

Strategic Urban Sanitation Planning

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Strategic Planning Defined

- To be **strategic**, a plan must be concerned not only with **what** is to be achieved but also with **how** it is to be achieved
- A 'Master Plan' focuses on overall objectives; it provides direction and defines investment priorities, but often:
 - Provides little guidance on **how to move towards those objectives**
 - Is **not participatory** in nature
 - Tends to be done by **consulting firms, in isolation**
 - Takes **many months (years!) and is very expensive**
- Master Plans are nevertheless important, and in some countries required by law, but should be prepared once strategic objectives and indicators are established through a strategic planning approach
- Better to adopt an **adaptive planning approach** that incorporates a series of steps leading to clearly defined intermediate objectives

Strategic Planning Principles¹

- Respond to expectations for sanitation service improvement
- Plan for inclusive and equitable sanitation services
- Ensure services are affordable and financially viable
- Integrate with other municipal services
- Focus on behavior changes
- Engage with stakeholders

¹*Sanitation 21: A Planning Framework for Improving City-wide Sanitation Services (IWA, 2014)*

To be effective, a strategic plan must pay particular attention to...

- ***Incentives*** The motivation to make sure people do the 'right thing' (includes both positive and negative incentives)
- ***Demand*** The willingness and ability of individuals/households to pay for services
- ***Allocation of responsibilities*** The assignment of who should be responsible for the various actions proposed in the plan and how efforts should be coordinated
- ***Sound finances*** The proposal should ensure that the various stakeholders have the financial resources to assume the responsibilities allocated to them in the plan

Prepare to Plan

- Prior to beginning the actual planning process, it is advisable to:
 - Obtain high-level political/institutional support - this may (should?!) include finding '*sanitation champions*'
 - Identify **partners in the planning process**
 - Develop **consensus on the need to plan**
 - Establish a **core team** to lead the process
 - Have a **timeline** in mind, so that engagement immediately precedes other activities and can **build on early momentum** from the process
 - **Allocate resources** to the planning process and implementation of the plan

Involving Stakeholders

- Partners in the planning process will vary based on local context, but may include representatives from:
 - Utilities/service providers
 - City councils
 - Other government departments
 - Community based organizations (CBOs)
 - Non-governmental organizations (NGOs)
 - Private sector firms (contractors, manual/truck FS emptiers)
 - Households & landlords
 - Research organizations/academia
- Although the full list of stakeholders may be quite long, a **core team** should be established which will be a smaller group responsible for leading the strategic planning process

Core Steps for Strategic Planning

- A strategy is a means of moving from an existing situation towards the attainment of an objective
- This suggests that to be strategic, a plan must:
 - Make a realistic assessment of the current situation
 - Identify overall objectives
 - Set out a feasible set of actions...
 - ...to move from existing situation to achieve the identified objectives

