



Module 2: Participation, Self-help and Public Relations

Improvement of Sanitation and Solid Waste Management
in Urban Poor Settlements



Deutsche Gesellschaft für
Technische Zusammenarbeit (GTZ) GmbH

commissioned by:



Federal Ministry
for Economic Cooperation
and Development

Module 2: Participation, Self-help and Public Relations

**Improvement of Sanitation and Solid Waste Management
in Urban Poor Settlements**

Eschborn 2005

Published by:

Deutsche Gesellschaft für
Technische Zusammenarbeit (GTZ) GmbH
Postfach 5180, D-65726 Eschborn, Germany
Internet: <http://www.gtz.de>

Sectoral Project

"Improvement of Sanitation and Solid Waste Management in Urban Poor Settlements"

Division 44 - Environment and Infrastructure
OU 4412 - Water, Wastewater and Solid Waste Management
and Division 42 - Political Reforms
OE 4223 - Regional and Local Governance, Urban Development, Decentralisation

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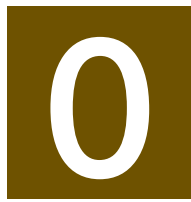
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INTRODUCTION

0. INTRODUCTION

BACKGROUND AND CONTEXT



Fast growing informal settlement

City planning, as a mechanism for controlling spatial development, is not feasible in poor districts. In these areas, land is traded informally and built on without permission, and existing buildings are often extended or altered over long periods of time, with no official authorisation. To “formalise” these settlements completely would entail costs that neither municipalities nor inhabitants could handle. Restrictive policies (when applied) have done little or nothing to change the precarious living conditions of the poor. At worst, they have inhibited rather than supported legal, economic and infrastructural improvement. The need for policies of decentralisation and the strengthening of local self-government have therefore been voiced with ever increasing intensity ever since the 1996 United Nations Conference on Human Settlements in Istanbul (Habitat II).

Challenges of Urbanisation

Today, worldwide urbanisation is thought of as an unstoppable characteristic of global societal change. According to predictions, by the year 2025 at least two thirds of the world's population will live in cities. Most of this urban growth is taking place in the developing world where two billion people already live in cities - about twice as many as in industrialised nations.

The dynamics of the urbanisation process, and especially its economic, social and spatial consequences, are amongst the greatest challenges of our time. While cities offer an enormous and indispensable potential for the economic growth of developing countries in an increasingly globalised economy, the negative effects of urbanisation are also alarmingly

apparent, and these include increasingly inadequate housing and working conditions for the poor and the ecological impact of virtually uncontrollable urban sprawl.

Failure of Conventional Urban Planning and Management Instruments

The emergence and expansion of poorly serviced illegal and informal settlements in peripheral areas within and outside urban agglomerations, have shown that conventional means of city planning and management are not able to cope with conditions of accelerated social change, high demographic growth rates and increasing urban poverty.

The Need for Flexibility and Pro-Active Solutions

City planning, as well as the management of housing and urban services, demand pro-active, financially feasible strategies adapted to real conditions in order to take advantage of existing potentials; they need to be replicable, to show immediate effects and be sustainable. Although it is obviously not possible to equip informal settlements with extensive infrastructures overnight, they can be upgraded gradually. This requires procedures that take into account the potential for further future improvements.

BACKGROUND AND CONTEXT

New Partnerships between the Public and the Private Sector

The supposed dominance of public sector agencies in the supply of social and technical services, no longer holds true. Apart from partnerships with the private sector, often the only sensible alternative for achieving sustainable improvements depends on the cooperation of various different stakeholders, including the local population and non-governmental organisations (NGOs).

For this reason, the significance of the diverse local stakeholders as well as the variety of possible organisational and financial structures should be seriously taken into account during the conception of urban management projects.

Problem: Precarious Living and Housing Conditions in Urban Poor Settlements

Poor settlements, in their various forms, are especially vulnerable to the negative impacts of urbanisation. In many cases, exclusion from legal protection, urban services and infrastructure leads to extremely unhealthy living conditions resulting in high child mortality rates, widespread epidemic illness and chronic disease.

The Lack of Waste Management Systems in Poor Settlements

The neglect of poor settlements by city administrations is often justified by the fact that they are “informal”. The term is used to describe not only their combination of uncertain legalities, ownership rights and illegal construction activities, but also their economic structures, which yield hardly any tax or revenues. City administrations cite these factors to explain their lack of input in social and technical infrastructure.

Whatever the case, the consequence is that in many African, Asian and Latin American cities, barely a third of the population is connected to municipal

waste management systems, while the rest of the population relies on private contracts or self-help.

Importance of Housing Rights as against Waste Management

Infrastructure, waste management and sewerage systems are usually of secondary importance to the inhabitants during the initial phases of informal settlement. Securing a plot with a right to stay there, and establishing networks for income generation are the primary concerns. Inward migration and continuous construction quickly lead to rising population densities. This establishes and consolidates the social structure and built environment of a settlement, but also inevitably results in increased refuse and sewage management problems. In settlements with population densities of more than 2000 inhabitants per hectare, uncollected garbage, stagnant water and lack of sanitary facilities can create serious health hazards, especially for women and children.

Settlement without security of tenure



BACKGROUND AND CONTEXT

Danger of Social and Economic Disintegration

Neglect can lead to social and economic disintegration, which can result in the area becoming further marginalised as the better-off inhabitants try to leave.

In addition, there is the problem of deficient technical infrastructure and services, such as drainage or sewage disposal systems, which cannot be effectively tackled by public or self-help initiatives alone. Solutions often require intervention at many different operational levels and involvement across various existing areas of activity.

Potential: The Resourcefulness of the Urban Poor and their Commitment to Self-help

Despite the relatively unattractive living conditions they provide, poor settlements, particularly in cities, continue to grow in size and density. The social and economic value attached to an urban location apparently outweighs the numerous disadvantages. Moreover, people born and raised in an urban poor settlement frequently have no other option. Today's generation of urban poor has lost its ties to the countryside and survives, physically and economically, within the boundaries of the city or district.

bourhood organisations. However, these organisational possibilities only operate within the narrow confines of each isolated local situation, and this can produce problems. For example, a drainage facility that is not connected to the main sewage system may easily intensify potential flooding in adjacent districts. Many issues related to infrastructure and waste management can therefore only be resolved in a suitable and sustainable way, when they are coordinated in an overall system.

Various Forms of Organisation

The majority of settlements, even including temporary settlements, possess some sort of waste management. These range from individually arranged rubbish removals, to area-wide servicing through private contractors, to complex neigh-

Decentralised Methods of Waste Management

During the past twenty years, a variety of methods for decentralised waste management have emerged from pure necessity - and, in part, without expensive subsidies. They have generally been characterised by their ability to adjust to specific social, economic and cultural situations. Some were

Refuse as a source of income



BACKGROUND AND CONTEXT

initiated within the context of international development co-operations; many innovative approaches were devised jointly by inhabitants and NGOs; and others were implemented through city administrations.

Alliance and Cooperation of Different Stakeholders

What these approaches have in common is that they not only pursue technical solutions, but they also incorporate organisational and financial aspects, and involve a variety of local interest groups.

Housing conditions without adequate waste management

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Future Challenges: The Improvement of Waste Management in Urban Poor Settlements

The improvement of technical and social infrastructure is of key importance in consolidating low-income settlements. Many such areas that originated in the 1950's and 1960's now have populations similar to those of a medium-sized city, and yet their infrastructures remains rudimentary. With steadily growing populations and increasing building densities, health hazards have increased disproportionately and living standards have plummeted.

The Importance of Improving Technical and Social Infrastructure for the Consolidation of Low-income Settlements

Nowadays, many of the urban poor have access to potable water, although they usually pay more for it than middle-class citizens. Nonetheless, hygienic conditions in low-income settlements have become critically important to the quality of life of their inhabitants. In the long run, any advantages of location will not outweigh the lack of basic services in these areas.

The standard of supply and disposal systems tends to rank only third on the priority lists of inhabitants, behind income generation and security of tenure. Even so, the extent of under-serviced areas and the high proportion of the urban population affected have made the absence of functional systems the number one obstacle to overall development.

Integration of Poor Settlements into the Urban Fabric

Finding solutions for waste management deficits in low-income settlements has become a main element in strategies aimed at improving the general functionality of cities and developing their economic potential. The sustainable management of waste has acquired a significance that reaches far beyond its technical or sanitary dimensions. It encompasses fiscal aspects as well as the reorganisation of the relationship between a city's administration and its people. What is required are, on the one hand, new forms of managing increasingly heterogeneous urban structures in an economically sound, yet fair and balanced way, and on the other, the effective coordination of the very diverse stakeholders involved in the development process.

0. INTRODUCTION

OBJECTIVES AND TARGET GROUPS

This publication series intends to combine the scattered theoretical and practical knowledge acquired in the field of decentralised waste management, and make it available for practical use in development cooperation projects. The listings of waste management projects and the numerous individual project profiles available on the internet are not able to communicate the innovative core, nor the basic parameters of novel approaches in ways that enable comparisons and encourage their application in other contexts. Moreover, the practical experience gained in individual GTZ projects has not, as yet, been systematically brought together.

A treatment that deals only with the technical aspects of waste management in low-income settlements, will not tackle the issues effectively. In order to achieve the sustainable improvement of people's lives,

financial and organisational factors must be considered as equally important. Furthermore, without the extensive participation of affected inhabitants in the planning, implementation, and maintenance of systems, sustainability cannot be achieved. Seemingly marginal themes, such as the organisation of campaigns or the pricing of local services, are therefore also dealt with in this publication in so far as they relate to the main topic.

The various waste management tasks, i.e. refuse removal, rainwater drainage and wastewater and sewage disposal, are sometimes discussed together. Although these may require very different technical solutions, successful projects have shown that the organisational structures and financial mechanisms involved are closely related. Hence their thematic combination and the arising general conclusions.

All the volumes of this set of publications focus primarily on the substance and functional requirements of innovative approaches, and less on easily replicable formulas. The examples given are intended to encourage new solutions in specific situations.

The first volume deals with the topic of waste management in urban poor settlements in general, while the subsequent three modules offer more issue-specific recommendations for the development of local project approaches.

Module 2 focuses on procedures, tools and instruments for promoting and mobilising participation and self-help in the context of waste management projects in urban poor settlements. Without being exhaustive, it aims to provide an overview on possible and proven approaches.

OBJECTIVES OF THIS PUBLICATION

- **To appraise and document experience gathered in sectoral and cross-sectoral development cooperation projects**
- **To provide an overview of current international discussions on improving waste management in urban poor settlements**
- **To offer orientation and support for the initiation, planning and implementation of measures and activities for the improvement of waste management at the urban district or residential quarter levels**
- **To present exemplary solutions and their institutional, organisational, and financial contexts**

TARGET GROUPS

- **People working on projects dealing with housing supply, city development, and refuse and waste water management**
- **Interested laypersons and professionals from NGOs, local community initiatives and other grass roots organisations**
- **Professionals and decision-makers in communal and other responsible institutions involved with waste management in poor areas.**

0. INTRODUCTION

CONTENTS OUTLINE



Basic Concepts:

The introductory volume describes the basic information necessary for the conception, planning and implementation of measures to improve waste management in urban poor settlements. Sample case studies and their concrete experiences are used as references.

Module 1: Technical Concepts

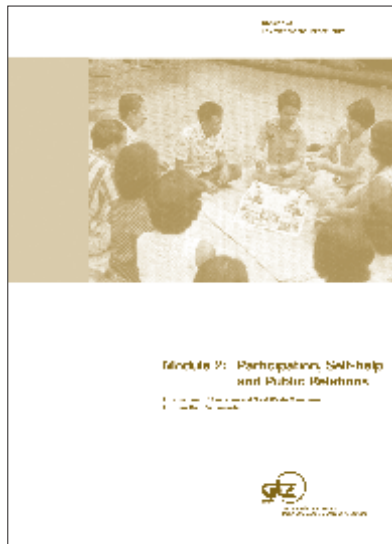
The first module documents proven technical solutions and develops criteria for assessing their suitability for use in different types of housing areas, and for dealing with different conditions and problems.

Module 2: Participation, Self-help and Public Relations

This second module is concerned with procedures, instruments, and methods for encouraging participation and self-help among inhabitants of urban poor settlements during waste management upgrading.

Module 3: Organisation of Operations and Financing

The third module describes and evaluates possible approaches to the organisation, maintenance and financing of waste management systems at the housing area level.



Module 2 in Detail

1. Overview: Definition and Concepts

The first chapter summarises the historical development and perception of participation, self-help and public relations in the context of international development cooperation. As participation and self-help are cross-cutting issues, which are relevant for most other sectoral approaches, the presentation also addresses issues that lie outside the scope of solid waste management and sanitation projects. The most important forms and characteristics of participation, self-help and public relations, as well as their typical objectives and uses in this context, are summarised in a table.

2. Important Factors and Framework Conditions

Chapter 2 points out major spatial/physical and social factors, as well as the relevant political, institutional and legal framework conditions defining both the possible scope and the limitations for participatory processes. The chapter concludes with a listing of the basic principles of successfully promoting and supporting participatory processes.

3. Participation and Self-help in the Project Cycle

Chapter 3 describes the possible forms and uses of participation, self-help and public relations during the different phases of waste management projects: from the early stages of project identification, to project planning and securing financing, project implementation and long-term operational management, and, finally, monitoring and evaluation. The specific context and background, and the tasks and functions of each of the different project phases are presented and assessed, as are the instruments and tools for promoting participation and self-help, and for complementary public relations activities. Each phase is illustrated by a brief description of an example of project practice. In addition, the main potentials and limitations for participation and self-help in the different project stages are pointed out.

4. Cooperation Partners and Implementing Agencies

Chapter 4 deals with the possible cooperation partners and implementing agencies in waste management projects in urban poor settlements. These can be local NGOs and community-based organisations, national NGOs, municipalities and local governments, other governmental institutions or sector agencies, and private sector operators. Each of their potentials and limitations, and the tasks and challenges to be expected in a cooperating with possible partners are pointed out.

Annex

The annex consists of:

- Examples of instruments and tools for participatory approaches in the different stages of project planning and implementation (without being a comprehensive listing). The instruments described can be used for analysing framework conditions, for facilitating decision making processes, for participatory planning and management, and for participatory monitoring and evaluation.
- Literature and websites,
- Photograph and illustration credits.



OVERVIEW: PARTICIPATION, SELF-HELP AND PUBLIC RELATIONS

1.1 OVERVIEW

DEFINITIONS AND CONCEPTS

Interrelationship between Participation, Self-Help and Public Relations

For almost three decades, **participation** and **self-help** have been core elements of international development assistance. In urban development and technical infrastructure, as in other sectors, perceptions of these concepts and their practical application have changed considerably over time. However, although there is a wealth of literature and practical guidelines on the subjects, no clearly defined standards have yet been developed on how participation and self-help should be put into practice in specific contexts.

In any case, this would hardly make sense, as participation and self-help are primarily motivation-oriented processes. Their possible forms and characteristics cannot easily be transferred between different situations. The possibilities and limitations of their application depend on a large number of factors, and therefore, to promote participation and self-help successfully, strategies and procedures that consider the special conditions in a specific context are required.

In development projects, self-help is not usually thought of in isolation, but is understood rather as a particular form of participation. The mobilisation of self-help capacities is frequently an element of participative approaches. Consequently, self-help is described in this publication as an integral part of participation.

Public relations is an important tool for mobilising participation and self-help. Moreover, it can help create or widen the scope of participation and self-help initiatives. Potential types and techniques of public relations are thus dealt with here as functional instruments that support participatory and self-help processes.

In order to clarify definitions and to give an overview of the topic, the different perceptions, forms and possibilities of participation, self-help and public relations are summarised in what follows.

Target Groups

Sanitation and solid waste projects are targeted at the inhabitants of urban poor settlements who would gain directly or indirectly from improved waste management and sanitation. It is they who are the ultimate beneficial users of any measures that are undertaken.

In most cases, these target groups are heterogeneous, with diverse characteristics, problems and interests. Depending on the type of settlement, there may be considerable differences between households, families and individuals in terms of income, housing conditions and education. Differences may also occur with regard to willingness to pay for improved sanitation and solid waste management.

The spectrum of target groups may range from: inhabitants of relatively established settlements to homeless people living in extremely precarious shelters; or from economically active informal street vendors, small entrepreneurs or craftsmen, to families living in abject poverty without any income, entirely dependant on public welfare, begging, or the support of relatives or neighbours. Considerable differences in interests, needs and problems also generally exist between men and women, different age groups, landlords and tenants, small-scale entrepreneurs and day labourers.

Residents of urban poor settlements in Egypt,...

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► *German Federal Ministry for Economic Cooperation and Development - BMZ: Participatory Development Cooperation - Participation Concept, Bonn, September 1999*

Historical Development of Participatory Concepts

- In the 1970s and early 1980s, the debate on participation was dominated by two main aspects: bettering the way public services were geared towards the needs of the population and increasing the share in project benefits through active public participation in development processes.
- In the 1980s, new structural and political issues entered the professional debate. Participation was increasingly discussed in connection to concepts like empowerment and sustainability. The active participation of target groups and stakeholders in decisions to do with development projects, and the associated allocation of resources, became a general concept. Strengthening the identification with development projects would, it was hoped, achieve a higher level of responsibility and lead to better sustainability. By participating in decision-making processes, formerly marginalised groups could acquire new qualifications and gain experience in collective action, thus empowering their negotiating bases and facilitating

their access to resources.

- Since the 1990s, in parallel with increased attention to objectives like decentralisation and good governance, participation has been perceived both as a means and an end. As a means, stakeholder participation facilitates a more effective implementation of projects, and more efficient and sustainable use of their resources. Participation also promotes more democratic political and social structures, transparency, cooperation and self-determination, and can therefore be a mechanism for political, social and institutional change.
- In the last few years, many development organisations have increasingly defined participation as the shared responsibility of all concerned groups and institutions (i.e. stakeholders) and their cooperation on an equal basis. This involves different stakeholders levels: direct beneficiaries (primary stakeholders), government institutions, donor organisations and intermediary institutions (secondary stakeholders) and other actors and

affected groups (external stakeholders).

The active participation of all relevant stakeholders calls for continuous negotiation and coordination in conceptualising, implementing and ensuring the sustainability of development projects. This not only means the participation of target groups in processes and decisions, but also their active partnership and cooperation. In an ideal case, target groups or direct beneficiaries, the so-called primary stakeholders, take on prominent roles in project planning and management.

However, in spite of its importance for the success of a project, participation as a means of improving efficiency should not be over-rated. It should rather be seen more as a way to promote public spirit, a sense of responsibility and the self-confidence of the target groups.

Colombia ...

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and Cambodia

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1.1 OVERVIEW

DEFINITIONS AND CONCEPTS

PARTICIPATION

Definitions of Participation

The currently prevailing perception of participation is determined by general principles, such as partnership, joint responsibility, equal sharing in decision-making and more social and economic equity. This is also reflected in the definitions of participation used by different international development aid organisations:

German Federal Ministry for Economic Cooperation and Development

“Participation is an important precondition for successful and sustainable development cooperation. Participation contributes to improved stakeholder ownership in projects or programmes and takes into account their cultural values and interests. Hence, participation-oriented development cooperation supports the self-determined improvement of living conditions in partner countries. It empowers target groups to engage in and to improve the framework conditions of development.”

World Bank

“Participation is a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them.”

United Nations Development Program - UNDP

“Participation means involving people in the economic, social, cultural and political processes that influence their lives.”

Organisation for Economic Cooperation and Development - OECD

“Participatory development stands for partnership built on the basis of dialogue between the various people involved, during which programmes are established jointly, and local views and indigenous knowledge are deliberately sought out and respected. This requires negotiation rather than the dominance of externally set agendas. In this way, people become actors instead of just being beneficiaries.”

United States Agency for International Development - USAID

“... the active engagement of partners and clients in sharing ideas, committing time and resources, making decisions and taking action to bring about a desired development objective. Participation is both the means and the ends to both pursue and achieve the kind of results we seek.”

Canadian International Development Agency - CIDA

“... a process in which individuals and communities become actively involved in all phases of development and which therefore entails greater equities of economic and political power.”

1.1 OVERVIEW

DEFINITIONS AND CONCEPTS

SELF-HELP

Historical Development of Self-Help Concepts

The notion of self-help developed in line with concepts of participation. There is consequently a variety of forms of self-help today:

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- Self-help in the narrow sense of contributions in terms of work: this form of self-help is sometimes called “muscle mortgage”, particularly in the context of housing or upgrading projects. Self-help can be provided individually or by groups or organisations (mutual or neighbourhood support) for certain time limited measures (construction work).



- Self-help in a somewhat broader sense that includes financial or other material target group contributions (e.g. for construction materials) for measures that are limited in time and scope.



- Self-help beyond such limited measures, which are process oriented and is applied over longer periods of time, e.g. for long-term operations of facilities or services (such as the regular collection and disposal of garbage).



- Self-help as an independent action by a target groups on their own responsibility to overcome or solve concrete problems or deficits in their living environment: this comprehensive type of self-help often entails neighbourhoods or interest groups taking initiatives based on their own, locally available capacities and resources. When these are not sufficient, attempts to mobilise additional external support and resources can be involved.



- Self-help in partnership with government agencies and the private sector: this form of self-help can mean that CBOs or NGOs may have to take the initiative. They will often need to negotiate with state institutions and/or private sector actors in order that the responsibility for certain works and tasks are adopted. However, in these cases, the main responsibility remains with the community organisations or NGOs (self-management).



1.1 OVERVIEW

DEFINITIONS AND CONCEPTS

PUBLIC RELATIONS

Instrument for Mobilising Participation and Self-help

Public Relations (PR) can fulfil different functions during the preparation, planning and implementation of waste management measures:

- PR is an important instrument for building trust and for disseminating information among project partners. It is particularly important for informing those target groups and cooperation partners who are only involved in specific aspects about the activities of others.
- PR is also important for mobilizing target group participation and contribution, and for ensuring the best possible use of waste management measures, through, for example, awareness campaigns.
- PR can also possibly influence the framework conditions within which projects and/or measures operate, and can help marshal internal and external resources.

