



018530 - SWITCH



Sustainable Water Management in the City of the Future

Integrated Project
Global Change and Ecosystems

D6.3.2: Case studies on selected approaches or methods to optimise social inclusion (M12)

Organisation name of lead contractor for this deliverable: IRC International Water and Sanitation

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Audience

This collection of case studies is of interest for senior and mid-level practitioners working on IUWM projects both in the developed as well as the developing world. The summary document is written keeping for a technical audience.

Purpose

To document and disseminate good social inclusion practices in the field of IUWM. Importantly, the case studies also document practices that were less successful.

Background

Across the SWITCH consortium a number of demonstration projects are being implemented. The collection of good practices is meant to support the implementation of these demonstration projects in a social inclusive manner.

Potential Impact

Demonstration projects as well as regular IUWM project would benefit from these case studies as it would support a more inclusive approach

Recommendations

Social inclusion requires a thorough understanding of the local circumstances therefore it is recommended that these case studies are read in conjunction with the background literature that have been prepared as part of the training programme.

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Summary Case Studies – Lessons Learnt

Russell Kerkhoven (author), Joep Verhagen (review)

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From social exclusion to inclusion!

Understanding the dynamics of Social Inclusion is a key to IUWM services -
A synthesis of experiences, conclusions and steps from the SWITCH country case studies.

Introduction

The concept “social inclusion” is generally held to be *A Good Thing!* Most policy makers, planners and engineers would agree that it is necessary for successful IUWN service implementation. The evidence is that, implementers will often plan, design and implement *for* communities, instead of *with* them. An explicit objective of SWITCH is to provide healthy cities for all. A pre-condition for this is to include all groups in processes to obtain service provision, as well as facilitating their access to and use of the service.

This Briefing Note seeks to explore social inclusion in such a way that it becomes more than an *appealing* concept, that the reader will understand the concept and feel encouraged to using it is *as necessary* for success – in terms of *a sustainable WASH service is provided in social, technical and financial sense, to all those who need it.*

The paper draws upon six SWITCH Case Study papers and several generic papers on social inclusion. The structure of this briefing note is: Firstly, a working definition of social inclusion, several key concepts and an exploration of the implications are provided. Secondly, questions on the dynamics of social inclusion have been synthesized from the case studies and supporting papers. These questions are briefly explored and supported by recommendations and methods (Tips and Tricks) that foster social inclusion. Finally, general concluding remarks are provided.

A working definition, some key concepts and observations

Social Exclusion is the opposite of Social Inclusion. Planning and working towards social inclusion is enabled by understanding the dynamics of exclusion. Secondly, Social Inclusion is both a process and an outcome. This means that if a group or an individual is included in the process of obtaining a service, the same group is included in the service provision itself. The SWITCH case studies show that social inclusion was necessary for progress to be made towards sustainable IUWN service development.

Social exclusion can be *intergenerational*, this means that not having access to WASH services can be so entrenched, that it becomes a *self reinforcing condition* that is passed on between generations. This often amplifies the exclusion as it does so. Exclusion establishes or confirms *a negative self-image*, as it reduces confidence, self worth and dignity. Social exclusion can also feed on and reconfirm existing social differences, such as the exclusion of women, young mothers and elderly, even more so if racial or ethnic differences are added.

As every case of effective social inclusion is fundamentally context driven – there is no blueprint to import. An explorative process design works best. This starts by asking three basic questions from the perspective of different types of stakeholders (see Nelson *et al*):

- **What do you have?** - This is about monetary and non-monetary assets, such as livelihood assets, social networks or established community organisations.
- **Where do you live?**- If you live too far away from the main sewerage and water networks, or in flood prone places or in a notorious (criminal) area, or are represented by the ‘wrong’ party or that you live in an illegal settlement.
- **Who are you?:** Peoples identity is formed on the basis of their religion, ethnicity, gender, age, disability, financial status, caste, language, place of origin, politics, tradition, beliefs... all these features can be used to in or exclude groups.

How robust is the set up or design of the social inclusion process?

Robustness of the inclusion process refers to the strength and commitment of the process design and implementation arrangements with different stakeholders. Successful platforms, networks or alliances call for a participatory approach, including a combination of informal meetings, semi-structured discussions, workshops and presentations. Working towards social inclusion requires time, resources and commitment of different stakeholders or parties. This requires the formulation of clear objectives, strategies and activities on social inclusion, and understanding differences. Approaches that are demand driven and integrate several dimensions appear to be most effective. Possible direct practical approaches are: the introduction of participatory methodologies; linking improved sanitation with poverty alleviation; providing for flexible (re)payment arrangements for the poor; well targeted subsidies and improved regulation. Any direct measure needs a series of generic measures, such as: the provision of adequate information suitable for non-literate participants or people speak a different native language, ensuring that procedures and documentation are gender and poverty specific, and improving the gender equity and sensitivity in the project team. A high standard of facilitation and developing specific organisational capacities is needed, especially when a Learning Alliance (facilitated multi-stakeholder group based) approach is followed. ***Tips and Tricks are:***

- Capacity building for improved planning, conflict resolution and engaging end-users is crucial. Not every partner has the same objectives and aspirations; clarification of motives and aspirations needs to be clear when partnerships are formed.
- Allowing sufficient time for people to engage in processes and amending these as an ongoing process improves the outcomes significantly.
- If a Working Group spearheads the social inclusion process, new members for this group need to be recruited continuously to avoid the emergence of ‘group-thinking’ and to maintain momentum and enthusiasm with new ideas and questions.
- Dialogue facilitation and maintenance cannot be left to stakeholders – external support is needed.

Are all stakeholder groups, especially the disadvantaged included?

Stakeholders refer to all parties who have a stake in the planning, development and maintenance of a IUWM -services. Multi-stakeholder platforms (Learning Alliances – “LAs”) can be established at local, intermediate and national level for planning and management of water resources and water services. Experience from the EMPOWERS project in Palestine, Jordan and Egypt shows the impact of a fragmented and uncoordinated institutional setting. Here even though an explicit focus on the most marginalised existed, the fact that the most marginalised

were unable to form lobby groups was an ongoing stumbling block for effective social inclusion. Identifying and including all stakeholders, especially marginal groups, is an active process that is ongoing and requires an effort that goes well beyond understanding the dynamics of exclusion. Low-income areas have their own social and political dynamics – e.g. it is difficult to obtain buy in from house owners who rent out their houses and live elsewhere. ***Tips and Tricks are:***

- Inclusion of disadvantaged groups from the start promotes trust and motivates people
- Information sharing across all stakeholder groups is important and this needs to be tailored to the group's requirements.
- Be careful with Hi-tech measures, such as remote sensing and GIS, can be costly without clear benefits, even creating further exclusion – hi-tech approaches need to be integrated with on site local understanding.
- Translate the actions requested by the community into implementation priorities and watch their effective realisation, especially those relating to women.
- The coverage of key issues of economic development, employment and business creation was very limited.

What is the particular age and cultural population mix you are working with? Are population sub-groups included? Is this done consistently and at every process stage?

Understanding the divergent (and often conflicting) priorities and demands for water and sanitation or other development goals and effectively involving end users and local institutions are crucial elements. This will require an initial investment of time and human resources so that you are familiar with the setting, the population and existing differences. The Hamburg, Germany case study showed that residents' involvement was limited to the problem identification stage only, without involvement in planning, prioritisation, and implementation. Other cases show that existing organisations within geographic areas and around specific interests are frequently a stepping stone towards representation at the group, neighbourhood and district levels. This avoids the need to start up new groups and structures. ***Tips and Tricks are:***

- Different disadvantaged groups need to be approached on their specific interests and concerns and with practical actions related to them.
- Establishing rapport or linkage between their interests and concerns and integrated urban water management must be clearly apparent or clarified to enable interest in Integrated Urban Water Management to emerge.

What are the specific gender dynamics? How gender competent is the service development or delivery service?

Urban poverty reduction can be strengthened through the adoption of a gender equity focus. The Indonesian six cities case study shows that even though the overarching programme goal was to ensure that poor (women) would benefit, socially inclusive approaches already in place were being hampered by inadequate data and existing gender perspectives. This case shows that data and data analysis need to disaggregate for sex and economic class to ensure that sanitation and hygiene strategies are gender specific. Generally this will require specialist expertise in gender and poverty and a strategy of separate gatherings to ensure that the voices of poor (women) are heard. In the Indonesian case studies it showed that if gender equity is interpreted by officials as 'projects for women', this will lead to missed opportunities. ***Tips and Tricks are:***

- A practical way forward can be the making of an inventory and analysing innovative pro-poor community participation and gender initiatives for improved sanitation and hygiene.

Have the existing political agendas been recognised? Can the process design respond in a timely fashion to changing political arenas?

A positive attitude among officials and politicians, at local and central government level, is fundamental. The political context shapes the outcome of an inclusion process; these outcomes can surprise stakeholders and change their initial attitude. Every political process has a degree of fluidity, consequently political processes can suddenly change directions in policy and strategy and this affects decision making for public resources. Nearly everywhere politics involves wheeling and dealing between interests and stakeholders. As social inclusion does not immediately show results the necessary time and resources to achieve inclusion are frequently threatened. **Tips and Tricks are:**

- Any community development project needs support of both the local politicians and the technocrats. Their involvement needs to be based on a genuine understanding of IUWM to avoid later shift to populism, power politics or bureaucratic procedures.
- The competency to maintain focus and commitment to the achievement of social inclusion, especially in dynamic political settings and decision making, cannot be underestimated.
- As newly elected representatives have less knowledge and understanding. You will need to work on bringing new actors on board.
- Preserving the continuity and institutional memory provided by civil servants needs to be factored, especially in times of mounting political change or turmoil.
- Considerable scepticism between government and residents can exist because of past interaction, this will need to be explored and dealt with

Participatory Budgeting (PB) from Porto Alegre to Harrow, London

Participatory Budgeting is a specific strategy for achieving social inclusion. PB can take a number of forms, can take place at different stages of the budget process, and can comprise different levels of citizen engagement in the processes. Participation of citizens in budgetary elements of government can help to improve the scope and levels of services provided. This approach was initiated in Porto Alegre, Brazil and this example set a (gold) standard for Participatory Budgeting (PB).

Summary Conclusions

1. Understanding the basics of social inclusion and addressing them fully is fundamental. Implementing selected elements of the process or working with selected groups will be counterproductive.
2. Social inclusion is a process and an outcome; the second can only occur if the first is done effectively.
3. In cases where there is insufficient consistency of inclusion efforts and processes, catch up processes will need to be planned for.
4. Working towards inclusion requires dedication, resources and creative thinking.

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A Development Programme of an informal area: Amrawy, Alexandria, Egypt

Mohamed A. Abdrabo

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A Development Programme of an informal area:

Amrawy, Alexandria, Egypt

A case study on social inclusion for SWITCH

Mohamed A. Abdrabo¹

(May 2008)

¹ Centre for Environment and Development for the Arab Region and Europe (CEDARE)

Executive Summary

The Participatory Development Programme in Urban Areas (**PDP**), implemented by GTZ in five informal areas - two in Greater Cairo and three in Alexandria was intended to institutionalise participatory policies and tools for urban development and poverty alleviation. It supported the Egyptian Government and its local agencies in developing policies and administrative mechanisms according to the capabilities and requirements of the residents of poor urban areas and their local economic sector, by fostering networking among the public, civil, and private sectors. The Programme included the GTZ (German Technical Cooperation) and KfW (German Financial Cooperation) and a number of Egyptian counterparts including the Ministry of Economic Development, Ministry of Planning and Local Development, Social Development Fund, Cairo and Alexandria Governorates and local districts. Other participants included non governmental organisations (NGOs) and the private contractors that are involved in the implementation work. The Programme worked on building trust, community capacity development, sharing available information, participatory actions, and legal recognition. Ultimately, work was to be conducted to assess citizens' satisfaction.

One of the five areas of Programme implementation was Amrawy, an informal area in Montazah district, Alexandria. The Programme provided a number of basic infrastructure and services projects, in addition to the tenure security and land legalisation issues that were being addressed by government agencies and a land office in each area.

However, a study to assess the outcomes of the programme found that some of the activities it covered were of low priority to local residents and were too costly. The main lessons from the case study indicate that the practical interpretation of public participation and social inclusion was limited in scope, which was amplified by working within a non supportive policy framework. There was also a context of scepticism between the government and the residents, the origins of which were not explored and dealt with properly. It was found also that economic development and employment and business creation was limited or non-existent. Hi-tech measures, such as remote sensing and GIS were employed with no clear benefits that could be derived from them for the case study or for those involved. The sense of insecurity among the residents was not dealt with and it was apparent that residents' involvement was limited to the problem identification stage only, without involvement in planning, including and prioritisation, and their implementation.

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SWITCH (Sustainable Water Management Improves Tomorrow's Cities' Health) is a research partnership supported by the European Community (Framework 6 Programme) and its partners www.switchurbanwater.eu/learningalliances

Overview

Name of the Initiative: The Participatory Development Programme in Urban Areas (PDP) upgrading of informal areas.

When and where it took place:

The Programme covered one case in Cairo, another in Giza and three cases in Alexandria; namely Amrawy Area in the district of Montazah, Hadara El Gededa Area in the district of Wassat and Nag El Arab Area in the district of Gharb (Figure 1). The programme took place over 2002-2006.

Type of Initiative:

The PDP was intended to institutionalise participatory policies and tools for urban development and poverty alleviation. The PDP selected the former five areas as pilot areas to work on with their counterparts. It supports the Egyptian Government and its local agencies in developing policies and administrative mechanisms according to the capabilities and requirements of the residents of poor urban areas.

Social Inclusion elements:

- Introduction of participatory methods for urban upgrading and the aim to improve the services provided by public agencies and civil society organisations in order to satisfy the basic needs of the poor urban population.
- A Local Initiatives Fund (LIF) was created as a local development tool that provided funds to local communities for simple, small, and highly visible projects that generate tangible solutions to local priority needs.



Figure 1 ; Location of the three pilot areas in Alexandria.

Social Inclusion in Amrawy

Amrawy area, located in Montazah district (**Figure 1**) is one of over 50 informal areas located in different districts of Alexandria. It was developed on agricultural land, owned by the Land Reformation Authorities, which was informally subdivided and sold to individuals who built their houses without proper building permits. The area covers about 650 acres and accommodates some 25,000 residents, meaning an average population density of 39 persons/acre (Figure 2). The area is bordered by Malak Hefny Street to the north, Nabawy El-Mohandes Street to the east, Mostafa Kamel Street to the south and street 45 to the west. The area is characterized by haphazard street patterns, which have restricted accessibility of the inner parts of the area. It also suffered from lack of basic infrastructure until it was provided with potable water and an electricity connection as part of the government upgrading programme conducted during the past decade.

In order to understand the main story of development actions undertaken within the PPD Programme, we will be telling the story from two perspectives; the first is the implementing agency (GTZ) perspective. The second perspective is based on the results of the field work conducted in the area, over April-May 2006, to assess on the ground the impact of this development programme.

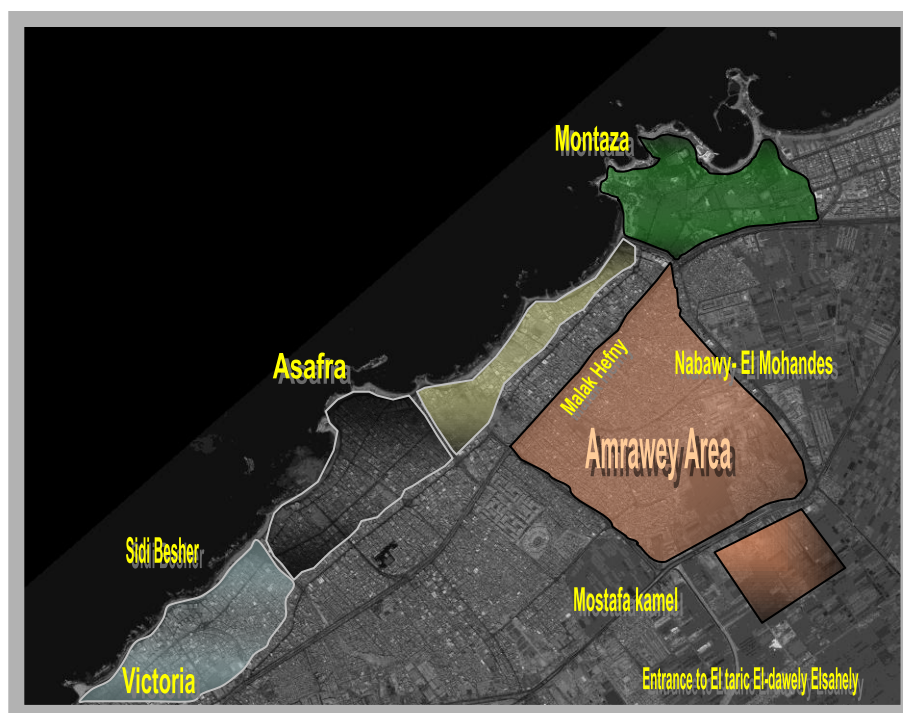


Figure 2 : Location of the study area

The Participatory Development Programme perspective

Almost all informal areas in Egypt are densely populated with too little infrastructure and social services. Residents suffer from lack of access to health services, education,

employment, and cultural and sports activities. Therefore, upgrading informal areas and improving living conditions for social and security reasons are imperative. Such areas are mainly built on privately owned agricultural land and thus their residents live on land with legal land titles, but their houses are not legally recognised. The lack of legal security threatens the residents' recognition as citizens with full rights with access to governmental services. For the state, on the other hand, the increase in informal housing and corruption in the formal sector decreases the state's tax income and its ability to generate development revenues.

Since the 1990s, centrally-steered attempts to upgrade informal areas have not yielded sustainable results, as central budgets designed to upgrade informal urban areas are not suitably used: physical infrastructure is financed, while little or no investment is made in economic and social services. There is no monitoring of implementation and impact. Until recently, local communities were not involved in the planning and development process and have not felt improvements in their living conditions.

The PDP introduced participatory methods for urban upgrading and improvement of the services provided by public agencies and civil society organisations in order to satisfy the basic needs of the poor urban population. The programme was funded by the German Federal Ministry for Economic Cooperation and Development (BMZ) and the Egyptian Ministry of Economic Development (MoED) and co-financed by German, Egyptian, and international private companies, the Cities Alliance, and the World Bank.

Creating sustainable improvements in living conditions means building on existing potential in informal areas: those of their inhabitants and existing socioeconomic structures. Planning and urban upgrading need to be linked to capacities and the priority needs of the people. Only participatory planning and implementation will lead to sustainable results.

In order to attain the overall objective, the PDP worked at three corresponding levels of intervention in parallel namely; national, district, and local levels, that allowed for continuous, vertical networking and creative communication. At the macro level, it advised the Ministry of Economic Development, other ministries, and governorate administrations on policies oriented to participatory social, physical, and economic development. At the district and local levels, as no local administration was responsible for management of existing unplanned areas, the programme brought its partners together and supported them in developing participatory policies and methods for urban upgrading². This involved the employment of a number of tools intended to deal with the lack of trust between the residents and government agencies and lack of legal recognition of land and house titles.

In Alexandria, a project management unit was established within the governorate and three local offices were set up in each of the three areas, guaranteeing constant communication between the governorate and the local community. Stakeholder Councils were started in each of the areas consisting of prominent community leaders

² Egypt is administratively divided into governorates headed by a governor. The governorates are in turn subdivided into districts; the heads of the districts are directly answerable to the governor. These executives are appointed by the government and/or the president. In parallel, elected legislative bodies (governorate and local councils), are responsible for following up conditions in their area, posing questions and provide recommendations to the executives.

(including representatives of the elderly, young people, and women), executives from the local administration offices, and representatives from the Local Popular Council, NGOs, and the private sector. These stakeholder councils were used as focal point for developmental activities.

Knowledge about the local community was gathered through a variety of methods, including for instance, training young male and female people from local NGOs to carry out a Participatory Rapid Appraisal (PRA), which provides information about interests, priorities, and resources available in the area. The PRA quickly makes available required knowledge about the area and its residents and collects information about the NGOs operating within the neighbourhood. Identified priority needs are then translated into action plans and detailed legal plans during participatory planning and budget meetings. These are agreed upon by all stakeholders and approved by the Local Popular Council.

Projects identified for implementation in Amrawy, Hadara El-Gededa, and Nag El-Arab included:

- Paving roads, installing sewerage systems, covering sewerage canals, and planting trees.
- Establishing a public hospital and introducing medical convoys to the area.
- Building a women's skills enhancement centre and new public schools.
- Building pedestrian bridges, rehabilitating a playing field, and constructing a new youth centre.
- Establishing a police station, post office, and computer centre.
- Establishing a credit unit system.
- Improving access to the area and within neighbourhoods; providing bus routes.
- In addition, tenure security and land legalisation issues were being addressed by government agencies, and a land office in each area was being built.

Another Perspective

A study was conducted between April and May 2006 to assess on the ground the impacts of the PDP on living conditions in Amrawy area. In order to attain this objective, the work began with a review of the development programme activities in the area, which was followed by conducting a field survey to study the socioeconomic conditions of the residents and to assess their feedback on the outcome of the PDP. Finally, issues of concern to the residents were identified and prioritized and the potential for local contributions to development was assessed.

A field survey to collect data and information on the issues of concern was planned and conducted in April 2006, beginning with the development of questionnaire form that was used in the field. The sampling was based on random-stratification technique in order to have a representative perspective of the area as a whole. The number of cases covered by the survey was 93 cases, mostly men and thus analysis was not disaggregated with respect to gender. This caused a further bias.

When asked about their knowledge of PDP, some 60% of the respondents suggested they knew about it. However, concerning the issue of benefits derived from the project, over 80% of the respondents argued that they did not benefit from the work, which suggests that residents' involvement was limited to the identification of the problems

confronting them. The selection of the actions to be carried out and the actual implementation were not done in close cooperation the residents. This conclusion is emphasized by the list of issues the respondents raised when asked about the problems they suffer from, which are more or less similar to the list provided by the implementing agency when conducting the Participatory Rapid Appraisal (PRA). This means that the same issues of concern were still prevailing even after the completion of the work. The issues of concern for instance included, in priority order, unpaved roads, low quality of potable water and sanitary services, schools, and street lighting (Figure 3).

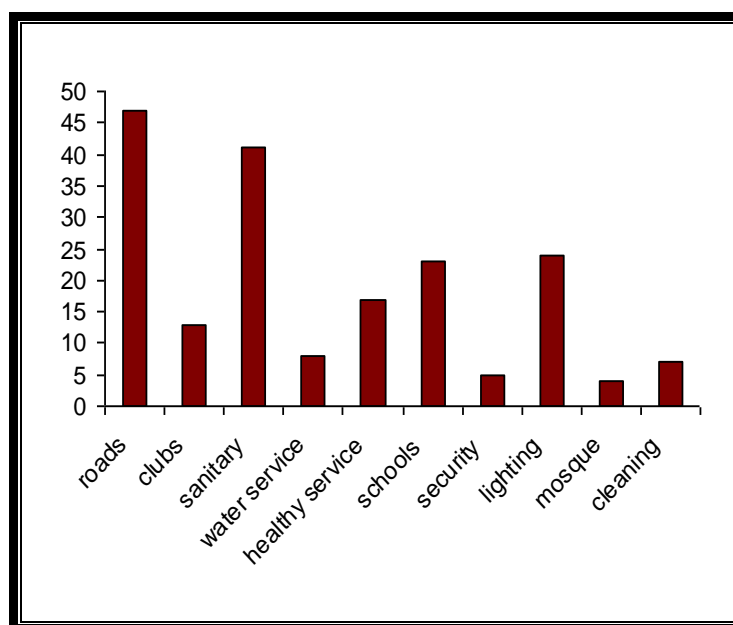


Figure 3 : Priority listing of the residents' needs

The socioeconomic conditions of the respondents were typical for informal areas residents; 38% of the respondents were illiterate, 17% of respondents are literate, and only 21% of the respondents have a high school degree. Furthermore, about half of those declaring their monthly income were in the range of L.E. 300-450³, which is considered to be low to low-middle income groups. Still, more than 70% of respondents owned their houses. This reflected the utmost need of the residents for social and economic development actions to be undertaken.

Nevertheless, a review of the list of actions undertaken by the implementing agency (as shown in **Table 1**, shows that economic development and employment and business creation were limited to the establishment of a new set of local market shops. These shops were supposed to be allocated to local residents, but the respondents suggested that this was not done and the shops were given to outsiders with good contacts with officials (favouritism). Furthermore, most of the actions, stated by the implementing agency, related to provision of education, credit provision and capacity building for women were not implemented.

³ The exchange rate is US\$ 1 = L.E. 5.5 (July 2008)

Table 1 : A number of local development actions and cost involved⁴

Action	Cost involved (L.E. 000')
Renovate and furnish Siklam youth Club	1,500
Construct pedestrian bridge over MK stream.	1,000
Construct a new local market	500
Construct a public transport bus stop	300
Covering municipal and water canals	1,200

Table 2 : Summary table of priorities identified for the area and the actions carried out by the PDP

Priorities identified for the area		Implemented actions within the PDP
Identified by the PDP	Identified by 2006 study (*)	
Road pavement	Road pavement	Renovate and furnish Siklam youth Club for boys and girls
Hospital	Health services	Construct pedestrian bridge over MK str.
Women's skills enhancement centre	Schools	Construct a new local market
Schools	Street lighting	Construct a public transport bus stop
Pedestrian bridges	Improved water and sanitation services	Covering municipal and water canals
A police station/ post office/ computer centre		
A credit unit system		
Improved accessibility		

(*) That's after the PDP work was completed

As shown in Table 2, some of the priorities identified by the PDP for action were still on the list of priority issues identified the residents in the 2006 study. Curiously, some these issues were not covered by the actions undertaken within the PDP while some unidentified provisions were made by the project.

Key Lessons

This section presents key lessons from the field study on the actions conducted by the PDP, with each paragraph tackling an issue that is followed by a description of the approach and/or action adopted by the implementing agency following by the lesson that could be drawn regarding the implemented approach.

Misconception of public participation and social inclusion

⁴ The overall cost of the development project was about L.E. 5.85 million (approximately US\$ 1 million), of which L.E. 4.5 millions were allocated to the listed five local actions.

QUOTE "Participation means bringing national and local agencies, local community organisations, the private sector, and academic institutions together in a search for innovative development ideas that lead to reform." (source: GTZ)

It seems that the broader community representation on the stakeholder council did not function as envisaged and that the practical interpretation of public participation and social inclusion was limited in scope.

Lack of detailing of social inclusion within the settlement

The PDP project aimed at "institutionalising participatory policies and tools for the urban poor". The urban poor are however not a homogeneous category. Development needs and possibilities for women, men, (male or female) adolescent youth, old women and men etc. differ. Through PRA techniques PDP identified at least one priority need of women (Women's skill enhancement centre). However, it is not clear if and how the PDP identified and included the development needs of these different categories of inhabitants into their project planning and implementation processes.

The post-survey further revealed that the neighbourhood has also a somewhat mixed socio-economical population, ranging from the illiterate to high school graduates. Again, it is not clear how these different strata took part and if their knowledge of and opinions on the project differed. Sex and class- disaggregated PRA, interviewing and data analysis might have made clearer what young and older women and men (and children) with different levels of development wanted, knew and gained from the project.

Working in an inefficient policy framework

"Until now, former centrally-steered attempts to solve Egypt's urban problems have not proven successful; however, throughout recent years the political climate has changed and become more receptive to a participatory approach."

Actually this is a general statement, with no concrete actions to show for that change, the government of Egypt typically is pursuing a centrally-oriented approach at all levels; i.e. national, governorate and local levels.

Working within a context of scepticism

"There is little trust between the local community and local representatives".

Meetings attended by different stakeholders and with the presence of local residents cannot in themselves diffuse the feeling of scepticism, nor for that matter increase transparency and information availability, as stressed by the PDP. Rather, there was a need to explore the origins of this scepticism and then attempt to overcome the real causes of this scepticism, especially when considering that government officials at all levels of government are appointed and thus do not have to answer to the people.

Limited or no social and economic development initiatives

As outlined above, the informal area residents have low educational and income levels. Accordingly, the implementing agency blamed government upgrading efforts for being not suitably used: physical infrastructure is financed while little or no investment is made in economic and social services. However, the Programme's provision in terms of economic development, employment and business creation was limited only to the

local market, the shops in which were allocated to outsiders. No action, at the scale of the community was actually undertaken in the area.

Use of Hi-tech means

It is stated that effective participatory local development assumes that the population, business people, and government offices have equal access to the same accurate information. Sharing information is a precondition for cooperation and common responsibility in local development. This statement is in itself true, but talking about the government providing local partners with a “simple interactive information base” that combines satellite images, socio-economic data, locations of services, and physical plans with applied Geographic Information System (GIS) technology, is way out of target.

We are talking about people with high levels of illiteracy, low income and minimum basic services. Such groups can use information generated by high-tech means, provided it is presented to, and used with them in forms suitable for people with less or no literacy, such as blown-up GIS photographs of their neighbourhoods with proposed changes, or proposed changes transferred to PRA maps prepared by local women and men. Nevertheless, it could be argued that the resources allocated to getting the satellite images, GIS technology and development of the system could have been more beneficial if spent on improving conditions in the area. This is especially true when considering that hi-tech options are often costly and do not provide much benefits when used for minor infrastructure improvements or when addressing better delivery of existing services. The issue is about potential utilization and attaining objectives with the most efficient use of resources, especially as these areas are more or less already filled up and thus no expansion is expected at least in the near future.

Sense of security of the residents

The problems of informal areas are not always related to a feeling of insecurity as in most cases they get official recognition, although, indirectly. The people get indirect recognition of their status by having access to infrastructure and services provided by governmental bodies. This, accompanied by the relatively large number of residents reduces the risk of forced eviction. However, the sense of insecurity they experience is more related to their feel of being excluded or marginalised, in terms of either lack or low quality of the services provided, their low socioeconomic status and powerlessness to influence the nature of the provisions that are made for the 'improvement' of their area.

Conclusion

A large proportion of the urban poor in developing countries are typically accommodated in informal areas. The feeling of being excluded and marginalized is amplified by the lack of infrastructure and service provision in these areas. The Participatory Development Programme in Urban Areas (PDP), implemented by GTZ in a number of informal areas in Egypt attempted to institutionalise participatory policies and tools for urban development and poverty alleviation.

Despite the ambitious objectives of the programme, some drawbacks were found when an assessment was conducted in one of the informal areas covered by the programme namely, Amrawy area in Alexandria. The main lessons from the case study indicate that

there was some misconception of what was required for effective public participation and social inclusion, which was amplified by working within a non supportive policy framework and that the different interest groups *within* Amrawy, in terms of sex, age, and socio-economic status, were not identified and taken into account. There was also a context of scepticism between the government and the residents, the origins of which were not explored and dealt with properly.

Hi-tech measures, such as remote sensing and GIS were employed with no clear benefits that could be derived from them for the case study or for those involved. A simpler and cheaper means, e.g. coloured maps that could have been mounted on stands in different sections of the area could have been more informative and assisted in having more residents on board. The sense of insecurity among the residents was not dealt with and was apparent that residents' involvement was limited to the problem identification stage only, without involvement in planning and implementation. More consultation meetings and direct contacts with the residents, at different stages of work could have been more appropriate for more involvement. Also, a full survey to assess the feedback of the residents could also provide a clearer picture not only about the outcome, but also the process adopted itself.

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Sustainable Water Management in the City of the Future

Integrated Project
Global Change and Ecosystems

D6.3.2: Case studies on selected approaches or methods to optimise social inclusion (M12)

Political and Social Dynamics in Upgrading Urban Sanitation: a case from Colombo, Sri Lanka

Jo Smet

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PP	Restricted to other programme participants (including the Commission Services)	
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CO	Confidential, only for members of the consortium (including the Commission Services)	

Political and Social Dynamics in Upgrading Urban Sanitation

a case from Colombo, Sri Lanka

A case study on social inclusion for SWITCH

Jo Smet⁵

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Executive Summary

The Basic Urban Services project in Colombo (Sri Lanka) aimed to improve low-income urban sanitation through multi-stakeholder involvement at local, municipal and agency level. The project covered Kotte Municipal Council and Wattala Urban Council areas. In Kotte the focus was on developing and pilot testing an integrated solid waste management strategy. In Wattala (in the slum Oliyamulla) the project addressed both innovative community-based solid waste management planning and field-testing, and wastewater management in a flood-prone, waterlogged area. At Oliyamulla community level a Community Development Council was established to facilitate the community voice to be heard and as a communication channel for discussions on implementation options. Multi stakeholder Working Groups consisted of municipality staff, NGOs and Technical Advisers from UN-Habitat. This paper describes the community, institutional and political dynamics in these urban sanitation projects. In Kotte an innovative environmental and pro-poor (income-generating) integrated solid waste management strategy (focus on recycling) was eventually not implemented. The new Mayor and Commissioner could not convince the newly elected Municipal Council on this strategy and waste dumping continued and incineration was to be added as the alternative option. In Oliyamulla (Wattala) the project became out-of-touch with municipality and community. The community rejected the feasible sanitation solutions; negligence of national and local government helped a local dweller put force to definitely stop the building a community-based solid waste sorting centre. The paper analyses the process in the Working Groups, in the Councils and in the community. The main conclusion is that political dynamics are hard to manage from a sole sanitation strategy perspective. Urban projects should be demand-based and built on a critical appreciation. The project missed opportunities by not timely reacting to changing political arenas and incorporating the political agendas.

