



# Playing the long game: planning for a water secure future

Sharing the Experience of Rights-Based Multi-Stakeholder  
Water Security Planning - Insights from Lusaka, Zambia



## Acknowledgements

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# Executive Summary



**WSAIP:**  
Funded by: DFID & BMZ  
Implemented by: LCC, LWSC, ZACCI  
with support from LuWSI and GIZ”

**Like many cities around the world, the Zambian capital is experiencing a multitude of pressures on its water infrastructure and services and the increasingly fragile resources they depend on. The Water Security Action and Investment Plan (WSAIP) project responded to the need for a much more harmonised strategy to address water risks. From January 2018 to December 2019, stakeholders from across Lusaka engaged in a participatory planning process to put the city on the road towards a water secure future.**

Backed by DFID and BMZ, the lead implementing partners Lusaka City Council (LCC), Lusaka Water Supply and Sanitation Company (LWSC), Zambia’s Water Resources Management Authority (WARMA) and Zambia Chamber of Commerce and Industry (ZACCI) were supported by GIZ through the Lusaka Water Security Initiative (LuWSI). Though the WSAIP project has formally ended, the process is now intended to move from planning towards implementation. This provides an opportunity to take stock of the Lusaka water security challenge, the progress and results achieved by the WSAIP as seen through the eyes of stakeholders that were involved in the process, and any lessons and insights that have can be shared so far.

For the WSAIP, the very concept of water security for Lusaka was reimagined and approached from a broad human rights-based perspective.

The WSAIP sought to move beyond ‘business as usual’, which tends to operate within narrow sector constraints and overemphasises infrastructure and formal services. Instead, the entire process was built around the notion of ‘meaningful development’, in that it would serve the needs and rights of local people as well as deliver collective wellbeing, ecosystem protection and resilience. Ensuring the rights of residents – especially those of the poor, vulnerable and marginalised – are met and balanced with those of businesses, the wider economy and the natural environment required breaking through entrenched sectoral barriers. Existing knowledge and activities needed to be better coordinated and, crucially, communities empowered to take water stewardship actions and hold duty bearers to account.

On a practical level, the WSAIP was managed by a Project Coordination Team comprising LuWSI partners, with strategic oversight and guidance from a steering committee with broader stakeholder representation. Technical and management support was provided by a team of GIZ advisors. LCC took the lead in piloting a bespoke Community Engagement and Empowerment Process (CEEP), which reached out to local communities. With a moratorium on the formation of ward development committees (WDCs, the lowest structures of formal governance) in place, zonal representatives were

elected and trained as community facilitators in 12 of the city’s most vulnerable wards in terms of socio-economic profile and known water security risks. The CEEP tapped into local knowledge and enabled communities to identify their own development priorities. Consensus building and visioning workshops were held for local residents to draft accessible local area plans (LAPs), five of which are currently awaiting formal approval. These activities were complemented by various stakeholder events organised by the LuWSI Secretariat, GIZ and partners to gain a more detailed understanding of current threats and water security-relevant interventions. Stakeholders were encouraged to brainstorm potential solutions that would attract the attention of potential funding partners. Making a strong case for investing in water security being a key concern of the WSAIP, a team of consultants had been tasked with investigating existing data and plans for the city. Regrettably, WARMA’s disengagement from the WSAIP process and the limited availability of reliable socio-economic data for Lusaka affected progress, especially with regard to modelling future scenarios. Nonetheless, all available information was compiled into attractive online ‘story maps’ and a digital atlas. A longlist of project ideas underwent a rigorous selection process to ensure all of the agreed LuWSI action areas were covered, and first drafts were further developed into longer and more detailed concept notes to populate the WSAIP project portfolio. Following several rounds of stakeholder engagement and a final validation workshop, this comprised 27 ‘ready’ technical project concepts by March 2020.

**One of the key lessons of the WSAIP project is that there is no ‘development shortcut’ that can deliver planning in the way it was envisaged for the WSAIP**, i.e. ultimately to arrive at a comprehensive, participative water security plan owned by its stakeholders. Throughout the project, timing of activities and meeting deadlines presented difficulties, both for the CEEP and in the development of the project portfolio. For the latter, it became clear that partners and stakeholders required considerable support to nurture first ideas into project concepts. Though described as one of the highlights of the WSAIP, the CEEP experienced its own challenges and has only covered a fraction of the city population so far. It is, however, regarded as a

major step towards implementing government-mandated decentralisation, which offers critical sustainability safeguards for future engagement. The formal adoption of the human rights-based approach by LCC has been hailed as a major milestone, as was the eventual election of WDCs, in which the WSAIP had been instrumental. Without a doubt, the broader focus on water security has been catalytic in transforming city governance and moving towards integrated urban development planning. Through the close integration of the WSAIP and CEEP with wider local area planning, the WSAIP process has made planning more visible and accessible for local people. The December 2019 launch of the new water security agenda with its agreed strategic priorities was widely seen as a demonstration of political will and excellent teamwork of partners. The WSAIP project portfolio now offers a sound starting point for working on solutions that speak to the issues that have been jointly identified and prioritised by stakeholders. Securing funding for proposed project activities remains a key hurdle, and capacity development needs to continue across the board. Actioning the WSAIP will now require strong leadership (from LuWSI) and commitment (from all stakeholders, at all levels) to capitalise on the momentum built so far, and to secure investment. It is strongly recommended to ensure the strategy/agenda is revisited with local stakeholders such that it becomes easily accessible for all.

Arguably the participatory WSAIP planning process did not go as far as envisaged in the early stages of the project. At the same time, it brought many perhaps less tangible benefits. Examples are the profound changes in partner dynamics and the empowerment of some of the most marginalised city residents. Actively listening to their aspirations and priorities, without setting boundaries drawn by a ‘water security project’, has been transformational. Holistic planning for water security requires patience and the courage to break with convention: integrated planning is a long-term process that cannot be ‘completed’ within the short time-frame of a two-year project. A planning process like the WSAIP merely marks the start of working towards a water secure future, and it is inevitably a learning journey for everyone involved.



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# Abbreviations and Acronyms

CEEP	Community Engagement and Empowerment Process
DFID	Department for International Development, UK
GCAP	Green City Adaptation Programme
GIZ	Gesellschaft für Internationale Zusammenarbeit (German International Cooperation)
GRZ	Government of the Republic of Zambia
HRBA	Human Rights Based Approach
IWaSP	International Water Stewardship Programme
LAP	Local Area Plan
LCC	Lusaka City Council
LuWSI	Lusaka Water Security Initiative
LWSC	Lusaka Water Supply and Sanitation Company
LWWSP	Lusaka West Water Supply Project
MLG	Ministry of Local Government (formerly Ministry of Local Government and Housing, MLGH)
MWDSEP	Ministry of Water Development, Sanitation and Environmental Protection
NWASCO	National Water Supply and Sanitation Council
PCT	Project Coordination Team
PSC	Project Steering Committee
WARMA	Water Resources Management Authority
WFPP	Wellfield Protection Project
WSAIP	Water Security Action and Investment Plan
WWF	World Wildlife Fund
ZACCI	Zambia Chamber of Commerce and Industry
ZAMSOF	Zambia Social Forum
ZEMA	Zambia Environmental Management Agency

# CHAPTER 1: INTRODUCTION



**Good governance is important for a water secure city!**

Lusaka, the capital of the Republic of Zambia, is one of the fastest growing cities in sub-Saharan Africa. A steady and mutually reinforcing rise in economic activity and population numbers<sup>1</sup> is putting pressure on the city's water infrastructure and services, along with the increasingly fragile resources these depend on. Water insecurity is a threat to all: it affects residents, businesses and the wider economy. Successfully addressing water security risks therefore requires stakeholders from across the water sector and beyond – water users, service providers, regulators and policymakers – to define and rally behind a shared water security agenda. The troika of good governance, cooperation and well-coordinated financing then needs to materialise to turn the vision of a water secure future into a reality that delivers individual and collective wellbeing, ecosystem protection and resilience .

Over the past years, a partnership approach to the shared, yet complex, concerns and challenges of water security has been emerging in Lusaka. The most recent developments under the Water Security Action and Investment Plan (WSAIP) have sought to create a harmonised water security strategy for the city, firmly rooted in stakeholder commitment and respect for fundamental human rights. From January 2018 to December 2019, the WSAIP project was anchored at the Lusaka Water Security Initiative (LuWSI), and supported by DFID's Cities and Infrastructure for Growth programme and the German Federal Ministry for Economic Cooperation and Development (BMZ). Building on previous cooperation, GIZ's local IWaSP<sup>2</sup> team provided technical assistance to the project coordinator LuWSI, as well as the lead implementing partners Lusaka City Council (LCC), Lusaka Water Supply and Sanitation Company (LWSC), Zambia's Water Resources Management Authority (WARMA) and Zambia Chamber of Commerce and Industry (ZACCI).



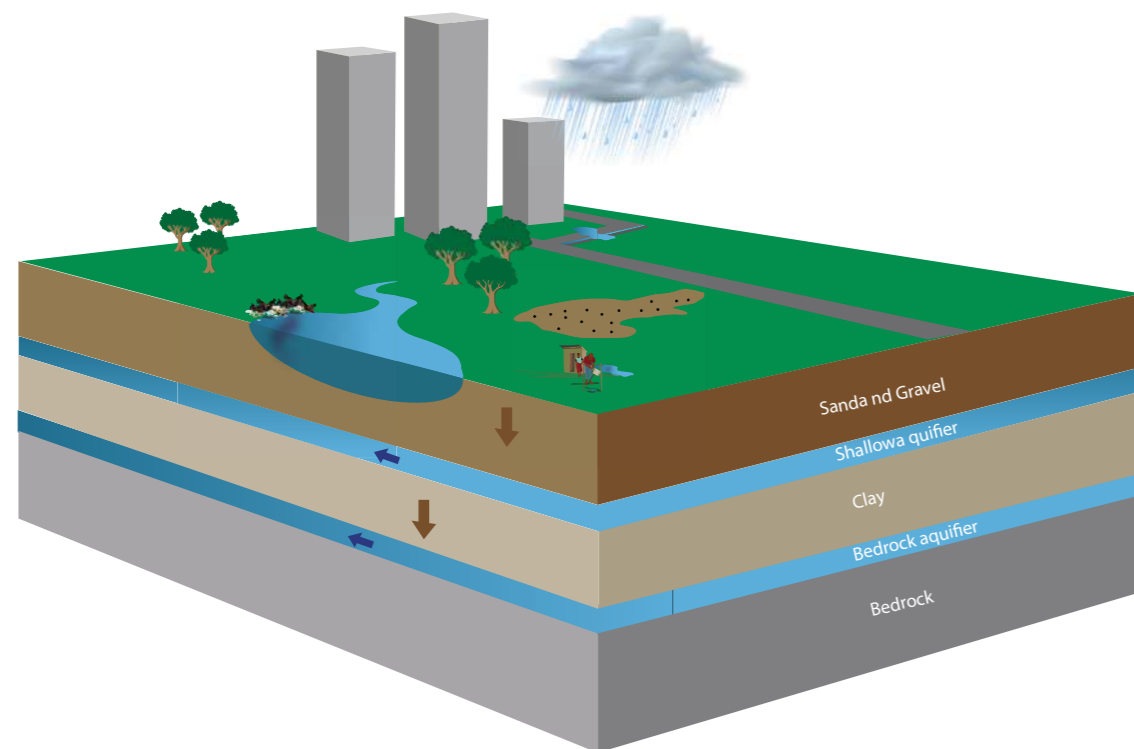
**WSAIP was built on collaboration, collective leadership and shared commitment**

This publication reflects on what has been described as ‘a two-year empowerment process that leads to an agreed course of action’, drawing on a review of project documentation and in-depth interviews with a wide range of stakeholders. The WSAIP project formally ended with the launch of a new Water Security Agenda for Lusaka in December 2019. Activities since have carried on under LuWSI.<sup>3</sup> Whilst the ongoing global Covid-19 crisis causes an unwelcome delay to implementation, it provides an opportunity to pause and take stock of the Lusaka water security challenge and any lessons that emerge at this stage of the WSAIP process. The remainder of this chapter briefly introduces the project context and WSAIP rationale. Chapter 2 sets out the WSAIP approach; chapter 3 gives an account of the actual process and the methodologies used. Progress and results as well as limitations and challenges as perceived by the various stakeholders are then discussed in chapter 4, which also highlights those less tangible impacts and consequences that so often prove critical from a development point of view. Chapter 5 presents a critical review of the extent to which the WSAIP process as it unfolded in Lusaka may offer a workable approach that can be adapted in other contexts. The report concludes with ‘key messages’ and transferable lessons for participatory water security action and investment planning exercises.

## 1.1. Origins and rationale of the WSAIP process

### The Lusaka water security challenge

Lusaka lies above a productive groundwater aquifer, which continues to provide some 60% of the city’s formal water supply. However, shortcomings in land use planning and enforcement of environmental controls, exacerbated by climate change-induced weather patterns, are turning this vital resource into a key vulnerability: on the one hand, proliferation of borehole drilling and increased abstraction is accelerating the observed drop in groundwater levels; borehole yields are decreasing and many wells are now dry for several months of the year.<sup>4</sup> On the other hand, a high average water table during the wet season and poorly constructed on-site sanitation facilities have become a dangerous combination.