The use of PR instruments can also be a means of training target group representatives and organisations. Target group organisations can use PR to broaden their own bases and enlist support from the community and external actors. The production of appropriate information by active target group representatives can also be a way to encapsulate and reflect on activities, achievements and problems.

Project progress on information boards in Manshiet Nasser/Cairo

/13/



Potentials of PR Use

- **Informing the general public** (beyond the community level) about projects and measures (planning, progress of implementation, achievements etc.). This is important to cultivate good situations, e.g. to improve the framework conditions for participation and self-help, to mobilise political support, etc.
- Providing **“internal” project-related information** (at community level) to target groups and residents about the planning and implementation of measures, etc. (objective: primarily to provide plain straightforward information)
- **Addressing distinct segments of target groups** (e.g. women or youth) or specific issues (e.g. preventive health care, recycling etc.) with PR using tailored media instruments (objective: mobilisation and capacity-building)
- **PR activities of target group representatives** document their activities and efforts, and inform the public about them (objective: to engender recognition and support within the population)

DEFINITIONS AND CONCEPTS

OBJECTIVES AND POSSIBILITIES

Objectives of Participation and Self-help

The objectives of participation and self-help may vary considerably depending on the content of the project and the concept of participation being applied. Possible objectives range from simply securing a smooth project implementation, to processes promoting the control of development efforts by target group themselves:

- In the first case, participation and self-help are primarily a means for successful project implementation.
- In the second case, it is rather the project that is a means to achieve broader objectives, such as decentralisation, strengthening the influence and negotiation power of the target group, and supporting democratic structures. Participation and building up self-help capacities are themselves key objectives in this instance.

However, projects generally combine both approaches and put various emphases on these different aspects of participation, i.e. whether it is a means or an objective in itself.

Possibilities and Potentials of Participation

- Improved **efficiency** of project implementation and use of project resources through target group involvement and adoption of responsibility;
- Improved **effectiveness** of projects through improved adaptation of measures to the needs of the target group;
- **Sustainability** of project measures through stakeholder identification (ownership) with the project as well as the strengthening of beneficiary capacity;
- Widespread **impact** and replicability of the project or individual project components through binding with the social, political and institutional context;
- Improved access of target groups to resources and the strengthening of their influence on political decisions (**empowerment**) through grassroots organisation support and capacity-building;
- Strengthening of the **institutional capacities** of the local administration through improvement of management capacities, transparency and accountability;
- Improvement of problem-solving capacities, decentralisation and **democratic structures** through strengthening of dialogue, negotiation and cooperation skills of all stakeholders.

Possibilities and Potentials of Self-help

- **Reduction of** construction and investment **costs** through securing beneficiary contributions;
- **Cost efficient operation** of facilities when other potential operators (e.g. communal actors, private enterprises) are not interested;
- Strengthening of **ownership and** willingness to adopt **responsibility** for operation and maintenance;
- Strengthening of the target group's **sense of community** and collective self-awareness;
- Promotion of **independent initiative**, innovative ideas, problem-solving and management capacities;
- Strengthening of cooperation and negotiation skills, and capacities for **mobilising local and external resources**.

The following tables present an overview of different **forms and objectives** of participation, self-help and public relations (PR) in the context of waste management.

1.2 OVERVIEW

FORMS AND CHARACTERISTICS

PARTICIPATION

Form	Characteristics	Typical Objectives
Manipulation	<p>Participation is used as a means to achieve a certain purpose or even as a means to exert influence:</p> <ul style="list-style-type: none"> the primary concern is to obtain the target groups' agreement to measures that were planned externally there is no real participation in decision-making on measures and resources 	<ul style="list-style-type: none"> hedging against political risks strengthening of clientele relationships fulfillment of donor conditions (e.g. cost recovery)
Information	<p>No real participation takes place, the target groups are only informed about planned measures:</p> <ul style="list-style-type: none"> information is filtered by implementing or financing agencies; processes are only minimally transparent to the target groups the flow of information is in one direction, leaving no opportunity for communication, feedback or suggestions for change 	<ul style="list-style-type: none"> to overcome potential resistance of target groups against planned measures (e.g. street widening that may entail house demolitions) smooth implementation of project measures
Consultation	<p>Target groups are given the opportunity to articulate their interests and needs during the planning and decision-making process:</p> <ul style="list-style-type: none"> forums are set up in which target groups can comment on the proposed measures their comments can facilitate adaptations of the measures, and the planning and decision-making procedures, to specific local conditions promotes the establishment of interest groups and/or target group representative bodies provides transparency and accountability 	<ul style="list-style-type: none"> establishment of functioning waste management facilities improving orientation towards the needs of target groups target groups identify with project measures (ownership) improving outreach to disadvantaged or poor target groups sustainability
Consensus building	<p>Target groups participate in decision-making processes and can negotiate own proposals:</p> <ul style="list-style-type: none"> attempts by different actors to identify common solutions and procedures which are acceptable to all through dialogue the influence of individuals or interest groups within the target group on decision-making reflects their respective social capital (social position, economic resources, education, negotiation skills etc.) the interests of the poor, women and other, often marginalised groups are at risk if not taken into consideration 	<ul style="list-style-type: none"> identification of the target group with project measures securing contributions and self-help activities more efficient use of resources increased effectiveness of project measures early solving of problems sustainability

FORMS AND CHARACTERISTICS

PARTICIPATION

Form	Characteristics	Typical Objectives
Partnership	<p>Target groups participate as equal partners in decision-making and implementation processes. The forms, responsibilities and functions of the different participation partners vary, but their respective interests are recognised on equal terms:</p> <ul style="list-style-type: none"> existing organised target group representatives or target group organisations (CBOs or NGOs), or those in the process of becoming representatives, are seen as partners in waste management initiatives target groups are involved at an early stage of the project (identification and preparation of possible measures) women and other disadvantaged groups are often particularly motivated to use participatory partnerships to articulate their interests and increase their status 	<ul style="list-style-type: none"> orientation towards target group priorities target group adopts responsibility distribution of risks empowerment of target groups and community organisations participation and empowerment of women and disadvantaged groups strengthening of decentralised structures and democratic processes sustainability
Self-responsibility and self-determination	<p>Ideally, different actors interact in learning processes that maximise benefits for all:</p> <ul style="list-style-type: none"> members of the target group become actors and decide themselves on priorities for development target group organisations control planning and decision-making processes to a large extent external partners respond to the demands of target group initiatives or encourage target group organisations to take the initiative by themselves target groups and beneficiaries take on responsibilities in planning, implementation and operation there is a risk that government or municipal actors withdraw from their responsibilities to provide basic services 	<ul style="list-style-type: none"> the needs and priorities of target groups are considered to the highest extent possible reduction of investment and management costs through mobilisation of local capacities and resources sustainability empowerment of target groups in terms of access to, and participation in decisions on resource allocations decentralisation, transparency, democratisation

1.2 OVERVIEW

FORMS AND CHARACTERISTICS

SELF-HELP

Form	Works/Services	Typical Objectives
Collectively organised work to implement construction measures	<ul style="list-style-type: none">• construction of ditches for sewer pipes• construction of septic tanks or latrines as collective facilities• construction of garbage collection or garbage sorting facilities• construction of small dumps or composting facilities• protective measures to prevent erosion	<ul style="list-style-type: none">• limitation of construction and investment costs• target group ownership of project measures• strengthening of a collective sense of community
Individual self-help with construction measures	<ul style="list-style-type: none">• provision of individual house connections for sewerage• construction of individual septic tanks, latrines or toilets• construction of individual rain storage facilities• financial contributions of individual house-holds to investment costs in the form of donations or fees	<ul style="list-style-type: none">• reduced construction and investment costs• beneficiary ownership of project measures• strengthening of individual's sense of responsibility
Financial contributions	<ul style="list-style-type: none">• sharing or payment of part of the investment or construction costs by providing personal capital or re-paying loans• in-kind contributions (e.g. construction material)• payment of fees for waste management services	<ul style="list-style-type: none">• beneficiary ownership of project measures• improved cost recovery for waste management measures• decreased burden on public budgets• decrease of necessary subsidies

FORMS AND CHARACTERISTICS

SELF-HELP

Form	Works/Services	Typical Objectives
<p>Collectively organised operation of waste management facilities and systems</p>	<ul style="list-style-type: none"> • operation of garbage collection facilities at community level • maintenance of sewerage facilities and drainage systems etc. • monitoring of the quality of waste management services by community organisations, which can exert pressure on responsible actors, if necessary, in order to maintain quality • ensuring the payment of due fees through community organisations and with the help of awareness campaigns 	<ul style="list-style-type: none"> • ensuring appropriate operation and maintenance • ensuring quality services • cost effective operation of facilities when other operators (e.g. municipal or private enterprises) are not interested
<p>Implementation of accompanying measures to reduce operation costs and increase the benefits of waste management services</p>	<ul style="list-style-type: none"> • awareness campaigns on the proper use of waste management facilities and systems (e.g. to prevent blockage of sewage pipes) • awareness campaigns to reduce the amounts of garbage • organisation of garbage sorting at its source (i.e. in households) • implementation of campaigns to increase health and hygiene awareness • organisation of activities to increase environmental awareness, e.g. in schools, community centres and public places 	<ul style="list-style-type: none"> • securing sustainable use • increased benefits related to the improvement of health conditions and the reduction of negative environmental effects • increased sense of responsibility for overall social development
<p>Independently initiated self help measures by inhabitants' groups</p> <p>(These can be supported and/or continued by projects or other external actors.)</p>	<ul style="list-style-type: none"> • organisation of the transport of household garbage to garbage collection points (drop-off system) • provision of land for the construction of garbage collection facilities, transfer stations and pumping stations • establishment of a community fund to co-finance a sewerage system • independent organisation of household connections to existing sewerage systems • organisation of waste management systems as cooperations between neighbourhood initiatives, local administration /sector agencies and (local) private enterprises 	<ul style="list-style-type: none"> • financing of waste management services when sufficient public finance is unavailable • promotion of private public partnerships • strengthening of self initiative and problem solving capacities • job creation

FORMS AND CHARACTERISTICS

PUBLIC RELATIONS

Possible Use	Activities and Media	Typical Objectives
<p>Project internal information for target groups about planning and implementation of project measures</p> <p>(at community level)</p>	<p>Primarily, the provision of plain straightforward information:</p> <ul style="list-style-type: none"> • brochures and leaflets about the project and planned measures • putting up information boards • signs and posters to announce project measures 	<ul style="list-style-type: none"> • establishing acceptance • smooth implementation of project activities
<p>Regular information of cooperating inhabitant group partners and the exchange of information between all stakeholders</p>	<p>Flow of information in all directions:</p> <ul style="list-style-type: none"> • regular information meetings with target group representatives • setting up contact and information offices • nomination of contact persons and coordination officers • use of informal channels of information 	<ul style="list-style-type: none"> • promoting cooperation • taking up ideas and proposals • solving problems and resolving conflicts
<p>Addressing specific social groups (women, youth) or particular topics (e.g. health, hygiene, recycling) through targeted PR activities</p>	<p>Frequently, specific appropriate media tools are used, e.g.:</p> <ul style="list-style-type: none"> • audio-visual tools (wall paintings, posters, films) in awareness campaigns in schools, literacy classes, community centres and public places • theatre plays, puppet plays, songs, stories etc. 	<ul style="list-style-type: none"> • raising awareness and changing behaviours • capacity-building in certain areas of concern • mobilisation of target group participation in the implementation of project measures

FORMS AND CHARACTERISTICS

PUBLIC RELATIONS

Possible Use

Targeting information to external actors (e.g. sector agencies, NGOs, other contributors and donors) about the project and as starting points for further development measures

Information of the general public (beyond the community level) about projects and measures

Activities and Media

Primarily, the provision of information on objectives, activities, key concerns and the broader potentials of the project:

- information events
- project presentations (using PowerPoint, overhead projectors etc.)
- project visits, site visits
- targeted distribution of reports and brochures
- nomination of contact persons and coordination officers
- use of informal channels of information

A primary concern here is the promotion of a positive image of a project:

- compilation of press information packs
- interviews with journalists
- exhibitions and presentations at conferences, events etc.
- inviting members of the press representatives to project and site visits, presentations, opening ceremonies etc.
- presentations at universities, to professional organisations and trade associations etc.

Typical Objectives

- mobilising the support of government and municipal agencies
- mobilising additional resources of external actors
- promoting synergy effects through integrated approaches in development efforts

- sensitising the general public to the problems and potentials in poor urban neighbourhoods
- mobilizing political support
- improving the framework conditions of participation and self-help

2 **IMPORTANT FACTORS AND FRAMEWORK CONDITIONS**

2.1 IMPORTANT FACTORS AND FRAMEWORK CONDITIONS

CONTEXT

Participation and Self-help as a Process

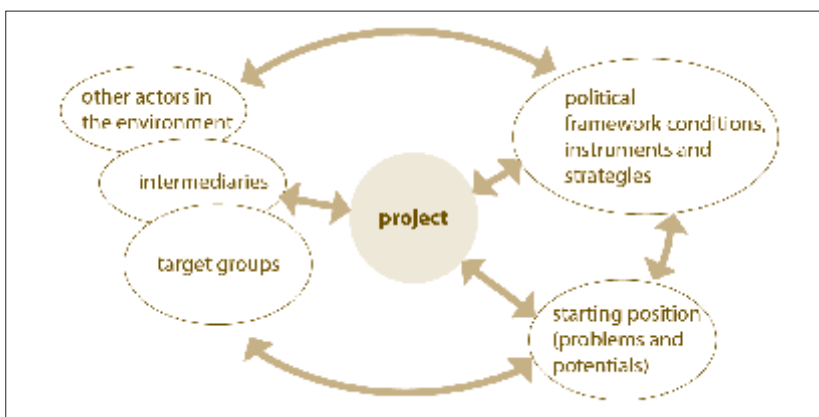
Participation does **not** develop **automatically** and is also **not cost neutral**. It takes time and money and needs committed effort. Even if the benefits often exceed the investment in the medium and long term, there is no guarantee that the expected results will be in fact achieved.

Projects that have been initiated externally, in most cases by donor agencies, must first create the necessary preconditions for the successful participation of target groups and other relevant actors. This entails **building trust, capacity-building and the promotion of innovative thinking**. In addition, the different actors need to be prepared to cooperate: in many cases, most of these actors have never worked together before or even entered into a dialogue with each other. The cooperation of the inhabitants cannot be counted on either. Beneficiaries and target groups are usually not homogeneous but consist of a multitude of heterogeneous social and interest groups, which can lead to conflicts of aims and modes of exclusion.

Participation is a **learning process** for all concerned, and it develops step by step. It requires careful planning that leaves ample room for experiment. The mobilisation of self-help potentials and the targeted use of PR activities are integral components in the development of participatory processes. When identifying appropriate strategies and activities to initiate and/or support these processes, it is important to first define the **factors** that can promote or obstruct participation and self-help in a particular context.

Only on these bases is it possible to formulate **realistic objectives**, identify **key actors** and their respective roles, and identify and plan a series of measures and activities to manage and intensify the development of participation processes.

Project environment, target groups, and political conditions, strategies and instruments influence each other as shown below (systemic approach) /14/



Important Factors and Framework Conditions

The possibilities and leeway for participation and self-help in waste management depend on a series of factors and framework conditions that are described and assessed on the following pages:

- specific **characteristics of the neighbourhood** (size, density, social structure and complexity, incidence of poverty, lack of services, degree of marginalisation or integration in the city)
- expectations, interests, degree of organisation and the social and cultural norms of the **target groups**, i.e. neighbourhood residents whose living conditions are to be improved by the waste management measures
- number, nature and interests of relevant **actors and cooperation partners** and their level of experience with participatory processes
- prevailing **political, institutional, legal and economic framework conditions** at national and local levels. Depending on the context, these may have a positive effect or present risks or obstructions

2.2 IMPORTANT FACTORS AND FRAMEWORK CONDITIONS

SITUATIONAL FACTORS

Characteristics of the Neighbourhood

The spatial extent, number of inhabitants and density in a poor urban settlement are important factors that determine possibilities for participation and self-help. In particular, the following two types of neighbourhoods can be distinguished:

Small, easily manageable settlements with relatively low residential densities

- Social and interest groups are usually more homogeneous than in large neighbourhoods with high population densities.
- It is usually possible to address a large part of the resident population directly and to ensure representative participation or participatory procedures.
- It is generally easy to establish new organisations or to support existing ones.
- It is often possible for relatively large segments of the population to participate in self-help measures
- Investment costs tend to be relatively high, particularly in low density settlements.
- Political pressure to find solutions for the problems of the neighbourhood is usually lower than in the case of large, high density districts; therefore, political support for measures also tends to be less.

Large Neighbourhoods with Many Inhabitants and High Residential Densities

- The social composition is often heterogeneous; there may be conflicting interests between different groups.
- Usually, there are only very limited possibilities of addressing residents directly; in many cases, it is necessary to focus on one or more pilot area(s).
- Broad or representative participation of the inhabitants and participation procedures depend to a large extent on the existence of active community groups and organisations.
- It is difficult to establish representative organisations; in many cases, a large number of organisations are necessary for success, and this takes considerable effort .
- Self-help measures are usually more difficult and complex and may only be possible for certain types of action.
- Project related PR activities and well planned campaigns are more important than in smaller districts.
- Individuals with useful professional skills and experience can often be found among the residents.
- Per capita investment costs are lower than in small settlements with low densities.
- The political weight in these types of neighbourhood is usually much higher than in smaller ones and consequently the potential for active support from government agencies is greater.

Low density settlement at the city periphery (Windhoek, Namibia) /15/



Informal settlement with extremely high residential density (Manshiet Nasser, Cairo) /16/



2.3 IMPORTANT FACTORS AND FRAMEWORK CONDITIONS

SOCIAL FACTORS

Target Groups

In order to describe the social factors that relate specifically to target groups, it is useful to distinguish between the following:

Expectations and Interests

The interests and expectations that influence the scope and potentials for participation and self-help can be determined by the following:

- history of the settlement, age of the neighbourhood and fluctuations of inhabitants;
- homogeneity or heterogeneity of social, ethnic or religious structures;
- percentage of house owners and tenants;
- availability or lack of basic services and quality of these services;
- degree of poverty incidence, unemployment and illiteracy;
- competition for scarce resources
- political interconnections and clientele relationships between local actors;
- conflicts/violence;
- particular socio-cultural features and traditions, which may work as taboos and obstruct a project, but which may also have special potentials.

Degree of Organisation

The degree of resident organisation in poor urban settlements tends to vary as much as the expectations and interests of the population. The type of organisation is, moreover, strongly influenced by particular socio-cultural characteristics:

- In many cases, formal representative bodies (e.g. elected community representatives) do not function well (or are corrupt).
- Organisational structures are often informal or traditional, and women and youth are commonly excluded.
- Formal or informal organisational structures and/or representative bodies that have developed over many years exist mainly in older, consolidated neighbourhoods.
- Organisational structures in newer neighbourhoods with residents from different origins (migrants from rural areas, refugees, people who were evicted from other neighbourhoods) are often barely functional.
- The degree of organisation and the experience of grass roots organisations is usually much higher in Latin America and Asia than in Africa where ethnic fragmentation and inter-ethnic distrust have a negative effect; in the Middle East, popular organisation is obstructed by deeply rooted authoritarian structures.

Gender Aspects

Taking gender aspects into consideration is particularly important for the development of successful strategies for participation, self-help and PR. This is due to a variety of reasons:

- Men and women have diverse needs and the impacts that project measures have on them differ because of gender roles in production, reproduction and community work (these have to be investigated and considered in order to avoid unintended effects).
- Women are in many cases the main users of waste management facilities (it is they who use water, and generate household garbage and wastewater); they are therefore especially interested in improvements to hygiene and health conditions.
- The amount of family breakdowns and female heads of households tends to be particularly high in poor settlements; women are often the spokespeople for family interests outside the home.
- Women and youth often take a particular interest in improvements to their living environment; and this also improves their status in the family and community.
- Women tend to have a stronger sense of responsibility and are often more prepared to become engaged in activities and organise themselves.
- Women's initiatives are often observed with suspicion by men and by governmental or religious authorities.

A particularly important target group: women and girls

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2.3 IMPORTANT FACTORS AND FRAMEWORK CONDITIONS

SOCIAL FACTORS

Actors and Cooperating Partners

The actors who are relevant in planning and implementing waste management measures differ according to the content and goal of a project. Potential actors can be divided into the following categories:

Target Groups/ Beneficiaries

Groups, organisations and representatives at local population level (primary stakeholders), such as:

- community-based organisations and local NGOs;
- neighbourhood initiatives;
- informal women's and youth groups;
- informal social networks;
- traditional social or ethnic group leaders;
- local private sector enterprises or groups;
- local professionals (lawyers, physicians, engineers, teachers etc.);
- religious institutions (churches, mosques etc.).

Intermediary Actors

Institutions or organisations that have a significant share of responsibility in decision-making, planning and implementation (secondary stakeholders), such as:

- local administration at city or district level;
- ministries/ governmental administrative institutions;
- sector agencies (e.g. for solid waste or wastewater management);
- national or international NGOs;
- professional syndicates, business associations and other civil society organisations that may contribute to the project;
- donor agencies.

