

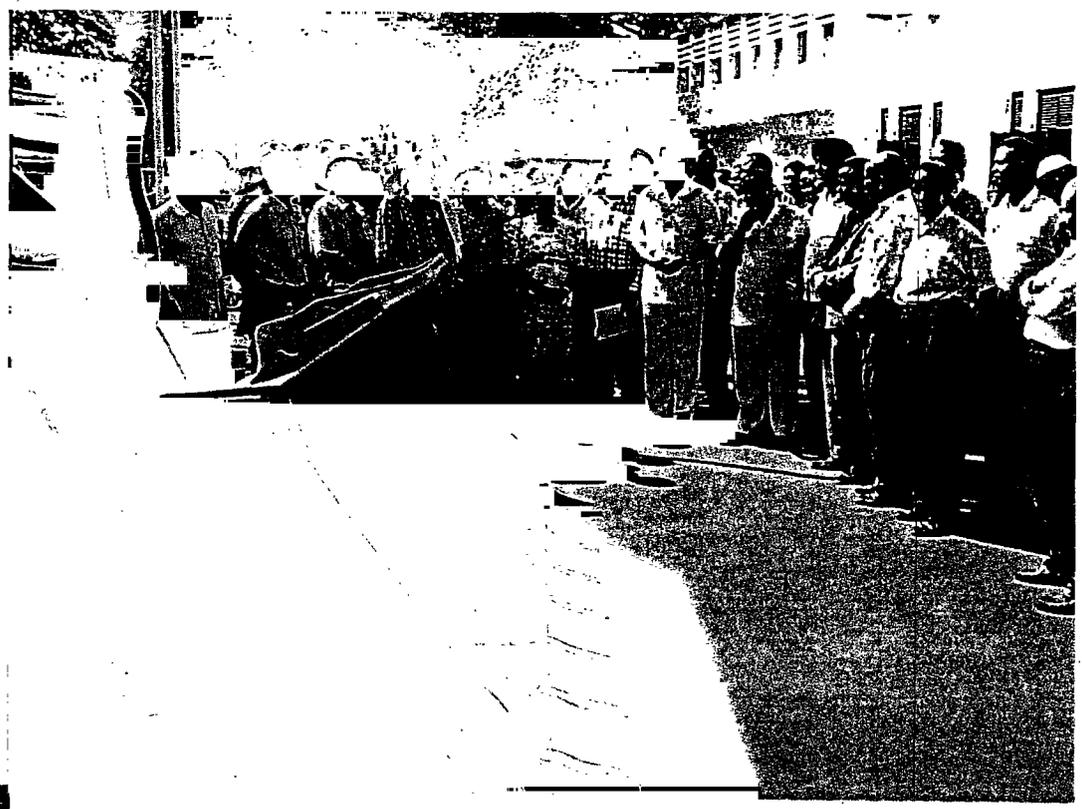
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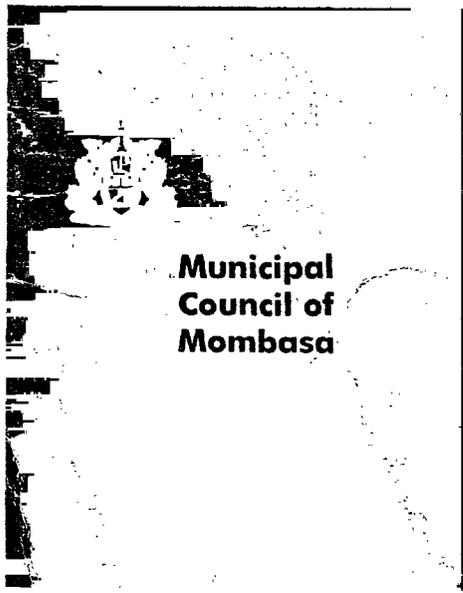


UNDP -
World Bank
**Water and
Sanitation
Program**

Sanitation Stakeholder Consultation

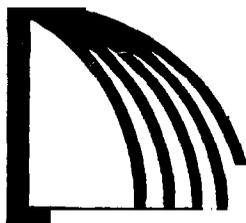


A Documentation of the Mombasa Experience



**Municipal
Council of
Mombasa**

Sanitation Stakeholder Consultation



UNDP - World Bank
Water and Sanitation Program



Municipal Council
of Mombasa



List of abbreviations

DRD	-	Department for International Development, formerly ODA
EDCL	-	Engineering Design Consultants Limited
MCM	-	Municipal Council of Mombasa
MDC	-	Matrix Development Consultants
NWCPC	-	National Water Conservation and Pipeline Corporation
ODA	-	Overseas Development Agency
PAMNUP	-	Partnerships Approach to Meeting Needs of the Urban Poor
PHAST	-	Participatory, Hygiene and Sanitation Transformation
PRIM	-	Poverty Reduction Initiative for Mombasa
RWSG-ESA	-	Regional Water and Sanitation Group for East and Southern Africa
SARAR	-	Self-esteem, Associative strength, Resourcefulness, Action planning and Responsibility
SISA	-	Systematic, Integrated and Strategic Approach
UMP	-	Urban Management Program
UNCHS	-	United Nations Center for Human Settlements
UNDP	-	United Nations Development Programme
WHO	-	World Health Organization

This Report was prepared by G.K. Bambrah, edited by Brazille Musumba and adapted by Tore Lium.

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Post Script

The Mombasa Sanitation Stakeholder Consultation process was started on the assumption that a World Bank (IDA) assisted water supply and sanitation project would be appraised and approved in 1998. Due to limited capacity of the Government of Kenya to absorb funding requirements, the project, along with several others, was put on hold.

A short term consultancy was, however, awarded to Dr. G. K. Bambrah by the World Bank around mid 1998 to extract outputs from previous studies that could be useful to the Municipal Council of Mombasa.

The failure to proceed with the planned investment project undermined some of the credibility of the Consultation process and in an effort to rebuild confidence and commitment, dialogue with stakeholders continued. Around the same time, the Mayor of Mombasa was mobilizing the support of the same stakeholders for joint actions, such as beautification and clean-up campaigns in the Municipality. These endeavors gave credibility to the newly elected Council.

Intensive working sessions involving senior officers of the Council and Dr. Bambrah defined three pilot projects that served as a basis for discussion in the new round of consultations with stakeholders. The proposed pilot projects aimed at:

- improving management of existing sanitation services (sewerage, drainage, septic tank and pit emptying, solid waste management);
- providing improved sanitation services in low-income and congested areas of Mombasa; and
- strengthening the institutional framework for service delivery, including mobilization of private sector actors.

Subsequently, a stakeholder consultation was held on September 24, 1998. A similar two-day event was organized on October 12 and 13, 1998 for the Mayor to formally launch the projects.

Other activities during the two-day event, included:

- a series of three Round Table discussions conducted with stakeholders to solicit their comments and specific commitments in the implementation of the projects; and
- Citizens' Meeting held in front of the Town Hall where the projects were presented to the public in attendance. During the later forum, the Mayor invited comments and questions from members of the public, resulting in a lively exchange.

The Council plans to hold focused consultations with social and business associations in order to mobilize further support for implementation of the projects. Arrangements are also underway to take the consultation process to the lowest municipal administrative level (wards). It is hoped that this will improve people's understanding of sanitation issues in their locality and make councillors more accountable to their constituents on these matters.

Foreword



The Mayor joins residents in a clean-up exercise.

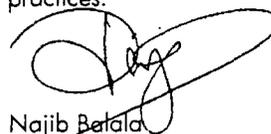
Provision of sanitation services is among the statutory responsibilities of municipal councils in Kenya. In my view, this responsibility does not oblige the councils to be the sole service providers. On the contrary, sanitation problems in Mombasa are collectively 'owned' as they are caused by and affect all our residents, institutions, businesses and visitors. A new approach based on collective actions in the respective sectors was identified during an Urban Poverty Reduction Consultation held in Mombasa in 1996, where a strategic planning framework started to emerge.

Early in the following year, the Municipality began to address its environmental sanitation problems in a systematic way within the aforementioned framework. The ensuing consultative process was supported by the Regional Water and Sanitation Group for East and Southern Africa (RWSG-ESA). An underpinning principle is that the respective stakeholders are best placed to express their own concerns and propose solutions to current sanitation problems. A sense of collective responsibility was promoted when the sanitation stakeholders were invited to a consultation in July 1997 to identify how they may contribute to and participate in actions aimed at overcoming the shared problems.

