

## Acronyms and Abbreviations

MDP-ESA	-	Municipal Development Partnership for Eastern & Southern Africa.
LA	-	Local Authority
Cllr.	-	Councillor
LATF	-	Local Authority Transfer Fund
LASDAP	-	Local Authority Service Delivery Action Plan
LIMS	-	Land information management system
LGDP	-	Local Government Development Plan
KCC	-	Kampala City Council
FRAP	-	Facilitated Risk Analysis Process
LED	-	Local Economic Development
FDIs	-	Foreign Direct Investment
SCP	-	Sustainable Cities Programme
SWOT	-	Strength, Weakness, Opportunities, Threats
PESTGEL	-	Political, Economic, Social, Technological, Geological, Ecological, and Legal
MDGs	-	Millennium Development Goals
LASDAP	-	Local Authority Service Delivery Action Plan
LATF	-	Local Authority Transfer Fund
LIMS	-	Land Information Management System
GIS	-	Geographical Information Systems
MIS	-	Management Information Systems
KCC	-	Kampala City Council
KMC	-	Kisumu Municipal Council
PPP	-	Private Public Partnerships
KAT	-	Kisumu Action Team

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**Day 1: Tuesday, 10<sup>th</sup> January 2006.**

### **Workshop Outline and Introductions**

The Kisumu Experts Group Meeting (EGM) was held between 9<sup>th</sup> and 13<sup>th</sup> January, 2006. The meeting's objective was to review the guidelines for the preparation of the City Development Strategies and to review the proposed draft outline for the Financing Toolkit for the City Development Strategies and Investment Plans

During the second phase of the Lake Victoria initiative, three additional cities have been identified for support. Bukoba, Entebbe and Homa Bay have been inducted as the Second Generation of CDS cities in the Lake Victoria region. The cities have been introduced to the City Development Strategies concept at a regional workshop to familiarize them with the CDS process. However, it is evident that cities around the Lake Region lack adequate capacities for planning and managing their resources in a participatory manner. A further regional training of trainer's workshop was held to build the capacities of the Second Generation cities in preparing and implementing their CDS programmes. The capacity building/training workshop focused on building the capacity of municipal officers, NGO/CBO practitioners, policy-makers and politicians to deal with the problem of urban environmental management linked to better access of the poor to urban services. Local experiences supplemented by lessons learnt from elsewhere formed an important core of the training programme.

A key component of the second phase of the Lake Victoria Region City Development Strategies deals specifically with the financing of investment plans produced in the CDS process. There is a need to strengthen the CDS programme with expertise regarding financing of local investments.

This will mainly be done through creating a financing toolkit for strategic decision-making regarding financing options for implementing the investment plans in the CDS process, and through integration of the CDS into municipal planning processes.

It is also expected that several other cities along Lake Victoria aspire to prepare CDS. During this phase simple guidelines will be prepared to assist in the rolling out of the CDS.

It is expected that the outputs from the meeting will be a draft guideline on preparing City Development Strategies; an annotated draft outline of the Financing Toolkit; and an identification of capacity building/basic training and awareness raising needs, to enable the cities to access and fully utilize the Financing Toolkit.

The meeting was opened by Cecilia Njenga-Kinuthia, Human Settlements Officer, UN HABITAT.

## **Guidelines for Preparing a City Development Strategy**

The session on guidelines was conducted by the Centre for Development and Planning Management (CDPM). The meeting participants were taken through the proposed guidelines for preparing a City Development Strategy that had been prepared beforehand. They were then divided into working groups to deal with the six areas of the proposed guidelines as follows:

### **Working Group A**

The members of this group were Namubiru Jackie, Amos Owiro, Joseph Ssemambo, Photidas Kagimbo, Fransisca Maina, and Dr. George Mark Onyango. The group dealt with aspects of preparing a City Profile.

The Group recommended that the City Profile should have the following contents:

1. **Location of the City:** a map of the City, and the absolute and relative location
2. **City boundaries:** including the size of the city, and land tenure/use classification
3. **Historical background:** how did the local authority come into existence
4. **Geographical features/aspects:** altitude, climate, and topography
5. **Natural resources:** Lakes, rivers, animals, forests, minerals, fisheries, vegetation
6. **Demography:** age brackets, sex distribution and population statistics. This should form a basis for allocation of resources
7. **Social economic analysis:** As we address these issues we should keep relating to environment and poverty.  
**Social Aspects** – Health, Water and sanitation, Housing, Education, Security, and Disadvantaged groups  
**Economic Aspects** - Employment and income, Agriculture, Fishing, Industries, Informal and formal sectors, Mining, Tourism, Institutions –NGOs, Financial Institutions, CBOs
8. **Infrastructure development:** modes of transport, classification by type, communication network, sewerage and water systems, electricity coverage, and recreation facilities e.g. parks
9. **Relationship between poverty and environment**
10. **Institutional framework:** administrative setup, hierarchy, different sections, key core functions of the city, major problems affecting the city
11. **Policy framework:** legislation and compliance, relationship between natural and local policies, and vision and mission

### **Working Group B**

The members of this group were Abbey Iga, Ali Zakaria, Bataringaya Basil, Charles Mpalanyi, Ferdinard Manyele, George Wasonga, and Patrick Karangwa. The group dealt with aspects of a 1<sup>st</sup> City Consultation.

The group posed the following set of questions with regards to city consultations. Who should be involved in a city consultation? Why involve so and so? Where will the venue for the consultations be?

The group recommended that the elements of a city consultation should include the number of persons, resources, the venue which should be a convenient place with enough space and where every person can hear clearly and follow proceedings, and the experiences and professionalism e.g. experiences from Dar SCP, Durban and Cape Town.

The group stated that certain preconditions for a City consultation should exist, namely; it must have a predetermined development direction – mainly done by LA and civic representation; it should be based on historical background e.g. Kisumu – railway means it has commerce orientation; how have towns grown and acquired characteristics, geographical features e.g. Mwanza is a secure place for investment; and unique geographical features like Nakuru which is bordered by rift valley and lake Nakuru

The group did Brainstorm for their respective local authorities.

The Entebbe group stated that their city had a good road network, adequate accommodation (hotels and apartments). The city needs to reduce direct flow of run off and industrial waste into the lake, and take advantage of the water front through developing an efficient water transport system, developing tourist attractions and industries. The city should use special symbols to give it a distinct identity e.g. city of stones, green city for nice houses.

The Mwanza group stated that their city had an array of common features. Mwanza needs to grow as agro-based processing industries and cater for growing investment in minerals like gold by having proper, decent apartments and recreation facilities. In health issues, HIV/AIDS, and malaria emerged as convergence points. The transportation network, control of pollution and job creation emerged as other issues.

The Kampala participants noted that their city was the capital of Uganda, located in a central location for east and central Africa (good road network, drainages) and was the economic, transport and administrative capital for Lake Victoria region. The physical planning issue emerged as an issue to be dealt with.

The Kisumu group stated that the energy/fuel issue from Mombasa to Kisumu- onto Tanzania, Rwanda, Uganda, and Burundi was their mainstay. Kisumu is a town of transportation of goods from the ocean (Mombasa).

Bukoba stated that they are the capital of Kagera region with a good road network. The issues they face include water and sanitation system problems, transportation i.e. depends on lake ports, difficult to go to Mwanza, Dar, etc., food shortages as the people depend only on bananas, HIV/AIDS orphans, land scarcity due to land tenure system (traditional Nyarubanja). However their strong points are a rich cultural heritage and water transport network.

Group B stated that a city consultation should involve the following groups:

- The affected/ service recipients including fishermen, informal traders, residents groups, transport associations, investor groups, major institutions, research and training institutions, and civil society organizations.
- Decision makers including local authority officials, line ministries, government parastatals, local area MPs, regional bodies in the locality, and professional bodies.
- Implementers, investors, utility/service providers, overseers (media), development partners – financiers, researchers and national sectoral programmes e.g. rural electrification, urban infrastructure rehabilitation programmes.

### **Working Group C**

The members of this group were Cllr. Stephen Agullo, Cllr. Francis Rwego, Dr Peter Lewa, Hellen Etoori, Fenner Omondi, and Godfrey Machumo. The group dealt with the issue of how to form an effective working group. They stated that in order to form an effective group, one has to know the target/problem. This may include poverty, women, youth, physically challenged, men and the percentage composition of the population.

In regards to the lake environment the group posed the question. Who pollutes? They came up with the following categories: Transporters – taxi, boda boda, Traders – market, hawkers, shops, fish processor, Residents, Farmers on the shoreline, peasants.

The group recommended that effective working group formation entails knowing the stakeholders. For example, how many of each section (walks of life) exist? The group recommended the use existing associations and groups and encouraging new associations and groups if needed. It further called for documentation of the population breakdown and the use media to help mobilize and sensitize the community.

The working group must represent stakeholders elected by each section of stakeholders, percentage composition per the sections, committed working group i.e. told on code of conduct and responsibility, and a manageable in number - which may mean they meet in sub-groups.

The working group must strive to ensure that the truth the whole truth and nothing but the truth is told regarding data and statistics. The working group should be more together and involve media to capture proceedings and data.

The group defined a working group as the team to write the CDS and maybe assist in the implementation.

#### Comments on the CDS documents for the Phase I cities

Kampala CDS: There was no list of participants and the participatory process is lacking.

Musoma CDS: There were 109 stakeholders. Is this too large? They gave the sectors of the stakeholders but not the percentage composition.

Kisumu CDS: They gave the sectors of the stakeholders but not percentage composition.

Generally the group was not convinced that the target (the poor, water pollution) were represented in the Phase I CDS cities.

## **Working Group D**

The members of this group were George Wasonga, Benjamin Maziku, Dr. Stephen Njoka, Elphas Ojiambo, Peter Mawerere, and Kinuthia wa Mwangi. The group dealt with the elements of a 2<sup>nd</sup> City Consultation.

