



TRAINING MANUAL 1 INTEGRATED SOLID WASTE MANAGEMENT PLANNING

Module 1-4: Strategic Plans and Action Plans

Prepared by the International Consortium
GTZ-ERM-GKW

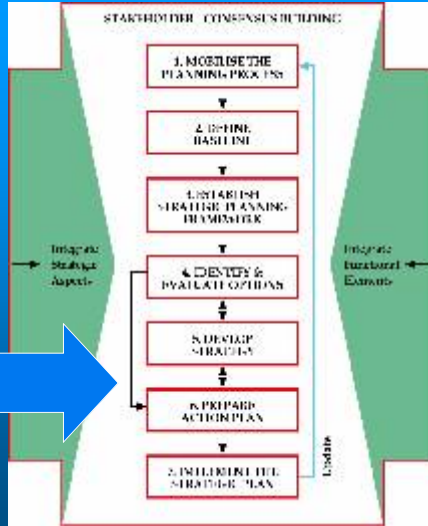
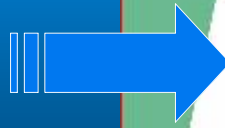


Conceptual Separation of Strategy and Action Plan



Strategy
Overall vision and objectives

Action Plan
Implementation arrangements
Decision-making milestones



As has been mentioned in previous Modules, strategic planning can be conceptually separated into two distinct components: the strategy and the action plan.

The `Strategy` sets out the overall framework under which MSWM systems and standards are to be developed. It comprises the vision of how the system will develop over say 15-25 years.

The `Action Plan` details the specific options that are to be pursued to implement the requirements of the Strategy. The Action Plan sets out the specific steps to be taken over a period of two to five years, and may include investment projects. It also outlines the key decision-making milestones, designed as indicators for project management.



Why?

- Tendency to 'jump' to issues of detail without first agreeing principles
- It is often difficult to secure agreement on detailed options at the start of the process
- Eg. Specific sites do not need to be identified until the action planning stage
- Focus on high level issues

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Many MSWM plans have not been effective due to a tendency to 'jump to' detailed technical issues before securing agreement on broad strategic aims.

The purpose of the Strategy is to establish, in a participatory manner, the strategic response required to address key issues in the local context. In methodological terms Step 5 follows Step 3 in the planning process, and uses the strategic-level content of Step 4 as supporting information and guidance.

It is often difficult to secure agreement on the specific options to be pursued in a Strategic MSWM Plan at an early stage of the planning process. However, it is possible and essential to agree issues in a broader context.

For example, even though a Strategy may not indicate the location of future waste disposal sites it may contain statements on improving waste disposal standards, selecting sites etc, leaving the evaluation of sites to be carried out in the action planning process.

So, the Strategy should focus on 'high level' issues, leaving the consideration of some of the more detailed issues to action planning (Step 6). Methodological separation of 'strategy' and 'action plan' facilitates an interim decision making step.



The Strategy: Specialist Workgroups

- Provide an opportunity for detailed specialist discussions of issues
- Can retain the same groups as those in the Inception Workshop for the sake of continuity
 - Facilitators and others can make specialist presentations
- The output should be a draft list of strategy proposals

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Specialist Workgroups should be held to provide an opportunity for further, more detailed, discussion of key issues and strategic responses. Remember that the key is to focus on the big picture and not issues of detail at this point.

Prior to these workgroups the issues to be covered in specialist presentations, and the range of options available for addressing key issues, should be discussed and agreed by the Working Group and any facilitators and consultants providing support.

In order to maintain continuity it is recommended that the groups established at the Inception Workshop be retained throughout the initiative. Where senior figures are not able to attend, their deputies or other nominated representatives should take their place, and be given the responsibility of communicating back findings.

It is helpful for specialist presentations to be made on key issues at each of the Workgroups. These presentations should elaborate on the issues raised at the Inception Workshop, pointing out the range of options that could be pursued, and any options that, from experience, may be discounted.

The output from the Specialist Workgroups should be a list of draft Strategy proposals to be taken forward for further consideration.

Specialist Workgroups provide an opportunity for more detailed discussion of key issues and strategic responses. The Workgroups created at the Inception

Workshop (Step 3) can be retained, and members assigned the responsibility to develop a set of strategy proposals.