Whereas the process continues to build momentum, some tangible improvements have already

taken place in Mombasa. This is a combined result of the Municipal Council putting its own house in order and the mobilization of willing participants from the civil society for the common good of an improved environment. My vision is that such collective actions will take us forward and also make the Municipality increasingly attractive for investments in the much needed upgrading of all infrastructure, including water and sanitation services.

I believe the process that we have initiated in Mombasa is fairly unique in the Kenyan context, and will provide valuable lessons. As Chairman of the Association of Local Government Authorities of Kenya (ALGAK), I believe this will be a model for implementation by other local authorities in Kenya and elsewhere. It is therefore a pleasure to be a party to the publishing of this report together with RWSG-ESA. The report deals with the first stage - entry into the process - and I would encourage this partnership to evaluate the experiences of the process and disseminate emerging lessons and good practices.



Najib Batata
The Mayor of Mombasa
23rd September 1998

Executive Summary

Background

Mombasa is the second largest town in Kenya and has an estimated population of 680,975 as of 1997. Its estimated population growth rate is 4 percent per annum. Between 30 and 40 percent of Mombasa residents can be categorized as poor, the majority of whom live in traditional, congested and low-income informal settlements.

The amount of money spent to provide services, such as housing, water supply, refuse collection, sanitation and social services, in urban areas like Mombasa has been on the decline in recent years. To meet the challenge of providing urban services, the Government of Kenya is undertaking a range of initiatives. These include increasing revenues, improving financial management and bettering systems for the operation and maintenance of local authority services and facilities.

Municipal Management and Stakeholder Involvement

Urban planning as a process has passed through several paradigms over the past four decades. Traditional approaches have included comprehensive planning in the 1960s, disjointed incrementalism in the 1970s and structure planning in the 1980s. There have also been several other approaches, including schemes, projects and more recently, action plans, neighborhood initiatives and strategies.

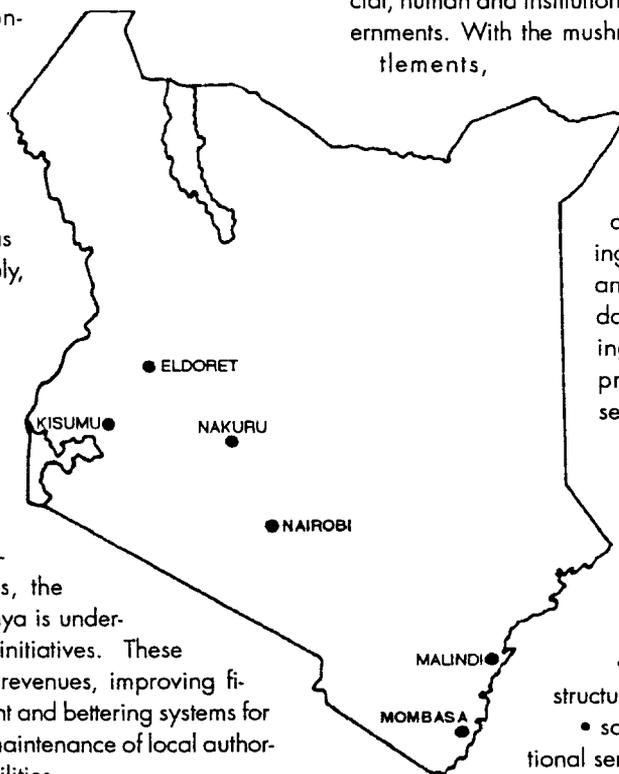
Since the early 1980s, traditional urban planning approaches have increasingly been criticized due to their top-down, technocratic and sectoral nature. In developing countries, they have failed to meet urban needs. The rate of growth of towns and cities in these countries overwhelm the financial, human and institutional resources of their governments. With the mushrooming of informal settlements,

most urban growth is taking place outside the formal sector. Mombasa Municipal Council (MCM), for example, is facing increasing unemployment, poverty and environmental degradation. It is also experiencing growing difficulty in providing the following services to its residents:

- primary health and education;
- cleansing;
- infrastructure and maintenance;
- housing;
- socio-economic infrastructure; and
- social welfare and recreational services.

Provision of these services in Mombasa, as elsewhere, increasingly calls for a broader and enabling management framework based on stakeholder involvement, transparency, accountability and efficiency. The framework should include:

- participatory formulation of policy and plans;
- a broad-based strategic approach to formulation of policy objectives;
- realistic design, implementation, monitoring and evaluation of service programs;
- enhancement of human, capital, physical,



- natural and environmental resources;
- improved performance of institutions and information handling; and
- productive partnerships among all interest groups.

Stakeholder Consultation Experiences in Mombasa

During the past two years, MCM has undertaken a series of consultations and other events aimed at involving stakeholders and interest groups in service planning and provision. These include the Urban Poverty Reduction Consultation held in April 1996, the on-going Partnerships Approach to Meeting Needs of the Urban Poor (PAMNUP) - a project of the Department for International Development (DfID) - initiated soon after the poverty consultation, and the Sanitation Stakeholder Consultation held in July 1997. This report reviews the tangible results and lessons learned from these consultations, particularly the latter. Details on the Urban Poverty Reduction Consultation and PAMNUP are attached to this report as Annex A1 and A2 respectively.

The sanitation stakeholder consultation, supported by the UNDP-World Bank Regional Water

and Sanitation Group for East and Southern Africa, took place in July 1997 as a follow-up of the April 1996 poverty reduction consultation. The consultation, which attracted over 60 stakeholders in the WSS sector, managed to identify and involve stakeholders for the first time, and drafted a sanitation action plan for Mombasa. A committee was also formed to finalize the action plan, and the proceedings of the consultation were distributed to the stakeholders within a month. In September 1997, another consultation was organized to obtain final stakeholders inputs to the action plan, which was presented to the Mayor for endorsement and implementation by the Council.

Two months later, an Urban Environmental Sanitation (UES) component focusing on congested and low income areas was included in the proposed Mombasa Water Supply and Sanitation Project. The sanitation stakeholders action plan was useful in defining the components of the project, which will include a Sanitation Fund. Other elements of the project include capacity building and technical outputs, such as private and institutional latrines, community based solid waste collection and tertiary drains in traditional and informal settlements, water kiosks and alternative sources of safe water in areas not covered by reticulation.

1. Introduction

Industrialization paved the way to urbanization and modern cities - creatures of technology and planning in which services and infrastructure have to be provided on an extensive, continuous and self-sustaining basis for efficient operation of productive enterprises.

The urban population in Kenya comprises some 20 percent of its people concentrated in 6 rapidly expanding cities and large towns, and 45 secondary and small towns. Mombasa is the second largest town in Kenya having an estimated population of 680,975 as of 1997 according to the last Mombasa District Development Plan (GOK, 1994b). Its estimated population growth rate is 4 percent per annum.

Nearly 50 percent of Kenya's population in the larger cities and towns, and 18 - 40 percent of the population in secondary and small towns lives in unplanned, low quality settlements having no access to infrastructure and other services. It is esti-

