**PUBLIC COMMUNITY PARTNERSHIPS**

**SUCCESS AND FAILURES**

A Research Paper presented by:

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GHANA

in partial fulfillment of the requirements for obtaining the degree of

MASTERS OF ARTS IN DEVELOPMENT STUDIES

Specialization:

**Public Policy and Management**

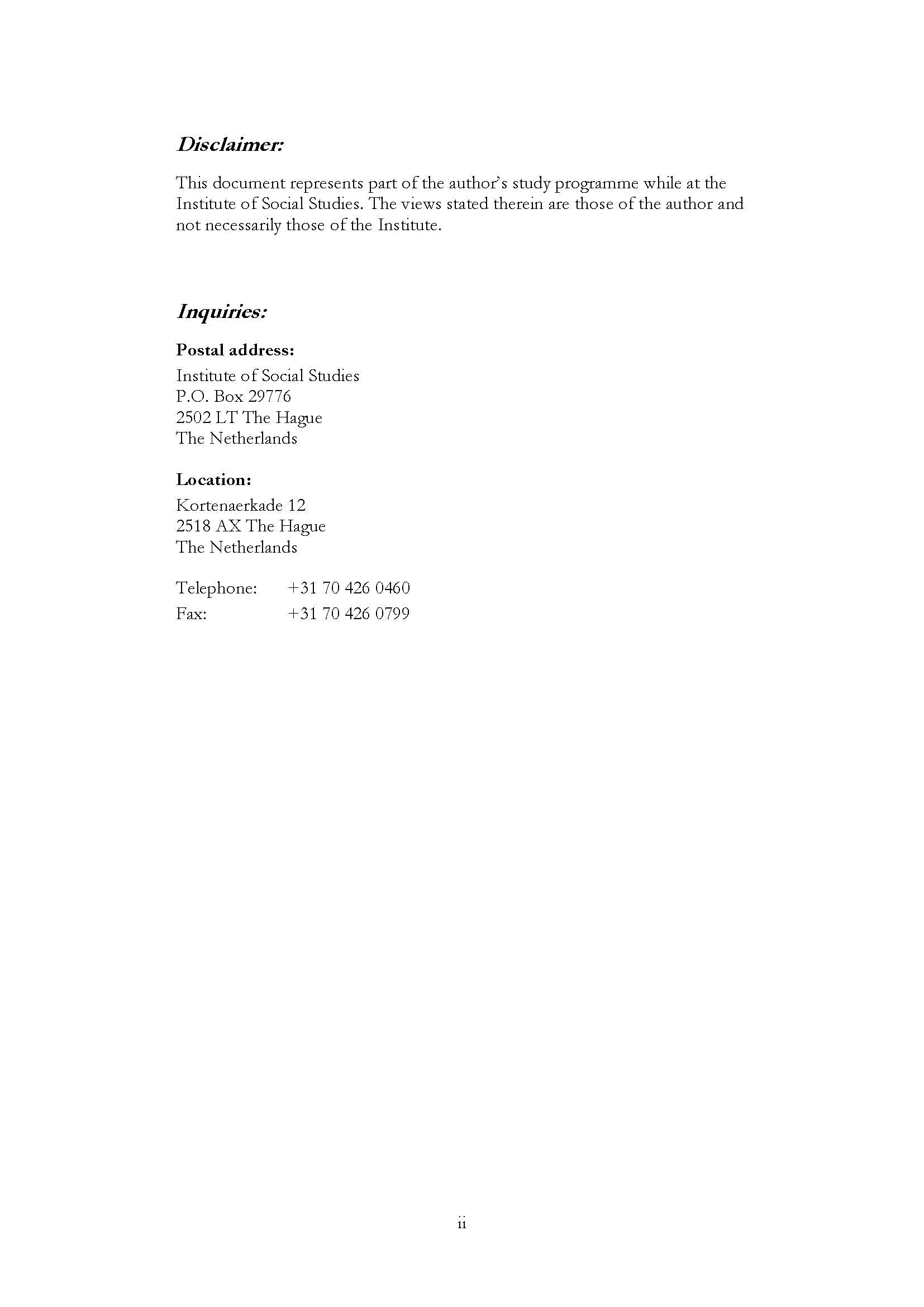
PPM

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December 2012



Dedication

Dedicated to the Lord God Almighty for His abundant blessings, grace, and compassion and for the gift of life

Acknowledgements

I would like to thank the Lord God almighty, for protecting and providing for me according to my needs throughout my stay and studies here in the Netherlands. A very big thank you to my supervisor Dr. Sylvia Bergh, you were very committed and supportive with your patience with me, your comments, directions and guidance throughout this RP process as my supervisor and throughout my studies here also as my convener.

I would also like to thank my second reader Dr. Erhard Berner for his useful comments and directions throughout this RP process, they were very useful. A very big thank you to all the professors, lecturers and staff of the ISS, especially the PPM staff, for the knowledge you impacted on me.

I want to thank my beloved parents, Mr. and Mrs. Sersah-Johnson, all I am now is because of the way the raised me, with so much love and discipline, I thank them for all they have done for me so far and their support throughout my stay and study here in the Netherlands. To my sisters, Steffi and Nana Ekua Sersah, thank you for all the love and support.

A big thank you Ghana government which made it possible for me come and studies here through the Ghana Education Trust Fund (Getfund), thank you for all the financial support. Last but not least, a big thank you to my friends and colleagues that I met here at ISS, each and every one of you impacted me in a special way.

**THANK YOU ALL**

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List of Acronyms

CBO: Community Based Organization

CBSWM: Community-Based Solid Waste Management

CJP: Clean Jharkhand Project

CSO: Civil Society Organization

FDSA: Foundation for Sustainable Development

GISWM: Guimaras Integrated Solid Waste Management

GSMA: Ga-South Municipal Assembly

ICEF: Indo-Canada Environment Facility

KYHO: Kenya Youth for Habitat Organisation

LGC: Local Government Code

MITF: Municipal Implementation Task Force

MSWM: Municipal Solid waste management

NBJK: Nav Bharat Jagriti Kendra

NCC: Nairobi City Council

NGO: Non-governmental Organization

PCP: Public Community Partnership

PDC: Pocket Development Committee

PITF: Provincial Implementation Task Force

PPP: Public Private Partnership

RMC: Ranchi Municipal Corporation

SWM: Solid Waste Management

ULB: Urban Local BodiesAbstract

Solid waste management is one of the main responsibilities of local governments in developing countries. One of the ways in which local governments in the developing countries handle solid waste management is through public community partnerships. This paper tried to examine the factors that have led to the successes or failures of public community partnerships in some cities and looks at how these factors can be adopted in the context of the Ga-South Municipal Assembly of Ghana. From the study, factors such as effective leadership and strong institutional frameworks are needed for public community partnerships to be successful.

**Relevance to Development Studies**

Public community partnerships are current and promoted around the world in developing countries. It is therefore relevant to study the actors that are involved and examine the factors that can contribute to the successes of failures of such partnerships.

**Keywords**

Public Community Partnerships, Partnerships, Co-Production, Solid Waste Management, Local Government

# Introduction

## 1.1 Background

Growth of urban cities peaked in the 1950’s with expansion of the population by more than 3% per year. Almost half of the world’s population lives in the urban cities (WHO, 2012). Today, the number of urban residents increase around 60 million every year and the global urban population is projected to grow at 1.5% per year between 2025 and 2030 (WHO, 2012).

People migrate to the urban cities with the mindset that these cities offer better health care, education, employment opportunities and culture (Moore et al, 2002). However, the rapid and often unplanned increase in population puts the human health at risk because of associated conditions like unemployment, poverty, settlement on marginal land, environmental degradation, and the demands on service delivery becomes more than the environment can handle. The rapid urbanization is associated with the emergence of slums and informal settlements (Owusu and Afutu-Kotey, 2010: 1). “Managing the urban environment sustainably will therefore become one of the major challenges for the future” (UNEP, 2002, cited by Moore et al, 2002: 270).Such services include water treatment and waste disposal (Moore et al, 2002). Solid waste management is an integral part of the basic urban services and is an important part of environmental health service (Ahmed and Ali, 2004: 468).

The general outcome of this urban growth is the increase in urban pollution (Karanja, 2005: 288). In Asia for instance, there is an increase in quantity and toxicity of waste in the middle income countries, especially in the cities because of the rapid urbanization, increase in industrialization, growth of incomes and a “more sophisticated form of consumerism” (UN-HABITAT, 2010: XXVI). Jakarta has experienced a dramatic increase in its population from 530,000 in 1930 to 11.5 million in 1995 and in Dhaka there was an increase from 3.5million in 1951 to 13 million in the 1990’s (Moatvilli cited by Atienza, 2008: 2). The World Bank reported that in Asia about 760,000 tones or about 2.7 million cubic meters of Municipal solid waste is generated per day. These figures are projected to increase to 1.8 million tones or 5.2 million cubic metres of waste generated per day in 2025 (UN-HABITAT, 2010: XXVI).

Rural-to-urban migration has the propensity to reinforce urbanization in developing countries, “as government policies discriminate against the majority of rural folk” (Amoah, 2010: 2). According to Goddard (1994) some of the trends in solid waste management include rising waste generation, increasingly expensive recycling and more costly land filling and incineration (Goddard, 1994: 168).The table below shows the data of municipal solid waste generated in 20 cities annually and daily. The developed cities are on top and the developing cites are below.

Table 1.1 Waste generated in Cities

|  |
| --- |
| **City Population Kilograms per capita Kilograms per household** |
| **Year Day Year Day** |
| Adelaide, Australia 1,089,728 490 1.3 1176 3.2 |
| Varna, Bulgaria 313,983 435 1.2 1131 3.1 |
| Tompkins County, USA 101,136 577 1.6 1340 3.7 |
| San Francisco, USA 835,364 609 1.7 1400 3.8 |
| Curepipe, Republic of Mauritius 83,750 284 0.8 1135 3.1 |
| Rotterdam, Netherlands 582,949 528 1.4 1030 2.8 |
| Kunming, China 3,500,000 286 0.8 903 2.5 |
| Belo Horizonte, Brazil 2,452,617 529 1.4 1639 4.5 |
| Lusaka, Zambia 1,500,000 201 0.6 1107 3.0 |
| Managua , Nicaragua 1,002,882 420 1.1 2182 6.0 |
| Moshi, Tanzania 183,520 338 0.9 1386 3.8 |
| Nairobi, Kenya 4,000,000 219 0.6 1314 3.6 |
| Quezon City, Philippines 2,861,091 257 0.7 1286 3.5 |
| Ghorahi, Nepal 59,156 167 0.5 805 2.2 |
| Dhaka, Bangladesh 7,000,000 167 0.5 761 2.1 |
| Sousse, Tunisia 173,047 394 1.1 1586 4.3 |
| Delhi, India 13,850,507 184 0.5 938 2.6 |
| Canete, Peru 48,892 246 0.7 1083 3.0 |
| Bengaluru, India 7,800,000 269 0.7 942 2.6 |
| Bamako, Mali 1,809,106 256 0.7 1712 4.7 |
| Average 2,462,386 343 0.9 1243 3.4 |
| Median 1,046,305 285 0.8 1155 3.2 |

Source: (UN-HABITAT, 2010:11, adapted by researcher 2012)

From the tables it can be seen that there is a similarity between the waste generated in the developed and developing countries. However, while some developed countries have found the solution to managing waste, most developing countries are more affected because they lack resources needed to purchase advanced and expensive technologies to support waste management activities (Atienza, 2008: 2).

The practices of collecting, disposing and processes of municipal waste varies across countries in accordance with the nature of their waste stream and the key economic and environmental features (Bleede and Bloom, 1995:113). The least efficient practices of municipal waste are usually found in developing countries and it poses threats to the environment and public health (Bleede and Bloom, 1995: 113). As pointed out by the UN-HABITAT, some developing countries have been unable to meet the challenges that are associated with the rapid growth or per-urban cities (UN-HABITAT, 2009: V). For instance in most African countries, the high rate of urbanization have made it difficult to develop and implement effective municipal solid waste management policies (Palczynski, 2002: 2). As reported by (Rodic et al, 2010:10), the reason why city’s solid waste and other urban services fail can be attributed to poor governance.

