actors is an essential step for successful operations. The anchor institution must be mobilised by this stage to participate in discussions. The planning meeting (or meetings), out of necessity, will most probably be convened and moderated by the UMP Regional Office, although the mantle of responsibility will be passed over to the anchor institution at the earliest practicable moment. In some regions this planning phase has been the first iteration of Stage 4 of the UMP Consultation Process i.e. city/stakeholder interaction.

The matters that should be dealt with are as follows:

i) Second Step - Problem Identification - the first step was during Stage 1. Further definition by key stakeholders is required in order to assist with planning of the consultation. It is suggested that a problem analysis tool (see Annex 1) is used in order to generate consensus and to make the city aware that it will be introduced to practical new techniques. A preliminary selection of central problem area to be addressed should be made. (The possibility remains open to revisit this later during Phase 4 of the consultation process). It should be borne in mind that although the city government is the institutional focus of UMP City Consultations, the problem to be addressed does not necessarily need to be tackled on citywide basis. It may be limited to a district or a neighbourhood.

ii) Organisational Structure - The organisational structure and allocation of responsibilities to administer the UMP City Consultation must be agreed. A Local Support Team will most probably be necessary, and its composition and ToR will also need to be determined. The role of the anchor institution in relation to the agreed set-up will need to be confirmed. A local partner institution may also need to be identified if this has not already been done during Stage 1.

iii) Role and Selection of City Government Actors - An assessment will be made of the institutional context (both public sector and civil society) in order to make selections. A stakeholder analysis (see section 7) will be helpful.

Those selected for key roles in the UMP City Consultation process can be either politicians or officials, preferably a mixture of both. If there is an executive mayor, he or she should have a very visible role, as should the most powerful official, be it town clerk, chief executive or whatever. Other actors will be selected on the basis of the thematic focus area and the problem to be addressed. The function that these actors will perform, for example, representation on the Local Support Team, chairing working groups etc. will be defined.

iv) Selection of Civil Society Actors/Groups - The civil society stakeholders to be involved in the UMP City Consultation process should be selected on the basis of the thematic focus area, the problems to be addressed, and the stakeholder analysis referred to above. (The latter should not be applied rigidly as this may result in the exclusion of marginal groups, and it is these that must given special attention.) A representative sample of them should already be at the meeting to assist in this process. Some should be selected to serve on the Local Support Team if one is to be established. The role the selected actors will play in the consultation will be defined.

v) Potential donors - It should be assessed whether it is likely that external assistance will be required to implement action plans. If so, a strategy for involvement of relevant external assistance agencies in the consultation process should be devised. This will dramatically increase the chances of attracting future funding.

vi) Selection of the Consultation Approach - The alternatives are spelled out in Stage 4 below. This selection should be based on a strategic assessment of the context i.e. complexity of the topic area, diversity and size of stakeholder groups etc. The outcome will be decisions on the groups to be consulted, how often they will be consulted, who will convene and moderate the meetings, the venues they will be held in, the time-span of the consultation etc. The design of the consultation should also draw heavily on an in-depth understanding of the institutional context. For example, if there is powerful lobby of sectoral departments enjoying strong autonomy in the local authority that feels threatened by the cross-disciplinary approach of the UMP City Consultation, it may be necessary to encourage them into the process by giving them a high profile roles. If there are felt to be problems of lack of information on the UMP City Consultation approach, or apprehensions about it amongst city government actors, these must be addressed, and there may be a need to have special briefing meetings.

vii) Format of City Consultation Meetings - This should also be planned in advance. Particular attention must be made to ensuring that all stakeholder groups gain sufficient confidence from the environment that is created to express their opinions. It may be therefore necessary, for example, to hold special meetings in vernacular languages, or to have special meetings for women in societies where prohibitions are placed on their participation in mixed

gatherings. Thought should be given to the physical organisation of meeting rooms. For example, a conventional public hall setting with dais for dignitaries etc. may inhibit some stakeholders at meetings designed for intense inter-action.