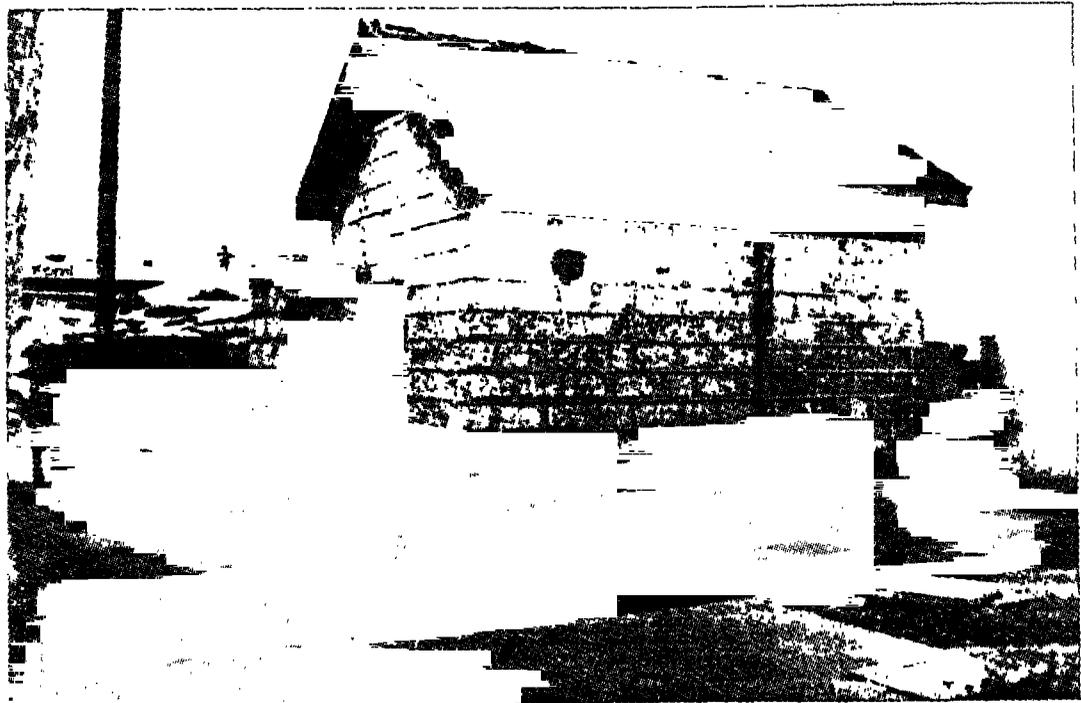
mated that 30 to 40 percent of Mombasa residents can be classified as poor and that the majority of the poor live in congested and low-income areas (Bambrah, 1996).

In contrast, the Central Government expenditures for housing, social security and welfare have a low priority in Kenya. These include government expenditure on pollution abatement, water supply and quality, sanitation, refuse collection, social services and housing. According to Sessional Paper No. 1 of 1994, of the Government of Kenya, on Recovery and Sustainable Development to the Year 2010, capital expenditure in City, Municipal, Town and Urban Councils has been declining in recent years. To meet the challenge of providing urban infrastructure, the Government of Kenya will undertake a range of initiatives. These will include increased revenues, improved financial management and performance of local authorities and improved systems for the operation and maintenance of local authority services and facilities.

2. Municipal Management and Stakeholder Involvement

The instrument used to translate infrastructure policy into action under conventional planning is the public expenditure plan. This has both macro and micro economic dimensions relating to fiscal policy as well as expenditures across and within sectors. Urban planning as a process has passed through several paradigms over the past four decades. Tra-

needs of the typical city. Towns and cities in these countries have grown rapidly and their requirements now overwhelm the financial, human and institutional resources of their governments. With the mushrooming of informal settlements, most urban growth in these countries is now taking place outside the formal sector (UNCHS, 1994 and Clark,



A public toilet abandoned because of filth and lack of maintenance.

ditional approaches have included comprehensive planning in the 1960s, disjointed incrementalism in the 1970s and structure planning in the 1980s. Somewhere along the line, there have been several other approaches including schemes, projects and more recently, action plans, neighborhood plans and strategies (UNCHS, 1994).

Since the early 1980s, these traditional urban planning approaches have come under increasing criticism due to their top-down, technocratic and sectoral nature. In developing countries particularly, these approaches have failed to meet the

1995). These countries are facing a critical challenge as they struggle to meet development demands in the face of a complexity of concerns.

At present, Mombasa Municipal Council (MCM) is facing increasing unemployment, poverty and environmental degradation due to inadequate infrastructure and poor essential services. Provision of Municipal services in Mombasa as elsewhere in the developing countries increasingly calls for new and broader management concepts including enabling principles based on stakeholder involvement, transparency, accountability and effi-

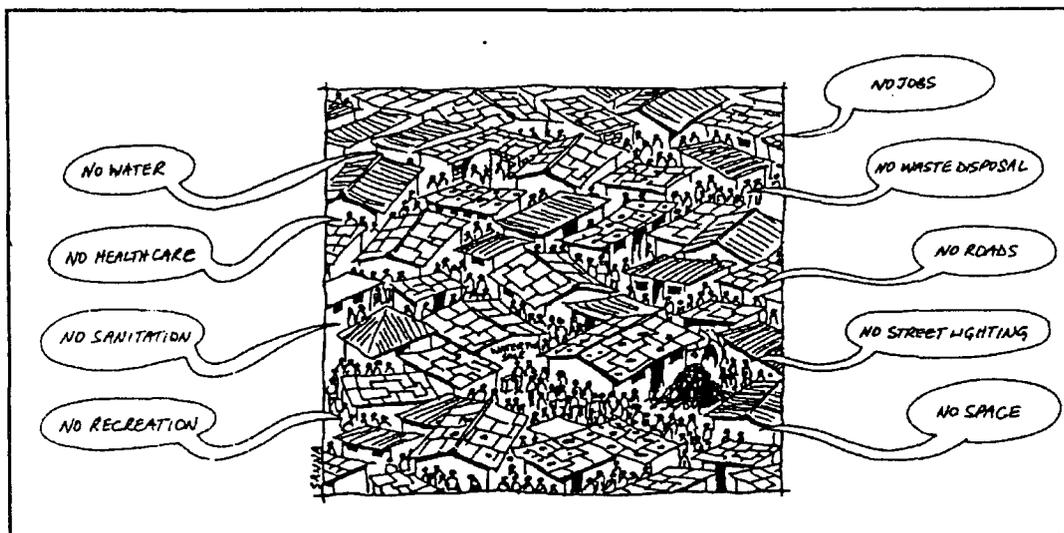
ciency. Key elements that have been identified for an enabling municipal management framework include:

- participatory formulation of policy and plans;
- a broad-based strategic approach to formulation of policy objectives;
- realistic design, implementation, monitoring and evaluation of service programs;
- enhancement of human, capital, physical, natural and environmental resources;
- improved performance of institutions and information handling; and
- productive partnerships among all interest groups.

MCM is expected to provide primary health and education, cleansing, infrastructure maintenance, housing, socio-economic infrastructure, and

social welfare and recreational services to Mombasa residents.

In the last two years, MCM has undertaken a series of consultation events aimed at involving stakeholders and interest groups in service planning and provision. This approach to planning service provision has rarely been tried in Kenya before. The present document comprises a review of the tangible results and lessons learnt from these consultations. While the focus in this document is on sanitation through a review of the Sanitation Stakeholder Consultation held in July 1997, two other initiatives are also considered important. These include an earlier Mombasa Urban Poverty Reduction consultation held in April 1996 and the Partnerships Approach to Meeting Needs of the Urban Poor (PAMNUP), a project of the Department for International Development (DFID).



Densely populated settlements have numerous social and economic needs.

3. The Stakeholder Consultation Approach

Origin

Much work has been done to develop assessment and collaborative tools, such as rural and urban participatory appraisals, GOPP/ZOPP workshops, and the Participatory, Hygiene and Sanitation Transformation (PHAST) approach to link real-life actors to the service planning process (WHO, 1996). Considerable work has also been undertaken by the Urban Management Program (UMP) of UNDP/World Bank/UNCHS (Habitat) and others on consultative approaches, particularly for urban environmental services planning.

The UMP consultative approach seeks to strengthen contributions that cities and towns in developing countries make towards economic growth, social development and alleviation of poverty. It relies on two mutually supportive processes to facilitate capacity building. These include city or country consultations to bring together stakeholders to discuss specific issues within the program's five thematic areas (of which poverty alleviation is one), and to propose reasoned solutions.

Consultations are held at the request of a city or country and often provide a forum for discussion of a cross-section of issues. Secondly, UMP has developed Regional Networks of Experts in each of the five UMP thematic areas, for the purpose of providing technical advice and cooperation (UNDP/UNCHS(Habitat)/World Bank/UMP, 1996).

Engineering Design Consultants Limited (EDCL) started carrying out research on Urban Environmental Management in Kenya in 1991. In September 1992, the firm received an award through the Poverty Competition organized by UMP to carry out a poverty reduction research project. The project aimed at systematically and strategically linking resource and income based initiatives in the Kibera informal settlement to consumption and demand patterns at the household level and growth

by the economically active portion of the population. The output of this research, which was completed in June 1994, was a dynamic poverty reduction model for Kibera.