Waste is directly or indirectly one of the major challenges of urban cities around the world. Municipalities and counties have shown how inclusion of the community and other actors can increase and achieve impressive results (UN-HABITAT, 2010). According to Baud when the municipalities cooperate with the CBOs, it results in clean neighbourhoods (Baud et al, 2001: 12). In many countries, solid waste controlling and composting has moved up the public policy agenda in the last few years (Goharrd, 1994: 183). Solid waste has become one of the functions that have been devolved to local governments in some developing countries Van Dijk, 2006 cited by (Van Dijk and Oduro-Kwarteng, 2007:1). Improper solid waste management is one of the effects of the unplanned migration and rapid growth of cities. Despite the efforts made by governments over the past decades to address this problem of waste management, many municipalities are still facing difficulties in doing so (Atienza, 2008: 2).

Self-provision is the way in which most communities deal with waste management and this is usually a result of failure in public sector service provision as well as the failure of private sector to respond to the newly created demand for essential services (Karanja, 2005:275). With the rapid growth of populations in developing countries, the informal sector usually caters for the urban families (Ahmed and Ali, 2004: 476). According to the world bank, cited by Karanja (2005), “communities have often organized themselves as providers, especially in the areas of waste water and solid waste, with NGOs playing a key role of providing financial and technical input in design and implementation” (Karanja, 2005: 275).

The belief was that private sector participation and decentralization would improve solid waste management in developing countries (Van Dijk and Oduro-Kwarteng, 2007:1). In most developing countries, public private partnership for service delivery did not succeed in solving the solid waste problems that existed. Some of the reasons why the PPPs do not succeed in developing countries are because the legal and regulatory framework for developing countries are usually weak, the public and private sector sometimes lack the capacity to cope with the new way of doing business, the interests groups that benefit financially would like to maintain their status quo and also in some cases transparency and accountability is not maintained and this gives room for corruption and inefficiency (Ahmed and Ali, 2004: 476). “Innovation and change for the creation of sustainable society cannot be achieved without active involvement at the local community level” (Velasquez et al, 2005: 2). For development to be sustainable, it requires the participation of the community in practice and in principle (Velasquez, 2005:2).

## 1.2 Statement of the problem

Despite the efforts made by governments over the past decades to address this problem of waste management, many municipalities still have difficulties (Atienza, 2008: 2). In some developing countries one of the gaps and weakness of the waste management system is that the roles of the informal sectors like the NGOs and the CBOs have not yet been recognised. As pointed by Palczynski (2002), in Cairo, Egypt, “The important role of local companies, NGOs and the informal sector (the Zabbaleen) has not been recognized by the municipal and national governments” (ibid: VII). In the developing countries, the urban poor could recycle a high proportion of the waste to generate income for themselves as well as protect the environment, so there is the need however to develop cooperation of the community sectors and the public sectors to be able to reach solutions that are more sustainable (ibid: II). According to Atienza (2008), community participation is an “effective means to address solid waste management in most developing countries” (ibid: 1). The United Nations also stated that “Community groups have considerable potential for managing local collection services. (Schubeler et al, 1996).The CBOs identify, organise and manage community based initiatives in areas where the municipal authorities are too weak to ensure provision of public services to the whole city, UNCHS cited by (Awortwi, 2003: 91). A number of studies have showed revealed that the contribution of the informal sector to recover the materials from municipal solid waste is much more higher than from the formal waste management services (Wehenpohl and Kolb, 2007; Medina, 2008; Scheinberg et al.,2010; Gerdes and Gunsilius, 2010; Hetz et al., 2011 cited by Paul et al, 2012: 2019). However, “the integration of the informal sector into municipal solid waste management is a challenge many developing countries face” (Paul et al, 2012: 2018). This process where the community, civil society organizations including NGOs and CBOs with together with the local government and participate in the SWM are known as Public Community Partnerships (Isa Baud, 2002) and Co-production (Joshi and Moore, 2004).

In Ghana, general waste management is the responsibility of the Ministry of Local Government and Rural Development which supervises the decentralized Metropolitan, Municipal and District Assembles (MMDAs). The Metropolitan, Municipal and District Assemblies are in charge of collection and final disposal of solid waste through their Waste Management Departments (WMDs) and their Environmental Health and Sanitation Departments (Sanitation Profile, 2004). In Ghana, the two main types of solution to the problem of waste management are the Public Private Partnerships (PPP) and the Public Community partnerships (PCP). Public community partnership has gained quite a lot of attention in the recent years. It is the partnership between the CBOs and the local government to work towards the same goal and in this case the goal is sustainable waste management. The CBOs work in these areas because public sector has withdrawn from it and the private sector has shown relatively less willingness to operate (Awortwi, 2003: 91).

## 1.3 Justification and relevance

This paper is relevant to both theory and policy. For theory, it is intended to explore and explain Public community partnerships that happen globally with the case studies and what the underlining factors that contribute to it are. For policy, it will inform the policy makers about what needs to be considered when adopting such partnerships.

## 1.4 Objective

Some cities have been successful in forming public community partnerships whiles others have not been able to do so. The objective of this research is to look at the factors that have led to the successes and failures of Public Community Partnerships in the selected cities and examine how it can be adopted in the context of Ghana

## 1.5 Research questions

Main Question: What are the factors that can explain successes and failures of Public Community Partnerships?

## 1.6 Methodology

Initially, the researcher intended to examine the constraints of PCPs in the Ga-South Municipal Assembly (GSMA) in Ghana, but after an exploratory field work, it turned out there were no PCPs and CBOS in the area of SWM in the GSMA. This was a setback because it meant the researcher could not proceed with the objective of this research. The researcher had to change the focus of this paper and decided to conduct a desk based study with the objective of looking at the factors that can explain the successes or failures of PCPs.

### 1.6.1 Selection of Case Studies

In Ghana, general waste management is the responsibility of the Ministry of Local Government and Rural Development which supervises the decentralized Metropolitan, Municipal and District Assembles (MMDAs). The regulatory authority is vested in the Environmental Protection Agency (EPA) under the auspices of the Ministry of Environment and Science. The Metropolitan, Municipal and District Assemblies are in charge of collection and final disposal of solid waste through their Waste Management Departments (WMDs) and their Environmental Health and Sanitation Departments. (Sanitation Profile, 2004).

The GSMA was the initial case study that was selected for this study because of the poor management of the waste that made the people have resort to methods like littering and indiscriminate dumping (Waste Care, 2010). The GSMA is a mixture of urban, peri-urban and rural settings, as well as un-planned and planned settlements (Amoah, 2010).

For the Ghanaian case study, primary and secondary data sources were used. The secondary sources include newspapers, reports on the waste management in the GSMA and the Sanitation Profile of Ghana. Interviews were conducted for the collection of the primary data. In the exploratory field work at the GSMA, 9 key informant interviews were conducted. The respondents were purposively sampled based on the knowledge that the researcher knew about them prior to the interview. The table below is the list of respondents that were interviewed.

Table 1.2 Number of interviews conducted

|  |  |
| --- | --- |
| Organization | Number of personnel interviewed |
| Local Government Service Secretariat | 1 |
| Environmental Protection Agency | 1 |
| Ministry of Local Government | 1 |
| Ga South Municipal Assembly | 2 |
| CHF | 1 |
| Water Resource Commission | 1 |
| Department of Social Welfare | 1 |
| Earth Service | 1 |
| Total | 9 |

Source(researcher’s own construction, 2012)

The Environmental Protection Agency is a public body in charge of improving and protecting the environment of Ghana. Two persons were interviewed at the municipal assembly because, this is the case study and of this research and the researcher wanted another voice to be sure that there were no contradictions. The Local Government Service Secretariat exists to assist the MMDA’s in the delivering of services to communities and this is why it was chosen as a source of data collection for this research. The Department of Social Welfare is under the Ministry of Employment and Social Welfare. This government agency was chosen for this research because of their role to play in community care and also they register, monitor and evaluate NGOs and CBOs in Ghana. The Water Resource Commission is an agency under the Ministry of Water Resources, Works and Housing. The main objectives of the Water Resource Commission are to regulate and manage sustainable utilization of water resources and coordinate related policies of rural and urban places nationwide. This agency was selected because the GSMA has Water bodies that are also sometimes affected by the Waste problems in the district so a perspective of the solid waste problem from an agency that was into liquid waste was important. The Ministry of Local Government and Rural Development is a chosen for the interview because it is the main stakeholder in charge of SWM in Ghana.

Six case studies were chosen for the analysis of this paper. Five of the case studies explain the factors that led to the successes of PCPs and the sixth case study is not an example of PCPs but helped in understanding the role of community leadership and was an example of community based solid waste management. In selecting the case studies, the researcher tried to find cases that were successful and not successful in PCPs in SWM. Three successful and two unsuccessful PCPs in the area of SWM were chosen for the analysis.

The methodology that the various researchers used for their data collection is summarized before each case study in the chapter three of this paper. Having studied the other cases, the researcher can now better reflect on what will be the preconditions that will need to be in place for PCPs in SWM to happen in the GSMA of Ghana, this will be explained in Chapter Five of this paper.

### 1.6.2 Scope and Limitation

This paper covers PCPs that have happened in the past. The case studies are limited to three from Asia and two from Africa. The findings of this paper should not be generalized for all countries however; it can be adapted to suite the context of other countries.

### 1.5.1 Sub questions

1. What are the institutional frameworks that led to the success or failures of Public community partnerships in urban cities?
2. What are the interests or incentives that have driven the various stakeholders to form partnerships in the past?
3. How can these experiences from other cities be transferred to Ghana towards the achievement of Public community partnerships?

## 1.7 Organization of this paper

This paper is divided into five parts. Chapter one consists of the back ground, statement of the problem, justification and relevance, objective, research questions, scope and focus and the methodology Chapter three presents the summary of the case studies that are analyzed in this paper. Chapter four presents the analysis if the case studies with the help of the stakeholder analysis tables (see appendix for tables) and chapter five is about the conclusions, major findings, and policy recommendations, how PCPs can be adopted in the GSMA of Ghana and some suggestions for further research. The next chapter is introduces the conceptual and theoretical framework used in this paper.

# Conceptual and Theoretical Framework

## 2.0 Introduction

This chapter seeks to clarify the key concepts and theories that have been used in this study. It shows the analytical framework that will be used in this study.

## 2.1 Solid Waste Management (SWM)

Solid Waste management in this paper is borrowed from the World Bank and it means “to collect, treat and dispose of solid wastes generated by all urban population groups in an environmentally and socially satisfactory manner using the most economical means available” (World Bank, 2011:1). In his paper, Schubler separates the definition of Solid waste management into two. Solid waste is defined to include “refuse from households, non-hazardous solid waste from industrial, commercial and institutional establishments (including hospitals), market waste, yard waste and street sweeping” and the management of the waste is a cyclical process which includes “setting objectives, establishing long-term plans, programming, budgeting, implementation, operation and maintenance, monitoring and evaluation, cost control, revision of objectives and plans” (Schubler, 1996:18).

The objective of solid waste management is basically the use of resources efficiently in the process of waste materials (Squires, 2006). According to Baud et al, there are a range of actors in urban solid waste management and they can be clustered into four groups which are the public sector (national authorities, local authorities and local public departments) constituting a central set of players; the private sector (large and small registered enterprises carrying out collection, transport, disposal and recycling); the small-scale, non-recognized private sector (waste pickers, itinerant buyers, traders in waste materials and non-registered small-scale enterprises); local community and its representatives (NGOs and CBOs) (Baud et al, 2001:3). In recent years there been differences in the opinions about how solid waste should be managed. One of the issues concerning the opinions is whether solid waste management should be decentralized, whether it should be under community participation, privatized or whether it should be managed a combination of all these different actors (Obirih-Opareh, 2004:12-14). The focus here is how SWM practices were organized and the PCPs that happened or did not happen under the SWM activities.