The group recommended that the second consultation should retain as many members as possible from the first city consultation. This will ensure continuity and reassure the participants that their views have not been forgotten. This will also contribute to good governance as residents will see that the council respects their opinion in governance issues.

The group recommended that the main task of the second consultation was to agree on the way forward. It was stated that the working group will table the working group report to the participants for approval. The participants would then endorse the report with recommendations on issues either not reflected in the report or those they would wish removed or clarified.

## **Working Group E**

The members of this group were Cyprian K'oywa, Jacob Munge, Martin Kitilla, Hamis Yunah, and Thaddeus Buberwa. The group dealt with the aspects of preparing the CDS Document.

## **Plenary Session**

The plenary session on agreeing on the guidelines for preparing a City Development Strategy was conducted by Dr. George Mark Onyango of Maseno University.

The plenary session agreed that the objective of the guidelines is to allow lake cities within different contexts to adopt the CDS process.

It was agreed that the first step, the Preparatory Phase would entail mobilizing the council and stakeholders through the adoption of the CDS process by Council by a council resolution. This would be followed by sensitization of key stakeholders to answer the following questions. What is CDS? Why prepare a CDS? and How to carry out CDS?. Consensus building amongst various stakeholders would then need to be carried out followed by establishment of focal points/units. The CDS process would then get adoption by council and a workplan (timelines of the CDS process) set out.

The second step in the process is City Profiling. A situation analysis by the city's technical committee using various methodologies and approaches will need to be carried out. This will include a SWOT analysis, Political, Economic, Social, Technological, Geological, Ecological, and Legal (PESTGEL) analysis, Stakeholder analysis, and Strategic analysis. The city then needs to articulate the vision and mission. The dissemination of the profile to the community is of vital importance.

The third step is the first City Consultation. Identification of stakeholders from the community, media, and private sector is a critical component here. Formation of working groups (working group could be issue/sector based or location based), number of working group (proposed maximum of 30), composition – include affected community, council staff and experts. It was proposed that a Terms of Reference (TOR) be included for the working group.

The fourth step is Establishment of Working Group. It was agreed that the role of the working group is to collect information and document. They will identify resources, collate views, get information from different stakeholders, develop SIPs and SAPs, identify and help to mobilize resources, give constant feed back for council approvals. The working group will also identify strategic issues and prioritize based on stakeholder concerns. The issues maybe citywide, location based or issue based.

Step five in the process is the Second City Consultation. This entails agreeing on the working group report and the Way forward. The results should be disseminated to the wider public.

Step six is the actual Preparation of the CDS Document (draft). The draft needs to get the approval of the council, government, etc. and dissemination to the wider public.

The seventh step is Action Plans Implementation. This will be linked with other council budgetary processes and disseminated to the wider public.

The final step is Monitoring and Evaluation which should be done with continued community participation and dissemination of the results.



## **Day 2: Wednesday, 11<sup>th</sup> January 2006.**

### **MDP-ESA: Options for Financing the City Development Strategies**

The financing paper written by Justus Mika, a Municipal Finance Specialist was delivered by Mr Kinuthia Wamwangi of the Municipal Development Partnership for Eastern and Southern Africa (MDP-ESA).

In the paper, MDP-ESA argued that the world is increasingly getting urbanized and urban centers will increasingly shape human development. High urbanization rates in sub-Saharan Africa of 3.76%, compounded by increasing levels of urban poverty call for increasing civic participation in local issues.

According to the paper, the participatory CDS action and investment plans prepared by Kisumu, Kampala and Musoma are apt for addressing urban service delivery and poverty reduction. However, strategic planning - a modern public management application, requires resources to execute the plans. The challenge is therefore for the local authorities to find possible sources of finance in the face of dwindling cheap traditional sources. This demands for new and innovative local capital market initiatives.

The development challenges in Sub-Saharan Africa are widely known. Per Capita income declined 0.8% per annum between 1980 and 1993 and poverty is severe and getting worse. The population growth rate - 250,000 new babies weekly with 4-5% per annum urbanization growth, means 190,000 babies are getting absorbed by slums. 75% of urban growth is in slums and 33.3% of Africa is living under life threatening conditions. The poor will reach 404 million by 2015 with 332 million in slums, and 46% of continent will be poor. 29.4 million are infected with HIV/AIDS and 40 million Africans are in danger of starvation and hunger with the most affected being women and children. Other challenges in Africa are the slow/negative economic growth, and regressive income distribution

There is urgent need for addressing the MDGs and conceptualization of local government finance complexities. Public money is required to implement the SIPS and the justification of public service is service delivery not profit as public benefits are difficult to measure. Money management principles are the same for individual, private sector, and public sector.

The paper argued that budgets are not money but plans and that decentralization and the effects on service provision should be within legal frameworks and governance considerations because public needs are heterogeneous complicating prioritization and financing.

The financing options of SIPS for Kisumu, Kampala and Musoma display expected heavy reliance on external donor support. A Lake Victoria Cities Development Fund has been mooted as a possible source of finance.

The MDP-ESA paper stated that debt, equity, grants and partnership arrangements can be used to finance urban capital programmes. The national framework conditions in Kenya, Uganda and Tanzania display devolved mode of decentralization and hence local authorities have significant powers to source capital finance from various sources. Local authorities can also make decisions on whether to provide or shed off a service. However, local authorities cannot borrow off-shore.

The financing options for capital programmes where LAs provide the service were given as long-term loans, bonds and stocks, municipal infrastructure banks, internal special funds, equity (revenue sources), grants and donations and commercialization.

Financing options where other players provide public service include betterment fees, service and management contracts not relevant, leasing, concessions, joint venture and micro-credit schemes, and privatization.

Financing options where LAs need not provide the service include the Great Lakes Development Fund, seed fund possibly from donors, and institutional arrangements such as a joint-venture bank, a financial intermediary, and a public institution.

The aim of the financial toolkit is to study and analyse various options and the suitability, relevance and sustainability of financing options while studying the opportunities and threats presented by these options.

In conclusion MDP-ESA argued that since sub-Saharan faces great development challenges especially in urban areas, strategic planning which is a modern and useful management application should be used. Various options exist for financing the SIPS but commitment is required by all actors. The financial toolkit is therefore necessary to kick start the process and ensure sustainability.

## **City Presentations**

### **Homa Bay Municipal Council: Integrating CDS into existing Local Authority Plans**

The paper was presented by Mr. Amos Owiro, the Homa Bay Municipal Works Officer. Mr. Owiro stated that the Ministry of Local Government (Kenya) has been implementing reforms in the management of LAs since 1996 with the objective of improving efficiency and accountability. The reforms have focused on the improvement of service delivery, financial management, participatory planning, governance, revenue mobilization, monitoring and evaluation, institutional reforms, fiscal and overall centralization.

In May 2005, Homa Bay participated in the launch of the Second Generation CDS cities and a subsequent workshop in Entebbe, Uganda, on July 2005 to focus on the building of regional cities ability to deal with environment and poverty reduction.

Mr. Owiro proceeded to give a SWOT analysis for Homa Bay and a comparative analysis of the LASDAP and CDS processes, which are presented below.

### SWOT Analysis of Homa Bay in Relation to LA reforms/CDS

STRENGTHS	WEAKNESS	OPPORTUNITIES	THREATS
<ol style="list-style-type: none"> <li>Existing LASDAPs/ CDS Committee.</li> <li>Political goodwill.</li> <li>Government Reform Policy on LA</li> <li>Qualified and Competent technical and administrative staffs.</li> <li>Stakeholders already aware and supportive.</li> <li>Availability of LATF funds.</li> <li>Collaboration with Foreign Technical Universities for Local Capacity Building.</li> </ol>	<ol style="list-style-type: none"> <li>Lack of commitment in the implementation of government reform policy.</li> <li>Unstable Financial capacity LA.</li> <li>Instability of senior officer and civic leaders due to transfer or elections.</li> <li>High expectation by the stakeholders.</li> <li>Lack of Education and Capacity building among stakeholders.</li> </ol>	<ol style="list-style-type: none"> <li>Possibility of Access to Donor Prospects.</li> <li>Reliability of good administration and political structure.</li> <li>Underused natural resources: (Lake, land and Human)</li> <li>Availability of other supplementary funding e.g. CDF, RMLF, and CESS.</li> <li>Existence of the Civil Society Organization in Homa Bay.</li> </ol>	<ol style="list-style-type: none"> <li>Environmental degradation and hostile weather.</li> <li>Receding of water levels on Lake Victoria.</li> <li>Poor infrastructure.</li> <li>HIV/AIDS</li> <li>Poverty</li> <li>Youth dropping out of school.</li> <li>Unemployment.</li> </ol>

### Comparative Analysis between LASDAP and CDS Process

SIMILARITIES	DIFFERENCES
<ul style="list-style-type: none"> <li>Both have environment and poverty reduction as their focus.</li> <li>Participatory planning and empowerment of the stakeholders.</li> <li>Focus on good Governance.</li> <li>Participants are the same.</li> </ul>	<ul style="list-style-type: none"> <li>Funding sources for LASDAP identified – LATF.</li> <li>CDS still in formative process with no definite funding sources.</li> <li>CDS focuses on protection of Lake Victoria.</li> </ul>

Mr. Owiro went on to make a case for the mainstreaming of the all inclusive participatory process of planning and implementation in the development of Homa Bay. Drawing from the strengths in the SWOT, the council felt confident that the fundamental principles of CDS can easily be incorporated into the existing platforms and structures of their development plans. However it is imperative that a comprehensive assessment and evaluation of the SWOT, particularly in addressing the observed weaknesses and opportunities be conducted.

In addressing observed weaknesses, there should be continuous capacity building initiatives of all participants in both processes specifically using the strategies of social marketing, education at all levels and effective communication.