In January 1995, EDCL undertook an information dissemination exercise funded from its internal resources through which the findings of the Kibera research were forwarded to the Mombasa, Nakuru and Kisumu Municipal Councils. Based on their response, a one day workshop was then held with each of these Councils with all their Chief officers in attendance.

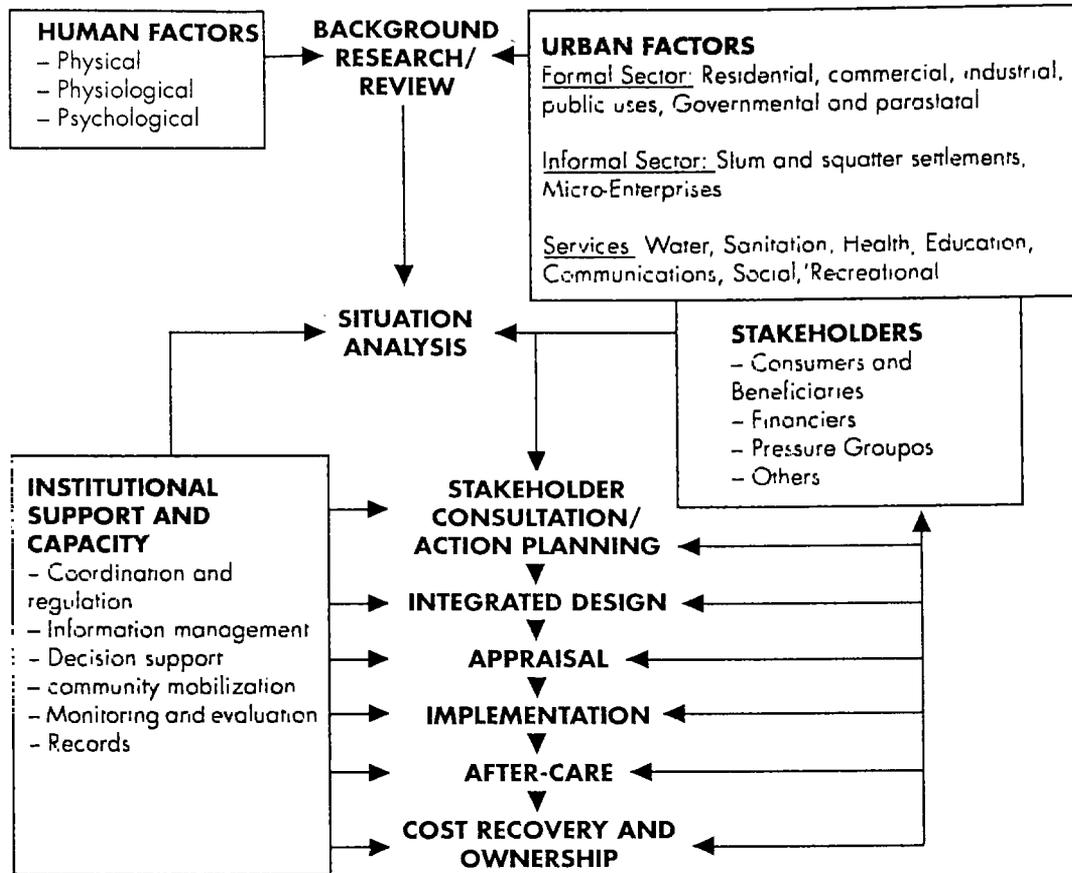
The objective of these one-day workshops was to introduce the concept of poverty reduction at the local authority level. All three Councils reacted positively to the idea of developing their capacity and an agenda on poverty reduction planning. At the same time, EDCL in collaboration with these Councils initiated discussions with UMP to seek its technical support for poverty reduction planning. Consequently, in March, 1995, MCM was invited to send two delegates to a poverty workshop held by UMP at which the case for adopting a poverty reduction agenda in Mombasa was made.

In early 1996, UMP decided to support a request from MCM to carry out a poverty profile and set in place a consultative process to develop and implement poverty reduction action in Mombasa. EDCL were appointed to prepare a poverty profile and facilitate the stakeholder consultation.

Background

Figure 1 contextualizes the stakeholder consultation within the overall framework of the Systematic, Integrated and Strategic Approach (SISA) to service planning, developed by EDCL. This SISA stakeholder consultation mechanism has been operationalized in Mombasa with the assistance of EDCL and gives the consultative process a recognizable structure.

FIGURE 1: COMPONENTS OF THE SYSTEMATIC, INTEGRATED AND STRATEGIC APPROACH (SISA) TO PLANNING URBAN SERVICES
Abstracted from Bambrah, 1996



This structured approach goes beyond participation, consultation and collaboration to include:

- continuous capacity building and institutional strengthening at all levels;
- policy, market dynamics and demand research;
- community participation, stakeholder collaboration and consultation;
- public/private partnerships and appropriate resource mobilization;
- development of management, recording, and information systems;
- advisory, decision and regulatory support mechanisms;
- integrated (multi-disciplinary and interactive) design and implementation;
- appraisal, evaluation, monitoring and maintenance support; and
- cost recovery, investment renewal and ownership

A major objective of this methodology is to draw upon and capitalize on past and existing knowledge and investments in service provision. These past investments may not always offer a positive contribution but have some value even if only in identifying negative impacts that have lessons to improve future planning of services.

4. The Stakeholder Consultation Methodology

The MCM structured consultative approach consisted of six distinct activities described below.

Background Review

A detailed background study is usually required that identifies the service need. This study can take many forms including a research study, a strategy study, a preliminary design study, a loan justification report etc. Many of these detailed studies were carried out in the past under the conventional planning approaches although there are still a few areas for which new studies are necessary. Past studies set the stage for infrastructure projects and expenditure. It may sometimes be necessary to update or gather extra information to fill in gaps in past and existing studies. The consultative process is meant to involve the public in infrastructure planning and investment using existing documents as a basis. The first stage of the consultative process is a background review which identifies existing information and the theme for the consultation.

Situation Analysis

A situation analysis/inventory which contextualizes the consultation is the next step of this methodology. A systematic analysis is made of the situation as it exists at the time of the consultation. This analysis is meant to satisfy the following objectives:

- confirm the service situation calling for the consultation and set a baseline for action and future evaluation of impact.
- identify the stakeholders and on-going activities that are relevant to the service theme of the consultation
- identify issues, constraints and opportunities to improve the situation.
- set the stage for structured discussions at the consultation.

At EDCL, we have developed a multi-level matrix method to ensure a systematic approach to this situation analysis or profile or inventory.

In presenting the situation analysis or profile, it is important to give baseline information and pointers about issues, constraints and opportunities but to stop short of offering any solutions to improving the actual service delivery.

Preliminary Capacity Building

One of the stakeholders usually leads the consultation process and thus gives it a legal basis. It is important to ensure that this lead stakeholder has the capacity to constructively undertake a consultation. This involves some preliminary capacity assessment and building. Another aspect of this preliminary capacity building is the identification of other stakeholders and other relevant on-going activities. By involving the stakeholder who leads the process and the other stakeholders in the situation analysis, basic inter-institutional and stakeholder networking and collaboration is set in place even before the consultation.

The Participatory Workshop

The objective of the Participatory Workshop is to involve the stakeholders in:

- planning improvement in services and in the living environment through a joint plan of action; and
- soliciting commitment and ownership by all stakeholders to this action plan.

Identifying representative stakeholders for the consultation is an important aspect. During the situation analysis, different stakeholders are identified. For the consultation, it is important to ensure that each category of stakeholder is adequately represented within the framework of the consultation. This framework determines the number of people who will attend this event, the duration of the consultation and logistical and budgetary arrangements/constraints. Transparency in the selection of the participating stakeholders is achieved in two ways. Firstly, during the situation analysis, there is no pre-conceived list of stakeholders and

the preliminary identification of stakeholders results directly from the data collection which, by its very nature, is intended to be general and broad-based. Secondly, when selecting stakeholders who will attend the consultation, representative proportions of stakeholders are invited and the list is circulated to most of the other stakeholders in advance to seek further inputs or rectify omissions. The media also plays an important part in making information about the consultation available to the general public.