## 2.2 Decentralization

The organization and management of decentralization developed in the 1980’s to respond to the changes in societies, government legislations and to concepts of management (Leach et al, 1994: 128). Crook and Manor define decentralization within a government as “transfer of power away from central authority to lower levels in a territorial hierarchy (Crook and Manor, 1998: 6). It is known to take two forms; deconcentration and devolution. The difference between the two is based on control and power given to the local government. With devolution, the central government does not give up authority but relocates its officers at different levels of the national territory and whiles with devolution the central government surrenders the control of agencies, resources, institutions and actors to the lower levels (ibid, 6-7). Decentralization can be seen as both a process and a system. As a system it refers to a system in which a significant amount of power is granted to regional, provincial and local governments and a process it refers to the process by which one changes from a centralized to a decentralized system of government (Prud’Homme, 2003: 17). Decentralization can take three forms they are geographical decentralization for a better access and a more responsive service, political decentralization that allows for the involvement of the community and strengthens representative democracy and management decentralization which has greater organizational effectiveness (Leach et al, 1994: 128).

## 2.3 Local government

The last two decades of the 20th century has experienced a profound rise in the scope of local democracy though out the developing world, this is associated with the devolution of political, economical and administrative authorities to local governments (Bardhan and Mookherjee, 2006: 1). Local government is the second or third realm of government and it has been created to develop closer ties between the government and the local citizenry (Reddy, 2003: VII). Shah and Shah define local governments as specific institutions or entities that are created by national constitutions, by the state constitutions, by ordinary legislation of a higher level of central government, by provincial or state legislation, or by an executive order to deliver a range of specified services to a relatively small geographically delineated area (Shah and Shah, 2007: 72). Amongst other roles, local governments need to play the role of a mediator between various networks and entities to encourage cooperation and also tap into the energies of the broader community (Shah and Shah, 2007:72). Not only are local governments providers of services, but they are also political institutions for local choice and local voice (Leach et al, 1994: 5-6). As a service provider, the local is responsible of meeting the needs and demands of the people that the services are being provided to. As a political institution, the local government can “express local voice that gives expressions to the aspirations and concerns of local communities (ibid). Generally, local governments are responsible for the collection and disposing of waste and this makes them the legal owner of the waste that is collected (Schubeler, 1996:21). In this study, the local government will be examined in relation to how they form or do not form PCPs in their SWM.

## 2.4 Community

A community can be defined by the sharing of common experiences and perspectives and also the physical proximity to others (Weiner et al, 2002: 5). The term community has becomes synonymous with terms like towns, villages or neighborhoods but communities can exist in other different forms such as through professional, social or spiritual relationships (ibid). Briffault (1996) defines a community “form of association, composed of and valuable to its residents, but with an existence and significance apart from the particular people who happen to live there at a particular time” (ibid: 1127).Velasquez et al also defines community as “a group of people living in the same locality under the same government” or “a group of people having common interest” (Velasquez et al, 2005:3).

According to the World Bank, the term community can be used too casually sometimes, because citizens do not have the same views all the time. People in a community may have different hopes, beliefs and identity (WB, 2004: 49). Such that in a community, there is a distribution of literacy, education, social and economic status within it; there is also the existence of media or other reliable sources of information flow to citizens concerning actions of public officials, the active civil society organizations, and the traditions of civic engagement (Bardhan and Mookherjee: 2006: 12). The term community in this study will refer to the geographical location in which the PCPs did or did not happen.

## 2.5 Civil Society Organizations (CSOs)

Civil society consists of a broad realm of voluntary associations that are between family and the states (Ottaway, 183). According to Hegel, “the civil society comprises of the realm of organizations that lie between the family at one extreme and the state at the other” Hegel cited by Ottaway, 167, but according to Ottaway, this definition is unsatisfactory because even though civil society is not the whole society but part of it, it is difficult to understand which part of the society that is known as the civil society (ibid).

In understanding how people come together to form associations and have the same goal as well as defend their interest, it is better to accept the diversity and complexity of the civil society (ibid). Civil society organizations emerged in the 1990’s as actors that are influential in national development and they have assumed the responsibility of provision of basic services (Clayton et al, 2000: III). Civil societies are made up of social forces that do not identify themselves with political parties or the state, they usually are made up of members or followers that can be mobilized towards the achievement of a goal (Rauch: 23).

According to Ottaway (2008), in the developing world, the relationship between the civil society organizations and the state can be complex. CSOs have one of three kinds of relationship with the state institutions: CSOs can be antagonistic to the state if the state is repressive, CSOs can ignore the state and avoid their control when the state is weak and does not have the capacity to deliver their services, or when the state is strong, CSOs are also well developed, the relationship between the two tends to be constructive and cooperative (Ottaway (2008), 178-179). The term civil society organizations will be used to cover NGOs and CBOs in this study.

## 2.6 Non-Governmental Organizations (NGOs)

NGOs are non-governmental organizations and they can be either local or international. They are defined as “non-profit and voluntary citizens’ groups operating on a local, national or international level (NGO Global Network, 1988 cited by Kang, 2010:221). Another definition of NGOs is “civil society organizations that are formed independently of the state but register voluntarily under specified laws in order to gain official recognition to pursue purposes that are not self-serving but oriented towards public benefit” (NCP, 2000:9). There are different ways in which NGOs are defined, but what most of the definitions have in common is that they are non-profit and operate voluntarily. According to Yang, there are different levels of NGOs. National NGOs are grouped into two; the Northern and Southern NGOs. Southern NGOs are formed and work in developing countries. The Northern NGOs are those that are formed and work in the Northern Developed countries, but work in the development arena. The Northern NGOs that have their headquarters in their countries but work in community development of Southern countries are referred to as International NGOs. Local NGOs are referred to as Grassroots organizations or CBOs (Kang, 2010: 221-222).

Activities of NGOs are usually based on communities and the improvement of the lives of people in communities (Kang, 2010: 224). They work in different aspects of development regardless of the nation’s income. They “produce and implement technological innovations, they work as public service contractors for governments, they work as promoters of grassroots development,

self-help and empowerment movements, and NGOs are active in information and advocacy work” (Cassini, 1995: 217). NGOs can be very useful because they build the capacity of communities to make them participate in local solid waste management (Schubeler et al, 1996: 33).

## 2.7 Community Based Organizations (CBOs)

Despite the efforts and contributions of CBOs towards the development of their communities, they are viewed as informal or small organizations some governments. CBOs are defined as “informal institutions that are formed by members of a community to address a need” (Ahmed and Ali,2004:470). According to Schubeler et al (1996), the preconditions for effective participation and community-based waste management systems includes the adequate awareness of the problem and the organizational capacities (ibid: 33). The objective of CBOs is usually to provide social services to the communities (Ahmed and Ali, 2003:3).The community based organizations cannot operate in isolation, according to Coatham and Martinali (2010), “their ability to innovate can also depend upon a number of factors including their organizational attributes, internal cultures, external influences and the institutional framework within which they operate”(ibid: 3). According to Scubeler et al, “the introduction of community-based solutions calls for awareness building measures as well as organizational and technical support” (Schubeler et al, 1996: 36).

## 2.8 Partnerships

Various scholars have defined the concept of partnerships in different ways. It is defined by Obiri-Opareh as “enduring, mutually beneficial relationships between two or more actors based on written or verbal agreement and having a concrete, physical manifestation (in the case of waste management these things can be garbage bins, transfer stations disposal sites and collection vehicles) (Obiri-Opareh, 2003:56). Gray defines partnerships as “a process through which parties who see different aspects of a problem can constructively explore their differences and search for solutions that go beyond their own limited visions of what is possible” (Gray, 1989:5). The OECD defines partnerships as “systems of formalized co-operation, grounded in legally binding arrangements or informal understanding, co-operative working relationships, mutually and adopted plans among a number of institutions. They involve agreements on policy and programme objective and sharing of responsibility, resources, risks and benefits over a specified period of time” (OECD, 1990: 18). For this research the definition of the OECD will be adopted. “Effective development requires partnerships at different levels of government, the private sector, donor groups and the civil society” (Obiri-Opareh, 2003). He continued to state that he core objectives of partnerships in basic urban settings is to deliver services in a more effective and efficient way (ibid). In partnerships, each of the partners bring something which includes the transfer of resources that can be material or immaterial, there is a shared responsibility of the outcomes, without assuming the equality between actors, partnerships are mutually beneficial (ibid) and also “partnerships can only function if there is trust between partners, mutual accountability (Baud, 2000) and leadership” (Obiri-Opareh, 2003, 57).

The self-interested school of thought argue that, “partnerships will only be realized when each of the actors has a self-interest in co-ordinating its politics with those of the others” (Rowland, 1995 cited by Awortwi, 2003:49). According to Lowndes & Skelcher, ‘actors prefer to be independent and will choose to collaborate only when they see particular advantages to themselves’ (Lowndes and Skelcher, 1998: 318).

All the actors have different roles to play and resources to bring. In this study the kind of resources that the actors bring will be analyzed. Public private partnership (PPP) is one of the forms of partnerships that exits and it can be defined as a partnership in which government and private companies assume co-responsibility and co-ownership for the delivery of city services (Ahmed and Ali, 2004: 471). Inthis research, the kind of partnership that will be analyzed is public community partnerships.

## 2.9 Public Community Partnerships (PCP)

For development to be effective, it requires partnerships with the various levels of government and other actors such as the civil society. Since local governments cannot face all the challenges of local development alone, they engage in partnership arrangements with other actors in the urban areas (Obiri-Opareh, 2003: 61). One of such partnerships is the public community partnerships. The concept public community partnerships can be defined as the local government, CBOs and NGOs coming together to form partnerships in service delivery. CBOs which may arise in middle and upper income neighborhoods as well as in low-income areas may become valuable partners of the government in local waste management. The community based organizations can assist with the provision of this service. According to Gross, 2010 cited by Krishna, when the local government and the Community based organizations (CBO’s) work together, it improves the government stability and performance because the CBO’s provide information and access to the citizens as well as bringing the communities’ social capital to bear upon the local projects (Krishna, 2003:2).

To borrow from Krishna, there are two types of roles the community organizations can play in the partnerships which are deepening and the stretching role. The deepening role is when the CBO’s organize the citizens and mobilize resources, usually on a long term basis. (Krishna, 2003: 7). According to Krishna, “the larger their deepening role, the more CBOs need to be involved not just in project identification but also in design, implementation and budget management” (Krishna, 2003:6). And the stretching role is when the CBOs act because the government does not perform their mandated tasks effectively (ibid). According to Brenshen and Marshal, many authors have argued that when two or more actors decide to partner, it can have a substantial positive impact on performance, with regards to time, cost, quality objectives, and also with regard to more general outcomes such as greater innovation and improved user satisfaction (Construction Industry Institute, CII, 1989, 1991; NED, 1991;CRINE, 1994; Latham, 1994; Bennett and Jayes,1995, 1998; ACTIVE, 1996; Bennett et al., 1996 cited by Brenshen and Marshal, 2000: 820). For PCPs to be effective, it demands a high level of citizen participation, strong community organizations and the support of NGOs (UNCHS, 1993 cited by Awortwi, 2003: 110).

## 2.10 Co-production

The concept co-production has been in use for over 30 years in both the private and public sector (Boivard and Loeffler, 2012: 1123). This concept was originally developed by Elinor Ostorm during the 1970’s at a workshop about political theory and policy analysis at the Indiana University to describe and limit the involvement of ordinary citizens in the production of public services Pestoff, 2012: 1105). Joshi and Moore define co-production as “the provision of public services (broadly defined, to include regulation) through a regular long-term relationship between state agencies and organized groups of citizens, where both make substantial resource contributions” (Joshi and Moore, 2004:31).