Core Steps for Strategic Planning

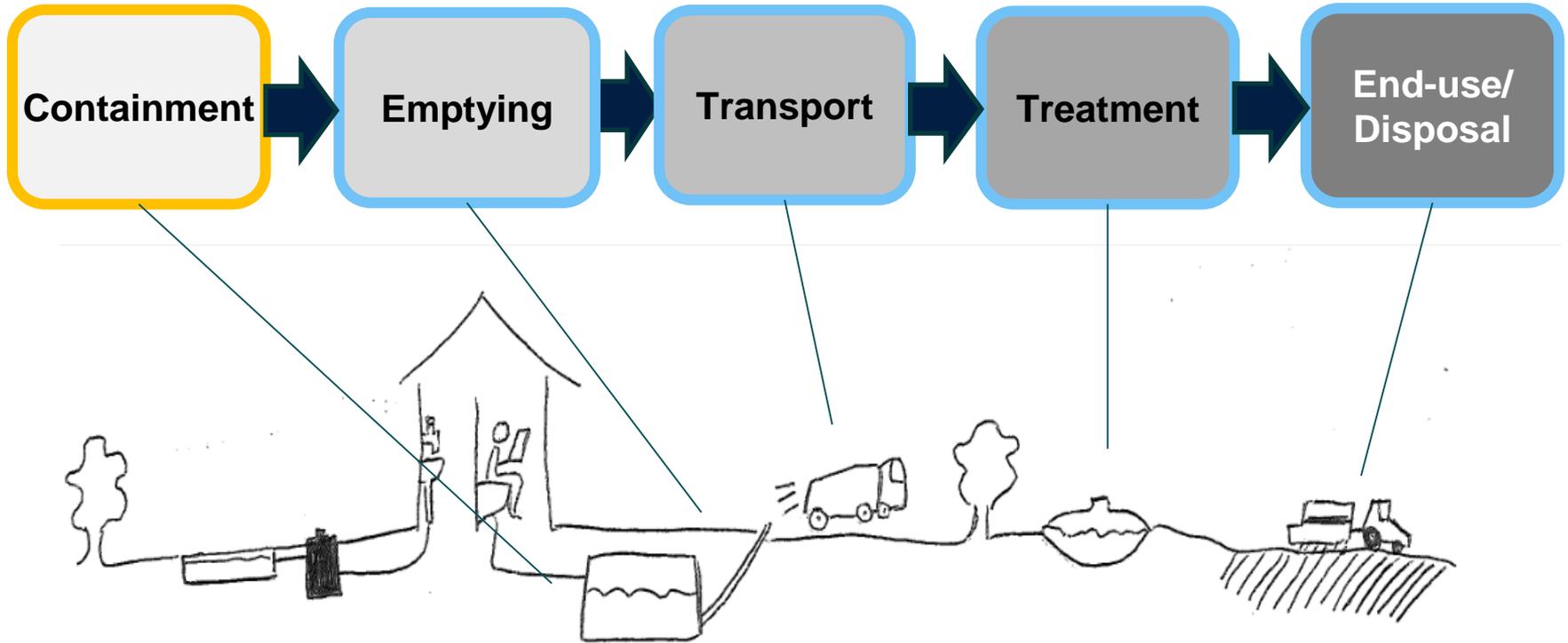
- 1. Assessment of the existing situation***
- 2. Goals for the city's urban sanitation***
- 3. Steps to achieve the objective***

1. *Assessment of the existing situation*

To assess:

- a. Institutional framework
- b. Infrastructure/service provision
- c. Financing
- d. Regulation
- e. Constraints

The Sanitation Service Chain



Service Delivery Institutions, Financing & Regulation

2. Goals for the city's urban sanitation

What is our objective?

The overall objective should be to ensure Citywide Inclusive Sanitation services that:

- ***Provides access to everyone***, including the poor, those with disabilities, and other marginalized groups
- ***Meets user aspirations*** (including privacy) and is convenient to use
- ***Protects the health of users*** across ***the full sanitation service chain***
- ***Protects the environment*** across *the full sanitation service chain*
- ***Considers resources recovery and reuse***, as appropriate
- ***Considers all sanitation needs*** (domestic, commercial, industrial)
- Relies on a range of ***appropriate technologies and service delivery***
- Are ***integrated with/take into consideration other urban service provision*** (water supply, drainage, solid waste, land-use planning) and ***urban governance*** (clear roles and responsibilities, accountability, transparency)

3. Steps to achieve the objective

‘What steps do we need to take to move from the existing situation towards our desired objective?’

- Each step should be designed to **achieve defined intermediate objectives**
- Intermediate objectives may be **linked to the institutional, technical, financial, legal and/or social aspects** of sanitation service provision
- Given the varied nature of solutions, and to be relevant to local context, this approach requires stimulating/encouraging city leaders, technicians and other stakeholders to be focused on **solving complex problems** rather than **delivering fixed solutions**
- Identify **learning/demonstration projects** => **quick win/no regret investments**

Resources on Strategic Planning

[CLUES](#) (Eawag-Sandec, UN-HABITAT, and WSSCC) – a neighborhood level planning approach, which provides detailed step-by-step recommendations for each of its 7 planning steps.

[Sanitation 21](#) (IWA, giz, eawag) – a municipal-level planning guide, which also includes neighborhood and household considerations, and which presents principles of good planning with example key activities to support those principles in practice.

[Sanitation Safety Planning](#) (WHO) – city-wide level planning based on a risk-based approach to planning that helps decision makers identify where the greatest risks are along the service chain and uses that information to prioritize investments. (available in English, French, Portuguese, Russian and Spanish)

[Urban Sanitation: A Guide to Strategic Planning](#) (Kevin Tayler, Jonathan Parkinson, Jeremy Colin) – a municipal, state/provincial and/or national level planning approach for urban sanitation (including solid and liquid waste management, drainage, etc.). It also includes a great chapter on holding participatory workshops.

[City Wide Approach for Sanitation](#) (USAID, SUWASA) – a step-by-step guide to improving municipal management of urban sanitation. Focuses on nine key steps beginning with accessing existing sanitation services through mobilizing investment for sanitation infrastructure

Thank you

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