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SWITCH (Sustainable Water Management Improves Tomorrow's Cities' Health) is a research partnership supported by the European Community (Framework 6 Programme) and its partners www.switchurbanwater.eu/learningalliances

Introduction

In the context of the UN-Habitat Sustainable Cities Programme (SCP) the IRC International Water & Sanitation Centre supported the Basic Urban Services (BUS) on WASH components. This multi-country BUS project⁶ included Sri Lanka where the project run from 2004-2007.

Basically, BUS was a practical follow-up of Urban Environmental Planning & Management process⁷ that the UN-Habitat SCP used. Demand for WASH improvements was a common outcome from the participatory integrated town/city planning process. The overall aim of BUS was to develop the capacities of municipalities to plan and deliver basic urban services in un(der)served areas through effective local partnerships.

In Sri Lanka the BUS project included demonstration of various WASH approaches and technologies, upgrading interventions strategies, planning for scaling up and development of bankable proposals. The main project approach was a process involving multi-stakeholder working groups at three levels: community, municipality and national. Participatory development and learning were central in the approach and project implementation. BUS had two locations in Greater Colombo: (i) the middle class Kotte Municipality with slum pockets, here the focus was on integrated solid waste management; and (ii) the low-income urban area Oliyamulla (a waterlogged, flood prone area) in Wattala Urban Council with the content focus on solid waste and waste water management. The selection of these two sites had an historical reason as the SCP project had earlier done environmental planning and demo's in these areas.

In **Kotte** the aim was to develop and demonstrate an innovative integrated strategy for solid waste management (SWM) with decentralised composting and recycling that would provide income for the poor. The Ministry of Environment was substantially involved and had a direct interest to (i) use the Kotte experience in to test and possibly reformulate its existing solid waste management policy, (ii) develop an overall country-wide strategy for low-cost socially inclusive SWM and (iii) scale up the Kotte experience to other cities and towns in Sri Lanka. In **Oliyamulla** (Wattala) the BUS project focus was two-fold: (i) developing and testing an improved management of solid waste with local sorting of waste by a Community Based Organization (CBO), and (ii) developing and testing appropriate solutions towards managing human waste and grey water from poor families.

The purpose of this case study is illustrate the political and institutional dynamics and challenges to develop and thereafter actually implement urban sanitation solutions aiming at social inclusion.

Basic Urban Sanitation Service in Kotte and Oliyamulla

⁶ See also <http://www.irc.nl/bus>

⁷ <http://www.unhabitat.org/content.asp?cid=5025&catid=540&typeid=19&subMenuId=0>

The local context

Kotte wanted to become Sri Lanka's first proclaimed 'environment-friendly' municipality, a very noble goal. This local goal created drive and enthusiasm for innovation and tangible results in environmental sanitation and health improvement among both politicians and technical staff in the municipality. In the UN-Habitat SCP multi-stakeholder process, prior to BUS project, the SWM was identified as the most critical urban sanitation problem to be tackled, and to cover all sections in Kotte with an improved SWM. The emphasis would be on an innovative SWM strategy, process and technology, that is labour intensive collection, separation, composting of organic waste and recycling of non-biodegradable waste whenever possible. The urban poor would benefit from such an approach.

Kotte has a varied settlement pattern: offices (incl. several national ministries), business areas, high/middle income residential areas and low-income areas; Kotte has no significant industries.

The BUS project approach followed a very participatory multi-stakeholder learning process with involvement of ministries, municipal staff and politicians, and NGOs. The different communities were regularly consulted through surveys, interviews etc. The BUS project in Kotte built upon earlier SCP demonstrations of the sorting of recyclable waste, home composting and small-scale biogas production from biodegradable market waste. BUS evaluated these pilots. The main BUS output in Kotte was a strategy for integrated SWM with a number of feasible environment-friendly solutions. These innovative SWM solutions had a good potential for income generation for the poor. However, and as detailed in the next section, eventually the politicians made a U-turn away from the environment-friendly and pro-poor solutions. The advanced technology choice in SWM may have a lower cost-efficiency and have serious financial consequences for the poor in Kotte.

Wattala Urban Council⁸ is a fast growing suburb of Colombo with many small to larger industries and a growing middle class. **Oliyamulla** is a relatively small low-income legal settlement since 1995 in a reclaimed swamp. Oliyamulla counts some 350 households, most legal settlers although without title deeds. It receives municipal services such as electricity and water, and has an irregular garbage collection. The political interest in Oliyamulla may be the potential electorate and the business value for later urban development. The low-income (slum) settlement is located in very difficult environmental conditions: water logged (high groundwater table) and flood prone. The small settlement is almost entirely surrounded by a channel that receives storm water and partly unsettled wastewater from adjacent residential and industrial areas. The open sewage channel is completely choked with settled faecal sludge (situation 2007), and resembles most a primary wastewater stabilisation pond. In the rainy season the settlement gets partly flooded with diluted sewage from the channel and the neighbouring areas. The flow of wastewater from the Oliyamulla households stops then.

⁸ Please note that a Municipality has a higher autonomy status than an Urban Council



Photograph 1. Oliyamulla- blocked drainage channel
Source: Sevanatha

UN-Habitat's Sustainable Cities Project had earlier experimented with a simplified sewerage to which some 35 households got their water-flushed toilets connected, and that led to one central septic tank and an up-flow wastewater filter. The BUS project included an evaluation of this pilot project. BUS intended to scale up this domestic wastewater pilot project to the whole suburb and also to address the SWM problems. The main BUS Project purpose in Oliyamulla was to learn how to tackle BUS challenges in urban slums with high water tables. For the SWM component, BUS developed solutions in sorting, recycling and collection; and in wastewater management (WWM) options explored included central and group sewerage systems with sedimentation tanks and secondary treatment and household EcoSan systems.

As in Kotte, also in Wattala-Oliyamulla a participatory multi-stakeholder approach was used; actually at three levels: (i) at **community level** through a Community Development Council (CDC) and various community processes such as community consultations, door-to-door visits and community exchange visits, (ii) at **urban council level** through a wide multi-stakeholder working group, and (iii) at **national level** through a Working Group involving ministries, NGOs and a technology department of a university. In the process of the BUS project, several consultations with the inhabitants of Oliyamulla were held around SWM and WWM issues. The CDC was formed to enhance local ownership, facilitate participatory planning and design and manage the expected systems and services. It was registered legally under the Wattala Urban Council. It had a constitution and nine members, five men and four women. This CDC brought most households to the centre of the BUS SWM and WWM project. Actually, the participation of women from the community in the consultations was high. However, eventually, and as explained below, none of the expected outputs (SWM and WWM) were delivered to the poor. The exclusion of the willing poor resulted from the community and political dynamics.



Photograph 2. Consultative meeting at community level (Oliyamulla)
Source: Sevanatha

In both BUS projects, the Project Support Team of the Urban Governance Support Project gave guidance and support. IRC provided specific technical support in the process and solutions, while contributing to progress monitoring and assisting in planning. UN-Habitat SCP Programme Managers played an important role, having local knowledge and being familiar with the historical SCP context.

The multi-stakeholder platform approaches and processes in Kotte and Wattala

In **Kotte** the Working Group consisted of the Ministry of Environment and Natural Resources (MoE), the Central Environmental Authority (CEA), a regulator, Kotte Municipal Council (KMC), National Environmental Research and Development Centre (NERD) (government institute), PracticalAction (NGO) and Management Resources for Good Governance (MaRGG) (NGO). Each of the members brought in its specific societal roles and responsibilities, while PracticalAction concentrated on technical issues and MaRGG on community processes and institutional arrangements and development. The group was incidentally expanded with staff from the Urban Development Authority and the new Waste Management Authority; both supportive and regulatory state organisations. Although the private sector firm in SWM (named ALBANS, contracted to collect and dump) always got invited, they never attended the meetings: an opportunity for two-way learning missed.

The Working Group meetings were well attended, with the MoE chairing and the Municipal Commissioner as project champion. However, not always meetings went on as planned, which frustrated the enthusiastic members. The Working Group members did not always deliver reports on agreed tasks/activities in time, which made the meetings not effective and delayed the progress. Although the MoE chaired the Working Group meetings, the members

did not accept an authoritarian position. The Working Group was very dynamic with hot discourses on feasible and desirable strategies. The obviously different backgrounds, perceptions and agendas of different stakeholders/working group members caused strong views and debates that eventually got solved and enriched the final outcome. Such disputes resulted from the high level of openness and frankness of the working group members and may be unique for developing countries. It was a creative process leading to a comprehensive Integrated Solid Waste Management Strategy, unique for Sri Lanka. Of course, each of the members had its own agenda, and these were well brought together into one Strategy. The product included the findings of the evaluation of the earlier SCP-pilots on home-based composting, collection and sorting recyclable waste and small-scale biogas production from bio-degradable market waste, and a field study/consultancy pointing towards the higher feasibility/sustainability of decentralised composting rather than biogas plants for solid waste. The draft ISWM Strategy was discussed in a one-day citywide consultation and validation workshop attended by technocrats from national level and different municipalities, local politicians, private sector, schools, NGOs and CBOs, and the working group members.

Actually, the Kotte Municipality was faced with a court case started by the Civil Society Movement for poor management and disposal of municipal solid waste. The Integrated SWM Strategy helped the Municipality to show the vision and strategy on urban environment-friendly and pro-poor SWM. This impressed the judge and it was presented as an example to the other 10 municipalities facing the same court case.

The Working Group started work on producing the Integrated SWM Action Plan for Kotte for which the MoE developed the outline and draft framework. Unfortunately this product never got fully completed. When the final product, the Integrated Strategy on SWM was produced and the Action Plan for Kotte drafted, municipal council elections were held. A new Council, a new Mayor and Commissioners came. The Working Group got into a dormant mode; the project Champion (the previous Commissioner) left. The new Mayor and new Commissioner were briefed by the Technical Support Team and became supportive to the Integrated SWM approach. But the newly elected Kotte Councillors decided not to follow the environment-friendly and pro-poor (through many low skilled paid jobs) Integrated SWM strategy, but to go for **central waste dumping through contractors and incineration of solid waste**, with technology and installation provided by a **European/French firm**. The municipal direction on SWM changed 180 degrees. Municipal staff involved in the environment-friendly direction left their posts, probably frustrated.

The democratic decision by the Municipal Council has to be respected. But questions on feasibility, cost-effectiveness and sustainability (from different angles) remained un-addressed and unanswered.

In the *Wattala* case **two working groups** were established. One was a multi-stakeholders platform at the national level. It was composed of the National Housing Development Authority (NHDA), Wattala Urban Council, SEVANATHA (NGO), the Open University of Sri Lanka (OUSL), PracticalAction (NGO) and the National Technical Adviser. The other Working Group functioned at the Wattala Urban Council level. The composition of this latter working group was large, as detailed in the text box. This Working Group hardly functioned; its meeting schedule was very irregular. SEVANATHA improved the community organisation by supporting the establishment of the Community Development Council (CDC) and the development of a Community Action Plan. At the Wattala Urban Council the Community Public Health Inspector was the key contact on a daily basis. A few Review Meetings with all stakeholders created good exchange and learning opportunities.

Composition of the Working Group at Wattala Urban Council level	
<ul style="list-style-type: none"> ➤ Chair: Council Chairman or Vice Chairman ➤ Convener: Secretary of the Urban Council ➤ All the nine Councillors were invited to attend (usually 05 to 06 councillors attend each meeting – for comments on functioning!) ➤ Representatives for ITDG ➤ Representatives from UGSP office ➤ Representatives from NHDA ➤ Representatives from OUSL ➤ Officials representing Public Health, Technical, Assessors and management departments of the Urban Council 	<ul style="list-style-type: none"> ➤ Local stakeholders <ul style="list-style-type: none"> • Community leaders from Oliyamulla Settlement • Community leaders from other low income settlements • Representatives of the Lion Club • Representatives of the Traders Association • Representatives of Tax Payers Association • Representatives from the business community • Representative of the senior citizens ➤ Representatives of the professional groups ➤ Representatives of local NGOs

The wastewater problem was studied by the OUSL, however, more from a technical-academic than from a community and pro-poor perspective. Building on the earlier simplified sewerage pilot, technical WWM data and solutions were presented to the Working Group but not well communicated (in form and length) and its delivery got delayed. The different pace of progress of the two Oliyamulla components, that is SWM and WWM, caused unclear situations in the discussions with the CDC, the interface with the Oliyamulla community. The EcoSan option was introduced as a second option when the sustainability of simplified sewerage became doubtful. Several community members were taken for an exchange visit to a successful EcoSan project where local EcoSan users indicated its success and their appreciation. However, the community rejected the on-site EcoSan option on cultural grounds and that for them the non-use of water flushing being a backward system. The option may have been the most sustainable option in view of finance (investment and O&M), environment and technology. An extra effort to have some households starting an experiment with EcoSan also failed. The fact that the low cost sewerage with sump and pumps was first introduced and explained as an option prior to the EcoSan may have influenced the perceptions for advanced development of the community. Although the Working Group concluded that feasibility and sustainability of the sewerage system was found low, a small pilot with sewerage was planned. This pilot eventually did not materialise as the relationship with the Urban Council and the community became poor.

Regarding SWM, it was planned to build a solid waste sorting centre in Oliyamulla. Solid waste segregation was not a common practice among Oliyamulla residents. Accordingly, awareness creation was done to highlight also the economic value and benefits. The solid waste sorting centre would be managed by a CBO and create some employment for the poor.



Photograph 3. Community in action removing solid waste

Source: Sevanatha

In Oliyamulla, communicating and working with the low-income area dwellers was complicated and often not effective. Community meetings experienced poor attendance; door-to-door visits were time consuming and not always practical (for instance when to explain a technical solution); meetings with the CDC gave ‘community’ views biased by personal interests. Some of the main interests of the community members were on (i) issuing title deeds of the plots by NHDA and (ii) the expected resettlement of families that had illegally built houses after the initial plot allocations in 1995 and whose houses were blocking the construction of sewerage or the improvement of the community. Although the original design of the Oliyamulla settlement allowed for streets and back-alleys, illegal settlers had occupied any available land and legal houses had illegally expanded into the back-alleys leaving hardly space for sewers and drains. House-owners were not very keen on the WWM solutions as it always would have resulted in demolishing part of their expanded houses.

As the process went on, non-authorised/illegal residents of Oliyamulla used their higher position within the CDC to have their own agenda addressed; particularly the re-settlement and provision of new houses. When the NGO of the Working Group did not answer these demands or referred it to other members of the Working Group, the illegal settlers threatened to boycott the CDC/BUS meetings and even prevented others to attend. Apparently, some people with own agendas had managed to use their influence, popularity or power to get high positions in the CDC and use that position for their own purpose only.

From earlier community surveys, it had already emerged that Sri Lankan communities have more trust in NGO projects than government project as these latter ones never get completed or are discontinued. When the government agencies delayed the process in resettlement in Oliyamulla, cooperation from the community side went down. The delays were caused by the government’s loss of the original survey and allotment maps, the limited availability of land for resettlement and the high cost for moving and new housing construction. The actual BUS issues, SWM and WWM, were therefore not anymore the concern, or better, they were the **negative** concern of all illegal settlers, because most as a result of these BUS activities, they would probably have to be moved. Another problem was that the illegal settlers who did not had to move still lived on illegal plots with no interest to invest further. Furthermore, several legal houses were rented out with the owners living elsewhere. It was therefore very hard to get the real stakeholders, who are the house owners, in the meetings to make decisions on improvement. All these factors counted for the non-cooperation and the negative influence on other more cooperative community members.

Eventually, the BUS project Working Group managed to get clarity on the land ownership of Oliyamulla. The Urban Development Authority (UDA) had given the land to the National Housing Development Authority (NHDA) on a 99-year lease agreement. Residents had no title deeds. As a result of the BUS project, the NHDA obtained permission from the UDA to hand over the land to legal house-owners on a freehold basis.

In the SWM one of the key stumbling blocks was the location of the Community-based Solid Waste Sorting Centre. A community member claimed the only suitable lot available for this centre. He raised the issue with the Wattala Urban Council Chairman who referred the issue to NHDA, while the Chairman knew that NHDA owned the land and would approve the use of the land for a community development project. The land allocation issue got politicised and was put to the NHDA that also not clearly communicated a firm position. From the start of the BUS-Oliyamulla project the local government (Wattala Urban Council) did not act strongly. The request of the Working Group to the WUC to ‘freeze’ land that was still unoccupied was not acted upon. This issue on the ‘free’ land required for the Waste Sorting Centre resulted in a private-community-political issue with the community member as the winner using his political influence. In the end, the failure to deal quickly and effectively with the resistance from illegal settlers and house extenders, the unrealistically raised expectations for water-borne sewerage, and an unjustified individual land claim caused that neither the WWM nor the SWM project materialised. A further result is that the poor continued to suffer from the poor environmental conditions.

Key Lessons on Kotte and Oliyamulla/Wattala BUS Projects

Kotte BUS Project - main lessons learned:

1. The main lesson learned is that political processes can suddenly change directions in policy and strategy. Although democratic principles need to be highly respected, the forces behind democratic decisions may not always have been that transparent. In the decision process arguments and criteria other than feasibility, financial and technical sustainability, environmental effects and contribution to increased livelihoods of the poor may dominate. This may have resulted in an unbalanced decision process.
2. Local elections create political changes. Newly elected councillors get the power. Their limited knowledge and background on key issues and personal perceptions of and ambitions for high-tech solutions may influence their decision-making, as shown by the U-turn on the type of SWM in the Kotte BUS case. In developing countries it is not unusual that good innovations are entirely discontinued when an opposing party gets into power. Normally, the civil servants are the permanent memory and provide the background to the new politicians. In the Kotte case, the key civil servants involved in the innovation on SWM left. The Kotte BUS Working Group had become inactive or even dormant for reasons given in ‘lesson learned nr. 4’ below. The Working Group could have filled the vacuum after key civil servants left to brief the new politicians on the integrated low-cost and pro-poor SWM strategy. Apparently, commercial interests used the same vacuum to quickly step in and convince the new Councillors of another SWM solution. The lesson learned is that innovators and reformers never can sleep! The BUS project has left a great chance here to make innovation on pro-poor SWM happen.

3. Another lesson learned is that European partners in SWM have different faces: IRC has been working for more than two years to have a multi-stakeholder process for learning and change (financed by a European government), while another SWM firm may come in, perhaps also with European funding, to support purely commercial interest that conflict with the lessons learned in BUS project and with long-term sustainability in many aspects.
4. The Kotte BUS Working Group had entered a low activity or even dormant phase, after the MoE had drafted the framework for Integrated SWM Plan. The Working Group members viewed the unilateral initiative as an attempt to dominate the process and to impose the Ministerial agenda. Earlier, the different perceptions and agendas that had created a critical and alert group process through positive internal working groups dynamics. This process was lost when attitudes changed and progress stagnated. Working Group members perhaps became too tired to start another ‘fight’ and they dropped out of the process. **External facilitation**, noticing the conflicts of interests and loss of enthusiasm might have come to the rescue and might have corrected the imbalance in the process and the orientation.

Wattala-Oliyamulla BUS projects - main lessons learned

1. Low-income areas have their own social and political dynamics. Legal house owners often rent out their houses and live elsewhere. This makes it difficult to get their commitment; renters may have no mandate or show no interest to collaborate in upgrading that may result in higher rents. Illegal settlers have their own agenda to secure their investment in their illegal dwelling or to make sure –if they are moved – to get a good compensation package or a good/better house or location to resettle. An urban upgrading project should have a good overview, of the legal and illegal ownership and occupation by owners or tenants (for instance a social map). Development issues may concern specific groups and having all stakeholders mixed up in meetings may result in unclear outcomes and even power plays by the most vocal or powerful group with political allies.
2. The title deed issue was a strong motivational factor for legal house owners to collaborate. But the enthusiasm of house owners dwindled due to the huge delays from the side of the government agencies, which also contributed to the slow progress of the BUS project. Slowness over land allocation decisions and the increased politicisation of the whole planning process created also new opportunities for opportunistic and unscrupulous individuals as shown by the unjustified, yet successful private claim for the site of the Waste Sorting Centre.
3. The BUS project did not respond to a local problem agenda. BUS was a continuation of the earlier SCP project. For some groups (e.g. illegal settlers) the project created opportunities at the start (that is resettlement and new housing), but when these turned negative this community group blocked community interest and participation.
4. Introducing technology options is a sensitive process. Firstly, any technology has different investment and management and O&M implications that need to be carefully introduced. Secondly, starting with working on an advanced technology line (sewerage) creates expectations that makes other, perhaps more feasible, sustainable options (e.g. EcoSan) less attractive and makes it look more backwards.

5. Any community development project needs support of both the local politicians and the technocrats. Often local electorates, also in slums with high numbers of voters, make the position of politicians awkward and fires their populism and opportunism to gain potential voters, rather than helping them to be realistic on developments that may have negative consequences for a few. Gang leaders in a community can make community opinions change against community interest and also influence the opinion of popular politicians. Gang leaders have sufficient power and support from people and politicians to use it for their own benefit.

Conclusions

Urban projects in low-income or mixed areas have many dynamics. Not just the development agendas of government and NGOs govern. Such urban projects are complex and need good preparation at many levels: government agencies, local government, NGOs, politicians and community level, with their different interest groups, such as male and female renters, owners, illegal settlers, job-seekers and youth groups. The mapping of different interests and factions is important to develop strategies and methodologies to learn and implement. Monitoring the reactions from the different stakeholders in the most critical areas is needed to keep project working groups and management alert. Timely actions are needed to keep all parties enthusiastic for the project, solve tensions and conflicts and work jointly towards shared goals for improving the urban living conditions of the lower middle classes and the poor. Where one stakeholder goes off track or is late in delivering, the entire project may be at stake as negative forces may enter and block progress of the project.

Political dynamics in community projects need special attention. Changes in the political climate may imply changes in the development agenda in opposite directions from those of the previous politicians and administrators (governors). Promising solutions also benefitting the poor, and in the Kotte case the environment, may be slashed away for political and personal reasons, unless the stakeholders are alert and timely brief the new Councillors of the benefits for all, including themselves. Local politicians are key allies in sustainable development; they have to be on board. Urban communities are split in factions and interest groups; the project needs to get informed on their expectations and keep alert not to lose them out.

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Sustainable Water Management in the City of the Future

Integrated Project
Global Change and Ecosystems

D6.3.2: Case studies on selected approaches or methods to optimise social inclusion (M12)

Our island in the city of Hamburg: Ten years experience with citizens involvement “MITwirken” in rehabilitation and restructuring of Wilhelmsburg island – a basis for social inclusion in integrated urban water management?

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Our island in the city of Hamburg:

Ten years experience with citizens involvement “MITwirken”⁹ in rehabilitation and restructuring of Wilhelmsburg island –

a basis for social inclusion in integrated urban water management?



A case study on social inclusion for SWITCH

(May 2008)

Peter J. Bury¹⁰, Christine A Sijbesma¹, Jochen Eckart¹¹,

9 MITwirken is German for “collaboration” or “working WITH”. The “MITwirken in Wilhelmsburg” process is meant to strengthen the link between citizens participation and existing municipal structures. For this the Wilhelmsburg council appoints yearly an advisory District Urban Development Committee (DUDC), which implements in close consultation a number of own projects. The 60 committee members and many other male and female citizens (about 300 by now) engage themselves in 8 working groups on agreed themes.

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Abstract

This case study on citizen participation programme MITwirken on Wilhelmsburg island describes the partnership of local citizens, the local and central city authorities, NGOs, and the commercial private sector in developing a vision and plan for the integrated development of an island area in the river Elbe as part of the overall city development policy and strategy. The island is located almost in the centre of the city of Hamburg, a fast-growing city with a population of around 2 million in northern Germany. The largest group of residents consists of lower income, increasingly foreign residents that live in the least attractive parts of the island.

As a partner in the SWITCH programme, which aims for enhanced Integrated Urban Water Management (IUWM), Hamburg has chosen Wilhelmsburg as its demonstration site, intending to also address social inclusion in the development process. The future of Wilhelmsburg, which in the past housed harbour, industries and agriculture, is currently the focus of various planning initiatives. The island is to provide recreational and residential space and more employment opportunities for a relatively young population of almost 50,000 people with very different cultural and socio-economic backgrounds and of at least 130 different national origins, and also benefit the city population at large.

This paper documents the participation process, organization, initial experiences and tentative lessons learned from the main formal involvement of island inhabitants in planning and management, referred to as the “MITwirken” initiative. Lessons are taken up by the SWITCH programme to address social inclusion in activities up to early 2011. The case study presents lessons learned on participation, social inclusion and public-private-civic partnerships among SWITCH partners in the other 14 cities of the SWITCH programme¹².

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Introduction and methodology

This case study concentrates on the citizens participation process „MITwirken“ on Wilhelmsburg Island in the city of Hamburg and the related District Urban Development Committee (DUDC). Many more initiatives and projects on social integration have been and are being implemented on the island. There are, e.g., the Wilhelmsburg Turkish Association, the International Garden Show Wilhelmsburg, the Citizens Initiatives by Foreign Employees, the Elbinsel.net, Promotion of Students Housing and the International Urban Development Expo. These (ongoing) experiences with participation and integration of citizen groups have not been looked at in this case study.

This case study is primarily based on a desk study relying on available information (a) from various the internet sources (b) interviews with a broad representation of actors involved in the MITwirken process and (c) workshop reflecting on the results and lessons learned so far in terms of citizens participation and inclusion efforts of those with a lesser voice on the island.

Presenting the context

The municipality of Hamburg, located at the mouth of the river Elbe in the northern part of Germany, is one of the fastest growing cities in Germany. Its population was 1.8 Million in 2007 with an annual growth rate close to 9%.

In 2006 the SWITCH project started collaboration with the municipality of Hamburg. When activities began to focus on the island of Wilhelmsburg, a learning alliance was developed to include several core members representing key local stakeholders from the island. Potential members of the learning alliance were identified through a stakeholder analysis and interviews. Non-governmental organisations engaged in the social, cultural and ecological improvement of the island play a particularly active role and the learning alliance builds upon existing structures for citizen and stakeholder engagement, described in this document.

This case study describes the processes of public-private-civic partnership and multi-stakeholder participation to arrive at a shared vision, strategy, plans and projects for the integrated development of the island. Special attention is paid to the participation of women and men from marginal groups and organizations representing the interests of these groups. Box 1 gives a definition of social inclusion in the SWITCH project.

Wilhelmsburg is a neighbourhood in the city district Hamburg Mitte. Area wise, it is the largest of the 104 neighbourhoods of Hamburg city and it has the sixth largest population. Hamburg city itself is situated in the Elbe river basin, where the river divides into two large river arms. Wilhelmsburg and the neighbourhoods Steinwerder, Kleiner Grasbrook, Hohe Schaar, Neuhoft and Veddel are situated between the two river arms of the Northern and Southern Elbe. Each of them is an island in itself as they were diked separately. But mostly they are understood as one island: the river island of Wilhelmsburg (‘Elbinsel Wilhelmsburg’) which is the biggest river island in the whole of Europe. The area between Northern und Southern Elbe measures about 50 km². With about 35 km², the neighbourhood of Wilhelmsburg is the biggest

location. The longest distance from the southeast (Bunthaeuser Spitze) to the northwest (Koehlbrandhoeft) is about 13 km. Geographically, the river island is situated in the centre of the municipality of Hamburg. Only separated by the river arm Northern Elbe, Wilhelmsburg adjoins the city centre. Wilhelmsburg is originally a marshland characterised by wet meadows and an artificial drainage system (Baumann & Ackermann, 1995; Freie und Hansestadt Hamburg, 1983; Freie und Hansestadt Hamburg, 1996).

Box 1: Why SWITCH addresses social inclusion and how it is understood

Ensuring that decision-making institutions and processes, including research and innovation processes, are socially inclusive is a priority for the SWITCH project, because it is essential if the project outcomes are to be socially sustainable and equitable. Securing the meaningful participation of the most deprived can be difficult, however. A lack of assets, confidence and voice can lead to such groups being left out of decision-making processes and development interventions can sometimes make them even more marginalised and disempowered. There are three main dimensions of social exclusion. People can be excluded because of:

- *what they have* (or what they do not have) in the way of resources, also termed 'economic deprivation';
- *where they live* (spatial deprivation, such as the stigma from living in the 'wrong part of town' which may prevent otherwise good candidates from getting a job);
- simply because of *who they are* (identity-based discrimination including gender).

This paper sets out the conceptual underpinnings of social inclusion and exclusion and explains why it is relevant to urban water management.

Source: <http://www.switchurbanwater.eu/page/2367>

New city development policy and strategy

In the past, the Elbe delta area housed the Hamburg harbour and harbour-related industries. The abandonment of the old docking area and the closure or departure of the old industries initially led to the economic and social decline of the area, with negative impacts on the original local population and the low-income immigrants that had settled there. Increasing social disturbances in the eighties and early nineties led to the adoption of a citizens' participation policy for urban development.

In the second half of the 1990s, Hamburg gradually began to discover the attractive potential of its waterfronts. The "Leap across the Elbe" from the inner city across the "Harbour City", the Grasbrook, the Veddel and Wilhelmsburg towards the community of Harburg on the southern side of the Elbe river (Figure 4), is the core of the city's vision entitled "Hamburg Metropolis – a growing city". Hamburg city adopted the framework concept "Leap across the Elbe" on 8 December 2005. In the geographic centre of this city of the future, an opportunity exists to gradually cater for this growth in a qualitative way in an area that was previously seen as a burden. Next to prestige projects, the opportunity should also be used to implement projects of diversity (of cultures) on the island. City renewal / rehabilitation sits at the centre of this approach to address both emigration and immigration patterns in a socially stabilizing way.

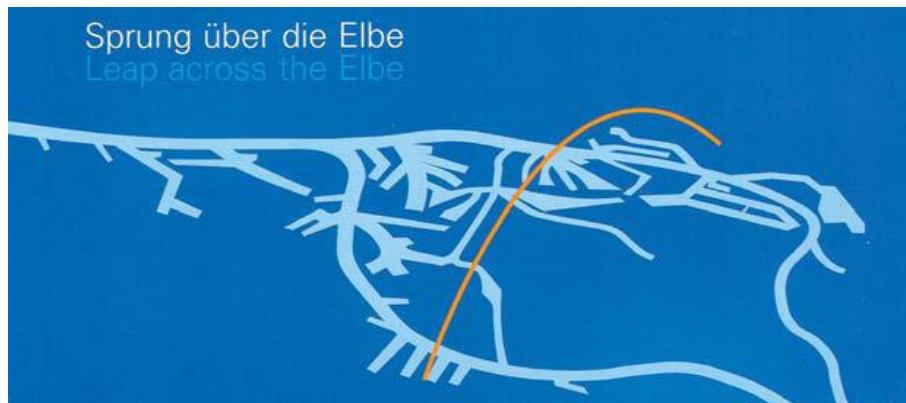


Figure 4: Future "Leap across the Elbe"

The citizen's participation mechanism "MITwirken in Wilhelmsburg" is part of the larger Hamburg municipal urban development programme. This programme promotes the improvement of livelihoods in parts of the city with particular needs. On the island, the central body is the formal District Urban Development Committee (DUDC). The DUDC met for the first time in Wilhelmsburg on 25 November 1996.

Hamburg SWITCH Learning Alliance

Since end 2006, the Hamburg city coordinators of the SWITCH project are promoting the setting up of a learning alliance to address integrated urban water management (IUWM) issues. The coordinating partner in Hamburg is the newly created Hafen (=Harbour) City University of Hamburg, in particular its City Planning department. The SWITCH Learning Alliance Hamburg (Hamburg LA) facilitates the joint action oriented learning and sharing between practitioners and research and enables practice focussed research. The LA members include stakeholder groups from research institutes (the Hafen City University Hamburg and the Technical University Hamburg-Harburg), various relevant city administration agencies, the IBA¹³ and the IGS¹⁴, Hamburg harbour and water companies, and various civil society organizations (including the Wilhelmsburg DUDC). The Hamburg LA focus on IUWM implies attention for social inclusion measures, for which the project will build on the "MITwirken" experience.