Unplanned low-income settlements located in areas of the city that are prone to frequent flooding are disproportionately affected by outbreaks of waterborne disease.

With just a small fraction of households served through the municipal sewerage network, poor sanitation and solid waste disposal significantly add to the contaminant load in the underlying groundwater.<sup>5</sup> Economic development, though welcome and necessary, is making its impact felt through ‘rampant’ levels of industrial pollution<sup>6</sup> and a surge of investments atop critical groundwater recharge zones. The situation is intrinsically linked with fragmented institutional frameworks to oversee and regulate water-related activities, especially where these have no direct and obvious link to the water sector.

Capacity constraints limit monitoring and enforcement; management concepts for on-site sanitation and solid waste disposal as well as systematic, coordinated investment planning are only beginning to emerge.<sup>7</sup>

### The Lusaka Water Security Initiative

The complexity of the water security challenge calls for concerted action. Discussions on water security and the multi-stakeholder partnerships that would be required to achieve it first started in 2013; by the end of December 2016, the Lusaka Water Security Initiative (LuWSI) was formally launched. Public sector, private sector, civil society and international partners had formally committed to work towards a joint mission of safeguarding the city’s water resources and improving water and sanitation services for all.<sup>8</sup> Balancing the interests and rights of residents – especially those of the poor, vulnerable and marginalised – and businesses, as well as the wider economy and environment would require breaking through customary sectoral barriers, sharing knowledge and engaging in dialogue such that projects and interventions would become harmonised.

### LuWSI Functions





## LuWSI Partners Five Action Areas



access to water supply and sanitation services in an expanding city, urban flood risk management,



urban flood risk management,



groundwater pollution prevention through resource protection and improved sanitation

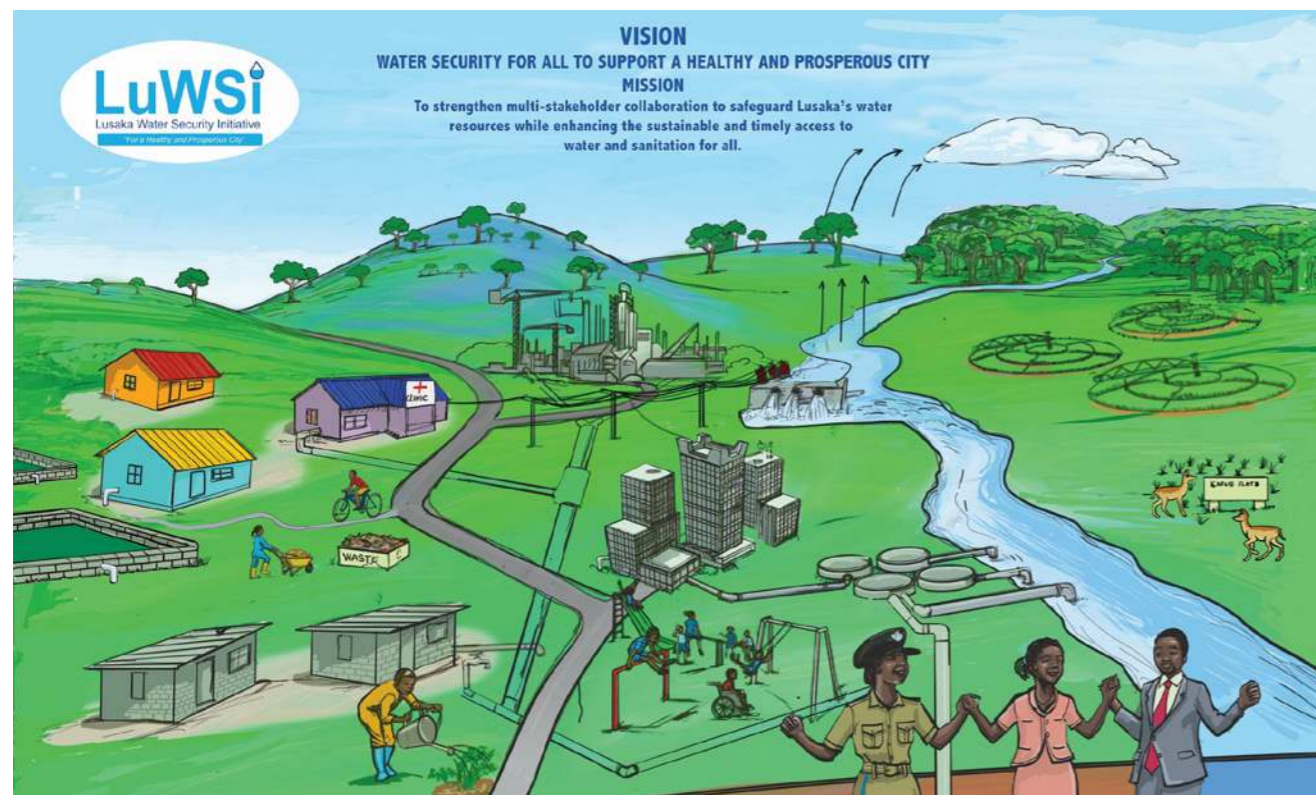


sustainable groundwater exploitation and



sustainable water management in the Kafue River Basin.<sup>9</sup>

The strategic focus had been agreed and a stakeholder network was beginning to form. Housed within the premises of the well-respected National Water Supply and Sanitation Council (NWASCO, the services regulator), the LuWSI Secretariat enjoyed the support of a range of influential stakeholders, which would provide a level of shielding from competing vested interests. To maximise its impact, LuWSI needed to develop a way forward to tackle water management, land use and urban planning – then best described as ad hoc – in a holistic manner. Partners were lacking a clear water security agenda and a framework for taking concrete action. There was no shortage of plans for Lusaka: the city already had an Urban Development Plan<sup>10</sup> and various thematic master plans<sup>11</sup>, all underpinned by best available research. Numerous studies funded by government departments and development partners were lining shelves in decision makers' offices throughout the city. The time was ripe to gather all existing knowledge, potential and power together in pursuit of the shared water security goal: the idea of a jointly owned Water Security Action and Investment Plan was born.





# CHAPTER 2: THE WSAIP APPROACH



Water security implies capacity of a people to:

1. safeguard access to water
2. prevent disasters (eg. floods, epidemics)
3. preserve environment

## 2.1. Planning as part of meaningful development

From the early beginnings, LuWSI had paid detailed attention to the institutional frameworks that govern decision-making, including informal aspects that can undermine or adversely influence water risks. A tendency for the public sector to focus on narrow specialisms, the ever-present risk of political influence, but also a general lack of accepting personal responsibility for public goods and services had been noted as threats to long-term strategic planning for a water secure city.<sup>12</sup> By 2016, the President declared an end to the counterproductive practice of silo thinking, which ‘ultimately leads us to nowhere’.<sup>13</sup> With the publication of the Seventh National Development Plan (7NDP), the Government of Zambia (GRZ) explicitly recognised the importance of integrated approaches to achieve long-term sustainable development.<sup>14</sup> GRZ had already emphasised its commitment to handing greater control over local affairs to citizens with the publication of the 2014 National Decentralisation Policy.<sup>15</sup>

These high-level political developments chimed with LuWSI’s understanding of water security as centred around These high-level political developments chimed with LuWSI’s understanding of water security as centred around the ‘capacity of a people to safeguard sustainable access to water, prevent disasters and preserve ecosystems’.<sup>16</sup>

In addition, protecting human rights and aspiring to sustainable impact were the first of LuWSI’s fundamental principles.<sup>17</sup>

For too long, partners had witnessed piecemeal and contradictory approaches to ‘development’, and large investments directed towards interventions selected by technocrats, politicians and financiers. However well-intentioned, too often the outcomes had too little an impact on the priority concerns of ordinary citizens. Now, however, an opportune constellation of favourable national policy and pressure on implementers to take action had appeared, and donors were willing to support a human rights-based, governance-centred approach to planning for long-term water security.

The entire WSAIP process was built around the notion of ‘meaningful development’. A basic premise was that development cannot be meaningful if it does not respond to the needs, and importantly, the rights of the people it is meant to serve, or if people cannot understand – and therefore will not support – the more objective requirements, including their own responsibilities, to secure their livelihoods into the future. To achieve this, a conventional ‘plan’, however sound and convincing from a technical and financial point of view, was never going to be sufficient. Consequently, the WSAIP was conceived as a participatory planning process.



Much like the best planning exercises that had come before it, the WSAIP would draw on rigorous science and analysis. Unlike others, it would not compromise on stakeholder empowerment and local capacity building. Through this, it envisaged to foster joint ownership of any resultant plan or agenda amongst partners from all walks of life. A way forward developed and owned by all stakeholders would reflect local priorities. The WSAIP would cut across water supply and sanitation services, water resources management and much-needed urban planning. It would work with the widest possible range of stakeholders to improve understanding and generate viable and investable solutions to improve the city's water security. Reaching such a broad consensus and empowerment in itself would amount to a useful first step towards meaningful, sustainable development. Water security could follow if the WSAIP succeeded in energising momentum and securing long-term commitment and capable leadership for its future operationalisation.

## 2.2. Planning for a plan

### Theory of change

The WSAIP process was designed around a flexible and reflective 'theory of change' framework.<sup>18</sup> Planning for a water secure Lusaka was clearly going to be an ambitious undertaking, and the outcome was still open. The process would require careful navigation through a complex present situation: a continuous cycle of testing, observing, reflecting, critically reviewing and adapting a way towards a plan, starting with a shared agenda. The stakeholder-centred approach introduced further unpredictability. As such, a 'project coordination team' (see below) would function as facilitators of mutual learning and reflection as much as a focal point for more conventional aspects of the action and investment 'plan'.

The Human Rights Based Approach at the heart of the WSAIP process

In line with its commitment to meaningful development (and the 2030 Agenda for Sustainable



Development), the WSAIP adopted the Human Rights Based Approach (HRBA) as its overarching paradigm. Achieving water security would hinge on simultaneously addressing the direct hydrological, environmental and geological causes of water insecurity and their underlying societal and cultural root causes: a history of low investment, poor governance and disempowered citizens needed to be overcome. Lusaka's residents needed to be enabled to claim their rights and engage with their elected representatives at eye level. People, in their capacity as private individuals, business owners, elected officials and technocrats, needed to understand their roles as rights holders and also bearers of a legal or moral duty (or both) to ensure human rights are respected, protected and fulfilled for all. In practical terms, the WSAIP needed to find ways of supporting the meaningful engagement between citizens (many of whom remained unwitting rights holders) and the various government agencies (the primary legal duty bearers) demanded by the HRBA.<sup>19</sup> It needed to connect communities, particularly those with the least power to claim their rights, with Lusaka City Council as the custodian of the city. The transformation towards a human rights perspective was the most profound change proposed by the WSAIP project; in many respects, it would also prove the most challenging.

Anticipated results and outcomes of the WSAIP

As its name suggests, the WSAIP intended to catalyse new action and investments to improve water security. The envisaged water security agenda was to be complemented with a portfolio of financially viable project proposals. This would be grounded in analyses of the socio-economic costs of different water security scenarios as well as likely costs and benefits of potential solutions.

Put forward, vetted and prioritised by stakeholders, the project portfolio would offer a first menu of options for investment and implementation to improve water security in Lusaka. As part of the process, LuWSI's position as the mutual accountability platform and coordinator of activities and investments in Lusaka would be strengthened.<sup>20</sup> The anticipated 'high-level outcomes' and key outputs of the WSAIP project had been first sketched out in early 2017. However, true to its basic premise, early suggestions for detailed project elements were subject to extensive stakeholder consultation. These negotiations involved a series of Project Coordination Team meetings, project development workshops involving all key partners and bilateral consultations between GIZ and each lead partner – LWSC, LCC, WARMA, ZACCI and the LuWSI Secretariat. By early summer 2018, eight interconnected and mutually reinforcing outputs (cf. figure 1) and concrete deliverables and responsibilities had been agreed.