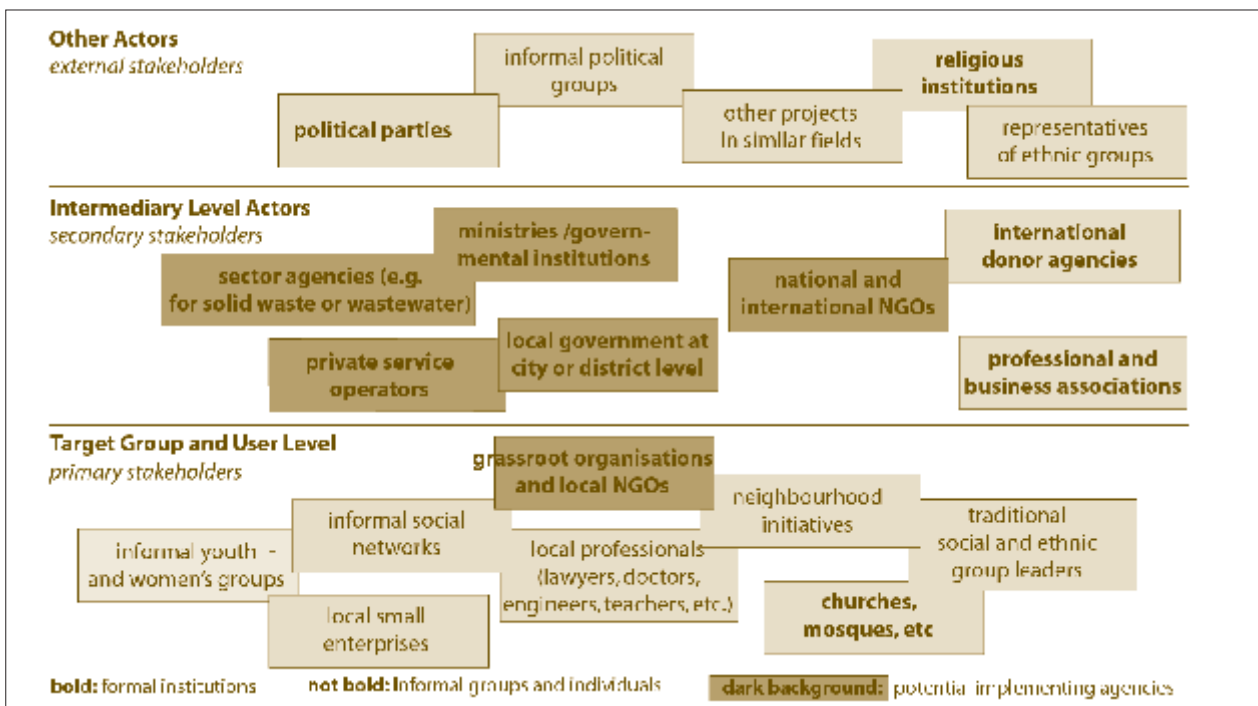
Other Actors

Actors who are not formally involved but are affected by or have an influence on project activities (external stakeholders), such as:

- religious institutions;
- representatives of ethnic groups;
- political parties (e.g. during the run-up to elections);
- informal political groups;
- other projects in similar fields.

Different categories of potential actors

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2.4 IMPORTANT FACTORS AND FRAMEWORK CONDITIONS

OTHER FRAMEWORK CONDITIONS

POSITIVE PRECONDITIONS

The following positive framework conditions may promote and facilitate participation and self-help in waste management projects and initiatives:

Political Framework Conditions

- awareness of the problems of poor urban settlements by politically responsible officials, acknowledging the importance of integrating them into the formal city and of solving their problems;
- existence of central and/or municipal policies oriented to benefit poor people and that aim at achieving social balance, and which include for the provision of finance for upgrading and redevelopment measures in poor urban settlements when necessary;
- political will of decision-makers and the government to support and promote participatory and self-help approaches;
- existence of political leeway to promote, accept, or at least not hinder participation and grass roots initiatives at communal level (where resistance to participation is felt most directly);
- minimum level of rule of law, decentralisation of decision-making power, accountability and democratic structures (i.e. good governance).

Legal Framework Conditions

- possibilities for the legalisation/formalisation of informal settlements; availability of urban planning instruments for upgrading and redevelopment;
- possibilities, with easy requirements, for the formal recognition of resident organisations and the legalising the activities of grass roots and self-help initiatives (e.g. as operators of waste management services);
- possibilities for adapting extant technical standards for infrastructural and waste management provisions, so that reduced, simpler standards, which can be implemented through self-help and/or supervised by community organisations, can be applied, if necessary;
- flexibility in waste management tariff and fee systems; possibilities of recognising and taking self-help efforts into account.

Institutional Framework Conditions

- a high degree of municipal autonomy with regard to the provision of waste management services;
- a clear distribution of responsibilities for waste management tasks between government agencies, sectoral authorities, communal level organisations and, when applicable, the private sector;
- the maximum possible decentralisation of tasks and the delegation of responsibilities and decision-making power;
- sufficient human, technical and financial capacities in the institutions in charge of waste management tasks, particularly in municipal and/or sector agencies;
- the cooperation and networking capabilities of sector agencies;
- low levels of corruption and/or mechanisms to contain corruption.

Favourable framework conditions are not however obligatory requirements. Many examples and projects show that participatory and self-help activities in poor settlements are also possible in countries with very authoritarian and repressive regimes that are sometimes barely aware of the poor settlements in their midst. They can also be possible when political conditions and policies are less than adequately oriented to the benefit of poor people (e.g. the Orangi Pilot Project in Pakistan or the Kampung Improvement Program in Indonesia).

In many cases, participatory and self-help activities are the only way affected poor urban residents can improve their housing and living conditions. Successful initiatives, which start out as pilot projects at the neighbourhood level, can have wider impacts and influence political dynamics (e.g. during the Marcos era in the Philippines, in Latin America, etc.)

2.4 IMPORTANT FACTORS AND FRAMEWORK CONDITIONS

OTHER FRAMEWORK CONDITIONS

RISKS AND CONSTRAINTS

Participatory processes and approaches can be obstructed by a number of different factors and conditions:

Political and Institutional Risks

- In countries with authoritarian regimes, concerns for internal security may obstruct or prohibit participation. Poor and informal settlements in particular, are often seen as hotbeds of violence and revolt.
- Moreover, many institutions in these countries, including NGOs, tend to have very hierarchical structures. Implementing agencies may use participatory rhetoric and monopolise donor funds, but do not promote target group participation in reality.
- Municipal and state agencies tend to be bloated with employees. In many cases however, these employees are not qualified or under-qualified, are not paid properly and are reluctant to take decisions. Building up the necessary capacities to implement complex participatory projects is, therefore, difficult.
- Administrative and decision-making processes are often personalised rather than institutionalised. Support for participatory processes can therefore depend on individuals at the top of the respective hierarchies. If these individuals are changed, projects may suffer severe setbacks.
- The inhabitants of poor settlements are frequently not regarded as serious negotiating partners. They are often negatively stereotyped as poor, ignorant and criminal, and this can sometimes be believed by the poor themselves. Such stereotyping undermines solidarity, trust and the willingness to act collectively.

Problematic Aspects of Self-help

- Participation and self-help may be a significant additional burden for poor target groups, particularly for women, because considerable effort can be needed to make up for deficiencies or lack of services.
- The assumption that target groups are willing and able to contribute, can sidestep what many would see as the state's obligation to create social balance through the transfer and redistribution of resources. This applies particularly in cases where poor population groups are expected to come up with contributions for services that are subsidised or provided free in wealthier areas.
- It is not always possible to provide sufficiently professional waste management services through self-help. This may result in health and environmental hazards, particularly in densely populated urban areas.

Target Group Related Risks

- The population in poor urban settlements is often heterogeneous. In some cases, there is a wealth of different and often competing grass roots organisations. In other cases, community organisations are weak or none exist. In both cases, it is difficult to achieve representative participation with a broad basis of legitimacy.
- Existing representative structures, or those that have to be built up, may be dominated by personalities with considerable social and/or economic influence in the community. This carries the risk of excluding the poor, women and other marginalised groups and creates or reinforces local hierarchies and power structures.
- Clientele relationships between influential local actors (individuals as well as organisations) and political leaders and parties, big landowners or other holders of power

Complexity of Participatory Processes

- Participatory processes require time for dialogue and negotiations, and for building up appropriate cooperation and implementation mechanisms. Poor target groups often have difficulties understanding why so much time is needed for planning, mobilisation and capacity-building before improvements become tangible.
- The complexities of participatory processes often makes it difficult to comply with the time scheduling conditions of donor and partner organisations. In addition, participatory processes can have unexpected results or deviate from original plans in ways that are difficult to communicate and explain.

2.5 IMPORTANT FACTORS AND FRAMEWORK CONDITIONS

PRINCIPLES

Principles for the Successful Promotion of Participatory Processes

Against the background of the factors and framework conditions elaborated above and taking the risks and constraints described into consideration, the following important principles for the support of participatory processes can be derived:

- It is important to investigate the political, institutional, legal, social and cultural context prior to preparing participatory concepts that are to be implemented in those contexts. In doing so, the factors that can influence participatory processes positively or negatively have to be identified. This includes scrutinising all stakeholders and their potential roles.
- The objectives of participation and self-help in a concrete project can only be determined on the basis of an analysis of the roles of the actors and the framework conditions. Participation and self-help may be defined in many different ways. It is, therefore, important to ascertain the desired form of participation and the added value it gives to the project and to anticipate potential unintended results.
- It is important to distinguish between the following: participation in development is not the same as participative development. In order to achieve the latter, participation must not be thought of in terms of episodes of input, but as the basis and one of the governing principles of all project activities.
- Participatory processes need conscious efforts and careful planning. However, participation is not a linear process. It requires ample opportunities for experiment. The type and scope of participation and target group involvement need not be fixed at the earliest stages. It can be better if participatory approaches and activities are developed in the process of identifying, planning and implementing the waste management measures.
- During the process of planning and implementation, target groups and other actors accumulate experiences that increase their efficiency and widen the space for participation; this can add new qualities to the interaction and cooperation between the different actors.
- When guiding learning processes, it is important to reinforce concrete on-the-job learning experiences with targeted training measures that encompass theoretical and general aspects to supplement capacities acquired through practice. Whenever possible, locally available expertise should be utilised for training so that mechanisms of mutual exchange and knowledge transfer can be established or supported.
- Participation requires new forms of cooperation that incorporate all relevant actors. During this process, opportunities may arise to increase the capacities and strengthen the position of poor and as yet marginalised population groups, and sometimes even to achieve far-reaching improvements of framework conditions in their favour. These chances should be pursued whenever possible.
- It is often difficult to sustain newly created structures, which are not easily integrated into existing structures, may not yet be properly representative and might not be accepted by governmental agencies and state institutions that are in any case sceptical about participatory approaches. Projects should, therefore, work as far as possible through existing institutions.
- Participation does not occur automatically. Individuals and institutions that do not have any experience with participation cannot easily incorporate participatory approaches into their work routines. Employees of, for example, state institutions may need to be supported with training and capacity-building.
- Monitoring and impact assessment should be integral components of steering participatory process steering. They are both important to adapt project activities to target group needs and to realise and take advantage of new potential participation and self-help activities. Moreover, monitoring and impact assessment can also be used as an instrument to increase target group capacities for analysis and action. They should, therefore, be carried out in a participatory way, as far as possible.

3 **PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE**

OVERVIEW OF PROJECT CYCLE AND STRUCTURE

Introduction

The following chapter elaborates on the scope, potentials and challenges for participation and self-help in the different phases of waste management projects or initiatives at the community level. The complex of tasks and the work steps in the project cycle are described in detail in what follows under:

- Identification and preparation;
- Planning and finance;
- Implementation;
- Operation and management;
- Monitoring and evaluation.

Each of these phases is presented in the same way:

- First, the **context** and the most important **tasks and challenges** are described.
- Against this background, the most important **advantages, risks and constraints** concerning target group involvement are assessed.
- An overview of important **instruments and procedures** for promoting participation and self-help follows, which is supplemented with more information in the annex. In addition, possible ways to use PR in each phase are also described.
- In each case, a short **description of an example project** illustrates this overview.
- Finally, a **summary of the most important statements** regarding possibilities, constraints and aspects to be considered is presented in a text box.

Identification and Preparation

This phase takes place prior to actual planning, and its main objective is the **clarification of the nature and scope of possible** waste management **projects** or initiatives. Residents' groups, NGOs or municipal and other governmental agencies may already have preliminary ideas or proposals, but using them depends on their purposes and the initial situation.

In most cases, it will be necessary to carefully analyse the conditions for participatory processes as well as the interests of target groups and other stakeholders in order to be able to clarify the above mentioned issues.

Agreement on the objectives of envisaged measures and possible stakeholder contributions are the most important challenge in this phase.

These agreements are usually the basis for further planning and for the mobilisation of financial and other resources necessary for further planning.

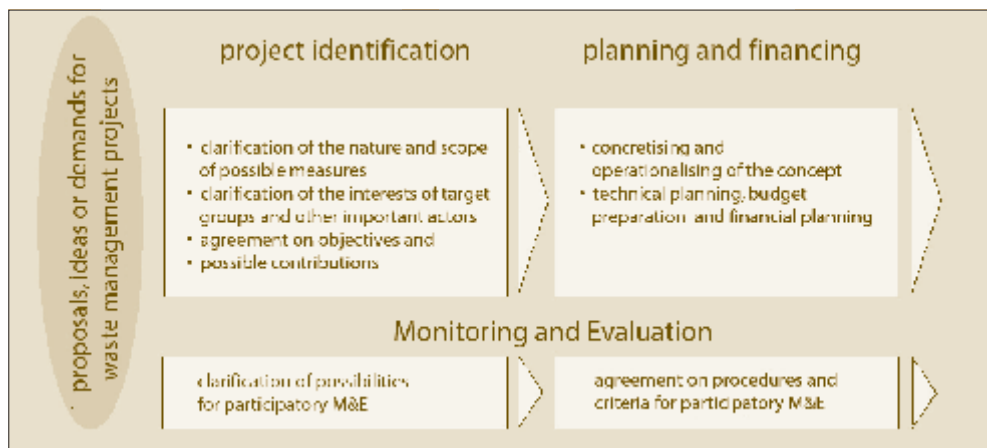
Planning and Finance

The most important objective of this phase is to **concretise and operationalise the** waste management **concept** identified during the previous phase.

Usually, further **technical planning** is necessary for the individual measures that are envisaged. In this context, detailed **budget and finance plans** are also prepared, including the fine-tuning of required stakeholder contributions.

Funding for the long-term operation of waste management solutions also usually has to be clarified.

The **funds required for implementation** can be requested from eligible institutions (depending on the initial situation: governmental agencies, NGOs or external donors).



3.1 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

OVERVIEW OF PROJECT CYCLE AND STRUCTURE

Implementation

During this phase, the planned waste management measures are implemented and their operation is initiated. This usually calls for the following:

- The **construction of facilities or waste management networks** and/or
- the **procurement** of facilities and equipment;
- **complementary advisory and capacity-building measures** for future operations.

Depending on the nature and complexity of project measures, **different steps with different time horizons** are feasible for implementation. These determine the possibilities and scope for participation and self-help:

- Canalised sewerage in densely populated areas requires, for example, extensive construction measures that take a long time.
- For solid waste management, it is usually sufficient to procure equipment such as vehicles or containers. It may, however, require significant training and advice efforts.

Operation and Management

This phase closes the project cycle: waste management measures and facilities are in long-term operation and use. The phase is part of the project cycle only in a narrow sense since sustainable and regular operation is not usually the task of “projects”, which are normally limited in terms of time and resources.

Typical tasks in this phase that will nonetheless need to be fulfilled within the project cycle encompass the following:

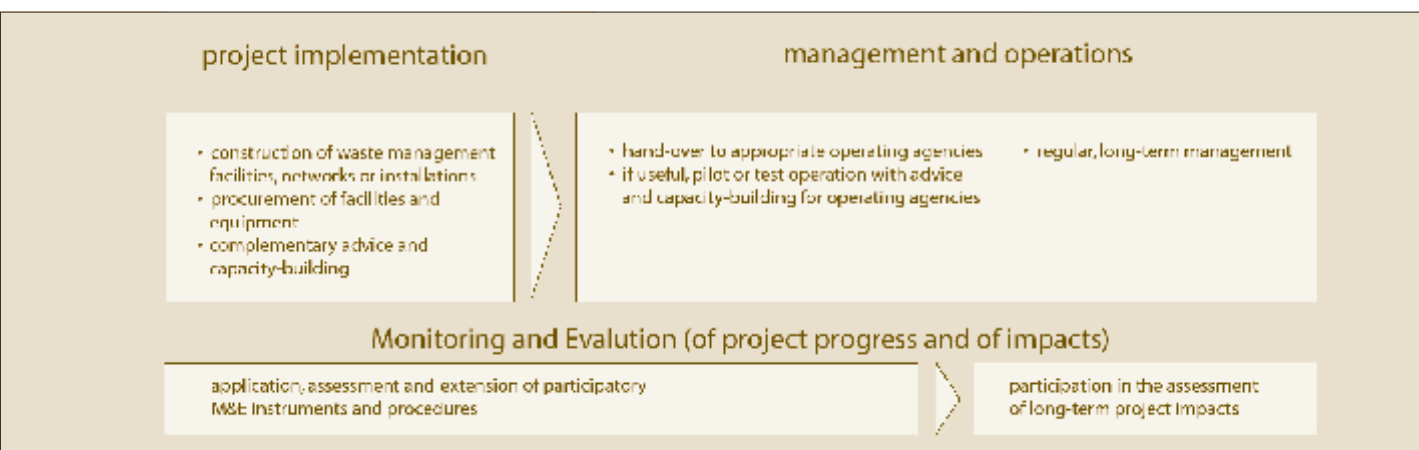
- **handing over** facilities or equipment **to appropriate operating agencies** (depending on the nature of the waste management measures and the agencies, e.g. municipal or other public waste management agencies, NGOs or residents' self-help groups);
- providing the operating agencies with **advice, guidance and capacity-building for long-term operations** during an introductory or pilot phase.

Monitoring and Evaluation

Monitoring and evaluating (M&E) participatory processes are **cross-cutting issues** that have to be dealt with in different ways during the various phases of the project cycle:

- During the project identification phase, it is important to **clarify possibilities for involving target groups** in M&E activities.
- In the context of the concrete planning and identification of finance phase, it is important to reach an **agreement on appropriate criteria and procedures** for assessing the involvement and role of target groups in future implementation, related adjustments of plans as well as in long-term operations.
- During the implementation phase, the **application, evaluation and extension** of these procedures and criteria are focused on.
- The application of M&E procedures and instruments, and the **assessment of long-term project impacts** is of primary importance for successful sustainable operations.

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3.2 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IDENTIFICATION AND PREPARATION

Context

The initial situation for the identification and preparation of waste management projects can vary considerably and may involve:

- **Taking up existing initiatives and projects:** this is by far the most frequent occurrence since donors look above all for projects that build on existing activities and experiences. Project proposals for waste management measures in poor areas in particular are rarely developed out of “nothing”. In most cases, ongoing measures dealing with other (probably related) issues form the basis for requests for support.
- **Demand-driven project approaches** in which funds for waste management activities are provided by donors or national institutions, and community organisations or NGOs can apply for them. In many cases, community organisations have already put some effort into preliminary planning for waste management measures or they have engaged so-called support NGOs to do so, sometimes with their own funds (e.g. from savings groups). This kind of target group initiative and self-help will probably become more significant in the future.
- **Requests or applications from governmental agencies, municipal or sector institutions, local community organisations or NGOs** in situations where development measures have not been implemented before: such applications are not, however, very common.

Tasks and Challenges

It is important to analyse the decisive factors that enable participation and self-help during the identification phase of waste management projects so that sufficient scope for participatory processes is made available, and an appropriate project concept based on them can be developed. This involves the following:

- Analysing the possibilities and **scope for participatory processes**, particularly:
 - possible reactions of national and local governmental and administrative agencies to the promotion of participation and self-help,
 - possible reactions of target groups to efforts to involve them in decision-making and implementation processes, and endeavours to motivate them to make contributions and adopt responsibilities,
 - social, political, cultural and gender factors at the regional and local level, which may promote or obstruct participatory processes,
 - economic, legal and institutional framework conditions;
- Analysing the **local factors** relevant to defining the criteria and procedures **for promoting participation and self-help** in the wider planning and implementation process, particularly:
 - the degree of target group organisation (including informal and traditional organisational structures), the degree to which those organisations are representative and rooted in communities, and their level of experience and capacities,
 - local structures, traditions and institutions that can promote or obstruct participatory and self-help approaches,
 - the degree of poverty in the area as well as the kind and quality of existing services,
 - the experience of relevant State and non-governmental institutions with participation and self-help;
- Scrutinizing **relevant actors** and their interests, particularly:
 - the interests and priorities of different sections of the target groups (e.g. housing owners and tenants, traders and service providers(?), women and youth, ethnic, political and religious groups),
 - relevant governmental agencies and State actors, their respective tasks, competencies and interconnections,
 - the activities and interests of other actors (e.g. political groups, religious institutions, NGOs etc.);
- Identification of concrete **possibilities for participation in, and target group contribution** to waste management measures, e.g.:
 - the ability and willingness of different social groups to pay fees for house connections, garbage collection etc.,
 - avoidance of garbage production and garbage sorting at source (in individual households); the use and maintenance of garbage collection points in the context of a drop-off system,

3.2 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IDENTIFICATION AND PREPARATION

Involvement of Target Groups

- servicing and maintaining drainage systems, erosion prevention measures, latrines, septic tanks and other faeces and wastewater disposal installations,
- awareness campaigns to improve health, hygiene and the environment,
- possibilities for individuals, groups or community organisations to take part in working groups, committees, workshops etc.;
- Identification of **appropriate instruments** (funds, capacity-building measures, exchange of experience) to encourage and support demand-driven self-help and independent initiatives;
- Investigating possibilities of **combining waste management measures with other project components** (infrastructure measures, finance of housing construction or upgrading, income or employment generation etc.); such integrated approaches can work better to fulfil the multiple needs of poor target groups;
- **Identification of the necessary resources**, technical and time inputs that a project requires in order to promote participatory processes and self-help.