The Hamburg LA decided to focus its activities on the island of Wilhelmsburg to synergize with the IBA and IGS initiatives there and to build on the citizen's participation experiences on the island. The thematic focus is the development of the "Integrated Urban Water Management Plan 2030".

13 IBA = Internationale Bau Ausstellung (International Building Exposition)

14 IGS = Internationale Garten Show (International Garden Show)

The SWITCH demonstration site

The local context described

Almost in the heart of the city of Hamburg lies the originally marshy Elbe river-island of Wilhelmsburg (Figure 5). With its 3.500 hectare of land, it is the biggest city district.



Figure 5: Wilhelmsburg Island in the river Elbe, just south of the heart of Hamburg

The island consists of six ‘Viertels’, which are quarters or neighbourhoods (Figure 3):

1. Reihentrieviertel or Alt (=old) Wilhelmshaven;
2. Bahnhofsviertel (=railway station quarter);
3. Georgswerder;
4. Kirchdorf (= Church village);
5. Kirchdorf Süd (=South);
6. Moorwerder.

Tradition and innovation are closely interlinked on Wilhelmsburg. Kirchdorf is the old Church Village, an agricultural settlement, which has been engulfed by city development. Through gradual damming of the small river-islands since 1333, the nowadays big Wilhelmsburg island emerged. In the 19th century rapid industrialization and growth of the Hamburg harbour transformed the original agriculture use of the land. Increased demand for labour made citizens settle on the

island. Old, often small settler's homes, container cranes and high-rise residential buildings now lie amidst industrial land, abandoned heavy industry areas and wide green areas. The island is intersected by three important traffic lanes: the old national Wilhelmsburg highway, the railway and the modern interstate highway A1.

After the Second World War the disastrous flooding of 1962 – in which more than 300 people perished - brought an end to the building boom. Further residential building was stopped in the western part of the island. The eventual degradation of residential buildings led to an influx of “Gastarbeiter” (cheap foreign labour, typically from Turkey) looking for low rent housing. In the sixties and seventies large low-rent social housing blocks were built in Kirchdorf South (Figure 6).



Figure 6 Boundaries of the SWITCH demonstration site of Wilhelmsburg

In the 1980s, under the new urban policy, urban rehabilitation aimed for improved living quality in various parts of the island. Citizen's participation was introduced in 1994, but still many long-time inhabitants left the district. At the same time there was an influx of lower income groups, in particular of foreign “Gastarbeiter”. In 2001, the city of Hamburg initiated the ideas of an International Urban Development Exposition (IBA) and an International Garden Show (IGS) on the island in 2013. Both projects were initiated under the above described City Senate vision of “Hamburg Metropole – a growing city” and the “Leap across the Elbe” aiming for a sustained enhancement of Wilhelmsburg and city expansion towards the south.

In 2004, Wilhelmsburg counted 48.322 inhabitants. Table 3 below gives its characteristics in comparison with the city district of Harburg on the southern side of the river and with Hamburg City as a whole. The table shows that the percentage of children and youth is well above the citywide average. In contrast, the percentage of elderly people is lower. The island population is therefore relatively younger and lives in a growing city district. A good 34% of the island's population is of foreign origin. Also rates of unemployment are significantly higher than either District Harburg, of which it forms part, or even the wider city of Hamburg. Similar figures can be found for low cost social housing.

Table 3: Wilhelmsburg profile 2005

	Sub-District Wilhelmsburg	District Harburg(*)	Hamburg
Population (2004)			
Population	48 322	200 092	1 715 225
Younger than 18 years	10 935	38 476	273 088
% population	22,6	19,2	15,9
Older than 65 years	6 827	35 861	311 598
% population	14,1	17,9	18,2
German	31 812	159 762	1 460 158
Foreign	16 510	40 330	255 067
% population	34,2	20,2	14,9
Surface in km ²	35,3	160,6	755,2
Population density / km ²	1 371	1 246	2 271
Social structure			
Formal employed "social security beneficiaries" (2004)	13 404	59 611	554 448
% 15-65 age	41,4	44,9	47,1
Of which women	5 355	25 862	267 250
% 15-65 age women	35,8	40,5	45,5
Of which men	8 049	33 749	287 198
% 15-65 age men	46,2	49	48,8
Jobless (December 2004)	3 539	11 584	81 518
% 15-65 age	10,9	8,7	6,9
Jobless youth	438	1 299	6 981
% 15-25 age	6,8	5,1	3,7
Jobless elder people	370	1 327	10 001
% 55-65 age	6,9	5,8	4,8
On social security pay (2004)	6 821	20 305	122 908
% population	14,1	10,1	7,2
Housing			
Average housing size in m ²	67,2	70,4	71,5
Per inhabitant in m ²	28,5	32,5	36,4
Social housing (June 2005)	7 591	20 627	130 365
% of total	37,0	22,4	14,9
Infrastructure			
School going (2004)	5 657	22 434	166 156
Of which foreigners	2 695	5 859	29 742
% of school going	47,6	26,1	17,9
Traffic			
Cars / 1000 inhabitants	289	347	370
Crime (2004)			
Total	8 021	27 515	261 268

Per 1000 inhabitants	167	138	152
Violent crime	369	1 220	9 108
Per 1000 inhabitants	8	6	5
Theft	3 596	13 820	128 575
Per 1000 inhabitants	75	69	75

(*) In 2008, Wilhelmsburg became part of the Hamburg Mitte and hence is not part of Harburg anymore.
Source: Hamburg municipality

The participation and social inclusion process

Involved Committees

Wilhelmsburg District Urban Development Committee (DUDC)

This long standing committee advises the district council on neighbourhood and district development. It manages and decides about smaller district projects funded by the “Verfügungsfonds” (Discretionary fund). The committee has 36 members consisting of residents and local organizations. There are 18 representatives from the neighbourhoods, nine representing thematic fields and 27 deputies. There is an executive committee with three elected chairpersons (the chair and two vice-chairs) and six representatives (one chair and a deputy) of the three geographic areas of the island (West, Middle and East). The committee meets six times per year. The overall management is done by Büro d*ing Planung, the external consultant.



Since 2006, the DUDC committee consists of three new working groups: East, West and education/integration. The chair or vice-chairs of the groups present the outcomes of their group's sessions on the identified needs and the proposed actions to the plenary DUDC session for approval. The then committee decides in close consultation with the district council on the allocation of funds from the “Discretionary Fund” to the approved projects. The fund is meant to finance smaller time bound measures, in particular in the field of self-help; strengthening of integrating neighbourhoods and; the promotion of district culture and neighbourhood encounters.

Figure 7: DCUD organisational chart from the neighbourhoods up

Beirat Veddel (= local council advisory body)

This specific platform operates in the Veddel neighbourhood only. It deals with neighbourhood development and projects funded from the “Discretionary Fund”. It consists of 15 members: selected residents, political factions, local organizations and landowners, who meet monthly. Management is done by neighbourhood development staff.

Eight thematic fields

Themes that have emerged from the participatory planning process and are being addressed to include structural urban development issues and concrete measures for improved livelihoods and quality of life. Not only special-construction development, but also economic, social and cultural developments are being addressed. The participatory process and structure described above led to the identification of problems and actions in the following thematic areas:

1. Integration und Co-habitation
2. Cleanliness and district care
3. Work and education
4. Children and youth
5. Living and housing
6. Traffic and transport (?)
7. Nature preservation and development
8. Image of the area

The development themes are decided through the local consultation and decision making process they vary over time, the more so since they typically encompass smaller community based projects, at times of limited duration. None of them can be considered of having particular interest in integrated urban water management issues. By 2005 some 115 small community projects had been implemented.

The history of a participatory planning process

Implementation of the new city policy for community participation, mentioned in the introduction, started in Wilhelmsburg in 1994. The „MITwirken in Wilhelmsburg“ process was generated by the general social unrest in the area at the end of the 1980s and in the early 1990s. The specific reason was the discussion around the location of a waste-incinerator for the island. The City authorities asked staff of the City Planning Department of the Technical University of Hamburg Harburg (TUHH) to conceptualize and coordinate the participatory approach in the locality.

In October 1994, the TUHH City Planning Department and a private consultancy Büro d*Ing Planung were contracted to develop, in several annual phases, a systematic form of citizens' participation with representation of the various stakeholders living on the island. The participation mechanisms should shape new ways of addressing specific urban development issues on the island. For this, a special District advisory Urban Development Committee (DUDC) was created (Figure 8) as detailed under Phase II below.

Phase I (starting up, 1994-1995)

The socio-economic and technical urban planning consultants in charge started its approach with the creation of the Wilhelmsburg Working Group (1994-95). The group was formed through a stakeholder analysis and a series of meetings. The Working Group met for the first time on 25 November 1996. Its members were voluntarily identified among the participants of those meetings. The Working Group conducted a series of island consultation meetings, made an inventory of problems and formulated objectives.

Phase II (consolidation, 1996-2001?)

A District Council advisory Urban Development Committee CDUC was set up in 1996. Its working groups (see Phase III below) still play a major role in the urban planning process. The Hamburg City Council nominates the committee members of the CDUD on a yearly basis. Candidates are proposed by the island's residents or come forward themselves. Between 1996 and 2005, at least 162 Wilhelmsburgers have participated as members of this committee. Though efforts were made to have a fairly representative composition, women, unemployed and foreign citizens were numerically underrepresented.



Figure 8: The DUDC in 2002: "Together for a better Wilhelmsburg"

The DUDC acts as advisory body to the district council of Wilhelmsburg and as an interface between citizens, political parties and administration. It deals with structural urban development issues and concrete measures to improve the livelihood on the island. Projects are managed by three geographical working groups (East, Centre and West), in which many residents participate actively. The day-to-day management is done by Büro d*Ing Planung. It prepares meetings, facilitates them, provides documentation and coordinates implementation in close collaboration with the district and city council.

The objectives and tasks of the DUDC are regulated by a "terms of reference". The committee elects its chairperson and two deputies. The committee tables neighbourhood and (sub)-district themes and discusses problems and solutions. It develops project proposals and advises the district council. Together with speakers of working groups they form the board, which guides the work of the committee.

Phase III (from island to city strategy, 2001-2008)

Project identification and decision-making takes place in public meetings of thematic and geographic (East, Centre and West) working groups (

). Until 2002, up to seven working groups were operational, for (1) labour and education; (2) children and youth; (3) traffic; (4) Wilhelmsburg East; (5) Wilhelmsburg West; (6) housing and living; and (7) living together (of different classes and ethnic groups/cultures).

At the end of 2007, the citizen participation 'MITwirken' was terminated. This was based on a political decision of the responsible committee itself. The majority opinion was that at present several other committees for citizens' engagement had emerged on the island, so that 'MITwirken' had become superfluous. With the participation of the International Building Exhibition and the International Horticultural Exhibition, and three advisory councils for special redevelopment areas there are adequate possibilities for the engagement of citizens. After two extensions of the process now the function of the citizen participation project is over. A critical minority opinion worries however that the International Building Exhibition only focuses on special projects and does not cover the whole island. 'MITwirken' covered the whole island and enabled a successful cooperation with citizens from different social ranks (see Box 2 on p 12).

Termination of the DUDC and plans for a new committee

In 2007, the municipality reduced the DUDC's budget from € 80.000 to € 10.000 per year. Due to this budget cut, the facilitation contract with Büro D*Ing Planung could not be maintained. Also the discretionary fund of €20.000 per year was not available anymore. Committee work is done on a voluntary basis, but up to now operational costs could be covered. Under these circumstances the committee lost its appetite to continue its tedious work. At its own initiative the committee decided to dissolve itself. Inhabitants of the island have expressed their dissatisfaction. Some feel that also with little funds the committee could continue to play an important role (see Box 2).

Most inhabitants on Wilhelmsburg are very positive about the process in the 'MITwirken' foundation, despite some rivalries between 'MITwirken' and other NGOs and CBOs. When 'MITwirken' emerged as a reaction to protest against the planned refuse incinerator plant, citizen participation was first noticed as an instrument to consolidate citizens' views. During the process 'MITwirken' could emancipate itself and was accepted because of its good work for the district Wilhelmsburg. A critique was that 'MITwirken' only focused on local problems (e.g. the campaign for cleanliness) and did not deal with important broader themes like the 'Hafenquerspange' (a planned highway on the island).

See also: www.taz.de/nc/1/archiv/print-archiv/printressorts/digi-artikel/?ressort=ha&dig=2007%2F06%2F01%2Fa0062&src=GI&cHash=28c38fbf3a

Box 2: The role of the "MITwirken" process

Recent administrative changes

Since April 2008, Wilhelmsburg has administratively been removed from the Harburg district and made a part of the Hamburg Central district. This Central district has indicated the intention to reinforce the dialogue between citizens, politics and administration and enhance citizens' participation. Wilhelmsburg and Veddel now form a common sub-district with their own council. While the consensus among citizens and council is evident, a new committee for Wilhelmsburg should be created, but the modalities are not yet known and need to be negotiated.

The committee should include more low threshold projects to ensure involvement of also those citizens who have not been active till now and the modalities negotiated. Based on previous experiences, the general thinking is that:

- The committee has to be elected by all inhabitants (one person, one vote);
- The committee should have a mandate for the whole island;
- The committee should hold regular open plenary meetings;
- The committee should have the right to propose directly to the council for political decision making.

Financial resources

For the financing of IUDP activities multiple sources of finance have been used:

City Council of Hamburg

Since 1999, the city department for urban development and environment allocated yearly 80.000 Euro for the citizens' participation process "MITwirken", of which 20.000 Euro were earmarked for implementation of small DUDC identified projects. By 2005, 115 projects have been supported. After the international "Leap across the Elbe" workshop, the city council provided an initial start up capital of € 1.5 million for the development of Wilhelmsburg. In the following years a further € 10 million were allocated for qualifying urban development projects. This decision also includes the financing and implementation of the IBA and hence much larger non-community specific projects.

German national government

National funded programmes like "Stadtumbau West" (e.g. City Reconstruction West Wilhelmsburg) should contribute to mitigate the negative developments of the economic restructuring in the old Wilhelmsburg Reiherstieg neighbourhood (Figure 6) by diversifying the social build up of its inhabitants. Similar measures will be taken around the Berta-Kröger square in the geographic centre of the island.

European Union

A European Union funded project "b-sure" in the context of the Interregional North sea Programme will rehabilitate canal shores on the island for leisure use for the neighbouring residential areas.

The ambitious urban renewal process can only succeed with involvement of and acceptance by the island residents. Citizen's participation, therefore, will also play a central part in future years. The mechanisms put in place continued till end 2006/7

Outcomes and results

Some of the concrete outcomes of the participatory planning and action process in Wilhelmsburg include:

- Environment: cleaning up of canals by 'Gangway' (a local NGO?) and the Wilhelmsburg water sports club;

- Infrastructure development: development of the intercultural events centre “Deichhaus”; the construction of a mosque; establishment of the preschool ‘Bonifatius’
- Leisure and sports: intercultural evenings organized by the committee; establishment of the athletic club ‘Wilhelmsburg’; organisation of the annual; Hafen-City-Inline-Marathon;
- Youth: developing free time opportunities for immigrant youth; the “United Colors of Wilhelmsburg” initiative offering cultural exchange events for children and youth;
- Education: provision of opportunities to learn the German language;
- Legal: culture based conflict mediation.

Since the beginning of the process a strong network of participating stakeholders has developed. An indicator for this is the continuously growing database of over 2.500 contacts (2005). In January 2001 the Wilhelmsburger initiative won a nation-wide “Social City 2000” competition. Other developments like on urban renewal (world neighbourhood quarter) have only just started to be implemented.

Reflection and outlook by stakeholders

The SWITCH Hamburg coordinators participated in April 2008 in a meeting organized by the “Zukunft Elbinsele Verein” (Association Future of the Elbe Island), which is a member of the SWITCH Learning Alliance. The meeting was meant to reflect on past work and do some forward looking with key stakeholders involved in participatory processes on the island. Over 50 citizens, men and women equally represented, but including only 2 immigrants, from the island participated, representing several formal and less formal citizens’ participation bodies, including also the locally represented political parties. The main purpose was to identify the future of the citizens’ participation in the many development activities taking place on Wilhelmsburg.

During the meeting five forms of participation were identified:

1. Elections as a direct form of participation and influence ;
2. Peoples decisions as a way to possibly directly influence policy decision making ;
3. Council Advisory Committees (e.g. DUDC), which has a formal status ;
4. Informal lobby and activity groups ;
5. Campaigns, Events, and various ad-hoc participation opportunities.

These various forms of participation exist parallel to each other and work also complementary, without any competition among them.

These days on Wilhelmsburg many developments are underway that require accompanied citizens involvement :

1. The IBA project in and around Reiherstiegknie ;
2. IBA projects that have been taken out of the programme, e.g. Obergeorgswerder ;

3. The problematic of the container deposit ;
4. The problematic of the customs fence ;
5. The problematic of the acceptability of small industrial development ;
6. Traffic planning issues and the barriers formed by the main island traffic crossings.

In view of all these developments the vacuum created by the abolishment of the DUDC needs to be addressed urgently. From another point of view this creates the opportunity of offering citizens to get involved in developing new participatory processes:

1. A body that is responsible for all themes on the island;
2. A right for direct proposals by citizens to the Council meetings;
3. Sufficient financial and personnel resources;
4. Regular citizens meetings;
5. Direct elections of advisory committee members from each neighbourhood (as a first step towards municipal voting rights for foreigners);
6. Close links between the committee and the elected political levels;
7. Giving opportunities to implement proposed measures

Reflection on the old situation led to the following critical remarks:

- The Büro D*Ing eventually acquired a monopoly position in the management and facilitation of the process;
- The DUDC gave up too early. They had the option of continuing without the facilitation of Büro D*Ing and could have decided to invest available moneys in agree projects.

This reflection leads to the following expectations of the next advisory committee:

- Wilhelmsburg and Veddel should become one city neighbourhood;
- The committee should be directly elected by citizens;
- Also the major urban development constructions should be supervised by the committee;
- Citizens consultations should become more regular;
- The Council should get the right of proposal and application, such that the Council has a more direct influence on city politics;
- The Council should also implement public services;
- To involve more, currently not involved, citizens' lower threshold mechanisms should be provided.

Opinions about participation by foreigners

Except a few engaged ‚quota‘ foreigners, only very few foreigners have been involved. The causes and possible solutions are not very clear, but the following observations were made:

1. To involve more foreigners, *lower threshold mechanisms* need to be devised. More *informal* mechanisms of consultation and representation seem to be more promising;

2. The participation should start around themes that have the *specific interest* of foreigners groups, for example the building of a mosque;
3. Maybe citizens will participate, when *concrete livelihood issues* are addressed;
4. *New approaches* must be tested;
5. These approaches may need *more time*, some speak about process of 20 years and more;
6. The *legitimacy* of current representatives is put in doubt;
7. Activist *German citizens* should *not* speak on behalf of foreigners;

The issue of giving voting rights to foreigners was also discussed (Box 3):

- The many non-EU foreigners may not participate in *local elections*. Foreigners present emphasize the need to get at least voting rights for local elections;
- Members of the *second and third generation* of foreigners (who have been born in Germany and so hold citizenships) did manage to get elected in local electoral bodies;
- However, the *voting system* cannot be changed locally.
- So *intermediate solutions* are needed, such as elections for advisory bodies.

Box 3: Voting rights of foreigners

The committee has discussed the issue of voting rights for foreigners at great length, even though this is not of its competence.

The many non-EU foreigners are not allowed to participate in local municipal elections. Therefore the voice of the immigrant is not accounted for in local politics. Especially engaged and activist migrants emphasize the need for voting rights at local level, which would provide evidence that their role in society is taken seriously. However the election laws cannot be amended at local level.

The committee therefore is proposing as a first step to allow all local inhabitants on the island, including migrants, to participate in committee elections, since this is not a legal body falling under the German elections legislation. Whether this proposal will be accepted by the municipality is yet unknown. 2nd and 3d generation migrants with full election and representation rights are already represented at various levels of municipal political bodies.

Tentative lessons and emerging questions

Did the “MITwirken” process address social inclusion?

The extent to which the “MITwirken” process contributed to social inclusion – or integration of socially disadvantaged community groups – is looked at from two points of view. One issue is to what extent projects implemented by the DUDC contributed to social integration. The second issue is to what extent were socially disadvantaged groups represented in the DUDC?

Quantitative data are not available. Hence, it is not known to what extent and in what proportion the various socially disadvantaged groups living on the island, such as the various foreigner groups, unemployed, female or male were represented in the DUDC and whether this representation and their active participation (e.g. attending, speaking

out, voting) in meetings grew, decreased or remained the same over time. To nevertheless answer the above research questions, we looked at qualitative data from various sources.

In the brochures of the committee as well as in the documentation of the 'Future Conference Wilhelmsburg' statements are made about the quality of the participation of social weaker sections of the inhabitants of the island. Since these consist of self-assessments they should be treated with some caution.

In addition, the SWITCH team Hamburg has conducted many interviews with local actors on Wilhelmsburg, in which also social integration was addressed. The outcomes documented here are based on interviews with representatives of the Büro d*ing Planung, chairpersons of the committee; a representative of the International Garden Show, the Türkisch Parents Association, and several, all men and women, Germans and immigrants living on the island.

Four major themes emerge regarding the social integration: (1) the integration of the many migrants living on the island (2) the integration of people with low income and jobless (3) the representation of the two genders (males and females in the different groups often have different areas of knowledge and interests) and (4) the representation by age: the (often different) interests and expertise of the young and the elderly. All these groups partly overlap. The points highlighted here are in particular pertinent regarding the migrants and gender.

Projects to promote 'social inclusion'

The committee itself describes its tasks as to implement concrete projects that improve the living together in the neighbourhood and to reduce constraints to integration. The participation of migrant groups has always been given high priority, as "only, those who talk to each other, can come to jointly carried solutions" (Büro d*ing Planung, 2006).

A range of projects are cited to illustrate this aim:

- Discussion around the building of a new mosque, which included joint visits to various related cultural associations of parents and sports clubs.
- The organization of 'intercultural evenings' to get to know each others interests, culture, conflict management, education and language lessons.
- The creation of leisure time opportunities for youth of returned Germans from the former Soviet Union.
- The production of an information leaflet about 'Learning German on Wilhelmsburg'.
- Mediation in conflict management about daily prosaic fights about rubbish, noise, rituals, etc.

Next to these bigger undertakings, a lot of smaller measures and events were organised to improve the multi-cultural living together. These include the organization of summer BBQ's by Turkish migrants and the solving of related problematic rubbish management.

These examples make clear that the committee aimed for concrete solutions for arising problems and conflicts. Next to these concrete measures, also low threshold projects to promote communication among various cultures were initiated. Participants overwhelmingly rate these as positive. Nevertheless many living together and integration problems could not yet be solved.

There was also no special strategy to involve women of different ethnic origins and age groups in these activities and their degree of participation was not monitored. It seems participation of women was mainly in their traditional roles, such as preparing culture specific food.

'Social Inclusion' in Wilhelmsburg committee's work

In this section we look at how migrants were involved in the work of the committee itself.

The committee had as an objective the integration and collaboration with migrants. In this context, many migrant organisations were contacted and efforts made to make them participate. In 2000 there were 28 cultural and three mosque associations. A second method was through the meetings in the three sub-areas (West, Middle and East Wilhelmsburg, Figure 7). As a result, some migrants have become member of the committee. Even though no statistics of their membership and participation by ethnicity, gender and age exist, the migrants were always underrepresented. Testimonies of involved stakeholders assess the participation of these migrants in the committee's activities as follows:

By and large the participation can be seen as a failure, since apart from some 'quota foreigners' only very few migrants got involved. The feeling is that compared to the efforts of integration made, the success of integration has been very limited. The question remains open why migrants haven't made more use of the opening offered. The migrants that do participate are very positive about the involvement (statement by two middle aged Turkish immigrants). Appreciation is expressed about the opportunity given to neighbourhoods to cooperate even if not all themes were of interest. Some migrants feel that their participation rights are not sufficient (in particular regarding voting rights). One hears however that many migrants active in cultural associations, don't feel involved by the committee, reasons are not mentioned (unconfirmed sources).

Two points of view exist about the under-representation of migrants in the committee. Some reason that migrants, despite involvement being offered, simply are not interested in participation, and that a higher level of participation can not be imposed. Another view is however that the low involvement indicates that up to now the right methods and forms of participation have not been found. Therefore new attempts, using other methods, should be made to approach migrant organisations to discuss how they could be better represented and participate more actively in the development processes on the island.

Constraints with gender-equitable participation and integration of migrants

The following summarizes various discussions held about migrant's integration on the island:

- Migrants come with very different views about and experiences with participatory processes. Often their definition of what participation is not based on the concept of equal rights of representation for all citizens; participation is often indirect via (male) family or clan heads. The latter also involves gender constraints: immigrant men state that they do not consider it needed and proper that women and youth represent their interests by themselves.
- This is also why some of the ‘quota migrant’ participants in the committee are not recognized as true representatives in their own circles. The feeling is that integration is a very long term cultural transformation process.
- Another issue is the language barrier, also among migrants that have been in Germany since many years. The committee work is a very formal and structured process. Although low threshold measures have been taken, the work itself in the committee is burdensome for most migrants involved. Participation is clearly higher whenever the committee deals with themes that are of high interest of migrant groups, in related concrete projects migrant involvement is very high.
- The participation of some migrants in the committee is not free of conflict. It has occurred that police suspected some of them to be active in radical Islamic groups, and hence these members had to withdraw from the committee.

Implications for SWITCH LA work

When creating the SWITCH Learning Alliance on Wilhelmsburg, early contact was made with Büro d*Ing Planung, who had managed the DUDC since years. Through this contact stakeholders on Wilhelmsburg were identified, who were supposed to be interested in the SWITCH theme or integrated urban water management. Among the stakeholders contacted this was only the Turkish Parents Association. No other migrant association on the island are known to have some kind of an interest in water related topics. Even the parents association indicated `to have only a limited interest in water related themes.

Migrant organisations are primarily interested in themes that directly benefit their education chances, the finding of jobs, improvement of language skills, maintenance of their own cultural expressions, foreigners voting rights, etc. Migrants see the SWITCH thematic about water, water quality, environment and high water risks as ‘luxury problems. The whole visioning, scenario building and planning process of SWITCH is experienced as a highly abstract intellectual exercise that has little to do with the day-to-day realities of the migrants. Furthermore, migrants do not feel competent to participate in water management related work. The only exception is possibly ‘awareness raising about water issues’. The Turkish Parents Association mentioned the possibility of doing something about this with schools.

As a result of the differences in interests and approaches, SWITCH work on Wilhelmsburg is therefore dominated by German citizens involved in mainly environmental associations.

Social Inclusion calls for other participatory approaches

Migrants are currently only very marginally involved in the SWITCH process. To make them participate more would require specific participatory approaches and methods that would require heavy investments that are currently beyond the means of

the SWITCH programme. Anyway it is questionable whether the low interest of migrants in water management issues, which is related to their other, more pressing priorities, would warrant such heavy investments in their participation. Even if initiatives, like the former DUDC, invest in participatory and integrative work with migrants, the results till now have not been very promising. SWITCH has therefore agreed with the migrant associations contacted to limit their interaction to keeping each other informed about activities and progress.

Conclusion

In north-western Europe, experiences like “MITwirken” (collaboration) – the German experience - or “Inspraak” (a right to have a say) – the Dutch experience of citizen’s participation - have been initiated since the early seventies. They are positive developments that allow citizens to gain insight, make inputs and have influence in decision-making and implementation processes that influences their livelihood. However these forms of citizen’s participation do not warrant *per sé* that those with “less or no voice” in society get a real chance to be involved in processes affecting their lives.

On the basis of the definition provided on ‘social inclusion’, this case study shows relatively little experience with social inclusion or addressing it in an explicit way. Also in terms of gender, the programme followed a very gender-neutral or even gender-blind approach, or at least did not explicitly address gender issues. This conclusion is further compounded by the lack of ‘hard – gender disaggregated – data’ on participation of socially excluded groups.

The MITwirken approach while very positive in terms of attempting participation of all citizens on the island, achieved little – in its own words – in terms of integration of migrants or even the poorer strata and the jobless people on the island. This is particularly true in terms of actively involving these groups in formal platforms such as the District Urban Development Committee.

However at very concrete small community implementation projects level, it seems that those projects that focused on their needs or on problems between groups did contribute to social inclusion and social interaction among otherwise dissociated groups. This mobilisation and organization around common interests and concerns may form the seeds for future further integration.

As indicated by stakeholders themselves, further experimentation and professional support are needed, along with the use of other methods and approaches that may be more effective in promoting integration and social inclusion. The overall lesson learned is the realisation that different cultures require different approaches and processes to social inclusion. More specific lessons are that:

- different disadvantaged groups in terms of ethnicity, employment, age and gender need to be approached on their specific interests and concerns and with practical actions related to them;
- linkages between these interests and concerns and integrated urban water management must be clearly apparent or otherwise clarified if interest in IUWM is to emerge;

- social inclusion requires the formulation clear objectives, strategies and activities on social inclusion, which recognise differences of young, adult and older women and men with different ethnicity and life situations (e.g. employed/jobless) and in different geographic locations;
- organisation within geographic areas and around specific interests of the different groups with specific actions are a stepping stone towards representation of the interests of the different groups at the group, neighbourhood and district levels;
- disaggregated quantitative and qualitative monitoring of participation in meetings, organizations, projects and decision-making (e.g., by sex, class, ethnicity and age) is needed to get a clearer overview of situations and developments, analyse trends and learn what works best when, where and why.

SWITCH Wilhelmsburg primary focuses is on developing the IUWM plan 2030 for the island. An IUWM planning process should indeed enable social inclusion of those who risk to be marginalised in the upgrading of Wilhelmsburg and when the island gets more developed and becomes more fashionable even risk to be pushed out, because of 'where they live', 'what they have (not)', and 'who they are'. SWITCH will certainly benefit from the MITwirken experience, but should be more explicit on social inclusion when fostering stakeholders participation. It will be interesting to monitor this process and to document the experience to see what progress on social inclusion will have been made till the end of SWITCH early 2011.

The lessons learned from the above case study make clear that it will be a big challenge for the five-year SWITCH programme, with limited dedicated resources, to make the first steps towards clearer and disaggregated objectives, more effective approaches and monitored progress and results on social inclusion in integrated urban water management.

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Making urban sanitation strategies of six Indonesian cities more pro-poor and gender-equitable: the case of ISSDP

A case study on social inclusion for SWITCH

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Abstract

This case study addresses how the gender equity and pro-poor approaches were strengthened in the integrated sanitation strategies of six Indonesian cities. This was done in the framework of the Indonesian Sector Sanitation Development Project (ISSDP). The cities are located in different parts of Indonesia and have different environmental, social, economic and cultural conditions. The work was demand-responsive: the six had come forward to improve city sanitation and hygiene in an integrated manner.

In three short-term missions, already existing equity, gender and pro-poor approaches were identified and analysed. Subsequently, a strategy was developed to improve them in close cooperation with the city sanitation platforms and ISSDP. This resulted in an increased gender and poverty focus in the city-level sanitation and hygiene strategies and proposed pilot projects. The paper describes the proposed measures in detail. The concluding sections present lessons from the approach and outcomes for the SWITCH project and a conclusion on the similarities and differences with learning alliances.

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Indonesia – an overview

Urban Sanitation in Indonesia

Urban population

In 2007, Indonesia had an estimated population size of 235 million people. It grows annually by 1.7%. According to the Population Reference Bureau, 42 % of the people now live in cities. Urban growth was 4.4% per year between 1990 and 1999, approximately triple the annual national growth of 1.5%¹⁶. In 2025, the country is expected to be 61% urbanized equalling an urban population of 167 million people¹⁷.

The two main factors driving urban growth are rural transformation and rural unemployment. Because of the high rural densities around many cities, 30-35% of urbanization occurs through transformation of surrounding villages into urban neighbourhoods¹⁸. For poor rural people without capital or qualifications, the main hope for a better livelihood is in the urban informal sector, e.g. in street vending, scavenging, solid waste recycling and paid day labour. Many migrants also cultivate tiny, but nutritionally important vegetable gardens¹⁹.

Urban poverty

The definition of the poverty line in Indonesia is defined on the basis of the income needed to ensure a calorie intake of 2,100 daily. Poverty declined steadily from 40% in 1976 to 11% in 1996, but then rose sharply to 23% in 1999 due to the economic crisis. Recovery since then has been slow, with still 17% of the population below the national poverty line in 2004. Households headed by single mothers are overrepresented. In 1999 such households constituted 13.2% of all households in Indonesia. This percentage is likely to be higher in cities. In 1999, the urban poor in Indonesia numbered 15.7 million, the rural poor 32.7 million. In other words, over 32% of the poor in Indonesia are in the urban areas, the highest ratio in East Asia.