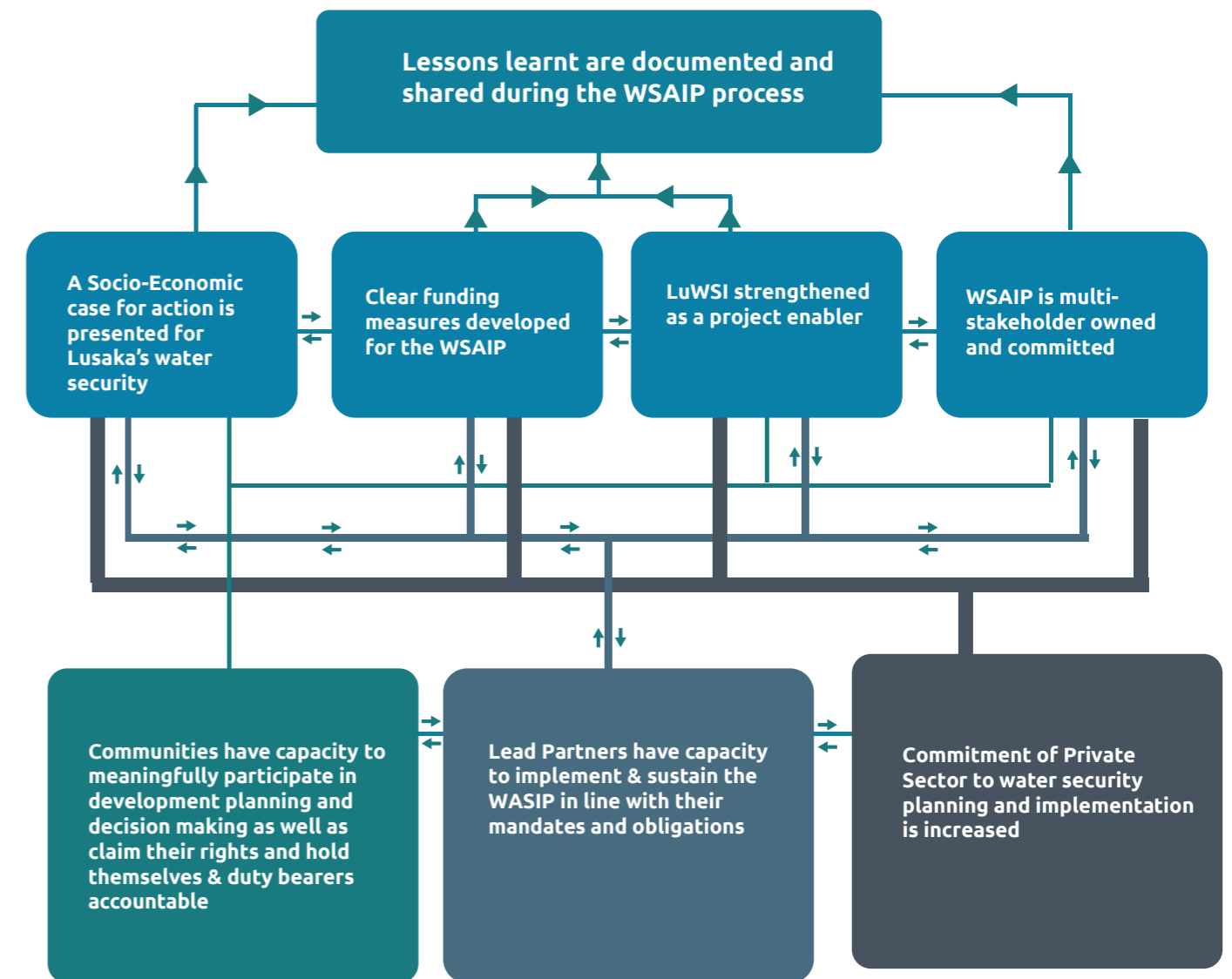
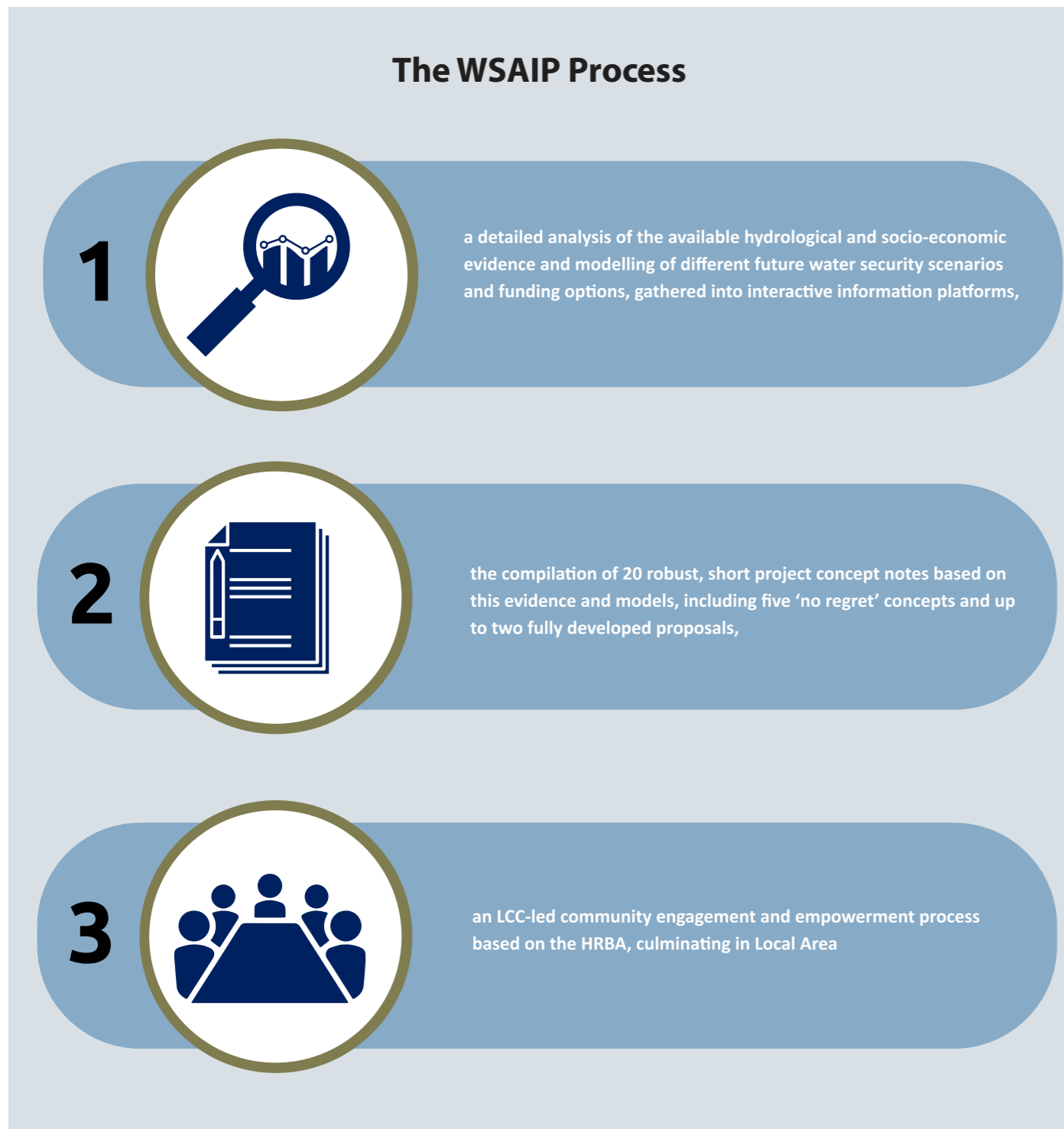


Figure 1: Agreed WSAIP outputs. Adapted from: The Lusaka Security Action and Investment Plan. GIZ End of Project Technical Report. Final Version, 30th March 2020.

In brief, in terms of concrete actions and/or deliverables, the WSAIP process was expected to entail the following:

- a detailed analysis of the available hydrological and socio-economic evidence and modelling of different future water security scenarios and funding options, gathered into interactive information platforms,
- the compilation of 20 robust, short project concept notes based on this evidence and models, including five 'no regret' concepts and up to two fully developed proposals,
- an LCC-led community engagement and empowerment process based on the HRBA, culminating in Local Area Plans that reflected the communities' water security concerns and strengthened community participation in LCC planning and decision-making.<sup>21</sup>



### Governance structure

Again, the detailed project structure (summarised in figure 2 below) was developed together with stakeholders to maximise legitimacy and ownership. Day-to-day management of the WSAIP process would be led by a Project Coordination Team (PCT) comprising representatives of LCC, LWSC, WARMA, ZACCI, and the LuWSI Secretariat, with technical and management support from GIZ.<sup>22</sup>

A Project Steering Committee (PSC) was established to provide strategic oversight and guidance. Besides the implementing partners, the PSC brought together key ministries and government departments (such as the Ministry of Lands and Natural Resources and the Ministry of Health, the Public Private Partnership department of the Ministry of Finance and Lusaka Provincial Health Office), civil society and community organisations, business representatives, regulators, research organisations and international development partners. Through the participation of non-LuWSI members, the PSC brought additional expertise to the table.

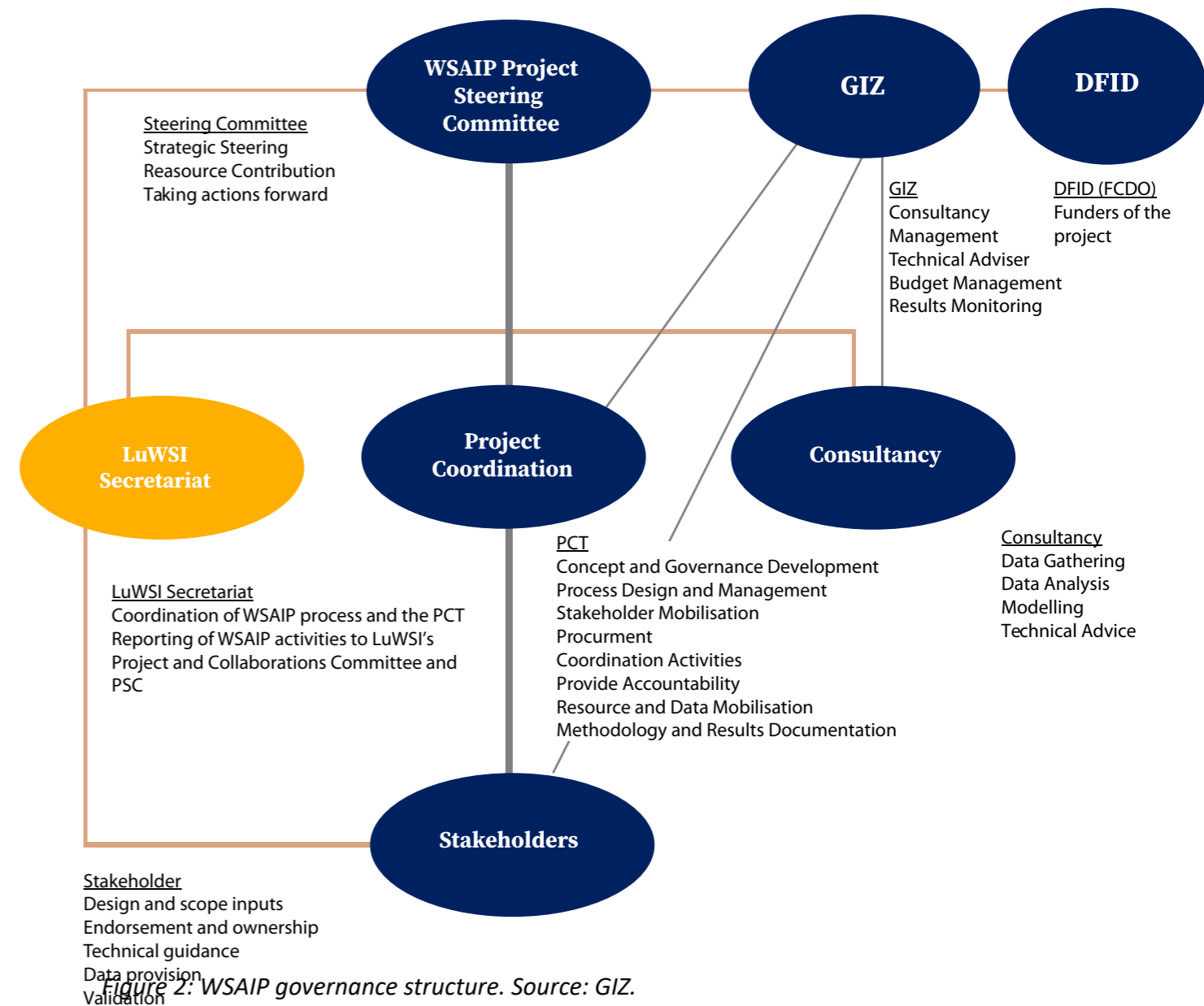


Figure 2: WSAIP governance structure. Source: GIZ.



# CHAPTER 3: THE WSAIP PROCESS AND METHODOLOGIES



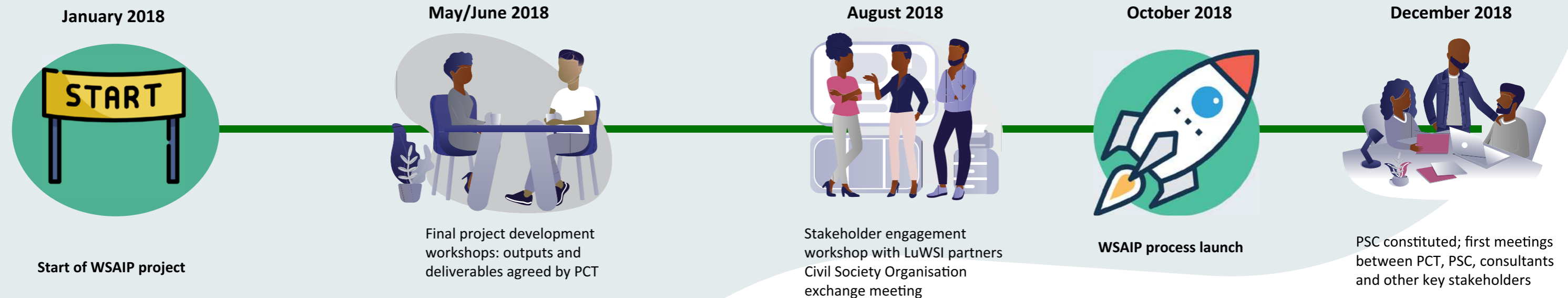
Much of 2018, the first year of the WSAIP project, was dedicated to capacity and consensus building activities around the plan and the process. As shown in the timeline, the WSAIP was launched in October 2018.<sup>23</sup> By December 2018, the Project Steering Committee had been constituted, a team of international and local consultants to support the planned research and analysis as well as the detailed modelling activities had been recruited, and preliminary data collection started for the hydrological and socio-economic study.