The multi-level matrix method is used to develop a systematic structure for the consultation. This structure must allow for introductory addresses to legitimize the consultation and create room to operationalize the consultation outputs. Background information is given (through oral presentations and field visits) to create a level playing ground for discussions by all stakeholders. This also gives pointers to expected outcomes, creates an interest in the proceedings, allows for extensive discussions with the objective of involving

stakeholders in service improvement and solicits their commitment to improving their living environment.

Outputs

A properly structured consultation should lead to the following outputs:

- Collaboration and involvement of stakeholders
- A joint action plan to improve their services and living environment
- Follow-up to operationalize the action plan, implement it and create feedback.

Follow-up

If the consultation has been constructive, then windows begin to open up for clear follow-up actions resulting in the implementation of the joint action plan as well as continued reformulation of this action plan.



Discussions continue during tea-break at the participatory workshop.

5. Mombasa Stakeholder Consultation Experiences

Background Studies and Research

In 1976, a major study on Mombasa water pollution and waste disposal was carried out. It contained proposals for improvement and expansion of Mombasa sewerage. Other than a trunk main sewer and treatment works for the West mainland portion, no significant improvement has been made to the sewerage facilities in Mombasa since then.

In 1994, the National Water Conservation and Pipeline Corporation (NWCPC) decided that short and long term plans should be prepared for improving and expanding the sewerage, drainage and sanitation systems in Mombasa District. A second study was carried out under the Second Mombasa and Coastal Water Supply, Engineering and Rehabilitation Project funded by the World Bank through the Government of Kenya. This study had a design horizon of 2015 and included three com-

ponents: a strategy study, a feasibility study and contract documentation. The strategy as outlined in this study focused on:

- sewerage development comprising re-equipping of pumping stations and rehabilitation of existing sewers for the Island, phased sewerage of the remaining urban areas, preliminary treatment of sewage and disposal into the ocean via a long sea outfall for the North mainland and the Island, encouraging connections to the West mainland sewers, and setting up a waste stabilization pond system for the South mainland;
- sanitation improvement comprising modification to existing pit latrines, improved design and construction of appropriate affordable new facilities and awareness creation about benefits of sewerage in informal settlements;
- drainage improvement comprising



Stakeholders visit the sewage treatment plant in Changamwe, Mombasa West.

rehabilitation and improvement of existing drains, strengthened drainage maintenance and provision of new drainage for new settlement areas;

- a detailed solid waste study aimed at assessing the requirements, options and management of solid wastes; and
- institutional strengthening through formation of an autonomous subsidiary of NWCPC to take over sewerage, leaving the responsibility of improving drainage, sanitation and solid waste with MCM and clarifying pollution control responsibilities.

At present, it is estimated that only 10 percent of Mombasa residents are connected to waterborne sewerage but none of the treatment facilities is functional. 16 percent of the residents rely on septic tanks for which desludging services are difficult to obtain while the remaining 74 percent of the population rely on pit latrines dug down to groundwater level or connected to soakpits many of which are overflowing. MCM is only able to collect 20 to 40 percent of the garbage generated daily in the town and the landfill site is already highly inadequate. MCM has recently privatized garbage collection in three mainland areas on a trial basis for 3 months.

During the Poverty Reduction Consultation of April 1996, lack of sanitation facilities, particularly in relation to sewerage and solid waste collection services in congested and low income areas was highlighted. This opened a window for action on sanitation improvement under the Poverty Reduction Initiative for Mombasa (PRIM).

These past studies and the Poverty Reduction Consultation justified the need for action aimed at sanitation improvement. Accordingly, in late 1996, MCM approached the Regional Water and Sanitation Group for Eastern and Southern Africa (RWSESA) of the World Bank for technical assistance to initiate a sanitation stakeholder consultation for Mombasa.

A positive response to this request resulted in the Sanitation Stakeholder Consultation modeled on the earlier Poverty Reduction Consultation comprising a situation analysis, capacity building, the stakeholder consultation and follow-up action. EDCL were appointed consultants to carry out the Sanitation Situation Analysis and to facilitate the Sanitation Consultation.

Situation Analysis

Using the multi-level matrix methodology, a literature review was used to define the components of sanitation. These included five categories; sew-

age, sillage, stormwater, solid waste and industrial and hazardous waste. For each of these five categories, an analysis was made of institutional, economic, environmental, technical and socio-cultural factors and issues. The end product was a background paper for the stakeholder consultation which identified issues, constraints and opportunities for action in each of the 5 component categories. This was presented at the consultation in three portions categorized as institutional issues, technical issues and community participation issues and the paper formed the basis for discussions at the stakeholder consultation.

Capacity Building

As was the case with the Poverty Reduction Consultation, MCM led the sanitation consultation and became the preliminary target of capacity building. Again, this was carried out in two distinct stages. Firstly, the Council identified the departments that were involved in providing sanitation services to Mombasa residents. Three main departments were identified: the Engineering Department, the Cleansing Section of the Public Health Department and the Social Services Department. A core group of personnel from these three departments was involved in the data collection and processing for the sanitation situation analysis. This created inter-departmental collaboration on sanitation. In the next stage, a structured collaborative one-day workshop was held with this core group. The objective of the workshop was to fill in information gaps in the situation analysis and at the same time build the capacity of the core group to establish a procedure for the main sanitation stakeholder consultation. During the situation analysis data collection phase, on-going sanitation improvement activities and other organizations involved in these activities were also identified.

The Participatory Workshop

The Participatory Workshop took place in July 1997 supported by the Regional Water and Sanitation Group for East and Southern Africa (RWSESA). It brought together over 60 stakeholders including MCM staff and government representatives. The workshop was structured to:

- obtain stakeholder inputs on sanitation for communication to MCM;
- jointly develop an action plan on sanitation; and
- build consensus and solicit commitment to the action plan from all concerned.

Based on the multi-level matrix methodology and the Systematic, Integrated, and Strategic Approach (SISA), the consultation included the following distinct components:

- Short introductory addresses to legitimize the consultation and presentation of a situation analysis in three portions addressing institutional issues, technical issues, and community participation issues. Field visits were included as a part of the situation awareness creation. The objective of this session and the field visits was to level the playing field for stakeholder discussions.
- An interactive plenary session aimed at involving the stakeholders in identifying common interests, areas of conflict, identification of stakeholders, and their roles and responsibilities. During this stage, the discussions were guided by the use of a stakeholder matrix and a participation matrix.
- In the next session, the participants were divided into three groups as follows:
 - Group 1 - sewage
 - Group 2 - sullage and stormwater
 - Group 3 - solid and hazardous wastes
- The groups were given clear guidelines on identifying practical actions based on sustainable institutional, technical and technological practices, stakeholder involvement and resources, finance and cost recovery arrangements. A template consisting of a problem analysis matrix was used to guide these group sessions.
- In the penultimate session, the participants resumed the plenary arrangements to integrate their group findings into a single output reflecting the overall stakeholder vision on sanitation for Mombasa.
- The final session was devoted to drawing up a draft sanitation action plan which was handed over to the Mayor of Mombasa for his Council's endorsement and follow-up.
- Due to time limitations, it was not possible to get feedback from the stakeholders on the draft action plan. It was therefore agreed that the consultation would be followed up by the meeting of a selected committee to finalize the action plan which would then be distributed to all stakeholders and a follow-up half day consultation held to ensure final inputs by the stakeholders.

Outputs

The sanitation situation analysis was one of the outputs of the consultative process. It highlighted

the following facts:

- None of the wastewater generated by Mombasa receives treatment before direct disposal into the sea.
- Only 10 percent of Mombasa's residents are connected to waterborne sewers while 16 percent rely on septic tanks and 74 percent on pit latrines.
- Only 20 to 40 percent of solid waste generated daily is collected by MCM.
- Only half the roads in Mombasa have engineered drainage but this is blocked or damaged in many areas.
- The proportion of Mombasa residents living in congested and low-income area is on the increase as is the mushrooming of informal settlements.

The sanitation stakeholders consultation for Mombasa resulted in:

- the identification and involvement of stakeholders;
- a Sanitation Action Plan for Mombasa; and
- follow-up to the action plan which was officially handed over to the Mayor of Mombasa for endorsement by the Council.

Follow-up

As an immediate follow-up to the sanitation stakeholders consultation, a stakeholder committee was formed that finalized the sanitation action plan. Proceedings of the consultation were distributed within a month of the consultation and a "mini-consultation" organized in September 1997 to obtain final stakeholder inputs to the action plan.