viii) ToR for the City Profile - The City Profile is an essential document for providing a platform for informed debate during the UMP City Consultation proper. The ToR should be agreed at this planning stage, as should arrangements for the procurement of consultants. It is important that there should be transparent criteria for their selection. It would be very useful if potential consultants could attend planning meeting(s).

ix) Monitoring - This is largely the responsibility of the anchor institution, but nonetheless a strategy should be agreed. Attention should be paid to arrangements developed between UMP and the Urban Indicators Programme that give guidance on useful indicators and the role of Urban Observatories. Particular care should be taken to incorporate gender indicators, particularly those concerning the equitable participation of women in the decision-making process. UMP Regional Coordinators should encourage the routine use of indicators by cities as part of capacity building for policy development. Monitoring is essential for "lessons learned" and replication of experience.

x) Replication - A strategy for replication of a) the UMP City Consultation approach, and b) the lessons learned from the implementation of the action plans should be devised.

xi) Publicity - A UMP City Consultation should not be conducted in the dark amongst consenting adults. A vigorous publicity campaign involving the local media in all its guises is essential. Planning should be undertaken in order to maximise media exposure at key junctures in the consultation process.

xii) Risks - That is, events which have a significant probability of taking place which could derail the planning that has been undertaken, should analysed. Planning should be adjusted so as to avoid or minimise the risks.

There should be three *outputs* from Stage 2:
- The outcomes of planning on the above eleven aspects should be incorporated in a *Detailed Initiating Brief*. This should be compiled, as far as possible, by city actors themselves, with appropriate assistance from the anchor institution, not only as a capacity building exercise, but also to test commitment and create ownership;
- *A Memorandum of Understanding* between the City, major stakeholders attending the planning meeting (s), the anchor institution and the UMP regional office, formalising commitment to supporting the UMP City Consultation described in the Detailed IB;
- *ToR* for the *City Profile.*

Stage 3 - City Profile
The City Profile should provide a thoroughgoing analysis (including a review of all relevant data) of the city's situation in relation to the relevant thematic focus area, with a concentration on the topic area agreed during Stage 2. The data collected should be sufficiently comprehensive to form a suitable baseline for future monitoring of the success or otherwise of the implementation of the action plan. But this requirement should not lead to the profile to become a classic generalised and descriptive survey.

Current development thinking relevant to the thematic focus should be reviewed for ideas about possible options for action plans. The City Profile should assess the city specificities and characteristics that will have implications for action planning. Some suggestions for options for action plans could be put forward for consideration during the consultation process, but care should taken not to provide "pre-cooked" solutions.

The City Profile should also provide some indicative guidance on the resources from public and private sectors and civil society in general, both monetary and non-monetary, that might be available to implement the action plan resulting from the UMP City Consultation.

The *output* from Phase 3 is the *City Profile Report.*

Stage 4 - Consultation Process
There are various alternatives for the consultation process. It can be:
- A plenary event held over 1 or 2 days;
- An event held over 2-4 days, starting with a plenary which breaks up into working groups, reporting back to a plenary;
- Workshops over a number of weeks with identified stakeholder groups, followed by a plenary event to provide a unified outcome;
- A plenary event of 1-2 days to jump-start the process and to set general principles, breaking into working groups meeting over a period of weeks to develop more detailed proposals. Proposals will be validated by another single day plenary event;
- A plenary event of 1-2 days to start off the process and set general principles, followed by allocation of responsibilities for detailed further work to a representative steering committee.

The above taxonomy is by no means exhaustive, but it does assume a linear progression in the consultation. However, matters may not always be so simple. For example, a UMP city consultation may become a standing forum for discussion and exploration of a developing agenda, and various stages in the process will be revisited more than once. It may also happen that the first iteration of the consultation process may take place before the city profile is carried out and stakeholders will set the ToR for the study. This has the advantage of increasing stakeholder ownership over the information collected and thus provides the potential for a more fruitful dialogue. All Such possibilities are acceptable.