Throughout its second year, capacity building focused on strengthening leadership and helping LuWSI partners implement advocacy, awareness raising and training activities to engage with and secure commitment from the private sector and local communities. The WSAIP project selected and targeted stakeholders for involvement based on an initial stakeholder analysis and in consultation with the PCT and lead institutions. Figures 3 and 4 summarise key steps and milestones in the WSAIP planning process.

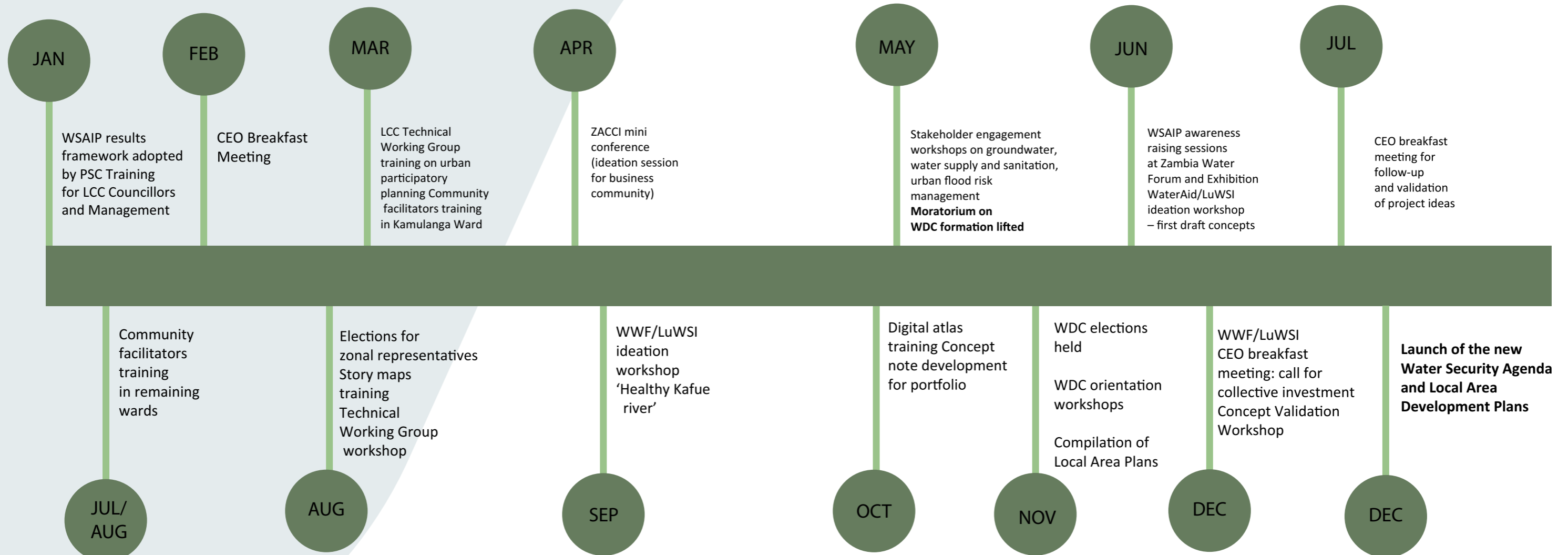


# 2018

## Timeline and milestones

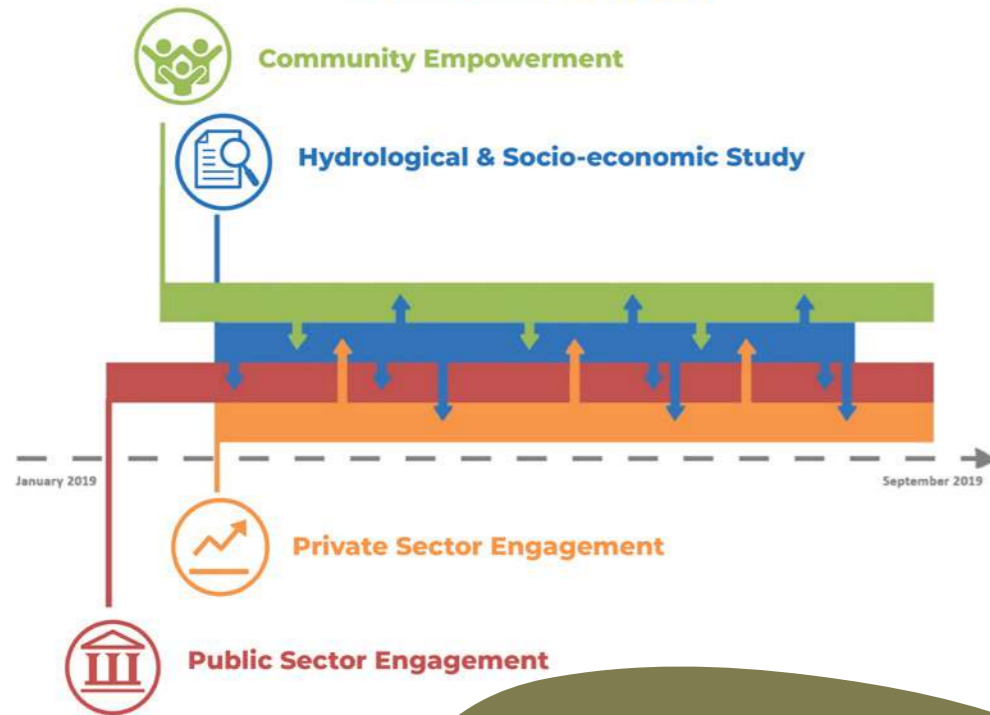


# 2019





## The WSAIP Process



### 3.2. The Community Engagement and Empowerment Process

Existing government decentralisation policy required the strengthening of local governance and citizen engagement in local planning and development decisions. A new Local Government Act that would reinforce these provisions was on the horizon.<sup>24</sup> With the obligations for LCC clearly spelt out in the law and aligned with the human rights-based approach of the WSAIP, the process offered a chance to pilot meaningful and equitable engagement with communities. Participation in the past had mostly consisted of tokenistic consultations, without enabling (or indeed aspiring to) increasing community control over development processes and genuine engagement. To change the one-way nature of previous interactions with citizens and communities, training (in HRBA and community empowerment, as well as a number of emerging issues such as climate change) was offered to councillors and council staff. At all levels of LCC, officials were encouraged to inter-nalise their role as duty bearers with

**Community control is the essential element of community empowerment!**

a legal responsibility for enabling active participation and social inclusion, and direct accountability towards members of the community. Under the leadership of Lusaka City Council, a Community Engagement and Empowerment Process (CEEP) was devised to help residents realise their civic rights and duties,<sup>25</sup> and to tap into their local knowledge for the development of Local Area Plans (LAPs). These plans in turn could feed into the WSAIP as well as LCC's integrated urban development plan. As a first step, the requisite governance structures need to be established in the 33 wards of the city. Ward Development Committees (WDC) had long been envisaged to address existing institutional deficiencies: according to GRZ guidance dating from 2012, wards had been 'identified as the fourth level structure of governance, lowest planning entity in the development and planning framework and [...] therefore a center of focus in ensuring citizen participation.'<sup>26</sup>

**The Human Rights Based Approach (HRBA) enabled partners address root causes in a manner that was inclusive and more likely to produce sustainable outcomes**

With an unexplained moratorium on WDC formation in place, a workaround had to be found whilst lobbying continued to lift the restrictions. Meanwhile, as part of its preparations for the CEEP, LCC had formed a Technical Working Group (TWG). Consisting of two staff representatives from each LCC department, the TWG met weekly to plan and coordinate the CEEP. TWG members were involved in the development of training manuals for facilitators to lead the engagement activities, and themselves attended HRBA training and participated in community meetings to help community members draft and review their LAPs. Time and budgetary constraints limited the CEEP to start in 12 priority wards in low-income areas, chosen on the basis of known water security risks. Supported by a team of consultants, GIZ advisors, CSOs and the University of Zambia,<sup>27</sup> LCC supported 460 newly-trained facilitators from the selected communities to reach out to 23,000 households. In the absence of formal WDCs, these community facilitators had been duly elected as zonal representatives (each zone comprising some 100 households). The elections mirrored the requirements for gender balance and social inclusion of the WDC guidelines for local authorities. Having two rather than just one representative from each zone was a deliberate choice to preserve institutional memory in fluctuating communities. Provisions were made to ensure persons with disability could stand for election and their disabilities would be accommodated to allow full participation in the CEEP. Whilst this enabled the CEEP to proceed in a fair and systematic manner, advocacy work<sup>28</sup> continued to put the new structures on a formal legal footing. With the aid of a sympathetic minister and following a clear Ministry of Local Government process, the moratorium on WDC formation was lifted in May 2019 and elections were held in November. This process could be fast-tracked by promoting one of the zonal representatives of each zone to the WDC, such that all 12 wards soon had fully constituted WDCs with some prior experience of mobilising and organising communities in place. On advice of the WSAIP team, LCC officers withstood political pressure and implemented election guidelines to elect a neutral chairperson from

the community instead of an ex-official, to help de-politicise local decision-making.<sup>29</sup> LCC had already undertaken community profiling of the 12 wards to gain a first understanding of local concerns. After attending training in local area planning, which pressed home their critical role in querying the status quo, the facilitators were supported to help their respective communities reflect on their priorities and envision a better place to live. Using transect walks and community meetings, facilitators guided local residents through a mapping of their own physical and socio-economic data, which was transferred onto GIS maps provided by LCC.<sup>30</sup> By allowing local people to map their communities as they saw them, this process was able to capture details that surveys led by external data collectors would not have been able to access. It also pinpointed some factual errors and misperceptions in official data sets, which could now be corrected.





Developing the LAPs through the CEEP followed the basic national decentralisation process set out by government and from the beginning the conversation was not limited to water per se, but implicitly centred on ensuring that water security would be attained. Consensus building and visioning workshops were held to develop simple – and therefore accessible – participatory local area plans to maintain the connection with the people but allow for their priorities to be expressed clearly. Community members were guided by their community facilitator to identify their development needs from their maps and other exercises, and to analyse them using simple participatory tools such as the ‘Five Whys’<sup>31</sup>. Communities assessed and debated what they saw as urgent and important, developed problem trees and sought solutions. Again, the facilitators were at hand to help with understanding matters related to power balances, gender, social disadvantage and inclusion, but refrained from pushing any particular agenda. Through this process communities developed their prioritised list of development needs, which they included in their Local Area Plans. From strategising on how to tackle priority issues, the discussions moved on to what type of investment would be needed and what community members themselves would be able to contribute. Communities formulated aspirations for the future and pledged commitment to playing an active role in achieving their own development objectives. The draft plans were peer reviewed, and a team of LCC technocrats worked with the communities to refine their LAPs, after which they were taken back to the community for validation.<sup>32</sup> The first five LAPs are now awaiting public disclosure and final approval from the Ministry of Local Government.

### 3.3. Modelling and information management

Making a strong case for investing in Lusaka’s future water security was a key concern of the WSAIP. Estimating how water security might develop under business-as-usual, best-case and worst-case scenarios required exploring the geo-hydrological as well as the socio-economic data and likely impacts of different levels of investment. With much information already known to be languishing in files and documents, WSAIP partners made a strategic decision to improve the accessibility of data, and emphasising the stories behind it that would persuade stakeholders to take action. Web-based platforms were therefore chosen as the most suitable form of knowledge management. A team of international consultants, supported by national experts, was tasked with reviewing existing plans and data (or best available estimates) for residential and industrial water supply and demand, infrastructure development, population and city growth, flooding and other (e.g. climate change-induced) impacts. 2035 had been chosen as the time horizon for the macro analysis and modelling activities in line with the Water Master Plan and other national strategies. Additional socio-economic data was gathered by local researchers. Outputs, including a 3Di flash flood model, were compiled into highly visual, online ‘story maps’ and a digital atlas. The digital atlas was created as an easily accessible planning tool, using open-source software. Primarily aimed at technical staff, it holds GIS-referenced data, such as groundwater or flash flood vulnerability maps, for quick reference. Staff from partner institutions have been trained to use and maintain the atlas, allowing them to add and disseminate new data sets, for instance. Background information and water security scenarios were presented in the story maps, which are a series of clickable maps with an accompanying narrative, arranged into different themes.<sup>33</sup> Again, the consultants provided training to WSAIP partners. The atlas and story maps, together with synopses of over 150 documents that are relevant to water security in Lusaka (part of a document repository), form the basis of ongoing efforts to establish an online interactive knowledge and information management system.