During the course of the situation analysis and prior to the sanitation consultation itself, a World Bank Mission took place from May 28 to June 10, 1997 to study the Second Mombasa Water Supply and Sanitation Project. It was on that occasion recognized that sewerage and sanitation conditions in Mombasa were very poor and any additional water to Mombasa would aggravate this situation unless interventions were made to address this situation. It was therefore agreed that the then proposed Mombasa Water Supply and Sanitation Project which was in its preparatory stages should include, not only rehabilitation and restoration of existing sewerage and sanitation facilities, but also rehabilitating the existing public toilets and re-examining various sustainable options of operating and managing public toilets, solid waste and storm drainage.

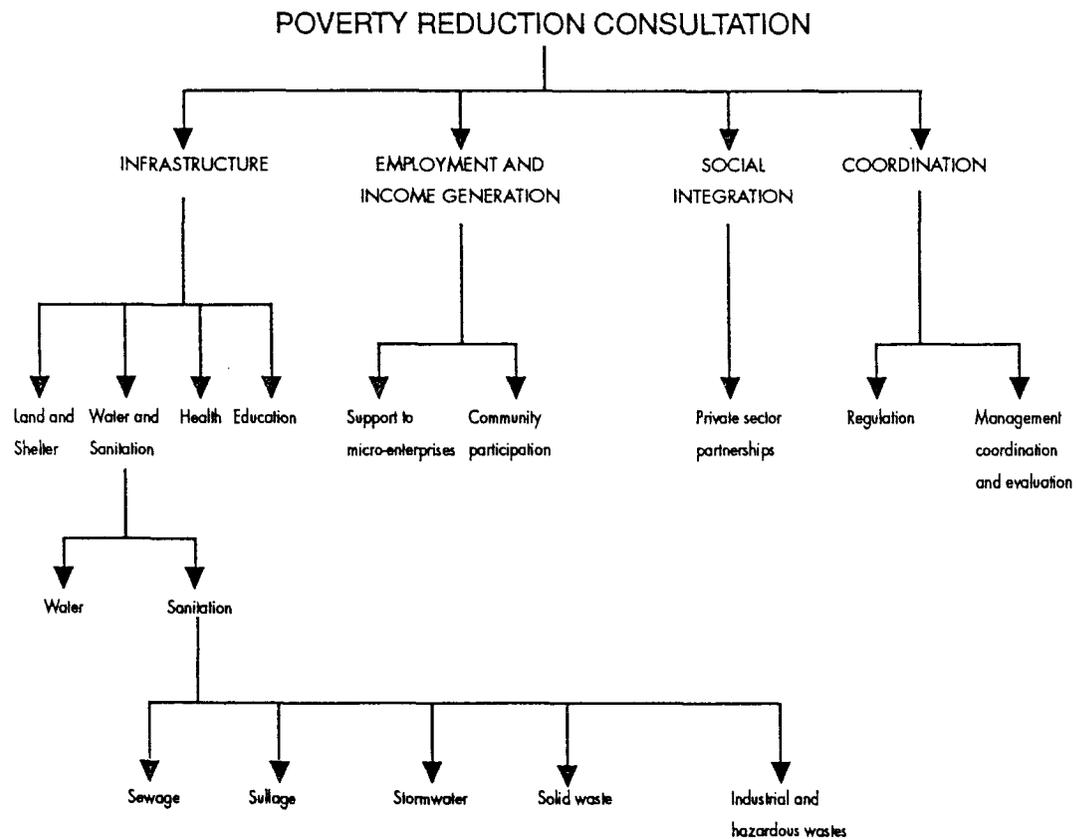
Recognizing that MCM had already established a Water and Sanitation sub-committee under PRIM and PAMNUP, it was agreed that this committee should be encouraged to address the town's sanitation problems. It was also recommended that the technical assistance provided to MCM by RWSG-ESA should be utilized to support a situation analysis and a systematic and comprehensive sanitation stakeholder consultation with a view to clarifying the capacity and commitment to action at all levels. The situation analysis was carried out between May and July 1997 when the sanitation stakeholder consultation was held.

As a consequence of the consultation, an Urban Environmental Sanitation (UES) component covering congested and low income areas was introduced into the Mombasa Water Supply and Sanitation Project in November 1997. The consul-

tation had the direct impact of identifying the sub-components of the ES project which will include a sanitation fund for latrines in traditional and informal settlements, public toilets for private operation in congested areas, latrines for institutions, local drains in traditional and informal settlements, water points, alternative safe water sources in areas not covered by reticulation and local solid waste collection in informal settlements. The sanitation fund will also include a component for capacity building and implementation overheads. MCM is now in the process of drawing up a detailed project implementation plan for the UES project. Also, as a direct consequence of follow-up assistance from RWSG-ESA, MCM has been able to articulate a sanitation strategy for Mombasa Municipality.

Figure 2 shows details of the other windows opened up for action through the sanitation stakeholder consultation.

FIGURE 2. EVOLUTION OF WINDOWS FOR ACTION THROUGH THE POVERTY REDUCTION INITIATIVE FOR MOMBASA (PRIM)



6. Findings of the Stakeholder Consultations

The consultation process as operationalized in Mombasa shows that it is possible to constructively involve stakeholders in planning. If structured properly, such a process can be replicated. The process, however, will not lead to expected outputs unless its components are clearly defined and participating stakeholders identified in a systematic and transparent manner. For example, the PAMNUP project which immediately followed the Poverty Reduction Consultation, while basing the scope of its activities on the Poverty Reduction Action Plan, did not come up with a clear stakeholder identification and involvement mechanism. The project also tried to address poverty directly at the community level, with no tangible outputs. The interest and commitment generated through consultation began to be dissipated because of failure to rapidly implement the PAMNUP project.

On the other hand, the sanitation consultation which systematically followed on from the poverty consultation resulted in a clear and measurable action plan from which it is possible to derive a detailed draft implementation plan for the Environmental Sanitation component of the proposed Mombasa Water Supply and Sanitation Project.

The recommended methods of information collection, capacity building, consultation organization, stakeholder participation and rapid follow-up have been fully covered on pages 5 and 6 above. A point that needs to be highlighted is the need to more fully involve the private sector than was the case during the consultations referred to in this document. It is in pursuit of a clearer role in sanitation activities for the private sector that MCM is currently developing an integrated sanitation strategy for the whole of Mombasa. MCM hopes to target the private sector through specific consultations.

Under this strategy, MCM is also looking to operationalize demand-driven service delivery. Demand articulation mechanisms, sustainable service delivery and cost recovery will be the main areas that will be addressed in the next phase of the strategy.

MCM has built considerable capacity in operationalizing the stakeholder consultation process described above, and it is hoped that the Council's experiences will serve as a useful example to other local authorities in Kenya and beyond.

ANNEXES

The Urban Poverty Reduction Consultation

1. Background Research and Review

Background research had already been carried out on poverty reduction modeling for the Kibera informal settlement. The poverty reduction consultation for Mombasa began with the dissemination of this research to MCM and its positive response to developing capacity and the drawing up of an agenda for poverty reduction. Areas of concern identified by MCM included:

- Employment generation and creation for the urban poor;
- Improved access to basic services by the poor;
- Improved living conditions for the vulnerable residents;
- Conservation and improvement of the natural environment; and
- Community participation and development of collaborative mechanisms.

2. Poverty Profile

Existing information on poverty in Mombasa was limited and the first step was to carry out a poverty assessment for Mombasa. With technical assistance from UMP, EDCL were appointed to prepare a poverty profile and facilitate the poverty reduction consultation for Mombasa. As this was the first application of the structured consultative approach, a flexible attitude was adopted and the structure modified as required. Using the multi-level matrix methodology, three areas were identified for discussion at the poverty reduction consultation. These comprised:

- Infrastructure
- Employment and income generating activities
- Social integration

For each of these concerns, related issues, constraints and opportunities were identified. A paper entitled 'A Framework for Action at the Municipal Level under the Policy Program: Options for Urban Poverty Reduction' (UNCHS, 1996) prepared by

UMP was used as a basis for the poverty profile and background paper for the consultation. The background paper was carefully structured for presentation in three parts and set the stage for discussions at the poverty reduction consultation.