There are a number of constants however:

First, whatever the modality for dialogue that is chosen, the point of departure should be agreement on the *problem to be addressed* (the topic area) by the city consultation (Third Step - Problem Identification). Although there necessarily has been some work done on this in previous stages, stakeholders have the right to redefine the problem. To aid problem identification and to assist in assessment of the underlying causes, a problem analysis tool could be used (see Annex 2). This tool is designed to be used in a participatory manner, enabling consensus to be developed. It is best suited to use in working groups. The city profile report should be used as resource book throughout the problem identification process. It is essential that the problem identified is not defined in terms of "lack of" some attribute, as this predetermines the solution. For example, "lack of money" is not sufficient to describe a poverty problem. The problem should be defined in terms of specific problems for defined sections of the population e.g. "high incidence of respiratory diseases amongst children"; "violence against women endemic in informal settlements".

It is probable that the problem analysis will throw up many problems that need to be addressed. If a central problem cannot be agreed using the specific methodology of the problem analysis tool, the alternative is for stakeholders to prioritise from amongst the range of problems they have identified which one is the most important

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Second, once there is agreement on the problem to be addressed, it should be converted into a positive *objective* that the action plan should achieve. In the case of the examples cited above the objective could be expressed as "Incidence of respiratory diseases amongst children reduced to 5% by the end of Year 2000"; "Violence against women in informal settlements reduced to or below the national average by the end of the action plan period". Note that the objectives have been expressed in achievable, (and if practical, quantified) terms. For example, although it would be desirable to eradicate violence against women entirely, it has to be doubted whether this is a practical objective. It should also be understood that the broader the objective the more difficult it is to achieve. Each consultation should carefully assess the extent of its ambitions against the resources available in another city consultation. Generally, (but not always) it is better to start with modest, achievable objectives and gain experience before embarking on more ambitious approaches. Objectives ideally should be SMART (Specific, Measurable, Accurate, Realistic, Time-Bound).

Third, when there is agreement on problems and objectives, the consultation should assay the range of *options* available

PARTICIPATION TO PARTNERSHIP

to achieve the agreed objective. The problem analysis could provide clues as to the underlying causes and thus to possibilities for action. Advice from the local support institution and anchor institution is critical in this discussion, because technical and other substantive considerations are likely to be relevant to the viability of the options available. They can also provide examples from regional or international experience, successful or otherwise, in dealing with similar problems. Because there are no universal solutions appropriate to every situation, brainstorming about opportunities peculiar to the city is important in the selection of a realistic option. A preferred option should be selected as the basis for the action plan.

<u>Fourth</u>, the draft action plan should be further developed so that the basic principles are clearly set out.

The results of deliberations concerning the above four elements should be verified and a consensus agreed at a plenary meeting of all stakeholders. Any disagreements have to be resolved at this meeting. An agreed draft action plan should be the main output of the final plenary meeting. The draft action plan should not attempt to be a technical report. It should be a short, readable document for a popular audience. It should also be something that the mayor and politicians find to be politically attractive and want to be associated with.

Certain *skills* are essential to the consultation process, particularly those of Chairman, Facilitator and Raporteur. Of these, the most important are probably the latter two. A Chairman will probably only be employed at comprehensive events that put a formal cap on proceedings in certain types of consultation. Difficulties can arise when both a chairman and facilitator are used in the same meeting and this situation should be avoided. The skills of facilitators and raporteurs are essential for substantive working group meetings, or of plenary sessions where issues are being thrashed out.

A *facilitator* needs to be assigned to each workshop/working group to manage discussions. The success of failure of working groups will often depend on this person. He or she must have certain qualities to be successful:

• Understands technical content of topic area;
• Is not associated with any obvious pressure or interest group;
• Is not domineering, and is prepared to tease out, explore and unify the ideas of others;
• Has clarity of mind and can simplify complex ideas;
• Is committed to the exercise, which can be demanding and tiring.