Boivard (2007), defines user and community co-production as “the provision of services through regular, long-term relationships between professionalized service providers (in any sector) and service users or other members of the community, where all parties make substantial resource contribution” (Boivard, 2007: 847 cited by Boivard and Leoffler, 2012: 1121). Parks et al define co-production is “the mix of activities that both public service agents and citizens contribute to the provision of public services. The former are involved as professionals, or regular producers’, while citizen production’ is based on voluntary efforts by individuals and groups to enhance the quality and /or quality of services they use’ (Parks et al. 1981, 1999 cited by Verschuere et al, 2012: 1085). It is an important way of enhancing the quality and quantity of public services (ibid: 1093). Co-production is necessary for the meeting the growth of social challenges that both the government and the citizens cannot handle on their own (ibid: 1106). In service systems, the client appears two times, the first time as a customer and the second time as part of the service delivery system (Norman 1984 cited by Boivard, 2012: 1122). In co-production, the third sector can “enhance, facilitate and promote greater citizen participation in the determination, provision, and governance of social services” (Pestoff, 2012: 1103). The interests in co-production grew through third sector organizations after 2000 (Brandsen and Pestoff 2006; Vershuere et al. 2012 cited by Boivard and Loeffer, 2012: 1123). This growth of interest was especially seen through their role as mobilizing citizen involvement in the different dimensions of co-production (ibid). After the global recession in 2008, many governments have initiated major cuts in their public spending, and this brought about the interest in co-production as a way of either reducing the cost of services or rescuing the services that might be entirely cut (ibid). Co-production can take several approaches, and they include co-planning, co-design, co-prioritizing, co-financing, co-managing, co-delivery and co-assessment (ibid: 1124). Sometimes, the citizens play co-production roles as individuals or as a group through collaboration (Pestoff, 2012: 1104). Individual acts of co-production are acts that are spontaneously or informally at home, collective acts of production involves “formally organized and institutionalized activities” that are done with others (ibid: 1108). Many co-production acts involve the combination of both the individuals and collective actions. This combination is very relevant especially in the provision of social services (ibid:).

## 2.11 Institutional Framework

Institutional framework includes the laws, rules and regulations or existing structure that facilitates or prohibits such partnerships. According to Schudler (1996), the institutional conditions for municipal solid waste management include the institutional structures and arrangements and also organizational procedures and the capacity of responsible institutions (Schudler, 1996: 30). To elaborate more on the institutional framework, it includes

* **Distribution of functions, responsibilities and authority** between local, regional and central government institutions (i.e. decentralization) and among local governments in a metropolitan area (as in laws for policies) including CBOs and NGOs in the area of MSWM
* **Organizational structure** of the institutions responsible for MSWM, including the coordination between MSWM and other sectors and/or urban management functions. (Schubeler et al, 1996:30)
* **Incentives and Interests**
* **Accountability**

### 2.11.1 Incentives and Interests

Incentives are seen as the principles and motivations underlying partnerships. According to various scholars, “the general principles upon which incentive systems should be based include the need to ensure that risks and rewards are commensurably and fairly distributed among the parties concerned and that they are tailored to specific project objectives” (CII, 1991, p. 11; Bennett and Jayes, 1996, p. 6; Barlow *et al*., 1997, p. 12 cited by Bresnen and Marshall, 2010:589).

Clark and Wilson have grouped incentives under three categories; they are material incentives, purposive incentives and solidarity incentives. Material incentives include tangible rewards which are often money in the form of wages, fringe benefits and patronage. Purposive incentives includes intangible rewards that are related to the goals of an organization and solidarity incentives are rewards from being part of an organization, examples of this are sociability, status and identification (Clark and Wilson, 1961).

Incentives are the forces that will drive two actors to come into partnerships. Incentives in this paper will be used to analyze the factors that drive the local government and the community organizations including NGOs to come into partnerships. According to Ahmed and Ali, partnerships will not be effective and sustainable, if there are no incentives for the actors to enter into it (Ahmed and Ali, 2003: 12). In this study, incentives will be used to analyze what motivates or drives the local government, the NGOs and the CBOs to go into such partnerships.

### 2.11.2 Accountability

There is a wide definition of accountability. Jones and Stewart define accountability as ‘the liability to give an account of what one has done, or not done, to another who has authority to assess the account and allocate praise or blame’ (Jones and Stewart, 2008 cited by (Hedger and Blick, 2008: 4). The concept of accountability is broad and envelopes more terms such as public exposure, monitoring, control, oversight, punishment and public exposure (Schedler, 1999:12). Accountability has two dimensions which are enforceability and answerability but sometimes it is limited to just one of these dimensions (WDR, 2004:47). Enforceability is defined as “the capacity of accounting agencies to impose sanctions on power holders who have violated their public duties” and answerability is defined as “the obligation of public officials to inform about and to explain what they are doing; and enforcement, the capacity of accounting agencies to impose sanctions on power holders who have violated their public duties” (Schedler, 1999:13). Accountability implies the subjecting of power to the threat of sanctions; obliging it to be exercised in transparent ways; and forcing it to justify its acts (ibid: 14). According to the World Bank, in service provision there are long routes and short routes of accountability. The short route is when the citizens can hold the service providers accountable themselves, and the long route is when the community a mediator to voice to demand accountability (WB, 2004).

## 2.12 Chapter Summary

This chapter has defined and discussed the major concepts and theories that are used in this paper, including their typologies. The concepts that were reviewed include SWM, CSO, Decentralization, Community, CBOs, NGOs, Partnerships, PCPs and Co-productions. The next chapter presents the summarized case studies of PCPs.

# Case Studies

## 3.0 Introduction

This chapter gives a brief summary of the five (5) case studies conducted by other researchers that will be analyzed in this research. It gives the background of each study, who were the actors involved and the reasons for its success or failure as narrated by the various researchers. The three first cases can be considered successes whiles the remaining two can be referred to as failures.

## 3.1 Case One: “Waste management activities in Nagoya City, Japan: Local government and community partnerships” (Teruhiko Yoshimura and Rika Kato, 2005: 225-244)

### 3.1.1 Methodology

The Interviews for case study was carried by the Innovative Communities Project Team in February 2003. It was published by The United Nations University Press.

### 3.1.2 Background

This case study is in Nagoya City, a town in Japan. Nagoya city is located in central Japan on the Ise Bay. The port of Nagoya makes Nagoya a centre for international trade. It is also a major industrial city.

In Japan, there has been a “paradigm shift” from a top down to a bottom up approach in urban environmental planning and management. The main factors that contributed innovative management of solid waste were leadership and the involvement of the community by the city government.

There were two incidents in the past that led to the waste reduction programme in Nagoya city. The first one was that, because of the large size of the Nagoya city, it was more difficult to implement a sorting and recycling programme compared to other smaller cities and the land fill sites that existed were filling up. With Nagoya being in a mountainous country like Japan, there was less land than was actually needed. This resulted in scarce land for new land fill sites that the city government wanted to create. The other incident that led to the city’s waste reduction programme was that, due to the problem of less land, the when the city government attempted to reclaim the Fujimi tidal lands. In 1981, the city government announced that its plan to reclaim the Fujumi Tidal lands for a disposal site for general waste. This was because the area that the waste was disposed was getting full and the government thought the Fujimi tidal lands would be suitable. This project was opposed by the local, national citizens and global bodies as well as environmental groups such as the Environmental protection agency of Japan. This protest was because according to the protesters, the tide lands were significant for the migratory birds and ecosystem of Ise Bay. The groups fought hard to make sure the construction did not start. In 1999, the project was cancelled by the city government. During the years of the protest, the citizens became more interested in environmental concerns and developed knowledge about the environment and its protection. The cancellation of the reclaiming of the Fujimi tidal lands was the turning point of the waste management for the city government.

In the 1990’s recycling activities of the city was conducted by NGOs even though the city was unsuccessful in creating the infrastructure that was required for recycling. After the cancellation of the Fujimi Tidelands reclamation project, the city issued a “Waste Emergency Declaration” in February 1999. This declaration indicated that reduction of solid waste became a priority of the city. Starting from August 2000, the city pioneered new collection and sorting system. This system was based on the Containers and Packaging Recycling Law. The main purpose of this law was to promote recycling of plastic and paper waste which made up to 60% of the waste volume. This law was new and untested. Nagoya was one of the first cities in Japan to enact this law. This law required a radical behavioral change in citizens of Nagoya; this was done through public education by the neighborhood/community organizations also known as Chonaikai.

Concrete and striking results were achieved by this waste reduction project. The goals that were set up in the Waste Emergency Declaration were achieved. By July, 2001, the amount of non-recyclable waste being generated reduced by 21%. Another result of this programme was that, by late 2000, citizens voluntarily collected the recyclable materials and this led to the reduction of total solid waste by half. Another result was from the Containers and Packaging Recycling Law. The law led to the expansion of the local human network in Nagoya. For instance because some of the residents faced difficulties because couldn’t follow the law, some local people voluntarily initiated a number of activities such as placing signs at the collection stations that explained the process. Another result of this programme was that the consumer behavior of the citizens changed, it was noticed that a number of citizens bought items that were in environmentally friendly packages.

The success of the waste reduction programme was largely due to the efforts of community-initiated groups and movements and also the innovative initiatives by the local government and the communities.

### 3.1.3 Local Government Initiatives

The local government had a leading role in this waste reduction programme. They also realized that for this programme to be successful, they had to provide the space for participation and partnerships with the community. This resulted in harnessing the cooperation of citizens in the plans that were developed. This was also done through policies such as the Waste Emergency Declaration of 1999 which led to the “Waste Reduction Effort 100” progamme. This programme called upon the each citizen to reduce their waste by 100 grams a day. The main policy that had to be implanted to achieve this goal was the Containers and Packaging Recycling Law. This law was complex, and for the city to explain this law to the citizens, it planned explanatory meetings with the neighborhood organizations to ensure that the local people understood. Prior to these meetings, the city used the municipal health commissioners to act as a go-between for the city hall and the chonaikai. The methods of campaigning included distributing of brochures in five languages to every household, announcement in news papers, on billboards, on the television, on the radio as well as other media.

Even though this programme was successful in waste reduction, it faced challenges. The government created the spaces for the communities to complain, however not all complaints was easy to address by the government, most especially the complaints that were related to the details of the Containers and Packaging Recycling Law. Although some issues were not able to be addressed in the short term, efforts were made by the city government to address them in the long run.

### 3.1.4 Community Initiatives

The community and community based groups in Nagoya played a key role in the waste reduction programme through partnerships with the local government as well as working voluntarily on their own.

The actors that were involved in the community initiatives were the neighborhood associations (chonaikai), municipal health commissioners and NGOs.

The chonaikai was the organization through which the new system of waste collection and sorting was introduced to the citizens. The waste reduction initiatives were successful partly because of the extensive and well-functioning nature of the network: expanding from household level to school districts. In areas that there was active participation and commitment of the chonaikai (CBOs), the new waste reduction system started smoothly.

The role of the municipal health commissioners and ward administration commissioners was in the promotion of citizen awareness and participation in local public health activities and also to act as link between the CBOs and the city government. They played a very important role in the period of the implementation of the new sorting and collection system in educating the CBOs and citizens in the health benefits of the waste. They played an important role as the interface between the local government and the local people. A public campaign was launched by the NGOs through the media. It also supported and assisted local activities through the utilization of the expertise and experience of local people. The city government and the business sector funded and assisted such groups. Chubu Recycling was one of the leading NGOs promoting solid waste reduction. It played a significant role in various initiatives that were city-wide. The striking results of this programme were waste reduction, awareness and community activity. The innovative aspect of this programme was the leadership of the local government and citizen-led innovations.

## 3.2 Case 2: “NGO Initiated Solid Waste management Ranchi” – Ranch, Jharkhand-India (Darshini Mahadevia and Appeeji Parasher, 2008: 257-288)

### 3.2.1 Methodology

Two field visits were made in this case study, one was during the monsoon and the other one was before the Diwali festival. The monsoon period was chosen because the urban centers in India become affected with the rain. The Festival was chosen because a large amount of solid waste is generated during the festival. The data was largely based on discussions between the researchers, the NGO (NBJK), the municipal cooperation and the community members. This was published and printed by Ashok Kumar Mittal, Concept Publishing Company.