Advantages

- The participation of target groups in identifying and conceptualising a project, facilitates the determination of their needs and priorities as well as their possible contributions and self-help inputs. It is therefore a good basis for formulating realistic concepts oriented to potential target group participation in waste management measures, as well as for ascertaining the resources needed.
- The early involvement of target group representatives in the preparation phase, often promotes identification with the project (ownership) and willingness to adopt responsibility.
- Initial contacts with target groups during the identification phase can make things easier when the project actually begins.
- When a project is based on resident initiatives and self-help efforts, conditions are particularly favourable for target groups to eventually take over control of the development and improvement of their living environment. They are then in a good position to negotiate their contributions as well as the use of external resources.

Risks and Constraints

- Discussions about possible measures may raise expectations that cannot be met. This applies particularly to projects that are exclusively initiated by external actors.
- The long time span between project identification and its tangible implementation can lead to frustration and undermine the project's credibility.
- The limited time available to project identification and preparation missions may result in important aspects or interest groups being overlooked (particularly in large settlements with a heterogeneous population). This may later lead to conflicts.

3.2 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IDENTIFICATION AND PREPARATION

Instruments and Procedures

The degree of inhabitant participation in project identification and preparation depends largely on whether the target groups were involved in developing project proposals or ideas, or whether these proposals were mainly developed and prepared externally.

In order to avoid raising expectations that are impossible to meet, it is important to identify contact persons from the population who can provide the relevant information and who understand that their contributions are being taken into account, but who realise that the final project concept nonetheless also depends on other factors. It is crucial to make sure that the interests and needs of different social groups are considered in this context.

To promote target group participation as early as possible and in the course of the identification and preparation phase, various instruments and procedures developed and tested in different contexts can be applied.

These instruments and procedures can also be used in other phases of the project cycle, particularly in the planning phase.

Rapid Appraisal Techniques

Application and Objectives

Rapid appraisal techniques (e.g. Participatory Rapid Appraisal - PRA, and Rapid Rural Appraisal - RRA) aim at providing a quick, systematic overview of the physical and situational characteristics of the project area, its social composition, the interests and priorities of target groups, target group structures, degrees of organisation, networks and internal power structures

Methods and Techniques

PRA and RRA use a wide variety of different methods and techniques. What they all have in common is that information is collected and analysed together with target groups.

The techniques applied include the review of secondary literature, so-called x-rays (quick “snapshots” of social and interest groups as well as organisations in a specific geographical area), semi-structured interviews with representatives of local organisations or important informants, focus group discussions, short workshops, etc.

Visual media, such as models, drawings, charts etc. are frequently used.

Stakeholder Analysis

Application and Objectives

Stakeholder analysis aims at identifying social groups, organisations and institutions that are affected by project measures, participate in the implementation of these measures or may otherwise influence their success or failure.

Methods and Techniques

Stakeholder analysis, which is carried out together with the different actors, is, above all, intended to answer the following questions:

- Who are the most important actors?
- How are they affected by project measures? What are their special interests and priorities?
- What experiences do they have and what contributions are they willing and able to provide?
- How do they perceive the interests and contributions of other stakeholders?
- What are the existing relationships between the different stakeholders?
- What roles do they currently play and what potential roles could they play in the project?

This involves interviews with representatives of governmental agencies, community initiatives and informed individuals, and includes focus group discussions, drawing up charts and graphics, reviewing secondary literature etc.

3.2 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IDENTIFICATION AND PREPARATION

Gender Analysis

Application and Objectives

Gender analysis aims at providing a better understanding of the different interests and needs of men and women in a given socio-cultural context. Important aspects in this respect are the following:

- access to resources and information;
- possibilities for articulating gender-specific interests;
- the effects of gender differences on possibilities for participation;
- different effects of project activities on women and men.

Gender analysis investigates, above all, the roles of women in production, reproduction and community work as well as their distinct needs. Women are not seen as a homogeneous group, and their differences (and those of men) in respect of social strata, religious, ethnic and other affiliations, are given full consideration.

Gender analysis helps prevent unintended outcomes having negative effects for women (and sometimes for men). It also helps in identifying appropriate instruments for avoiding the exclusion of women.

Methods and Techniques

Gender analysis should not be understood as an independent technique, but, ideally, as an integral component of all participatory methods.

Questions on gender aspects should be addressed to both women and men in order to capture different perceptions.

Participatory observation can help to identify discrepancies between assumptions about gender relations and social realities.

Important Aspects in Applying Different Instruments

In most cases, elements of all the instruments presented above are combined. Methods and techniques are used according to local conditions, the type of the envisaged measures and the willingness of the different actors to participate.

The less target groups participate in drafting the project proposal, the more carefully project preparation missions have to proceed: otherwise, they run the risk of raising expectations that cannot be met. On the other hand, the better target groups are organised and the more self-initiative they have already shown, the easier it is to involve them.

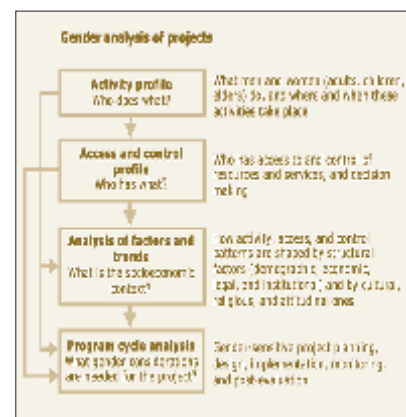
Planning workshop by a women's group in Egypt

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Example Gender Analysis

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3.2 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IDENTIFICATION AND PREPARATION

Forms and Possibilities of Public Relations

Contexts and starting points for PR measures during the preparatory phase can vary considerably. Informing and sometimes also mobilising stakeholders through PR can therefore have different functions:

- When there are hardly any ideas concerning problems and possible solutions, and when the population is little organised, it can be necessary to increase awareness of important problems related to waste management (e.g. health hazards due to inadequate garbage collection) as well as of possible measures. When target groups have, as yet, shown little engagement, tailored PR measures can promote and mobilise self-initiative.
- If resident or other grass roots organisations or local NGOs have already identified some possible measures and envisaged their implementation, those ideas can be made accessible to the wider population for discussion; the residents and their organisations may then be attracted to further participate in the realisation of those measures.
- When external institutions (donors, governmental and municipal agencies, etc.) have identified an outline of possible project measures and/or programmes, but have not yet informed the target group, information about the project's support mechanisms (financing etc.) and their respective conditions can be provided in order to obtain feedback from the population and to check whether the envisioned measures are really appropriate to the local situation.

Apart from informing and mobilizing the narrow circle of potential stakeholders, PR offers other possibilities:

- Informing the wider public (city-wide, regionally or even at national level) to improve the climate of public opinion with regard to poor urban settlements.
- In some cases, PR may also target an international audience, particularly international donors, in order to mobilise support and finance.

All PR activities should, however, also consider the following constraints:

- The risk of raising unrealistic target group expectations, particularly during the early phase of preparation and planning. This may lead to disappointment and demotivation, especially if long periods of time are needed between planning and implementation, or more is promised than can be delivered.
- The socio-cultural context and the local particularities of the target group (e.g. in societies that depend predominantly on oral communication) can limit the use of information media (e.g. the use of written brochures in places with high illiteracy rates)
- In many countries, freedom of press and information is restricted. The leeway for PR can, therefore, be particularly limited in poor urban areas, which are assumed to contain potentials for social unrest, or which are subject to tight state control.

Depending on the objective and the context, different means can be used for PR:

- leaflets and information brochures;
- information boards, blackboards;
- workshops, public events, neighbourhood and street parties, etc.;
- PR through informal contacts and during site visits;
- informing the media, i.e. newspapers, radio, TV stations.

Invitation to a puppet play about solid waste management /22/



3.2 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IDENTIFICATION AND PREPARATION

Participatory Urban Development, Boulaq El Dakrou, Giza/Egypt **Innovative PR Efforts With Unexpected Reactions**

Boulaq El Dakrou is a densely populated informal settlement with 420,000 inhabitants in a central location in Greater Cairo. At the start of the project, a concept for improvement measures was developed in a planning workshop in 1998, with representatives of the population and the local administration.

Apart from improving employment, income generation possibilities and social services, the participants identified the improvement of solid waste management as a crucial area of action. As in many similar areas, there is no functioning garbage collection in Boulaq El Dakrou, and garbage accumulates at the edge of streets, on empty plots and in open canals, leading to severe environmental problems. The Giza Cleanliness and Beautification Authority (GCBA) is barely able to remove the garbage from the settlement's main streets.

The settlement was established informally in the early 1970s on privately owned agricultural land. Its inhabitants came from various provinces and other areas of Greater Cairo. Their different origins and a heterogeneous social fabric prevented effective resident self-organisation. Identification with the area was low and social relations were relatively anonymous despite the high population density.

The project tried to start establishing contacts and stimulating discussions through actions in public spaces, such as street cleaning campaigns and a puppet play about problems related to garbage. At first, the inhabitants criticised these actions. Representatives of different informal groups made it clear that environmental campaigns may be counterproductive if they are organised before a functioning solid waste management system is in place. The puppet play was criticised as an unnecessary investment, and proposals for better use of resources were made.

However, the actions of the project achieved their objective, but in unexpected ways. Contacts with informal resident groups were established, and further activities were developed. These activities led in turn to organisational processes among different population groups.

After the government decided to privatise solid waste management services in major Egyptian cities, the project started to support the GCBA with capacity-building measures to prepare them for privatisation. The project also supports collective environmental activities that mainly aim at reducing garbage pollution in public places (schools, markets, empty plots).

Potentials

- Early identification of the interests and needs, and the possible contributions or independent efforts of target groups
- Highest possible consideration of local particularities, priorities and potentials in preparing project designs, including the identification of required resources

Constraints

- Raising expectations that may later not be fulfilled
- Possible resistance of state/municipal operating agencies (also applies to all other phases!)

To be considered

- Sensitive and careful action, taking the institutional environment and the socio-cultural context into consideration
- Definition of roles of all relevant actors as precisely as possible and identification of key persons as contacts and entry points

3.3 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

PLANNING AND FINANCE

Context

The basic outline of the “waste management project” has been identified:

- project area;
- envisaged and/or planned project measures;
- target groups and beneficiaries of the planned waste management measures;
- formal and informal representative bodies and contact persons;
- potential roles and contributions of state and/or municipal institutions, target groups and other actors;

or the basic concept of a (nationwide or regional) demand-driven funding programme has been defined:

- nature of the measures or initiatives eligible for funding;
- criteria for funding/resource allocation;
- institution(s)/organisation(s) in charge of implementation.

The outlined project or the funding programme concept has now to be operationalised, i.e. it needs to be planned in detail, so that the envisaged measures can be financed and implemented.

Tasks and Challenges

The most important issues to be considered in the concretisation and operationalisation phase of the agreed-on project concept are the following:

- Participatory processes need time and in most cases require intensive, qualified guidance. They need also the provision of necessary funds.
- Participation and self-help have to be organised and flexible and process oriented methods and procedures have to be designed to do it.
- Participatory processes cannot be pre-planned in detail; they have to be open to adjustment and change.

Taking the above into consideration, the most important tasks in this phase are the following:

- identifying the **willingness of target groups** and target group representatives or organisations to actively participate in the further planning and implementation process; this includes an assessment of capabilities and time input limitations;

- reaching agreement on participation **methods and procedures** and the identification of mechanisms to guide **learning processes towards a gradual expansion of participation** and self-help activities;
- identifying and establishing appropriate **participatory organisational structures** (coordination, steering, community or street committees etc.) and realistically assessing how far these bodies can be representative;
- **planning concrete measures**, including the mobilisation and use of the necessary resources and the distribution of implementation responsibilities;
- reaching agreement on **independent target group efforts and self-help contributions**, as well as on the capacity-building measures needed in this respect;
- reaching agreement on the concept of and **responsibility for future operation** of waste management installations and facilities;

Community meeting in Egypt

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3.3 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

PLANNING AND FINANCE

Advantages

- conceptualising and initiating **appropriate forms of PR:**
 - channels of information between all stakeholders,
 - awareness campaigns to support the planning process and prepare the ground for the implementation of concrete measures.

► *Module 3: Organisation of Operations and Financing*

Members of a savings group in Namibia

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Advantages

The participation of all concerned actors in the planning process offers many advantages:

- maximised levels of **efficiency in resource allocation** since planned measures are, to the highest possible extent, in accordance with local conditions and priorities;
- **identification** of the different actors **with the project** (ownership), the promotion of active collaboration and the taking up of responsibility;
- **trust-building** and the reduction of reservations about the involvement of state actors and different governmental agencies;
- establishment of agreements on independent **target group efforts and contributions** (sharing of investment costs, payment of fees for house connections, pipes and operating costs, contributions in kind or works to reduce investment costs, etc.);
- **strengthening the negotiating position of target groups** through self-organisation, taking part in planning and decision-making processes, capacity-building and broadening experience.

Risks and Constraints

However, the participation of target group representatives in the planning process also carries some risks, e.g.:

- **lack of willingness of state actors** to cooperate with target group representatives since the latter are not considered capable of making qualified contributions;
- **additional costs and time**, especially if no representative community organisations exist. Participation is often particularly burdensome for poor target groups;
- target groups' lack of experience and technical knowledge may render the dialogue difficult and lead to **unrealistic expectations**;
- because waste management services are considered to be public responsibilities, **target groups may not be prepared to participate and contribute**;
- **overestimating** the scope of **inhabitant effort and contribution**, especially in the case of ultra-poor target groups.

3.3 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

PLANNING AND FINANCE

Instruments and Procedures

The following section presents a selection of tested and practice-oriented instruments for participatory concretisation of planning and budgeting, which include descriptions of elements of action planning.

The methods presented can be classified as workshop-based approaches (such as GOPP, AIC, TeamUp) or as community-based approaches (PAR and SARAR):

- Workshop-based approaches provide for strongly focused discussion and quick decision-making. However, they are often too abstract and schematic for members of the population. The rhetorical skills and temperament of professionals and government agency representatives can sometimes intimidate target group participants. It is, therefore, often useful to prepare them for such workshops.
- Community-based approaches are better suited to the forms of articulation of poor target groups. Decision-making may, however, take much longer. Community-based approaches can complement workshop-based approaches, or can be used as the main instrument if target groups have already taken on significant responsibility for the development process on their own initiative.

In addition to the methods described in this section, those presented in the previous section, 3.2, Identification and Preparation, can, of course, also be used for participatory concretisation of planning.

Goal Oriented Project Planning (GOPP)

GOPP workshops aim at reaching an agreement between the most important stakeholders on project concepts and project planning.

The project concept is drafted on the basis of a structured analysis of the actors involved, the problems to be addressed, and of the potential project objectives in workshops of one or more days.

During a moderated process, the seconded or invited stakeholder representatives agree on project objectives, envisaged results, concrete measures and activities, implementation time frames, and the roles, responsibilities and contributions of the individual actors.

The results of the workshop are translated into a project planning matrix (PPM). The matrix defines the framework for an agreed period of time. This matrix can be adjusted or updated later, if needed, according to experiences in further project planning and implementation.

Appreciation-Influence-Control (AIC)

AIC endeavours to make stakeholders recognise the different interests of other stakeholders through reciprocal listening (appreciation). It aims to secure consideration of those interests through dialogue (influence), and to steering the development process through joint action (control) of all stakeholders.

This is done in a series of workshops, which differ from those used in the GOPP approach in that they focus on each issue of the planning process in turn. Firstly, common objectives are identified, and then the roles of the different stakeholders in reaching these those objectives are defined. All the steps in the decision-making process follow the AIC pattern, and once the objectives and roles are clarified, concrete actions and tasks are allocated.

If there are conflicts of goals or interests, AIC workshops can also focus on conflict resolution strategies.

A GOPP workshop in El Salvador

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3.3 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

PLANNING AND FINANCE

Participatory Action Research (PAR)

The generic term PAR is used for a whole series of techniques. What all of them have in common is that local knowledge and local capacities are their starting points. PAR methods are based on the following principles:

- Analysis (research) and action complement each other in an ongoing process over several phases.
- All stakeholders are involved in all steps and actions on an equal basis.
- Methods and techniques must be simple and clear and need to correspond to the interests and capacities of the participants, which may have to be built up accordingly. Concrete activities include, for example, targeted household surveys, focus group discussions, and public hearings at neighbourhood level (streets, blocks) or in community centres.

Different techniques are aimed not only at identifying priorities, ideas and suggestions, and the willingness to contribute, but also at mobilising target group awareness of their existing capabilities and capacity-building.

TeamUp

TeamUp is a computer-based method developed on the basis of GOPP. In TeamUp workshops, small groups of participants identify objectives and problems, and, with the help of a software package, try to find solutions for the whole project cycle. Team results are translated into a logical framework (LogFrame) and an action plan. The software includes components for stakeholder analysis, agreement on objectives, and problem and conflict analysis, as well as tools to analyse potential alternative solutions to problems and conflicts.

The process is incremental. Firstly, problems are simply stated. They are then related to causes and effects, and these are classified according to whether they can be influenced or not. The TeamUp method aims at promoting the active participation of participants with no experience with GOPP workshops through a simple step by step approach, which is better at promoting team-building than conventional GOPP methods.

SARAR

The term SARAR means self-awareness (self-esteem), strength through self-organisation (associative strength), awareness of own resources (resourcefulness), action oriented planning (action planning) and the ability to act accountably (responsibility). SARAR is intended to promote group processes and, as a participatory instrument, it aims particularly at building up and expanding analytical, conceptual, problem solving and mobilisation skills.

Active target group representatives are trained to articulate their needs clearly, to set priorities, formulate objectives, draft action plans and define monitoring systems.

An important element of SARAR is the attempt to build on local capacities and to use as few external experts as possible. The exchange and transfer of local knowledge is promoted through team-building processes. This often involves the use of audio-visual tools developed by various organisations in order to stimulate dialogue and facilitate decision-making.

Participatory workshop in Tanzania

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3.3 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

PLANNING AND FINANCE

Forms and Possibilities of Public Relations

There are many possibilities for supporting participatory processes through PR activities during the concretisation and further operationalisation phase of waste management initiatives:

- **informing** residents and target groups and other relevant actors about envisaged measures and the results and agreements reached during project preparation;
- providing **information about planned events** (planning workshops, community meetings, etc.) or important dates or milestones in further planning concretisation and agreements;
- dissemination of **information about specialised and/or technical issues** (e.g. about particular waste management problems and their possible technical solutions, related costs and anticipated operational and maintenance requirements) in order that target groups can make informed decisions in the process of planning and stakeholder agreement;
- providing in-depth **information on funding instruments** and funding conditions (e.g. required

contributions), which can also be a basis for planning and decision-making;

- **informing the broader public** (city-wide, regionally or on a national level) about the progress of project preparation and planning in order to mobilise the support of the media and specialists in the field.

The constraints on PR that were described in the section on identification and preparation, likewise apply to the concretisation and planning phase, particularly with regard to socio-cultural particularities and political framework conditions. By this stage, however, first contacts with the target group and other important actors have usually been already established. In most cases, the project team is also more familiar with the situation and the target group's expectations.

PR activities in this phase can, therefore, often be tailored to the known interests of target groups. This reduces the risk of raising expectations that are too high. In any case, PR measures in this phase should, as in other phases, mainly aim at **winning the trust of the target groups**.

In principle, the same means and media as used during identification and preparation are used for PR in the concretisation and planning phase:

- leaflets and information brochures;
- information boards, blackboards;
- workshops, public events, neighbourhood and street events, etc.;
- PR efforts using informal contacts and PR during site visits;
- informing the media, i.e. newspapers, radio, TV stations.

Information event in Thailand...

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... and Cambodia

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3.3 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

PLANNING AND FINANCE

Urban Community Environment Activities Project/Thailand

Planning of Waste Management Measures as an Own Initiative of Community Organisations

The Urban Community Development Office, UCDO, was established by the Thai government in 1992 as an autonomous unit with the objective of introducing and testing innovative approaches and processes to combat urban poverty on a national scale. In 2002, it was incorporated into the Rural Development Fund of the Community Organisations Development Institute - CODI.

One component of CODI's activities is the Urban Community Environment Activities Project (UCEA). It was initiated in 1996 in Chiang Mai, a city in the North of Thailand, with the help of the Danish government. UCEA finances self-help projects to improve the infrastructure in poor urban settlements. Typical measures are the construction of wells and wastewater channels, the improvement of solid waste management and the cleaning of canals. 200 self-help projects all over Thailand have been financed to date.

Usually, the residents decide themselves about the type of measures and their financing. Resident representatives discuss environmental problems in the settlements and prepare project proposals. These are then submitted to city level poor settlement representative bodies for further discussion.

CODI provides start up finance. Project must not cost more than 2,300 US\$, it must be feasible for the residents to mainly undertake the measures themselves and the measures must be of benefit to the community as a whole. The residents should contribute the equivalent of 20% of the costs in the form of financial contributions, material or work.

Proposals are presented to local and provincial committees, which consist of representatives from residents' groups, urban and regional institutions, NGOs and professionals. This brings the different perspectives of the different interest groups into the discussion and, at the same time, forms a basis for cooperation on other issues.

Priorities have to be discussed intensively since the budget limit of 23,000 US\$ per city, is, in most cases, insufficient to finance all projects. Comprehensive decision-making and agreement at local level, usually means that the approval of the national steering committee in Bangkok is simply a formality.

Potentials

- Effectiveness of the envisaged measures as well as identification of the stakeholders with the project (ownership)
- Clarification and binding agreements on the inhabitants' independent efforts and contributions
- Capacity-building and adoption of responsibility (empowerment)

Constraints

- High level of time and effort needed for organisation; sometimes higher costs
- Target groups' lack of experience and overly high expectations
- Overestimating the possible contributions and independent efforts of the population

To be considered

- Qualified planning and guidance of participatory processes
- Familiarisation with planning and moderation techniques in the planning and decision-making process
- Realistic assessment of the roles and contributions of target groups

3.4 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IMPLEMENTATION

Context

The waste management measures for a project at community level have been concretised to a point that:

- the nature and scope of the individual measures, and the related costs have been identified and agreed upon;
- the necessary contributions and efforts of the different actors and stakeholders have been agreed upon;
- the financial means and other resources for the implementation of the measures have been made available;
- procedures and a time schedule for the implementation of the planned measures have been prepared;

or the following preparations in the framework of a demand driven (nationwide, regional or municipal) funding programme were completed:

- measures to be funded have been identified and the respective funds were approved and/or...
- procedures to distribute and disburse funds to local initiatives have been institutionalised.