The integration of CDS should not aim at perfection but rather help to prominently bring to the fore transparency, inclusiveness and openness of the process. There is also a need to demystify the practice of policy change and/or reforms. Because certain technologies or policies can fail to meet their goals, there is need for a collective and grounded critical analysis of the way each technology or policy can not fail to meet its goals and that they don't inhibit the use of local resources and the indigenous people's knowledge at the grassroots.

In exploiting their opportunities, the integration process requires “building blocks” from the internal and external resources which proceed from the strategic mechanism of social marketing, communication and education based on the existing opportunities and strengths. Team building and teamwork, resource mobilization, use of skilled staff and politicians to negotiate for partnerships, effective project management systems and

involvement of civil societies and other organized groups in the city can be considered the building blocks.

Beginning 2005, Homa Bay merged the CDS and LASDAP committees to form a common development forum which identified the following plans for the next five years:

1. Opening up of access roads in the informal settlements and peri-urban areas.
2. Provision of adequate water.
3. Extension of electricity supply in the town, to cover peri – urban areas and informal settlements to reduce insecurity.
4. Renovation of the sewer lines in Homa Bay for enhanced sanitation standards

Although most of these proposed projects target the mainstream LATF funding, it is also important that the city recognizes the enormous financial need to bring all these to fruition unless external prospects are taken into consideration and approached.

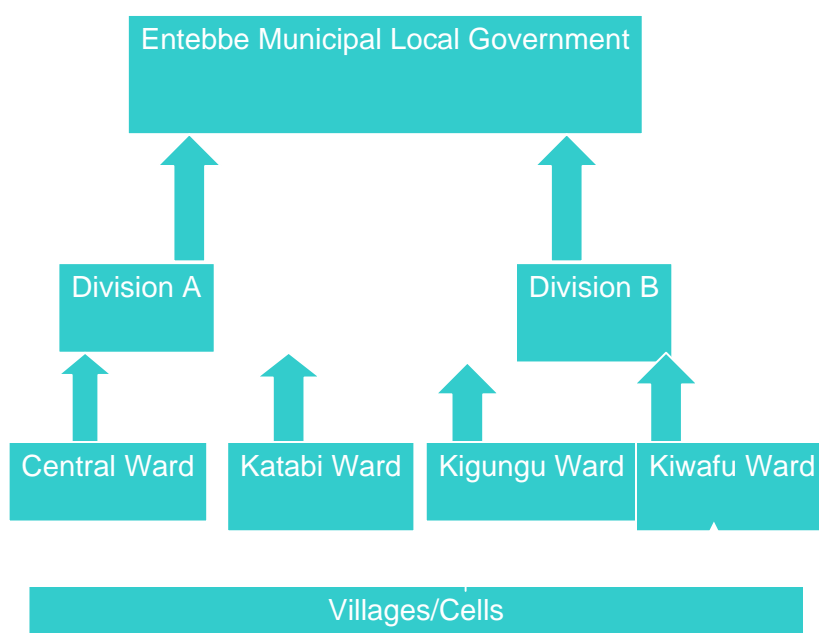
The Council Committees of LASDAP / CDS will be open to treat HIV/AIDS both as a threat and as a cross-cutting mainstreaming issue. The Municipal Council of Homa Bay has already formed a response action group to main-stream HIV/AIDS at inter-sectoral levels under UN-HABITAT/MDP-ESA lead.

#### **Entebbe Municipal Council: Integrating CDS into existing Local Authority Plans**

The paper was presented by Namubiru Jackie, an economist/planner for the Entebbe Council. Ms. Namubiru gave an outline of the local government system in Uganda which is based on the policy of decentralization. The decentralization is enshrined in the 1995 Constitution and further detailed in the 1997 Local Governments Act. Before decentralization, identification of projects was mainly done by technical officers at the Central Government level and /or development agencies, with little or no involvement of beneficiaries. However, under decentralization, emphasis has been put on bottom-up planning.

Under the bottom - up planning process, emphasis is put on “Community demand driven projects”, and therefore the need for effective participation of beneficiaries at all stages from identification, analysis, planning, implementation, management, monitoring and evaluation of project.

## The Conceptual Framework of the Participatory Development Planning/Budgeting process for Municipal Local Governments in Uganda



The key issues in the development planning / budgeting process in Uganda include feedback on the progress of development projects, vision and goal setting, situation analysis (SWOT), strategies for minimizing weaknesses / threats and maximizing strength / opportunities, poverty / livelihood analysis, strategies to address poverty issues, gender analysis, analysis of the existing environmental issues, project identification and prioritization, and formulation and approval of the 3-year Development Plan by respective the councils.

### Integration of the CDS in the Development Planning Process

Key Stages in Development Planning	Integration of CDS
Situation analysis including SWOT	The City profile forms the basis for situation analysis in the Dev't plan
Strategies for minimizing weaknesses/Threats and maximizing strength/Opportunities	Strategic Action Plans & Strategic Investment Plans identified in the CDS process are captured in the overall strategic initiatives in the Development Plan
Poverty/Livelihood analysis and strategies to address poverty	The poverty issues identified during the CDS process directly enter into the poverty/livelihood analysis in the development plan
Analysis of the existing Environmental issues & mitigation measures	Environmental issues and mitigation measures identified during the CDS process are included in the Investment profiles in the Development Plan
Project identification & Prioritization	SAPs & SIPs identified during the CDS process are included in the investment profiles in the Dev't Plan
Formulation & approval of the 3 year Development Plan	The City profile, SAPs, SIPs are all incorporated in the Development Plan.

## **Kampala City Council: Revenue Enhancement**

The paper was presented by Mr. Basil Bataringaya, the Deputy Director Finance in the Kampala Council. Mr. Bataringaya told the meeting that a city's main mandate is to provide services to their citizens, but they face financing problems and they therefore need to build local revenue capacity to finance their programs.

The current revenue sources for the Kampala Council include taxi parks, business licenses, rent revenues, street parking, land premium, property rates, etc. with property rates as their main potential.

The current problems in Kampala include unplanned development, unreliable databases and inaccurate data, non-tax compliant citizens, poor accountability to citizens (information and services), capital financing problems, and lack of basic infrastructure that would encourage citizens to pay taxes.

The Kampala Council has put in place a revenue enhancement plan that will use Land Information Management System (LIMS) to fulfill the need for MIS to capture and manipulate data that take place on land in the city and link LIMS to GIS to help collect rates.

Revenue enhancement plans prepared by KCC include SFR 1 (1997-2004) which contracted out revenue management by promoting public-private partnerships, and divested KCC from non-core activities and SFR 2 (2005-2015) which called for FRAP, increased capacity building and restructuring to have an efficient staff that is paid on time. New sources of revenue have been suggested including taxation on idle land, community and user charges. The council is however mindful of whether the people have taxable capacity.

KCC is building compliance in the community through accountability and transparency using a public awareness campaign, councillor's education programmes on the need to pay taxes, linking taxes to service (75% of rates has to go to provision of services by law), and operating in business like culture by reducing bureaucracy.

The council has encountered roadblocks including lack of capital finance to carry out investments and lack of adequate human resources capacity to manage cities. However the government of Uganda has invested in training of financial professionals and other capacity building under LGDP.

KCC needs capital financing to create a future revenue base for sustainable development, concretize and increase on capacity building. Revenue enhancement is crucial for city development and there is need for initial capital funds and development of human capacity. There is also need for more involvement of the international community to take these cities out of the vicious cycle and launch them on the development path by providing initial capital funds (confessional loans) and capacity building.

## **Musoma Town Council: Local Economic Development**

The paper was presented by Mr. Benjamin Maziku, the former Musoma Town Engineer (presently with the Dar es Salaam City Council). Mr. Maziku gave the meeting a brief background information on Musoma. He stated that Musoma was founded in the late years of 19<sup>th</sup> century by Germans as a fortification centre. It played an administrative and service centre role after 1945 under British rule and then became the regional headquarter of Mara Region after independence in 1961.

The population trend of Musoma has steadily increased from 37,948 in 1968, to 67,678 in 1978 and 108,242 in 2002. Musoma's present estimated population is 120,000 at a growth rate 3.8% per annum.

Economic activities in Musoma include fishing and other fishing related activities which accounts for 70%. The fish is for the domestic and export markets. Farming in the peri urban areas takes 5%. This includes vegetables, cucumbers, okra, and poultry rearing.

Trade and commerce takes a further 18% i.e. markets, financial institutions and transportation, while employment in public sector takes only 2% of the working population. This includes teachers and health staff workers.

The informal sector in Musoma makes up 5% of employment. This includes petty traders, fish mongers, food vendors/stalls, second hands goods carpentry, masonry and blacksmithing.

## **LVRAC: The Role of Local Authorities in Mobilizing Resources**

The LVRAC paper was presented by Mr. Peter Mawerere, of the LVRAC -Tanzania chapter. Mr. Mawerere informed the meeting that local authorities in the East African region belong to a number of associations examples of these include Uganda Urban Authorities Association for Urban Local Authorities, the Uganda Local Government Association for District Local Governments, the Association of Local Authorities in Tanzania [ALAT], the Association of Local Government Authorities in Kenya and so on. Local Authorities have formed and joined such Associations to promote their rights and interests. These Associations play an important role in the mobilization of resources for their members and this is done in a number of ways.

The presentation focus on the role of the Lake Victoria Region Local Authorities Cooperation which is an association of Local authorities in the Lake Victoria Region formed in 1997 to promote sustainable and co-coordinated development in the region. Currently LVRAC's membership stands at 60.

LVRAC's Mission is to strengthen the capacity of Local Authorities in the Lake Victoria region, to promote and explore co-operation with national governments, the donor community, the private sector and CBO/NGOs and to serve as a mouthpiece for the interest of Local Authorities in the Lake Victoria Region.

LVRAC strongly believes that if the Local Authorities in the region are facilitated to realize the above objectives then they would in a better position to mobilize resources for their sustainable development as explained below.