Preparing the Draft Strategy

- Need to pull together the draft strategy proposals from the workgroups into one coherent document
- The strategy document does not need to be long, in fact it is better to write in short/concise paragraphs
 - Need to be faithful to the outputs of the specialist workgroups, but phraseology and order or points may vary

Vision

Status

Targets

Objectives

Proposals

Content of the Strategy

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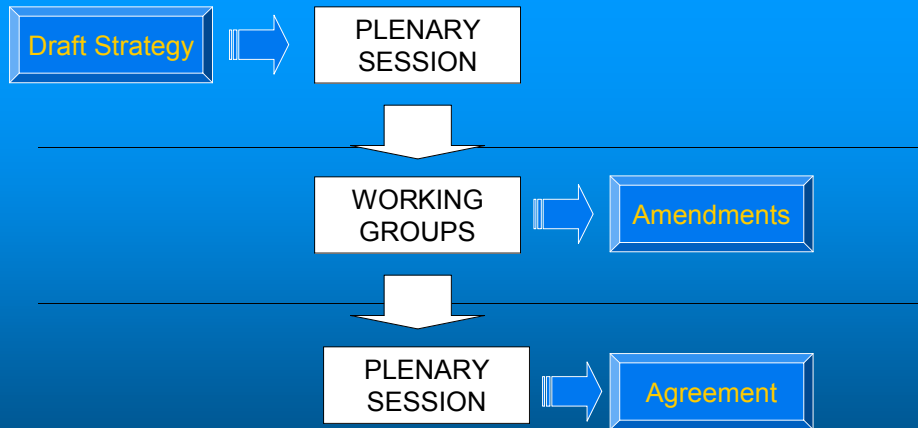
As strategy proposals from each Workgroup will have been developed in isolation, there is a need to ensure proposals are effectively merged into a draft Strategy document. The Steering Committee should decide who is to draft the written output, however, it may be quite a good idea that the facilitator(s) is given the task as she/he would have been continuously involved in the strategic planning process.

The strategy proposals do not need to be expansively described, and can simply consist of a range of well-crafted paragraphs indicating the need and focus of each measure. It is essential for the content of the Strategy to accurately reflect Workgroup findings. Facilitators should use their expertise to combine draft Strategy proposals in such a way as to maximise the coherence of the draft Strategy.

The draft Strategy document should state its vision, status, objectives and targets, as well as the specific proposals put forward by the Specialist Workgroups. The report should be discussed and agreed with the Steering Group and Workgroup leaders, and then tabled for discussion at a Strategy Workshop.



The Strategy Workshop



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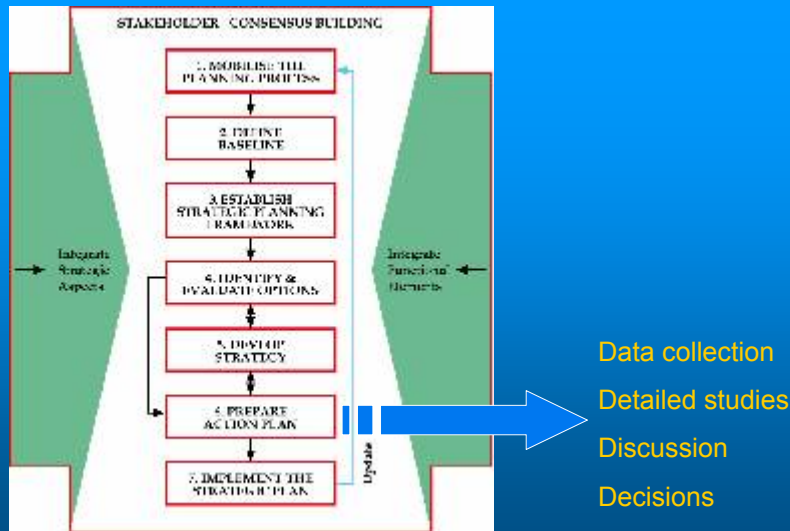


A Strategy Workshop should be held to provide an opportunity for full discussion of the draft Strategy amongst the wider consultative group. The Workshop can be structured round a similar format to the Inception Workshop, with the aim being to maximise the time for discussion, debate and refinement of strategy proposals.

The output from the Strategy Workshop should be a set of requirements and revisions to the draft Strategy. As the final Workshop, it is essential that all issues raised by participants are adequately debated. Time constraints may, however, lead to further meetings being necessary on issues where final Strategy proposals have not yet been agreed.

The Strategy Workshop should establish a firm foundation for finalising the draft Strategy document and obtaining necessary political approval. The document should be finalised under the direction of the Steering Committee and in conjunction with Workgroup leaders, before submission to political leaders.

Action Plan: Detailed Evaluation of Options




Finalisation of the Strategy represents a major decision making milestone for the Strategic MSWM Plan. Key stakeholders will have defined and agreed the main strategic issues affecting MSWM, and political leaders will have 'bought in' to the measures outline in the Strategy document.

The purpose of the Action Plan is to map out the structured path towards delivering the Strategy. It is a process that will involve further meetings and consultations with relevant Departments and other stakeholders, and extensive supporting analysis. Further data is likely to need to be collected during this step to ensure that decisions can be made on the basis of sound information.

Step 6 can take anything from six months upwards to complete, depending on the level and complexity of the issues involved, and the ability to secure agreement on options to be pursued.

The major task in Step 6 will be to fully evaluate the range of options available to meet the requirements of the Strategy. Once political approval on the Strategy has been received, this more detailed work can proceed secure in the fact that it has broad-based support.