The agreed project concept and the availability of funds form the basis for the start of concrete implementation. Depending on the nature of the planned waste management measures, this deals with:

- the **construction of facilities and waste management networks**, and/or...
- the **procurement of facilities and equipment**.

In most cases, it includes accompanying advisory services and capacity-building in order to create the pre-conditions for future operations.

Tasks and Challenges

The main task in this phase is securing appropriate inputs from and participation of target groups in decision-making in the course of the implementation process.

Possibilities of participation in technical tasks depend largely on existing knowledge in the community. If a paucity of technical skills is anticipated, it may sometimes be better to limit participation to organisational tasks that support the smooth implementation of construction works and complementary measures, such as awareness campaigns. This mainly involves the following tasks:

- ensuring quality in implementation through advice and capacity-building, particularly with regard to self-help activities;
- complementary advice, if needed, for steering the implementation process (e.g. in installing sewage networks);
- strengthening and building up the capacities of active residents' groups and community organisations;
- organisation/promotion of cooperation of between target groups or their representatives and other actors, particularly with state and/or municipal institutions:
 - on-the-job capacity-building for target group representatives, also in training courses if appropriate,
 - building the capacities and/or the awareness of employees of state or municipal agencies to enable them to cooperate with target groups;

Digging a trench for wastewater pipes with self-help

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3.4 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IMPLEMENTATION

Involvement of Target Groups

- guaranteeing the dissemination of information on the progress of implementation, in particular:
 - supporting target group organisations and multipliers who take on organisational and mobilisation tasks and who pass on related information,
 - informing beneficiaries about the consequences of implementation for individual households;
- complementary measures such as awareness campaigns on environmental and hygiene issues to increase the benefits of the waste management measures;
- continuous review and adjustment of plans according to the insights gained during the implementation process and any new requirements arising.

Advantages

- **strengthening of target group self awareness**, influence and responsibility (empowerment) through:
 - involvement in decisions concerning implementation and adjustments of plans,
 - involvement of target group representatives in management and steering tasks,
 - promotion of individual and collective self-help capacities,
 - support of awareness raising and organisational processes;
- **transfer of technical skills and capacities** (e.g. in the context of construction measures or garbage recycling) which:
 - improves the understanding of technical solutions and processes,
 - builds up capacities for future operation and maintenance,
 - contributes to improved incomes and employment opportunities.

Risks and Constraints

- Representatives of target group organisations as well as individual households have usually **little or no experience with the implementation of waste management measures** (with neither the technical nor the managerial aspects). The meaningful involvement of target groups in technical tasks, even if accompanied by technical advice and capacity-building, can therefore be limited.
- Intensive target group involvement and participation usually requires a **high level of organisation and time input** and thus higher costs: this applies in all phases, including the implementation phase.
- **Inhabitant contributions** may be a **significant burden**, particularly for ultra poor target groups. In this case, appropriate balancing mechanisms need to be found (e.g. exemption/reduction of fees, payment in instalments, micro credits to finance house connections).

Residents' self-help in installing wastewater pipes in the Urban Upgrading Project Nasriya/Aswan in Egypt

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3.4 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IMPLEMENTATION

Instruments and Procedures

The implementation phase is particularly suitable for extending inhabitant participation and building up the capacities of their representatives. Experience shows that the possibility of participating in practical measures promotes motivation and individual and collective learning.

Learning processes have to be guided in order to maximise their benefits. The initial focus is often on technical training and on-the-job training. With the accumulation of experiences, the emphasis on such capacity-building may change and incorporate more general and theoretical elements.

The meaningful use of instruments in this phase depends on the specific project context, for example on:

- the concrete measures and technical skills that are necessary to implement the measures;
- the nature of participation and self-help (e.g. individual self-help in latrine construction or collective self-help in sewer construction);
- the requirements for cooperation and coordination between different actors;
- the existing capacities and the degree of organisation of the target group;
- the broader objectives that a project wants to achieve with participation and self-help (e.g. the empowerment of NGOs, women and youth, etc.).

Training-on-the-job

One of the most important instruments for building up the capacities of target groups during the implementation phase is on-the-job training. It enables the mobilisation of existing skills, the development of those skills through practice and facilitates the identification and solution of problems. In addition, target group representatives acquire new skills and further learning processes can be initiated. Moreover, on-the-job-training strengthens the general capacity for learning and collective activities.

The following are particularly suitable for on-the-job training:

- technical tasks;
- mobilisation, management and steering tasks;
- articulation of interests and collaboration with state and/or municipal institutions.

On-the-job training can be provided, for example, through direct involvement in project activities or participation in working groups. Depending on the tasks and resources, target group representatives can be trained by project staff or specialists who are hired for the purpose. It is also often useful to enlist particularly active or qualified target group representatives as interns in the project team.

On-the-job training should be devised, so far as is possible, in ways that enable the gradual delegation of responsibilities to the participants.

Accompanying Advice and Guidance

If the target group already has certain capacities or experience, they can gradually take on more responsibilities. In many cases, however, intensive technical assistance, building on existing knowledge, is required.

For language and socio-cultural reasons, it can often be that only local specialists are able to provide such advisory services. These specialists should already have had experience in cooperating with residents and community organisations in poor urban settlements, or should at least be prepared to deal with the particular challenges of interacting with poor and often marginalised target groups.

Whenever possible, target group representatives who have accumulated considerable experience should be employed in order to initiate a dynamic of knowledge transfer. The recognition that a whole range of capacities is available in the community contributes significantly to the strengthening of individual and collective self awareness and promotes empowerment and individual initiative.

Complementary technical assistance from international experts can sometimes be useful or necessary, particularly when complicated technical solutions or complex institutional structures are involved.

3.4 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IMPLEMENTATION

Training Courses and Events

Special training courses, workshops and events can enhance capacities acquired through practice. They give structure to practical experiences and facilitate the application of skills to other areas later on, particularly in the areas of organisation and management.

Training courses are often particularly important after practical experience has been acquired: more general and theoretical issues are then better understood. Advanced training related to particular topics offers a framework for reflection and promotes the development of further ambitions.

Courses that aim to strengthen conceptual, managerial and organisational capacities are particularly suitable for group representatives. They encourage the establishment of networks, exchange of experiences and organisation and managerial processes themselves.

Tailored training courses and workshops can work to promote organisational processes and the institutional development of community organisations.

Organised Exchange of Experience

Exchange of experiences with similar initiatives and projects supports the development of ideas, problem-solving and the mobilisation of resources. It is often useful to encourage the establishment of networks within the project area, and of connections to external initiatives and organisations. Such networks support learning processes in a sustainable way and can strengthen the negotiating position of community organisations.

Exchanges of experience should, as far as possible, be organised so that target group representatives can gradually learn how to find out which initiatives or organisations work on certain issues and how contacts with them can be established. Other organisational tasks can also be delegated to inhabitant representatives.

Issues outside the framework of the waste management measures can be important for the further development of the settlement in question. The project may, for example, support the establishment of an "information library" or a database that includes information about various different organisations - their addresses, directories, websites and other material of interest and relevance.

Promotion of Partnerships

In some cases, it is possible to promote the establishment of useful partnerships. Such partnerships can be between local community organisations and large NGOs, operating on a national scale; or between governmental agencies and the private sector (private-public-partnerships).

Generally, the development of partnerships needs concrete entry points. Local grass roots organisations can, for example, be supported to make their ideas about collaboration tangible and to negotiate for them with partners, particularly those that are unfamiliar with working with grass roots organisations or their representatives.

Active community organisations frequently bring their experiences to bear in a partnership, and these can be of interest to governmental agencies and large professional NGOs. To make sure that these experiences are properly explained and acknowledged, the project may have to provide advice or training on, for example, the preparation of documentation and presentation.

Large NGOs can often play an important role in transferring experience and building up capacities. They can facilitate contacts and access to funds. Partnerships with them can therefore contribute much.

Partnerships with governmental agencies and private sector actors are often also useful to ensure the quality and sustainability of waste management measures.

3.4 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IMPLEMENTATION

Forms and Possibilities of Public Relations

PR during the implementation phase can perform a number of functions, e.g.:

- improving the **transparency** of projects by informing the inhabitants, other actors and the wider public about the progress of the implementation of individual measures;
- **informing** inhabitants **about** the imminent **start of work** on the measures and any restrictions that may arise from it (e.g. in the case of construction works);
- facilitating the execution of works through **mobilising** participation in, or support of the measures;
- providing important (specialised or technical) information to **support independent initiatives and self-help activities**;
- **supporting** the **organisational processes** of the population and the institutional development of community organisations (e.g. attracting new members to grass roots organisations).

PR activities can also be important for grass roots organisations and other representatives of the population in more direct ways:

- to broaden their legitimacy and their membership base, and to raise support in the community;
- to increase participation in self-help activities;
- to document activities, efforts and the application of newly acquired capacities, and to make them known so that further support and resources can be mobilised.

The project can help community groups and organisations prepare appropriate material for PR activities, which can be used for reflection on developments and to strengthen analytical skills and articulation capacities.

Possible forms of PR depend on their respective objectives. They encompass, for example,

- brochures, leaflets, information boards;
- meetings with citizens and residents to inform them about the progress of implementation;
- the establishment of local information offices in, e.g. community organisation offices, district buildings, community centres, kiosks, etc.;
- information material for self-help groups on, e.g. important aspects of contracts with (local) enterprises with regard to contributions;
- reference and information material for community groups and organisations (e.g. regarding the registration of an NGO, legal aspects, accounting, etc.);
- press information packs, interviews with media, site visits;
- documentations, photo compilations, presentations, websites;
- events/opening ceremonies;
- making films, exhibitions, websites.

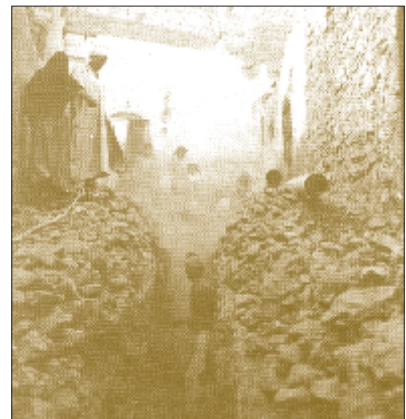
Information about project progress

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Constructing a wastewater main in Aswan/Nasriya, Egypt

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3.4 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

IMPLEMENTATION

Urban Upgrading Aswan-Nasriya/ Egypt

Learning Processes Through Self-help Efforts to Construct Water and Wastewater Networks

An integrated urban upgrading project for Aswan-Nasriya was implemented in a cooperation between the Governorate of Aswan, the city of Aswan and the GTZ, from 1988 to 1997. The project aimed to improve the living conditions of the 50,000 inhabitants of the Nasriya informal settlement at the periphery of Aswan. The settlement was initially established as a temporary residential area for the construction workers of the Aswan High Dam and their families on desert land at the edge of the Nile valley.

The improvement of sanitary and hygiene conditions was one of the most important project components, alongside the legalisation of settlement rights through selling plots of land to residents and the improvement of the social infrastructure. Because of the high residential density and the rocky ground, the only feasible sanitation solution was a waterborne sewage network.

During the project's planning phase, which involved intensive resident participation, it was envisaged that a considerable amount of self-help would be used in the construction of the network. It was agreed that the residents would dig the necessary ditches for the pipes by hand to reduce costs and because the settlement's many very narrow lanes were not easily accessible for heavy construction equipment.

The work was to be executed by self-help groups street by street, and respective groups were organised with the assistance and advice of the project. However, it turned out to be much more difficult than expected: it was impossible to dig ditches in the rocky ground with only picks and shovels. Having to lay the trenches to falls made the task even more demanding.

Therefore, several compressors and pneumatic hammers were purchased with project funds and the construction groups were trained to use them. However, even with their help, the work progressed very slowly and the equipment consumed a lot of diesel fuel. After several compressors became worn out due to heavy use, without leading to significant progress, and after it turned out that self-help was taking much more time than expected, some neighbourhood groups took the initiative and contracted small local enterprises at their own expense to do the work.

Once it was proved that the work could be done faster and better by the contractors, this approach was adopted for the main part of the project area.

Instead of the initially planned self-help in construction, the contribution of the residents took the form of paying the contractors.

Potentials

- Improved cooperation of target groups and other actors (particularly public institutions)
- Improved understanding of technical solutions and processes, and of managerial and steering tasks
- Target group contributions (financial contributions, in kind contributions or efforts)
- Higher degree of identification with the measures (ownership)
- Gaining knowledge for later operation and maintenance

Constraints

- Most target groups have little or no experience related to implementation and execution tasks
- In many cases, participation and self-help involves relatively high financial and organisational inputs
- Contributions are often a considerable burden for poor target groups
- Very poor target groups in particular have little scope to provide substantive efforts

To be considered

- Necessities for capacity-building and the establishment of appropriate organisational structures for target group participation in steering implementation and execution
- Necessity of supporting the different actors in providing their contributions (with appropriate monitoring)

3.5 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

OPERATION AND MANAGEMENT

Context

The necessary construction measures for the improvement of waste management have been completed so that:

- operations can start and
- responsibility for operations can be handed over to the institution or organisation that was identified during the planning phase (so far as it was not already involved in the implementation phase);

or the introductory or testing phase of the waste management system (e.g. for solid waste) has progressed sufficiently far so that:

- it is possible to reduce the level of assistance, which was intensive during the introduction phase;
- the institution/organisation that was identified during the planning phase can start normal regular operations.

Even though the operation and permanent use of waste management facilities are only in a narrow sense part of a project cycle, they still have to be prepared for. Apart from handing over facilities and equipment to appropriate operating agencies (usually municipal or other public waste management enterprises, NGOs or community self-help groups), a pilot phase is often necessary to identify and solve operational and organisational problems, and to qualify the operating agency for long-term operation.

Tasks and Challenges

The following tasks have to be tackled in this phase:

- securing appropriate linkages between local self-help endeavours and higher level, citywide systems/networks;
- developing economically sustainable concepts and models for self-help with regards to the long-term operation of the waste management facilities and systems;
- investigating possibilities of limiting the financial burden on very poor target groups, e.g. through payment in instalments, loans or flexible tariff systems (e.g. cross subsidies from other districts);
- agreement on and communication of quality standards for the services to be provided by the respective operating agencies;
- introduction and communication of regulations and procedures of quality control and supervision, and for complaints;
- raising awareness of the rights and duties related to improved waste management (e.g. regular and reliable services, payment of fees, maintenance such as servicing septic tanks, etc.).

The tasks and challenges for participatory approaches in connection with the management and operation of waste management facilities or systems depend to a high extent on:

- the operational model that was identified and agreed upon during the planning phase. Waste management services can be operated in different ways:

- through self-help, under the authority of target group organisations,
- under the responsibility of municipal or state institutions,
- by private operators,
- with shared responsibility (e.g. garbage collection by self-help groups at community level linked to municipal solid waste management services);
- the necessary interfaces with higher level waste management systems (e.g. a canalised sewerage system that needs to be integrated in a citywide system and its operational model);
- the level of the capacities acquired by the target group during previous phases their motivation to take charge of managerial and operational tasks so that the sustainability of the waste management measures is assured.

Garbage collection by community organisations in Egypt...

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3.5 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

OPERATION AND MANAGEMENT

Involvement of Target Groups

A major issue in this phase of the project is to encourage target groups to see themselves not only as “clients” but also as “equal citizens”, who have a right to waste management services, within the limits of their financial means, and who can take responsibility for the sustainability of these services through the payment of fees and through conscientious and appropriate use. Moreover, the benefits of waste management systems can in many cases be increased considerably through complementary measures to involve users in operational tasks.

Advantages

Important potentials of participation and involvement in this phase are:

- **better control** of the quality and costs of waste management services by target groups/ users (i.e. individual households or customers);
- **integration of poor target groups** in formal waste management systems;
- raising target group awareness promoting a **sense of responsibility** for the quality of their living environment;
- reduction of operation and maintenance costs through **beneficiary contributions and self-help initiatives**, e.g.
 - **collectively organised undertaking of servicing** and maintenance and/or

specific operational tasks by self-help groups or grass roots organisations at community level,

- **private sector organised undertaking** of waste management tasks by small local enterprises or community organisations,
- payment of **fees or other contributions** to finance operation and maintenance costs.

Risks and Constraints

- Institutions responsible for waste management may have little interest in, or possibly **resist** “quality control” by customers or the **active role of citizens in operations and management**.
- Poor target groups often have a **limited capacity to pay** for waste management services, which also impedes their acknowledgement as “customers”.
- If the quality of a waste management service is not maintained, the **sustainability** of the measures is put **at risk** because beneficiaries' willingness to pay for it can decrease considerably (the same applies to random price increases).
- **Corruption** can distort the relationship between payment and service and can thus undermine the willingness to take individual or collective responsibilities.
- Collectively organised waste management tasks cannot be undertaken over prolonged periods of time on a purely voluntary basis. Very poor settlements often **lack the financial capacity to pay** for operating costs or the ability to provide long-term unpaid labour for operational tasks.

...and the Philippines

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3.5 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

OPERATION AND MANAGEMENT

Instruments and Procedures

A major part of this phase is enabling community organisations and user groups to play their agreed roles effectively to achieve the highest possible benefits and sustainability of the waste management measures.

The following instruments can be applied:

Training Measures

A particularly suitable approach in this phase is providing instruction or training to target group representatives and community organisations that are actively involved in the operation and/or quality control of the waste management measures.

In some cases, it may be appropriate to instigate joint training activities for all concerned actors.

The following issues can be covered in training measures:

- forms of collaboration/interaction between operating enterprises or institutions and user groups;

when community organisations are themselves operating agencies, and when there are mixed operating models, it is useful to cover the following issues:

- technical aspects related to operations, servicing, maintenance and quality control;
- administrative aspects and financial management, e.g. the preparation of budgets and cash

flows in order to secure sustainable finance;

- legal aspects, e.g. regarding fee collection, complaints or wilful damage, etc.;
- communication aspects, e.g. to facilitate interaction between operators and end-users, communicate necessary price increases and solve conflict.

Training workshop in El Salvador

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3.5 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

OPERATION AND MANAGEMENT

Awareness and Information Campaigns

Such campaigns provide support for implementation:

- information campaigns and events inform about the entitlements and obligations of users/customers of waste management measures;
- mobilisation and awareness campaigns help ensure responsible use of the measures and willingness to pay for them; and, by increasing awareness, help improve health and environmental conditions.

Customer Centres and Complaint Offices

Local customer centres and information and complaint offices can be run by community organisations or local administration, depending on the context and the operating agencies. However, since the perception of users as customers must, in many cases, first be established, it is often necessary for the project to support the establishment of such centres. Technical assistance is needed above all to:

- prepare appropriate information material;
- establish advisory services, e.g. to support beneficiaries with applications, or to provide the technical information on connecting to waste management systems;
- develop appropriate mechanisms for receiving and processing complaints;
- establish mechanisms to mediate in conflicts, if needed;
- advise in the development of customer orientation.

Advisory Services for Self-help Initiatives

It is often necessary to provide backstopping and guidance over a long period of time, particularly if operations and management are mainly carried out by community organisations through self-help. In order to ensure that these are available after the project ends, it may be useful to establish advisory services for self-help initiatives. Assistance is often particularly needed to solve technical and management problems.

Depending on the context, assistance can be provided by a qualified NGO or, in some cases, by sector agencies or private companies.

Advisory services in Ghana...

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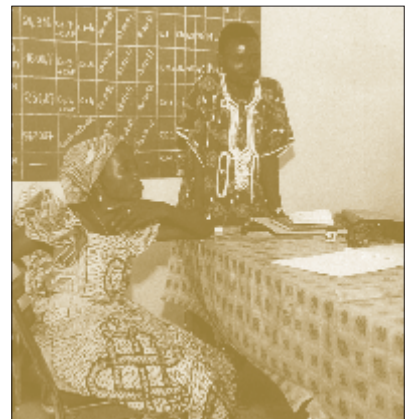


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... and Benin

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3.5 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

OPERATION AND MANAGEMENT

Forms and Possibilities of Public Relations

PR can have an important function for the operations and management of waste management services, as well as for complementary measures, e.g. for:

- **communication between users and operators** (about fees and tariffs, quality shortcomings, suggestions for improvement, information about temporary shutdowns due to repair works, etc.);
- **transferring and deepening technical knowledge** to ensure responsible use and better quality control;
- raising **awareness of environmental and health issues** (e.g. within the framework of complementary measures).

Awareness campaigns can take place in public places, in schools, youth and cultural centres, health centres and local NGO offices. It is often useful to train “multipliers” who are people with easy access to many residents because of their jobs, and who are often approached by residents for advice on problems. Multipliers are, for example, literacy, kindergarten, or

other teachers, employees in family planning and health centres, cultural and sports group supervisors etc.

Various means can be employed by PR in this context, for example:

- **written or visual material** for use in information and awareness campaigns, e.g. leaflets, information brochures, signs, posters and wall paintings;
- **material for disseminating and/or deepening technical knowledge**, such as information boards, brochures on particular topics, handbooks well-illustrated with photographs and drawings to simplify the presentation of technical matters;
- **information material to raise the awareness of environmental and health issues**, using means such as videos, learning games, learning material for lessons etc., which can be integrated into ongoing activities in literacy classes, schools, health centres etc.
- **interactive and creative forms of PR** to increase mobilisation and

awareness, such as competitions, theatre plays, songs etc., which can be held in schools, cultural and health centres and public open spaces.

Information on emptying septic tanks/39/



Settlement at the periphery of Dakar, Senegal

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3.5 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

OPERATION AND MANAGEMENT

Rufisque, close to Dakar/Senegal

Financial Sustainability Through Participatory Management

Rufisque is a small town near Dakar with severe environmental problems. Most households in the numerous informal settlements had deficient or no sanitary facilities, and the streets in most areas were too narrow for the vehicles of the public garbage collection agency. Wastewater was thrown into the streets and the beach served as a garbage dump and public toilet, with serious consequences for the health of the population and the environment.