Gender and urban poverty

Relations between men and women in Indonesia are inequitable and make women vulnerability to poverty. Poor women are doubly disadvantaged by their economic status and by being female. Despite advances in the last ten years, poor women continue to be deprived on a number of counts such as: traditional customs and mores; discriminatory labour practices and work environments; inequitable wage structures; greater susceptibility to health problems; harassment, rape and other forms of physical violence; domestic abuse and social stigmas about divorce and female-headed households. Although women contribute to livelihoods of the urban poor equally or even more than men, their roles are not recognized by government agencies, extension services and development programs. Poor women do not shape projects and gender analyses are not considered an essential part of project planning²⁰.

¹⁶ http://siteresources.worldbank.org/INTINDONESIA/Resources/226271-1117507568206/1185458-1117507605518/workshop_report.pdf

¹⁷ http://en.wikipedia.org/wiki/Water_supply_and_sanitation_in_Indonesia#_note-9#_note-9

¹⁸ <http://siteresources.worldbank.org/INTEMPowerment/Resources>

¹⁹ <http://countrystudies.us/indonesia/33.htm>

²⁰ <http://siteresources.worldbank.org/INTINDONESIA/Publication/03-Publication/Citiesintransition-Eng.pdf>

Urban sanitation

In Indonesia, urban sanitation infrastructure is less developed than urban water supply. According to the Joint Monitoring Program of WHO and UNICEF, urban access to improved sanitation was 55% in 2004 against 77% for improved water supply. Other sources give figures between 70% and 75%, however^{21,22}. On-site sanitation with septic tanks is the most common form. Sewerage systems serve only 2-3 percent of the urban population. Out of seven major sewerage systems, four date from the colonial era²³. However, these access figures only provide part of the picture. For instance, many septic tanks are not emptied regularly and so in reality have become soakpits. Many soakpits are a health risk, because they are located close to the drinking water sources. Sludge of emptied septic tanks is often deposited raw in open water sources. The actual percentage of safe excreta and blackwater disposal is thus considerably lower than reported in official figures.

Solid waste has become a major problem in Indonesian cities. The capital, Jakarta, for example, generates seven million tons of solid waste annually. Services deteriorated during the economic crisis of 1998. In 2000, 60% of the registered urban areas had no solid waste collection and only 1,6 % of the collected waste was treated by composting. Poor operation of sanitary landfills, often open dump sites, causes infiltration of leachate to many surrounding areas. Other common problems are limited availability of land for sanitary landfills, limited financial capacity of local governments, low budget allocations (typically less than 2% of local budgets), low technical and managerial capacities and limited participation of communities and private sectors in this service.

Drainage infrastructure is limited and local flooding affects especially poor communities located in flood plains and other low-lying areas.

Sanitation policies and programmes

There is no separate sanitation policy and the new national policy for water and sanitation focuses mainly on rural services. Urban sanitation is the least well addressed of major policy issues in Indonesia. Indonesia has set itself the following targets for sanitation:

- No more open defecation in urban areas by the end of FYP 2004-2009
- Halve the pollution of surface waters by human excreta by 2009;
- Increase the utilisation rates of municipal sewerage services.

Poverty and poor sanitation are closely linked. Diarrhoea is the second leading factor in killing children under five in Indonesia and accounts for about 20% of child deaths each year²⁴. Premature child death is responsible for 90% of the health-related economic loss of poor sanitation. The total economic impacts of poor sanitation in Indonesia (higher health costs, more water pollution, loss of productive time and negative effects on tourism and the environment) have been valued at about US\$30 per person per year. Each year, the country loses an estimated 2.4% of its GDP per

²¹ http://www.wsp.org/filez/pubs/124200734141_EASAN_Joint_Publication.pdf, Annex 1

²² http://www.wsp.org/filez/pubs/124200734141_EASAN_Joint_Publication.pdf

²³ <http://siteresources.worldbank.org/INTWSS/Resources/UWSIEP.pdf>

²⁴ Urban Sanitation: It's not a private matter anymore. Portraits, Expectations and Opportunities (Brochure). June 2006 (web version not yet available)

year due to bad sanitation²⁵. A World Bank study even values this loss at \$12 per household per month^{26,27}.

A national policy, strategy and action plan on solid waste management (SWM) were prepared in 2003. The strategy emphasizes the three Rs (Reduce, Recycle, and Reuse), promotes public awareness and advocates public-private and local government partnerships.

Governance and finance

In 2001, Indonesia adopted a national decentralisation policy. Since then, local government has the authority to conduct planning, implementation, monitoring and evaluation of all governance and development programmes. The policy increased the local responsibility for the environment. Peri-urban settlement and inner city communities may even set up their own decentralised water supply and sanitation systems rather than be part of a whole city network run by the city utility

Over the last 30 years, the Indonesian government has spent around US\$ 820 million on sanitation or US\$ 0.02 per person. This equals to 1,3% of expenditures for drinking water. In the last two FYPs, the investment increased to an equivalent of US\$ 15 and US\$ 26 per person²⁸. With decentralisation, new finance mechanism have been introduced. Previously, local governments typically invested less than 2% of their annual budgets on water supply and much less (detailed figures unknown) on sanitation. Overall, annual investments on water and sanitation are some 3,6 trillion rupiah or US\$ 375 million, about three times more than those of the central government, but they are much lower than those in other middle-income countries²⁹.

Implementing agencies

At national level, five ministries (Finance, Settlement and Regional Infrastructure, Environment, Home Affairs and Health) and the National Development Planning Agency deal with urban sanitation. The latter heads the Sanitation Working Group since 1999. It has limited authority and mainly organises workshops and trainings. The provision of water and sanitation services in urban areas is the responsibility of PDAMs (Perusahaan Daerah Air Minum), local government- owned water utilities. There are 306 PDAMs in Indonesia. There are only a few utilities dedicated exclusively to sanitation, called PD-PAL or Local Government Owned Wastewater

²⁵ <http://siteresources.worldbank.org/INTINDONESIA/Resources/Publication/03-Publication/Citiesintransition-Eng.pdf>

²⁶ World Bank <http://siteresources.worldbank.org/INTWSS/Resources/UWSIEP.pdf> (2003) Cities in Transition : Urban Sector Review in an Era of Decentralization in Indonesia. (Dissemination Paper No. 7), Washington D.C., USA, World Bank: Urban Sector Development Unit, Infrastructure Department East Asia and Pacific Region.

<http://siteresources.worldbank.org/INTINDONESIA/Resources/Publication/03-Publication/Citiesintransition-Eng.pdf>

²⁷ Additional information on ISSDP can be found on the following websites:
http://issdp.ampl.or.id/v2/index.php?option=com_frontpage&Itemid=1 (in Bahasa) and
http://www.wsp.org/filez/activity/910200732409_Indonesia_Country_Program_Management_and_Integration.pdf

²⁸ <http://www.un.org/esa/agenda21/natlinfo/countr/indonesia/sanitationIndonesia04f.pdf>
<http://www.un.org/esa/agenda21/natlinfo/countr/indonesia/sanitationIndonesia04f.pdf>

²⁹ http://en.wikipedia.org/wiki/Water_supply_and_sanitation_in_Indonesia
http://en.wikipedia.org/wiki/Water_supply_and_sanitation_in_Indonesia

Utilities. Dinas Kebersihan or solid waste agencies are responsible for the management of urban solid waste.

The ISSDP

In 2005, the Government of Indonesia (GoI) and the World Bank Water and Sanitation Program (WSP) started the four-year Indonesian Sanitation Sector Development Program (ISSDP). Its purpose was the integrated promotion of safe excreta disposal, waste water disposal, solid waste management, drainage and hygiene at national and city level.

ISSDP was financed by Dutch Trust Fund to the World Bank and by the Government of Sweden for wastewater, drainage and solid waste management (SUSEA agreement). ISSDP is one sanitation programme in Indonesia and is distinguished from others reported in the Sanitation Country Profile³⁰ because it links support to an enabling national environment to demand-based city strategy development and implementation.

The national component involved developing a national enabling framework for urban sanitation and design national campaigns on sanitation awareness and handwashing. The city component was to strengthen the capacities of the six pilot cities that had come forth first to plan and implement improvements in urban sanitation (Table 4).

Table 4 : ISSDP Pilot Cities

Name of town	Nature	Population size	Population density
Banjarmasin	capital of Kalimantan	572.200	8,186
Blitar	agricultural centre in East Java	126.388	3,880
Denpasar	capital of Bali	56.2907	4,550
Jambi	spread-out town in Sumatra	419.920	2,045
Payakumbuh	agricultural centre in Sumatra	121.500	1,510
Surakarta	larger industrial city in Central Java	552.542	12,546

During the first two years a consortium of Indonesian and Dutch consultants was contracted to help develop the national framework, build the capacities of six cities to develop urban sanitation strategies and plans, and prepare three campaigns (to raise leadership awareness of sanitation, make the poor more aware of sanitation solutions and promote women's handwashing habits). In the second two years, support will be given to strategy implementation at national and city level. A team of about 50 long and short-term international and national specialists provide inputs such as: studies and reviews, sanitation policy consolidation, strategy development, advocacy, capacity building and guidelines and manuals development.

ISSDP is pro-poor: it should ensure that poor urban neighbourhoods and people get equitable access to improved sanitation and hygiene. In 2007, the Joint Mid-Term Review Mission advised to include also a gender strategy. A two-person team (one national, one international consultant) was engaged to review the pro-poor and gender approaches and support their strengthening at national level and in the city strategies.

³⁰ <http://www.un.org/esa/agenda21/natlinfo/countr/indonesia/sanitationIndonesia04f.pdf>

Outline of the case study

The next section describes the methodology used (3.1), the already existing approaches (3.2) and the resulting adjustments (3.3), covering human excreta and blackwater disposal, drainage, solid waste management, hygiene and sanitation promotion, WASH in schools and ISSDP's own organization. Section 4 gives the key lessons and conclusion from strengthening social inclusion in ISSDP (4.1) and the major conclusions for SWITCH (4.2). The appendices contain a some specific outputs related to social inclusion in ISSDP: inclusive city sanitation strategies, baseline formats and project digests for action research.

Strengthening the gender equity and pro-poor focus

Methodology

The methodology used was to identify and build on good practices on the ground and develop them into a more systematic social inclusion strategy for the planned sanitation and hygiene interventions. A mix of indirect and direct methods was used, with (1) a desk study, (2) interviews with programme staff in Jakarta and the cities (the six city coordinators), (3) meetings with the Sanitation Pokjas, or Sanitation Working Groups comprising the heads of departments and NGOs with roles in city sanitation and hygiene, (4) visits to the lowest government level and poor neighbourhoods with gender and/or poverty specific services for observations, interviews and a hygiene workshop, (5) debriefings with city mayors/ *pokjas* or workshops on the proposed strengthening of social inclusion in the national language (Bahasa).

Existing approaches at neighbourhood/city level

This section presents a number of existing socially inclusiveness approaches that were found during the field visits:

- Increased access of the poor to water for hygiene
- Decentralised community-managed sewerage systems
- Communal sanitation blocks(MCKs)
- Community campaign for on-site household toilets
- Informal private sector collecting and recycling inorganic waste
- Productive use of bio-degradable solid waste
- Municipal fund for neighbourhood projects
- Supportive Campaigns
- Gender equality in-house

Increased access of the poor to water for hygiene

he provincial capital of Kalimantan, Banjarmasin, is located in a large river delta. There are 17 poor neighbourhoods. The poor live in wooden houses on poles in the river and swamps. Alongside the houses are wooden jetties with 'helikopter toilets' directly over the river (Fig. 1). Neighbours and passers-by also use these toilets. While most poor people buy treated water for drinking per jerrican at communal reservoirs (the "blue tanks", Fig. 2) they use river water for all other uses including washing food utensils and bathing (Fig 3).



Fig. 1 “Helicopter” toilet



Fig. 2 A blue tank



Fig 3 Multiple uses of river water

Two types of pro-poor and gender equity approaches were found:

- One neighbourhood had made a poor old widow the tank operator. She supervised the collection and collected and accounted for the payments. In return she got a small payment and her own water free (Fig 4).
- In another neighbourhood, the local government had subsidized the installation of private ‘yard’ connections. As a result, all households had an outside tap on their platforms and women were seen to wash utensils, food and clothes not with river water, as elsewhere, but with the tap water (Fig. 5).



Fig. 4 Interviewing the local caretaker



Fig. 5 An outside tap (on the left) for multi-purpose water use

Decentralised community-managed sewerage systems

In Denpasar, the capital of Bali, and Blitar in East Java, an NGO has helped several poor neighbourhoods to build on-site sewerage systems also known as SANIMAS. They consist of private connections to a series of inter-connected baffle reactors buried under the street pavement. Each house has an individual grease trap (Fig. 7). The tariff covers the cost of the operator who cleans blockages beyond the traps. Investment costs are highly subsidized: users currently pay only 2%. The city can therefore finance one system annually.

A quick assessment brought out that poor households, such as migrant renters of a single room, and owners of rich houses (Fig. 7) paid the same flat amounts to construction and O&M. and that the local managing committee may be embezzling O&M funds. It kept accounts, but without accountability to local authorities and rate payers and incomes and expenditures did not tally. Only part of the O&M costs were covered from the income; the NGO paid for example for desludging. Women did not participate in sanitation meetings and they and the poor such as immigrants were not represented on the management committee.



Communal sanitation blocks(MCKs)

Sanitation blocks, known as M(andir), C(ucil), K(akus) for bathing, laundry and defecation, are widespread. They are managed by the municipality or the Rukun Tetangga or RT (=neighbourhood association). The usual fee is Rp 100 (about one US dollar cent) per visit. RTs use the collected funds for maintenance. Demand is high, but payment capacity low. Poor women would like to earn extra income to finance the MCK use. When poorly managed, MCKs are disliked: they are dirty, smelly, lack water, have no separate sections for women and men and long queues at peak hours. People then prefer open defecation near water.

Some neighbourhoods run MCKs well. In one Surakarta neighbourhood, the users voluntarily operated it on a roster basis. The women cleaned and disinfected toilets after use (Fig. 8) and collected payments during the day and their husbands did so at night to ensure a 24 hours' service. A well with diesel pump provided water whenever piped water supply was interrupted. A mixed committee did the overall management. The facility was very clean, but too small to meet peak time demand.

An alternative piloted in Denpasar is the MCK+. This includes sludge treatment so that there is no untreated sludge disposal into rivers, a widespread urban sanitation problem (Fig. 11). The MCK+ is beautiful (Fig. 10), but its investment costs equalled that of 15 neighbourhood MCKs and it is not community-managed and cost-covering. The NGO employs the operator and manages the service. Not counting population growth, the city would need 19-30 years to serve all poor neighbourhoods with these facilities.



Fig. 8 Cleaning after each use



Fig. 9 Operator also disinfects



Fig. 10 MCK+: pretty but costly

Community campaign for on-site household toilets

The agricultural town of Payakumbuh in Sumatra has a strong Health Department. It carried out a successful toilet campaign with poor refugees resettled in the city outskirts after a volcano outbreak. Within three months, 30 of the 40 households had

made a toilet with their own resources, comprised of an off-set soakpit and a hut with a squatting platform, ranging from a paved mud floor with a hole to a ceramic pour-flush toilet pan set in a small cemented and tiled raised platform (Fig. 12 and 13).



Fig. 11 City sludge disposal



Fig. 12 Simplest pit latrine



Fig. 13 First stage toilet

The primary health workers kept weekly records with written commitments of each household towards toilet completion. Two local women emerged as natural leaders and took over promotion and monitoring. Households plan to upgrade toilets over time.

Informal private sector collecting and recycling inorganic waste

The lack of well-working and affordable solid waste collection and disposal services has led to a vibrant informal sector with poor men, women and children collecting in the streets and from households, segregating them in various types of wastes (paper, cardboard, metal, glass and various types of plastics) and selling them to non-formal and formal private sector entrepreneurs. On the city dumps, poor women, men and children work as scavengers and graze their goats and cows on the organic waste. The city dump of Surakarta for instance has about 118 collectors, of which 40% are women, and feeds over 1,000 cattle of poor families living near the dump.

Mrs. Bahrain began a plastic recycling business in Banjarmasin in 2000. Her husband later joined her. About 60 of the 100 employees are women, who can bring their children to the worksite. Their main jobs are selecting and classifying 50 kinds of plastics. The sales turnover is Rp 450 millions/ month (US\$ 50,000 in 2007). Yayuk is a recyclable solid waste trader in Blitar. A former scavenger, she now buys waste from 20 fellow scavengers whom she has lent a revolving working capital from Rp50.000-200.000. Her sales turnover is about Rp 20 millions/ month (US\$ 2200 in 2007).

Most cities have also female solid waste entrepreneurs (see Box above). Surakarta has hundreds of women who buy and recycle small amounts of waste from primary collectors. Payakumbuh has three inorganic waste recycling businesses run by couples. One of them has a sales turnover of Rp 200 millions per month. In Denpasar, the Solid Waste Aggregators Communication Forum has four women members. Denpasar has about 15 recyclers and hundreds of aggregators, of whom many work as a family business. One neighbourhood runs a local solid waste collection and recycling service.

Productive use of bio-degradable solid waste

In a lower middle class neighbourhood in Banjarmasin, women of every three households share a composting bin to compost kitchen waste. They used the compost and fluid from the bin for potted plants, a communal vegetable garden, environmental beautification and sales. Women and men shared the physical work and in monthly clean-up campaigns and in the garden. Profits helped build a communal badminton

court. In the peri-urban areas of Payakumbuh, women's groups already a mix goat urine and composted kitchen waste for composting vegetable gardening and plant nurseries. Plants are sold and rented out to businesses. A quick calculation with one group taught that the profits provided up to 25% of the household income. Toilets build over fish ponds also serve to generate income and food. When learning about dry (eco-) toilets to produce compost and urine fertilizer, they expressed a strong interest in a trial.

Municipal fund for neighbourhood projects

Blitar, a small town in East Java, is special for its community development fund. It has twenty neighbourhoods, of which three are poor. The budget of the town was Rp. 6.14 billion (US\$ 646,000) in 2004, double the amount of 2002. Under its community block grant programme the city disburses 2% of its income directly to the neighbourhoods for small projects, including an obligatory 13% for low cost housing. The neighbourhoods themselves contribute 13-22% of the project funds in kind or cash. The purpose of the fund is to increase public participation and self-management and allow local officials and communities to exercise their autonomy. Village Community Empowerment Institutions (LPMSKs) take care of mobilization. Women participate in the mandated community assemblies or pre-musrembangs in which these projects are planned. Since 2003 project selection criteria include the number of poor beneficiaries. Most local grants go to improvement of infrastructure. From 2005 on, use of funds for hardware is restricted to 60%. Learning from mistakes is an accepted part of the approach³¹.

City level action plans

This section describes a number of city-level action plans that were developed with ISSDP to ensure social inclusive sanitation and hygiene programmes. However, it starts with a description of the activities at the national level that were initiated to support activities implemented in the cities, and the agreed measures to strengthen gender equality within the ISSDP organisation itself.

Supportive Campaigns

At the national level, the ISSDP helps to strengthen an enabling environment which will stimulate and facilitate cities to take up urban sanitation and hygiene improvements. For this purpose, three campaigns will be undertaken to promote sanitation and hygiene among the national, regional and local decision makers and the urban poor.

Campaign for policy and decision-makers.

One reason for the low support to sanitation is that opinion leaders, policy makers and managers do not see the links between sanitation, public health and economics. A communication strategy, action plan, campaign and advocacy materials have therefore been developed. They have a strong link to poverty reduction, but women are presented as passive beneficiaries only: the national message, to be spread by only the Minister of Women Affairs is “without toilets women suffer more”.

Sanitation Awareness Campaign

³¹ <http://www.innovations.harvard.edu/showdoc.html?kpid=8971>

From research it is known that in Indonesia, sanitation is women's second priority, but only the eighth for men. The campaign is to change this. The primary target group is urban men, aged 15-65, from lower and middle class households, who decide on larger investments at home, in order to raise their demand for good sanitation and hygiene .

The key message is that men should provide 'a clean and healthy living environment' to protect women and children against disease and nuisance and create dignity for women and the whole family. The leading question is "Are you responsible enough to create a clean and healthy environment for your loved ones?" The key communication channel chosen is television, with supporting messages on radio, in local newspapers and by printed materials – posters, flyers and a catalogue with toilet options for men to discuss in male community meetings or musrembangs. Women will be reached through their own meetings (often religious gatherings) and women's organizations, including the national women's movement PKK.

Hygiene improvement campaign

The campaign for improved hygiene focuses on handwashing. Washing both hands with soap/soap alternatives (e.g. ash or firm rubbing) and water can reduce diarrhoeal disease by 33 to 47 percent³². The campaign draws on formative research carried out by the Environmental Sanitation Program (ESP) supported by USAID³³. The target group is female caregivers (mothers, grandmothers, sisters and nannies) of children under five, because children aged 0-5 suffer and die most from diarrhoeas. Other target groups such as schoolchildren, teenage boys and girls and fathers may be addressed in later campaigns. The central message is "wash (both) hands with soap at critical times". The major media for awareness building and message spreading are TV and radio. As supportive material, small tip cards will be packed with commercially sold soap. Trained female cadres at RT (community) level, such as Puskas Mas (Public Health Centres) and PKK (the national women's programme) will lead women's group sessions for inter-personal communication and spread flyers and stickers. All caregivers get a Child Monitoring Card to monitor diarrhoea of children aged 0-5.

The pilots of the campaigns will include a comparative study on the communication effectiveness of mass media alone versus mass media plus interpersonal approaches to measure and compare their relative cost-effectiveness.

Strengthening the 'enabling national environment'

The gender assessment resulted in the following conclusions and recommendations for the national component of ISSDP:

- Advocacy of sanitation especially to men is a strong point, but the communication strategy should include enhancement of women's public sanitation roles. Women have now less influence than men to put these topics on the political/ developmental agenda despite their sanitation and hygiene roles and priorities. The Communication Strategy and Plan of Action should recognise and reflect also women's roles in sanitation and

³² <http://www.lboro.ac.uk/well/resources/fact-sheets/fact-sheets-htm/Handwashing.htm>

³³ ESP-USAID 2006. Formative research report Hygiene & health. No on-line version available

hygiene and poor men's and women's valuable work on sanitation in the informal sector.

- The Sanitation Mass Campaign should recognize also women and girls. It is positive that the national sanitation campaign stresses the responsibilities of the adult and adolescent men for the family's good sanitation. However, this message and image does not give credit to what women and girls in the family already do on sanitation and hygiene at home. It has therefore been recommended that the campaign message and images bring out the roles and responsibilities of both: the women already caring for a healthy home, but the men now taking their responsibility to support them, and both putting sanitation and hygiene on the community agenda.
- Recognition of sanitation by single mothers. Given that about 1 in 5 households is headed by single mothers, the campaign should make sure that images and messages on sanitation relate to their circumstances, showing how they can cope with improving conditions and practices and make a living when public-private partnership in the sector is improved.
- Hand washing Campaign: the limitations of a women-only focus. It makes good sense to promote handwashing by especially female caretakers. They are the main preparers of food and carers for children and family hygiene. Yet, from the literature it is known that in many cultures women cannot easily make husbands, fathers, fathers-in-law and elder sons to wash hands. If these male categories do not wash hands properly after defecation and before eating, a critical mass for a positive impact on public health may not be obtained.
- Men to be given their roles in handwashing. Given the above, it is neither fair nor optimal to make only women responsible for the promotion of handwashing. A sub-message in text and image should be that also men take their responsibilities for this practice. They can for example be interviewed on what they see as their responsibilities: see that the family has safe water and soap for washing hands, co-educate children, and practise good behaviour themselves.
- Economic feasibility of handwashing for the poor. An important aspect of handwashing that came out of City Focus Group Discussions was the costs of handwashing for poor families. It is therefore important to show in messages and images the costs and cost-savings of washing hands and the no-cost alternatives for soap such as the use of ash, clean sand or firmly rubbing both hands during rinsing.

Adjusted City Action plans

This section describes a number of adjustments to the city-level action plans:

- Expansion of central sewerage networks
- Improved SANIMAS
- Improved on-site toilets

- Improved solid waste management
- Improved waste water disposal
- Shift to participatory hygiene promotion
- Linking improved sanitation with poverty reduction
- WASH in schools still to be addressed

Expansion of central sewerage networks

In the inner cities with a sewerage net (Banjarmasin, Solo, Denpasar) special measures will be considered to facilitate that the networks also serve the poor. They have been summarised in **Table 5**

Table 5 : Proposed measures to make sewerage services more affordable for the poor

Technology choice & service level	Consumers get the option of group connections at a lower per capita cost
	Consolidation/expansion of small community-managed sewerage systems (to be linked up later)
Promotion and installation	In poor neighbourhoods, local women to be trained, equipped and authorized as promoters, plumbers and tariff collectors for sewerage and water connections. Women tend to be very committed and better at promotion than men.
	RT sessions with local women and men heads of households reviewing drawings of various toilet models, options and costs to create awareness, demand and innovative solutions, e.g. building four toilets in a block to save land and reduce costs, sharing toilets and upgrading toilet materials over time.
Finance and administration	Consumers get interest free loans to connect and pay back as part of the tariff;
	Introduction of weighed tariffs reflecting the principle 'the polluter pays'. Use of local indicators, e.g. type of housing, to determine the category of payment.
	Different loan terms for different groups, e.g. middle class pay in 20 instalments, poor in 60 instalments and very poor pay a symbolic price to create a payment habit. In Santiago de Chile this led to 30,000 extra connections.
	Timely payments are rewarded, e.g. by a % reduction for the next year.
	Poor consumers may pay on a more frequent basis to match their patterns of daily or weekly income ('pay when you please') to a local intermediary. S/he either collects the payments at the consumers' houses or the latter pay in their house/shop The intermediary pays the monthly bills to the office of the utility;
Selected subsidies with transparency and accountability	Targeted subsidy by the municipality or RT to households in the poorest communities and classified as the poorest consumers within these communities through the participatory welfare classification technique ³⁴ .

³⁴ In participatory welfare classification, a group of local people agree on local indicators for fortunate (I), in-between (II) and unfortunate (III) households (sometimes there is category IV, the very worst off). They then make a social map of their neighbourhood which reflects the houses in each category.

	Further transparency is achieved by displaying the list of subsidized consumers and making a procedure for complaints handling;
	Community self surveys with PRA methods (welfare classification, sanitation map, rapid home visits to check septic tanks and disease transmission risks) can help create a greater demand for sewerage connections, solidarity and neighbours' help, and accountability for subsidies.
Regulation and legislation	Regulations or by-laws make connections and payment of tariff (also for renters) compulsory for land lords within reach of the network;
	Regulations or by-laws oblige house owners/landlords outside reach of the network to install proper toilets with septic tanks meeting city-set tank standards.
	Wide-spread information through male and female channels (e.g. press, local organisations, wall messages) and RT checks for knowledge and social pressure.

Improved on-site toilets

As mentioned earlier, many septic tanks are not desludged in time or not at all, nor safely located in relation to water point sources and intermittent piped water supply. Many soakpits also bear contamination risks. In the environmental risk surveys, local health staff have identified the households concerned. Next steps are household awareness campaigns and in poor areas giving technical and financial support (see interest free loans and targeted subsidy above) to make tanks/pits safe. Mechanic desludging in dense settlements is possible through vacu-tugs, e.g. as public-private partnership³⁵

Improved helicopter toilets

Three cities have special circumstances for on-site sanitation as they are located next to river banks. E.g. in Banjarmasin people will dislike to demolish their helicopter toilets as these constitute a considerable investment and there is no space and little solid land for septic tanks and soak pits. One can also not expect that people will shift to MCKs (which must be located at much farther distances, because solid land and space are scarce) as long as helicopter toilets can be used so easily even during the night.



Floating

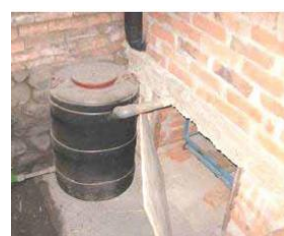


Fig. 16 Single Vault Moveable Container (Indoor)



Fig. 14 Sanitary Helicopter Toilet

Fig. 15 One type of dry toilet

Fig. 17 Low cost dry toilet slab

Where soil conditions or lack of space do not allow replacement by sanitary household toilets on land, the proposed solution is to upgrade helicopter toilets by equipping them with a light-weight pour/flush pan, a flexible hose and a floating tank (Fig. 14), combined with a public-private partnership for sanitary tank emptying, e.g. a Vacutug service (private) and sewage treatment or composting beds (public).

Dry composting toilets

In Blitar, Jambi, Payakumbu and at the outskirts of Denpasar, some interest in dry toilets with urine diversion giving a free natural fertilizer and rapid faeces composting is already present. Demand can be increased through neighbourhood sessions on the technology and cost-benefits with men and women (who grow the vegetables and raise plants for the family's cost-savings and extra income) and demonstration projects. Affordability depends on options including low-cost designs (Fig. 15-17) and financing through e.g. local credit at banks or shops or through local credit and savings systems as those run by women's groups and RTs. In these more peri-urban and open areas, households will get informed choices on different kinds of toilets (including dry toilets), superstructures and the possibility to upgrade these over time (Fig. 18).

MCKs

A component in the city strategies on MCKs is to learn more systematically from the existing experiences, and to develop effective support programmes with skilled staff, materials and training through an 'action-learning programme'. An example of a useful support material to be developed is a catalogue of management and financing options for more informed community decision-making. Brief assessment formats have been developed to help local communities, leaders, PHC/PKK staff and researchers start participatory learning and action planning. They are attached as Annex 2 and 3.

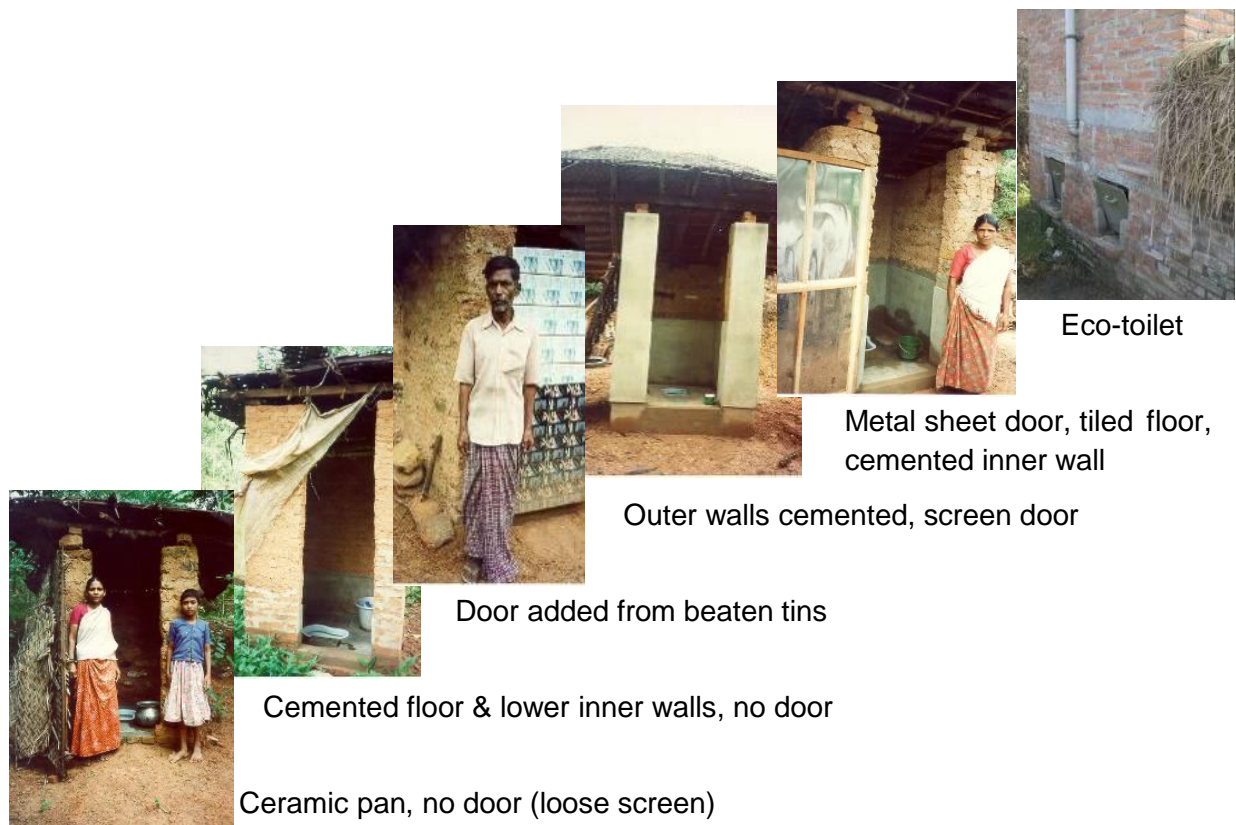


Fig. 18 Low-income households improve toilets over time (photos C. Sijbesma from Kerala, India)

For MCKs, it is important to determine the optimal city design standards:

- which maximal distances are household members, including women, children and the elderly and disabled, prepared to walk to stop open defecation and only use the MCKs?;
- What is the optimal size and composition of such an MCK regarding numbers of toilets, showers and water supply to provide basic services for all, including at peak hours and cover preferably the recurrent costs at affordable and acceptable user tariffs?³⁶;
- Can designs be improved at low costs to meet the needs of women, the elderly and the disabled regarding accessibility, privacy, menstrual hygiene?;

Improved solid waste management

ISSDP research had shown that decentralised segregation and composting of organic waste can reduce the cities' solid waste streams by 25-30%. The strategy for improved solid waste management (SWM) builds on already existing models of solid waste segregation and recycling in the six cities:

Civic-Private Partnership

³⁶ Although a strong case can be made for some municipal support to recurrent costs as long as better-off households do not pay the full recurrent costs of their piped water supply and sewerage services.