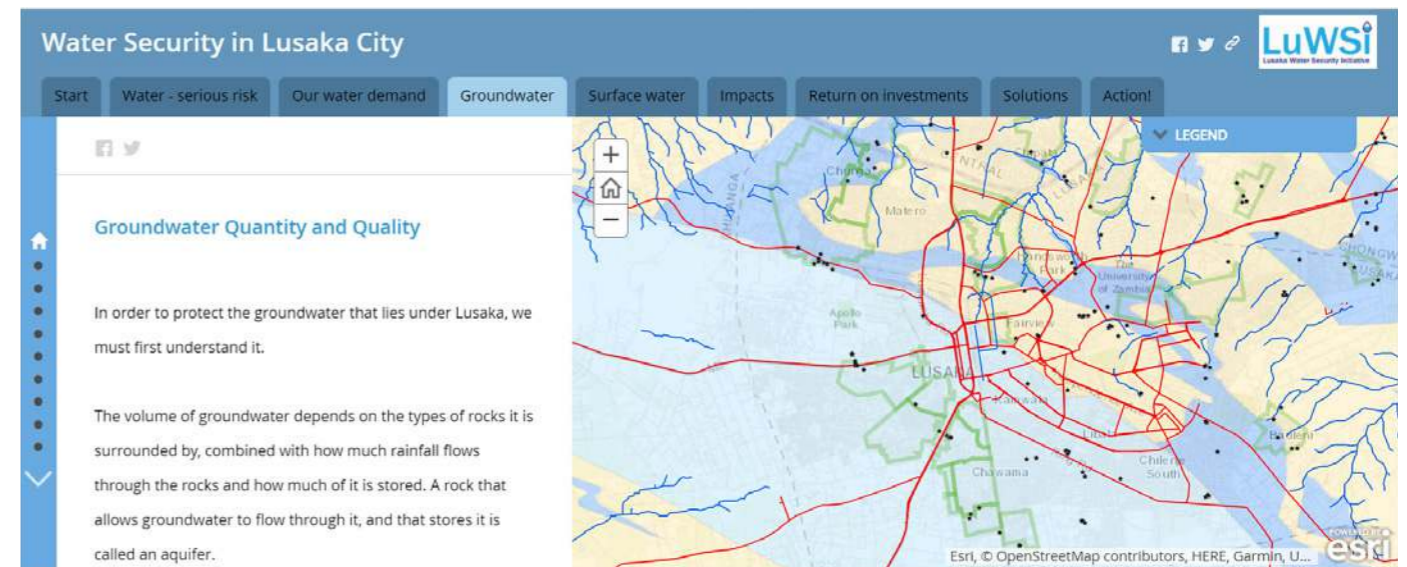


Figure 5: illustrations of the story map and the digital atlas

### 3.4. Developing the project portfolio

The same team of consultants had also been tasked with creating a framework for developing the WSAIP project portfolio – gathering a long list of project ideas, filtering these according to LuWSI action areas, and refining a selected number of concrete proposals to move towards bankable projects ready for investment and implementation. The different stages that projects identified under the WSAIP were envisaged to undergo (during the WSAIP planning process and beyond) are summarised in figure 5.<sup>34</sup>

WSAIP established a collective, dynamic, coherent and growing portfolio of projects and investment ideas to address water security and city resilience challenges in an adaptable manner



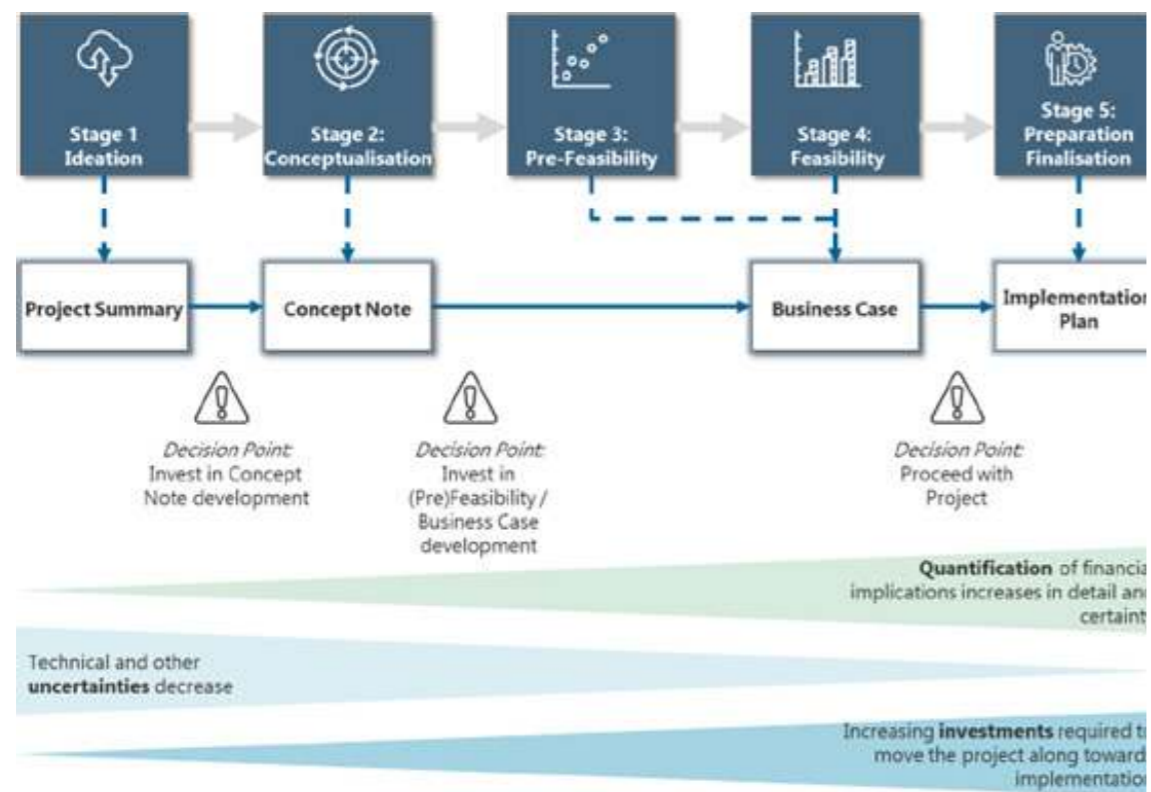


Figure 5: WSAIP project development framework Source: Background Report. Water Security Action and Investment Plan Lusaka. Nelen and Schuurmans. 2019.

The ‘project longlist’: from first ideas to concrete project summaries

Some potential projects were contained in the various existing studies and plans for Lusaka, or originated in conversations with LuWSI partners, the PCT and PSC, and technical experts. Alongside their research for the geohydrological and socio-economic study, the consultants listened out for recurring mention of water security problems and compiled a list of suggestions that could make their way onto the longlist. Further ideas for projects were gathered through ‘ideation sessions’ that brought together a wide range of stakeholders, including the ZACCI ‘mini conference’ for businesses. The LuWSI Secretariat, GIZ and partners held ideation workshops with the aim of gaining a broader and more detailed understanding of current threats and water security-relevant interventions and to brainstorm solutions. WaterAid and later the World Wildlife Fund (WWF) co-convened two of these workshops in June and September, where NGOs also contributed suggestions based on their cooperation with communities and the public sector. This first longlist of project ideas was then clustered according to the LuWSI action areas and vetted by the LuWSI Secretariat, PCT/PSC and consultancy team. The aim at this stage was to choose a selection of project ideas to be developed into more formal ‘project summaries’: urgent, technically feasible and financially viable projects would be moved forward, provided they satisfied ‘SMART’ criteria<sup>35</sup>.

Vague ideas were rejected, similar ones combined, and some unwieldy projects split into two. At this stage, some action areas were already well-represented; further ideas would need to be sought for others (notably the Kafue river – this was picked up in the Kafue river ideation workshop facilitated by the WWF).

Refining and whittling down project ideas into robust concept notes for the WSAIP portfolio

The next stage was to get these technical project ideas onto paper in a structured way and set them off on the road to becoming concept notes that could be aligned with community priorities (as indicated in LAPs) and shared with potential funding partners. The consultants had prepared a template, which was loosely based on the ‘fact sheets’ used by international financing institutions.<sup>36</sup> Two-page project summaries detailing location, timeline, context, key stakeholders and risks, as well as first estimates for budget, beneficiaries and contributions to the SDGs, were to be developed by ‘project champions’, i.e. key stakeholders or ‘lead implementers’ of the ideas expressed within the templates.<sup>37</sup> Writing workshops were convened by LuWSI/GIZ to develop the first draft project summaries into longer and more detailed concept notes, for which a similar template had been drafted.<sup>38</sup> Further consultancy support was then enlisted to work on the more detailed conceptualisation, as the PCT had set itself a target of completing

seven concepts that would be sufficiently robust to advance to pre-feasibility. Figure 6 provides a summary of the route for finding, refining and whittling down the project proposals. As of March 2020, the WSAIP project portfolio comprised 27 ‘ready’ technical concepts, with another five requiring further consultation with the lead implementers. Progress from here (in terms of implementation) is discussed in chapter 4.

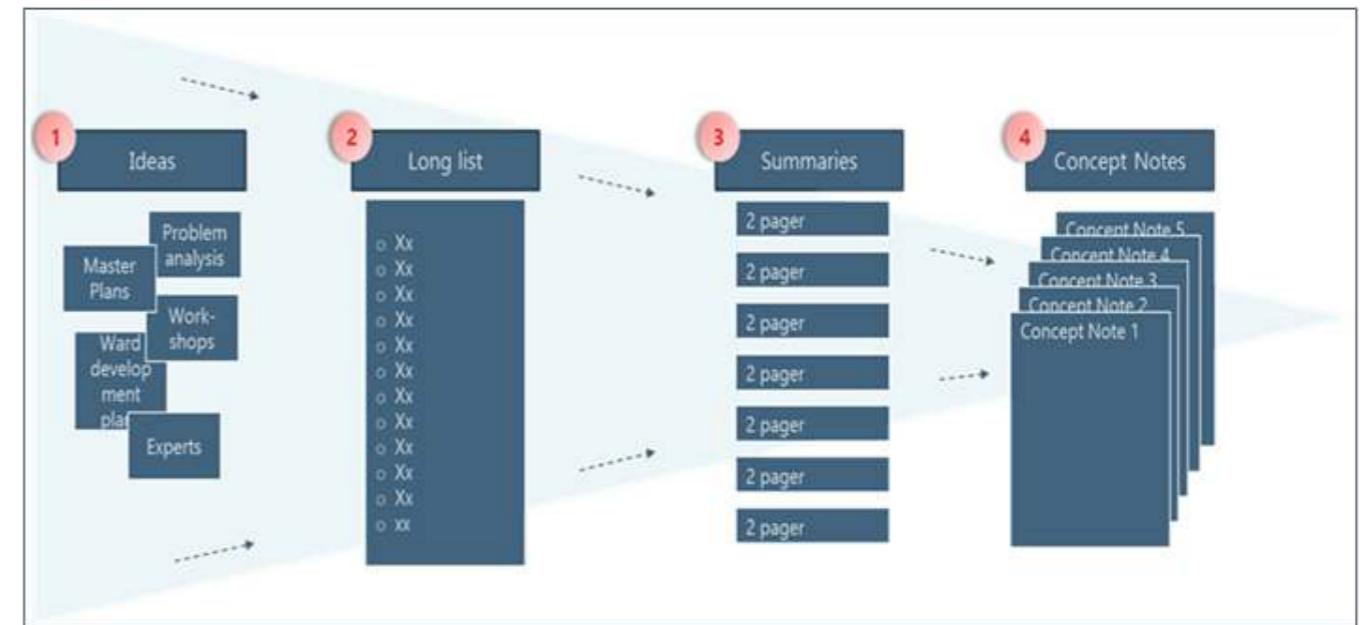


Figure 6: Prioritisation of ideas – from the longlist to concept notes for the portfolio. Source: Background Report. Water Security Action and Investment Plan Lusaka. Nelen and Schuurmans. 2019.





# CHAPTER 3: THE WSAIP PROCESS AND METHODOLOGIES



This chapter reviews the progress and results achieved by the WSAIP as seen through the eyes of stakeholders that were involved in the process, either as part of the project team or as active participants in the WSAIP process. It discusses some of the project limitations, whether due to unforeseeable circumstances or unintended consequences, and touches on the challenge that remains for taking the new Lusaka water security agenda and projects forward.

## 4.1. Data, information and knowledge management

### Data analysis and modelling

Stakeholders have welcomed the WSAIP's attempt to gain a holistic understanding of Lusaka's water security issues. Whilst much prior research of water security relevance was known to have taken place, access to this data proved difficult to obtain. WARMA had been envisaged as the main counterpart for the consultancy team; regrettably, the regulator's disengagement from the WSAIP process in late 2018 coincided with the planned start of hydrogeological assessments and modelling activities. Though some data sets could be procured through LWSC intermediation, progress was slowed significantly and affected the quality of the models. The multi-disciplinary approach was further hampered by the very limited availability of reliable socio-economic data for Lusaka (and indeed Zambia overall).

Some efforts were made to compensate for data gaps; a small-scale survey of water users was commissioned, and supporting information gathered from the private sector regarding businesses' water security risks and concerns. However, the data limitations impaired the development of plausible water security scenarios. Further research will be required to strengthen the message contained in the story maps to enhance their usefulness for investment planning, and particularly to persuade potential funding partners.

Hosting and updating information management tools

The digital atlas was primarily conceived in response to local demand for an interactive tool that would allow planners easier access to complex groundwater data to guide their decision-making. Together with the story maps, it provides an excellent basis from which a more intuitive and interactive knowledge and information system can be developed. While the digital atlas is hosted locally on the NWASCO server, the story maps are currently hosted on the consultants' servers abroad. It is anticipated that public access to story maps and the digital atlas will soon be possible via the LuWSI website. Many would prefer to see the story maps moving to a local server as well, so both can be operated more independently and cost efficiently.