Though LVRAC's extensive contacts with government Agencies non Government Organizations, regional organizations as well as multilateral donors LVRAC has managed to mobilize financial resources that have enabled its members to build the capacities of their staff and elected officials in terms of skills and knowledge and raising their awareness on a number of issues that are crucial to efficient service delivery. Through several workshops and seminars and exchange programs between member local authorities and its counter part, the Union of Baltic cities several technical staff and councilors from Local authorities across the region have benefited from the knowledge, skills and experiences from these programs that have greatly enhanced their capacity to perform and deliver services more efficiently and effectively. In this way the LVRAC has played a key role in building and strengthening the capacities of the human resource among its members.

As a networking organization LVRAC has been able to mobilize financial resources from its extensive contacts with donors, multilateral agencies and it has been able to assist some of its member local authorities to implement projects that have benefited the people in these local authorities and have had a positive impact on service delivery such projects include the EPC in Kisumu, the communication project in a number of Local authorities which has enabled many of the member local authorities to acquire E-mail



services hence improving the communication and networking between the members Local Authorities in the region.

LVRLAC other objective is promoting tourism in the region. This is done through cooperation with the national boards for tourism and associations related to tourism, building the capacities of the Local Authorities in the region to promote ecotourism, cultural tourism, game sport and fishing. Efforts are also being made to provide information and raise awareness on the importance of Lake Victoria as a tourist attraction. By doing so it is expected that if the huge tourist potential that the region has is tapped it will help the local authorities in the region to realize a lot of income from tourist related activities which in the long run will help in raising the incomes of local authorities and enhancing their capacity to deliver services, increased tourism will also lead to development of infrastructure like roads, hotels etc and a reduction in the poverty levels in the region. Therefore in promoting tourism, LVRLAC is playing an important role of helping its member Authorities to mobilize the badly needed resources for development.

LVRLAC has one of its objectives to provide a regional policy framework for member local authorities in effecting Participatory Planning and Management towards realizing well planned Urban and rural settlements and improved infrastructure facilities. LVRLAC recognizes the absence of Urban and Rural Planning and development with resultant uncontrolled human settlements and deterioration of economic and social activity across the region. LVRLAC plans to achieve this through capacity building of the Local Authorities in the areas of physical planning, promoting the participation of women, raising awareness and advocacy. LVRLAC and its members recognize that well planned urban and rural settlements are a prerequisite for sustainable development and therefore very important if the region is to attract foreign investments, this will result into availability of more resources for the Local Authorities.

Through the promotion of good governance in the region, LVRLAC hopes to promote accountability, transparency and the efficient mobilization and utilization of resources by its members. Good governance represents a number of positive characteristics of Public Administration, which is just, efficient and accountable. It does not include political democracy but presupposes it implicitly and it is recognized as one of the corner stones of economic growth and development and is very important at the Local level since it is at the local level that the government interfaces with the Citizens. LVRLAC acknowledges that Local Authorities are obliged to provide services to the citizens in their areas by putting into practice governance where everyone regardless of wealth, age, gender, race, religion participates productively and positively in the affairs of their Local Government. Good governance therefore will ensure the optimal utilization of the scarce resources and will reduce waste and corruption.

LVRLAC therefore is aware and supportive of the various ongoing initiatives by the national governments of Kenya, Uganda and Tanzania in improving Local governance through application of various decentralization and participatory models. This is being done through promotion of accountable and transparent governance, which is responsive and beneficial to all sectors of society. Good governance therefore has a direct bearing on

how the Local Authorities efficiently and effectively mobilize and use resources for the sustainable development of society.

LVRLAC also mobilizes resources through advocacy and networking. This is done through the involvement of relevant organizations in workshops and seminars to identify best practices and formulation of cooperation projects. LVRLAC uses its well-established contacts with EAC, National governments and the Donor community to promote local authorities as key players for the improvement and development in strategic areas mentioned earlier and promotion of sustainable development. LVRLAC will also further develop its already well functioning co-operation with its sister organization, the UBC which has been instrumental in linking it up with other donors and development partners. LVRLAC current membership is 60. The aim is to expand the membership to more than 100 members within the next 5 years and to ensure that potential members receive regular information on LVRLAC and other aspects of sustainable development making it a credible regional organization with enormous resources at its disposal for the sustainable development of its members.

Through poverty reduction and likelihood improvement of the people in the lake region, LVRLAC hopes to mobilize resources both financial and human for sustainable development. LVRLAC acknowledges and recognizes the prevalence of widespread poverty in the region as a result of limited exploitation of natural resources; this is attributed to ignorance and illiteracy, poor attitudes towards work, poor saving cultures for investments, lack of capital and appropriate technology for wealth creation. LVRLAC focuses on the Poverty Strategies of the 3 countries as its point of reference for activities and is working towards similar and harmonized legislation placing responsibility for developing favorable environment for small and medium enterprises with the local authorities. Small and medium sized enterprises policies will be established to encourage the growth of this level of enterprise while at the same time focusing on improved and better-targeted social services. LVRLAC also promotes the coordinated regional sensitization and training programs targeting both men and women and establishing collaborative networks with civil society organizations in implementing common poverty strategies. Through Its poverty reduction strategy, LVRLAC will be able to mobilize and develop resources both financial and human for the sustainable capital development of the region.

LVRLAC recognizes that sustainable development cannot be accomplished without equality between men and women. LVRLAC therefore promotes gender mainstreaming, which means that a gender perspective will be integrated in all its policies, plans and activities. This is being done by understanding their needs, problems and priorities during the planning process and in decision-making. Deliberate efforts are made to ensure that there is a clear gender perspective to most problems the region faces. Women participation in all activities is promoted as well as their representation in all levels in the Local Authorities as well as in the LVRLAC Organization. In doing this LVRLAC hopes to mobilize and build the capacity of the largest part of the human resource, which hitherto has been marginalized and yet is critical for sustainable development.

LVRLAC recognizes that Lake Victoria is a shared resource among the countries in the Lake region. A large proportion of the people in this region are dependant on the exploitation of the lake for their survival. However this is being constrained by unsustainable resource exploitation patterns and environment degradation leading to high poverty levels in the region. LVRLAC recognizes that communities, agriculture and industries in the region significantly contribute to the deteriorating state of the lake's environment and the depletion of the natural resource base. This mainly results from the unsustainable utilization, discharge of sewerage, industrial and agro effluent and water run-off into the lake. Because these problems are beyond the confines of a single local Authority, LVRLAC as regional organization is better strategically placed to work on these issues. LVRLAC hopes to achieve this through building the capacities of its members in environmental and ecological improvement, facilitating Local Authorities to put in place natural resource bye-laws, promoting the use of appropriate methodologies in infrastructure development by the member local Authorities and advocating for the sustainable use and management of the lake resources in the region. In this way the Lake as a shared resource for the local Authorities in the three East African countries will be preserved and protected and its resources sustain ably exploited for the benefit of the people of the lake region.

LVRLAC is aware of the poor environmental health and sanitation conditions in the local authorities in the lake region. This has significantly contributed to the high prevalence of diseases in the region. The Public health facilities are few and inadequate. The health problems are also closely linked to the behavioral patterns. Households use lake water for drinking and washing and there is a low awareness among the citizens of health hazards and nutritional standards. The main cause of these conditions is inadequate facilities for waste management within the Local Authorities and poor agricultural practices including fisheries. The majority of the people in the Lake region reside in informal settlements which are characterized by congestion and poor living conditions, which in turn increases considerably the risk of disease infection and spread. Furthermore, proper health care is unaffordable to the majority of the poor people resulting into loss of human life and productivity of the human resource. Matters are further complicated by the widespread prevalence of HIV/AIDS, which threatens and hinders social economic development LVRLAC champions the promotion of improved health and sanitation through building partnerships with the relevant health and sanitation agencies and by liaising with major actors in the HIV/AIDS to establish linkage with the LVRLAC membership as well as advocacy and networking of different organizations dealing with HIV/AIDS and provide support member councils in the areas of information and awareness raising. Improved health and sanitation is crucial to a healthy and productive population in the lake region. Population is an important resource in the development of any country. It is recognized therefore that in the process of implementation of the strategic plan LVRLAC plays an important role in mobilizing the needed resources for the sustainable development of its member Local Authorities. LVRLAC also utilizes its well-established contacts with the East African Community, the national governments and the donor community to mobilize resources for its members.

## **Bukoba Municipal Council: Accessing External funds**

The paper was presented by Mr. Hamis Yunah, the municipal economist. Mr. Yunah told the meeting that donor funds are aimed at improving the living standard of people, increase growth and reduction of income poverty, improvement of quality of life and social well being and governance and accountability.

Mr. Yunah stated that the sources of funds for local authorities include donors and aid agencies. According to him, donor agencies provide 20-40% of public resources in most low income countries. The financing and disbursement of external funds should adhere/comply with conditions for disbursement and loan assurances. Project financing is the contribution by different financiers towards various categories of project activities. The disbursement of donor funds should comply with eligible expenditure for funding, the release of funds and withdrawal of funds for eligible expenditure.

The financial management information system should produce accounting reports, budget document, budget monitoring reports, personnel data reports, data inputs to plans and statistical reports.

Donor funds assessment follows the criteria of improved accountability and administration of donor funds, building donor harmonization of results, assessment results used by sector teams to sharpen and reorient and improving aid effectiveness - opportunities (globalisation deeper concern for global stability).

The results and impact of donor funds can be assessed through high quality reporting of results and impacts is essential for maintaining support from donors. The results include mobilization of investment capital, covering of the outcomes, productivity growth - presenting the impact of assistance provided, and legal and regulatory reform -reporting the impact of reform assignments in terms of the changes that occurred after the projects were completed.