In 1991, ENDA Third World, an international NGO, together with the municipality, initiated an integrated waste management project in eight settlements in Rufisque. A garbage collection system, a sewage treatment and refuse recycling plant and a composting facility were built, as were sanitary installations for individual households, with simple, cost efficient and locally known technologies. In addition, the project organised the repair of public toilets.

Complementary components included measures to improve job opportunities, reduce the work load of women and strengthen grass roots initiatives and organisations. Contracts were given mainly to small local firms.

Local management committees, with representatives from grass roots initiatives, elected local health committees, sector agencies and the local administration were in charge of organisation and operations. Most of the work was carried out by youths and women who were specially trained for it, and who receive a small remuneration.

The target groups financed garbage collection, 30-70% of the investment costs of sanitary facilities as well as operations and servicing. They could apply for loans from a revolving fund. Re-payment rates were almost 100% since all the measures were implemented quickly and transparently, and inhabitant representatives were involved in quality control and decisions on the allocation and amounts of loans. Re-payment money was available to other community members. Current running costs were somewhat lower than previous costs (e.g. for emptying septic tanks) and there was a tangible reduction of the workload of women and children.

Start-up financing for investments, capacity-building and management was met by the Canadian Host Country Participation Fund and the EU. In order to ensure sustainability, an overseeing committee, with representatives of the municipality and the local health committees, was established in 1993.

The committee established the Community Fund for Sanitation in Low Income Districts, a revolving fund that is mainly financed through target group contributions. The successful management of the credit funds not only resulted in complete cost recovery (the cost recovery level of other such funds in 1992 reached only 35%), but also achieved a small profit of 8%.

Potentials

- Better control of the quality and costs of waste management services by target groups/users
- Reduction of operation and maintenance costs
- Inclusion of ultra poor target groups
- Awareness raising and promotion of self-responsibility

Constraints

- Possible resistance to quality control from concerned waste management institutions
- Reluctance or refusal to pay in the case of decreasing quality, corruption or random price increases, puts sustainability at risk
- Unpaid inputs from individuals and groups over a prolonged periods of time cannot be relied on

To be considered

- Promoting target groups to see themselves as “customers”
- Qualifying target groups to adopt responsibilities and carry out effective quality control
- Realistic conception of beneficiary contributions over time

3.6 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

MONITORING AND EVALUATION

Context

Monitoring and evaluation are required not only for long-term operations, but also in all phases of project preparation, planning and implementation. They are important instruments for:

- the continuous review and development of project planning and implementation, particularly concerning the following aspects:
 - necessary adjustments and changes of the project concept and strategies arising from experiences made during the planning and implementation phases,
 - extending the scope of target group participation and involvement, particularly of women and marginalised groups, in the course of project planning and implementation,
 - the development of interaction between the different stakeholders and institutions, as well as their capacity to cooperate and collaborate;
- capturing and assessing long-term project impacts, particularly with regard to:
 - the scope, quality and costs of waste management services, and their financial feasibility for different segments of the target group,
 - the technical, financial (with regard to operational costs) and institutional sustainability of the waste management measures,
 - changes to and/or improvements of target group living conditions (in terms of health, environmental etc.),
 - the degree of marginalised target groups' inclusion or exclusion from waste management services,
 - gender related changes of waste management conditions, and changes to gender specific role distributions and women's status in public life,
 - empowerment in terms of the capacity of community groups and organisations to transfer acquired knowledge and skills to new areas, to articulate interests and to mobilise resources,
 - changes to structures of power and influence within the settlement and community organisations.

Tasks and Challenges

Systematic monitoring and regular evaluations (M&E) are indispensable for the promotion and guidance of participatory processes. They identify unintended outcomes and new potentials as well as the continuously needed adjustments to strategies and activities in light of change.

It is not enough to simply monitor the achievements and results of target group participation. It is also crucial to monitor and capture impacts related to the development of target group abilities to act and exert influence, i.e. their empowerment. These impacts are, however, much more difficult to measure and their assessment usually requires qualitative methods and process monitoring.

Participatory M&E activities mainly have two objectives:

- participation in monitoring and observing the impacts of project activities;
- monitoring and observing the impacts of participatory processes themselves. This raises the participants' awareness of changes and empowers them by strengthening their reflection, analysis and problem solving skills.

3.6 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

MONITORING AND EVALUATION

Involvement of Target Groups

Considerable efforts are necessary for a functioning M&E system, and most target group representatives have limited experience with such processes: the project therefore faces a number of challenges. These include:

- identifying suitable indicators for monitoring and evaluation;
- involving all relevant actors/stakeholders in M&E activities as far as possible; these activities should be conceived in such a way that all participants see them as useful;
- developing M&E systems and procedures that are as simple as possible, and that can be used by target group representatives and other actors without investing too much time and effort;
- qualifying target group representatives and other stakeholders/actors for monitoring and evaluation tasks.

Advantages

The active role of target groups or target group representatives in monitoring and evaluation can:

- Improve the quality and sustainability of the waste management measures and, when target groups are sufficiently qualified, improve the impact and quality control of those measures after the project itself has ended.
- Regular impact monitoring enables any changing conditions for participation and self-help to be quickly captured so that necessary adjustments can be made. Recognising new possibilities and using them immediately can speed up participatory processes and empowerment considerably.
- M&E measures can be used as instruments to promote reflection and problem-solving skills, and the development of target group self-awareness.

Risks and Constraints

- Poor education and illiteracy make acquiring knowledge about technical quality standards and financial assessment criteria difficult.
- Monitoring and evaluation are often not applied systematically or are neglected in the course of implementation. Systematic M&E activities usually call not only for effort in collecting and analysing data and information, but also in capacity-building.
- The sustainability of processes, particularly empowerment processes, and changes to norms and behaviour, are only achieved after a long period of time. Longer-term impact monitoring (after the project's implementation or intensive support has ended) is expensive and, as yet, has only rarely been conducted for waste management projects.

Evaluation workshop in Aleppo, Syria

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3.6 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

MONITORING AND EVALUATION

Instruments and Procedures

Traditional M&E methods are often excessively oriented towards pre-defined quantitative indicators. Processes are, however, dynamic and usually do not take a linear course. They are, therefore, difficult to measure; but they can be described and interpreted.

So-called “process monitoring”, in this context, usually involves a combination of quantitative and qualitative indicators: quantitative indicators measure the scope and extension of the impact of participation and self-help; qualitative indicators determine the nature and quality of participation and self-help, including those in complex processes that develop over a long period of time. An example of a combination of quantitative and qualitative indicators is presented below:

It is also often useful to apply a combination of various quantitative and qualitative methods. Quantitative methods can be applied to analyse written material such as workshop reports, minutes of meetings, reports on training measures etc. It is, for example, important to review the number and composition of participants to find out whether important social groups have been excluded, whether the percentage of female participants has increased, etc.

Target group representatives may also be involved in conducting baseline studies, beneficiary assessments and customer surveys, in all of which a lot of quantitative data is collected. Using visual means (forms with diagrams, picture charts, graphs etc.) often facilitates the collection and analysis of data. In some cases, it is necessary to provide training to increase the capacities of target group representatives. This applies particularly to M&E activities that include studies or technical components.

Envisaged Result

Target groups are recognised by governmental agencies and other actors as equal partners.

Quantitative Indicators

- Number of target group representatives in decision-making bodies and at meetings
- Percentage of women and marginalised groups involved in participation
- Number of target group representatives to whom responsibility for certain tasks is delegated

Qualitative Indicators

- Enhanced self-awareness and ability to articulate and negotiate interests
- Ability to interact and act collectively
- Ability to take initiative and solve problems
- Increased willingness to adopt responsibility

Definition of Realistic Indicators

Indicators have to be realistic and attainable. If target groups are, for example, not organised and have no experience of participation, it is rather unlikely that their representatives can be motivated and become qualified during the project period to manage the further development process on their own. It is, however, worth trying to establish community organisations that adopt at least some limited responsibility for waste management measures, for example for solid waste management.

The degree to which broader goals, such as target group empowerment and the enhancement of capacities for action and self-help, can be realised, depends on the concrete framework conditions. In a situation in which target groups have little experience and are barely organised, realistic objectives can, for example, be formulated as follows:

Original Situation

- Anonymity, distrust and isolation prevail in the area
- Reflection, analysing and self-organisation skills are weak
- Dependency and expectations that problems are solved from the outside prevail

Expected Results

- Identification with the area; ability to act collectively and to solve conflicts
- Attempts to solve problems through own initiative; establishment of grass roots community organisations
- Initiation of self-help activities and mobilisation of beneficiary contributions

3.6 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

MONITORING AND EVALUATION

Qualitative methods are required especially to capture participatory and empowerment processes. Contrary to the mainly deductive methods of conventional M&E, they are usually inductive, i.e. they are primarily based on the subjective perceptions and analyses of the concerned actors themselves. In this sense, M&E activities can also be used to promote target group reflection and problem solving skills. Qualitative methods can, for example, capture changes and impacts in areas that are not usually quantitatively measurable.

Rapid Appraisal Techniques for M&E

Participatory Rapid Appraisal (PRA) techniques (see 3.2) are particularly suitable not only for monitoring and evaluating participatory processes, but also for target group involvement in carrying this out. Most PRA techniques are based on semi-structured interviews and focus group discussions: topics related to individual indicators are discussed and assessed with the help of interview guidelines.

Subjective assessments are explicitly solicited. Amongst other things, they reflect the development of the different participants' awareness and their analytical and articulation skills.

PRA techniques that are applied in such discussions are, for example, the following:

- before-and-after comparisons that illustrate developments using diagrams with, for example, long and short lines or thick and thin arrows;
- ranking tables or diagrams to determine the relative importance of certain developments and events;

- diagrams of the relationships between developments and events at different time points, which can be compared;
- narration of personal and collective development, with an emphasis on examples of important experiences of change;
- listing of key events in which changes, new forms of interaction and new capacities manifested themselves (illustrated by, e.g. photographs and other forms of documentation, which can be incorporated in a diagram or poster).

PRA techniques are always action oriented and include suggestions for future activities and correction to those already undertaken.

Assessment of project experiences in Egypt

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3.6 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

MONITORING AND EVALUATION

Forms and Possibilities of Public Relations

SMART

So-called SMART Properties of Indicators can be used to review whether indicators are realistic and applicable with reasonable levels of effort:

Participatory M&E approaches can be supported in different ways through PR activities, for example through:

- the documentation and regular publication of findings and insights obtained through M&E activities;
- the appraisal and publication of project experiences of target groups or target sub-groups;

- public events to present and discuss M&E results;
- workshops with different groups to compare results and discuss suggestions for new activities and corrections.

PR material can include diagrams, pictures or stories that were prepared during the implementation of M&E activities. The project should give feedbacks to target group representatives who were involved in M&E activities and should take up their suggestions and criticisms.

SMART - Properties of Indicators

Properties	Definitions
Specific	Indicators should reflect what the project wants to change and should avoid aspects that depend largely on external factors.
Measurable	Indicators should be formulated precisely so that they can be clearly measured and interpreted.
Attainable	Indicators should be attainable by the project and should express changes that the project wants to bring about.
Relevant	Indicators must be relevant to the project objectives and assessments should be cost and time efficient.
Time-bound	Indicators should describe the time frame within which certain changes are expected to occur.

Workshop in El Salvador

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Community Infrastructure Project (CIP) in Pakistan

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3.6 PARTICIPATION AND SELF-HELP IN THE PROJECT CYCLE

MONITORING AND EVALUATION

North West Frontier Province Community Infrastructure Project - CIP/Pakistan **Monitoring and Evaluation of Participatory Processes from Planning Through Implementation and Operation**

In the North West Frontier Province of Pakistan there are many poor settlements with massive waste management problems. In 1996, the Community Infrastructure Project (CIP) established a fund to co-finance integrated physical, social and economic infrastructure measures. Individual communities can apply for funding if they can prove their capacities for self-organisation, raising financial contributions from beneficiaries and the active participation of women.

The project is financed by the World Bank and is implemented by local government, partially supported by intermediary NGOs. A central project management unit and decentralised project implementation units assist the population on technical issues.

The programme follows a strategy of transparency and accountability as well as of inhabitant participation in all stages from planning to operation. This is done to reduce costs to ensure that the measures become affordable to the target group and sustainable benefits can be guaranteed. In addition, the programme aims at promoting trust, building up cooperation skills and at empowering target groups.

The relationship between governmental agencies and the population was, however, strongly characterised by distrust. This was due to promises that were not kept, lack of transparency, clientelism and paternalistic top-down approaches. A special process monitoring unit was therefore established to solve these problems. The unit's task was to identify bottlenecks and deficits during implementation related to decision-making structures, mechanisms of population participation in the different project phases, conflicts of interest, communication channels, the quality of capacity-building measures and project management. This was done through tailored monitoring of participatory processes.

Target group representatives in particular, used process monitoring as an instrument to draw attention to problems that no one previously wanted to acknowledge. The recommendations that were developed as a result led, among other things, to the following improvements:

- improved PR activities in the communities, which made conditions for loan applications of communities, contract awarding procedures and implementation responsibilities more transparent;
- improved coordination of the sector agencies involved, which prevented duplication of procedural steps and reduced the time between applying for a loan and getting a response;
- new channels of communication and simplified procedures;
- the introduction of PRA methods, which improved the participation of women and the inhabitants' identification with the programme.

Potentials

- Realistic appraisal of impacts taking the interests and assessments of the target group into consideration
- Recognition and use of new potentials for participation and self-help
- Use of M&E as an instrument to increase the analytical and problem solving skills of target groups

Constraints

- Effort is needed for the collection and analysis of information
- Long-term impact monitoring (after the project or intensive support has ended) is, as yet, rarely carried out

To be considered

- Systematic and regular implementation with methods that are as simple as possible
- Capacity-building, particularly if technical knowledge is required



COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

4.1 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

PRINCIPLES

Possible Implementing Agencies

Possibilities for participation and self-help during the different phases of planning and implementation of waste management projects at neighbourhood or community level are strongly **determined by the dispositions of the stakeholders and cooperating partners, their competences, experiences and qualifications.**

The decisions as to which organisation or institution will take on the **tasks of an operating agency for all or part of the envisaged measures** are particularly important.

The suitability of a potential operating agency usually depends on its formal status, according to the prevailing legal and administrative system, e.g. as a recognised entity, organisation, an association or corporation.

The following types of organisation and institution are eligible to be operating agencies of waste management tasks at community level:

- inhabitants' grass roots organisations (community-based organisations) and local NGOs;
- NGOs that operate nationwide;
- municipalities and local governments;
- governmental sector agencies and institutions;
- private sector enterprises and firms.

All these possible operating agencies have specific advantages and disadvantages with regard to their suitability for waste management tasks. Their **potentials and constraints** and the **tasks and challenges** related to their involvement are described and assessed in detail in the following sections.

Other Cooperation Partners

Aside from formal organisations or institutions that can adopt operating functions directly, there are, in most cases, a multitude of other actors that may become important cooperation partners. They include, for example, the following:

- neighbourhood groups and initiatives;
- informal youth and women's groups, and other informal networks;
- traditional leaders of social or ethnic groups;
- professionals living in the community, such as physicians, engineers, teachers, etc.;
- religious groups or institutions (churches, monasteries, mosques, etc.);
- professional unions or business associations (trade corporations, trade unions, etc.);
- academic groups and experts, including scientific and development institutes engaged in poor urban settlements.

Even if these organisations, groups or individuals cannot or do not want to adopt operation responsibilities in the narrow sense due to their legal status or their chosen tasks and objectives, they may still make important contributions with regard to individual components of waste management projects, for example:

- information, organisation and mobilisation of the residents;
- training and capacity-building tasks;
- taking on technical or crafts-related tasks in the planning and implementation of individual measures or components of measures;

4.1 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

PRINCIPLES

Process Oriented Approaches in the Project Cycle

- PR or lobbying tasks;
- moderation and mediation between stakeholders, particularly between grass roots organisations and/or NGOs and municipal and/or state institutions.

The nature and scope of the possible contributions and roles of other important cooperation partners and actors can usually only be determined from case and project specifics.

The most important criteria in this context are the interests, needs and possibilities of the potential cooperating partners, and, on the other hand, the demands of the target groups and other stakeholders.

Decisions on operating agencies and cooperation partners can usually not yet be made in the early preparation and planning phase of waste management measures. Moreover, and depending on the context and initial situation, it may be useful and necessary to cooperate with several organisations or institutions and put together a **network of potential implementing agencies**, or even to establish new structures for operating responsibilities.

In most cases, the selection of the operating agency(ies) and other cooperating partners is, therefore, a process involving the **step-by-step clarification of the various stakeholders' roles** and contributions in the different phases of planning and implementation:

- The main task during the **project identification and preparation** phase is the analysis of the potential actors and their interests, capacities and possible contributions. As a result of this analysis, first agreements on the contributions and responsibilities of the most important implementing agencies and cooperating partners can usually be reached.
- The tasks and outputs of implementing agencies and other stakeholders can be determined more precisely during the concretisation of **planning and financial framework clarification phase**. This applies particularly to the cooperation between potential operators and the target group. As far as is useful and necessary, capacity-building measures can start in this phase in order to prepare operators and other stakeholders for their implementation and operational tasks.

- During the **implementation and the operation and management phases**, the different actors usually gain a wide range of experience in cooperating with others, with the result that the structure of operating agencies and models of participation may need to be changed.
- It may also become evident that new partners and agencies should become involved or cooperation with certain operators or stakeholders should be discontinued.
- The experiences gained through cooperation with operators and other partners during the project cycle should therefore be assessed within the framework of **monitoring and evaluation**, and should be drawn on in the further development of operating agency structures.

► *see Basic Concepts, Chapter 5, Recommendations: Selection of Appropriate Project Partners*

GRASS ROOTS ORGANISATIONS AND LOCAL NGOs

Potentials

Residents' organisations and NGOs that are active in settlements have important key functions in community level waste management improvement initiatives. Usually, they are familiar with local conditions and problems, and the interests and needs of the inhabitants. In addition, in most cases they have direct access to the population.

Initiation, implementation and long-term operations through target group organisations is often the only choice there is for improving the waste management situation at community level.

Constraints

Inhabitants' grass roots organisations and local NGOs, if they exist at all, are often weak and inefficient. They often lack the knowledge, capacities and access to information needed to take an active role in the development process and to interact with state or municipal agencies. Moreover, they rarely have experience or any acquaintance with planning, implementing or operating waste management measures, facilities or systems.

Particularly in large, densely populated areas, the mandate and degree of representation of such organisations may be questionable. This is especially the case when only small numbers of the inhabitants are engaged in the organisations or if their activities are only concerned with small sub-areas and neighbourhoods.

The potential role of resident organisations in waste management measures is, however, also determined to a large extent by the particular tasks or technical solutions involved.

► *see Basic Concepts, Chapter 5, Recommendations: Cooperation with NGOs and Community-based Organisations*

Efficiency of Target Group Organisations

The following factors determine the efficiency of target group organisations and hence the scope for participation and self-help:

- **Objectives and tasks, such as:**
 - representation of the inhabitants to the outside world,
 - concentration on certain tasks (social activities, concrete technical tasks, etc.),
 - tasks identified by the residents or organisation members themselves or proposed by others from outside the community (e.g. through the project);
- **Political/legal Status**
 - type of organisation (formal/informal, registered as an organisation),
 - its by-laws and statutes,
 - the way its governing board is set up (chairperson, elections etc.),
 - its recognition by state and municipal agencies;
- **Membership and roots in the local community**
 - number of members,
 - locational outreach of the organisation (neighbourhood, city quarter, district etc.);
- **Representation and leadership**
 - type and composition of leadership (traditional leaders, elected representatives),
 - prestige of the organisation and its leadership among the residents,
 - confidence in the leadership,
 - participation of members in community activities and events,
 - political influence on the organisation,
 - ethnic, religious and other socio-cultural features;
- **Possibilities for weak, disadvantaged sub-groups to participate**
 - proportion and role of women in the organisation,
 - participation of youth,
 - other disadvantaged groups (tenants, refugees, etc.).

GRASS ROOTS ORGANISATIONS AND LOCAL NGOs

Tasks and Challenges

Supporting and strengthening, or, if necessary, establishing such organisations are important tasks in connection with all waste management improvement measures. Fulfilling these tasks also improves the leeway for participation, self-help and the active role of target groups.

Capacity-building for the leadership of such organisations is, therefore, particularly important in order to involve as many residents as possible (including disadvantaged groups) in participatory activities, and to avoid or mitigate the influence of powerful individuals or traditional leaders. Supporting women for leadership tasks can often be particularly promising since women tend to be very concerned about improving hygienic and sanitary conditions.

The leadership and members of residents' organisations and local NGOs need the following capacities in order to take an active role in waste management initiatives:

- institutional knowledge in order to interact successfully with state and municipal actors;
- skills in participation, such as participatory planning and decision-making techniques, consensus-building procedures, moderation techniques, etc.;
- technical knowledge to be able to assess waste management options and the advantages and disadvantages of certain solutions;
- negotiation and conflict resolution skills in order to facilitate and support dialogue within the organisation and the community, and with other actors;
- financial management skills to ensure appropriate accountability and transparency;
- basic knowledge and skills, such as reading, writing and calculating, as a prerequisite for most of the above mentioned capacities.