### 3.2.2 Background

This case study was in Ranchi, the Capital of Jharkhand, a newly created state which was carved out of the Bihar state in 1999. Solid waste in Ranchi was promoted by and NGO. The waste management state in Ranchi was in a poor condition. All the minor and major drains in the city were open and had deposits of silt and garbage. By the new century, the Ranch Municipal Corporation (RMC) could not control the waste that was accumulated because of administration and financial constraints. The government of Jharkhand state could also not provide grants to the RMC because it had budget woes. It was left to the community to take action to clean the spaces and this led to the Clean Jharkhand Project (CJP).

The CJP was a Community Based Solid Waste management (CBSWM) initiative and was started by an NGO called Nav Bharat Jagriti Kendra (NBJK). The project was funded by a bilateral funding agency called Indo-Canada Environment Facility (ICEF). The ICEF agreed to fund the project on the condition that the RMC and the NBJK would work as partners. The aim of the CJP was to create a better local physical environment through Institution building, mass awareness, capacity building and local resource recovery approaches.

One of the striking results of the project was that it created community involvement and ownerships of the project. The project also had a partnership approach developed the capacities of all the partners involved.

Awareness was the key in ensuring community participation. The CJP created awareness campaign among the citizens and the administration to motivate them to perform their given role. The other objective of the CJP was to build the capacity and efficiency of the system that already existed. The targets were the administration, the NGO workers and the community.

The NBJK set up the Pocket Development Committee, a grassroots institutions which allowed the households to participate in the project. The PDC was made up of selected community representatives, and they acted and took decisions on behalf of the community. The CJP promoted recycling and composting, because recycling of city waste was profitable.

Apart from the main source of funds by the ICEF, other funds came from the contribution of the households. Each household was expected to pay a monthly amount of Rs. 20 for the waste collection and cleaning services. Other sources of finance for the CJP included the RMC contribution by providing salaries of the workers that lift the garbage from the collection point and the transportation of the waste to the dumping site of composting site.

Under the CJP, partnership and alliances were formed; various stakeholders were brought into the CJP by establishing collaboration and cooperation between them. There were alliances between the ICEF and the NBJIK, the NBJK and the RMC, other NGOs and the RMC and the NBJK and the community.

One of the achievements of the CJP was its innovative practices. The project involved the community and gave them a sense of ownership in the project. The project was also innovative because it had a partnership approach. The project also took an all-inclusive approach, and included all the necessary actors that had to be involved. Through the development of Management Information System, the CJP improved the professional level.

Another achievement of the project was the beneficiary participation. The residents of the wards that were under the CJP participate through the PDCs and were contributing financially to the project. By contributing to the leaders of the PDCs, the people demanded accountability from them. The two groups that showed the most participation were the women and slum dwellers; therefore the NGO is using this opportunity to mobilize them

Another achievement of this project is that other Urban Local Bodies (ULB) are beginning to clone the efforts and lessons from the project in Ranchi. Even though the CJP was a success in Ranchi, some concerns were raised. One of the major concerns was that the CJP was for a limited time frame between 2002 and 2007. The sustainability of the project after it ends in 2007 was a concern that was raised. One other concern is that the RMC has limited participation in the project, it was only participating in the lifting and transporting of the garbage. The RMC played a minor role in the project. The project depended heavily on the NBJK.

## 3.3 Case 3: “People, partnership and profit managing solid waste in Guimaras, the Philippines” (Andrew C. Farncombe, Francis E. Gentoral and Evan Anthony Arias, 2005: 245:272)

### 3.3.1 Methodology

Data collection for this study included interviews with Nagoya City officials which were conducted in February, 2003 by the Innovative Communities Project Team. This was published by The United Nations University Press.

Guimaras is a small pristine Island that is located between the larger part of Panay and Negros in the western region of Visayas. The island has almost the same geographical size as Singapore and has a population of 141,450.

In the province Guimara in the Philippines, there is an old adage that states “If we all agree, we all stick together”. This adage symbolizes the spirit of togetherness in Guimaras. The spirit of togetherness was the most powerful asset of Guimara on the pursuit of a better life. Because the people of Guimara were faced with poverty, they designed strong partnerships to move the agenda for development. In 2003, a decade after Guimara was classified as one of the poorest provinces by the government; the province was in the stage of observing its move out of this classification because of a decade of improvement in its socio economic indicators. “Clean and green” was the motto of the people of Guimara. And this was one of the rallying points for them. The provincial, municipal and community leaders were motivated the pride of culture of cleanliness and the motivation to keep it that way, to join together to make solid waste management a top priority- in Guimara’s development agenda.

The Philippines had a history of strong central government power which dates back 400 years to the beginning if the Spanish occupation. In 1987, this was reversed by the Peoples Power Revolution and also the adoption of a new constitution. This so-called “bloodless revolution” brought Philippines into its current era of democratic development. The policies and institutions that existed or were created over time, contributed to the partnerships and the improvement solid waste management of Guimara.

The Republic Act No. 7160 of 1991 introduced a new direction in the decentralization and devolution. It also empowered the local government which in turn deepened the root of democracy. The Local government code of the Philippines described a system if solid local government based on principles such as openness, accountability, efficiency, equity, subsidiary and the respect of rule of law. The Local government code also set development policies and programmes to ensure partnerships and participation of NGOs, Civil Society and the private sector. To sum this up, in Guimaras, the Local government code created a policy environment that supported the development of successful partnerships locally that had the aim of improving solid waste management.

The Philippine government enacted the Republic Act No. 9003, the Ecological Waste Management Act in 2000. This act authorized the local government to be in charge of ecological waste throughout the country. The Ecological waste management covered the efficient reduction, recycling and composting of waste and this had the aim of diverting the some of the waste from being disposed in disposal facilities such as landfills. The law pushed the management of solid waste further down to the local government units. One of the benefits of this law was that it made the local government units develop innovative approaches in the management of solid waste.

The Guimaras Integrated Solid Waste Management (GISM) was launched by the Guimara government in the mid-1990s. The goal was to reduce solid waste generation by 50% and also to provide the citizens with a cost effective solid waste management in an environmental friendly way. This was a result of consultations and dialogues between various actors including the Provincial Planning and Development Office, the Provincial Engineering, the Provincial Health Office with the facilitation of Canadian Urban Institute. One of the very innovative aspects of this GISM programme was that the activities were conducted through a solid partnership between the government and the community. It was the first time in Guimara that the government and the community groups had formed multi stakeholder partnership apparatus at the municipal and provincial level.

One of the results of the GISWM was that it increased the awareness and participation of the community in the local government processes. Another result of the GIWSM was that it improved information sharing between the government and the private sector. One other result of the GISWM was that it enabled transparency and accountability in the priorities of the local government, budgeting and service delivery. In Guimara, an integrated approach to planning existed, but the whole new approach that the GISWM introduced was the cooperation of the community and private sector into the implementation stage and not just the planning. Leadership played role in supporting this programme because the administration that succeeded the administration that begun this solid waste programme, did not abolish the programme but allowed for continuity and sustainability.

The GISWM had several activities and components which included organization multi-stakeholder task forces as decision making and coordinating bodies and conducting participatory solid waste stream. The planning and implementation of the GISWM was conducted through the Provincial Implementation Task Force (PITF) and five Municipal Implementation Task Forces (MITFs). The task forces were made up of representatives of national government agencies, the provincial government, municipalities, and cooperatives, business associations, schools and the NGOs. The PITF and MITFs allowed the government to share power with the community and this made the government to learn to appreciate the community could yield ownership of the process and this will bring more significant result that if they worked separately.

## 3.4 Case 4: “Community-based SWM Activities: Extent, Motivation and Impacts” (Anne Mumbi Karanja, 2005: 275-292) Nairobi, Kenya

### 3.4.1 Methodology

This case study was in Nairobi, the capital city of Kenya. The field work was carried out amongst several actors including the public waste department and its parent ministry, private companies including the waste pickers, traders and re-processors that were in the formal and informal sectors. The focus of the study was on the factors that could be measured using social science indicators. During this study period there was a review of existing literature to obtain the information on contemporary debates about urban waste management, service delivery including resource recovery and recycling as well as experiences from other developing countries. Media reports and photography was also used in this study. A combination of purposive and stratified sampling was used according to the area of the city, the economic activities and the income level of the residents. The primary data for this study was collected between March 1997 and September 1998 during this period there was a slight disruption during the months of October 1997 and March 1998 resulting from the heavy El nino rains. Follow-up visits were made to the data collection places during the field visits and also during the write-up stages by the researcher and this was important to know the seasonality of the especially for the waste recycling. The survey method that was used was structured, semi- and unstructured interviews and it was the main medium of the primary data collection. Other kinds of methods used were key informant interviews and focus group discussions. This book was published at Shaker Publishing BV. The aim of this study was to assess the entire solid waste management in the city and also to find out if the multiplicity of actors in the solid waste management contributes to sustainable development in the city.

### 3.4.2 Introduction

In 1996, there was a presidential directive prompted for the entry of private companies into the SWM by instructing the Nairobi City Council to involve the private sector in the management of the city’s solid waste. This entry became particular notable in 1997. However, prior to this directive and entry, Community-based composting groups had been increasing in numbers in the city since 1992. These community provided self-services for themselves because of the failure of public and the private sector in service provision. The major role played by the community based groups was composting. An example of a community- based composting group in Nairobi was Uvumbuzi Club, an environmental conservation lobbying association. This organization was the initiator of solid waste composting and this was a way of dealing with the organic fraction of the household waste collected especially in the low income areas because of the deterioration of the services by the public sector in these areas. Clean-up campaign was the aim of this initiative; however an objective of income generation for the poor was added to the project to make it marketable. This in turn became the primary motivation for composting. Support came from NGOs, faith based groups like churches, and international organizations like the UNCHS and the Kenya Youth for Habitat Organizations (KYHO). The Uvumuzi club originally facilitated ten groups. Out of these ten groups only two survived because several handicaps. The two successes encouraged the birth of other management groups. By 1996, which is the period that the president gave the directive of the participation of the private sector, there were fifteen neighborhood-based groups that operate in the low income residential areas. These groups comprised of charitable organizations, ethnic- oriented associations, NGOs, welfare societies, village and security committees and other types of self-help groups. The waste management activities carried out by the organizations was essentially on a self-help and youth group basis. Amongst other activities, 80% of the groups focus on composting. There were several reasons why the CBOs engaged in composting. The main drive however was to generate economic gains.

One of the major challenges of the dominant challenges of the community groups engaged in composting operations was the lack of a market that was ready for the products. The marketing constraints result in economic problems and unsustainable because the actors were unable to accomplish their objectives: income-generating and environmental objectives. Other challenges included lack of premises (land or sheds) to operate from, long distances and lack of transport, technical problems (related to training and equipment) and shortage of labor.

Their relations with the government was also a constraint, almost none of the CBOs received assistance from the NCC and the Ministry of local government. Only one composting CBO (Afya Bora) had received some assistance from the NCC’s). From this it showed that the potential of the CBOs were not recognized by the government, “The NCC has not developed a policy on community involvement in SWM though it participates actively in the occasional clean ups organized in these areas” Peters, 1996 cited by Karanja, 2005: 283).

The negative attitude of the community towards composting was also a constraint. There had been incidents when people would dump waste on the compost sites as well as vandalize the sites. Much of these challenges that existed could have been restricted by the NCC provided they gave the necessary support and formal recognition for these compost organizations. There were numerous clear cut benefits accumulating from the composting, one of which was the reduction of environmental problems.