The impact assessment of contribution of donor strategy to decentralization shows that ownership of project activities by the beneficiary communities, empowerment of beneficiaries, beneficiaries capacity / ability to monitor and evaluate, and relevance with country and project objectives and contribution of project design to decentralization through civil service reform by transferring staff to the district administrations, strengthening their implementation capacity and increasing their ability to use development/ donor funds.

Institutional impact of donor strategies and interventions achievement of planned targets. The impact on rural/urban poverty leads to increased beneficiaries access to skills, knowledge, possession / ownership of physical and financial assets, human assets, and improved environmental management, strengthening of institutions, policy and regulatory framework.

The impact on physical and financial assets through possession of assets (house, bicycles, radio and other durables), improved infrastructure, access to markets (transport ,roads, storage and communication facilities), financial assets (savings and debts), access to financial services credit, savings and insurance), security in access to assets

The impact on human assets through improved children nutritional status, access to portable water, access to basic health and disease prevention services, access to primary education ,reduced women and children workload, adult literacy rate ,access to information and knowledge ,professional skills to undertake project implementation.

The impact on environmental practices and common resource base through participation in tree planting (improved natural resource base status) improved sanitation, land quality, reduced water pollution, increased area under forest cover and quality pasture in the project area.

However donor aid and delivery systems may influence spending patterns and budgetary process in a negative manner. Aid agencies operate at different levels. They work with line agencies, through providers under local governments, directly with frontline providers like health, clinics or schools, and/or through individual projects. Due to the weakness of the formal line agencies (inadequate capacity, corrupt public institutions etc), aid agencies circumvent provider organizations and sometimes approach communities and user groups directly and set up of autonomous project implementation units. This leads to negative results by undermining local capacity building, creating of salary distortions, weakening the policy maker-provider/beneficiary link and prospects for sustainability. It also leads to capture of benefits by elites. Policy makers are not encouraged to develop their own strategies and there is less incentive to formulate strategy.

The input mix in aid financed public spending differs from that in recipient spending. Donors frequently provide more technical assistance (example vehicles) than the recipient would generally purchase. Regarding availability of data, much better data on domestic funded expenditures exists e.g. donor projects of ten summarized in only one line in the budget sheet.

Donors may affect the recipient's patterns and budgetary process in many ways. Donors frequently support only capital outlays, expecting government to cover operational expenses. They may also fund projects that governments are not interested in and provide aid to a priority sector and expect government to continue regular funding for others. As a result, Governments often readjust their own allocations. Donors often set targets for the share of spending in particular sectors as conditions for aid flows. This may distort the recipients public spending.

The drawbacks of donor funding include high fragmentation with too many projects, none work efficiently, many projects each with small share of total aid, low stake in the country /regional overall development, high transaction costs for recipients, official's time, drafting of reports, hosting delegations, etc.

Donor agencies continue in their ways because aid agencies want to be able to identify their own contributions often through "distinct" projects. They need to show taxpayers quick results (NGOs to contributors) which become easier when they are in charge of interventions. Frequently the policy makers in donor countries align with their supporting interest groups who want to fund similar groups in the recipient country. Many donors also limit the market for aid services and supplies to their own nationals (tied aid) and they are often more comfortable with service delivery systems of the type operating in their countries. Bilateral donors distribute their aid budgets across a large number of recipients and sectors to increase visibility of their programs or reward diplomatic support.

The aid agencies should work towards harmonization harmonizing donor support around recipient systems (pooling of resources), sector wide approaches integration of government and donor activities within a sector (no detectable difference between donor and government programs), budget support (vs. project aid) allocating relief to priority sectors through the recipient's budget and strengthen the long-term service delivery system regardless of the short and medium term support.

The aid recipient has to prepare logical and rational development programs attractive project proposals and an effective budgetary system.

## **Day 3: Thursday, 12<sup>th</sup> January 2006.**

### **Financing Toolkit Outline**

The financing toolkit outline was done by the Centre for Development and Planning Management (CDPM). After the brief outline of the toolkit already prepared, the groups were divided into working groups to deal with the topics covered. The groups also dealt with the capacity building aspects of the City Development Strategy.

#### **Working Group 1**

The group dealt with revenue enhancement. The group recommended that when integrating CDS into the existing local authority plans and budgets, the council approval and political will is needed. The council should also undertake self assessment of resources (human, technical, etc.) and identify budget gaps and agree on priorities. The next step recommended was to establish a CDS team and engage in participatory budgeting in order to institutionalize the CDS.

In order for the council to understand its own revenue sources, it should undertake self assessment of own revenue sources. The council should then analyze and identify potentials, list existing impediments e.g. legal framework and prepare mitigation plans to deal with these. The group recommended that the council explore other available sources in mandate e.g. loan from Local Government Loan's Board (LGLB).

In preparing a revenue enhancement plan the group recommended that the council first assess revenue potential. This would lead to the broadening, widening and diversifying revenue sources. The council should also harness underutilized local synergies, local natural resource base e.g. beaches, fisheries, explore opportunities for local economic development e.g. community contracting, micro credit. The council should also explore the human resource base and engage in private-public partnerships (PPP) such as joint venture and commercialization.

The working group recommended that the council forge innovative partnerships to mobilize resources. This can be done through a stakeholder's forum such as the Kisumu Action Team (KAT). The stakeholder's forum involvement in implementation of SAPs and SIPs can therefore add value to CDS implementation.

The group dealt with negotiation skills felt that the Entebbe workshop did a great job and covered the area sufficiently.

They proposed for inclusion in negotiation skills; pre-negotiation skills, the choice of negotiation team and physical appearance of the negotiators (first and lasting impression)

## **Working Group 2**

The group dealt with harnessing of local potentials. They felt that the general flow was okay but it seems preparing the CDS is the main topic and it needs to be explanatory.

In harnessing local potentials councils should identify all local natural resources, underutilization e.g. minerals, beaches, fisheries and identify controller of resources. The council should then prepare a plan for exploitation of local natural resources and negotiate for control of the resources.

The group agreed that human resource capacity needed expansion. Councils should identify their financial skills base, identify any need for human resource development and available skills and talents e.g. technical engineer, governance linkages. They should then identify required skills/capacity and existing gaps, identify and utilize entrepreneurial skills, local cultural potentials e.g. crafts, traditional dancers, etc., exploit local cultural potential and develop measures to fill skills gap

The group recommended that councils should profile local groups for LED initiatives, identify existing groups and encourage formation of new groups, and support groups through capacity building. They should also profile possible development partners and rediscover and utilize existing indigenous knowledge e.g. artisans, craftsmen.

The group recommended teamwork and teambuilding with the goal of resource mobilization. Councils should have a policy to involve others, mechanisms for conflict management, identify their tasks e.g. data collection, proposals, MoU, form team and allocate tasks that will involve local and development partners, and agree on group working modalities (leader, duties). They also recommended that councils agree on progress report format and timing and be clear on team motivation and recognition.

## **Working Group 3**

The group dealt with forging innovative partnerships. It was agreed that in order to forge innovative partnerships to mobilize resources, they need to develop Terms of reference for the CDS team. They also need to involve the CDS team and Stakeholders in designing, implementation and monitoring, profile existing partnerships, sensitize partners and stakeholders on CDS, and establish the CDS team.

The council needs to secure the commitment of partners and stakeholders to support implementation e.g. through MoU and conditional resolutions. Mechanisms for measuring, capturing and documenting partnerships need to be developed while partners involvement in implementing CDS should be ensured. There needs to be a commitment to continuously profile new partnerships.

Regarding networking skills, the group agreed that public relations, clear articulation of ideas, negotiation, persuasion, presentation, and political (manipulation) skills are vital to the process.



Good ICT, communication, information sharing and dissemination skills are also a crucial aspect to forging innovative partnerships for resource mobilization.

The group also dealt with lobbying and advocacy skills that are required. It was agreed that political skills, communication skills, knowledge of the subject matter and of the area of strength for the person you are lobbying are important aspects. The group identified public relations, inter personal, persuasion and perseverance skills as crucial skills in the game. Commitment to own course, working to timelines and ability to articulate ideas were also identified as critical skills.

#### **Working Group 4**

The presentation on accessing external funds was made by Mr. Thaddeus Buberwa of Musoma Council. Mr. Thaddeus Buberwa began the presentation on tapping beyond own resources by explaining that the Municipal/city treasurer and focal point person identifies external resources, and may, out of necessity, co-opt others.

Sources of external funds can be identified through the Internet, conferences and seminars, local authorities associations, central government ministries, and the yellow pages.

In applying for external resources potential recipients should know donor format for application, prepare document abiding to donor requirement, obtain required approval from relevant authorities and make a timely submission. There is need for sustaining focus and abide to financing agreement. Variations if any should be agreed upon by both parties. Proper record keeping and regular reports on physical implementation and finances as well as participatory monitoring and evaluation were recommended.

The group also dealt with proposal writing. It was recommended that a proposal must have a project title, introduction, background, problem statement, project justification, the beneficiaries, objectives, methodology used, the expected output, activities, impact, resources and budget, logical framework analysis, risks and assumptions, sustainability, monitoring and evaluation, and the actors.

The fundraising skills agreed on by the group are knowledge and understanding of the issues, lobbying and advocacy, communication, negotiation, networking, teamwork, data collection and analysis, information sharing, marketing and inspirational leadership.

The group recommended that in order to fundraise effectively, the council should form a fundraising committee and draw up a fundraising plan. The committee should have an objective for the fundraising. Methods of fundraising, the people involved a budget, timeframe, implementation and feedback are important aspects of the whole process.

## **Day 4: Friday, 13<sup>th</sup> January 2006.**

### **Agreeing on the Financing Toolkit and the Way Forward**

This session was directed by Professor Lewa of USIU. After going through a number of possible titles it was agreed that “Guidelines for Preparation of the Financing Toolkit” was the most suitable.