## 4.2. Building and curating a 'living and growing' project portfolio

The ideas gathering process generated numerous excellent suggestions that were deemed viable and likely to attract donor interest. However, by August 2019, the various activities under the WSAIP were becoming increasingly difficult to keep in step with each other. The CEEP was still in full swing when the main consultancy assignment was pressing ahead with the selection of project ideas and concept notes to populate the portfolio. The ideation workshops had prompted stakeholders to think beyond what was necessary and urgent for Lusaka and consider the elements of a project that would catch the eye of potential funding partners. Despite the wealth of local expertise brought together at the workshops, initial progress in completing the templates exposed many gaps in information. Few of the participants had any prior experience of formulating project proposals. Consequently, many concepts lacked depth and the requisite supporting data, the latter being exacerbated by WARMA's absence from the discussions; budget estimates in particular proved a stumbling block. When the first consultancy assignment came to an end, the WSAIP did have 27 concepts, but these still resembled an assortment of project ideas. These now needed to be elaborated to provide the envisaged 'jumping off point' for the process to move through the (pre-) feasibility stages towards implementation.

It became clear that partners and stakeholders required more support to nurture their ideas into project concepts than was originally anticipated. The template documents for the high-level project summaries and the more detailed concept notes, though well-intentioned and well-designed, had highlighted the ongoing need for capacity development. Another consultant was tasked with analysing and addressing structural and informational gaps; LuWSI and GIZ facilitated the collection of the missing technical information. This time, the consultant focused on a gap analysis, meeting key stakeholders to try and hone in on the concept itself,<sup>39</sup> rather than focusing on the template document: though objectively excellent as a framework guide, without help, many workshop participants had found it inflexible and somewhat daunting to complete. The revised concepts were fleshed out with data as well as references to similar (already completed) projects, value chains, operations and maintenance considerations, and the underlying theory of change. Some proposed activities could be merged into stronger concepts, thus increasing scalable impact and the likelihood of sourcing financing.

Discussions also focused on the need for the concept notes to reflect the origin of the project idea, especially where this connects a proposed intervention with the 'beneficiary community'<sup>40</sup>: given the central role of the HRBA and CEEP in the WSAIP process, it was important to highlight community control and engagement in the concept notes and project portfolio.

Following several rounds of stakeholder workshops, including the final concept validation in December, the LuWSI team is now in a position to continue the iterative process of selecting and elaborating further project proposals and concept notes to add to the portfolio. There is a sense of urgency to progress more project concepts towards implementation. There is also some anxiety about producing tangible results, as funding is proving a major bottleneck. The LuWSI team's concerns are echoed by community stakeholders, who are keen to see the suggestions put forward in the local area plans going forward. LuWSI partners are pressing on with feasibility studies for major interventions, such as the Lusaka West Water Supply Project (LWWSP) and the Wellfield Protection Project (WFPP), as part of Green Cities Adaptation Programme (GCAP) funded by DFID under its Cities and Infrastructure for Growth programme. There is justified pride in the achievements of the partnership, which has drawn new supporters into the fold (e.g. drinks giants *Zambian Breweries* and *Coca Cola*, different LCC departments and ministries, such as Health and National Development Planning, who were previously not directly engaged in 'water') and rekindled cooperation with WARMA.<sup>41</sup> Other players are reportedly positioning themselves within the framework of the WSAIP,<sup>42</sup> and partners are continuing to spread the message in their networks.

While the plan is seen as achieving first demonstrable results, GCAP funding is not fully secure and has yet to be found for many other proposed projects. With the Covid-19 pandemic dominating headlines, it is naturally more difficult to move forward with any project relating to long-term water security,<sup>43</sup> however beneficial and viable. LuWSI will have to find ways to support fundraising for proposed activities – whilst having to secure its own financial future. Partners are working on devising a business plan for sustaining the work of the Secretariat to oversee the partnership and portfolio. As for investments, there may be scope to concentrate on some concepts that specifically target the interests of the private sector (suggestions include focusing on value chains), whose investment in water security planning, most notably in financial terms, but also in terms of the sector's overall dedication to the new agenda has remained limited so far.

## 4.3. Participatory planning and embedding the HRBA


### The CEEP as a joint learning journey

It is widely acknowledged that the CEEP went to great lengths to promote social inclusion – of women and men, young and elderly people, people with disabilities, faith groups. Community leaders have commended the WSAIP approach of reversing the customary top down approaches to 'engaging' with communities. **By allowing time and space to analyse their lived experience, the CEEP encouraged people to reflect and realise the interconnections between water security and the problems (including crime and violence) they see as affecting them most.** Finally asking the right questions – by letting the right people ask (and answer) them – has been described as one of the highlights of the WSAIP. With community champions from their midst helping to navigate the new planning process, people responded in a positive way. Facilitators and communities spoke the same language, which prevented the usual mistrust surfacing. In the past, projects often had felt imposed by an external party, causing indifference or even resentment. The difference was palpable.

The CEEP has changed how people see themselves, and are seen by LCC: they are no longer trapped in the role of petitioners for resources or beneficiaries of interventions, they are becoming genuine partners.<sup>44</sup> LuWSI stakeholders have discovered the communities as 'very engaging and forthcoming', and recognise the skills and support they can offer in addressing key water security problems, such as indiscriminate waste disposal, vandalism of public infrastructure, or illegal connections to the water supply network.<sup>45</sup> Within the communities, people now have a better awareness of their rights.<sup>46</sup> The CEEP has also encouraged them to stop waiting for change and take action; the level of self-organisation and mobilisation has risen. This has been evident in the community response to the threat of Covid-19: from many wards there have been reports that local people are organising through the same teams that worked together during the CEEP to stop the virus spreading in their neighbourhoods. Links and partnerships that were formed during the WSAIP process are also a source of unsolicited support from the private sector and NGOs.

### Lessons

**Despite the wealth of positive feedback, it has not been all plain sailing. Putting things on paper, settling arguments and prioritising proved challenging for everyone involved.**



**Effective community empowerment requires adaptation of expectations, standards and processes to reflect the leadership, needs, priorities, expectations and diversity of communities**

The biggest tension in drafting the LAPs arose from the desire and temptation to write, format and present the plans in a 'professional manner', i.e. one that would satisfy the high standards of consultants and academics from the University of Zambia. However, this would have risked disconnecting the plans from their owners, and stakeholders decided in favour of letting communities draft their LAPs in accordance with their own preferences, even if this meant that these would differ in format and level of detail between wards. More detailed implementation proposals could be developed from the clear community priorities and create space for continued community capacity development in areas such as developing specific projects, implementation planning, resource mobilisation etc. However, some of the items on top of the communities' lists of development priorities have at best tenuous links to water security.<sup>47</sup> While the project has undoubtedly had an impact in terms of embedding the HRBA and raising awareness about water security, at the community level the primary focus remains on the LAPs rather than a new water security agenda or plan. Genuine excitement is tempered by scepticism: communities have willingly joined a 'transformational journey', but now want to see actions to follow the talking.<sup>48</sup> As discussed above, it is difficult in the current climate to expedite the implementation of projects, and the required administrative procedures to approve LAPs are causing delay. The WSAIP team have worked hard to avoid raising unrealistic expectations whilst encouraging community self-organisation for implementation. However, it would be useful to consider how the WSAIP and/or LAPs will be monitored to ensure activities are followed through to avoid disappointment and future disengagement, and how successful communities themselves are in insisting on their rights being upheld by the authorities. As with the project portfolio, timing and deadlines have been raised as challenges for the CEEP. With the process limited to 12 wards of Lusaka, and currently just five completed local area plans, only a fraction of the city population could be engaged in any depth during the CEEP process.

Under ‘normal’ circumstances, developing a LAP could be expected to take up to two or three years, with a whole three months reserved for the first engagement phase. LCC has praised the general structure and approach of the CEEP and is pleased with the outputs it produced, but there are concerns that the process was a little rushed. In hindsight, it would have been preferable to start with a smaller number of wards, but a big sample size. However, LCC was the first local authority in Zambia to work on producing LAPs, which made for a steep learning curve. Quite apart from the fact that engagement has not yet been citywide, it was also perhaps not as exhaustive as it could have been, as it mostly centred on residents. There are plans to expand the ward-level engagement to the entire city, and by capturing the views of local, small-scale businesses, further enrich the discussion and resultant plans. However, it should be noted that the CEEP gave a significant boost to the government’s national decentralisation process, which had all but stalled in Lusaka whilst the moratorium on WDC’s remained in place. It has been noted that the guidelines provided for the process need to be reviewed (and this review facilitated) to ensure they are adapted to fit the Zambian context. **The WSAIP process has clearly demonstrated the value of empowerment, and the CEEP in particular has been embraced by all involved. However, as far as capacity development (for leadership, resource mobilisation, advocacy, project implementation, networking), refinement of organisational systems and processes and an enabling institutional framework are concerned, Lusaka is still at the beginning of the road towards water security. Continued support to enhance community power and capacities will be necessary. It is also important to ensure that – as envisaged – any proposed project interventions involve negotiations between the partner organisations (implementers) and community structures in target areas, to ensure technical concepts are strategically aligned with community priorities, and so contribute to meaningful development.** Perhaps the biggest challenge will lie in overcoming the inertia in the system – impelling stakeholders, especially project financiers, to change their often tokenistic and simplistic approaches that are inherently constrained by the ingrained tendency to section and view everything through a sector prism.

Changing LCC planning and working practice

Through the technical working group, water security concerns have been mainstreamed into the everyday business of the Council.

**More staff and councillors are now considering water as a matter of course, asking questions and considering how decisions and interventions are impacting on water security and vice versa. Departments that previously used to exist in their isolated ‘silos’, often taking decisions in conflict with or undermining water security, are now working together. WDCs have had an input into the 2020 LCC budget via the local area planning process, making the budget more closely aligned with community priorities and interests.** According to LCC sources, this is the first time this had happened – in the past, projects for implementation would be submitted by LCC departments. Community members have signalled a readiness to contribute in-kind (e.g. by helping with construction, or by organising rubbish collection and regular clean-ups) and financially to ensure their own project ideas are implemented. **Whilst this attitude is laudable, the WSAIP seeks to promote communities’ standing as citizens and rights-holders, and capacity development to place people at the centre of resource mobilisation and implementation (rather than cheap labour).**

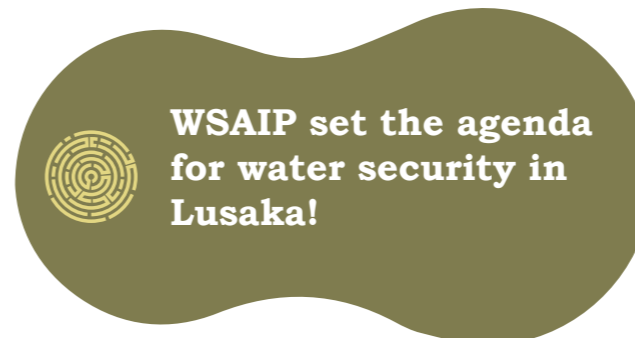
Operationalising government policy – a key sustainability factor

The WSAIP process has made planning visible. The CEEP has been open to all, and the summary LAPs are available in poster format, in simple, clear language that everyone can understand.<sup>49</sup> Crucially, it has shown how ‘bottom-up development’ can be implemented in practice.<sup>50</sup> **Tying community engagement under the WSAIP closely to a government-mandated process has introduced inherent sustainability safeguards: with the CEEP, LCC has been implementing government policy, rather than the latest fashions promoted by a development partner, and this can – and indeed is expected to – continue into the future.**

#### 4.4. The WSAIP as a starting point for joint action

##### Changes effected by the WSAIP

**The adoption of the HRBA by LCC has been hailed as a major milestone for the WSAIP. The participatory planning process rooted in the HRBA paved the way for interpreting water and water security not as a single sector issue, neatly divided into distinct sub-sectors, but as sitting at the centre of human development.** Stakeholders recognise that water security depends on control and cohesion at community level, but communities need access to information as well as a supportive space to engage.<sup>51</sup>



The CEEP therefore aimed to untangle the links between social behaviour, infrastructure in the widest sense and the physical (natural and built) environment. By investing time and resources into a silent (and therefore usually ignored) need, the WSAIP has recast power relationships and provided a foundation for meaningful and sustainable development. Through the community-centred and community-led interactions as well as the wider stakeholder engagement activities under the WSAIP, water security acted as a catalyst to transform city governance and planning.<sup>52</sup> Projects are no longer ‘born on paper’. **Through persistent bilateral talks and by adapting meetings to their likely preferences and availability, it was possible to engage stakeholders other than the ‘usual suspects’.** Stakeholders credit the WSAIP with breaking through communication barriers.<sup>53</sup> LuWSI has become a safe space for discussion. Key partners are now meeting almost on a weekly basis. Getting in touch with each other informally, simply by picking up the phone, has become the new normal. For those more formal occasions, the number of participants as well as the range and level of government agencies represented at meetings has noticeably changed. Many noted each other’s greater dedication to water security and a willingness to consider a problem from different perspectives.<sup>54</sup> Overall, the conversation around water security is changing. Stakeholders from all backgrounds are talking about water security with greater confidence and conviction. Lead implementing partners are looking ahead to increasing resilience, assessing vulnerabilities in the wider catchment and preparing for climate change. The Covid-19 pandemic was cited by many as one of the unexpected events the WSAIP has helped with, mainly through better cooperation – within communities, and between partners: being better connected and organised at the very local level has helped with a swift and proactive response.