Only one NGO (Undugu Society Urban Agriculture project which plays the role of Advocacy, there are no NGOs in the cities that are directly involved in collection, disposal, picking and recycling. The involvement of NGO in waste management in the city took the form of financial and technical support to the CBOs. The NGOs in the city formed collaborative ventures among themselves and also with other actors, with the aim of improving re-use and re-cycling of organic waste in the city. The FSDA and the Uvumbuzi collaborated to form the “Garbage is Money” campaign.

The re-use and recycle contributed to sustainable development positively and through various factors. One of these factors is that it has the potential of reducing the pollution and degradation of eco systems. . Through composting, CBOs, contribute in a small way to the ecological sustainability of the of the city’s solid waste management system.

The second factor is that it also allows for rising income generation, which benefits a large portion of the population, particularly those with limited resources at their disposal. One of the negative contributions of the re-use and recycle system in this city is that, members suffered health problems because of the nature of their work. The health problems included body aches, fungal infections, stomach ailments and headaches. Most of the potential problems that came with the management of garbage could be avoided by prudent management. In conclusion, there were none or fewer partnerships between the NCC and the CBO’s. There was more space for the private organizations to operate with the NCC than the Community-based groups. One of the reasons was that the residential areas that these organizations work were not recognized by the authorities. Also the efforts of these groups to initiate links and partnerships with the NCC and government were met with disinterest, lengthy bureaucracy and corruption. The activities carried out by the groups in these communities were seen as self-help and received less attention from the authorities.

## 3.5 Case 5: “Ridding Nyanya of Filth: Issues of Popular Participation in Solid Waste Management” (Onyanta Adama, 2007:161-183) – Nyanya, Abuja-Nigeria

### 3.5.1 Methodology

The process of data collection was classified into three headings namely, exploratory phase, main field work and follow-up visits. The exploratory phase was in July 2003. The main field work was between June and August 2004. The follow–up visits were useful because it updated the data and it also helped in filling the gap that existed during the write up stage. The researcher started with secondary data and because Abuja was a new city, many studies had not been done on it so the secondary sources were government-commissioned reports, memos, and documents. One example of the secondary source is the Abuja master plan. For the addressing of the main research questions, interviews were the main source of data. In total 65 interviews were conducted during the study period. Even though some of the interviews were semi-structured, most of them were open-ended Additional data was drawn from focus group discussions. For the sampling techniques, purposive, systematic random and snowball or chain sampling methods were used. This book was printed in Sweden by Universitetsservice US-AB, Stockholm, Sweden, 2007 and distributed by Almqvst & Wiksell International.

### 3.5.2 Introduction

Nyanya can be found in Abuja, the capital city of Nigeria. In 2001, the Minister of Federal Ministry of Environment launched the solid waste project in Nyanya. The desire was to get households and individuals participate in the service delivery. This was attributed to the emphasis of participation found in “good governance”. Community participation, with the focus of partnership between the state and the community was the objective of this project. The desire was to mobilize people and create awareness about the filth in the area. The cooperation of the residents was needed for this project to be successful.

However in Nyanya, this did not happen because of various reasons. One of the reasons why there was no cooperation of the residents was that low priority was given to waste. Most of the services that were delivered to the people of Nyanya were unsatisfactory, so this made them conduct self-help services. However with these self-help services, low priority was given to solid waste. When residents were asked why solid waste was not a priority they said other services were more important such as water. Solid waste is however dumped into places open sites, by the roadsides and into drains and waterways.

This also showed that there was the lack of awareness of the effects of improper waste dumping and the health implications of it.

Another reason why the cooperation was not successful was the status of waste as a public good or private good. In Abuja, people viewed environment and sanitation as the responsibility of the government. There was the perception that government should be in charge of this because the capital city belongs to the government. The residents also had the perception that waste services should be provided free by the government.

Another reason individuals are not cooperating is free riding. Free riding Nyanya happened because in services such as solid waste where the benefits were distributed widely for public health reasons unlike services like electricity where one denied the service by disconnected if they do not cooperate. In the handling of waste, there is less cooperation of the residents. There was no proper storage of the household waste, separation of waste. There was also less discipline in the use of communal disposal points. There was also the problem of inadequate disposal points and this increased the illegal dumping of waste in the area.

Lack of self-help initiatives was also a factor why cooperation was not successful. Usually in other areas, the failure of state to provide services enables the residents to provide the services themselves. But this was not the case in Nyanya, Abuja. That was because there is the lack of community action and the spirit of togetherness in the area. One factor that contributed to the lack of collective action was that Abuja is a new, unlike other areas that there was a spirit of togetherness because of the age of settlement. Abuja is relatively a new area and this means there not enough to build on. One other factor that hinders collective action was, the unspoken agreement that each household was supposed to clean its house and surroundings and not communal and public spaces.

One factor why there was no cooperation was that, in Nyanya, there were no activist individuals or groups that initiated the cooperation. Groups such as NGOs and CBOs that would usually take roles such as public awareness and mobilizing were not available in Nyanya. There was also the problem if ethnic heterogeneity and lack of sense of belonging in Nyanya. It is found here that, the residents do not feel they belong to this place. Groups formed in Nyanya were not formed on the basis of service delivery, but on ethnic basis. People formed groups on ethnic basis, contributed money and sent it back to their hometowns in which they come from, and neglected Nyanya, the place in which they lived because they knew they were only there permanently. There were no community led structures in Nyanya. Politics in Nyanya was also on ethnic lines. There was also the inability of community leaders to mobilize the people as a result of the heterogeneous nature and also the context of local politics in the area.

## 3.6 Case Six:“The Formation of Community-Based Solid Waste Management Initiatives: What Determines Success and Failure?” – Bangladesh (Shajahan H. Bhuiyan, 2005)

### 3.6.1 Methodology

Both qualitative and quantitative data collection methods were used in this study. The primary collection of data was done through interviews, group discussions and house hold surveys. The household surveys were done through questionnaires and participant observations. In total, 315 household surveys were conducted in Chittagong and Dhaka. The number of in-depth interviews conducted was 65. The secondary sources of data collection were newspapers, documents, magazines, ethno historic analysis and extensive surveys of relevant academic literature. This work was published by Transaction Publishers.

### 3.6.2 Background

This study was conducted in two areas in Bangladesh, which are Chittagong and Dhaka. The objective of this study was to look at the factors that determine the success and failure of Community-Based Solid Waste Management Initiatives. In these two areas, some succeeded in the initiatives and some did not. In Chittagong the areas that have community based initiatives are Sanandra residential area and Halishore K & L block and the area without the initiative is Masjid Gali and Shanitbug. In Dhaka, the areas that had community-based initiatives Baddanagar and Adarsganagar and the areas that did not have community-based initiatives are maneshwar and Buania Badh.

### 3.6.3 Reasons Why People Organize Community-Based Initiatives

In Sananda and Halishore, majority of the community leaders there said they organize community based initiatives because they want to use their idle time to better their locality since they have retired from work. Other reasons why the leaders organize are to have the opportunity to keep control over the area, hence being the centre of attention, and also for self-interested reasons. It is seen that even though the primary reason is because they have the good of the community at heart, they also organize based on self-interested reasons. The factors that made it corporative are the strength of leadership and the capacity the organizers have to motivate the people.

In Baddanagar in Dhaka, majority of the community leaders said they organize community-based initiatives because it was “demand driven” because the area was not livable. The leaders are motivated to organize because of the feeling of oneness in this place. The relationship that the community leaders have with the local residents makes them supportive. In Adarshanagar, the other area in Dhaka, the reasons why they organize is to keep the area clean, to organize the community to do a common good, trust on leadership and to earn extra money through source separation of waste. Generally, both in Dhaka and Chittagong, the reasons community leaders organize such initiatives is because of the intention to do a common good, the ability to be able to exercises power over the community, the lack of conservancy service and for personal interest and economic gains.

From the point of view of the community members, their perception of the role of the organizations are commitment of leaders, strong sense of community, facilitator/community-organizer/NGOs, lack of government service, economic gains and exercise of power.

## 3.7 Chapter Summary

This chapter sought to give a summary of the case studies that will be analyzed in the next chapter.

# Analysis: Factors that led to the Success and Failure of PCPs

## 4.1 Introduction

This chapter tries to answer the main research question by using a stakeholder analysis table and comparing them to other successes of failures apart from the five case studies selected for this research.

## 4.2 Stakeholder Analysis Tables

Stakeholder analysis is defined as “the identification of a project’s key stakeholders, an assessment of their interests, and the ways in which these interests affect project riskiness and viability” (Social Development Department, 2005: 6). Primary stakeholders are those ultimately affected, by the project. Secondary stakeholders are the intermediaries in the aid delivery process and they include both winners and losers, and those involved or excluded from the decision-making process. Key stakeholders are those who can significantly affect, or are important to the success of the project (ibid: 6-7). According to Olander, stakeholder analysis are done before the commencement of the project and used to determine the probable stakeholders (Olader, 2007: 277) however, for this study, the stakeholder analysis is being done post-project by the researcher to help the researcher to know the stakeholders that were involved and their interests and incentives in the projects. (See appendix for stakeholder analysis tables).

In general these tables show the various stakeholders that were involved in the SWM of the case studies. It can be seen that the actors are more or less the same. It also shows that the actors have different roles in different cases. For instance in Nagoya city and Guimaras, the partnerships were initialed by the local government but in Ranchi, it was initiated by the NGO. They are grouped according to the stakeholders and their roles. The tables will be used to analyze the interests that lead or did not lead to the partnerships. The interests for the partnerships in this study is also viewed as the incentives that motivated stakeholders to either go or not go into PCPs in SWM. The tables will be used to analyze the case studies beginning with the institutional framework, followed by the interests and incentives for partnerships, then accountability, co-production, effective leadership, the role of public awareness, the role of intermediaries, external influence and programmes.

## 4.3 Institutional Framework

“Lack of political support and institutional support from the local authority and central government affects the work of the CBOs engaged in composting” (Kibwage, 1996; JICA, 1998; and Mulei and Bokea, 1999 cited by Karanja, 2005: 283).In the cases that succeeded in forming PCP, they had existing structures that allowed for that to happen. The components that are needed for strong institutional frameworks are distribution of functions, responsibilities and authority, organizational structure of the institutions responsible for SWM, interests and incentives for partnerships and accountability.

### 4.3.1 Distribution of functions, responsibilities and authority

In the cases that succeeded in forming PCP, they had existing structures that allowed for that to happen. In Nagoya city in Japan, the city government came up with the “Waste Emergency Declaration” in February 1999. This declaration made sure that the waste management was priority of everyone in the city. Another law that helped with partnerships between the community and city government was the Containers and Packaging recycling Law that was introduced in August 2000. Nagoya city was one of the first cities in Japan that chose to enact this law. Because this law required a radical change in the behavior of the citizens, the city embarked on a major public awareness campaign, and the community based organizations were used by the city government for the campaigns and this led to the success of the partnerships and the project. Similar to what happened in Nagoya city, in Ranchi, India, the institutional framework enabled the partnerships between the RMC, the community and the NGOs were the Clean Jharkhand Project (CJP). The CJP was a community-based solid waste management initiative that was started by the NGO. Under this project, the city government, the municipality, community-based organizations and the NGOs all had a role to play and this made them come together to form partnerships. Similar to this, in Guimaras, the Guimaras Integrated Solid Waste Management enabled for the partnerships between the local government and the community groups. From the three success cases, it is seen that the projects and the rules that came along with them allowed for the partnerships between the communities and the local governments.

However, this does not mean that if there are institutional frameworks, this will enable partnerships to exist. It takes the institutional framework and a community that is willing to cooperate for partnerships to exits. For instance in Nyanya, Abuja, even though the State launched a solid waste project, under the Federal Ministry of Environment with the main of promoting participation and partnership between the state and community leaders, this did not happened as planned because of the lack of cooperation between the community. This result shows that more was needed in Nyanya than the project that was launched to be able to get the community and the local government in to partnerships. In the case study of Nairobi, Kenya, even though there were laws about the partnerships between the private sector and the Nairobi city council, there were no laws about such partnerships between the Nairobi city council and the community or community based organizations. This did not allow for partnerships between the NCC and the community. From this it can be seen that in areas that there were rules, or projects in place, PCPs did happen. Except for Nyanya in Nigeria, where even though the solid waste project was launched to promote participation and partnerships, it did not happen because much more was needed than the project launch.