Composting or vermi-composting is done by community women, in small groups or in the community. The RT (neighbourhood association) employs a male or female informal private collector or collectors to collect, sort the wastes in a local site and sell recyclables to the secondary informal private sector to combine service with poverty alleviation. Alternatives: Families segregate bio-degradable and other recyclable wastes at source and informal private collectors (men and women) or the local youth groups collect and sell the different wastes to the secondary informal sector for income generation.

Civic-Public-Private Partnership

RTs (neighbourhood associations) employ (or households directly pay) poor female and/or male solid waste collectors from the informal private sector for door-to-door collection. The collectors bring the waste to city-established decentralised SWM stations where they segregate the wastes and sell it on to the secondary private sector. The remainder is brought to the city dump for safe end disposal. Alternatively, households already segregate the wastes at home, informal private collectors collect them at the homes for processing/selling and different family members bring the remaining waste to the TPS, where the city collects it for final disposal.

Cadres from the city health services and national women's programme and elected leaders of the RTs, RWs and Kelurahan (lowest levels of local government) will inform meetings of male and female heads of households in the neighbourhoods about the options and help them make informed choices and plan, organise and test services.

Where forms of neighbourhood-based SWM are already practised, horizontal learning will be encouraged. Under this strategy, the cities assist leading women and men from the concerned neighbourhoods or groups to visit women groups and community meetings in other communities to inform them, explain and demonstrate the processes and product, invite participants to visit their communities for observations and interviews and give hands-on training with an agreed compensation.

The city strategies will include special attention and measures to ensure that poor women and men participate in learning and decision-making on partnerships in SWM:

- Extending information about and invitations to meetings;
- Using extension methods suitable for non-literate participants;
- Accounting for participation of poor women and men in trainings;
- Ensuring poor women's and men's shares in decision-making bodies and sessions;
- Ensuring that procedures and documentation are gender and poverty specific.

An important part of the SWM city strategies is the protection against environmental and health risks of segregation, collection and recycling at home, by the employees of the city service and by the men, women and children in the informal sector as analysed by Cointreau and Hunt³⁷. Better education and training, improved working

37 Cointreau, Sandra (2006). Occupational and Environmental Health Issues of Solid Waste Management

conditions, operational procedures and equipment and protective clothing can do much to reduce the risks. Decentralised and participatory SWM with precautions to reduce risks is cost-effective because it reduces the need for costly investments for transport and end-disposal and enhances income generation and poverty reduction in the cities.

Improved waste water disposal and drainage

Improved sanitation and SWM have the additional advantage of contributing greatly to the reduction of waste water disposal and drainage problems. The following gender-friendly and pro-poor city strategies were formulated to reduce these problems further:

- Participation of community men and male leaders in the identification of locations where waste and drainage water does not run off due to a lack of sloping and/or blockages from solid waste. (In the local cultures men were responsible for community drainage and waste conditions);
- Mapping of houses with and without soakpits as part of community mapping and action planning and implementation for on-site drainage;
- Participation of women in drain design and use and men on maintenance to avoid the use of drains for child faeces and solid waste disposal;
- Avoiding that natural and constructed drains in the better parts of the city do not increase drainage problems in habitation areas of poor people by using an integrated approach and eventually city-wide approach from flow start to finish.
- A policy and strategy for cost sharing for improved drainage is part of the recommended city strategy for improved drainage. In poor areas, where RTs or households cannot easily contribute in cash, self help (rotong goyong) in the form of voluntary labour by the men (digging) and catering the women will reduce the construction costs of protected drains in poor areas. Part of the planning is to agree on the value in cash to be contributed by those who do not contribute in labour, which are usually the better off. Monitoring of payments and public display of the status of household/community contributions helps to realise the agreed norms for such contributions.

Shift to participatory hygiene promotion

Cadres of puskesmas (health centres), Posyandus (health posts) and PKK (the national women's programme) promote better hygiene and sanitation through presentations (Fig. 19). Spreading information and motivation in one-way talks is not the most effective method. Research has shown that concepts of personal and domestic cleanliness are strong and include having a toilet, bathroom and water and solid waste management in the community³⁸. Information comes from parents, the mass media (especially TV), school, and peers.

Special Emphasis on Middle- and Lower-Income Countries. Washington D.C., World Bank: Urban Sector Board <http://siteresources.worldbank.org/INTUSWM/Resources/up-2.pdf>

Hunt, Caroline (2001). A review of the health hazards associated with the occupation of waste picking for children, *International Journal of Adolescent Medical Health* 13 (3): 177-189.

³⁸ ESP-USAID 2006. Formative research report Hygiene & health.

Participatory methods used with neighbourhood groups of women and girls and men and boys are more effective in improving conditions and practices because they offer opportunities for horizontal learning, including between schoolchildren and adults, the identification of bad conditions and habits to change and good ones to reinforce, and information exchange, decision-making and peer influence on ways of making these changes. Depending on socio-cultural conditions, such sessions can be mix or separate for males and females.



Fig. 19 Conventional method



Fig. 20 Review of drawings



Fig. 21 Sorted in priorities for action planning

An illustration in case was the hygiene promotion activity carried out with males and females of a poor neighbourhood in Banjarmasin. Prior to the session, the team had used felt pens to prepare simple 1/2 A4 line drawings (Fig.20) (with more time drawings can also be made by community youth/children/adults). The slips showed a range of locally specific risky and safe hygiene and sanitation conditions and practices and promotion methods, such as brushing teeth and washing kitchen utensils with river water. In two sub-groups in the local mosque, the women and men first laid the drawings out in two lines on the floor: good and bad situations and practices.

During the exercise group members discussed risks until a consensus was achieved, with children telling what they had learned in school. Having completed, the reasons for laying a drawing in a good or bad line were reviewed. The groups then subdivided the two lines into four: good habits/conditions already and not yet present and bad ones no more or still present (Fig. 21).

Finally, the two groups chose three priorities for action from the two second lines (not yet practiced good and still practiced bad). The men and women then visited each other's displays and discussed their priorities. Both groups had selected helicopter toilets as one priority, the men chose community solid waste management and more active participation of their children on hygiene, the women concluded that they should become more active in local planning if they want to get better hygiene and sanitation.

The cities' strategy for hygiene promotion is to train the Posyandu (health post) volunteers to organise and run Community Health Clubs in poor urban communities. Clubs will be either mixed or separate for women and men, depending on the local culture. The clubs will have 20 sessions of two hours each to strengthen local health and hygiene knowledge and practices. This strategy, which was proven to be cost-effective in Zimbabwe³⁹, is planned to be tested in the urban sanitation program with the following proposed modifications:

³⁹ See case in http://www.irc.nl/content/download/23457/267837/file/TOP1_HygPromo_05.pdf

- Make it possible to take up the community health programme for existing groups, such as religious and women's groups, unless this means that interested persons will be excluded (They may for example involve only the locally better-off);
- Adjust the contents to include implementation relevant subjects such as technology options with cost, O&M and management implications;
- Build staff capacities to adjust the contents to local risks, e.g. helicopter toilets and brushing teeth and washing kitchen utensils with river water in river areas;
- Include gender and poverty equity in the curriculum e.g. representation of women and the poor in local decision making meetings and bodies, accountability to users for local management and financing, and roles and responsibilities of women and men in domestic and community environment, hygiene and health;
- Make hygiene promotion sessions accessible to men and promote their participation through male communication channels. Accessibility may involve opening the possibility of a second series of evening sessions, as men and women tend to meet at different times;
- Include demonstration visits from groups to individual households with interesting solutions to sanitation and hygiene to strengthen horizontal learning;
- Match incentives and compensation for health volunteers (proposed compensation is free health insurance) to the amount of time spending. It should be avoided that as women, health workers are expected to work for (almost) free;
- Give hands-on practical training, using the same participatory methods that the workers will use with the groups;
- Develop a set of no/low-cost participatory learning tools and techniques, involving such interesting group activities as drawing, sorting, ranking, mapping and matrix making. Communal learning materials, such as pictures of technology options and designs and pictures for sorting and ranking of sanitation and hygiene priorities, should preferably low-cost so that local groups can have their own sets. Encouraging members to replicate sessions at home with relatives and neighbours can be a good way to spread learning and skills and involve men.

Linkage of improved sanitation with city poverty reduction

- The city sanitation strategies aim to give poor women and men more economic opportunities related to the safe disposal and where possible recycling and reuse of human and solid waste, waste water and drainage and the promotion of hygiene. Thus, improved sanitation will be linked with poverty reduction. This is done by generating employment of the poor, in particular for poor women. The following opportunities were identified:
- Operators of 'blue tanks' (piped water reservoirs): preferably poor women who besides free water for themselves get either a fixed or variable compensation from water sold. Poor women and men are also potential operators of MCKs

- Collectors, cleaners and recyclers of plastic water bottles and cups. This is already much done by women and girls/children. They can learn to recycle them into mats, bags, curtains and run small businesses;
- Organic waste recycling. Poor women can be actively encouraged to set up and manage their own recycling businesses, e.g. in (vermi) composting of kitchen and market and sell solid and liquid compost (and worms), or productively use compost for urban horticulture and plant nurseries.
- Productive users and/or sellers of urine and compost from eco-latrines (especially suitable in high water table areas with some solid land and space for horticulture);
- Street sweepers;
- Meter readers and tariff collectors in their neighbourhoods, enabling poor families to pay daily or weekly instead of monthly, and to follow up non-payment (see section 3.3.2 on sewerage);
- Sanitation craftswomen, trained and licensed to promote, make and repair house connections for water and sewerage, construction and repairing of on-site latrines, and promotion and selling of toilet parts (see section 3.3.2 above);
- Managers of recycling business using own collectors or buying from others (several such businesses are already operational and have been documented in a PPT on five of the six cities⁴⁰);
- Home and Group Industry for snack production (22 in Banjarmasin, according to the inventory of the City Facilitator);
- Hygiene promoters (male and female, to reach both sexes) trained in participatory promotion and monitoring of improved sanitation and hygiene.

Action research to test/validate new approaches

As part of the ISSDP, each city can submit a proposal for one action research/pilot project for funding. The formulation process is still in progress. Developed projects concern:

- Integrated Sewerage Management: pilot project/action research in selected city area to improve the physical conditions and performance of a part of the existing sewerage net and expansion of connections including by poor people and improve hygiene and sanitation practices and solid waste management;
- Basic Sanitation and Hygiene Improvement in City Primary Schools: review and improvement of water supply, sanitation and handwashing facilities and their operation, maintenance and management and hygiene education;
- Wastewater treatment and its productive use by poor women and men: through joint planning and design by the relevant city institutions and local male and female small-scale farmers link wastewater treatment with agricultural/ horticultural production especially by poor women and men. Since this is a multi-year project, the pilot phase will focus on preparatory

⁴⁰ Winara, Asep, 2007. Women's Roles in Private Sector Participation for Sanitation Systems. Powerpoint. ISSDP

research and participatory pre-planning and design (special interest of Denpasar city).

Enhancing gender equity in-house

Although the ISSDP programme management understood gender as a concept and practiced gender and gender equity informally, it was agreed that improvements were possible. These comprise:

- Formulating an explicit in-house policy for gender equity;
- Always reporting programme statistics separated by sex and nationality;
- Maintain a rolling overview table on project staff and city participants in training and sector events by sex, expertise (technical/social) and level (lower/middle/upper);
- Include gender and poverty aspects in city sanitation whitebooks and plans;
- Meet the demand for gender training in the sanitasi pokjas (= sanitation committees) and from the local governments;
- Present gender equity and pro-poor approaches and results to the outer world;
- Help the cities showcase cases in the media, at sanitation events and on the web;
- Integrate capacity building on gender attitudes, knowledge and skills in the city human resource development strategies and plans.

Conclusions

Social Inclusion

Over a third of all poor people in Indonesia live in cities, a share likely to grow when in 2025 the urban population may count 167 million people. Urban sanitation greatly lags behind other urban infrastructure services and is worst for the poor. To improve access to urban sanitation ISSPD launched a combination of national level advocacy campaigns and city-level strategies and action plans.

ISSDP found that in some places socially inclusive approaches were already in practice. However, in other cases social inclusion was hampered by the following practices:

- Data and data analysis are not disaggregated for sex and economic class and consequently there was no clear picture of the kinds of roles that men and women in the lower and lowest income sections already play in urban sanitation and the social and economic value of these roles. Consequently, city sanitation and hygiene strategies were not gender sensitive or specific.
- Equating of gender equity approaches with 'project for women' by local government officials rather than involving both sexes in a more equitably in programmes e.g. more – and especially poor – women in local planning, decision-making.
- Limited recognition on how a gender equity focus could strengthen urban poverty reduction.

Together with the concerned city departments, the ISSDP investigated urban sanitation coverage and classified all neighbourhoods on sanitation conditions and risks to public health. It then helped the cities develop comprehensive and pro-poor city sanitation improvement policies and strategies. The main recurring elements of these strategies are:

- Introduction of innovative technologies or approaches to decrease and improve quality. For instance, participatory hygiene promotion methodologies were introduced as these are more effective and more cost-efficient.
- Linking improved sanitation with poverty alleviation by combining income generating opportunities with improved WASH services. For instance, civic-public partnerships for solid waste management, female care-takers for community latrines, female water vendors, etc.
- Flexible (re)payment arrangements to enable the poor to make payments at times they have cash. Micro-credit facilities and interest-free loans for the poor were introduced to support the poor in making large one-time investments.
- Well-targeted subsidies for the poor combined with participatory well-fare classification to ensure transparency and accountability. Subsidies will also cover the safe disposal of faecal sludge.
- Improved regulation and legislation. For instance, the obligation for land lords to provide connection to a sewerage network or provide a septic tank.
- Capacity development of the poor. For instance, to ensure the safe handling of handling of solid waste, provision of improved equipment and protective clothing, etc.
- Promotion of participatory methods to ensure ownership of communities, and improve the quality and sustainability of services.
- A series of generic and cross-cutting measures such as adequate information that is also suitable for non-literate participants, ensuring that procedures and documentation are gender and poverty specific.
- Finally, measures were taken to improve the gender equity and sensitivity within the ISSDP project team.

ISSDP Approach

The practical approach of making an inventory and analysing innovative pro-poor community participation and/or gender initiatives for improved sanitation and hygiene in the cities proved to be a good way to incorporate local best practices in the city strategies and identify areas for further improvement. Together with city authorities several participatory action research studies were identified and formulated. ISSDP will finance one/city.

The applied approach turned out to be a good catch-up strategy for social inclusion. It would have been better still had it been part of the city inventory and planning strategies from the very start, involving *pokjas*, male and female staff from the different departments and ditto community representatives and household groups in the processes and the documentation of these process and their outcomes.

Learning and scaling up

The ISSDP does not have learning platforms. Yet, the organizational set-up, with a national component, and in each city sanitation *pokjas*, a local government system

comprised of wards, neighbourhoods and communities, makes both horizontal and vertical peer-learning at and between levels possible. Horizontal learning platforms allow learning between male and female neighbourhood members and groups at poor neighbourhood level, between departments in *pokjas* at city level, and between cities through mayors, *pokjas* and NGOs.

Vertical learning involves learning between neighbourhoods with innovative practices and local departments, the *Pokja*, local NGOs and local universities and other research organizations. The formulated action research are the **prime** mechanism of further learning on and development of innovative approaches within and between the cities. Given the limited involvement and strength of the national sanitation committee, learning opportunities at national level are least developed.

Annexes

- Format for Community self-assessment of MCK
- Draft ToR for a study of an MCK+
- Format for Self-Assessment of School Sanitation and Hygiene
- Project Digests for City Pilot Projects/Action Research
- Draft ToR to evaluate the Community-Led Total Sanitation Campaign
- Draft ToR to evaluate a Community-Managed Decentralised Sewerage System
- Format for inventory of employment in city SWM (formal and informal sector)

Annex 1 : Community Self-Assessment Form

1. *Who operates?* Nobody ☐ City-paid operator ☐ Commercial operator ☐ RW/RT paid operator
Local women volunteers ☐ Local men volunteers
2. *No. of toilets?* For women ☐ For men ☐ For both ☐
Ever extended? ☐ Yes, by community ☐ Yes, by other namely ☐ Not able ☐ No need ☐
3. *No. of bathing cubicles?* For women ☐ For men ☐ For both ☐ *Wastafel present?* Yes ☐ No ☐
4. *Soap to wash hands?* Yes ☐ No ☐ *Queuing at peak times?* Yes ☐ No ☐
5. *Operator promotes handwashing?* Yes ☐ No ☐
6. *Water supply?* PDAM ☐ *Regular?* Yes ☐ No ☐ *Enough?* Yes ☐ No ☐
Stand-by? Yes, borehole with pump ☐ Yes, handpump ☐ No ☐
Did community arrange for stand-by? Yes ☐ No ☐
7. *Wastewater disposal?* Septic tank ☐ Community Treatment Plant ☐ City sewerage ☐ River ☐
8. *Excreta visible in toilets?* Yes ☐ No ☐ *Water seal?* Yes, with water ☐ Yes, no water ☐ No ☐
9. *Bad smell?* Yes ☐ No ☐ *Cleaned after each use?* With water ☐ With water & soap ☐ No ☐
10. *Payments?* per visit ☐ by subscription ☐ other ☐ *Details:*.....
Did community set payments? Yes, leaders alone ☐ Yes, by user consultation ☐ No, others ☐
Amounts paid? Toilet Bath Laundry
Soap Water
Are payments too high for some? Yes ☐ No ☐ *What is problem?*
11. *All adults pay?* Yes ☐ No, some refuse ☐ No, poor are free ☐ *Children pay?* Yes ☐ No ☐
12. *Income covers which costs?* Operator fee ☐ Water bill ☐ Soap to clean ☐
Soap to wash hands ☐ Carbol ☐ Cleaning brush ☐
Emptying Septic tank ☐ Sewerage bill ☐ Fuel bill ☐
General Upkeep (painting, repair doors, floor etc.) ☐
Expansion of MCK ☐ Replacing worn out MCK ☐
13. *Anyone pays some uncovered costs?* No ☐ Yes, RT ☐ RW ☐ City ☐ Other ☐
namely.....
14. *Anyone pays all uncovered costs?* No ☐ Yes, RT ☐ RW ☐ City ☐ Other ☐
namely.....

Scores for Community Self-Assessment of MCK

A. Environmental Health Risks⁴¹

⁴¹ Still to be included: provisions for menstrual hygiene

1. Average number of households practising open defecation per toilet:

Average number of persons practising open defecation per toilet:

2. No separate toilets for women
3. No separate bathing cubicles for women
No *wastafel* for handwashing:
4. No soap for handwashing:
5. Yes, queuing at peak times:
6. Operator does not promote handwashing:
7. No regular water supply:
Water supply not enough:
No standby water supply:
8. Wastewater disposed in river:
9. Excreta visible in toilets:
Water seals broken:
Water seals without water:
10. Toilets have bad smell:
Cleaned after use with water only:
Not cleaned after use:
11. Payments too high for some:
12. Children must pay:

B. Community Management Capacity

1. MCK managed by locally paid operator/ local volunteers:
2. MCK extended by community:
3. Separate provisions for women:
4. Soap to wash hands present
5. Operator promotes handwashing:
6. Community arranged stand-by water supply:
7. No stagnant waste water within MCK
8. Safe disposal blackwater in sewer/septic tank; septic tank always emptied when nearly full:
9. Toilets cleaned after each use:
10. Toilets seen to be clean (no excreta/excreta smears in pan/ floors/walls and no bad smell):
11. Payments set by representatives of all user categories (including women, poor):
Payments are affordable/weighed (poorer households pay less):
12. All adults pay except (ultra) poor:
Children pay less or are free to use:
13. MCK Income covers all operation costs:
MCK income covers upkeep
MCK income covers expansion
MCK income covers replacement

14. RT/RW covers some uncovered costs (specify which and how much):

RT/RW covers all uncovered costs (specify which and how much):

Annex 2: Terms of Reference for a study of MCK+ in Denpasar, Bali

DRAFT

Background and justification

International research shows that sanitation and hygiene improvements have a greater impact on health than water improvements⁴². Installation and general and hygienic use of sanitary latrines and adequate washing of hands are the two most significant measures in reducing disease transmission⁴³.

Densely populated human settlements often lack the space for the installation of household latrines, with serious consequences for public health. Social consequences of the lack of space are also serious. Where private spaces for open air defecation are scarce, women and older girls must restrict defecation to after sunset and before sunrise, walk considerable distances to suitable defecation areas and face risks to their safety.

In such cases a communal toilet, bathing and laundry facility can be an alternative solution. Experiences with communal toilets have however shown that such toilets only function well when the responsibility to operate and maintain the toilet, the financing of the recurrent costs and the management of the service are clearly defined and executed and when the operating organization has certain interests, financially and otherwise, in proper maintenance and management.

A study of how effective an MCK is and what factors contribute to its effectiveness and shortcomings has thus a wide relevance, not only for the sanitation strategy and its services to especially poor women, men and children in the city of Denpasar, but also for other cities in Bali and in Indonesia in general.

For this reason a study of and article on the costs and effectiveness of the first MCK+ of Bali is therefore proposed. The MCK+ is located in Jempiring, a densely populated low income community in Kelurahan Ubung, Denpasar, Bali. The MCK+ has been designed and constructed by BaliFokus, a local NGO with technical and financial assistance of BORDA, a German non-governmental organization in 2003 (CHECK).

Objectives

The objectives of the study and documentation and publication are:

- to describe, analyse and document the approach, experiences and results of the MCK+ in Jempiring
- to assess the cost-effectiveness of the established service;
- to draw general lessons and formulate general recommendations for the city sanitation strategy and action plan 2009;
- to write an article on the case study and publish this in an Indonesian and international journal on sanitation

Intended results

Intended results of the activity are:

- a documented case study on an approach advocated in the CSS of Denpasar and ISSDP in general
- an article in a recognized sector journal on an innovative option for low cost sanitation services in low-income urban settings
- strengthened capacity of the city to commission and use sanitation social research and documentation;
- enhanced feedback of experience and results in the field to policy makers, programme managers and training institutions.

⁴² See e.g. Esrey, S.A.

⁴³ WHO, 19 .

Proposed activities

The research and documentation will include an assessment of the following aspects:

- the general physical and socio-economic context, including existing water supply and sanitation conditions and housing conditions (legal settlement, owned or rented houses), demographic, socio-economic and cultural characteristics of the population of the MCK+ location;
- the reasons for the establishment of the service;
- the history of its establishment;
- the participation of the community men and women in planning, design, construction, operation, maintenance, management and financing (capital and recurrent costs);
- the intended users (men, women, children, adolescent boys/girls, invalids, elderly)
- the technology and design (drawings) incl. type of pits, water supply, waste water disposal;
- the characteristics of the targeted users;
- the potential number of families in the project area which might make use of the facility and the estimated number of adult women, men, adolescent girls and boys and children in these households (= the potential user population)
- the percentage of the potential user population which does use the service (% coverage of the service);
- the reasons why users go to the MCK+
- the number of actual users per day and month, and variations in use over time
- the purposes for which the facility is used; most and least popular purpose of use;
- the capital and recurrent costs of the service;
- the ways in which the capital and recurrent costs have been/are being financed;
- how long it would take the managing group to earn back the capital costs;
- the operation and maintenance arrangements, incl. opening hours, operation of water supply, procedures for payment and use, procedures for cleaning, procedures for technical maintenance and repairs, provisions for channel changing and pit emptying;
- the effective functioning of the service: payment discipline and hygienic use by the users, operators' performance in upkeep of hygiene and managing payments; the reliability of the supply of water (no. of days when water is absent or inadequate), upkeep and repairs of physical facilities (leaking taps, broken tiles, presence of brooms, buckets, facilities for handwashing, availability and financing of soap for users and toilet disinfectant, drainage of waste water;
- the financial performance, e.g. the types and sizes of costs per month and per year; the average income per day, month and year; the balance between costs and revenues; reservations for larger maintenance and repairs; deposit and use of profits (by whom, what for, how decided?);
- the financial management: budgeting, bookkeeping and accountability arrangements; performance of these arrangements; system for management decisions and how well this functions.
- the number of users that can be deduced from the revenues (this allows for a crosscheck on number of users)
- the views of the various interest groups (users, operators, managers, local authorities) on the effectiveness of the service and their possible suggestions for improvements;
- the benefits of the service for the various interest groups (users, operators, managing organization, local authorities);
- the amount that a regular user of the facility spends on use of the facility, as compared to the cost of a latrine and shower at home;
- the prospects for future sustainability, management and ownership of the women's latrine;
- the necessity and strategy for improved sanitation habits of children and men.

The report will give a description of the methodology of research, the findings, the conclusions and recommendations for policy-makers as well as for implementation programmes which to replicate the approach in other communities. Documentation will include photographs illustrating major features of the service and its users and major findings of the study.

In addition to documenting the case on paper, the researchers will indicate a need and demand and costs for an audio-visual documentation of the case, for use with populations, local government and

other authorities in Denpasar and Bali and other cities/provinces in Indonesia that are interested to replicate the case in their area and for use in state/national/international conferences and training institutions.

Annex 3: Community Self-Assessment of School Sanitation and Hygiene

1. Presence and quality of students' toilets

Options	Scores	Given Score
Toilet(s) for students exist but are not functional or not being used	0	
Toilet(s) for students exists and is in use but they are dark, smelly and soiled with excreta	10	
Toilet(s) for students exists and is in use, with adequate daylight, but soiled with excreta. No water soap or ash for hand washing with easy reach.	25	
Benchmark: Toilets are clean (no excreta in pans, walls or floor) and protected against misuse (e.g., locked after school hours)	50	
In addition, there is water, soap or ash for hand washing within easy reach of the children	75	
Ideal: In addition, Toilets are child friendly (e.g., pans are smaller, colourful walls, etc.)	100	

2. Presence and quality of students' urinals

Options	Scores	Given Score
Urinals exists but are not functional or not being used	0	
Urinals exist & in use but they are dark, smelly and full/blocked (urine on the floors)	25	
Benchmark: Urinals are clean (no urine stagnant on floor);	50	
In addition, no stagnant urine outside the urinal room AND there is water, soap or ash for hand washing within easy reach of the children	75	
Ideal: In addition, Urinals are child friendly (e.g., lower height, colourful walls, etc.)	100	

3. Separate facilities for girls?

- Separate urinals for girls 10 years and older?
- Separate toilets for girls 10 years and older? ⁴⁴

4. Operation and maintenance of students' toilets and urinals

Options	Scores	Given Score
Toilet/urinal exists and in use but not being maintained or cleaned - no cleaning materials present	0	
Toilet/urinal exists and in use, cleaning materials present and toilet/urinal not soiled with excreta or stagnant urine	25	
Benchmark: Toilet/urinal is functioning and clean; there is a system for cleaning toilets/urinals (either by caretaker or by school children) with adequate materials (e.g., water, soap and broom)	50	
In addition, there is a maintenance fund for toilet management enough to buy soap, brooms etc. and pay the caretaker	75	
Ideal: In addition, the task of cleaning or maintaining toilets/urinals is shared equally among girls and boys, and of all socio-economic groups	100	

5. Cleaning of urinals and toilets

⁴⁴ Yet to be added: points to check for menstrual hygiene: materials available, safe disposal, privacy

No one cleans regularly ☐ Mainly girls ☐ Mainly boys ☐

Boys and girls equally ☐ Female teacher ☐ Male teacher ☐

Male and female teachers ☐ Paid caretaker ☐

6. Presence and nature of hygiene education in school

Options	Scores	Given Score
No hygiene education classes held in the school	0	
Hygiene education messages only on special days	25	
Benchmark: Hygiene promotion during morning assembly or prayers	50	
<i>In addition</i> , hygiene promotion classes are in the weekly time table but not always held	75	
Ideal: Hygiene promotion classes are in the time table and are held at regularly (every week)	100	

7. Presence and use of hygiene education materials

Options	Scores	Given Score
No special materials for hygiene promotion available or used in the school	0	
Booklets and other written material available in school, but not used	25	
Benchmark: Booklets and other written material used in hygiene promotion and School Sanitation Committees or Clubs formed by children	50	
<i>In addition</i> , special material (games, toys, etc.) are used for hygiene promotion <i>and</i> School Sanitation Committees or Clubs are active	75	
Ideal: Teachers involve children in regular monitoring of school sanitation facilities and in their regular upkeep and maintenance (e.g., reporting and solving problems)	100	

8. Outreach to students' homes

Options	Scores	Given Score
No hygiene promotion done by children in their homes or in their community	0	
Children participate in rallies and marches through the village community on special days; but nothing more	25	
Benchmark: In addition to rallies and marches, children speak to their parents about the need for good hygiene behaviour (e.g., by requesting access to material like nail cutters, soap and ash), and at least one child reports a change in access to material in their homes.	50	
<i>In addition</i> , most children report change in access to material (e.g., nail cutters, soap and ash) in their homes OR teachers and students have identified and solved at least one community-level hygiene or sanitation problem	75	
Ideal: In addition, teachers involve children in a regular system to identify hygiene and sanitation problems in their houses or community, and find practical solutions by discussing with the parents, PTA or WatSan committee	100	

9. Training of teachers in hygiene education

Options	Scores	Given Score
None of the teachers were trained	0	
One female teacher was trained	25	
Benchmark: One male and one female teacher has been trained	50	
<i>In addition</i> , they have shared training with other teachers	75	
Ideal: <i>In addition</i> , they organise sanitation/hygiene promotion at home/in community	100	

8. Use of training

Options	Scores	Given Score
None of the teachers took the training seriously and did not learn anything	0	
Even those who attended seriously could not learn much (e.g., badly organised, bad trainers, no educational material or poor quality material, etc.)	25	
Benchmark: All those who attended seriously learnt the skill sufficiently, at least 1 is using it effectively, and good quality educational material has been provided and is being used	50	
<i>In addition</i> , teachers have prepared their own locally-relevant lessons and educational materials for hygiene promotion	75	
Ideal: <i>In addition</i> , they have attended refresher trainings	100	

9. Quality of support

Options	Scores	Given Score
No support (no training, no visits, no materials, no funds, etc.) during the UNICEF project period	0	
Officials have organized training for school teachers but have not visited the school visit, and have given no other support	25	
Benchmark: Officials have organized district-level teacher training, and inspected the school Watsan facilities at least once during the UNICEF project period	50	
<i>In addition</i> , officials have made sure that adequate amounts of UNICEF-provided educational material are available to teachers	75	
Ideal: <i>In addition</i> , officials have responded to specific requests by teachers and made funds available for improving hygiene behaviour and Watsan facilities in schools	100	