The plenary agreed that to ensure success and sustainability of the process, integrating CDS into existing local authority plans and budgets is crucial. This would entail securing council approval/political will, harmonizing the existing Local Authority plans with the CDS strategy, undertaking self assessment of own resources, identifying budget gaps and agree on key priorities and institutionalizing the CDS

Regarding revenue management it was agreed that in order to understand your own revenue sources the council must analyze and identify the potentials, list existing impediments e.g. legal framework and prepare mitigation plans to deal with impediments. Other available sources of financing in the council mandate such as loans, bonds, grants, etc. should also be looked into. The council should prepare revenue enhancement plans that broaden, widen and diversify revenue sources, and harness underutilized local synergies. Local natural resources base e.g. beaches, fisheries should be assessed for revenue potential and opportunities for Local Economic Development e.g. community contracting, micro credits, human resources based, explored.

The councils should look into possibilities for Public Private Partnerships including joint ventures and commercialization. Revenue mobilization in form of soliciting partners and alliances and marshalling resources should also be explored. In terms of revenue management, the council should set efficiency targets, make effective utilization plans and revenue optimization measures. The level of impact (utility) needs to be assessed.

The council should identify all local natural resource base, identify underutilization e.g. minerals, beaches, fisheries, identify controller of resources and negotiate for control. The council should then prepare a plan for exploitation of local natural resources. In the area of human resource capacity, the council should identify existing skills base, identify any need for Human Resource development, identify available skills and talents e.g. technical engineer, governance linkages. Once identification has been done the Council should assess required skills, identify existing gaps, identify and utilize entrepreneurial skills, identify local culture potentials e.g. crafts, traditional dancers, etc. This local cultural potential should be exploited and measures developed to fill the skills gap.

Profiling local groups for Local Economic Development initiatives should be done by identifying existing groups, encouraging formation of new groups and supporting groups through capacity building.

The council should profile possible development partners, re-discover and utilize existing indigenous knowledge e.g. artisans, craftsmen and use opportunity for LED such as community contracting, micro credit, etc.

To ensuring inclusivity in forging innovative partnerships to mobilize resources should follow the principles of ownership of the partnership by the stakeholders, sustainability, ensure all resources are utilized, and encourage more partnerships.

The Council should profile existing partnerships, sensitize partners and stakeholders on the CDS, and commit partners and stakeholders to support implementation (e.g. through MoU, Council Resolution, Joint Ventures, Citizens Charter, Peer Review mechanism, Stakeholders Forum e.g. Kisumu Action Team)

The Council needs to develop mechanisms for capturing, documenting, measuring partners involvement in implementation of CDS. Ownership of the partnership by the stakeholders and continuous profiling of new partners should be emphasized.

Tapping beyond own resources by accessing external sources shall be done municipal/city treasurer and CDS focal point though they may co-opt others. The council should therefore identify external resources (multilateral sources, regional banks, etc.) Possible sources of information on resources include the Internet, conferences and seminars, LA associations, central government ministries, and yellow pages.

The Council should understand external resources criteria/requirements (sectoral preference) through profiling various sources, understanding areas of interest and preferences, global trends, know donor format for application and establish contacts and linkages with LAs. When applying for external resources, the Council should know donor projects identification and prioritization as in CDS. They should prepare documentation for presentation to donors and observe submission protocols (time, formats, annexes, etc.) There is need for sustaining focus and abiding to financing agreement. Any variation if any should be agreed upon by both parties. Regular keeping and regular reports on implementation and finances and participatory monitoring and evaluation are recommended. Possible sources of external resources include municipal bonds, grants, awards, bequeath, loans, and FDIs.

### **Closing Remarks**

The closing ceremony for the meeting was held against the backdrop of the elevation of Kisumu City as the first Millennium City in the world by the special advisor to the UN Secretary General, Professor Jeffrey Sachs. All participants praised the move and challenged the cities to come up with quality CDS documents that would attract FDIs to their respective cities and the lake region in general.

# Annex 1: Proposed Financing Toolkit

## Introduction

The main purpose of Phase II of the Lake Victoria City Development Strategies (CDS) programme which started in 2004 is to develop a regional approach to improved urban environment and reduce poverty in the Lake Victoria region. This will be achieved by promoting networking of cities and towns around Lake Victoria, sharing the experiences of the Phase 1 cities and supporting the development and implementation activities within a regional dimension.

The second phase aims at creating a platform for assisting the cities to mobilize finances for implementing the investment plans. This component of the second phase deals specifically with the financing of investment plans produced in the CDS process. There is now a need to strengthen the programme organization with expertise regarding financing of local investments.

The format of the Financing Toolkit is presented in 3 main parts:	Part A	Financing the CDS
	Part B	Resource mobilization skills for cities
	Part C	Yellow Pages (Resources

## Objectives

- 1) To strengthen internal and external resource mobilization of Lake Victoria CDS cities
- 2) To institutionalize the CDS participatory process, including capacity building of the local authorities to strengthen the application of participatory planning and budgeting
- 3) To build capacity of Lake Victoria cities in necessary skills to utilize the toolkit

## Expected Outcomes

- A toolkit for strategic decision-making regarding financing options for implementing the investment plans in the CDS process
- An inventory and comprehensive compilation of all the existing or “in pipeline” Financing Facilities for which local governments in Lake Victoria Region are eligible to apply including grant-based, credit and guarantee facilities, facilities for micro-credits operating on a city-wide scale or wider
- A Financing Toolkit that can enable local governments to easily obtain information on what options are available for external financing of various components, complete with focus areas and eligibility criteria, delimitations, and contact details
- Ideas on mainstreaming of the CDS plans into municipal financial planning processes
- Identification of the possibilities for local fund-raising through savings schemes, local capital markets etc.
- Identification of skills required by cities to utilize the toolkit
- Establishment of a network of strategic partners for effective financing of the CDS.

## Target Audience

The target audience for the proposed Financing Toolkit for the Lake Victoria region City Development Strategies is the local authorities around the Lake Victoria basin region, specifically Bukoba and Musoma (Tanzania), Entebbe and Kampala (Uganda), and Homa Bay and Kisumu (Kenya), who have or are in the process of preparing CDS/Investment Plans. Target groups for the Financing Toolkit activities should be the relevant staff at the municipalities and the CDS task forces that have been established in each city. It is hoped that the success of the CDS process in these six municipalities will be replicated across the Lake region municipalities.

## Part A: Financing the CDS

### Steps in the Financing of a City Development Strategy

#### Preparing the CDS “A prerequisite to attract finances”

- What is CDS?
- Why is CDS necessary?
- The need for a broad based and inclusive CDS
- Packaging Strategic Action Plans (SAPs) and Strategic Investment Plans (SIPs) [SMART]

#### Integrating CDS into existing local authority plans and budgets “Ensuring success and sustainability”

- Establish CDS team
- Participatory budgeting Council approval/political will is needed
- Harmonizing the existing Local Authority plans with the CDS strategy
- Undertaking self assessment of own resources (human, technical, etc.)
- Identifying budget gaps and agree on key priorities
- Institutionalizing the CDS

#### Understanding your own revenue sources “Revenue management”

- Analyzing and identifying the potentials
- List existing impediments e.g. legal framework
- Prepare mitigation plans to deal with impediments
- Other available sources of financing in the council mandate such as loans, bonds, grants, etc.
- Prepare revenue enhancement plans:
  - Broadening, widening and diversifying revenue sources
  - Harness underutilized local synergies
  - Local natural resources base e.g. beaches, fisheries
  - Assess revenue potential
  - Opportunities for local economic development e.g. community contracting, microcredits, etc.
  - Human resources based
  - PPP (Joint venture, commercialization, etc.)
- Revenue mobilization
  - Soliciting partners and alliances
  - Marshalling resources
- Revenue management
  - Efficiency targets
  - Effective utilization plans
  - Revenue optimization measures
  - Level of impact (utility)

#### Local Potentials “Harnessing underutilized local synergies”

- Identify all local natural resource base
  - Identify underutilization e.g. minerals, beaches, fisheries
  - Identify controller of resources
  - Negotiate for control
- Prepare a plan for exploitation of local natural resources
- Human resource capacity
  - Identify existing skills base
  - Identify any need for Human Resource development
  - Identify available skills and talents e.g. technical engineer, governance linkages
  - Assess required skills
  - Identify existing gaps
  - Identify and utilize entrepreneurs skills
  - Identify local culture potentials e.g. crafts, traditional dancers, etc.
  - Exploiting local cultural potential
  - Develop measures to fill skills gap
- Profiling local groups for Local Economic Development initiatives
  - Identify existing groups
  - Encourage formation of new groups
  - Support groups through capacity building
- Profile possible development partners

- ❑ Re-discover and utilize existing indigenous knowledge e.g. artisans, craftsmen
- ❑ Opportunity for local economic development such as community contracting, microcredit, etc

### **Forging innovative partnerships to mobilize resources “Ensuring inclusivity”**

#### Preamble/Principles

- Ownership of the partnership by the stakeholders
- Sustainability
- Ensure all resources are utilized
- Encourage more partnerships

- ❑ Profiling existing partnerships
- ❑ Sensitize partners and stakeholders on the CDS
- ❑ Commit partners & stakeholders to support implementation (e.g. through MoU, Council Resolution, Joint Ventures, Citizens Charter, Peer Review mechanism, Stakeholders Forum e.g. Kisumu Action Team)
- ❑ Develop mechanisms for capturing, documenting, measuring partners involvement in implementation of CDS
- ❑ Ownership of the partnership by the stakeholders
- ❑ Continuously profile new partners

### **Accessing external funds “Tapping beyond own resources”**

- ❑ Identifying external resources (multilateral sources, regional banks, etc.)