### 4.3.2 Organizational Structure of Institutions Responsible for the SWM

The actors that were responsible for the solid waste management in all five cases were the local governments. However the partnerships brought different actors in it. In Nagoya city, the City Government was the main institution in charge of SWM. In Ranchi, solid waste management was the responsibility of the health department of the Ranchi Municipal Corporation. In Guimaras, the main institution responsible for the SWM was the Provincial and Municipal government. In Nairobi, the Institutions responsible for the SWM were the Nairobi City Council in collaboration with the private sector. In Nyanya, the institution in charge of the SWM was the local government.

### 4.3.3 Interests and incentives for partnerships

For a partnership to exist, both parties must have similar interest. From the stakeholder analysis tables, it can be seen that the cities entered into partnerships for different reasons. For the cities that succeeded in PCPs the common interest they had is waste reduction and cleanliness of the city. Most of the incentives for partnerships were for purposive and solidarity reasons. Purposive incentives include intangible rewards and are related to goals and solidarity incentives are rewards from being part of a group (Clark and Wilson, 1961). In Nagoya city in Japan, because of the long protest for about 17 years by the citizens against city government’s reclaiming of the Fujimi tidal lands this made their interest in protecting the environment increase. The partnership between the city government and the community here in Nagoya, was able to happen because the community was willing to cooperate with the city government because of their interest in protecting the environment which was able to grow over time over time due to the protest. The reasons why people joined the community based organizations also known as the chonaiki was because they wanted to get along with their neighbors. In Nagoya city, every household was part of the community based organizations. Since the land fill sites in the Nagoya were getting full, the main interest of the city government was to promote recycling in the city and since the NGOs in the city had already started their own recycling activities, the city government formed alliances with them.

In Ranchi, similar to the two other cases, the interest of the community was to clean the community by supporting the Clean Jharkhand Project (CJP). Due to the insufficient provision of services by the public sector, the community had to provide the services to themselves. This already created the interests of the community in waste management. So the CJP that was initiated by the NGOs brought together the interests of the community, the RMC and the NGOs towards achieving proper waste management activities in Ranchi. In Guimaras, their motto “clean and green” shows that they had a common agenda and were interested in cleaning their community. With the spirit of togetherness found in Guiamaras, they were able to form partnerships with the local governments.

However, in the cities that there were no partnerships, it can be seen that it was because one of the parties was not interested. People are coming together to support themselves and their families by participating directly or indirectly in waste collection or recycling (Ahmed and Ali, 2004: 469). This was however not the case in Nyanya. In Nyanya unlike the four other cities, the community members here were not interested in waste management services; they gave low priorities to the solid waste management activities, so that even though the government launched the solid waste management project that was to promote partnerships, it did not succeed because of the lack of cooperation of the community members. This can be linked to the point Atienza made: one of the reasons that municipalities have failed to comply with solid waste is because of the “lack of cooperation and participation of the community” (Atienza, 2008: 2). If the community members are not interested in corporation and participation, PCPs cannot exist.

In Shantibug, Chittagong, lack of sense of belonging to the area and lack of feeling of togetherness was some of the reasons why there were no community based solid waste management activities. This is similar to the case of Nyanya where the residents did not care about Nyanya but were only interested in their hometowns because they saw themselves as temporary residents of Nyanya. In contrast to this, in Nairobi, even though the community was interested in partnerships with the NCC, the resistance was from the part of the NCC. When the community tried to cooperate with the local government, because the residents in which CBOs usually operate in were not recognized by the NCC, their efforts were met with disinterest by the NCC. So from Nairobi and Nyanya, it can be seen that because of the lack of cooperation of one of the parties, PCPs could not exist in these places. Common to the success cases in the beginning of this chapter, one of the common features of the successful case studies is the public awareness that came along with it. The public awareness campaigns that came along with the projects in Guimara, Nagoya city and Ranchi, increased the interests of the communities to come into partnerships with the local governments.

### 4.3.4 Accountability

The form of accountability that existed differed according to the case. In Nagoya city, both the long and short routes of accountability were experienced. It was seen that because the city government was accountable to the people, their protests were heard and the Fujimi tidal lands was not converted into land fill sites. This can be termed as the short route of accountability. Another example of the short route of accountability in the Nagoya city was seen where the citizens themselves could call and demand explanation about the new waste management system that was being introduced. Because the city government was answerable to the community, they did not proceed with the land fill sites, and they also set up follow up meetings to explain the new waste management system to them, with the complaints that they could not answer in the short term, they tried to answer in the long term. Also the long route of accountability was seen when the new SWM system increased the space for participation of the community and they had a voice through the Municipal Health Commissioners and the CBOs (Chonnaikai).

In Guimaras, the short route of accountability was experienced through the task forces, because the community was brought into the panning and implementations stages of the project. In Ranchi, the short route of accountability was experienced, because the communities paid for the service delivery through the CBOs also knows as the PDCs they demanded accountability from them. Also for accountability purposes, the leading NGO provided documents about the projects to the public. The NGO also encouraged the citizens to have a voice and there was direct dialogue between the community and the NGO to ensure accountability and transparency. However in Nairobi and Nyanya, much could not be said about accountability because in Naoribi, there was so space for the community to participate and in Nyanya, the community did not want to participate.

## 4.5 Coproduction

Community coproduction happens to be one of the most kept secrets of governance and public management over the decade. Even though it has always been important, it has been “rarely noticed, never mind discussed or systematically managed” (Bovaird and Loeffler, 2012: 1136). According to Pestoff, sometimes the citizens play these coproduction roles as individuals or they collaborate with each other such as informal groups (Pestoff, 2012: 1104). In the case studies, it was seen that the households, CBOs and NGOs, helped in the coproduction of the waste management services. Coproduction can be seen from different approaches such as co-planning, co- design, co- prioritizing, co-financing, co-managing, co-delivery and co-assessment (Bovaird and Loeffler, 2012:1124). In the Nagoya city of Japan, coproduction was seen in the planning and implementation stages. Through the public community partnerships, the community based organization helped in the implementation of the project through awareness creation of the projects to the households. The NGOs in Nagoya city coproduced during the project by providing technical support as well as advisory roles.

In Guimaras, through the task forces that were formed under the GISWM, the NGOs and CBOs played coproduction roles in the planning and implementation of the projects. The GISWM also a co- assessment approach, because the CBOs and the NGOs played a role in assessing the project. The international organizations here helped in the co-financing of the project by funding it. Similar to this, In Ranchi, India, there was co-planning, co-implementation and co-service delivery. The waste pickers under the CJP co-delivered the service by clean of the houses. The households in Ranchi co-financed the project by fee paying for the services. The International Donors also co-financed by providing financial support to the project. The NGOs co-planned the project with the RMC; they were the initiators of the project so they helped the RMC to plan this project. The PDCs (CBOs) co-implemented the project by ensuring that the households segregated their waste and paid their fees.

Nowadays, services are no longer only produced by public agencies; they are also coproduced by communities and users (Verschuere et al, 2012: 1085). For instance, in Nairobi, even though there were no partnerships between the community and the NCC, the CBOs still co-delivered the solid waste management services through composting and recycling, as noted by Pestoff, coproduction can be based on the citizens or groups with the aim of enhancing the quality of services they receive by the public sector (Pestoff, 2012: 1106). This was co-financed by international organizations through the funding of the community based organization. Co-production in solid waste management cannot be spoken about in Nyanya, this is because it did not happen there. The residents there regarded solid waste activities as the responsibility of the government so they did not want to take part in it. According to Pestoff, one the reasons why people will be involved in coproduction is when they have available information about the service and its provision (Pestoff, 2012: 1110). This can be seen in Nyanya, they did not coproduce in the waste management also because they did not know about the effects of the improper management of waste in Nyanya.

## 4.6 Effective leadership

Leadership plays an important role in the success or failure of public community partnerships. Leadership is “a political processinvolving the skills of mobilizing people and resources in pursuit of a set of shared and negotiated goals”(Leftwich and Wheeler, 5). Effective leaderships were experienced on the part of the community and the local government. In Nagoya city in Japan, the leadership of the local government was effective and attributed to the success of the waste reduction programme. The success would not have been successful without the resources that were available to them. Even though cancelled the plan to reclaim the Fujimi tidelands, they did not give up, their commitment to the reduction of the waste generated in Nagoya made the local government to use another approach by issuing the Waste Emergency Declaration. This made waste reduction the priority of the local government and the residents as well.

Another way in which they were innovative was that they allowed for the residents and other community groups to participate through cooperation and partnerships as well as giving them the space to complain and the efforts made by the local government to address these complaints. In Nagoya city, because the efforts made by the Mayor, he was often referred to as the “Garbage Major”. In Guimaras, commitment of the leadership was seen at the top as the administration that succeeded the administration that started the project did not stop it but ensured that was continuity. Also in Guimaras, the leaders allowed for others to take part of the activities under the GISWM through the PITFs and the MITFs. Also, the leaders of the task forces used innovative ideas such as organizing a competition were people had to design a proposal about how to manage the waste in the Guimaras. The leadership here also provided spaces for participation and coproduction through the PITF and the MITFs. In Ranchi, the commitment of the leadership of the NGO, contributed to the success of the CJP. The leaders initiated the CJP, and they were also the supervisors of the project. For instance the supervisor of the NBJK ensures the garbage is lifted by the RMC staff that is in charge of it. In Nairobi, the leadership of the local government showed a non-commitment to the CBOs and their activities in waste management. So this made did not allow for partnerships to happen between the NCC and the CBOs.

In Nyanya, due to the different ethnics that lived there, the traditional leader only had authority over the people that belonged to Nyanya but he could not exercise authority over the other residents that lived there because they belong to other tribes. The council head quarter that takes care of council affairs does not have direct or formal links contact with the Environmental Protection Board which is in charge of the waste management services because of the marginal position of the council. Commitment of the community leadership towards waste management can increase community based activities and help the community to organize and conduct self-help activities. For instance in Dhaka and Chittagong in Bangladesh, there were some areas that formed community based initiatives in solid waste management and other areas that did not. In the areas that were able to have community based initiatives was because they had committed community leaders who initiated these projects. And in the areas that did not have community based solid waste management activities, one of the main reasons was because they did not have committed community leaders to initiate the process.

## 4.7 Role of Public awareness

Public awareness was also one of the factors that lead to the successes of the PCPs in the Ranchi, Nagoya City and Guimaras. In Nagoya city, because the public awareness of the protection of the environment grew amongst the residents during the protests, they were willing to cooperate with the city government in the waste management activities. In Nyanya, because there was less awareness about the health implications of improper waste management, there were no activist’s attitudes or protests on the side of the residents to cooperate with the local government or to form community-based SWM similar to what was experienced in the other case studies.

## 4.8 Role of Intermediaries

From the case studies, it is seen that the role of intermediaries was very useful in making the PCPs successful. Intermediaries are known to act “as agents between different parts of society, between the more formal and bureaucratic world of the administrative system” (Ferhen, 2010: 105). In the Nagoya city, the Municipal Health Commissioners played an important role as the link between the CBOs, community and the local government. They helped in educating the CBOs, held meetings with them and forwarded their complaints to the local government. In Ranchi, the leading NGO that initiated the community-based solid waste management system was the intermediary between the community and the local government. It brought all them together in working toward the Clean Jharkhand Project. In Guimaras, the role of intermediaries was played by the PIFTs and the MITFs because it allowed the government to share power with community which made the government learn to appreciate the community and their role in the SWM rather than if they worked separately. It is seen that in the cases that did not have intermediaries, PCPs did not happen. In Nairobi, the CBOs could not partner with the local NCC because there was no actor with the intermediary role. In Nyanya, there was no actor with the intermediary role as well.