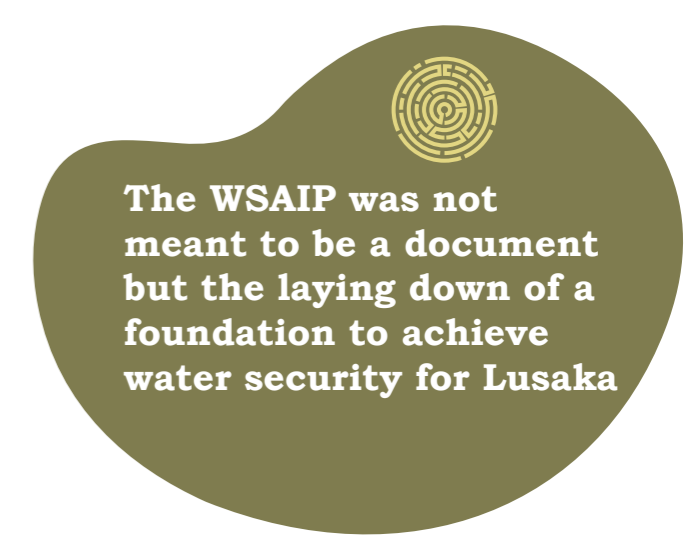
A long row to hoe: engaging private sector and funding partners

Whilst the community engagement and empowerment process has been a success, the engagement of the private sector proved more difficult.

The idea of holding ‘breakfast meetings’ for CEOs in itself was a successful one; a number of useful project ideas were generated. However, despite ZACCI’s best efforts to sensitise companies on the benefits of proactively engaging with water security, timing of the WSAIP activities affected turnout.<sup>55</sup> Attendance at breakfast meetings and the mini conference remained below expectations and missed some of the intended target audience. In particular, the WSAIP struggled to engage water-intensive businesses, partly due to unfortunate timetabling of key events, but also due to a lack of awareness on the part of the target companies. ZACCI has since stepped up its sensitisation activities to alert its members to the dangers of neglecting water security in their planning. Whilst awareness has reportedly increased, so far only expressions of interest have been secured from 20 private sector partners.<sup>56</sup> For various reasons, the WSAIP project was also not able to draw in the hoped-for donor interest just yet. On the other hand, the more recent re-engagement of WARMA (through work on recharge protection zones) has been noted as a very positive sign.

Does Lusaka now have a plan that can guide towards a water secure future?

The overriding emphasis on promoting cooperation and good governance, which are hallmarks of GIZ technical assistance, presented logistical challenges for completing a project as ambitious as the WSAIP in such a relatively short timeframe. It takes patience and dedication to let the various project partners feel their way towards outcomes that are neither guaranteed nor easy to measure at the end. To answer the question briefly: there is no single document entitled ‘Lusaka Water Security Action and Investment Plan’. Instead, the process has produced a comprehensive strategic framework with clearly defined pillars and priorities to realise a water secure city by 2035 .





The main components of it are the project portfolio (planned intervention area), emergent action (areas for unplanned action such as emergence response), local development (community action and investment), knowledge and information management and the strategic guide on the water security agenda. The launch of the new water security agenda in December 2019 was widely seen as a demonstration of political will and excellent teamwork of partners. The ceremony brought together stakeholders from across the board, from ward development committee members to the highest levels of government.<sup>57</sup> Water security issues are now widely understood and will feed into integrated urban development planning. The WSAIP project portfolio offers a sound starting point for working on solutions that speak to the issues that have been jointly identified and prioritised by stakeholders. **It would now be recommended to ensure the strategy/agenda is revisited with local stakeholders such that it can be committed to paper in a way that allows it to be easily shared and made accessible for all stakeholders.** Ideally, the target audience would include the interested public, and links with the communities that are meant to be the bedrock of all further action would be highlighted. Whilst capable actors and solid partnerships have emerged as a result of the WSAIP process, work must continue on the investment side to capitalise on the enthusiasm and diligent groundwork that has gone into the WSAIP. Coordination and clear leadership remain essential ingredients for success. A strong LuWSI will remain a key player in ensuring the agenda can make the leap towards implementation.

#### 4.5. LuWSI's central role in embedding the new water security agenda

As one of its lead stakeholders summed it up: LuWSI is its partners. The past two years have seen this partnership strengthen; operational links have been formed and key implementers acknowledge that the WSAIP has offered a wealth of capacity development opportunities. Whilst the cooperation is working very well on a project level, partners wish for a strong and autonomous Secretariat to continue to drive the WSAIP. As mentioned previously, possibilities for ensuring LuWSI's financial sustainability are under consideration, and some advocate for a clearer separation from its host organisation, NWASCO. Whatever the chosen organisational set-up, the Secretariat urgently needs to fill the Technical Advisor vacancy to continue to function as an effective hub and oversee the

many projects that are potentially about to start. Resources need to be raised from or by partners, also to further improve internal capacity and update skills within the Secretariat.<sup>58</sup> Building momentum around the existing concept notes and coaxing the private sector as well as national and international funders into greater engagement is important. However, to ensure that projects move forward within the agreed framework and agenda, the Secretariat as 'curator' of the portfolio is indispensable. There is always a danger that new initiatives may bypass the objectives as agreed in the water security agenda.<sup>59</sup> It is therefore very important to manage the partnership, and the relationships within it, to maintain the delicate balance between sticking to principles and strategic approaches, and exploring opportunities as they arise. In line with the HRBA approach, projects should be firmly anchored in duty bearer's plans and community action as laid out in the water security agenda. As envisaged in the WSAIP beginnings, LuWSI has grown into a mutual accountability platform and already coordinates numerous water security activities and investments in Lusaka. At the moment, it is LuWSI that partners and stakeholders turn to for information, and the Secretariat has deftly handled the WSAIP so as to help prevent partner fatigue or redistribute workloads where necessary. It has also helped allay outside fears over the role and intentions of the partnership, and partners would like to strengthen connections into other structures,<sup>60</sup> to become 'part of the system' rather than work alongside it. The Secretariat, in its role as trusted facilitator, is critical. Given that, as a result of the CEEP under WSAIP, community power and capacity are on the rise, it is time to extend the concept of 'partnership' in this direction as well: LuWSI, and projects under it, should restructure to accommodate direct community representation.



**WSAIP entrenched LuWSI's role in**

- 1. agenda setting**
- 2. project portfolio management**
- 3. collective leadership and collaboration in risk analysis and solutions development**
- 4. catalyzing shared commitment and resources**

LuWSI will also have to play a key role in the sustainable management of the new knowledge management platforms. There are two aspects that stakeholders are keen to develop and improve: outreach (promoting the tools) and updates. WSAIP partners have received basic training in using the digital atlas and story maps, but some questions regarding how these can now be fed with live information or updated to reflect new developments have yet to be fully resolved. The Lusaka water security story continues; projects come on stream and are completed, changes occur in the catchment, external events have an impact – all these developments should be woven into the narrative and reflected in the maps and atlas. For planners, it would be useful if the platforms could capture some further peripheral information, such as land use changes, and flag their impact. Encouraging more active users and contributors outside of the

current circle of trained users will turn the knowledge platforms into valuable decision-making tools.<sup>61</sup> It may also be worth exploring how the story maps, which are currently targeted at semi-technical to technical audiences, could be made more widely accessible, including to the general public. **On reflection, a recommendation would be to consider the development of an enhanced and coherent knowledge and information management system in accordance with user needs: rather than simply patching up weaknesses of individual tools, a comprehensive approach that ties together the different tools prepared under the WSAIP project (i.e. the digital atlas, story maps, document repository) and others 'desirables' (such as extending reach and enhancing interactivity features) could multiply their value and potential impact for water security.**





# CHAPTER 5: LESSONS AND RECOMMENDATIONS FOR PARTICIPATORY WATER SECURITY ACTION AND INVESTMENT PLANNING EXERCISES



The WSAIP project was a bold step into a new direction, rejecting the narrow dictate of conventional sector constraints. The very concept of water security for Lusaka was reimagined and approached from a broad human rights-based perspective. A steadfast commitment to good governance, community empowerment and stakeholder cooperation inevitably created challenges, especially in view of the relatively short time-frame of the project. Developing a shared water security agenda that brings together the great diversity of stakeholders within the city, catchment, sector and beyond, let alone raising and coordinating the long-term finance to realise aspirations of a water secure city, is no small feat. Notwithstanding a new deadly virus diverting attention and resources away from other long-term strategic goals, any next steps towards actioning the agreed pillars and priorities of the WSAIP will now require strong leadership and commitment at all levels to capitalise on the momentum built so far and secure much-needed funding.





As discussed in the preceding chapters, the envisaged participatory planning process arguably did not go as far as some might have hoped. However, even the fiercest critics have endorsed the WSAIP concept, its dedication to the HRBA and the ‘water for life’ message, and the breadth and depth of the engagement processes it supported. Partners are justly proud of the achievements so far and have signalled readiness to keep building bridges, challenging themselves and each other to reach further. The project has generated a range of potential interventions to improve water security in Lusaka, all of which reflect local priorities as well as the national 2030 Agenda and the 7NDP. Besides, the project has transformed partner dynamics – including empowerment of local communities and their most marginalised members. There is stakeholder and political buy-in to a long-term agenda, and partners are motivated to realise the vision of a water secure future. These are some of the intangible yet noteworthy successes of the past two years. One of the key lessons is that there is no ‘development shortcut’ that can deliver planning in the way it was envisaged for the WSAIP, i.e. ultimately to arrive at a comprehensive, participative water security plan owned by its stakeholders. There can also be no blueprint for water security. However, there are lessons from the practical experience of the WSAIP process, which may well be transferable to other cities. The following insights are intended as food for thought for anyone open and willing to engage with water security as a necessary condition for meaningful development.

**INDIVIDUAL DEVELOPMENT PRIORITIES MUST BE RECOGNISED.** It is easy to underestimate the complexity of water security and its interdependence with other factors, such as broader governance and the communities’ level of awareness and ability/capacity to act. There are even less obvious links between water security and crime, income security and livelihoods. These are often overlooked by the ‘water professional’, yet critical for the individual caught in (or near to) a poverty trap. Water security relies on individuals taking stewardship actions and holding duty bearers to account. The more people are preoccupied with other urgent priorities, the less likely they are willing or able to focus on water security. Acknowledging their own development priorities, however tangential they may appear, is critical.

**WATER SECURITY STARTS WITH PEOPLE, IN THE COMMUNITY.** Any sectoral approach to water security will fail to take into account the motivations and behaviour of individuals and society, and the performance of government. Many of these broader, ‘soft’, informal institutional

factors are very difficult for non-Zambians to recognise or understand and require a high standard of local expertise and sensitivity to provide appropriate support to the stakeholders.

A broader integrated urban planning/development approach is necessary, and that can only work if communities are empowered to play their roles properly.

**PEOPLE-CENTRED PLANNING TAKES TIME AND PATIENCE.** Taking a broader integrated urban/social development approach clearly requires time, expertise and sophistication to unpack the multiple layers of complexity. Only once the root problems are fully understood, planning can start with developing a strategy and searching for concrete solutions. This is especially challenging in contexts where there is a culture of stakeholders working in organisational or sectoral silos, and where communities are highly fragmented, unorganised and disempowered. Planning for water security requires the courage to think in new ways, and being prepared to deal with many aspects at the same time.

**THERE ARE NECESSARY STEPS BEFORE MEANINGFUL, INTEGRATED MULTI-STAKEHOLDER PLANNING CAN COMMENCE.** Any future process like the WSAIP would be wise to start by undertaking a careful assessment of the time and resources required for fundamental stakeholder capacity building, community empowerment and analysis of the broader context of water security and the interplay of influencing factors. Ultimately, depending on the starting point, integrated planning is a long-term process. A short-term project can help to initiate this, catalyse a cultural shift amongst stakeholders to develop context-specific and culturally appropriate – in short, meaningful – planning and empowerment approaches, but it cannot realistically complete the task. It is recommended to allow sufficient time for reaching clarity and consensus around key concepts before embarking on a water security planning exercise – and communicating these clearly. This helps with managing expectations (noting that timing was a key challenge in Lusaka, and terminology caused some ongoing confusion) and onboarding key partners and project contributors, such as consultants.<sup>62</sup>

**INTERROGATING LONG-STANDING DEVELOPMENT ASSUMPTIONS IS A CHALLENGE FOR EVERYONE INVOLVED.** Every set of stakeholders, and every team member within every partner organisation will have a different understanding of what the project assumptions and aspirations mean in practice. Empowerment, development, sustainability, water security may sound familiar and straightforward, but what exactly is it in a specific context? Again, it takes time to arrive at a shared understanding, but it is this agreement from which joint action can begin.

**WATER SECURITY PLANNING WILL ALWAYS BE A LEARNING JOURNEY** – ideally one in which all participants feel they can contribute and take something away. Some partners will be more constrained than others (for instance, by bureaucratic hurdles, which are less quick to overcome or eliminate), and stakeholders must be mindful of moving in step with each other. Organisational change can be frustratingly slow, and it also is never possible to keep politics completely at bay. Continued capacity development is critical for any initiative like the WSAIP to produce a change on the ground.