#### Who identifies external resources?

- Municipal/city treasurer and focal point person, may co-opt others

#### How do we identify?

- Internet
- Conferences and seminars
- Local authorities associations
- Central government ministries
- Yellow pages

- ❑ Understanding external resources criteria/requirements (sectoral preference)

- ❑ Applying for external resources

- Know donor format for application
- Prepare document abiding to donor requirement
- Obtain required approval from relevant authorities
- Timely submission

- ❑ Need for sustaining focus

- Abide to financing agreement
- Variations if any be agreed upon by both parties
- Proper record keeping and regular reports on physical implementation and finances
- Participatory Monitoring and Evaluation

## PART B – Resource Mobilization Skills for Cities

### Networking Skills

- Pre-negotiation skills
- Choice of negotiation team
- Physical appearance of the negotiators (first and lasting impression)
- Public relations skills
- Clear articulation of skills
- Negotiation skills
- Persuasion skills
- Presentation skills
- Political skills (manipulation)
- Good ICT skills
- Good communication skills
- Information sharing and dissemination skills

### Lobbying and Advocacy

- Political skills
- Communication skills
- Knowledge of the subject matter
- Knowledge of the area of strength for the person you are lobbying
- Public relations skills
- Inter personal skills
- Commitment to own course
- Persuasion skills
- Working to timelines
- Ability to articulate
- Perseverance skills

### Communication skills

- Communication Skills in verbal and nonverbal, written or laid down channels (etiquettes)
- Technical/professional skills: knowledge of facts and figures is power.
- Conceptual skills: leader steering in creating ideas, innovations, actions etc.
- Humor and interpersonal skills: pass the message in the manner the people want it.

### Teamwork and Teambuilding

Team = group of people working together for common good

Goal: resource mobilization

- Have a policy to involve others – mechanisms for conflict management
- Identify their tasks e.g. data collection, proposals, MoU
- Form team and allocate tasks that will involve local and development partners
- Agree on group working modalities (leader, duties)
- Agree on progress report format and timing
- Be clear on team motivation and recognition

### Proposal Writing

- Project title
- Introduction
- Background
- Problem statement
- Project justification
- Beneficiaries
- Objectives
- Methodology
- Expected output
- Activities
- Impact
- Resources and budget
- Logical framework analysis

- Risks and assumptions
- Sustainability
- Monitoring and evaluation
- Actors

## **Fundraising Skills**

### Skills Needed

- Knowledge and understanding of the issues
- Lobbying and advocacy
- Communication
- Negotiation
- Networking
- Teamwork
- Data collection and analysis
- Information sharing
- Marketing
- Inspirational

### How to fundraise

- Form a fundraising committee
- Draw fundraising plan
- Objective
- Methods of fundraising
- People involved
- Budget
- Timeframe
- Implementation
- Feedback



## **PART C – Yellow Pages (Resources)**

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### World Agroforestry Center Lake Victoria Basin Initiative

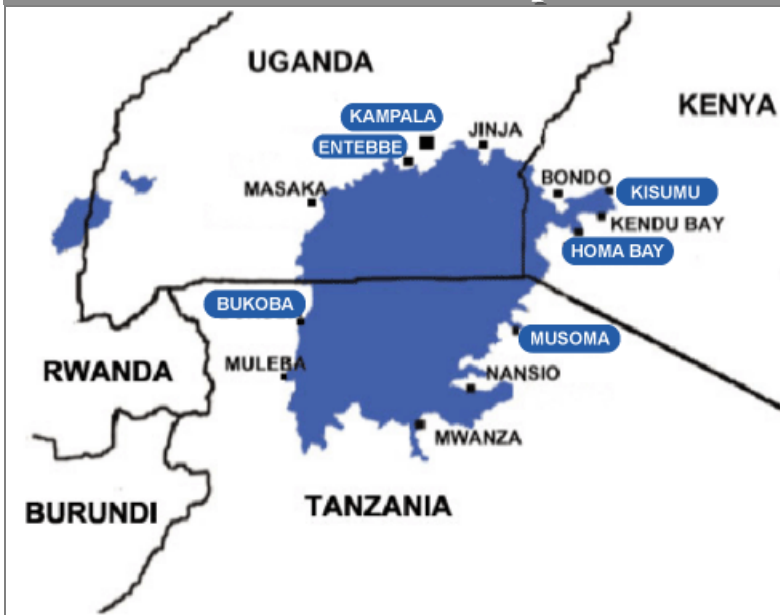
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### What is a City Development Strategy (CDS)?



- ▶ It is an **action plan for equitable growth** in cities
- ▶ It is **developed and sustained through participation**, to improve the quality of life for all communities
- ▶ It is a collective effort of communities and partners aimed at **improving environment and poverty reduction** (quality of life) through organized and sustained strategies
- ▶ It is a **tool to improve city governance** in development issues by laying strong emphasis on participatory planning and inclusiveness
- ▶ CDS is one of the methodologies UN-HABITAT is applying to **articulate the Millennium Development Goals** (MDGs) on improvement of good governance, clean environment for improved quality of life and poverty reduction

### Economic Importance of Lake Victoria Region



#### Facts & Figures about Lake Victoria Basin

**Population:** 30 million  
**Area:** 193,000 Km<sup>2</sup>  
**GDP:** US \$ 5 billion

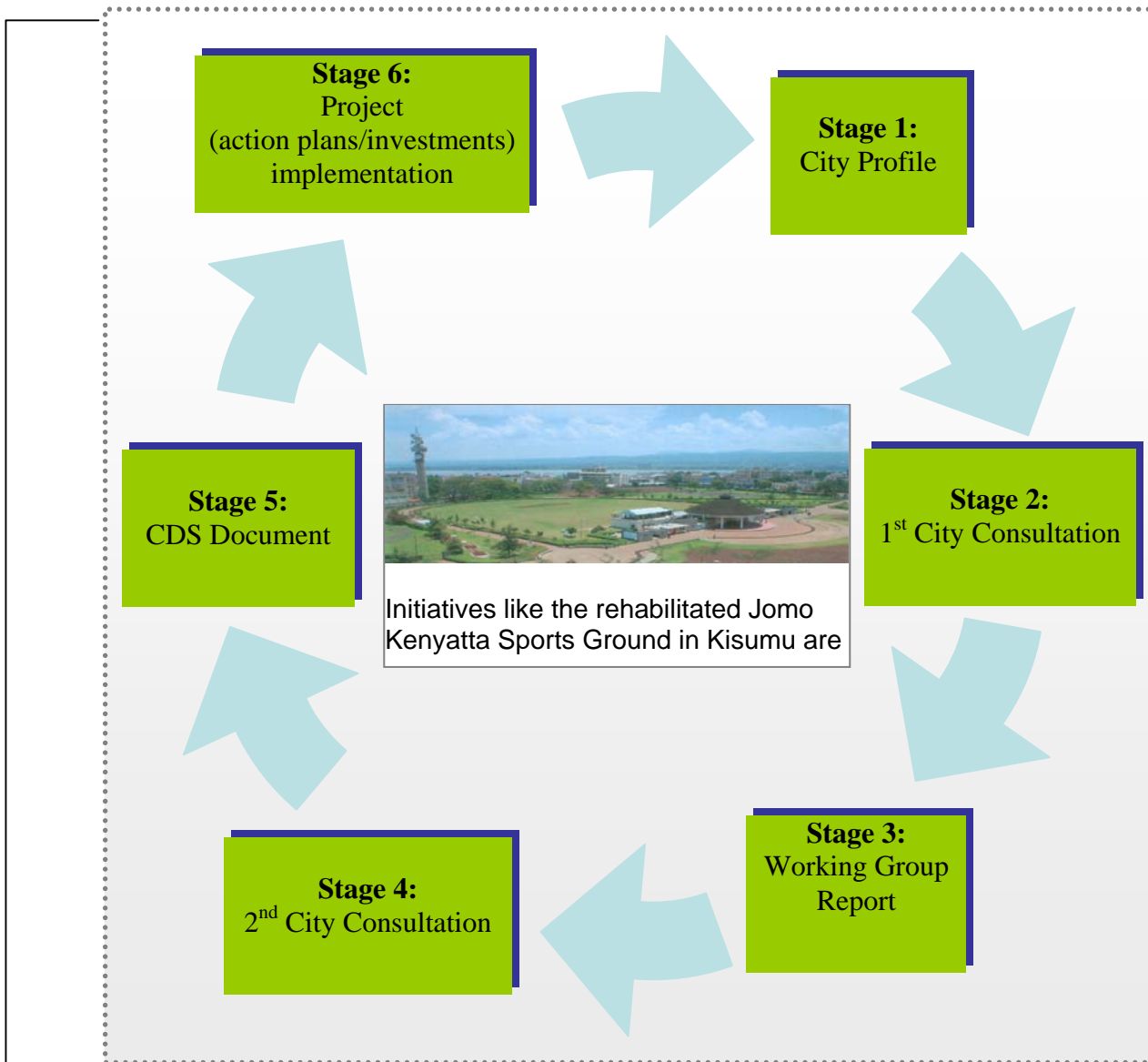
#### Area distribution by country:

<b>Tanzania</b>	: 44%
<b>Kenya</b>	: 22%
<b>Uganda</b>	: 16%
<b>Rwanda</b>	: 11%
<b>Burundi</b>	: 7%

Lake Victoria and its catchment provides livelihood to communities around it and supports a wide range of biodiversity, which is of great significance to both regional and global community.

- ▶ **Lake Victoria is a resource shared** by three countries: Tanzania 49%, Kenya 6% and Uganda 45%, is also a **shared collective responsibility** of the regions local authorities.
- ▶ Lake Victoria covers a surface area of 69,000 km<sup>2</sup> and holds about 2,760 km<sup>3</sup> of water
- ▶ The lake is the second largest fresh water body in the world after Lake Superior in the US and it is the source of the Nile
- ▶ The fish resources of the lake sustain – directly or indirectly – livelihood for about 3 million people
- ▶ The fisheries are an important source of foreign exchange with an annual landed value of US\$ 300 – 400 million

## Stages of the CDS cycle



CDS cycle period depends on the time it takes to complete the CDS document and implementation of the Action Plans and Investment Plans.