3. Preliminary Capacity Building

MCM led the poverty reduction consultation for Mombasa and was the main target for the preliminary capacity building. This was carried out in two distinct steps. First, the Council was asked to identify departments that would be involved in poverty reduction. This set the basis for inter-departmental collaboration. Next the Council was asked to provide a representative core group of personnel from all these departments to assist with data collection and identification of other stakeholders and on-going activities for the background paper. This created a core group with capacity for poverty reduction action in MCM and set the stage for inter-institutional collaboration. When this data collection stage was complete, a one day workshop was held with this core group. The objective of the workshop was to establish a consultative procedure for the main consultation and enable MCM to lead the actual poverty consultation.

4. The Poverty Reduction Consultation

The consultation was structured to meet the following objectives:

- Involve all stakeholders in improving their living environment through a joint poverty reduction action plan.
- Solicit commitment of all stakeholders to this action plan
- Create a mechanism through which stakeholders become partners in improving their living environment.

During the poverty analysis, stakeholders and on-going activities related to poverty reduction were identified. To ensure that each stakeholder would be adequately represented within the framework of the consultation, these stakeholders were invited to provide information about their activities for inclusion in the poverty profile. At the same time, their credentials were added to the preliminary list of consultation participants. The consultation was also widely publicized in the local papers. The final attendance for the consultation was set at 80 participants but, in fact, 170 participants actually registered and attended this event.

The multi-level matrix method was used to develop a systematic structure for this event. This structure included short introductory addresses by the Mayor of Mombasa Municipality, the Provincial Commissioner and the District Commissioner to legitimize the consultation through the dual administration of Mombasa (The Municipality and the District share the same boundaries). This was quickly followed by presentation of the background paper. Within the first two hours, the stage was set for extensive discussions and consultations with the objective of involving stakeholders in poverty reduction actions. These discussions were structured as follows:

- The participants met in a short interactive plenary session in which they were asked to define their role in poverty reduction, to state what constraints they encountered and to state what assistance they required to allow them to contribute more. This session ended up in strong criticism of MCM which was accused of failing to provide basic services to Mombasa residents.
- In the next session, the participants were divided into three groups to discuss ways of improving infrastructure, employment and income generation and social integration respectively. The groups were chaired by selected participants and moderated by neutral parties, mostly from UMP, and the consultant. The groups were given clear guidelines on expected outputs. These included emphasis on identifying poverty reduction actions that would focus on achievable, practical and sustainable actions.
- In the third session the plenary arrangement was resumed to create interaction between the groups and to integrate their findings into a single output. Each group was asked to present the group report and extensive discussions were allowed on each group's findings before drawing up a final list of the proposed interventions. The participants were then asked to rank the interventions in terms of actions that

could proceed immediately after the consultation, short-term actions which could be carried out in less than two years and, finally, medium to long-term actions likely to take between 2 and 5 years. Emphasis was also given to activities that would require minimum outside support. The participants were also asked to identify the stakeholders who would carry out the necessary actions. This served to create awareness among the participants that MCM was not the only stakeholder due for criticism and that they were also responsible for the situation. Secondly, by insisting on the ranking of the actions, the stakeholders began to appreciate that much could be done without any external assistance. By the end of this session, stakeholders began to show a willingness to become involved in the implementation of the action plan.

- A draft of the action plan was prepared in the final session and was endorsed by the participants as their own poverty reduction action plan. It was then handed over to the Mayor of Mombasa for follow-up and implementation.

5. Outputs

A poverty profile in the form of a background paper was one of the outputs of the consultative process. It highlighted areas for action and identified the following target populations:

- Those living in congested and low income areas in overcrowded, poorly serviced and temporary, even unsafe, housing structures.
- Pockets of the poor living in formal parts of Mombasa side by side with the high and middle income groups.
- The new poor such as migrants and the homeless.

The direct outputs of the Poverty Reduction Consultation for Mombasa included:

- identification and involvement of stakeholders in poverty reduction planning;
- a stakeholder poverty reduction action plan for Mombasa; and
- presentation of the action plan to the Mayor of Mombasa for endorsement by the Council and subsequent implementation.

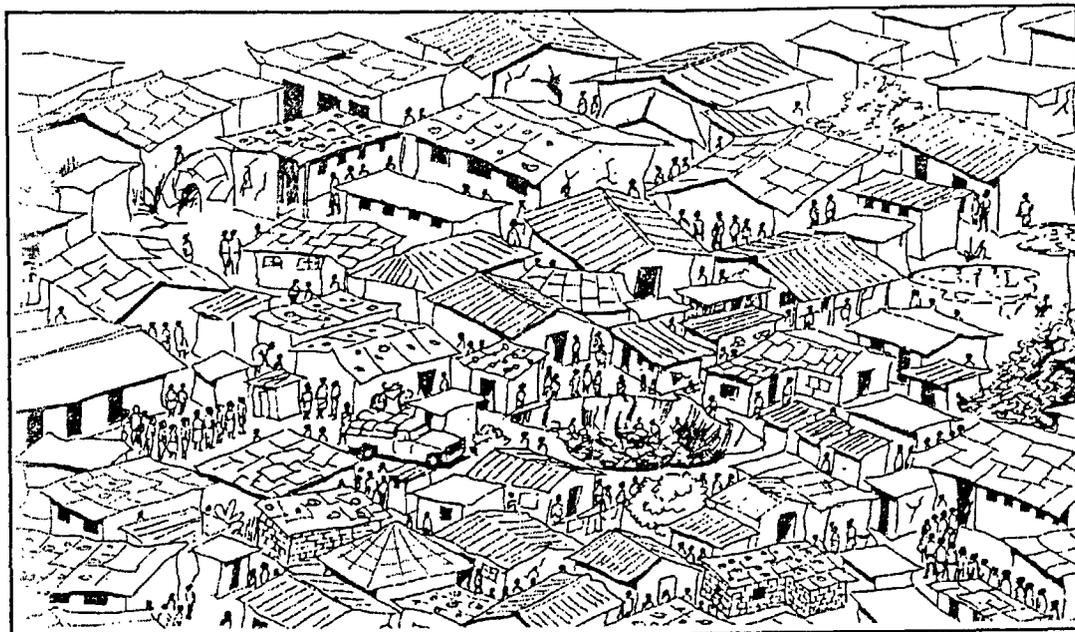
6. Follow-up

Figure 2 details windows opened up for action through the poverty reduction consultation. One of the major areas of concern was poor sanitation facilities. It was recommended that by-laws on VIP

latrines be relaxed, solid waste collection services be privatized, community-based solid waste collection be encouraged, public toilets be repossessed, rehabilitated and privatized and recycling and composting of solid waste be promoted. Other areas of concern were poor water supplies, informal settlements and building codes, land-use planning and management, outreach community health services, education needs of the poor, training and support to micro-entrepreneurs and social ills including abandoned Aids orphans, drug addiction, unemployment and scavenging by street children.

Immediately after the consultation, an interim steering committee representing stakeholders was

set up to coordinate the Poverty Reduction Initiative for Mombasa (PRIM). The first follow-up action carried out with further technical support from UMP was a follow-up workshop on the poverty reduction consultation, held at the Bamburi Beach Hotel in September 1996. The objective of the workshop was to translate the poverty reduction action plan into a detailed implementation plan. MCM undertook the organization of this workshop and Matrix Development Consultants (MDC) were asked to moderate this event and produce the poverty reduction implementation plan together with an interim steering committee. Unfortunately, the output from this workshop had to be extensively revised.



A typical slum environment in major towns: Sanitation is poor and the environment is degraded.

The PAMNUP Project

Introduction

Independent of the Poverty Reduction Consultation Initiative, DfID initiated a scoping study to establish the extent of poverty in five Municipalities in Kenya of which Mombasa was one. This resulted in the Partnerships Approach to Meeting Needs of the Urban Poor (PAMNUP) project for Kenya. Drawing on the poverty reduction action plan and the scoping study, DfID expressed an interest in working with Mombasa through the PAMNUP project. In a radical departure from the consultative approach, DfID decided to directly support MCM to plan the PAMNUP project using a process approach and in January, 1997, appointed MDC to assist Mombasa to prepare the implementation plan for the PAMNUP project.