Annex 4: Outlines for City Pilot/Action Research

Title (Judul)	: Integrated Sewerage Management for Improved Access and Sustainability
Classification and sub-sector(s) (Klasifikasi)	: Sector: Water Supply and Sanitation Sub-sector: Wastewater and Solid Waste Disposal
Rationale (Alasan)	: The integrated improvement of sewerage for the safe disposal of excreta, wastewater, stormwater and solid waste) is important for health, economic and welfare reasons. Poor disposal of human excreta is a major cause of the continued high incidence of diarrhoea and explains every fifth child death in Indonesia (BHS Baseline, 2006). Diarrhoea and worms are also causes of child malnutrition and poor performance in schools. Loss of working days and health costs constitute economic losses for families and the country. Sewerage systems are a solution in two parts of the city, where a system is already present and can be improved. Improvement is however only possible when enough people, including lower and lowest income groups want and are able to take a connection. To get a reliable functioning of the system it is further also important to avoid the deposit of solid wastes into the system and for a health impact to measurably improve the sanitation and hygiene practices in the area. Improved sanitation and support of men for S&H improves the lives of women. Women will also benefit from a greater say in community decisions. Participation of the informal private sector in improved SWM will contribute to the livelihoods of poor women and men.
Description of the Project (Deskripsi Pekerjaan)	: Improvement of the physical conditions and performance of the existing sewerage net and expansion of connections including by poor people, hygiene and sanitation practices and solid waste management
Overall objective	Measurably improved sustainability and use of the existing sewerage system, solid waste disposal and key sanitation and hygiene practices
Specific goals (Tujuan)	: (1) Improved technical, financial and administrative functioning of the sewerage network (2) Greater and more equitable access to the network (3) Measurably improved solid waste management and key sanitation and hygiene behaviours (4) Equitable participation of men and women in information and decision making and in local management.
Performance indicators (Indikator kinerja)	: ..% of the households, including poor households connect to the sewerage system All household toilets are properly operated and hygienically used; Solid waste is segregated and separately collected, recycled and reused with incomes generated for male and female informal waste collectors and recyclers Other good sanitation and hygiene practices are effectively promoted and lead to measurable hygiene improvements.
Assumptions and risks	: The scope and nature of the intended improvements can be achieved in one year Political support is available for applying weighed contributions and tariffs based on the principle that the polluter pays.
Correlation w/ CSS	: Improvement of the sewerage net, solid waste management, hygiene promotion and community participation with equity for gender and the poor are part of the city sanitation strategy
Map (Peta)	: <u>General Map</u> (peta area lokasi) <u>Detailed Map</u> (peta detail lokasi)
Location (Lokasi)	:
Stakeholders	:
Beneficiaries (Penerima Manfaat)	: (misalnya: masyarakat di kelurahan ABC dan XYZ)
Executing agency (Institusi)	: Dep PU: Physical and Managerial Aspects Sewerage System); PKK: Social Aspects; Dinas Health (Posyandu, Puskas Mas): Hygiene promotion

pelaksana)			
Project activities and results (outputs)	Activity	Duration (month)	Result
	Mobilisation of Community Participation with women and men	November 2007 December 2007	Musrembang accepts sewerage, SWM and hygiene promotion project with measurably balanced participation of men and women. Balanced Sanitation Committee formed
	Development of social mobilisation campaign for sewerage connections to women and men, including poor women and men (see Annex)		
	Planning of participatory hygiene promotion with female and male groups and mixed? Youth groups	December 2007	Social mobilisation plan with participation of local women and men. Special measures to facilitate connection of poor defined. SWM plan with RRR c'ty participation and informal private sector involvement
	Participatory Baseline on sanitation & hygiene	January -2008	Baseline data on key S&H conditions supplementing existing EHRA data, e.g. key practices other family members, satisfaction/problems existing system, readiness of husbands and wife to improve S&H
	Implementation of Mobilization and Hygiene Campaigns with Community Committee and Groups	Jan-March 2008 Jan-May 2008	
	Physical and Administrative Improvement of sewerage system Participatory SWM implemented with equitable participation of women and men and poor	Jan-2008	Improved performance of sewerage system Equitable, effective and self-sustaining SWM system in Kelurahan or Banja in place and working

Title (Judul)	: Integrated Community Waste Water Management Pilot & Action Research Project
Classification and sub-sector(s) (Klasifikasi)	: Water supply sector, sub sector waste water and solid waste management
Rationale (Alasan)	: The integrated improvement of sewerage for the safe disposal of excreta, wastewater, stormwater and solid waste) is important for health, economic and welfare reasons. Poor disposal of human excreta is a major cause of the continued high incidence of diarrhoea and explains every fifth child death in Indonesia (BHS Baseline, 2006). Diarrhoea and worms are also causes of child malnutrition and poor performance in schools. Loss of working days and health costs constitute economic losses for families and the country. Sewerage systems are a solution in two parts of the city, where a system is already present and can be improved. Improvement is however only possible when enough people, including lower and lowest income groups want and are able to take a connection. To get a reliable functioning of the system it is further also important to avoid the deposit of solid wastes into the system and for a health impact to measurably improve the sanitation and hygiene practices in the area. Improved sanitation and support of men for S&H improves the lives of women. Women will also benefit from a greater say in community decisions. Participation of the informal private sector in improved SWM will contribute to the livelihoods of poor women and men.
Description of the Project (Deskripsi)	: Pilot project to analyse existing technical, institutional, social, financial , environmental, hygiene and gender performance of existing community managed

Pekerjaan)	sewerage system and apply and test lessons in one new area		
Overall objective	To analyse the existing sanimas systems on its sustainability, equity and effective use and test an improved approach with one new low-income community		
Specific goals (Tujuan)	: Critically assess how well existing community management systems function Develop improved approach and test it with one new low-income community Promote good hygiene practices and conditions by women and men of all ages Effective and self-sustaining SWM with equitable participation of and benefits for women and men, including from the informal private sector Measurably improve the functioning and equity of Sanimas Measurably improve key hygiene conditions and practices		
Performance indicators (Indikator kinerja)	: Technical and administrative functioning of the system; Sustainability of the system and the community management; Equity for the poor in access, use and payments; Gender equity in planning, implementation and management ; Improved key hygiene conditions and practices within the communities		
Assumptions and risks	Ability to get the support of at least one existing sanimas community and one new community to participate in improved community managed sewerage and SWM. Risk that political ,administrative and time constraints will hamper the testing of more equitable approaches (e.g. weighed contributions and tariffs according to the principle of “the polluter pays”)		
Correlation w/ CSS (Kaitannya dengan Rencana Strategis Sanitasi Kota)	: Community-managed sewerage and SWM are part of the CSS to increase the access of the poor to improved sanitation. The current approaches are promising but not yet sustainable enough to be replicated city wide with local funds. This project is meant to improve the existing approach in a participatory and gender and poverty equitable way. The location is the only high risk area which does not yet have a community-managed sewerage system.		
Map (Peta)	:	<u>General Map</u> (peta area lokasi)	<u>Detailed Map</u> (peta detail lokasi)
Location (Lokasi)	:	Pemecutan Kelod	
Stakeholders	:	local administration	
Beneficiaries (Penerima Manfaat)	:	Men and women (including poor families) of Pemecutan Kelod; poor male & female informal private sector workers in SWM (misalnya: masyarakat di kelurahan ABC dan XYZ)	
Executing agency (Institusi pelaksana)	:	Dinas sewerage; Dinas SWM; PKK Dinas Health; (All Dinas make one full-time staff available for one year). Local administration (plus one social researcher consultant from NGO or University for 1 year action research)	
Project activities and results (outputs)		<i>Activity</i>	<i>Duration (month)</i> <i>Result</i>
		Selection of social researcher and formation of local study team (incl. C'ty members M&F)	November 07 Local study and pilot team with W&M
		Cty mobilisation with equal participation of women and men and acceptance of project in P. Kelod	November 07 Outline Proposal included in APBD with 50% local financing and pledge for equitable distribution burdens & benefits
		Preparation & review of study plan in existing Sanimas area (s)	December 07
		Participation of all local men and women household heads in forming c'tee and planning local technology design, O&M, management and financing.	December 07
		Baseline on local hygiene & sanitation & Hyg Prom planning for male & female groups.	January 08
		Training part. Methods.	
		Implementation of Sanimas study	February 08
		Preparation of technical design	

	household heads themselves or by trained toilet masons (4) to assist local men and women to form/use a representative committee to plan, implement and monitor the installation of improved toilets in all households and to follow up the toilets' maintenance and hygienic use by all (5) to train any interested poor women such as single mothers as community toilet masons who can raise and meet women's demands for improved sanitation also as a means for earning an income in their own communities; (6) to promote handwashing with soap at critical times by all members in the family (7) to end open defecation and measurably improve local sanitation conditions and practices	
Performance indicators (Indikator kinerja)	: Development of a step-by-step programme for CBSL; Team of trainers trained in gender and poverty sensitive promotion, incl. PRA techniques for CLTS; number of committees formed to plan and manage community sanitation and hygiene; % males/females and poor on committees; degree to which female and poor members participate and decide in committee meetings; presence of local trained masons and % female; % of local men's and women who participate in transect walks, stool load measurement and toilet options sessions; % households who have agreed to install one of the types of toilets promoted; local adjustments made to sanitation planning and designs; degree of sharing of information on design and constructions between households; % households who have completed a sanitary toilet; % households where all members have stopped outside defecation; % households planning upgrading; % toilets with soap and water for handwashing present; % household members knowing 3-4 critical times for handwashing with soap; costs of promotion and management of programme; costs for households and community ; Safe disposal of children's stools	
Assumptions and risks	Soil and climate conditions suitable for on-site sanitation; local materials for construction are available and can be afforded by low-income households; community homogeneity, leadership and solidarity suitable for a community managed approach to sanitation; a (hidden) demand for improved sanitation is present	
Correlation w/ CSS (Kaitannya dengan Rencana Strategis Sanitasi Kota)	: Developing sustainable and effective strategies for effective and lasting improvement of excreta disposal along with improved practices are major goals of the CSS. These strategies need to be adjusted to the different ecological, demographic and socio-economic conditions of the people. They should serve especially the poor who have the lowest sanitation coverage and highest health risks. One typical category are households in low income peri-urban areas. Linking with income generation for the poorest, which includes unemployed single mothers adds a poverty reduction element Testing affordable and accepted/used ecotoilets and the scope, and socio-economic and environmental impacts of ecotoilets for low income women and men is also an important goal of the pilot project	
Map (Peta)	: General Map (peta area lokasi)	Detailed Map (peta detail lokasi)
Location (Lokasi)	: Peri urban community with high need & demand for sanitation and potential & demand for free human fertiliser and compost	
Stakeholders	Dinas PKK, Health, Sanitasi, Poverty Reduction Programme (if operational in Kota)	
Beneficiaries (Penerima Manfaat)	: Women (as toilet & compost/fertiliser users, and hygiene educators), men (as financers, toilet users and compost/fertiliser users), children, single mother (as toilet mason) in Keurahan Female and male leaders who strengthen capacity for environmental and project management	
Executing agency (Institusi pelaksana)	: Dep	
Project activities and results (outputs)	<i>Activity</i> 1. Identify and obtain agreement of pilot community(ies) by physical feasibility, need and demand 2. Form & train social/technical/health	<i>Result</i> 1. Pilot community in place 2. Mixed (discipline & gender) team

support team	in place and trained on sanitation options and cty mobilisation, PRA, cost effectiveness monitoring & gender
3. Mobilise women and men leaders & household heads & organise PRA activities (mapping by welfare level, transect walk, excreta calculations etc) with women and men & leaders	3. Community Commitment to open defecation free & agreed roles of M&F leaders, women and men household heads; representative sanitation committee
4. Mixed or male/female meetings on toilet options, costs, pro's and con's incl. eco toilets for free fertilizer/compost. Listing & planning of first batch of toilets. Agreement on who in c'ty needs help to construct (old, poorest etc)	4. Agreed list of households + type o toilets & time schedule
5. C'tee organizes external materials in bulk for good quality/cost/delivery, organizes & monitors/ accounts for payments & help.	5. External bulk materials in place
6. Advocacy and selection and training of women household head as toilet mason	6. Female toilet mason trained hands on & first toilets built.
7. First construction with help of external mason (trainer) & organised visits by women, men, children	7. First batch built & visited for horizontal learning
8. Hygiene education on handwashing with male and female groups, school children, youth club. C'tee monitors toilet use, hygiene and presence soap, ongoing construction of toilets, coverage on map	8. All can identify reasons, methods and critical times for handwashing with soap or ash. All households have soap at toilets/kitchens/baths All household members use toilet consistently and hygienically, all share cleaning, water collection for flushing/handwashing (equity of burdens & benefits). Stools of infants deposited in toilets only.
9. External support team checks quality of work, progress and results/outcomes, gives technical support, determines cost/effectiveness, shares findings and plans replication/ scaling up	9. Processes and cost-effectiveness of community managed gender and poverty sensitiveness documented and shared in workshop, policy meetings, media, demo visits by other communities etc.
10. Pokja meetings and paper, photo show, publicity, workshop for sharing results. Planning & budgeting of larger scale implementation, incorporating lessons learned	10. Proposal and plan for replication with in place.
<i>Duration (month)</i>	

Annex 5: Evaluation of CLTS in Kelurahan Bala Panjang, Payakumbuh

Terms of Reference (DRAFT)

Background and justification

In 2006, Puskas Mas and the people of Kelurahan Bala Panjang in Payakumbuh carried out a Community-Led Total Sanitation (CLTS) Campaign in Kelurahan Bala Panjang, Payakumbuh. Characteristics of the campaign was a community commitment to end all open defecation within a short period and to ensure that all households had built and were properly using sanitary toilets without any external subsidies.

Objectives

The objectives of the evaluation are

- to describe, analyse and document the approach, experiences and results of the CLTS campaign in Bala Panjang;
- to assess the costs and effectiveness of the campaign and the toilets;
- to draw general lessons and formulate general recommendations for an expanded replication of CLTS in Payakumbuh city sanitation strategy and action plan 2009;
- to photograph the toilets built including indications of use, O&M and non-use
- to write a report on the evaluation

Intended results

Intended results of the activity are:

- a documented case study on a peri-urban CLTS campaign
- a set of photos on positive and negative aspects
- strengthened capacity of the city to commission and use sanitation social research
- enhanced feedback of experience and results in the field to policy makers, programme managers and training institutions.

Proposed activities

- to describe and analyse how men and women, and poor people, have participated in planning, design and construction, campaign management and financing, and how they now participate in O&M and follow up;
- to assess the sanitation promotion and hygiene education activities undertaken as part of the campaign, the methods and materials used and the participation of local men and women in planning, design and sessions;
- to assess the quality of toilet design, construction, O&M, management, monitoring, cooperation (e.g. in sharing of information, construction and/or financing), the direct and indirect costs of the toilets and the promotion programme, the system and equity of financing and the quality of financial management, bookkeeping and accountability of financial and programme management to the users;
- to assess the degree and variation in use of the toilets by the different types of user groups (adult women, men; adolescent boys, girls; old women and men, children between 5 and 12, infants (do they get help and from whom?) and babies (locations where their stools are deposited?), and the reasons for non-use;
- to find out how satisfied especially poor women and men are about the CLTS approach (goals, methods etc.), the hygiene education and the constructed toilets
- to assess the felt benefits as well as any negative impacts of the campaign and the toilets by women, men, adolescent girls and boys, children under 12, old men and women and any other

specific user groups (any invalids, sick people?);

Annex 6: Evaluation of Community Managed Mini Sewerage in Denpasar

Terms of Reference (DRAFT)

Background

Between 2002 and 2006, and with the help of the German NGO BORDA, the NGO BaliFokus built five SANIMAS systems with household connections in five low-income communities of Denpasar. One more system is now under preparation. The services aim at providing low income households with an effective, clean and environmentally safe way to dispose of human excreta and grey water. They also aim at providing a lower-cost and effective alternative to off-site sewerage and sewage treatment.

Objectives

The objectives of the evaluation are

- to describe, analyse and document the approaches, experiences and results of the community-managed mini sewerage services in six locations
- to assess the costs, effectiveness, sustainability and equity of the services for men and women, including poor women and men
- to determine the user satisfaction of men and women about the projects and the services, including poor women and men
- to assess the impacts (positive and negative) from the processes and the service for women and men
- to summarize the findings from the six case studies
- to draw general lessons and formulate general recommendations for an expanded replication in the city sanitation strategy and action plan 2009-2015;
- to photograph the services and the evaluation process

Intended results

Intended results of the activity are:

- a gender and poverty specific comparative study on the costs, effectiveness, sustainability, equity and impacts of community managed mini sewerage
- lessons on the social, technical, institutional, environmental and financial aspects
- an outline for scaling up with quality in the medium term city plan 2009-15
- photos on positive and negative aspects
- strengthened capacity of the city to commission and use sanitation social research
- feedback of experience and results to policy makers, programme planners and managers and trainers;

Proposed activities

- to describe and analyse how men and women, and poor people, have participated in planning, design and construction, campaign management and financing, and how they now participate in O&M and follow up;
- to assess the sanitation promotion and hygiene education activities, the period of time, the methods and materials used and the participation of local men and women in planning, design and sessions;
- to assess the quality of design, construction, O&M, management, monitoring, cooperation (e.g. in sharing of information, construction and/or financing), the direct and indirect costs of the toilets and the promotion programme, the system and equity of financing and the quality of financial management, bookkeeping and accountability of financial and programme management to the users;
- to assess the degree of coverage and the access for poor households, the variations in coverage over time and the relationship between coverage and sustainability
- to assess variation in use of the toilets by the different types of user groups (adult women, men;

adolescent boys, girls; old women and men, children between 5 and 12, infants (do they get help and from whom?) and babies (locations where their stools are deposited?), and the reasons for non-use;

- to find out how satisfied especially poor women and men are about the service, the toilets, their participation in planning and service delivery processes and the hygiene promotion
- to assess the felt benefits as well as any negative impacts of men and women in users and non-user families, both poor and less poor.

Typical issues to be checked in the evaluation

- whether they wanted the system and were ready to contribute/accepted the proposed share;
- where to locate the system;
- who can be connected (the catchment area);
- how much the community and individual user households would pay to the investment costs;
- the payment system for the investment share, e.g. flat or weighed, in a lump sum or instalments, with or without interest;
- who would operate and maintain the system and if the operators will be male, female or both; what other tasks the operator(s) would do (e.g. in solid waste collection/recycling) and the salaries to be paid to the operator and other functionaries doing regular work, e.g. the tariff collector/treasurer;
- the estimated yearly O&M costs;
- the type of tariff (flat or weighed), amount and criteria and system for allocation of tariff level
- the link between number of users and the tariff;
- the amount, frequency, manner and place of payment and work involved;
- the selection and composition of the management committee including participation of women and men (poor and less poor) in the decision-making and as committee members, and the choice of functionaries (chair, treasurer, secretary etc.) – who choose them and on what criteria?
- the agreed term of office and changes in composition (frequency, reasons and selection method)
- the functioning of the committee (frequency of meetings, attendance of members, agendas, decision making, decisions, follow-up)
- the training of the operator(s) and committee members (who was trained in what, how long, how, where, to what effects), including refresher training and training for new members
- the financial management, e.g. the budget and accounts system, rules on non-payments, the bookkeeping, when and how and to whom the committee account for management and financing, auditing of the books by a local audit committee.
- the financial performance – who pays/pays not and why, actions taken and effectiveness, income and expenditures, type and amount of costs covered and not covered
- technical performance in operation, maintenance, repairs
- any environmental, health and/or safety risks
- satisfaction of poor and non poor women and men users and non users with service and management

Annex 7 : City SWM –No. Male/Female Workers at Primary Level

City		By Municipality		By Community (RT)		By Informal Private Sector		By Formal Private Sector	
		M	F	M	F	M	F	M	F
Blitar	SW Collection								
	Segregation at Source (TPS)								
	Dump (TPA) Scavenging								
	Street sweepers								
Solo	SW Collection								
	Segregation at Source (TPS)								
	Dump (TPA) Scavenging								
	Street sweepers								
Denpasar	SW Collection								
	Segregation at Source (TPS)								
	Dump (TPA) Scavenging								
	Street sweepers								
Banjarmasin	SW Collection								
	Segregation at Source (TPS)								
	Dump (TPA) Scavenging								
	Street sweepers								
Payakumbuh	SW Collection								
	Segregation at Source (TPS)								
	Dump (TPA) Scavenging								
	Street sweepers								
Jambi	SW Collection								
	Segregation at Source (TPS)								
	Dump (TPA) Scavenging								
	Street sweepers								

City Solid Waste Management – Numbers of Male/Female Workers at Secondary+Tertiary Level and in Administration

City		Municipality		Enterprise (1)		Enterprise (2)		NGO (1)		NGO (2)	
		Men	Women	Women	Men	Women	Men	Women	Men	Women	Men
Blitar	Technical										
	Administration										
	Management										
Solo	Technical										
	Administration										
	Management										

Denpasar	Technical										
	Administration										
	Management										
Banjarmasin	Technical										
	Administration										
	Management										
Payakumbuh	Technical										
	Administration										
	Management										
Jambi	Technical										
	Administration										
	Management										

018530 - SWITCH

Sustainable Water Management in the City of the Future

Integrated Project
Global Change and Ecosystems

D6.3.2: Case studies on selected approaches or methods to optimise social inclusion (M12)

Brazil and beyond: lessons from participatory governance innovation.

Valerie Nelson

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CO	Confidential, only for members of the consortium (including the Commission Services)	

Brazil and beyond: lessons from participatory governance innovation.

A case study on social inclusion for SWITCH

Valerie Nelson⁴⁵

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Introduction

Recent innovations in citizen participation in urban governance provide insights for SWITCH partners aiming to promote equitable participation with respect to water resources management and budgeting. Lessons are emerging from innovations in both **participatory budgeting of public resources** and **participatory management of water resources**. The lessons relate to how participatory governance initiatives can help to reduce poverty and social exclusion by promoting institutional change and a more equitable distribution of public resources, and by deepening the quality and breadth of citizen participation. The findings also indicate the necessary conditions for success in different localities.

This paper reviews the key literature from Brazil – the birthplace of participatory budgeting – and case studies from the UK. Quite often budget preparation, review and approval in urban governance fails to reflect the diverse interests of local people, particularly the poorer sections of society, or to give them a say over what should be funded. Critically, PB can also be used to re-direct resources in a city to poorer areas. The PB examples show how the specific political context shapes the course of an initiative in reality, affecting its impact and sustainability. The case of participatory management of natural resources is a well covered topic in international development, but a recent case from Caracas, Venezuela specifically provides an example of urban water resource management which includes budget control by local community representatives.

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Participatory budgeting in Brazil

This section provides some background on participatory budgeting (PB) in Porto Alegre, specifically, and Brazil more generally. The emergence of PB occurred in the late 80s in Brazil. PB emerged in Porto Alegre in 1989 and is now widespread across Brazil, garnering significant attention in international development, presenting as it does, possibilities for real engagement of local people in making decisions over public resources⁴⁶. This is a new kind of democratic engagement between the state and citizens, forming part of the wider momentum in many parts of the world towards participatory governance.

Definitions of PB range along a continuum⁴⁷:

- **General definition:** PB is a ‘process through which citizens may contribute to decision-making over at least part of a governmental budget’.
- **Middle range definition:** processes in which citizens regularly contribute to decision-making over part of a public budget through yearly scheduled meetings with government authorities (draws from the World Bank definition – see box 1 below)⁴⁸.
- **Specific definition:** (based on Porto Alegre experiences) ‘any individual citizen who wants to participate, combines direct and representative democracy, involves deliberation (and not merely consultation), is redistributive towards the poor, and is self-regulating, such that participants help define the rules governing the process, including the criteria by which resources are allocated’

The key aims of PB are: increasing governmental accountability and empowering citizenship rights for the urban poor, with the aim of achieving greater social justice and an effective democracy⁴⁹. More detail is provided in **Box 1** below.

46 See ‘Participatory Budgeting <http://www.participatorybudgeting.org/>, and ‘The World Bank Guide to Participatory Budgeting’.

47 Benjamin Goldfrank (2006) Lessons from Latin American Experience in Participatory Budgeting, University of New Mexico, Presented at the Latin American Studies Association Meeting, San Juan, Puerto Rico, March 2006

48 Goldfrank (2006) op cit.

49 Brian Wampler (2007) ‘Participatory budgeting in Brazil: Contestation, Cooperation and Accountability’. Penn State Press. See also Wampler, 2000, etc – ‘A guide to participatory budgeting’ - <http://www.internationalbudget.org/resources/library/GPB.pdf>

What is Participatory Budgeting?

Participatory budgeting (PB) can be defined as 'a process in which a wide range of stakeholders debate, analyze, prioritize, and monitor decisions about public expenditures and investments. Stakeholders can include the general public, poor and vulnerable groups including women, organized civil society, the private sector, representative assemblies or parliaments, and donors'. Citizen participation in public expenditure management can take place within the development and analysis of budgets, during the monitoring and tracking of expenditure, and/or in monitoring the delivery of public services. Positive outcomes resulting from empowering local people to participate in budgeting include: 'formulation of and investment in pro-poor policies, greater societal consensus and support for difficult policy reforms'⁵⁰.

Source: World Bank (<http://go.worldbank.org/YO74GP5KN0> accessed on 29.01.08)

Box 1 : What is Participatory Budgeting?

There is a great deal of literature on the development of PB in Porto Alegre, and also in Brazil⁵¹ (see **Box 2**).

The emergence of participatory budgeting in Brazil

Phase 1: Origins and pre-conditions

- 1985: Re-establishment of democratic government, local participatory initiatives across the country begun and organisation of citizens around themes of direct participation, autonomy, resource redistribution to the poor. Political outsiders and reformers win office at state and municipal levels and they experiment with innovative policy programmes in response to intense discourse on social and political issues.
- 1988: Constitution allows citizens to participate in local policy-making and decentralisation processes increase the authority and flexibility of mayors to adopt new policy-making programmes.

Phase 2: Initiation and uptake across Brazil

- 1989: PB implemented in Porto Alegre by Workers' Party (PT)
- 1990-91: PB adopted in 10 other cities across Brazil
- 1993: Porto Alegre PB consolidates and involves 10s of 1000s of participants per year. 52 new cases of PB in Brazil.
- 1996: UN cites PB as one of the best 40 policy programmes at Istanbul Habitat Conference
- 1997: 130 new cases of PB in Brazil, Two-thirds adopted by governments other than the PT.
- 2001: 6177 new cases of PB in Brazil. Nearly two-thirds adopted by governments other than the PT.
- *Phase 3: Global spread*
- 2005: PB had spread to 300+ municipalities in 40+ countries (including China, Dominican Republic, Ecuador, India, Indonesia, Italy, Mexico, Serbia, South Africa, Spain and

⁵⁰ Possible roles of citizens are: participation in budget allocation following priorities identified in participatory poverty diagnostics; formulating alternate budgets; assessing proposed allocations in view of a government's policy commitments; monitoring expenditure by tracking whether public spending concurs with budget allocations; tracking the flow of funds to delivery agencies; monitoring public service delivery by checking the quality of goods and services provided by government in view of expenditures using a process similar to citizen report cards or scorecards' World Bank website (op cit).

⁵¹ See for example the websites for; the International Budget Project: www.internationalbudget.org; the Participatory Budgeting Forum: <http://participatorybudgeting.org/>; and the Participatory Budget Unit UK: <http://www.participatorybudgeting.org.uk/>. A key text is: Brian Wampler (2007) 'Participatory budgeting in Brazil: Contestation, Cooperation and Accountability'. Penn State Press; Also, Wampler, 2000, etc – 'A guide to participatory budgeting' - <http://www.internationalbudget.org/resources/library/GPB.pdf>

Uruguay.

Source: Adapted from: Wampler, Brian and Leonardo Avritzer. 2004. "Participatory Publics: Civil Society and New Institutions in Democratic Brazil. *Comparative Politics*. V36:N3. 291-312.

Box 2: The emergence of participatory budgeting in Brazil

The first year of PB was hindered by the fact that there were limited resources that were still unallocated and could thus be decided upon through the PB process. Revenues increased, however, (they were 40% higher in 1990 than in 1989) and in 1995 the total capital expenditure budget was about \$65 million - with just under half being included in the PB process⁵². The World Social Fora in Porto Alegre contributed to the rapid, global spread of this approach, as they raised awareness amongst civil society organisations.

Main elements of Participatory Budgeting in Porto Alegre

- *Series of local meetings at district level with voting on general policies and specific projects:* citizens participate in a series of government-sponsored meetings over an 8 month period, and vote for general policies first, establishing main priorities for new spend on infrastructure, housing, or health care) and then specific projects (e.g. paving their street, opening new local health clinic). Minimum involvement (for an initiative to be classed as PB) is direct involvement of citizens in some budget decisions; mainly focus is on investment decisions – 10 to 20% of Brazilian budgets available for spending on new public works.
- *Organisation by administrative districts:* Porto Alegre divided into 12 administrative districts to enable organisation of citizens and for resource distribution. Citizens attend meetings in their local districts, where votes are held to encourage competition and solidarity amongst individuals from similar socio-economic backgrounds (e.g. low income).
- *Resource distribution and social justice:* To promote social justice, resources are distributed across the 12 districts according to need – the more intense the poverty, the more resources allocated to that district – so the poorest districts are automatically allocated more resources than wealthier districts.
- *Representation and final negotiations:* Delegates are elected by citizens to represent their interests in final budget negotiations and policy implementation, with oversight to check on corruption, completion of projects and communication between citizens and government.

Source: www.internationalbudget.org

Box 3 : Main elements of Participatory Budgeting in Porto Alegre

There are increasing numbers of PB pilots beyond Brazil, in cities in Latin America (Argentina, Chile, Dominican Republic, Ecuador, Guatemala, Mexico, Peru, Venezuela), Europe (Albania, France, Portugal, Spain and the UK), and Canada⁵³. The major benefits are improved efficiency of public spending, increased participation by poor people and evidence of improved tax payment (see **Box 44** for more information).

Benefits from participatory budgeting in Porto Alegre

52, Abers, cited in <http://www.chs.ubc.ca/participatory/docs/op.pdf>. Abers, Rebecca. 1998. "From clientelism to cooperation: Local government, participatory policy, and civic organizing in Porto Alegre, Brazil. *Politics and Society*. 26(4): 511-537. Abers, Rebecca. 2000. *Inventing Local Democracy: Grassroots Politics in Brazil*. Boulder: Lynne Rynner.

53 In India, for example, the plan is to introduce participatory budgeting in the municipality of Pune, Maharashtra, providing local residents with a say in how the municipal budget should be spent. The population is approximately 4.5 million and the city is India's eighth largest. The plan is to brief local political parties on PB and to train officers and citizens in all 144 wards. Residents and elected budget delegates will identify spending priorities and vote on which to implement, and each ward will then submit its budget (<http://www.earthtimes.org/articles/show/128795.html>).

- *Increased efficiency of public spending:* Budget participants scrutinize data, and the explanations and decisions made by authorities. Reduces corruption and clientelism (funds can more easily be traced, there are few overpriced contracts, more promises are kept and fewer unnecessary investments are made). Sewer line construction rapidly increased following the introduction of PB - 1989 to 1996, the portion of the population with access to sewer lines rose from 46% to 95%. The pace and quality of road paving leapt – from 4 km per year prior to the PT administration to 20 km per year after 1990. Extended *favelas* became accessible to buses, rubbish trucks, ambulances and police cars as a result. Following initial resistance from construction companies and a boycott, such companies found benefits from the new regime of fewer bribes needed, more contracts and more punctual payment of bills.
- *Higher participation by poorer people:* Areas in the poorest category represented only 12% of the city's inhabitants, they accounted for almost a third of the 1995 assembly participants.
- *Evidence of improved tax payment:* evasion drops when local residents feel they have greater say over expenditures, and see better use and management of finances.

Source: Rebecca Abers, 1996 and 1997, as reported in

<http://www.chs.ubc.ca/participatory/docs/op.pdf>⁵⁴

Box 4 : Benefits from participatory budgeting in Porto Alegre

Despite the rapid spread of PB in Brazil, success is not a given. Concerns are beginning to be raised regarding PB effectiveness and its future in Porto Alegre. Following a change in the municipal government in 2004, one observer has seen a lessening of political commitment⁵⁵. Comparative analysis of eight PB initiatives in Brazil has also found varying outcomes⁵⁶ and this study identifies critical success factors as the 'incentives for mayoral administrations to delegate authority, the way civil society organizations and citizens respond to the new institutions, and the particular rule structure that is used to delegate authority to citizens' A comparison with other countries in Latin America, (Brazil, Bolivia, Guatemala, Nicaragua and Peru)⁵⁷ found that results are partially shaped by the intentions of those designing the process and the pre-existing conditions in each particular place. 'National legal mandates for PB have not created widespread local success in encouraging citizen participation, fiscal transparency, and effective municipal government. This is partially because designers of national laws had other goals in mind (possibly in addition to these goals) and partially because of local obstacles, including reluctant mayors or opposition parties, weak fiscal and administrative capacity of municipal governments, and fragmented, conflict-ridden civic associations'⁵⁸.

54 Rebecca Abers (1996) "From ideas to practice: the Partido dos Trabalhadores and participatory governance in Brazil" Latin American Perspectives 91(23), 35-53. And Rebecca Abers (1997) "Learning democratic practice: distributing government resources through popular participation in Porto Alegre, Brazil" p.39-65 in: Michael Douglass & John Friedmann (eds.) "Cities for Citizens: planning and the rise of civil society in a global age" Chichester (UK): John Wiley & Sons. And Abers, R. N. (2000) Inventing local democracy: grassroots politics in Brazil. Boulder: Lynne Rienner Publishers.