Advantages

- Good knowledge of the conditions and needs at settlement level
- Direct access to target groups

Disadvantages

- Focus is only on the area
- Complex interrelations are not always recognised and considered
- Community organisations can sometimes oppose governmental agencies and are not always acknowledged as operating agencies by state and municipal institutions
- Limited performance and efficiency
- Long-term cooperative activities are not always possible

To be considered

- Indispensable for implementing simple technical measures
- Useful for participatory planning and data collection techniques
- In most cases, complementary capacity-building and technical assistance is necessary
- Frequently not suitable as sole operating agency since mandate is not always clear

Participatory Urban Upgrading, Manshiet Nasser, Cairo/Egypt

Waste Management Through a Local NGO

The settlement of Manshiet Nasser is one of the largest informal settlements of in Cairo and is located in the vicinity of the historic city. Despite the fact that the traditional informal garbage collectors of Cairo, the Zabaleen, are living in parts of the area, Manshiet Nasser has no functioning solid waste management system. A pilot garbage management measure for 3,000 households was developed within the framework of a GTZ supported upgrading project, which is to be operated by a local NGO. A garbage transportation vehicle is to be procured by the project and rented out to a private local enterprise which will be responsible for garbage collection and transportation to a dump, as well as for fee collection. The residents nominated a person for each street to control the quality of the garbage management services and to ensure that the monthly fees are paid. Fees were calculated on the basis of the costs for operation and maintenance and were agreed upon with all concerned households.

Community organisation in Manshiet Nasser, Cairo

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4.3 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

NATIONAL NGOS

Potentials

In many countries, NGOs that operate on a national level are important actors and stakeholders in development, upgrading and waste management projects at neighbourhood or settlement level.

In most cases, they are supported by bilateral or multilateral foreign donors or international NGOs (such as CARE, ENDA, MISEREOR, etc.) and carry out **various tasks and functions, depending on their focus and objectives**, e.g.:

- **initiation and preparation** of projects or programmes;
- **community mobilisation and organisation**;
- **implementing support projects** or programmes in the different phases of planning and implementation;
- **carrying out sub-tasks** in connection with waste management initiatives at community level (e.g. capacity-building of community representatives, funding of individual components, establishment and management of credit programmes etc.);

- **mediation between poor target groups and/or community organisations and state or municipal agencies**;
- providing **information and PR** in the context of initiatives and projects at community level, as well as documentation and dissemination of experiences made.

As intermediate professional organisations with advisory, mediating and/or technical implementation functions, experienced national NGOs' involvement can improve the scope and possibilities of poor target group participation and self-help in the context of waste management measures.

Constraints

There are numerous national NGOs that work in poor urban areas in most countries of the South. They may, however, differ considerably with regard to their efficiency and professionalism.

Typical deficits in know-how and efficiency exist in the following areas:

- **technical aspects** of planning and implementation of waste management measures;
- **operation** of waste management facilities or systems;
- knowledge about the **financing possibilities of fees and improving the cost recovery** of waste management solutions;
- **communication and interaction** with governmental and municipal agencies.

In countries with authoritarian regimes characterised by restricted democratic leeway, national NGOs are often subject to control or are not fully accepted as partners by governmental agencies.

On the other hand, in countries with democratic systems, the ideological or political orientations of NGOs, which are often opposed to government policies, may also obstruct cooperation with state or municipal agencies, and with other NGOs.

NGO representatives in discussion with a grass roots organisation

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- *see Basic Concepts, Chapter 5, Recommendations: Cooperation with NGOs and Community-based Organisations*

4.3 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

NATIONAL NGOS

Tasks and Challenges

The involvement of national NGOs in the planning, implementation and operation of waste management measures at community level, and the use of their potentials, entails the following main tasks:

- identifying suitable and experienced NGOs to adopt overall or specific task responsibilities;
- identifying specific capacity-building needs (through training or technical assistance and guidance on-the-job) to enable them to carry out the identified tasks, particularly with regard to:
 - necessary technical know-how,
 - organisation and operation of waste management installations and facilities,
 - cost recovery and financing through fees,
 - moderation and mediation techniques and skills (negotiations, conflict resolution strategies etc.);
- implementing and assessing the capacity-building measures in the course of project planning and implementation;
- supporting the interaction and cooperation of the involved NGOs, target groups and their grass roots organisations with state or municipal agencies;
- ensuring that the involved NGOs have enough “room to manoeuvre” so that they can fulfil their tasks.

Network of NGOs - COPE, CO-Multiversity and UPA - Philippines

Mobilisation and Organisation of Poor Target Groups

The NGOs Community Organisation of the Philippines Enterprise (COPE), CO-Multiversity and Urban Poor Associates (UPA) work together as a national network in the Philippines. They have promoted and supported urban poor grass roots organisations at community, regional and national level for a long time.

Their Community Organizing (CO) approach aims to enable poor target groups to actively articulate their concerns to municipal and state agencies and to call for improvements to their living conditions. The approach builds on the experience poor target groups have of their immediate environments in order to mobilise their own initiatives. Taking up simple, concrete issues at neighbourhood or settlement level, for example, hygiene, enables common learning processes and creates a basis for the establishment of neighbourhood and other grass roots organisations.

Advantages

- In many cases national NGOs have good access to target groups and their organisations
- National NGOs are often particularly qualified for the mobilisation of participation and self-help
- In some cases, organisations that are specialised in waste management tasks and have experienced experts can be called upon

Disadvantages

- National NGOs are not always acknowledged as partners by state or municipal agencies
- The political stance of NGOs may render cooperation with state agencies difficult
- National NGOs are sometimes deficient in technical, operational and financial matters . . .
- . . .and also sometimes in managerial skills
- National NGOs are often extremely dependent on external finance

To be considered

- Complementary capacity-building and technical assistance or financial support measures can sometimes be necessary
- In principle, national NGOs may be suitable as main operating agents but cooperation with or involvement of other actors or agencies is usually sensible or necessary

4.4 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

MUNICIPAL OR LOCAL ADMINISTRATION

Potentials

In most countries, local authorities and **municipalities or government administrations** are **in charge of** the technical infrastructure of **waste management**, as well as of other administrative tasks at the local level. In countries with democratic and decentralised systems with extensive communal autonomy (self government), local government is also the lowest level of political decision-making.

Usually, these administrative bodies are responsible for waste management in both **individual neighbourhoods** or districts, **and the city** or municipality **as a whole**.

The construction, operation and maintenance of the waste management **macro infrastructure** (such as main water collectors, sewage plants, garbage dumps, rainwater collectors, drainage canals, etc.) is generally undertaken by city municipalities or local governments.

These tasks can be organised in different ways, depending on the political structure, the administrative system and the size of the city:

- municipal administrative bodies or departments;
- communal enterprises or sector organisations;
- private operators or waste management companies (active, until now, mainly in the area of solid waste management).

However, municipalities or local governments are the **predominant operating agencies** for in state or international donor supported waste management projects in most countries. Despite tendencies in recent years to attract investment and engage the private sector, or to develop new forms of cooperation between the private sector, municipalities and local communities, the municipalities are still the central actors in this area.

Website of the Ahmedabad Municipal Corporation

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Constraints

In view of increasing urbanisation, municipalities or local governments in most countries are overburdened with waste management tasks, whatever the prevailing political system or degree of local autonomy. Frequently, adequate **waste management** is **available only in formal, wealthier areas**. Regulated garbage dumps and sewage plants are a rarity. Moreover, the generally bad quality of waste management and poor performance of many municipalities resulting from inefficient **bureaucracy, clientelism and corruption**, discourage the payment of taxes or fees.

Poor urban settlements suffer from additional specific constraints:

- the size of fast growing settlements and the extent of their **waste management problems** are often **barely known** to local administrations;
- **improving the living conditions** in informal poor settlements is **not a high priority** for many municipal governments or administrations;
- municipal administrations or governments are often only **prepared to cooperate with poor, informal target groups to a limited extent**;
- because poor settlements are neglected, their inhabitants tend to have **little confidence in the government and governmental agencies**.

► see *Basic Concepts, Chapter 5, Recommendations: Cooperation with Local Administrations and Municipalities*

4.4 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

MUNICIPAL OR LOCAL ADMINISTRATION

Tasks and Challenges

A certain amount of municipal involvement and their agreement to the planned measures is necessary in most waste management initiatives. This is particularly the case if measures or facilities at neighbourhood level have to be integrated into a city-wide network. This usually involves the following tasks and challenges:

- **sensitising the administration and politicians** to the needs, interests and potentials of residents in poor settlements;
- clarifying and **agreeing on the leeway for participatory approaches**, self-help and the involvement of other actors, such as NGOs or the private sector, as early as possible;
- **clarifying and formalizing the roles and contributions of the different stakeholders** and actors as early as possible, and in particular, the responsibilities and contributions of communal actors;

- **building the capacities of administration employees** and, if necessary, local politicians to facilitate their cooperation with different actors (poor target groups, grass roots organisations, NGOs, the private sector etc.);
- if necessary, **building up the professionalism of employees in local administrations** and communal or public waste management enterprises, particularly in the following areas:
 - technical solutions and procedures related to waste management tasks,
 - operation and organisation of waste management installations and facilities,
 - financial administration, financing through fees, cost recovery.

Ahmedabad, India

Waste Management as Municipal Task

The Indian city Ahmedabad has millions of inhabitants. In the mid 1990s, the Ahmedabad Municipal Corporation initiated a citywide programme to improve the living conditions in the almost 2,000 slums and poor settlements where, in 1991, ca. 40% of the city's population lived. An important focus within the framework of the municipality's slum networking programme was the cooperation between residents, NGOs and private enterprises in planning, implementing and operating wastewater and solid waste management measures.

The municipality has established a special department with 30 employees for the implementation of the slum networking programme. The main function of the department is to respond to requests and applications from NGOs or grass roots organisations, but it is also active itself in individual settlements.

- *Basic Concepts, Chapter 2, Case Studies: Waste Management as a Component of a City-Wide Upgrading Programme*

Advantages

- There is usually a mandate for waste management tasks
- Possibilities to use or link up with existing administrative and operational structures
- Usually, there is prior experience with the problem situation
- Frequently, good local knowledge and knowledge about the situation on the ground are available

Disadvantages

- Efficiency is often low
- Bureaucratic structures and hierarchies; influence of local politics (clientelism and corruption)
- Often, the inhabitants do not trust the local administration and politics
- Sometimes, the administration and/or politicians show little willingness to cooperate with poor target groups

To be considered

- In principle, local administrations are suitable as main operating agencies; usually however, cooperation with NGOs and CBOs is necessary or useful
- Usually, sensitisation and capacity-building is needed for employees of municipal administrations in order for them to cooperate effectively with poor target groups and other actors

OTHER GOVERNMENTAL AND SECTOR AGENCIES

Potentials

Aside from municipalities or local governments, in countries with a relatively low number of decentralised administrative structures, state sector institutions are often responsible for waste management tasks at local level (e.g. the “General Organisations for Water and Sewerage” in Arab countries such as Egypt and Syria). The tasks of these institutions are generally similar to those of municipalities or local governments described in the previous section, but they usually have more competences.

Responsibilities are, however, often complementary: state sector institutions are mainly responsible for the construction and financing of macro infrastructure (e.g. sewage plants, main sewage collectors or drainage canals) while municipalities or local governments are in charge of operation and maintenance. In some cases, however, sector institutions also adopt responsibility for the long-term operation of macro infrastructure. The tasks of local administrations are then usually limited to operating and maintaining secondary networks and facilities.

Moreover, sector agencies or institutions at higher than municipal level are, in most cases, responsible for shaping important framework conditions for waste management tasks, and their undertakings in this context include:

- preparation and implementation of legal and other regulations;
- definition of technical standards for the design of waste management facilities and networks;
- design of tariff systems and the determining of fees;
- legal and procedural supervision of the activities of lower administrative levels and municipalities;
- controlling adherence to waste management technical and quality standards (e.g. through guidelines for wastewater treatment or protecting groundwater resources near garbage dumps);
- allocating state funds for large infrastructure projects.

Constraints

Like municipalities and local governments, many state sector agencies and institutions are overburdened with tasks and responsibilities. Poor urban settlements in particular, are therefore often provided with few or no services by these institutions. The reasons for this are usually similar to those hindering municipalities.

In addition, there are a number of typical framework conditions that can work to further impede effective and cost efficient infrastructure undertakings at community level:

- technical standards for waste management solutions are often too high (e.g. minimum pipe sizes for canalised sewerage systems);
- inappropriate fee and tariff systems that are inefficient or discourage payment (waste management fees are only rarely collected; garbage collection fees are usually collected as a lump sum regardless of the amount of garbage);
- reservations about innovative approaches involving poor target groups and other local actors (e.g. NGOs) to waste management, and about self-help initiatives in this context.

Headquarters of the sector institution ANDA, which is responsible for water and wastewater management in El Salvador

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► *Basic Concepts, Chapter 5, Recommendations: Cooperation with National Government Institutions*

OTHER GOVERNMENTAL AND SECTOR AGENCIES

Tasks and Challenges

Usually, waste management measures at community level require the agreement of not only municipalities and local governments, but also state agencies and sector institutions.

Besides the tasks described for co-operation with local administrations, there are the following challenges in dealing with state and sector institutions, depending on the context and framework conditions:

- agreement on appropriate standards and technical solutions, and gaining corresponding approvals, sometimes only for pilot or model projects, at first;
- agreement on the development and testing of innovative fee and tariff systems at community and neighbourhood level;

- agreement on possible target group involvement and cooperation with a broad range of local actors, and on self-help approaches and solutions.

Projects concerned with broad effects and replicability, usually need to exert a strong influence to change waste management framework conditions and legal regulations, particularly with regard to technical standards and financing possibilities.

Urban Upgrading Las Palmas in San Salvador, El Salvador

Involvement of a National Sector Institution in Waste Management Measures at Community Level

In the Latin American state of El Salvador, the state sector institution *Administración Nacional de Acueductos y Alcantarillados* - ANDA, has a nationwide responsibility for water and sewerage.

A component of an upgrading programme for the district of Las Palmas was the construction of a sewage network with significantly reduced pipe sizes, for which the special approval of ANDA was required; and this could only be obtained after lengthy negotiations.

Time-consuming discussions were also necessary to agree on solutions for servicing and maintenance. These were that secondary collectors are to be cleaned and maintained by residents' self-help groups for a period of five years, while ANDA is to be in charge of the maintenance of the main collector.

After the initial positive experiences with the adjusted technical standards and with residents' involvement in maintenance, ANDA is now prepared to apply similar approaches in other poor urban settlements.

- see *Basic Concepts, Chapter 2 - Case Studies: Waste Management as a Component of a City-wide Upgrading Programme*

Advantages

- Usually has mandate or responsibility for shaping framework conditions for waste management tasks
- May provide financial contributions to waste management projects or programmes from public funds

Disadvantages

- Often bureaucratic and not very efficient
- Usually not near to target groups and consequently have little willingness to cooperate with them
- Technical standards are often too high and too expensive; fee and tariff systems are frequently inflexible and inappropriate
- Can be reservations about target group and other local actor participation and self-help

zu beachten

- Limited suitability as main agency for construction and operation; involvement in planning and implementation is, however, necessary
- Depending on responsibilities and competencies, agreements on technical solutions and standards, and on financing and stakeholder models should be reached as early as possible
- Influence to improve framework conditions is usually necessary, especially when projects aim for broader effects and replicability

4.6 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

THE PRIVATE SECTOR

Context and Possibilities for Cooperation

Private companies and formal sector enterprises are, as yet, rarely active or particularly interested in waste management for poor urban settlements. Their involvement, when there is any, is usually **during the construction and implementation phase** to, for example, construct a sewage network or pump station. **Tasks related to the long-term operation** of waste management facilities are **seldom fulfilled** by the private sector.

However, **informal companies and entrepreneurs are involved in many kinds of waste management activity at community level**. A wide range of service offers from small informal enterprises is often available, especially in larger poor settlements in big cities, and particularly in the areas of household and commercial garbage collection, recycling and disposal, and in septic tank and latrine emptying.

In addition to households, **informal businesses** in poor settlements, such as craftsmen, workshops or shops, are also important **potential clients of waste management services**. Their needs and interests have to be considered in planning and implementing

measures and projects. Informal business people and traders are often more prepared to pay for waste management services than poor private households.

Private enterprises in the informal sector can become particularly **important partners** in waste management initiatives. As well as being clients, they can be asked and may have an interest in adopting responsibility for waste management tasks.

Private formal sector companies may carry out waste management tasks **more efficiently and cheaply** than the public sector. However, the real possibilities of involving the private sector in waste management tasks in poor settlements need to be investigated in light of the framework conditions for those tasks. Usually, it is **only possible and useful for** them to take on **sub-tasks**.

Constraints

The involvement of private enterprises in waste management projects and activities at community level is mainly determined by the following factors:

- Private formal enterprises usually only become active if there are **good prospects of profit**. In most cases, this is only possible if **payment for their services** is assured either directly **by public clients**, such as municipalities or state sector agencies (e.g. for construction measures or garbage collection and disposal), or through **cross financing** from other more profitable undertakings (see box below - Sewerage in the Framework of a Private Sector Concession in Greater Manila).
- Formal sector enterprises that are awarded construction contracts or adopt responsibility for the operation of waste management installations or facilities usually have **little experience of cooperating with poor target groups**.
- **Informal enterprises** in poor areas usually have **limited experience of the technical, financial and operational issues** involved in waste management.
- In addition, their **capital resources** are **too small** to make large investments in the facilities and equipment that can be needed.

► see *Basic Concepts, Chapter 5, Recommendations: Cooperation With the Private Sector;*

and Module 1, Technical Concepts, Chapter 2.5 - Refuse Disposal and Depositing

Protest against privatisation. Manila, Philippines

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4.6 COOPERATION PARTNERS AND IMPLEMENTING AGENCIES

THE PRIVATE SECTOR

Tasks and Challenges

The following specific tasks and challenges have to be considered in order to mobilise the potentials of, and to cooperate with the private sector in community-focused waste management initiatives and projects:

- **identification of appropriate waste management tasks** that can be carried out by the private sector: in most cases, it is crucial to identify **suitable interfaces** and distribution of tasks between, on the one side, contributing residents' groups and local informal enterprises, and on the other, formal private companies and public agencies;
- **formalisation of cooperations** between the different stakeholders, with contracts and other suitable agreements;
- **sensitisation and qualification** of private enterprises and their staff **for interaction with poor target groups** and other local actors (e.g. NGOs);

- development and introduction of **appropriate financing models** and approaches that facilitate waste management tasks, and that take economic feasibilities into account, e.g. collection of fees that cover at least the operation costs;
- **capacity-building, technical assistance and support** of informal sector enterprises, if needed, to enable them to adopt responsibility for waste management tasks;
- **Informing target groups** (private households and local business people) about the terms and requirements of cooperation with private enterprises (e.g. the necessity of paying fees).

Water and Sewerage in Metro Manila, Philippines

Sewerage in the Framework of a Private Sector Concession

In the capital of the Philippines, Manila, until 1997 only about 10% of all households were connected to canalised sewerage. The septic tanks with which half the households were equipped, were cleared irregularly and maintained very badly. Sewage disposal was therefore privatised, as was water provision, which also suffered deficits. Two consortiums of companies were awarded a concession for 25 years. According to the conditions of the concession, 59% of all households were to be provided with sewerage by 2001 (16% connected to canalised sewerage and 43% equipped with improved septic tanks). This percentage was to be raised to 80% by the end of the concession period.

Despite the fact that poor urban settlements were explicitly included, both of the consortium's pilot measures have, until now, been limited to upper or middle income residential areas that are easier to service. The measures consist mainly of district or neighbourhood sewerage networks with small wastewater treatment plants.

Advantages

- Economic feasibility is an important precondition for long-term sustainability of private sector involvement
- Often more efficient and more flexible than public institutions
- Open for innovative and cost-saving measures

Disadvantages

- Formal private enterprises often have little or no experience of cooperating with poor target groups
- Usually, formal private companies have little interest in becoming active in poor settlements since it is not very profitable

To be considered

- Usually not suitable as sole operating agencies or main cooperation partners...
- ...but important for individual contributions or long-term adoption of sub-tasks related to the operation of waste management measures
- Tailored sensitisation and capacity-building measures are often useful or necessary



ANNEX

- **Selected Instruments and Methods**
- **Literature**
- **Websites**
- **Photo and Illustration Credits**

SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS FOR ANALYSING FRAMEWORK CONDITIONS

SWOT-Analysis

SWOT (Strength-Weaknesses-Opportunities-Threats) analysis is an instrument that facilitates cataloguing and assessing important factors and framework conditions that may have an influence on the project. It is often used in group discussions and workshops to stimulate discussion and to help in reaching agreements on objectives.

Firstly, those elements of the framework conditions that the participants think are relevant, are written down on cards. Then, they allocate each card to one of four fields, which signify four different categories:

- **Strengths**, i.e. factors that have a positive influence on the project objectives in a given context;
- **Weaknesses**, i.e. factors that are expected to have a negative influence;
- **Opportunities**, i.e. factors which a project can take advantage of;
- **Threats**, i.e. factors that may impede the success of the project.

The importance of the different factors can be shown by using different colours. The results are documented in tables or diagrams. The following table, for example, analyses framework conditions and possibilities for participation and self-help:

► *for further information: http://www.mindtools.com/pages/article/newTMC_05.htm*

Strengths

- Active informal networks
- Women particularly active, but only informally
- Mixed social fabric, including wealthier traders and owners of small enterprises
- Governor supports participation

Weaknesses

- Weak community organisations
- Passive local administration
- Corruption and clientelism
- Influence of conservative religious groups

Opportunities

- Activation of community organisations through new members from informal groups
- Many self-help potentials
- Governor puts pressure on the local administration

Threats

- Clientelistic appointments and allocations
- Resistance of local administration
- Demotivation through continuous blocking of activities by corrupt State employees
- Obstruction of women's participation

SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS FOR ANALYSING FRAMEWORK CONDITIONS

Force Field Analysis

Force Field Analysis is another method that is widely used to analyse framework conditions. With its help, relevant factors are assessed in order to work out whether they have a positive or restraining influence on the achievement of project objectives. Force Field Analysis is more detailed than SWOT since it also analyses the influence different factors have, the nature of the influence and the means and resources required to exert it.