To begin with, DfID assisted MCM to train some officers to build capacity in use of participatory urban appraisal (PUA) methods. The final output from MDC planning, was submitted to DfID in the form of a proposal from the Mombasa stakeholders in poverty reduction. The following are key features of the PAMNUP proposals prepared by MDC for Mombasa.

The Process Approach

PAMNUP seeks to introduce an approach based on partnership between key stakeholders in the Municipality. The process approach which allows for input by communities throughout the project life consists of five elements:

- enabling stakeholders to work in partnership to address poverty;
- community participation and action planning;
- supporting work of existing initiatives;
- supporting implementing agencies through capacity building; and
- assisting with supportive policy formulation, particularly at Municipal level.

Institutional Appraisal and Arrangements

An institutional appraisal of the MCM as well as of key NGOs was undertaken. MCM was recognized as having two major roles in implementing PAMNUP: Firstly, as a coordination mechanism and secondly, to implement specific components of the project. Several NGOs were appraised and identified as suitable partners for the PAMNUP project. PAMNUP will introduce two institutional innovations. The first will be to institutionalize partnership between organizations so as to create synergy. Secondly, through the process approach, the program will become responsive to the needs and requests as they arise within established parameters. The assumption is that if this is achieved and becomes a routine way of working, then significant steps will have been taken towards sustainability.

Financial Appraisal and Arrangements

The overall objective of the funding under PAMNUP is to reduce poverty in the targeted areas. To achieve this, two alternative financing mechanisms were identified. These included a project fund within the Council or an independent trust fund with specific project town-based trustees. To ensure transparency and accountability, it is proposed that an independent trust fund be established for the PAMNUP project.

The arrangements for PAMNUP in respect of financial management, disbursement of funds, accounting and auditing procedures comprise:

- the Trustees for the independent trust fund will be appointed by DfID and the steering committee;
- the steering committee will ensure that the overall direction of the project remains in line with the policy and priorities of both

governments and will assess the overall development impact of the project activities. The steering committee will approve budgets for PAMNUP activities and recommend project expenditures; and

- a project coordination unit will be established to coordinate PAMNUP activities with assistance from the steering committee, sector based sub-committees and a technical committee.

While the costs are preliminary and incomplete at this stage, it is estimated that the total project inputs will be in the order of Kshs. 543 million. The project will be financed by DFID grants, MCM support in kind, contributions of communities through local organizations and other donor agencies. Contracting and procurement arrangements for goods and services will be devised by DFID. Detailed accounting and audit arrangements have also been identified. Accounting will be the responsibility of the steering committee and the trustees. Audits will be carried out by an independent firm selected by the steering committee.

Capacity Building Arrangements

MCM will undertake coordination and implementation of specific project components. Some capacity building support will be provided through PAMNUP. NGOs having pre-planned activities under PAMNUP and communities will be other partners. Capacity limitations have been identified in MCM and in some NGOs through an institutional analysis. PAMNUP will attempt to assist MCM and some NGOs to develop capacity to assist the poor. It is also anticipated that capacity will be built in MCM, NGOs and communities through peer exchange visits.

Implementation Arrangements

Through the PAMNUP planning process, the interim steering committee has been formalized together with supporting sectoral sub-committees and the technical committee. Sector based working sub-committees include the health, water and sanitation, education, income generating activities and community participation committees. The technical committee consists of the convenors of the sector

sub-committees and is chaired by the Director of Social Services and Housing (MCM).

A full work plan is yet to be drawn up but it will comprise the first phase of implementation which is expected to take 6 months. This will include program launch, establishment of the project coordination unit, agreement of terms of reference for staff and Councilors training. The proposal contains details of the main poverty reduction activities that will be undertaken. These include community involvement and strengthening, improved water supplies, sanitation and solid waste collection, income generation, education and health related activities. These correlate well with the poverty reduction action plan.

Community participation and action planning

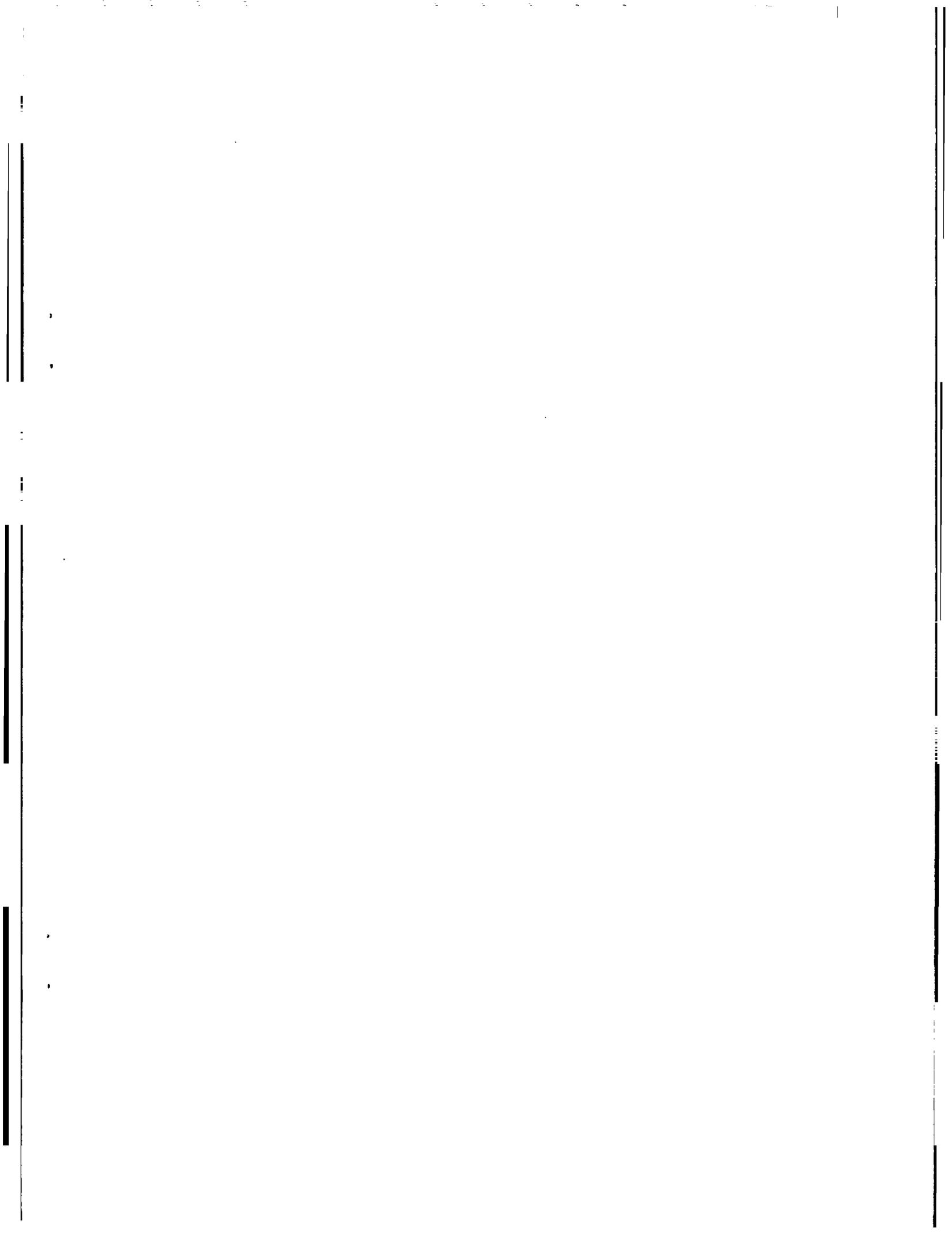
Four main informal settlements that house the majority of the poor have been identified under PAMNUP. Selected communities will be guided through a participatory process involving data collection, identification and prioritizing of needs and planning technically, socially and financially feasible interventions. Community development specialists attached to one of the agencies in Mombasa supported by technical specialists will be involved in this process. Details about the selection of communities are not yet available.

Supporting Pre-planned Components

The PAMNUP project will support a number of pre-planned projects through existing agencies and train NGOs and MCM. These proposals will be subject to preliminary review while other agencies will be encouraged to submit proposals.

Policy Support

An analysis undertaken during the planning identified a number of policy impediments to poverty interventions. The main weaknesses were at the Municipal level and included a weak regulatory framework for small businesses, inappropriate building codes, and lack of policy concerning urban growth in informal settlements.





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