55 Michael Fox (2008) North American Congress on Latin America. <http://nacla.org/node/4566>

56 Wampler, (2007) op cit.

57 Benjamin Goldfrank, (2006) 'Lessons from Latin American Experience in Participatory Budgeting', University of New Mexico, Presented at the Latin American Studies Association Meeting, San Juan, Puerto Rico, March (2006).

<http://www.internationalbudget.org/themes/PB/LatinAmerica.pdf>

58 Goldfrank, (2006) op cit.

However, PB *has* had success in very diverse locations (‘from small, poverty-stricken, indigenous, rural villages to major cities with residents of various ethnic, sectoral, and class identities’⁵⁹, with success correlating with combinations of the following factors: ‘the mayor is either indigenous or from a party on the left (or both), opposition from local political elites is weak or non-existent, project funding and/or technical assistance are provided by national or international aid organizations, the municipality has revenues sufficient to make significant investments in public works or programs, and there is a tradition of participation and cooperation within and among local civic associations and/or indigenous customary organizations that has not been destroyed by guerrilla warfare or clientelist politics’⁶⁰. PB alone was not found to significantly reduce income poverty – for this to happen would require application of the PB principles (transparency, direct participation and redistribution towards the poor) at national and international levels. Whilst achieving this mainstreaming of PB principles represents a significant challenge, there are ‘countervailing signals in the current wave of left-leaning presidents in much of Latin America, the democratizing pressure from social movements organizing in venues such as the World Social Forum, and the recent moves towards re-thinking on the part of international financial institutions and aid agencies’⁶¹.

Participatory budgeting in the North of England

An example of participatory budgeting (or participatory grant-making) beyond Latin America is that of an (*anonymous*) city in the North of England. The material for this case is drawn and summarised from a study by Helen Blakey, University of Bradford, entitled ‘*Radical innovation or technical fix? Participatory Budgeting in the UK: how Latin American participatory traditions are reinterpreted in the British context*’⁶². This British example also shows that the incentives of those initiating participatory budgeting and the governance context are critical in shaping its’ specific trajectory and outcomes.

The PB pilot was started in a municipality in northern England, led by the Local Strategic Partnership⁶³ in a situation of heightened ethnic tension, a poorly perceived local Council, numerous participation initiatives, and pressure from central government on local government to increase participation and (paradoxically) comply with targets and directives. The pilot evolved out of pre-existing practical experience in promoting participatory social change through Neighbourhood Action Planning (NAP) (local planning funded via the central government Neighbourhood Renewal Fund pot). Those leading the pilot saw the PB as a means of changing who makes decisions, to improve resource allocation, create better services and foster more informed/active local communities.

Key players in the PB north of England city pilot
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⁵⁹ Goldfrank (2006), op cit.

⁶⁰ Goldfrank (2006), op cit

⁶¹ Goldfrank (2006), op cit

⁶² Blakey, H. (undated) ‘Radical innovation or technical fix? Participatory budgeting in the UK: how Latin American participatory traditions are reinterpreted in the British context’. International Centre for Participation Studies, Department of Peace Studies, University of Bradford. Accessed at:

<http://www.bradford.ac.uk/acad/icps/> Blakey (2007) PSA conference, 13th April 2007,

<http://www.psa.ac.uk/2007/pps/Blakey.pdf>

⁶³ A local strategic partnerships (LSP) is a non-statutory body, involving councils and key local partners (e.g. the policy, health services, private and voluntary sectors) to develop a long-term vision for a local area, focusing on improving the quality of life and local services in the area. The partners also deliver the improvements in the Local Area Agreement (LAA). LSPs now exist for almost every part of England and Wales.

- *Leaders/initiators:* The Local Strategic Partnership (LSP) neighbourhood partnership manager, and LSP officials)
- *A reference group* was brought together including:
 - LSP staff
 - Voluntary and community sector representatives (including the community development worker manager)
 - Council area coordinator
 - An official from the UK Participatory Budgeting Unit
 - Representatives from the LSP theme partnerships.

Source: Blakey, 2007

Box 5 : Key players in the PB north of England city pilot

The funding available for inclusion in the participatory process came from the NRF, plus £130,000 from the Local Area Agreement (earmarked for work in deprived areas only, on specific themes (youth, environment, safer communities)).

Main elements in PB in the north of England city pilot

The process involved:

- *Development of a 'budgeting process'* by the reference group (mid-2006). This was carried out by LSP staff and the voluntary sector community development team, at existing community events, and by going 'door-to-door' in some of the areas.
- *Canvassing residents and identifying priorities:* In the summer of 2006, local residents (400) were canvassed about their top three priorities for the area, choosing from a list of nine, and ranking these in order of priority. For each of the three priorities identified, residents were also asked to suggest three particular issues related to each priority and to propose solutions. Funding was distributed according to head of population in each area, because this was a rule of the NRF funding and because allocation according to specific themes (which would allow residents to have greater influence over spending) was perceived as being too difficult.
- *Invitations to develop project proposals according to identified priorities:* Local organisations (VCS, statutory organisations and private companies) were approached, and local councillors and PB reference group members verified the bids met the stated rules and commented on deliverability.
- *Residents vote:* 300 residents decided which proposals received funding via a voting day (November, 2006). Community development workers assisted in reaching local residents. Rapid presentations of each project (3 minutes per presentation) were given in groups of five, without time for questions, and residents then gave each project a vote out of ten. Votes were collated following all the presentations and the winners announced. . Evaluation forms were given out and analysis found that participants had found the process to be fair and effective, providing networking and learning opportunities.

Source: Blakey, 2007.

Box 6 : Main elements in PB in the north of England city pilot

The positive outcomes of this initiative are set out in **Box 7** below.

Positive outcomes in the north of England city pilot

- *Convincing residents and officials:* the process showed new possibilities to residents for having a say;
- *Motivation:* The direct link between participation and outcomes clearly motivates local people to act and take responsibility.
- *Opening up new spaces for democratic engagement:* opened up alternatives to existing decision-making processes;
- *Ownership:* generated a sense of control over local decisions etc.
- *Informing debate on all sides:* Participants valued the insights gained about decision-making, including greater awareness of the constraints faced by local councils and enabling more informed and less heated debates about funding as a result.

Source: Blakey, 2007

Box 7 : Positive outcomes in the north of England city pilot

The case study source material does not provide a detailed analysis of particular strategies that were employed specifically to support the involvement of socially excluded groups in the process – although it is clear that communications via existing community events and door-to-door canvassing of opinion and invitations to residents would have helped at least in spreading the word. Nor was there a clear mechanism for redistributing resources to poorer areas. There were a number of limitations with the process undertaken (see **Box 8** below).

Challenges and lessons from the north of England city case study of PB

- *Incentives to participate:* Where participants see they can influence decisions, there is motivation to participate. Half the participants came from one particular neighbourhood, because the local school informed parents of the upcoming event and explained that the meeting would directly affect the decision regarding funding for the school's project.
- *Deliberation was absent:* Space was not given for residents to explain, defend or test their views on others - developing budget literacy requires space and time to grow.
- *Demonstration effect:* As a pilot initiative, this process illustrated how to involve local people in decision-making. Those leading and promoting the pilot see it as an important first-step, even if it is a limited process in terms of the funding available, duration etc.
- *Stand-alone versus cyclical process:* Despite interest there are no concrete plans for follow-up. Across the UK participatory budgeting is being piloted, but as one-off activity, which affects the outcomes. In this case, funds were allocated on an area basis only, not on thematic lines at all. Only in a cyclical process would the deliberations provide different areas of the municipality with repeat opportunities to learn and mobilize around specific issues to obtain resources.
- *Leadership from dedicated individuals, rather than forming part of a groundswell of public opinion.* In contrast to Brazil, in the UK there is not the same movement demanding political engagement and hence the pilots are not explicitly political processes.
- *Limitations because of the use of ad-hoc grant funding with pre-determined targets:* The participatory nature of the budgeting process is constrained, because the pilots are currently

limited to deliberating on grant funding – funding which often flows from short-lived government initiatives with pre-determined objectives. NRF targets focus the funding solely on deprived areas and success is judged according to this – thus participation in decision-making is not specifically prioritized as an end in and of itself.

- *National level demands thus vie with and often supercede local priorities:* The ‘delivery culture’ of New Labour focuses on targets which sets out what should happen and when, emphasizing bureaucracy over leadership, and organisational accountability and control rather than communities taking responsibility. Residents may be involved in existing processes, but it is thus difficult for real power to be ceded to local residents over decisions which might lead in very different directions.
- *PB in the UK is being implemented more as a ‘technical fix’ than as a ‘radical political innovation’:* PB is seen as a means to achieving improvements, distinct from a political vision in itself. Even where this political vision exists, the powerful delivery culture means it is often presented as a technology to deliver better outputs (e.g. the national reference group is seeking to obtain evidence of the cohesion benefits of PB to sell it within government departments
- *PB leaders in the UK avoid espousing an overtly political agenda:* This de-politicisation occurs partly because the officials leading such pilots tend to be officials working in local statutory organisations, rather than being promoted by specific political parties, as is the case in Brazil. A more overt promotion of the political nature of the process in terms of achieving a real re-distribution of power is important.
- *Key success factors:* the size of the LSP - large enough as a statutory organisation to have some resources to invest, but small enough to avoid excessive bureaucracy; senior managers being allowed to experiment; on-going relationships with other key actors; ownership by the voluntary and community sector

Source: Blakey, 2007

Box 8 : Challenges and lessons from the north of England city case study of PB

In the UK the prevailing delivery and targets-oriented culture promoted by central government, leads to a technical fix approach to participatory budgeting involving toolkits, consultants and sellable technologies, rather than a focus on participation as a set of ideals and principles. Political voices that might promote deeper kinds of engagement are often restricted by such technical interpretations and this can affect the outcomes. According to Blakey, (2007, *op cit*), there is an example of a local mayor in Medellin, Colombia, who did support the local participatory budget priorities above national rules, because of his support for the nature of the process in its broadest political sense. In the UK, proponents of PB find they often have to persuade central government officials to support the process by downplaying the more transformational aspects of such a process, and focus on a more contingent approach in order to get off the ground.

Public consultation on budgetary plans, London Borough of Harrow, UK

The Open Budget Process in Harrow⁶⁴ illustrates some of the positive benefits of carrying out public consultation on budgetary plans not only for local citizens but also for local authorities. This case study draws on material from an evaluation by A. Lent, (2006) entitled, '*Harrow Open Budget – Final evaluation*', The Power Inquiry, UK. The initiative promoted transparency, but does not include a redistribution of resources towards the poor. In terms of public participation this case shows efforts to move towards more direct engagement with local residents in the budget process, although falls short of the full suite of principles as enshrined in the Porto Alegre template. The case study also indicates some of the challenges for managing such a process in an inclusive way.

The 'Open Budget Process' in Harrow – origins and process

- *Background:* In the London Borough of Harrow tensions arose following Council tax rises between local residents and the Council and so local councillors were keen to build greater trust by involving local people in budget deliberations.
- *Employment of external facilitators:* The 'Power Inquiry' consultancy was employed to manage and facilitate the participatory process.
- *Consultation of key actors:* (councillors, council officers, community groups) was carried out.
- *Wider consultation process with residents*
- *Development of an 'Assembly Discussion Guide'*
- *Information campaign:* Using the discussion guide, to invite residents in a way that would reflect the diverse make-up of the borough in terms of ethnicity, age, gender etc.
- *Open Budget Assembly:* 300 residents attended the Open Budget Assembly, at which there was discussion and voting on key priorities for the 06/07 budget. Councillors and officials attended as observers. Budget priorities were identified and an Open Budget Panel elected – the latter responsible for analysing the influence of the Assembly on the final budget of the Council and providing a feedback/communication mechanism. Participants were randomly divided into tables of ten, with each table debating the budget in five sessions over six hours. A facilitator on each table employed a laptop computer to communicate common findings and interesting ideas to a team of analysts who collated the findings, which were then presented to the plenary. Voting on key priorities was also conducted in plenary using voting keypads – the results of which were instantly viewable on a large screen.

Source: Lent, A. (2006) '*Harrow Open Budget – Final evaluation*'. The Power Inquiry, UK.

Box 9 : The 'Open Budget Process' in Harrow – origins and process

So what were the outcomes of this initiative? See **Box 10** below for details of the key outcomes.

64 Lent, A. (2006) '*Harrow Open Budget – Final evaluation*'. The Power Inquiry, UK.

Key outcomes of the Harrow 'Open Budget Process'

- *Enhanced reputation of the Assembly:* views on the Council improved locally and a more informed and calm public debate on Council budgeting was enabled⁶⁵; improved quality of decisions. Concerns that tax cuts would be proposed undermining public services were unfounded, with some sections of the budget actually proposed as significant growth areas and higher ranking of non-financial council spending criteria (e.g. effectiveness, environmental impact and social impact) than previously.
- *Balanced representation:* the Assembly did reflect the 'complex demography' of Harrow, with representation across different ethnic groups, age groups (the young and old were slightly over-represented which is unusual compared to the 20-44 age group) and both men and women attended, although 40 more men compared to the number of women. The Panel had slightly higher representation from the 20-44 age group to provide some balance, and the gender balance was relatively equal, although still with more male members than female.

Source: Lent, A. (2006) 'Harrow Open Budget – Final evaluation'. The Power Inquiry, UK.

Box 10 : Key outcomes of the Harrow 'Open Budget Process'

There were also challenges in this particular process identified by Lent, (2006) and highlighted in **Box 11** below.

Challenges and lessons from the Harrow 'Open Budget Process'

- *Difficulties experienced in the operation of the Panel:* The Panel lacked focus, possibly due to its large size (34 members), but also insufficient time allowed for members to learn about budgeting; differing interpretations of the Panel's role and insufficient time to accommodate them all (the organisers seeing it as a feedback mechanism on the final budget, and members focusing on actively promoting Assembly decisions); emphasis of efforts on the bigger Assembly, to the detriment of planning/back-up for the unexpectedly popular Panel process.
- *Benefits from educating the public on local authority resource constraints:* Limits to Council budget options explained at marketing stage; clarity in communications that Councillors retain legal control over budget decisions; efforts to try and avoid over-inflation of unrealistic expectations.
- *Mixed effectiveness in influencing budget priorities:* The Panel concluded that the final Harrow Council budget did largely reflect the priorities identified by the Assembly, although it also identified particular instances where its views had been ignored.
- *Participants keen to set the agenda next time round:* Greater freedom to set the policy options would be sought in the future. Insufficient time allowed for involvement of local people in developing the discussion guide or deliberate on alternative options within the Assembly process.
- *Missed opportunity for direct dialogue between those in authority and local people:* The Steering Group separated the Councillors from the Assembly in the deliberations to ensure

⁶⁵ A supportive local media coverage was a key element and even the tax campaigning group, the Harrow Council Tax Campaign, provided endorsement.

independence but this underestimated the skills of the facilitators and meant that an important opportunity for direct dialogue was lost.

- *Improved transparency and access to information:* The publication of an accessible and informative document about Harrow finances, budget processes and constraints represented a major step forward in transparency. The Panel requested indication of whether policy options implied revenue or capital costs, although this would represent more complex information and more in-depth piloting might therefore be needed. Council efficiency was not directly addressed as the Council had already begun a Council efficiency programme, but a discussion of efficiency would have been helpful as many local residents feel that inefficiency of and waste by the council contribute to higher taxes.
- *Engaging with vocal campaign groups:* Despite concerns about deliberating a contentious topic (Council finance), discussions were informed, constructive and engaged a wide variety of local stakeholders, including the most vociferous local group – the Harrow Council Tax Campaign in structured debate.
- *Lack of communication about follow-up plans:* This was an exploratory initiative which built support from key quarters for engagement over the longer-term, but participants became frustrated that despite a good reception for the Panels' final report to the Assembly, there was no clear feedback on how the process would be continued. Both a lack of planning and resources contributed to inadequate communication.
- *Insufficient time allocated for different stages of the process undermined its success:* Facilitator independence was maintained throughout boosting the credibility of the process, but tensions emerged between them and the Council Steering Group - mainly because of the limited time allocated for completion of the key milestones.
- *Need for continuation:* The event in question was a time-constrained, one off event. Annual repetition is required to complete the open budget process and to embed the approach within public resource budgeting and to build up a greater sense of local ownership.
- *Demonstrating to local politicians the benefits of direct democracy:* Local councillors were convinced that local people could make informed decisions about what to fund with limited resources on issues of wider community interest. Council members and officers became more informed about local residents' priorities. Quite often local politicians would see this kind of process as a threat to their power base, but such pilots may help to illustrate positive outcomes.

Source: Lent, A. (2006) 'Harrow Open Budget – Final evaluation'. The Power Inquiry, UK.

Box 11 : Challenges and lessons from the Harrow 'Open Budget Process'

This case does not represent PB as taken up in Brazil, but is seen, at least by the facilitators, as a way of moving towards a longer-term process of democratic engagement and dialogue.

Poor communities managing their water resources

The Caracas, Venezuela case study illustrates community management (CM) of municipal water services in poor areas⁶⁶. The participatory inquiry was conducted and reported jointly by the ‘La Mesa Técnica de Agua La Pedrera’ (the technical water group of La Pedrera), □ Hidrocapital (the state water company responsible for water services in the metropolitan area of Caracas); La Organización Comunitaria Autogestionaria Carpintero-Barrio Unión; □ La Federación de Organizaciones Comunitarias Autogestionarias. The aim of the MTA is to create spaces for organized communities to meet municipal officials and water companies to exchange information and jointly resolve problems relating to water services (see **Box 12** for details of the emergence of this initiative).

Origins and process of Caracas technical water group

- The MTA approach was begun in Venezuela in 1999 in response to the widespread urban poverty found concentrated in the slums, or ‘barrios’, in which access to basic services, employment, education and security is extremely limited.
- A ‘Mesa Técnica de Agua’ (MTA) has been set up (this could be translated as a ‘technical water group’) at community level.
- Context of decentralisation and more recently, increased central government support for community councils as part of its vision of ‘21st Century Socialism’.
- 2001 - the MTA of La Pedrera, in the parish Antimano was set up, with support from the state water company, Hidrocapital, which is responsible for water services across the city.
- Assemblies were held to elect MTA members, and these were open to all local residents.
- 35 community members have analysed water issues in the local area. A core group of 8 community residents maintain the MTA, with other residents providing inputs when needed – e.g. carrying out work when a water problem arises in their area.
- The MTA attends the community water councils or ‘Consejos Comunitarias de Agua’ (CCA) in the parish of Antimano, along with the other parish MTAs.
- A CCA is held every 15 days, at which each parish can present the water cycle for their area (issues often include: whether water delivery is occurring in line with the timetables; duration of the water supply; problems with piping).
- Since 2005, the MTA de la Pedrera has been working to replace the deteriorating drinking water pipes in the neighbourhood, and this has evolved into an even more complex project to upgrade all water services, with assistance from Hidrocapital and the Ministry of the Environment.
- The MTA has been granted 800 million Bs (\$372,093) to manage the project of installing or mending clean water pipes in La Pedrera. The MTA is responsible for submitting accounts to Hidrocapital every 8 days.

Source: ¿“Aquí, el Pueblo decide”? Nuevas Formas de Participación Ciudadana. Informe de Investigación Compartiendo Descubrimientos con los Participantes de Investigación, Octubre 2007. Accessed at: <http://www.bradford.ac.uk/acad/icps/>

Box 12 : Origins and process of Caracas technical water group

A number of positive outcomes of the MTA process have been identified (see **Box 13**).

66 ¿“Aquí, el Pueblo decide”? Nuevas Formas de Participación Ciudadana. Informe de Investigación Compartiendo Descubrimientos con los Participantes de Investigación, Octubre 2007. Accessed at: <http://www.bradford.ac.uk/acad/icps/>

Positive outcomes of the MTA process

- more reliable access to drinking water in the neighbourhood, with less erratic supplies every 18 to 20 days rather than every 45 days and for longer periods at a time;
- community members (elected by the wider neighbourhood) manage the project and there is a greater sense of ownership and determination to succeed than otherwise would be the case;
- the MTA have increased understanding of the problems of access to clean drinking water in the area amongst local authorities, water company etc;
- the MTA members themselves have gained confidence and learned new skills in managing the project with support from Hidrocapital officers;
- increased water access has helped to reduce social tensions locally.

Source : ¿“Aquí, el Pueblo decide”? Nuevas Formas de Participación Ciudadana. Informe de Investigación Compartiendo Descubrimientos con los Participantes de Investigación, Octubre 2007. Accessed at: <http://www.bradford.ac.uk/acad/icps/>

Box 13 : Positive outcomes of the MTA process

As well as these incipient positive outcomes, a number of challenges have also been encountered (see **Box 14** below).

Challenges and lessons from the La Pedrera MTA experience

- *Lack of confidence in the process:* Not all local residents are willing or interested in participating, partly because of the past failures of government initiatives and instances where resources allocated to community projects have disappeared;
- *Sustaining official support can be tricky:* Public policies can change rapidly. Staff turnover among key officials can affect continuity. Work by the MTA has been delayed on a number of occasions because of policy changes and resource blockages in the Ministry, undermining the local credibility of the MTA core group.
- *Difficulties in achieving an inclusive process:* In a context of insecurity and severe poverty. Women in La Pedrera have to combine paid work as well as their domestic duties, limiting their ability to participate in such processes. All locals, but particularly women, are fearful of attending meetings and assemblies in the evening as they say it is too dangerous to travel about after dark, given the violence occurring in the ‘barrios’.

Source : ¿“Aquí, el Pueblo decide”? Nuevas Formas de Participación Ciudadana. Informe de Investigación Compartiendo Descubrimientos con los Participantes de Investigación, Octubre 2007. Accessed at: <http://www.bradford.ac.uk/acad/icps/>

Box 14 : Challenges and lessons from the La Pedrera MTA experience

Conclusions

Participatory governance innovations can improve poor people’s lives. In the Caracas case, participatory management has helped to bring about improvements in water services in La Pedrera municipality. In Porto Alegre benefits have included rapid increases in sewer line construction and road paving in poorer parts of the city.

Promoting participation builds the ‘demand side of governance’. Citizens have to have the capacity, capability and willingness to exercise their voice on policy and practice. Participatory governance innovations can help to build up this capacity. Civil society organisations and citizens have to work with government representatives to enable joint policy solutions and to promote delegation of authority by officials⁶⁷. Civil society and citizens should hold government officials to account using the public nature of the process to implement the projects local people want. Participants are not just users of PB but are ‘rights-bearing members of their community’⁶⁸. In Porto Alegre, citizens have held government officials to account and evaluations have indicated that this has helped to reduce corruption. Where citizens and civil service organisations are not able or not willing to contest the ideas and policies of those in authority, then there will not be sufficient pressure for the delegation of that authority, and co-optation is more likely⁶⁹. Where there are already networks of social movements this can help in providing support and in legitimizing governmental reforms.

Open attitudes of government officials is a critical success factor. Government support for the delegation of authority directly to citizens is essential. This has been a condition in Porto Alegre, but in the UK the messages are mixed - with support for participatory budgeting/citizen empowerment on the one hand, and on the other a strong delivery and targets-oriented culture emanating from a controlling administration. The government may need public support for their vision of a redistribution of wealth - if resources are to be allocated to poorer areas, but this is a goal which can meet resistance from vested interests. Those in authority (e.g. mayors) need to be willing to allow citizens to make budget decisions and support the implementation of priorities identified during PB⁷⁰.

Importance of changes by government in information provision and resource allocation: A number of innovations contribute to success, including: a) the development and sharing of budget and policy planning documents which are understandable by local people (including considerations of language, literacy limitations etc); provision of information on sources of finance for implementation across a range of sectors; reform of internal administrative procedures in local government to enable decentralized decision-making and to provide appropriate incentives for bureaucrats who will have oversight of the selected projects; making resources available that citizens can use to allocate to specific public works⁷¹. The autonomy of local government in Brazil in spending decisions is greater than anywhere else in Latin America and elsewhere⁷². Extensive devolution in Brazil has underpinned PB and helped government officials to accept administrative reforms and new ways of working.

The political context shapes the outcomes of participatory governance initiatives. The dynamics of state-society relations affect the extent of opportunities in and limitations of participation⁷³ (Commins, 2007). Not all new democratic spaces emerge in the same way - some are ‘claimed’ by strong social movements, as with the PB in Brazil, and in others local

67 See <http://www.internationalbudget.org>.

68 <http://www.internationalbudget.org>.

69 <http://www.internationalbudget.org>

70 See <http://www.internationalbudget.org>

71 <http://www.internationalbudget.org>

72 Rebecca Abers, p64, cited in a document - <http://www.chs.ubc.ca/participatory/docs/op.pdf>

73 Commins, S (2007) ‘Community Participation in Service Delivery and Accountability’

people are ‘invited in’, as could be argued by the UK examples. The outcomes from a participatory process are clearly unique to its context, but there are specific contextual factors which enable or constrain progress.

The varying political and governance contexts of PB

In *Brazil*, civil society organisations battled for democratic rights against the brutal military regime in the 70s and 80s. The PT (Worker’s Party), (an alliance of community bodies, trade unions, progressive church leaders and intellectuals) which came from this movement gained power in 1985⁷⁴. A broad range of socio-economic and political rights for the previously excluded were embedded in a new constitution the following year and an intensely federal system was established giving greater powers to the state and municipal levels. Community organizations in the alliance influenced the uptake of a participatory style of governing, including development of PB (Henman, op cit). PB has achieved cross-party support but this may also be waning. Although success has been variable, it has also encouraged other kinds of innovation in participatory governance in Brazil, including at the national level (a national participatory budget plan is under development).

In the *UK* rather than PB being part of a struggle for inclusion, PB is more of a conscious effort by the authorities to re-engage with the ‘poor’ within existing representative processes (Blakey, undated). The socio-political realities in which PB is taking place in Latin America and the UK are qualitatively different. In Brazilian cities poverty is more widespread and there is a stronger tradition of collective action compared to the UK, which has mobilized many excluded people who now seek engagement. In contrast, in the UK, social activism is moving away from the formal democratic system (Pearce cited by Blakey, p5, undated). Very recently, the UK government has decided to expand the PB pilots, asking the Community Development Foundation in 2007 to establish a National Empowerment Partnership, to improve community engagement in public service provision. There are currently 22 local authority areas in England⁷⁵ piloting PB, incorporating and going beyond the small area-based case studies analysed here. A public consultation is underway on a draft PB plan⁷⁶, which would lead to participatory budgets being mainstreamed into local authority budgets - every local authority would have to use participatory budgets by 2012

Box 15 : The varying political and governance contexts of PB

Whilst far from perfect, an important element of the Brazilian PB processes, in relation to social exclusion, is that they institute principles such as redistribution of wealth into the planning process. At the risk of oversimplification, it has been argued that the processes within the UK tend to work within the status quo, with the excluded being the ‘problem’ and ‘needing attention’ – rather the democratic structure itself. The emphasis is on ‘re-engaging the disengaged in the same old system’, rather than creating more fundamental institutional change which would give excluded groups greater rights and challenge inequities (Blakey, undated). Broad support for radical transformation of state-society relations is needed and the question is how to achieve this.

Although the political context constrains the depth of PB pilots in some situations, it is possible for them to help persuade central government of the benefits of the approach.

⁷⁴ Henman, O (2007) ‘Participatory Democracy in UK Communities’.

http://www.makeitanissue.org.uk/2007/07/oli_henman_participatory_democ.php

⁷⁵ e.g. in Newcastle, Salford, Bradford and Sunderland

⁷⁶ <http://www.communities.gov.uk/documents/communities/pdf/727993.pdf>

The north of England case study has contributed to this move by central government to support PB across the UK, as it has shown politicians the positive outcomes PB can achieve. The Harrow example has also changed minds in local authorities regarding the potential of PB to improve their relationship with the public and achieve better planning outcomes. However, it is much easier to implement PB, where the organisations involved themselves operate in a participatory manner and where there is widespread acceptance of/demand for a new kind of contract between citizens and the state. In *Venezuela* the government is also supportive of participatory governance innovations, although within an overall context of the centralisation of power in the hands of the President – which constrains progress. Thus it is not possible to easily transpose what works in one situation to another, but PB may be a way of prising open new democratic spaces.

Who is being included in what? Who is being involved in a participatory process and who is being excluded? If those being left out of a participatory initiative are already marginalised then this can worsen their situation relative to others – thus reproducing or exacerbating patterns of exclusion⁷⁷ (Blakey, undated). Analysing which groups are being supported to attend and which are not is thus important information, which can be captured through monitoring and evaluation. There is a risk that central government-instituted participatory governance initiatives may inhibit participating community groups from challenging the structures of government and the framing of the debate. The setting of boundaries and priorities by key players influences the direction and possible scope of outcomes. In the north of England case study, there was no time for deliberation of alternative priorities – participants had to vote on pre-selected project proposals submitted by local groups. This would therefore limit the range of actions selected within the voting.

To have credibility, PB and other participatory initiatives have to be ‘seen to be fair’ by all those involved⁷⁸. This is particularly important in the process of awarding funding to particular parts or areas of the community - to avoid damaging existing social relations. Quite often, resistance to PB is from local bureaucrats and councillors who feel threatened by a loss of power and control over decision-making. However, the Harrow and Porto Alegre cases have shown that local councillors can also benefit as local people understand better the constraints under which they are operating. PB helps demonstrate to and convince local politicians and bureaucrats that local people can make valid decisions. Those with knowledge about their community can influence decision-making and can make decisions in interests of others rather than voting with narrow self interest. However, community members may also be unaware of the realities of life in some parts of their area and so supporting information exchange and learning prior to and during PB events can help with this, as does care in demarcating the geographical boundaries used in the process⁷⁹.

Practical steps to improve PB processes

A review of the literature provides some insights into how to ensure that participatory governance processes such as PB are can be successful and also equitable in process and outcome. See **Box 16** below.

⁷⁷ Blakey, (undated) op cit.

⁷⁸ Lavan, K. (2007) ‘Participatory Budgeting in the UK: An evaluation from a practitioner perspective’. Draft version for review. Report and research by Kezia Lavan, Participatory Budgeting Unit. 25th June, 2007.

Available at:

<http://www.participatorybudgeting.org.uk/Downloads/PB%20from%20a%20practitioner%20perspective%20report%20June%202007.pdf>

⁷⁹ Lavan, 2007, op cit.

Some practical guidance

Analyse the political context - such as the nature of public action, the position and capacities of civil society, patterns of social exclusion and conflict, the extent of decentralisation, the strength of local-level institutions and civil society and the extent of political freedom.

Ensure participants understand the process – keeping rules simple and communicating these clearly, using appropriate media, language and methods.

Provide equality of opportunity to participate in all phases of management or budgeting. In PB this should include priority setting for a pot of money; project proposal identification and development; process design; engagement of the community; event organisation and delivery; decision-making; evaluation⁸⁰.

Seek a balance of participation – understand patterns of social exclusion in the local community through action research and working with community groups. In Harrow an information campaign to advertise proposed meetings was carried out and existing community events used to raise awareness. Planning for over or under-representation by specific groups – e.g. if one area is over-represented then a weighting of votes can compensate for this.

Develop a specific strategy to support the participation of identified excluded groups; encourage the election of disadvantaged groups such as women to the PB Council to ensure a better gender balance.

Promote poverty mapping to target resources to vulnerable groups and to support impact monitoring.

Analyse attendance and gather data: Data collection must be systematic on the following: the numbers and profiles of those attending meetings by age, gender, ethnicity, disability; social research in the locality and with participants (where sophisticated local knowledge is missing) to fully reveal not only who is participating, but what excludes some and whether the PB process is enabling previously excluded groups to have a voice (in defining problems and solutions). Both of these are frequently absent or inadequate.

Maintain independence of process: e.g. ensure that facilitators are seen to be independent of government.

Promote transparency of decision-making: ensure that information is made available at all stages of the process to all participants.

Quality and validity of decision-making; For example, give equal space and time for presentation of projects and sharing of information throughout the event to ensure decision-making is informed.

Use skilled participatory facilitators – to find the right methods and tactics to give all participants a say in meetings and to avoid dominance by more powerful individuals or groups. The ability to draw a range of methods, including visually based tools, which can overcome literacy problems.

80 Lavan, K. (2007) op cit.

Identify and follow appropriate timings and locations: Consideration of what is the most appropriate times and locations for meetings important. The Caracas case showed that local people, particularly women, were not happy to move around by night because of safety concerns.

Allow plenty of time and opportunities for deliberation: Providing adequate time for deliberation, questions, provision of information is critically important. In the north of England case there was no time allowed for deliberation of alternative projects, or for questions to be asked following presentations. In Harrow a lack of time to achieve key milestones led to tensions between the facilitators and the panel.