**TRANSFORMATIONAL CHANGE NEEDS A FIRM INSTITUTIONAL ANCHOR.** Shifting towards truly integrated planning and adopting a human rights perspective without just paying lip service to a noble idea is a profound change for many stakeholders. Anchoring the planning process, including its crucial preparatory phase, at an existing partnership proved a clear strength in the case of the WSAIP, which also offered additional safeguards through broad stakeholder representation on its Steering Committee. Every planning process needs a capable and well-resourced focal point to drive and guide the planning process, nurture partnerships and lead the push for investment.

**A PLANNING PROCESS LIKE THE WSAIP MERELY MARKS THE START OF WORKING TOWARDS A WATER SECURE FUTURE.** Having agreed the broad outlines of what it takes to achieve water security in the long term, stakeholders with their diverse backgrounds, interests, powers and capacities become able to align and leverage actions (and, in due course, funding). Marrying a bottom-up community approach with concrete, bankable project proposals can become a difficult balancing act. It helps to have defined the ‘long game’ and keeping a firm focus on the human and ‘life’ aspects of water security and not becoming preoccupied with ‘things’: infrastructure and services exist to serve people (who of course live in a physical and social environment), not the other way round. Within an agreed framework, roles and responsibilities become clearer, though they may need to be adapted to fit with the agreed agenda. Making sure that all project partners – including financing partners – are agreed on the principles and purposes of the planning process can ensure that it can proceed smoothly, especially when unanticipated challenges are encountered.

#### FURTHER INFORMATION

Further information on the LuWSI partnership and the WSAIP project, including the various templates developed for the project portfolio, is available from [www.LuWSI.org](http://www.LuWSI.org).





# Endnotes

1 The city population is projected to reach 5 million by 2035, from 2.4 million today. Zambia Statistical Office. 2013.

2 International Water Stewardship Programme (www.iwasp.org), managed by GIZ on behalf of BMZ and DFID.

3 Note that DFID support also came to an end with the closure of the WSAIP project.

4 The sector regulator NWASCO first raised concerns over the impact of ‘climate variability’ and anthropogenic activity on water resources and the utilities’ ability to safeguard the security of supply in 2013, noting that reservoirs and borehole yields were running low. NWASCO. 2013. Urban and Peri-Urban Water Supply and Sanitation Sector Report 2013. NWASCO: Lusaka.

5 By 2016, just 17% of households in Lusaka were connected to the sewerage network. With as many as 70% of the total city population living in low-income peri-urban areas, the vast majority rely on self-dug pit latrines and informal emptying services – much of the estimated 30,000 tonnes of faecal sludge produced in Lusaka every year is slowly leaching directly into the aquifer, overflowing during heavy rainfall, or illegally dumped in the city environs.

6 NWASCO. 2016. Strategic Plan 2016-2020.

7 Gerlach, E., Mallaghan, A., Mbalo, D. Būrma, M. and Surrige, T. 2020. Towards inclusive, green city sanitation for Lusaka – achievements and way forwards. GIZ: Bonn and Eschborn.

8 In 2015, key water sector stakeholders (WARMA, LWSC, LCC and the environmental regulator ZEMA) co-initiated the creation of a platform for multi-stakeholder cooperation and mutual accountability. By the time LuWSI was established, the number of partners had grown to 16. Today, more than 20 organisations are working together under LuWSI. The initiative has been supported by GIZ through the International Water Stewardship Programme (IWaSP).

9 Next to the groundwater aquifer, the Kafue River is the other key – and equally fragile – water resource for Lusaka.

10 LCC, MLGH and JICA. 2009. Comprehensive urban development plan for the city of Lusaka. Lusaka City Council.

11 such as the Sanitation Master Plan of 2011 – which is only beginning to be implemented

12 Chitembo, A. 2016. Stakeholder and Institutional Analysis. Publication 2 of the Lusaka Water Security Situation Analysis. LuWSI. Lusaka.

13 President’s opening address, First Session of the Twelfth National Assembly of Zambia, 30 September 2016.

14 The Seventh National Development Plan, Ministry of National Development Planning, 2017.

15 GRZ. 2014. Decentralisation Implementation Plan (DIP) 2014 – 2017. Cabinet Office, Decentralisation Secretariat.

16 LuWSI. 2020. Water Security Strategic Framework for Lusaka City 2020-2035. LuWSI. Lusaka. The definition of water security adopted by LuWSI was that of the UN Water Mandate: ‘The capacity of a population to safeguard sustainable access to adequate quantities of acceptable quality water for sustaining livelihoods, human well-being, and socio-economic development, for ensuring protection against water-borne pollution and water-related disasters, and for preserving ecosystems in a climate of peace and political stability.’ UN Water. 2013. What is Water Security? Infographic. Available from: <http://www.unwater.org/publications/water-security-infographic/>

17 <https://www.luws.org/index.php/about-luws/luws-principles>.

18 Theories of change have become a standard tool in the development practitioner’s repertoire to explain, map and monitor why and how a desired change (long-term goal) is expected to be achieved through the activities and interventions of an initiative. The mapping typically works backwards, identifying the long-term goal and building a logical sequence (outcomes framework) of all the processes, conditions and activities that must be in place to bring the intended results about. The theory of change model underpinning the WSAIP is explained in greater detail in the Strategic Framework document (Water Security Strategic Framework (WSSF) for Lusaka City 2020-2035).

19 The HRBA, at its most basic, comprises three components: right holders, duty bearers and channels of meaningful engagement between the two. For more information on HRBA, its interpretation and implementation by GIZ and BMZ, see Kayser, F. and Osterhaus, F. 2014. The Human Rights-Based Approach in German Development Cooperation. GIZ. Eschborn.

20 Draft Concept Note. Development of a Water Security Action and Investment Plan for Lusaka. Version 11th January 2017.

21 The detailed deliverables for each output, their perceived impact and results are reviewed in chapter 3. Note that no specific deliverable had been assigned to output 4 (clear funding measures). The results framework merely expressed a tentative desire to ‘establish a “funding group” comprising bodies that will participate in or observe the development of the WSAIP with a focus on then being able to act and provide different forms of financing to deliver investments identified in the plan.’ The Lusaka Security Action and Investment Plan. GIZ End of Project Technical Report. Final Version, 30th March 2020, p.5.

22 The WSAIP budget covered the salaries of a LuWSI technical advisor, who coordinated the PCT and PSC as well as all external stakeholder processes, from early 2018 to September 2019. The salaries of two newly-created staff positions at LWSC (Water Security Officer and Water Security Project Manager) and 50% of the salary of an LCC Senior Community Development Officer were also covered through WSAIP funds.

23 Due to its late inception, the WSAIP logframe could not be formally adopted by the PSC until January 2019.

24 The Local Government Act No. 2 of 2019 was enacted by Parliament on 11 April 2019.

25 Research into political governance in Zambia had shown that a lack of awareness of rights, civic duties, obligations and responsibilities were as much a barrier to effective citizen participation as structural and bureaucratic bottlenecks. Yezi, A. 2013, quoted in Draft Concept Note. Development of a Water Security Action and Investment Plan for Lusaka. Version 11th January 2017.

26 Detailed guidance on the process of establishing WDCs, their responsibilities and management had been proposed by the Ministry of Local Government and Housing in 2012. MLGH. 2012. Draft Guidelines on the Establishment, Management and Operation of Ward Development Committees (WDC).

27 Whilst LCC and GIZ had engaged ZAMSOF (Zambia Social Forum) as an experienced facilitator of community mobilisation exercises to deliver training and support the CEEP process, technical advisors took a step back to allow LCC and the communities to learn together – and from each other.

28 Lobbying focused on planning as an entry point. GIZ sought out potential CSO allies to champion the cause and take the message back to Parliament. The Zambia Institute of Planners acted a critical conduit.

29 Impressed with this rather smooth process of establishing the WDCs – based on good relationships, with few conflicts – LCC formed another 7 WDCs outside of the WSAIP project (and intends to continue).

30 In preparing the GIS map, LCC also provided some basic statistics and mapping features (such as the siting of local roads and services). However, the mapping and planning process was described as essentially starting ‘with a blank sheet of paper’.

31 The ‘Five Whys’ is a simple but systematic problem-solving technique that uses a series of ‘why’ questions to explore cause-and-effect relationships that underlie a particular problem.

32 Community disclosure meetings – indabas – were held as part of the drive for maximum transparency and accountability.

33 Different tabs include an introduction to ‘water security’ in the Lusaka context, a discussion of current and future water demand and availability, information on groundwater and surface water resources, including threats to the aquifer and the Kafue catchment, socio-economic impact, return on investments, possible solutions and a call for action. <https://nens.maps.arcgis.com/apps/MapSeries/index.html?appid=cc93b1654dbf484da843319cf7a79f44>

34 Note that the WSAIP project (i.e. the planning process) as supported by DFID and BMZ reached stage 2; moving through the remaining stages towards implementation of identified project ideas and solutions will be a next step.

35 specific, measurable, achievable, relevant, timely

36 The idea being that by matching, on a basic level, the funding application notes that circulate internally in the Banks (by using similar headings), the projects would be more likely to attract interest from potential funders.

37 The templates are available in the consultants’ strategic framework for the WSAIP.



38 In the hope of pushing projects closer to the start off point – by focusing minds on the detail of the proposed interventions – the consultancy team had opted to insert ‘concept notes’ as an additional step.

39 Interactions with stakeholders and ‘project owners’ tried to tease out ‘the objective of the concept, its desired impact, the degree to which stakeholders felt ownership to the process (and were engaged to date), risks and potential mitigants, and what sort of resources would be brought to bear on the project (capacity related, in-kind and financial)’. AnChiCon. Report on the Enhancing Project Concepts Under the Water Security Action and Investment Plan consultancy. 31 October 2019 p.3.

40 Inverted commas here: the WSAIP approach aims to change this perception of communities as ‘beneficiaries’, though the terminology is still widely used in funding applications.

41 LWSC reports very positively on its engagement with the regulator in relation to the gazettement of a wellfield protection plan.

42 Interviewees cited WWF’s engagement in Kafue town as an example.

43 Restrictions on public gatherings are causing delays in constituting steering committees and continuing with community engagement activities.

44 Recall that community members were instrumental in collecting and analysing the information for the LAPs, for a start, and are paying towards initiatives they have selected as priority projects.

45 It has been noted that having communities as partners also helps with building a social protection layer around a project; for instance, there are far fewer incidences of vandalism in ‘CEEP areas’.

46 Councillors report there are very clear accountability routes.

47 Priorities with less obvious, indirect links to water include better health services, roads, and crime reduction, to name but a few.

48 Some WDCs are worried about the lack of communication from LCC since they submitted their final LAPs in December. Others have requested further training and support, saying they would like to learn more about water security, project implementation, and how to integrate the challenges posed by the current pandemic.

49 They may not be highly polished documents, but far more importantly, they make sense to those whom they concern. The CEEP has taken LCC and the communities it serves on a learning journey, which did not measure its worth in terms of excellence of written outputs. The training manual for community facilitators, for instance, was not outsourced to a consultant but developed by LCC staff (through the TWG) – again, ‘perfection’ was not the point, ownership and empowerment was.

50 Or, as an LCC stakeholder explained it, the LAP may have been the main tangible product, but the focus was on ‘testing the true meaning of decentralisation’.

51 ‘People don’t wake up every day thinking about water security’, as one interviewee put it bluntly.

52 The WSAIP did not primarily focus on things; as one interviewee put it: ‘Interventions will always be there, but where are you anchoring these? [Establishing WDCs] is not about having another committee; it’s about having people who adhere to good governance principles and who are passionate about their communities.’

53 ‘People understand that we’re all in this together’ has been a common response.

54 One ‘aha moment’ recounted was a discussion between the Ministry of Lands and the local authority, who agreed that a critical piece of land would never have been sold if they had worked together, and resolved to strengthen planning to prevent water security being put at risk in the future.

55 Unfortunately, there were timetabling clashes with conferences organised by the Ministry of Commerce, Trade and Industry, which diverted interest away from the WSAIP, especially amongst larger companies.

56 There had been hopes to secure firm commitments to WSAIP projects from 15 companies to support projects from the WSAIP portfolio.

57 Though donor representatives, apart from DFID, were notably absent.

58 It is worth noting that the only full-time member of dedicated ‘LuWSI staff’ (not seconded from a partner) was funded by GIZ.

59 Money, when offered, can be difficult to turn down. However, ideally, all future investments in Lusaka’s water security would be coordinated under a WSAIP (an actual plan).

60 MWDSEP, MLG and the Ministry of Finance were cited as institutions LuWSI should forge closer links with.

61 There may be further benefits to creating awareness and widening access of information resources to planners in neighbouring municipalities, whose decisions affect water security in Lusaka. As an example, wellfields on the city border can only be protected if planners in both municipalities are aware of precise borehole locations.

62 Here it is particularly helpful to use precise but plain language: e.g. a plan is widely understood to be a document, while most people will think of planning as a process, or the potential confusion around an ‘agenda’, which, rightly or wrongly, can easily be understood in its dictionary definition as a ‘plan’.







## Playing the long game: planning for a water secure future

Sharing the Experience of Rights-Based Multi-Stakeholder Water Security Planning - Insights from Lusaka, Zambia





# Disaster Risk Reduction