In order to implement the CDS in cities, it may be necessary to “adjust” the CDS cycle to local conditions facing the cities.

This is a brief about the city. In order to plan better, one needs to have adequate and relevant information about the city.

### Checklist for a City Profile

#### 1. Background of the City

- City boundaries
- Existing planning policies
- Organization charts
- Geographical features
- Infrastructural development
- Statistics for various groups
- Council budget
- Major problems/issues affecting the city
- Economic activities

#### 2. Preparation of City Profile Draft (SWOT)

- SWOTs characterized in the city.
- Includes areas such as local economic development opportunities, human and natural resources, diseases, city governance, geography and so on.
- Planning requires clear understanding of the city from both the written and unwritten information.

*The CDS tries to plan for all the communities and improve their quality of life through the improvement of the existing situation hence the need to clearly understand the city.*

#### 3. Preparation of Vision And Mission

##### Vision

- Given the existing situation, and the desire of the communities to improve their quality of life, **Where do we want to go?** in future? What is the period (10, 15, 20 years) within which the vision can be realized?
- Vision should be ambitious but realistic and practical.
- Vision should be in direction of the main business of the city

*The vision statement should be short and precise*

##### Mission

- **Mission says how to get there.**
- It is the means through which the vision might be achieved.
- Mission needs to be ambitious but realistic and achievable.
- The mission sets the objectives and strategies on how to proceed to achieve the vision in the planned period.

*Vision and mission statements are not dreams or fantasies but wishes that set the city on a new path to achieve the set goals.*

#### 4. Identification and Mobilization of Stakeholders

- Stakeholders are the **city critical mass** representatives
- They are people judged by their ability to contribute to the process
- All interested groups are represented
- Stakeholders include: women, youth, physically challenged, marginalized communities, civil society, interest groups, business organizations, civil society, government, politicians, donors
- Stakeholders – both “good and bad” – should be included
- Participatory planning is important during the entire CDS process
- Stakeholder representation in public decision-making, though democratic, is inefficient and time consuming. All the individual wants can rarely be achieved. What are likely to be achieved are wants of a critical mass of the community.

*Not everybody can be invited for city consultation and not every individual problem/issue can be resolved.*

A consensus is expected to result from all these activities in relation to the issues facing the city that are considered important for handling within the CDS cycle period.

## 1st City Consultation

After collecting the basic information, the city invites the stakeholders' representatives to a discussion forum. The purpose of the forum is for the communities to give their views on how best the city needs to be managed in order to address the public concerns which will ultimately improve the environment and their quality of life.

### Checklist for City Consultation

Have the City Profile in simple and readable manner.

List stakeholders who form a critical mass, how they are affected and how they may be useful in dealing with the problems/issues.

From the stakeholders list, decide who would best represent the city population and not only articulate their problems but also work best towards seeking solutions to these problems/issues. About 150 to 200 members would be a reasonable list.

Invite these stakeholders for the meeting

During the meeting, let the stakeholders give their views on the existing problems/issues and give them some direction

The city consultation members choose a working group from among themselves.



The result of a successful 1st City Consultation should be a Working Group to work on the problems/ issues identified by stakeholders.

◀ In Kisumu, the Kisumu Action Team, a stakeholder's forum, was formed to achieve the CDS goals.

## Working Group Formation

From among the stakeholder's select a working group of 30 members to work on the 1<sup>st</sup> City Consultation observations. Include city officials and a fair representation of the critical mass (city population).

**The main responsibility of the members is to articulate the wishes of the wider public.**

## Checklist for Work Group

1. Define the real city problems/issues
2. Design the CDS Objectives
3. Develop the CDS Strategies
4. Structure the SAPs and the SIPs
5. Prioritize the Action Plans based on efficiency and effectiveness.
6. Cluster the SAPs and SIPs to form Projects
7. Design the Project Cycles for the projects and indicate activities at each stage
8. Prepare CDS implementation work plan indicating likely time project/activity will be implemented, source of funding & allocating responsibilities
9. Prepare the Working Group Report on the CDS draft to be presented to a 2nd City Consultation forum for discussion and ratification.
10. Prepare final CDS document for endorsement by full council and implementation.

## Working Group Report

The report contains:

- city profile
- existing problems
- proposals on how to mitigate these problems,
- actions that need to be taken in the short and in the long term.
- suggestions on how the council may improve in overall governance, revenue enhancement, capacity building, and more
- The report gives tips on areas the city needs to improve on e.g. style of management, communication, so that it can be governed in an efficient and effective manner.

## 2nd City Consultation

### Checklist for 2<sup>nd</sup> City Consultation

The CDS process tries to develop the habit of consultation on issues that affect the stakeholders. The CDS process becomes a capacity building tool for the Working Group and an educational process for the stakeholders.

- ☑ The number of stakeholders to attend is decided by council
- ☑ The stakeholders should represent the critical mass
- ☑ Invite stakeholders with ability to handle problems/issues
- ☑ Invite the Critical Mass (Stakeholders) to a 2<sup>nd</sup> consultation
- ☑ The stakeholders go through the CDS report prepared by Working Group
- ☑ CDS document should cover the concerns raised in the 1st City Consultation.
- ☑ The Stakeholders may suggest to the Working Group corrections to be made
- ☑ After consensus is reached, Stakeholders ratify the report.
- ☑ The results of the 2<sup>nd</sup> City Consultation should be disseminated to the public



In the Kampala, a citywide consultative meeting was held. Stakeholders included council officials, councilors, and civil society.

The meeting discussed the Kampala Case Study which highlights key environmental challenges, current initiatives and hot spots that need intervention.



Following the city consultations, further consultations were held in the identified communities which require slum upgrading and improvement of infrastructure. Three Community level consultations were held in two divisions i.e. Central and Nakawa Divisions.



## Finalization of CDS Document

### Checklist for CDS Document

- ☑ The Working Group makes the changes suggested in the 2nd City Consultation
- ☑ Working Group finalizes the CDS document.
- ☑ The final CDS document is then presented to the council
- ☑ The full council endorses CDS document
- ☑ The council implements the Action Plans contained in the CDS document.

 <p><b>United Nations Human Settlements Programme</b></p> <p>Kisumu City Development Strategies (2004 - 2009)</p>  <p>Prepared by Kisumu City Council and Centre for Development &amp; Planning Management</p>	<p>The final CDS Document contains:</p> <ul style="list-style-type: none"> <li>→ Problems/Issues in the city</li> <li>→ Priority of the Problems/Issues</li> <li>→ Action Plans for the Problems/Issues</li> <li>→ Work Plan for the Action Plans</li> </ul>																							
	<p>An example of Work Plan from the Kisumu CDS</p> <table border="1"> <thead> <tr> <th>Objective</th> <th>Strategy</th> <th>Activities</th> <th>Time Frame</th> <th>Actors</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td rowspan="2">Improve quality of life of 40% population by actions towards healthy environment &amp; access to quality food within 5 years</td> <td rowspan="2">-Integrate agriculture &amp; livestock keeping awareness &amp; sensitization</td> <td>-Review by-laws</td> <td>6 mth</td> <td>-KCC, KAT</td> <td rowspan="2">Livestock scoping 2002</td> </tr> <tr> <td>-Survey of urban agriculture</td> <td>6 mth</td> <td>-KUL, KAT, ICRAF</td> </tr> <tr> <td rowspan="2"></td> <td rowspan="2"></td> <td>-Clinics on hygiene</td> <td>1 year</td> <td>-</td> <td rowspan="2">Initiative with World Vision)</td> </tr> <tr> <td>-Meet community to address health issues</td> <td>Cont.</td> <td>LURLAC, LVTF, -KCORE, KCC</td> </tr> </tbody> </table>	Objective	Strategy	Activities	Time Frame	Actors	Status	Improve quality of life of 40% population by actions towards healthy environment & access to quality food within 5 years	-Integrate agriculture & livestock keeping awareness & sensitization	-Review by-laws	6 mth	-KCC, KAT	Livestock scoping 2002	-Survey of urban agriculture	6 mth	-KUL, KAT, ICRAF			-Clinics on hygiene	1 year	-	Initiative with World Vision)	-Meet community to address health issues	Cont.
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		-Meet community to address health issues	Cont.	LURLAC, LVTF, -KCORE, KCC																				

## Project (SAPs and SIPs) Implementation

### Checklist for Implementation

From the detailed Work Plan in the CDS document the council moves ahead to implement the projects.

- First step should be integration of CDS into the council Budget Process
- Project funding and rationalization measures as suggested in the CDS are taken
- Planning is continuous so as council implements the CDS, it has to plan for the next year
- This calls for a continuous CDS review as problems/issues emerge
- The implementation Work Plan will also include sources of financing proposals for the SAPs and SIPs
- These proposals however need to be analyzed further in detail to ensure they are realistic and likely to be met
- A financing Toolkit that is now in the process of being developed shall greatly help CDS cities identify possible resources to implement the SAPs and SIPs



#### **CDS Implementation**

As a result of the CDS process, the Musoma Town Council has entered a proposal to rehabilitate the Kitaji Pond and is currently discussing funding with possible donors.

*“CDS Action Plans need financing, which can be from external or internal sources”*



## Annex 3: SWOT and PESTGEL Analysis

This exercise was carried out by Dr. Lewa of USIU.

### Internal Context

1. Resources (8 Ms)
  - Men and women
  - Machines
  - Materials
  - Minutes
  - Money
  - Management systems and processes
  - Market/stakeholders
  - Man-made resources (corporate resources)
2. Functional areas
3. POSDCORS (developed in 1930s)

### External Context. What is an External Analysis?

The process of scanning and evaluating an organisation's various external environmental sectors to determine positive and negative trends that could impact organisational performance

PESTEL The PESTEL analysis is going to contain the following:

P Political

P Economic

P Socio-Cultural.

P Technological

P Environmental

P Legal - Political

## Annex 4: Workshop Participants

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