The facilitator will be responsible for synthesising conclusions at various stages during the process of discussions to provide a basis for further progress.

The *raporteur* will be responsible for documenting conclusions from discussions that may be confusing and occasionally contradictory. He or she must have the capability to condense these into short, straightforward written and verbal summaries that do not misconstrue the findings of the meetings.

The selection of the correct persons is absolutely essential, and the anchor institution/UMP regional office should directly know their qualities. If there is a shortage of suitable people in the city/country/region, consideration should be given to bringing new blood up to par through training and tutoring.

There will be two main sets of *outputs* from Stage 4:
* A report summarising the consensus of the discussions as agreed at plenary
* A *draft action plan.*

Stage 5 - Detailing the Action Plan
The draft action plan will have to be given more detailed technical substance and converted into a *detailed action plan*. This must be done without prejudicing the spirit of the preceding version. If external financing is likely to be required then it most probably will have to be backed up by a project document. Under all circumstances a detailed budget, listing all resources, both monetary and in-kind from both the public sector and civil society that will be required, will be included in the detailed action plan.

The plenary meeting should nominate the persons who will develop the detailed plan of action and the timescale it is to be produced within. There will need to be a professional presence on the team that is familiar with drafting such documents. There is likely to be an important role for the anchor institution in supporting the drafting of the detailed action plan, especially if there is shortage of skilled/experienced personnel, and also in developing the confidence of city officials so that they can repeat the activity in future. This need for the anchor institution's involvement may be even more pressing if there is a need to produce documents in a form suitable for a particular external funding agency.

The *output* will be a *Detailed Plan of Action.*

Stage 6 - Final Plan of Action
The detailed plan of action will have to be approved by city authorities so that implementation can commence. It would be appropriate for the city to produce a short popular version, which has a strong graphical content and will be attractive to the public in order to popularise the end product in the city and to inform the target groups affected by the action plan. The intention of this and other publicity would be to generate further popular support for the action plan, thus reinforcing the legitimacy of the UMP City Consultation process in the eyes of the city authorities. It will also serve as a useful tool to disseminate the results of the UMP City Consultation process to other interested cities

Once the action plan is formally adopted, a supporting project document can be used as a basis for discussion with external support agencies if additional funding is required.

In some countries the agreement of provincial/national government is required for any formal agreement to be entered into. In this situation it may be inappropriate to insist on a formally binding agreement, especially if dilutes stakeholder ownership. It may be necessary to resort to other devices that can allow the city government to demonstrate its commitment to necessary actions.

The output of this stage will be a *Formally Approved Action Plan.*

Stage 7 - Implementation
At this stage of the process the role of the UMP and its associated institutions are reduced to that of a watching brief, as implementation is in the hands of the city. However, the withdrawal should not be total. One of the reasons city authorities select UMP is for its advice and support in guiding them through uncharted waters. The Local Support Team, on which UMP is represented, should therefore continue and offer advice and support during implementation.

One important role of the Local Support Team/UMP will be to implement the monitoring strategy agreed during Stage 2. Monitoring of the implementation of the Action Plan is intended to be of benefit both to the city - so that it can assess whether objectives are being achieved - and UMP - which must monitor its own impact success criteria.

The *output* of this stage is a set of *monitoring reports.*

Stage 8 - Replication within the City
One of the success criteria of the UMP City Consultation approach is that it is adopted by host cities for continued replication in new topic areas. The Local Support Team can play an important role as a link mechanism, transferring experience learned in the previous UMP City Consultation to the next one.