## 4.9 External Influence

From the success case studies, it observed that the International organizations had a role to play in the forming of partnerships. They supported the community based waste management activities through funding. In Ranchi for instance, the International organization decided to support the CJP on the conditions that there was space for partnerships. The projects in Nagoya city and Guimaras were also supported by the International organizations through funding. In Nairobi, even though there was no partnership between the NCC and the CBOs, these CBOs were still supported by the International bodies.

## 4.10 Programmes

Another factor that led to the success of the PCPs was the role the programmes had to play. From the three success cases, it was seen that the various projects in the Nagoya, Ranchi and Guimaras are what brought together the communities and the local government to coproduce the solid waste management activities. The Clean Jhakhand Project in Ranchi, Clean Green in Guimaras and Waste Reduction Effort 100 in Nagoya city helped in the cooperation of the local governments with the CSOs and the community towards achieving the goals of the projects. This facilitated the PCPs to happen. However, contrary to this, in Nyanya, even though the government launched the waste management programme with the aim of promoting partnerships, it did not happen because of the lack of cooperation on the part of the community. In Nairobi, there were no mention of programmes between the Naoribi City Council and the community and there was no PCP there as well.

## 4.11 Chapter Summary

This chapter has attempted to discuss and answer the first two research questions of the chapter one of this study. The next chapter will discuss the preconditions that need to be in place for such partnerships to happen in the Ga-South Municipal Assembly of Ghana and some policy recommendations.

# Conclusions

## 5.1 Introduction

This paper has attempted to analyze the factors that can explain the success and failures of PCPs in the five chosen case studies. This chapter will look at the major findings, policy recommendations and the conditions that will have to be in place for the PCPs to happen in the context of the GSMA of Ghana. A suggestion for further studies is also found in this chapter.

## 5.2 Major Findings from case studies

From the analysis, it was observed that the factors that led to the successes are similar in the case studies. In the literature about PCPs, much was not said about local government and community leadership. The leadership that was discussed in PCPs were national leadership, however from this study it was seen that local government and community leadership.

The role of intermediary was also not much discussed in the PCP literature, but as was seen from the case studies; their role helps for the PCPs to be successful. This is because the intermediaries are part of the community and are aware of the ways to communicate with them, they understand their language and they have more information about the communities. The intermediaries can come from the part of the community or the part of the local government or the community.

### 5.3 Policy recommendations

Leadership at the community needs to be nurtured by policy makers and donors. Donor’s level may be useful when drawing up policies for PCPs in the future. For donors, they can invest in capacity building programme for leaders or train more people in the community for leadership roles and this can tend to benefit the whole community.

The role of intermediaries should also be taken seriously when drawing up policies for PCPs. Donors can also decide to train and develop people that serve as the link between the actors in the PCPs.

## 5.4 Factors for PCPs in the GSMA of Ghana

In the context of GSMA, there is no public community partnership in solid waste management approach. Looking at the factors that led to the success and failure of the case studies, the following steps will need to be in place for PCPs to happen in the GSMA.

### 5.4.1 Strong Institutional framework

In the GSMA the laws for PCPs will have to be strengthened especially in the area of SWM to allow for the collaboration between the CBOs and the authorities of the GSMA. According to Mr. Zeim, the reason why there is no partnership between the state and the CSOs in Ghana is because of the “weak state and sanitation management laws” (Zeim, 2012). For PCPs to exist and be successful in the GSMA, there will have to be strong institutional frameworks to allow such partnerships to happen. As was seen in the success cases, this helped to lead to the PCPs.

The strong institutional framework will also have to create the space for the CBOs to operate. In an interview with the Development Planning Officer of the GSMA, when asked why there are no PCPs the response was “if the CBOs come what will be their contribution, are they going to take the waste for free?” This reflects a rather very narrow conception of the role CBOs as only collectors for a fee because in other case studies it was seen that the CBOs were able to contribute to the SWM. In Nagoya city, the CBOs helped in creation of public awareness about the new waste management system that was introduced into the city. In Nairobi, the CBOs helped in composting and recycling of the waste and this helped in the reduction of the waste disposed. In Ranchi, the CBOs ensured that the households paid their user fees and segregated their waste. The CBO can also act as intermediaries between the community and the local government to facilitate. So despite the officer is saying, the CBOs can have a significant role to play in the SWM of the GSMA.

### 5.4.2 Leadership

Effective leadership will be necessary for PCPs to happen. Effective leadership on the part of the community will help to mobilize the people and also form community based organizations that can form partnerships with the GSMA authorities.

## 5.5 Suggestion for further studies

Further studies need to be ascertained about the role of intermediaries and effective leadership of the local government and community level in PCPS.

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Appendices

## Annex A:

### Profile of the respondents interviewed

* Nine Key informant Interviews
* Ministry of Local Government and Rural Development (Acting Director of Environmental, Health and Sanitaion Directorate)
* Ga South Municipal Assembly (1. Development Planning Officer. 2. Supervisor of Vehicles and Waste Collection)
* President of Coalition of NGO’s in Water and Sanitation/ Executive Chairman of Earth Service (NGO)
* Department of Social Welfare (Metro Director)
* CHF International (Institute Support Manager)
* Water Resource Commision ( PRO)
* Local Government Service Secretariate (Engineer)
* Environmental Protection Agency (Director of the Inter-Sectorial Department)

### Interview guide

Government agencies

1. What is your role in the management of solid waste
2. How is the solid waste managed in the Ga South municipality?
3. Is the management of solid waste a problem and what are the causes of the problem?
4. Are you aware of the existence of CBO’s that work in solid waste management?
5. Do you have any form of relationship with the CBO’s
6. What are the incentives that will drive you to work with the CBOs?
7. Why are you not partnering with the CBO’s?
8. What are your perceptions about the CBO’s in this municipality?
9. Do you think the work of the CBO’s has an impact in this municipality?
10. Why do you prefer to work with the private companies over the CBO’s
11. If you come into partnerships with the CBO’s, do you think it might lead to a sustainable result?
12. Why don’t you have formal contractual arrangements with CBO’s?
13. Why the CBO’s are viewed as informal organizations and not brought into the formal zone?

CBOs and NGOs

1. What is your role as a CBO in the management of waste in this area?
2. What is the interest that drives you to work in the management of solid waste?
3. Do you think waste management is a problem and what are the causes of this problem?
4. What are the incentives that will motivate you to partner with the local government?
5. Is there a relationship between your organization and the local government and how will you describe it?
6. Do you consider your organization to be legitimate service providers?
7. Why do you think the local government does not come into partnerships with you?
8. If the local should partner with you in the management of the solid waste, do you think it might lead to a more sustainable result?

## Why do you think you are viewed as informal organizations by the local government?

## Annex: B Stakeholder analysis tables

**Case One (Success)**

**Waste management activities in Nagoya City, Japan: Local government and community partnerships**

|  |  |  |  |
| --- | --- | --- | --- |
| Stakeholders | Type | Interest | Strategies that were used |
| * Community members | * Primary | * Participation * Protecting the Environment * Waste reduction | * Supporting the Local Government * Innovative approaches * partnerships with local government or working voluntarily |
| * CBOs | * Primary | * People join to have good relationship with their neighbors * Waste Reduction | * Educate and inform the public about the new waste management system |
| * Municipal Health Commissioners | * Secondary | * Educating the CBOs about the new waste management system | * Act as a link between the CBOs and the city government |
| * NGOs | * Secondary | * Waste reduction * Recycling * Train the government about their recycling methods | * Formed Recycling Companies’ * Public Campaign * Initiator of Recycling stations in Nagoya |
| * Local Government / Municipality | * Secondary | * Provide Assistance * Reduce waste * Increase space for participation * Support CBOs and NGOs * Make the households understand the new waste management system | * Creation of Policies such as the “Waste Emergency Declaration” * Leadership * Waste Reduction Declaration * Public education * Partnerships with the community * Used the CBOs and MHCs to educate the households about the new system |
| * Business organizations | * Secondary | * Provide Assistance | * Funding the NGOs |
| * International Bodies | * Key | * Protecting the Environment | * Joined the citizens in protesting against the claiming if the Tidelands |

Case Two (Success)

**NGO Initiated Solid Waste management Ranchi**

|  |  |  |  |
| --- | --- | --- | --- |
| Stakeholders | Type | Interests | Strategies that were used |
| * Community members | * Primary | * Clean the community * Support the CJP | * Pay fees for collection (Financial contribution to the CJP) * Segregation of their waste |
| * CBOs | * Primary | * Allows households to participate in the CJP | * By ensuring that the households pay their dues * Ensuring that the households segregate their waste |
| * NGOs | * Secondary | * Promote solid waste management * Reduce waste in the city * Develop Community Action Network * Motivate the community to perform their specific roles * Enable the community to have a voice * Motivate the community to act for themselves | * Initiated the Community Based Solid Waste Management System * Clean Jharkhand Project * Form * Public awareness campaign of the new system * Increase the capacity of the community towards solid waste management |
| * Local Government /Municipality | * Secondary | * Responsible for SWM * Participate in the CJP | * Lifting and collection of Waste under the CJP * Provide for |
| * Central Government | * Secondary | * Support the CJP | * Came into partnerships with the municipality |
| * International Bodies | * Key | * Support the Project * Promote Partnerships in the project | * Conditional funding * Fund the project if only there are partnerships |

**Case Three (Success)**

**People, partnership and profit managing solid waste in Guimaras, the Philippines.**

|  |  |  |  |
| --- | --- | --- | --- |
| Stakeholders | Type | Interest | Strategies that were used |
| * Community members | * Primary | * Partner with the local government * Share responsibility with the government * Waste reduction * Spirit of togerness | * Guimara Integrated Solid Waste Management (GISWM) |
| * CBOs | * Primary | * Waste management * Waste reduction | * Self-help initiatives * GISWM |
| * NGOs | * Secondary | * Waste reduction * Partnership with the local government | * GISWM |
| * Local Government | * Secondary | * Partner with the community * Provide space for participation and partnerships * Allowed the community to share power (non-zero sum) | * Ecological and waste management programmes * Through the Provincial Implementation Task Force(PITF) and the Municipal Integration Task Force (MITF) * GISWM |
| * Central Government | * Secondary | * Waste reduction * Devolution | * Decentralization law |
| * International Bodies | * Key | * Initiate partnerships   Support the development Guimara | * Launching a community based strategic planning process * Funding |

Case Four (Fail)

**Community-based SWM Activities: Extent, Motivation and Impacts in Nairobi, Kenya**

|  |  |  |  |
| --- | --- | --- | --- |
| Stakeholders | Type | Interests | Strategies that were used |
| * CBOs | * Primary | * Cleanliness * Generate employment and incomes * Use organic waste for urban farming * Public awareness * Keep local and central government on their toes | * Composting and recycling * Accountability |
| * NGOs | * Secondary | * Financial and Technical support * Influence community groups to go into composting | * Capacity building and training of the CBOs |
| * Local Government | * Secondary | Not active | * Not active |
| * Central Government | * Secondary | Not active | * Not active |
| * International Bodies | * Key | * Support the CBOs | * Funding |

Case Five (Fail)

**Ridding Nyanya of Filth: Issues of Popular Participation in Solid Waste Management**

|  |  |  |  |
| --- | --- | --- | --- |
| Stakeholders | Type | Interests | Strategies that were used |
| * Community members | * Primary | * Low priority given to waste * Little incentive to cooperate with the themselves or the government | * No collective action for waste management * Improper ways of handling the house hold waste * Protested when the government ask them to pay for waste services they receive |
| * CBOs | * Primary | * Develop their hometowns instead of Abuja | * Collective Action on ethnic basis to develop their hometowns |
| * NGOs | * Primary | * Not active | * Not active |
| * Local Government/Municipality | * Secondary | * Collection of Waste * Enforce sanitary regulations | * Conduct house hold inspections |
| * Central Government | * Secondary | * Create Awareness and Mobilize about filth | * Cooperation * Partnerships * Participation |
| * International Bodies | * Key | * Not active | * Not active |