Force Field Analysis is also used to facilitate and structure group discussions and workshops. The results are documented in a graph or table. The table below illustrates an analysis of how certain framework conditions represent driving or restraining forces with regard to participation and self-help:

► *for further information: <http://www.mindtools.com/>*

Driving Forces	Brief Description	Importance	Influence in the short term?	Influence in the longterm?	Possibilities of influence	Resources available?
Strong community organisations	representative, rooted in the population, women active	→	acceptance as partner attainable	more cooperation and empowerment	capacity-building and concrete tasks	training budget, motivation of community organisations
Political weight of the project area	largest poor settlement of the city	→	increased interest of governmental agencies	participatory solutions to problems as a model	documentation, lobbying and public relations	yes
Government funds for promoting self-help	relatively low grants	→	yes, applications possible	increase of funds may be possible	supporting the population with applications	yes
Restraining Forces	Brief Description	Importance	Influence in the short term?	Influence in the longterm?	Possibilities of influence	Resources available?
Weak local administration	low capacities, little resources	←	no	yes, maybe	capacity-building	training budget
poverty and high incidence of unemployment	financial contributions difficult	←	no	yes, maybe	labour intensive techniques	yes

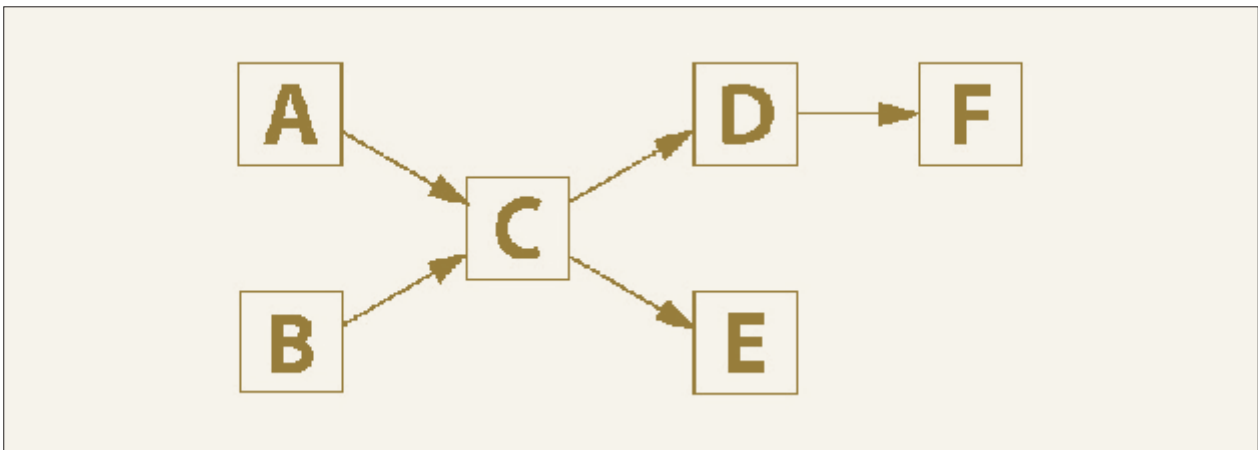
SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS TO FACILITATE DECISION-MAKING

Scenarios, Tasks and Activities - Critical Path Analysis)

Critical Path Analysis is used to develop scenarios and to plan the logical sequence of activities that are necessary to accomplish certain tasks. It is a basis for scheduling events and determining their interdependencies. It is mainly used in planning workshops and by working groups.

Participants begin by writing down all the important activities and events that need to occur to fulfil a task. These are then categorised by drawing circles or squares around them. Circles stand for necessary actions (e.g. constructing a garbage collection point), squares stand for necessary events (e.g. gaining approvals etc.). The circles and squares are then arranged in a way that shows which action (or event) has to be completed before a new action can start, and which actions can be carried out in parallel. Circles and squares are connected with arrow-ended lines. Action to be taken is written below these lines, and the approximate time needed for them is written above.



In the simplified example above, activity C can only start after A and B have been completed. After C is done, D and E can start in parallel. F can start in parallel with E, but only after D has been completed.

Ranking

Ranking, i.e. arranging important issues according to consistent criteria, is one of the classical PRA (Participatory Rapid Appraisal) techniques. Ranking helps in identifying the advantages and disadvantages of particular measures in order to facilitate decision-making.

For example, the different technical possibilities for a waste management system are written into a table. Attributes are then assigned to each possibility: these can include, e.g. "technically feasible", "affordable", "easy to operate", "cost efficient repair possible", "easily integrated into citywide systems", "operating agencies available", "necessary qualification possible" and so on. Instead of text, photos, drawings, or symbols etc. can be used so that people without reading skills can participate in the discussion. The different waste management systems are then assessed according to their attributes and decisions about them can be discussed.

SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS FOR PARTICIPATORY PLANNING AND MANAGEMENT

Group Brainstorming (Ideas Gathering)

Group brainstorming is often used to identify non-conventional solutions for difficult problems. It is a method to stimulate creativity and innovative thinking. The basic principle consists of two elements:

- (1) All suggestions, including those that seem to be impractical at first glance, are recorded without comment;
- (2) each participant takes one idea and tries to develop it into a realistic solution. If a participant gets stuck, other participants help.

Group brainstorming participants should have a wide range of different social and professional backgrounds, so that as many different experiences as possible can be brought in. Before a brainstorming session begins, the criteria to be used, and the problems and objectives to be considered, should be clearly defined. Expressing criticism during the session is not allowed. Completely impractical suggestions are discarded and the applicability and potential benefits of the remaining proposals are discussed and assessed.

Pareto Analysis

Pareto Analysis is a method of selecting the most effective option from several alternatives. The so-called “Pareto Principle” states that 80% of the benefits can arise from possibly only 20% of the (material and human) resources invested. Pareto Analysis can be used, for example, to discuss and decide on different possibilities for waste management systems jointly with the population. Firstly, all possible alternatives and options are listed and given credit points. The criteria for allocating credit points depend on the nature of the project.

If the discussion is, for example, about identifying the most cost efficient sewerage system for a very poor area, all possible sewage systems are listed. The procurement, construction, operation, repair and other costs for each of the sewage systems are entered in the list. A simple table is usually used for this purpose.

The different possibilities are discussed, using the Pareto Principle, in order to find out how a maximum X% of households can be connected to the waste management system for a minimum Y% of cost investment, and how the sustainable long-term operation can be secured. The percentages reflect the target groups' ability to pay and the acceptable minimum number of connections.

The means used for this method can also be simplified, for example by categorising options with symbols instead of percentages.

► *further information: <http://www.gisler-coach.ch/download/archiv/paretoanalyse.pdf>*

SELECTED INSTRUMENTS AND METHODS

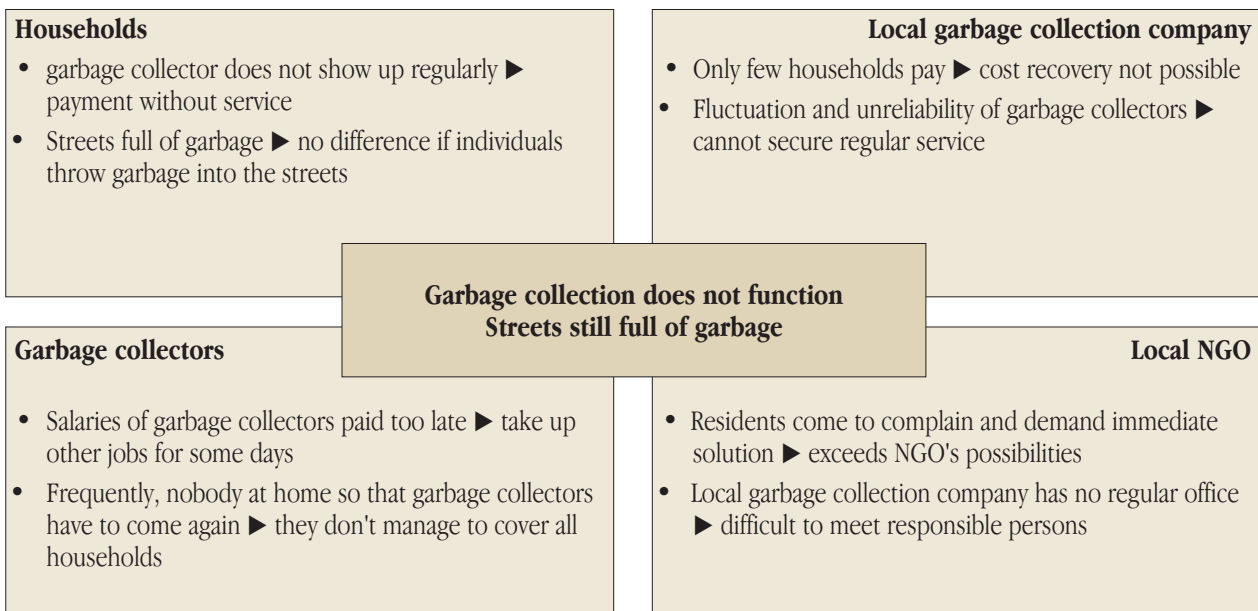
INSTRUMENTS FOR PARTICIPATORY PLANNING AND MANAGEMENT

Reframing Matrix (Looking at Problems From Different Perspectives)

The Reframing Matrix is mainly used in investigating solutions for problems and conflicts that may arise during implementation. It facilitates looking at a problems from different perspectives in order to understand them better and come up with new, creative suggestions for their solutions. It is based on the idea that different groups, with their various experiences, perceive problems differently.

Using flip charts works well with this method. First, the problem is written into a box or circle in the middle of a large piece of paper. Around this box or circle are placed four or more boxes. Each of these contains a description of a particular perspective towards the problem, and different aspects associated with it. These are discussed and possibly re-arranged so that new potential solutions may arise.

If the problem is, for example, that the garbage collection component of a community-based solid waste management system does not function, the Reframing Matrix may look as follows:



In this case, the interpretation of the matrix would probably lead to a re-formulation of the problem. The symptomatic problem is mainly rooted in lack of trust. If the garbage collector does not show up regularly, the users don't pay. If they don't pay, the garbage collection company cannot offer regular services, and a "vicious circle" results. The example above also shows difficulties arising from organisational issues and unclear responsibilities.

The Reframing Matrix, by facilitating the analysis of the different aspects of the problem, helps identify new and perhaps indirect solutions, which, in this case, might be: mobilisation and awareness raising campaigns, the establishment of a complaints and suggestions office and the organisation of a coordination committee of representatives of all the stakeholders.

SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS FOR PARTICIPATORY MONITORING AND EVALUATION

Participatory Beneficiary Assessment

Participatory Beneficiary Assessment (PBA) can be used to document the perceptions of different user groups of the impacts of processes initiated by the project. A team of experts and target group representatives is established to define the objectives and procedures of the PBAs, and to carry them out.

The experts train the target group representatives in the techniques involved. Interview guidelines, and possibly also tables and diagrams, are developed for use in surveys and discussions, as well as in the subsequent analysis. Investigation results are then analysed jointly. The outcomes of the analysis are then discussed with target group representatives or community organisations in order to reach agreement on recommendations for improvements.

For example, if the benefits of an awareness campaign about improving the use of a sewage system and avoiding health hazards are to be discussed, the PBA may consist of the following elements:

- Focus group discussions with those representatives of community organisations, schools, health centres and literacy classes that were involved in the campaign: problems and assessments of its benefits and impacts are discussed during the session. The participants are encouraged to give illustrative examples, e.g. that after the campaign toilets in schools are often less often blocked, that the number of residents with skin problems and infectious diseases has decreased or that material used during the campaign was not visual enough and could not be understood by literacy students without explanation.
- Interviews with people, selected at random, who roughly reflect the social composition of the user groups. Questions may relate to their understanding of the contents of the campaign and to changes in behaviour that it may have brought about. It is usually sensible to ask indirect questions or to ask about changes in the behaviour of neighbours in order not to embarrass the interviewees.
- Passing observations should be noted while gathering information about changes of behaviour and the use of waste management measures: e.g. observing that children talk to their mothers about the danger of flies transmitting diseases, or observing that food remains are no longer thrown into the street along with the wastewater, and so on.

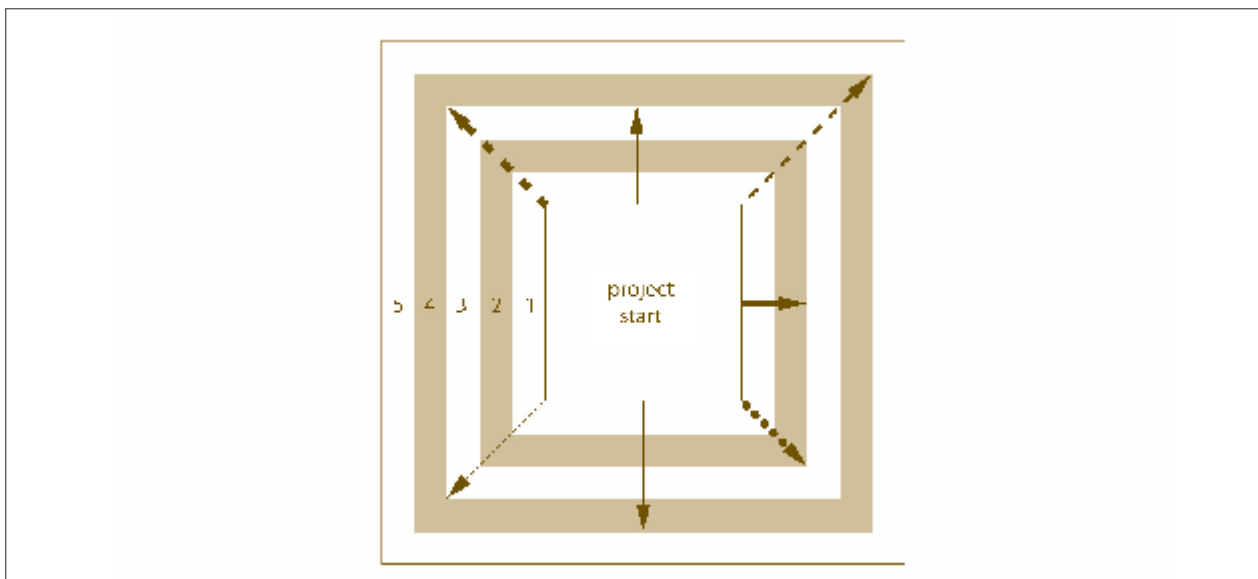
SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS FOR PARTICIPATORY MONITORING AND EVALUATION

Spider Diagrams

Spider Diagrams are suitable for impact monitoring and empowerment assessment processes, as well as for documenting changes of in relationships and normative values. The participants agree on objectives, and the aspects or indicators that are relevant to achieve those objectives. The objective is described in the middle of a circle or a square, surrounded by other circles or squares representing associated aspects or indicators. Each surrounding square or circle is given, for instance, a number according to a scale of, say, 1 to 10.

The participants discuss and agree on how close the project has come in trying to realise these aspects or indicators: this can be indicated by connecting them to the central objective with arrows of different length, thickness or type. Photos and drawings which show change can be inserted into the diagram. Spider Diagrams on a given topic, should be re-made and compared periodically. The Spider Diagram below illustrates how close a project has come to realise the objective of women's empowerment in a development process:



Objective: Recognised Role and Influence of Women in the Development Process

indicators

- ➔ new capacities and skills
- ➔ membership in grass roots organisations
- - ➔ high percentage of women's involvement in representative bodies
- ➔ increased articulation and influencing skills
-➔ women adopt positions with responsibility
- ➔ more freedom to move and increased mobility
-➔ increased social acceptance and recognition of women's activities in the public realm

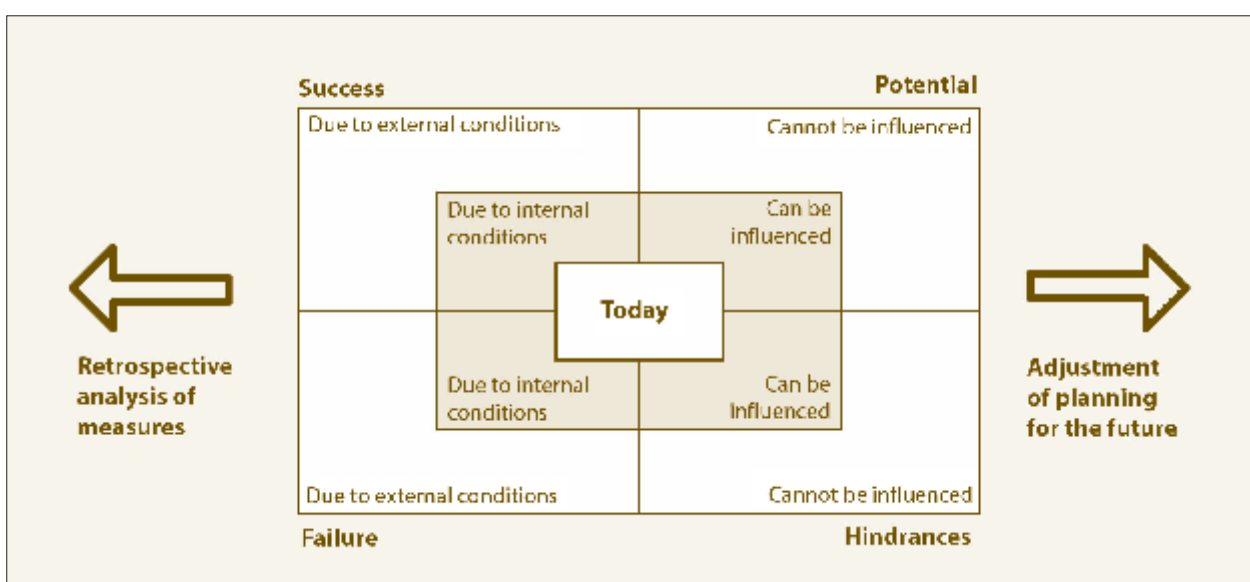
SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS FOR PARTICIPATORY MONITORING AND EVALUATION

Window of Opportunities

One of the instruments that can be applied in participatory monitoring and evaluation of project activities is a modified form of SWOT (strengths-weaknesses-opportunities-threats) analysis. Unexpected impacts are identified and potentials for the future are derived from an analysis of past successes and failures. These can be described in a so-called window of opportunities diagram.

Windows of opportunities can be used not only to identify new potentials, but also to modify previous actions. A diagram may look like this:



Reasons or certain events can be entered into the diagram to explain progress with regard to individual indicators. This can be illustrated with photographs, drawings, newspaper articles, etc. This kind of method can also be used to analyse participatory processes themselves.

For example, if the objective is to build up technical capacities for waste management measures, entries under “failure” may show that there are problems with target groups who were not involved from the outset in on-the-job training measures, and hence have insufficient capacities. Entries under “success” may show that the group has sufficient practical experience, and that it is possible for them to use manuals and reference books.

Another potential may be that those who have enough experience could be trained as trainers for so-called ToT (training of trainers) courses in order to increase the pool of those who can pass skills on to others. This may imply a shift of the focus of training measures from practical on-the-job training to more structured courses, with general and theoretical contents, in order to deepen the overall understanding of technical issues.

SELECTED INSTRUMENTS AND METHODS

INSTRUMENTS FOR PARTICIPATORY MONITORING AND EVALUATION

Quantitative and Qualitative Impact Indicators

In order to measure the achievement of objectives beyond those of project implementation, it is necessary to use qualitative as well as quantitative indicators. It is possible to distinguish between indicators to measure:

- **Outputs:** indicators are mainly related to efforts made to implement concrete activities;
- **Outcomes:** indicators measure effectiveness, i.e. the benefits of the measures and the sustainability of these benefits;
- **Impacts:** indicators relate to long-term structural changes, i.e. to sustainable changes to the original problem situation

In a context with considerable potentials for participatory processes, a combination of (qualitative and quantitative) output, outcome and impact indicators can be formulated, for example, as follows:

Objective: Empowerment of Target Groups

Output indicators

- participation of target groups in activities (x number of participants)
- establishment of representative community organisations (x number of members)
- self-initiative of target group organisations (area x)
- mobilisation of external and internal resources (for x)

Outcome indicators

- collective representation, capacity to solve problems and take action
- community organisations are recognised as development partners

Impact indicators

- active participation of the population in local development through consolidated community organisations

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Other Websites

<http://www.gtz.de/participation/index.html>

- Publications
- Information about tools and methods
- Links to further websites

<http://www.idrc.ca/corp/idrc.html>

Homepage of the International Development Research Center

- Projects, networks
- Publications, documentation

<http://www.ids.ac.uk/eldis/prapra.html>

participation Website - eldis (Electronic Development and Environment Information System)

- Publications (pdf), links to databases, literature catalogues
- Information sources on participation, in particular to PRA methods
- Numerous links

<http://www.ids.ac.uk/ids/particip/>

Participation Homepage of the International Development Studies Department of the University of Sussex, UK

- Publications, links to databases
- Detailed information about PRA and other participative methods
- Links to organisations and networks working in the field of participation

http://www.info.usaid.gov/about/part_devel

USAID Global Participation Network

- Internet guide for participation
- Forum on participation issues

<http://www.magnet.undp.org/>

UNDP Management and Governance Network

- Publications
- Information about methods and techniques

<http://www.oneworld.org/iied/resource>

Participatory Learning and Action Website of the International Institute for Environment and Development (IIED)

- Information about the application of PRA methods (with examples from different regions and sectors)
- Information about different other participatory methods

<http://www.oneworld.org/oda>

Overseas Development Administration Homepage

- Information about methods for conducting stakeholder analyses in development projects
- Information about indicators for evaluating participation of primary stakeholders
- general information about participation and self-help

<http://www.parnet.org>

Participatory Action Research Website

- Publications
- Information about methods and techniques
- Institutions and training programmes

<http://www.unhabitat.org/default.asp>

- Publications about participation
- Publications on methods and techniques
- Participation in the context of urban upgrading projects

<http://www.wn.org>

Homepage of the Organisation "World Neighbors in Action"

- Publications on participation
- Links to other organisations and websites

<http://www.worldbank.org/participation>

World Bank Website on Participation

- Publications
- detailed information about methods and techniques
- Links to other websites

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