The *output* of this stage for UMP is a *monitoring report.*

5. Monitoring and Success Criteria
UMP Programme Success Criteria
UMP regional offices should be aware of the success criteria that apply when undertaking UMP City Consultations. These indicators are primarily related to UMP's success as a programme, although they can also be adapted for use in

monitoring individual UMP City Consultations. The indicators were agreed at the PRC meeting held in The Hague in June 1998. Those relevant to UMP City Consultations are as follows (numbering as in Table 1: Success Criteria for UMP):

7   Stakeholders involved in consultations.
8   City managers participate in city consultations.
9   Expectations of City authorities satisfied
10 Effective management by anchor institutions
15 Consultations commenced.
16 Consultations completed
17 Action plans agreed with city authorities.
20 Consultation approach institutionalised.
21 Objectives of city consultations achieved.
22 Action plans implemented.
23 Resources leveraged for implementation of action plans.

UMP Regional Coordinators are referred to the periodically updated guidance on UMP success criteria for detailed assistance. The main principle that has to be borne in mind is that success criteria should, as far as possible, be built into the monitoring systems set up for the UMP City Consultations.

UMP City Consultation Monitoring Criteria
The monitoring of individual UMP City Consultations will involve specific indicators that will generally entail measurement of achievement of the objectives stated in the IB (indicator 21 above). Additional assistance on thematic monitoring indicators available to be used under indicator 21, that will have the added advantage of allowing aggregation UMP city consultation experiences, will start becoming available during the first part of 1999.

6. Next Steps

Suggestions on tools required, or on tools successfully used but not mentioned herein, are requested. It is proposed to build up an Annex describing available tools. If necessary, Core Team consultancy funds will be used to do a survey and write-up of tools in a manual format.

In order to fulfill UMP Success Indicator 3 "City Consultation experiences synthesised and disseminated", Terms of Reference for a study will be prepared. The study will review UMP City Consultation review experience "on the ground" in all regions. The outcome of the study will be used to modify these guidelines and to synthesise both into a formal UMP publication for general dissemination.

New Guidelines for Initiating Briefs will also need to be prepared. Some proposed alterations to current procedures are already flagged in this document.

Once these UMP City Guidelines are agreed it is suggested that each region prepares their own short easy to understand version, reflecting regional cultures. An English version can be produced in Nairobi for local translation and adaptation if wished.

INDICATIVE CONTENTS OF AN ACTION PLAN

An Action Plan serves the following functions:

- Identifies the key concerns and impacts on the city, priority groups and any areas targeted for action, based on the outcome of the UMP city consultation process;
- Identifies the objectives of the action plan;
- Prioritises what needs to be done and identifies who is accountable for what;
- Identifies the resources (inputs) needed to achieve the aims;
- Specifies the accomplishments (outputs) to achieve key performance targets;
- Specifies the achievements (outcomes) for more effective use of resources;
- Specifies the means of monitoring procedures to be used to drive the action plan and ensure its performance.

An Action Plan should therefore include:

- Opportunities for the redeployment of resources;
- Best practice in interagency working and provision of information;
- Opportunities for the more effective use of resources;
- An appraisal of the action to be taken, the cost of the action and, if possible a financial assessment of the benefits to be gained from the proposed action
- A timetable over which the action plan will be assessed;
- Identification of costs borne by or savings or cost that may be made or incurred by each agency;
- An assessment of the costs of the monitoring procedures.

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UMP 25   Participatory Urban Governance: Practical Approaches, Regional Trends and UMP Experiences. Edgar Pieterse **(US$18.00)**
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[1]   [1]The World Bank "The State in a Changing World: World Development Report 1997", June 1997 p215. These countries are defined as those with a GNP per capita of US$9,386 or more. They include the Republic of Korea, Portugal, Spain, New Zealand, Ireland, Israel, Kuwait, United Arab Emirates, United Kingdom, Australia, Italy, Canada, Finland, Hong Kong, Sweden, Netherlands, Belgium, France, Singapore, Austria, United States, Germany, Denmark, Norway, Japan and Switzerland.