Mediterranean Environmental Technical Assistance Programme
Regional Solid Waste Management Project in Mashreq & Maghreb Countries

Potential Areas for Options Evaluation


Institutional framework <ul style="list-style-type: none"> • Institutional framework • Legal issues • Improving organisation & management • Involving the private sector 	Waste collection & recycling <ul style="list-style-type: none"> • Improving service performance • Extending service coverage • Supporting recycling • Collecting infectious and hazardous wastes
Waste treatment & disposal <ul style="list-style-type: none"> • Waste treatment and disposal technologies • Improving existing sites • Future sites • Strategic, technical, environmental and aspects 	Financial sustainability <ul style="list-style-type: none"> • Improving financial planning • Assessing affordability and willingness to pay • Investment needs • Improving cost recovery • Improving accounting

Public awareness & participation

- Promoting public awareness
- Encouraging community participation

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Some major areas requiring detailed evaluation of options during action planning are listed below:

Institutional options

Institutional framework; Legal issues; Improving organisation and management; Involving the private sector

Waste collection and recycling

Improving service performance; Extending service coverage; Supporting recycling
Collecting infectious and hazardous wastes

Waste treatment and disposal

Waste treatment and disposal technologies; Improving existing sites; Future sites
Strategic, technical, environmental and aspects

Financial sustainability

Improving financial planning; Assessing affordability and willingness to pay; Investment needs; Improving cost recovery; Improving accounting

Public Awareness and Participation

Promoting public awareness; Encouraging community participation

A range of guidance is available in the Strategic Planning Guide on evaluation of options in these and many other areas. Supporting tools are also provided in the Annexes.



Finalising the Strategic MSWM Plan

- Further participatory workshops may be required
- Try to obtain agreement of all key stakeholders
- Publish the draft Strategic Plan and invite comments from the public
- Some difficult decisions will need to be made

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Further consultations and participatory workshops will need to be held during the Action Planning stage to ensure continued consensus and ownership of the Strategic MSWM Plan.

In order to finalise the Strategic MSWM Plan, key stakeholders will need to be brought together again to discuss and agree Action Planning proposals, and finalise the Strategic MSWM Plan.

At this point, it is also valuable to publish the draft document, and invite public comment.

Some difficult decisions will need to be made at the close of the strategic planning process. A Strategic MSWM Plan can have major political, institutional, technical and financial implications, all of which must have been addressed clearly and effectively if the plan is to be agreed, adopted and implemented.



Potential Areas for Options Evaluation

Institutional framework

- Clear roles, responsibilities and accountability
- Management improvements
- Involving the private sector in selected areas

Waste collection & recycling

- Trials of new systems and management in different areas
- Targeted support to micro-enterprise development in recycling

Waste treatment & disposal

- Improving management of existing waste disposal sites
- Implementing low-cost site improvement works
- Purchasing land for new facilities

Financial sustainability

- Implementing new management accounting methods
- Commencing implementation of the cost recovery plan
- Financing applications

Public awareness & participation

- Implementing a high-profile public awareness campaign
- Conducting localised awareness raising campaigns

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Immediate actions demonstrate a commitment on the part of the municipality to improving MSWM services. An Immediate Action Plan, containing measures that are simple and cost-effective to put in place, will act to mobilize implementation of the Strategic MSWM plan, and raise the profile of the issue within the municipality.

Some possible areas of focus for an Immediate Action Plan are set out below.

Institutional Framework

Establishing clear roles, responsibilities and accountability

Making targeted management improvements

Involving the private sector in selected areas and for selected services

Waste Collection and Recycling

Conducting trials of new waste collection systems and management arrangements in a range of different areas

Providing targeted support to micro-enterprise development in recycling

Waste Treatment and Disposal

Improving management of existing waste disposal sites

Implementing low-cost site improvement works

Purchasing land for new facilities

Financial Sustainability

Implementing new management accounting methods

Commencing implementation of the cost recovery plan

Pursuing preferred sources of investment

Public Awareness and Participation

Implementing a high-profile public awareness campaign

Conducting localised awareness raising campaigns



Preparing an Investment Plan

- Schedules of costs
- Financial assessment
- Recurrent expenditure forecasts
- Projected revenue receipts

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It is likely that investment will be required to kick-start improvements to service performance. These investments must be well targeted and financially sustainable to the municipality.

An Investment Plan should be developed setting out all the areas where funds are being sought. Potential investors can then be sought using the Strategic MSWM Plan and Investment Plan to demonstrate the benefits and appropriateness of the planned investment. Where funds are being sought from External Support Agencies, care should be taken to ensure that the Investment Plan complies with the particular agencies' application procedures and requirements

Investment plans should detail the specific equipment, vehicles and infrastructure required. A schedule of costs should be prepared, and backed up by a financial assessment setting out the detailed investment schedule, recurrent (operation and maintenance) costs to be sustained, and how the investment is to be repaid over time.