Ensure the process meets the needs of the participants: The Harrow case was limited as it did not include a clear mechanism for follow-up, frustrating participants, whereas in Porto Alegre, PB has become embedded in annual municipal budgeting.

Allow budget learning time: Participants need to be clear about what is being asked of them and many may be unfamiliar with budgeting processes. All of the PB examples indicate the importance of allowing time and supporting budget learning – particularly for groups likely to be less used to attending and speaking in such meetings. The north of England case shows although it is clear that communications via existing community events, door-to-door visits helped in spreading the word locally about the upcoming event.

Be aware that diverse participation may be more likely following long-term engagement with community and socially excluded groups (e.g. the north of England example found that the prior relationships established via the Neighbourhood Action Planning process between different stakeholders etc promoted collaboration).

PB takes time to be embedded in planning. NGOs can play a role in getting PB off the ground by questioning how public resources are used and how they could be used better used, and also by assisting in PB implementation and supporting monitoring once it is underway.

Promote participatory monitoring and evaluation of the process – to ensure that positive outcomes are being achieved, and to avoid negative impacts, it is important to establish effective mechanisms for learning by participants.

Box 16 : Some practical guidance

Including marginalised groups in equitable water management through a Learning Alliance Approach: The EMPOWERS project

A case study on social inclusion for SWITCH

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(May 2008)

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Executive Summary

Key words: IUWM, participatory processes involving marginalized groups, transparency water for livelihoods

It is increasingly recognized that solutions to water shortages and water conflicts require integrated water resource management, participation by stakeholders from community to national level and increased accountability from governments to water users. This case study is about EMPOWERS, a learning and development project that aimed to improve the access of poor men and women to water. EMPOWERS ran from 2003 to 2007 in Egypt, Jordan and Palestine, where water management and security are high priorities. The project aimed to improve water governance, with special attention to involving the most marginalized groups in participatory processes of problem analysis, planning and action. For this purpose multi-stakeholder platforms were established at local, intermediate and national level for planning and management of water resources and water services.

Different groups within the targeted communities were engaged in problem analysis and resolution. Jointly they identified pilot projects which would improve the daily situation and livelihoods of the poorer community members.

The project has also strengthened community organisations that can have an ongoing role in empowerment of socially excluded groups and in broader community development. Government decisions and action became more informed by local realities. Participatory approaches and planning tools have helped generate knowledge, attitudes and practices needed for better, stakeholder-led, water governance. Capacity building for improved planning, conflict resolution and engaging end-users is crucial to making the approach work.

EMPOWERS shows the strong potential of people with often few means, little education and limited negotiating power for problem solving and innovation if the process is well facilitated and organisational capacity is built. Understanding the divergent (and often conflicting) priorities and demands for water resources and effectively involving end users and local institutions are crucial elements of the project approach. Demand-driven approaches that take into account processes of exclusion will likely be more sustainable and meet the practical needs of the poorest and least powerful. These lessons on social inclusion are relevant for SWITCH and many other projects working towards sustainable Integrated Water Resource Management (IWRM).

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SWITCH (Sustainable Water Management Improves Tomorrow's Cities' Health) is a research partnership supported by the European Community (Framework 6 Programme) and its partners www.switchurbanwater.eu/learningalliances

Introduction and Background

Introduction

EMPOWERS stands for Euro-Mediterranean Participatory Water Resources Scenarios. The project aimed to improve the health and livelihoods of people who are most marginalized in their access to fresh water through better management of water resources. EMPOWERS developed and tested approaches, methods and tools to involve poor and otherwise marginalised groups. The underlying goal was to achieve more sustainable, efficient and equitable access to and use of water resources.

The project had four specific objectives:

- Increasing the influence of stakeholders -particularly the poorest and most marginalized- on the planning and decision making process for the use and management of water resources.
- Enhancing vertical and horizontal linkages and information flows between water stakeholders.
- Demonstrating effectiveness of the approach through pilot projects.
- Documenting the learning process.

EMPOWERS developed its approaches and tools and tested them through pilot projects in the three different locations (Table 6)

Table 6: Empowers locations

Country and governorate	Selected communities
Jordan (Balqa Governorate)	Damya, Rweiha and Subeihi
Palestine (Jenin Governorate)	Jalboun, Arraneh and Qabatya
Egypt (Ihnazia Districtin Beni Suef Governorate)	Kassab, Masharqa and Maseed

EMPOWERS was led by CARE International (an independent humanitarian organisation) and mainly funded through the European Union's MEDA (Euro-Mediterranean) Water Programme for Local Water Management. Other funding agencies were CARE International; International Water and Sanitation Centre and Personnel Services Overseas (PSO)⁸².

Fifteen organizations collaborated on the project facilitation and implementation:

In Egypt: Development Research and Technological Planning Center (DRTPC), Cairo University; Center for Environment and Development for the Arab Region and Europe (CEDARE) Egyptian Water Partnership (EWP); National Water Research Centre (NWRC); Federation for Environment Protection and Enhancement (FEPI) ; Coptic Evangelic Organization for Social Services (CEOSS; CARE Egypt.

In Jordan: Ministry of Agriculture, Queen Zein Al Sharaf Institute for Development in Jordan (ZENID), CARE Jordan.

In Palestine: Union of Agricultural Work Committees in Palestine (UAWC), Palestinian Hydrology Group (PHG); CARE West Bank/Gaza.

Regional partners were IRC International Water and Sanitation Centre, the Inter-Islamic Network on Water Resources Development and Management (INWRDAM) and CARE International.

⁸² The project budget was approximately 5 million Euros

Background

As qualified in the next section, freshwater is the scarcest resource in the Middle East and contributes to conflict in the region (Jägerskog and Phillips 2006, UNDP 2006). Sustainably managing water resources is of essential importance for life and livelihoods and is directly related to good governance (UNDP 2006).

Water resources issues

The annual availability of fresh water in the Middle East fell from an average of 3,300 cubic meters per person in 1960 to less than 1,250 cubic meters per person in 1995 (World Bank, 1996), the lowest per capita water availability in the world (UNDP 2006). Renewable water resources are about 335 km³/year and it is estimated that by 2025, this will drop to less than half of the 1995 level. Compared to other countries in the region, Egypt has a relatively high per capita availability of water, but the demand exceeds the supply. Jordan and Palestine are among the countries with the world's lowest per capita availability of water (UNDP 2006).

Water shortages and unequal distribution at community level are impacted by the political situation and dynamics at national level. Egypt, Palestine and Jordan rely heavily on water resources that lie in part beyond their borders⁸³. In the West Bank, water scarcity is compounded by Israel's control over access to water. In Jordan, waves of refugees from Palestine and Iraq further increase the pressure on limited fresh-water resources (Jägerskog and Phillips 2006).

Scarcity and decline of freshwater are major development constraints. The adverse affects of increasing conflicts over control of and access to water resources are especially felt by the poor and marginalised (Skoet and Stamoulis 2006, UNDP 2006, DFID 2007).

Water governance

Water governance refers to the set of systems that controls decision-making with regard to water management and water service delivery; it includes all the relationships, mechanisms, processes, and institutions through which stakeholders can mediate their interests, exercise their rights and obligations and make decisions for the delivery and provision of services (Moriarty *et al.* 2007¹, De la Harpe 2007). Water governance is widely recognized as an essential element of poverty reduction (DFID 2007, UNDP Water Governance programme).

Reviews of water policy and water institutions in the region have concluded they need strengthening around issues of accountability and democratic participation (World Bank 2007). Egypt, Jordan, and Palestine have approved National Water Resources Plans which include shifts towards decentralization and Integrated Water Resource Management. However, the World Bank MENA⁸⁴ Development Report concludes that:

“Those who would benefit from reforms—farmers, environmentalists, and poor households on the edges of cities—have not been able to form effective lobby groups.

⁸³ The Palestinian population relies almost totally on transboundary water, most of it shared with Israel. On the West Bank, Israeli settlers consume an average of 620 m³ per person annually and Palestinians less than 100 m³. 97% of Egypt's water needs depend on the flow of the river Nile, which it shares with ten other countries (Burundi, Central African Republic, Democratic Republic of the Congo, Eritrea, Ethiopia, Kenya, Rwanda, Sudan, Tanzania and Uganda) (UNDP 2006).

⁸⁴ The term MENA generally includes all the Arab Middle East and North Africa countries

In some cases, they did not have enough information about the problem. In others, they lacked organization, or could not access the necessary channels to communicate with the authorities” (World Bank 2007: 25).

The various agencies and departments with a stake in water at governorate level operate in a very fragmented manner. Joint planning, co-ordination and information sharing between sectors, let alone with community members is lacking (El- Manadely, Soliman and Fahmy 2005). Community level priorities, especially those of the socially and economically most marginal groups are not translated adequately to higher levels of administration. Government staff at community and district levels lack the skills and incentives to facilitate participatory processes to engage end-users, especially those who are less powerful or vocal. These groups, in turn, lack experience in vocalising their rights (Laban and Moriarty 2005).

Growing demands for and shortages of freshwater, the centralised institutional set-up and the lack of transparent and accountable water management are major constraints to equitable water management in the region. The EMPOWERS project aimed to reduce these problems through concerted actions with stakeholders at community, governorate/district, national and regional levels.

Social Exclusion and Water Resource Management

There are three dimensions of social exclusion. People can be excluded because of: *a.*) what they have or do not have in terms of access to resources *b.*) where they live, or *c.*) because of who they are (discrimination flowing from specific group identities as perceived by others in society) (Nelson *et al.*, 2007¹). With respect to water resource management, social exclusion reveals itself through things such as: water scarcity, unequal distribution/ rationing, unequal ownership rights over water systems, poor water quality, the absence of sewage collection and treatment systems, large distances to water sources, and so on⁸⁵. Box 17 provides an example of the links between water resources and social inequalities in Jordan.

Um Ayyash is one of the poorest villages in the Jordan Valley in Balqa Governorate in Jordan. The population is 2800 and household sizes range between 8-13 members. Around 80% of the people are unemployed, while others work as day labourers on farms, in the factories, the army or for the government. Many families depend on government support. Women and girls are slightly more likely than men to find work on nearby farms because their wages are lower. The average family income is \$110 per month. The average rainfall is around 177mm/yr, and only 60% of the households are connected to the public water network. However, the high losses from leakages and illegal tapping cause low pressure in the network and water does not reach the hilly areas.

Water gets pumped to the village once a week for 12-24 hours, but most households only have a storage capacity of 1 m³, which means the average per capita availability is 20-40 L/day. To satisfy their water demands, villagers must buy water from private tankers at prices that can equal half of their monthly income and with no quality assurance. Um Ayyash does not have a sewer system.

Box 17 : Existing situation regarding water and social inequalities in Um Ayyash, Jordan (Source: Barghout *et al.*, 2007)

Each location has a specific context of exclusion (see Box 18). However, women, landless peasants, people from certain tribes, youths, elderly people and people with disabilities

⁸⁵ In EMPOWERS social exclusion was understood as attempted to involve the ‘under-privileged’, which was defined as: poor access to resources, social status and networks and quality water sources, or a sanitation system (Barghout *et al.*, 2005).

commonly face exclusion from formal decision-making bodies and they are often not formally organised. Existing local initiatives are normally carried out by the traditional leadership, a group of influential family representatives often dominated by older men, better educated men and women or the most well-off in the community. Decisions are mostly taken by these groups. Other community members lack champions or spokespeople who can bridge the gap between their reality and the reality of decision-makers and planners. The end result is that the needs of different community members are often not adequately taken into account.

Gender norms are one example of social exclusion. The public sphere remains only partially accessible to **women**, which limits their access to opportunities, knowledge and, consequently, economic and political power (World Bank, 2004). Especially in rural areas, women rarely mix and participate in meetings where men are present or go to public offices in, municipal buildings. It is socially unacceptable to complain, claim their rights or follow up on problems with service delivery, faulty connections, broken pipes, high bills (Barghout *et al.*, 2005). However, it is almost always women and girls who are responsible for providing water for their families and often also for their in-laws.

For the poorest, the price of connecting to a network or buying water from a safe private source is prohibitive. They rely on the charity of family, neighbours and friends. Some tap water illegally at risk of being fined or even jailed. The most marginalized often depend on waterways, shallow wells and agricultural wells, which are often polluted (Abu-Elseoud *et al.*, 2007).

In some communities, **ethnic group/ tribe lineage** determines where a person can live and thus if they have access to water and sanitation services. Without land tenure, a family cannot obtain a water licence. In others, geological conditions make it impossible to dig a well, or the water pressure is not sufficient and sometimes private water tankers cannot make the journey. The widows/ widowers, the **old or infirm** are dependent on others to fetch water, sometimes from a distant water source. They often lack finances.

Box 18 : How are different groups marginalised? Examples of social exclusion

Organisation of the case study

Section 2 describes the guiding principles and methodologies of EMPOWERS, selecting field locations, the methods and tools for effectively involving marginalised groups in decisions and planning around water resources and the resources involved in applying this approach. Section 3 explores the outcomes, conclusions on social inclusion and key lessons for SWITCH relating to social inclusion in IWRM.

The EMPOWERS Project

Guiding Principles

EMPOWERS developed and tested practical approaches and tools to apply a rights-based approach that emphasises the inclusion of end-users, more specifically the poor and marginalised, in water-related decision making processes at local level. The approach is based on two pillars: stakeholder consultation and participatory planning. This is in line with the principles of good water governance which were laid down in the Dublin conference of 1992 (WMO, 1992) as well as existing guidelines such the EC Guidelines for Water Resources Development Cooperation (EC, 1998) and the RAAKS⁸⁶ guidelines (Engel and Salomon, 1997). The project applied and modified tools from various participatory stakeholder approaches⁸⁷, including wealth ranking, focus group discussions and feedback using visual materials like charts, drawings and diagrams.

Through participatory planning and stakeholder involvement in the planning cycle (see section 0.), EMPOWERS attempted to involve socially excluded groups. This implied a specific focus on those people that have weak influence on decision making, or those with poor access to resources (women, landless, people with limited education, finances), social status and networks (belonging to a reputable family or tribe) limited access to quality water sources (for drinking or irrigation water), or a sanitation system (Barghout *et al.*, 2005).

Conceptual model and methods

The Learning Alliance and its members

The project aimed to improve governance, by changing the ways in which people work together to manage their resources and services. For this purpose, facilitated multi-stakeholder platforms (Learning Alliances) were formed at community, district/governorate and National level (Figure 9).

⁸⁶ RAAKS stands for Rapid Analysis of Agricultural Knowledge Systems and a methodology developed and tested in the early 1990s by Wageningen Agricultural University in The Netherlands the method describes steps for participatory actor and network analysis and at the different perspectives of different stakeholders. RAAKS aims at improving stakeholder problem-solving capacity through improved communication and joint learning.

⁸⁷ EMPOWERS Guidelines Methods and Tools (Moriarty *et al.*, 2007²) lists tools and useful further web-based resources on Participatory Rural Appraisal, such as www.eldis.org/manuals/participation.htm

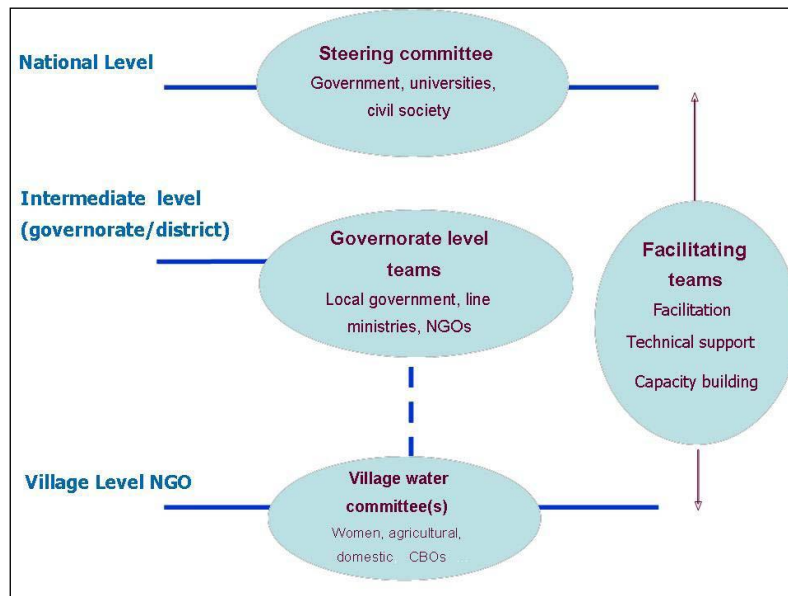


Figure 9 : Structure of Learning Alliance

Learning Alliances are made up of mix of stakeholders with different roles and responsibilities. For example, the stakeholder platform in Al Balqa governorate (Jordan) included the Ministries of Water and Irrigation, the Ministry of Social Development, governorate officials, the Ministry of the Interior, and Ministries of Agriculture, Health and the Environment. Stakeholders also included a resource centre, NGOs, donors and community groups.

At community level, EMPOWERS started by involving existing formal bodies such Village Councils, Community Development Associations, etc. as well as informal groups. An assessment was carried out to identify groups that were not represented by these organisations. To ensure representation of women and the poorest sections of a community, the project supported the formation and strengthening of community organisations with membership from these groups. In Qabatya village in Jenin Governorate, Palestine, for example:

“The only 2 women CBOs [community based organisations] already active in Qabatya were not enough to represent the +9000 women in Qabatya. Also the CBOs either had political affiliations- which was considered as a ‘repelling’ factor by many women- or the CBO focused on specific issues (e.g., health awareness) that didn’t necessarily respond to women’s direct needs. Therefore, during a stakeholder workshop conducted in September 2004, when the first round of pilot projects were to be selected, and on the basis of a needs assessment, it was decided that [...] one of the first pilots to be implemented in Qabatya, was the establishment of the ‘Charitable Women’s Association’. Later, two women from the Charitable Association were selected to represent women in the Qabatya Water Committee” (Barghout et al. 2005, p 17).

Learning Alliance membership was on a voluntary basis, though some compensation was provided for travel or other expenses. Each Learning Alliance had facilitation teams, employed by the project which supported the process of developing a participatory planning cycle for local Integrated Water Resources Management.

Participatory methods and tools

Various participatory methods and tools were used to work through the Participatory Cycle for Integrated Water Resource Management (IWRM) (Figure 10). These included stakeholder identification, actor and task analysis, institutional analysis, social mapping and identifying criteria for social exclusion, problem tree analysis, SWOT, visioning, scenario building and strategy development. Stakeholders were engaged through informal meetings, semi-structured discussions, workshops and presentations, Water Resource tools included Bayesian Networks, Geographic Information System, and analysis of information on water Resource, Infrastructure, Demand and Access (RIDA), scenario building, water resource assessments.

Special attention was given to involving the most marginalized groups in participatory processes of problem analysis, planning and action called ‘Stakeholder Dialogues and Concerted Action’⁸⁸, structured through the water management cycle. Through frequent informal visits the team sought to inform and involve community members, especially groups who were less vocal. Because women remained silent or did not attend community meetings, separate gatherings were held with them. Section 2.2.4 gives more detail on how women and the poorest people in the community were involved. A selection of the tools for working with stakeholders are summarized in Table 7 and described in-depth in Moriarty *et al.*, 2007.

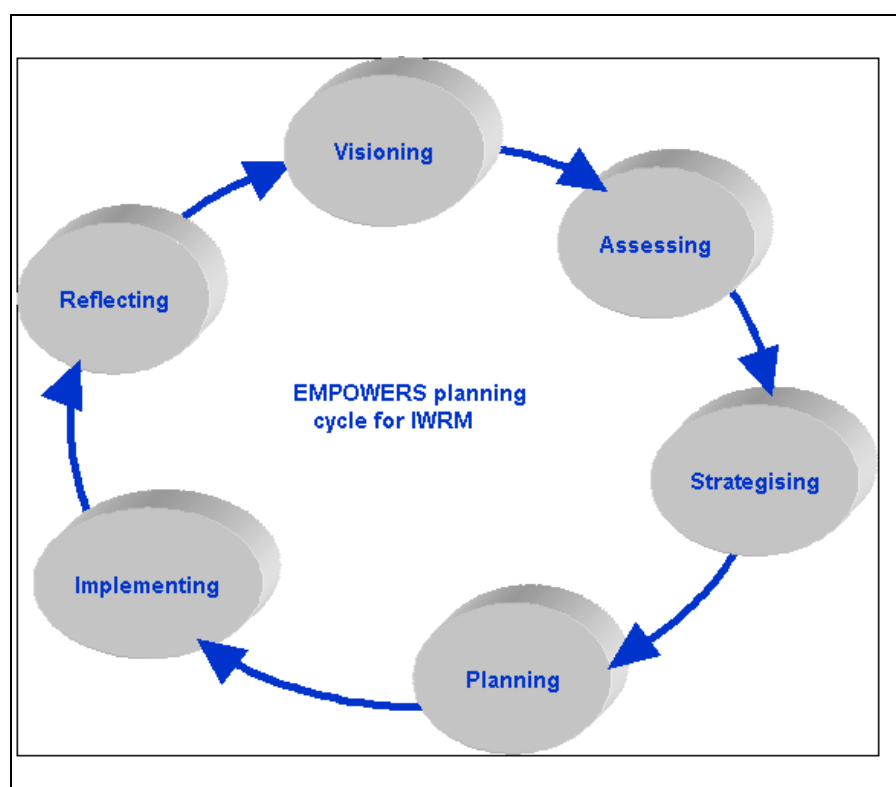


Figure 10 : Participatory Water Management Cycle

⁸⁸ A detailed description of the approach, planning cycle, tools used, facilitation and capacity building, are set out in *the Guidelines for improved local water governance* by Moriarty *et al.*, 2007

Table 7 : Participatory Water Management Cycle :steps, tools and outputs

Steps	Outputs
1. Visioning <i>Identifying different stakeholder and problems or conflicts.</i>	Water resource/ service related problems identified, stakeholder groups visualised (different versions to be compared, discussed and consolidated); formulating visions and scenarios that are then validated by a wider group of stakeholders and revised as needed to increase ownership, identifying information needs
2. Assessing <i>Targeted data collection and analysis facilitated by sector experts, together with local stakeholders and representatives of marginalised groups; creation of a shared information base with information is that can be used by farmers and other water users</i>	Clear understanding of water user groups (gender and poverty focus), shared information base with institutional, societal and physical information that can be used by farmers and other water users, summary village report which is comprehensible to non-specialists
3. Strategizing <i>Jointly developing strategies to meet the agreed vision under different scenarios, resolving conflicts over strategy choice</i>	Amended vision, scenarios, cost benefit analysis and strategies agreed by all stakeholders,
4. Planning <i>Detailed planning of activities in multi-stakeholder platform based on most likely scenarios and related strategies</i>	Detailed work and financial plans, approved by local stakeholders and organisations funding activities, agreement on roles and institutional arrangements
5. Implementing <i>Execution of plans, documentation and monitoring</i>	Projects carried out according to plan, clear agreement on roles/ responsibilities, M&E to support transparency and learning
6. Reflecting <i>Analysis of monitoring results (costs, benefits impacts) and documentation to inform further cycles.</i>	Active participation of stakeholders in reflection, information exchange, progress reporting on achievement of vision

Participatory approaches and planning tools have helped generate knowledge, attitudes and practices needed for better, stakeholder-led, water governance. In Jordan, for example, villagers and representatives of the local authorities conducted informal research to explore the social, economic and health situation in relation to water resources. Semi-structured interviews with community leaders and school teachers, interviews with families, focus group discussions, direct observation, map-drawing and a problem tree analysis were supplemented by a review of secondary sources (previous reports and available data) and inputs from the problem tree workshops and meetings at governorate and national level (Figure 3).

Figure 11: Developing the problem tree for Um Ayyash Village, Jordan



“Having the under-privileged groups represented in the village water committee working side by side with the governorate staff in collecting data and managing information, made villagers able to determine, convince and prove to the governorate staff that the amount of water that their homes received was almost half (about 40 L/c/day) of what the water authority staff were stating that they pumped to homes (80-100 L/c/d)” (Barghout *et al.*, 2005, p 15).

This example from Um Ayash in Jordan illustrates how bringing together different stakeholders broke down some of the barriers in information sharing. Through the joint

planning cycle, actions plan that were supported by the entire community could be formulated.

The methodologies and tools themselves were adapted and developed in collaboration with the teams and stakeholder groups. This approach was quite unusual in the region: engineers supposed to show expertise and control. Reflections from the project show that this learning mode led to increased ownership of the methodologies and of the project as a whole. Stakeholder consultation workshops and meetings were held to jointly determine EMPOWERS vision, scenarios, strategies and plans at community and district level. The key stakeholders have participated since then in planning and implementation of a range of activities (Smits *et al.* 2007). Box 19 provides an example of how the skills and methods were used by a community group in Qabatya village, Palestine to plan for activities outside of EMPOWERS.

Because women did not attend or remained silent in public meetings, women only meetings were organized. There, the women expressed a desire to have a women's association. The EMPOWERS' team provided training in planning skills and the Municipality provided an office and support from its water experts. In early 2005, the Women's Association was established and licensed. Through the association, women started playing an active role in decision making on water resources. They filed a complaint with the municipality, which led to the extension of the water network and a pump to reach the houses in the higher ground (Barghout *et al.* 2007).

Members of the Women's Association used the participatory tools and planning framework from EMPOWERS to plan other kinds of activities as well. These addressed general concerns of women in Qabatya and aimed at empowering women and building the capacities of the Association members (over 70). Activities included:

- Inviting water technicians from the municipality to conduct training on saving water, and simple plumbing (fixing and maintenance of water faucets at home).
- Inviting lecturers on issues related to elections, early marriages, and domestic violence, and courses in food processing by the Ministry of Agriculture.
- Organizing training and awareness workshops for women living outside the water network and to CBOs in nearby villages.
- Organizing computer training workshops for girls at a boys' training centre after allocating one day per week for the centre to be used by the girls only.
- - Signing an agreement with the Medical Relief Committee to set up a clinic and hold a medical/health day once a month with reduced rates.

Box 19 : Impact of EMPOWERS infrastructure and methods outside the project in Qabatya, Palestine
(Source: Barghout *et al.* 2005, p. 18)

Selection of field locations

The EMPOWERS approach was developed and tested with 9 villages and towns in Egypt, Palestine and Jordan with a population between a few thousand up to 30,000 inhabitants. The approach was also tested at the level of districts or governorates. Key criteria for selection of the Governorates and villages/towns were poverty and critical shortages of water and/or inadequate infrastructure. Other selection criteria were that the identified problems were representative, dependence on water for livelihoods (primarily agriculture), population size, and areas not benefiting from other projects (Abu-Elseoud *et al.* 2007). In each community, a participatory process of identifying key problems and possible solutions was established and this led to the implementation of pilot projects. This process will be further explained in the following section.

Changing how things were done

Changing the way water resources are managed implies very fundamental changes in how people think, interact and communicate. This takes time, substantial resources and facilitation.

Attitudes and skills of programme staff

“In essence, a governance model based on stakeholder engagement implies a change in role for water experts from leaders to supporters, helping other stakeholders to discover what are the implications of different possible options and, where necessary, aiding them to invent new ones” (Moriarty et al. 2007¹, p 28).

This was a challenge for the stakeholders, but also for EMPOWERS project team. The process of developing problem trees at national, governorate and community level together with the different types of officials and researchers, or at community level, with women and men from a diverse social-economic background (Figure 3) created new awareness of the problems, and their causes. Governorate level experts started to recognize the expertise of the village men and women (Smits *et al.* 2005). Given the strong tradition of centralised and top-down water governance in the region, developing participatory and bottom-up approaches was quite challenging (Box 20) .

Hassan Al Edwan, Head of the Governorate Development Unit (GDU) was one of the governorate level officials involved in EMPOWERS Jordan. This was the first project to go directly to the governorate and to be monitored by the GDU. Hassan had his doubts about the way the project wanted to conduct its activities. "You don't need to go to the villages yourselves - we can provide you with the necessary information. We know what is best for our communities". In the end he agreed to join the project team to visit the villages thinking it was the project that wanted to work with the local people, not he. More than once he insisted: "We know better. Just give us the money and we will use it wisely in the benefit of the targeted areas". However, over time, he became one of the champions of the participatory approach.

Box 20 : We know better'; Changing attitudes and way of communicating in Jordan (Source Abu Elsoud et al, 2007)

Participatory approaches involve doing things very differently

“The main difficulty that faced the project in the field was the low level of trust and confidence towards each other of both governmental officials and the local community. On the one hand, the local community members have the classical stereotype image of government officials as people who work solely from behind their desks and are concerned only with finalizing their paperwork and reports, and have no interest in referring to the community while supposedly planning for their needs. On the other hand, governmental officials see the local community members as passive recipients of government plans and have low confidence in the local communities' capabilities to handle their village's problems along with them. Another obstacle is that the two parties didn't have any sense of ownership or responsibility for preserving local water resources, as they see this as the responsibility of the government, who are also responsible for providing them with water services. This situation has been significantly changed during the project process” (Shraideh *et al.* 2005, p. 208).

Meaningful involvement takes time and effort. Conflict resolution and process facilitation skills are crucial in the context of improved water governance. Stakeholders often have conflicting interests and objectives factors that are not directly related to the water sector,

such as political tensions, antagonism between different social groups or a lack of respect can hamper cooperation (Shraideh *et al.* 2005, El- Manadely, Soliman and Fahmy 2005).

EMPOWERS placed a large emphasis on understanding the reality of the different categories of end users – women and men, with and without land, with only domestic or also productive uses of water for agriculture, animals, building and so on. Together with the community members, the teams investigated the different beliefs, behaviour and priorities that existed within the community. Information sharing is key to social inclusion. EMPOWERS paid attention to sharing relevant information with stakeholders in ways they could use and understand and to valuing local knowledge of ‘non-experts’. Information needs, educational levels and ability to participate and contribute all must be taken into account. Documentation and monitoring of the changes during the project contributed to dialogue, learning and empowerment

Involving women and the poor

Representation of all groups, especially the most marginalized, was a fundamental principle of the project. For each community, social surveys, wealth ranking (with economic and qualitative indicators) and secondary data were used to gather information and identify groups that could be considered marginalised or vulnerable. This included female-headed households, the landless and farm labourers. Data was collected on the quality of water resources and the access these groups had to these resources. As a next step, local water development committees developed criteria to select the most deserving households for the pilot projects that were agreed in each community (refer Box 21 and Box 22)

In a stakeholder workshop the construction of household level water harvesting cisterns was agreed as pilot project in Jalboun village. Villagers were invited to apply for a water cistern and 80 applications were received, while only 20 could be constructed. The local water development committee set the following criteria for determining who would benefit.

- Socio-economic status; Priority was given to those households with no or irregular income or with an a low regular income
- Households lacking access to any water source
- Families who had not benefited from previous projects in the village
- Family size: priority was given to large families
- Multi use: priority was given to households that could use the extra water for productive uses (home gardens or livestock)

The application of transparent, pro-poor criteria was something new for the villagers. Previously beneficiaries were often chosen on the basis of personal or political relations.

Box 21 : Criteria for selecting households to benefit from pilots in Jalboun village, Palestine. (Source: Barghout et al., 2007)

‘Othman’ and his 13 member household were identified as one of the poorest families in the village, hardest hit by the water shortage. Othman owns no land and is usually unemployed. The family live uphill, where water pressure is lowest and they have a 1m³ tank for water storage. To meet the water needs of his family, he has to buy water from private tankers, which is a constant struggle.

Othman was invited to become a member of the Village Water Committee and worked together with the other village stakeholders, governorate staff from the Governorate Water Committee and the EMPOWERS team to prepare water resources development plans, and to define water priorities for the village, using the planning cycle.

The first pilot project in Um Ayyash was to buy and run a water tanker that would provide reliable quality water to underprivileged households, at a reduced rate. The water authority certified and regularly monitored the wells.

The following selection criteria for pilot projects were formulated by the Village Water Committee:

- Pilot serves the community, and not specific group of individuals;
- Pilot contributes to achieving the vision, is in line with the scenarios developed;
- Execution time is short;
- Sustainability is guaranteed;
- Pilot costs do not exceed €30, 000
- The project should have clear benefits for the most vulnerable and community as a whole

Box 22 : Putting social inclusion into practice in Um Ayyash village Jordan. Source: Barghout et al. 2005)

To be able to monitor the progress on active involvement of socially excluded⁸⁹ in planning and decision-making, the project team set benchmark indicators⁹⁰. They encouraged people to take note of who might not be involved in the discussions and what barriers would need to be overcome to ensure that these people could make their voices heard. Most existing organisations were not socially inclusive, so the facilitation team invested time in informal interactions and awareness raising. They supported the formation of groups that represented different types of women and men (such as richer, poorer, certain tribes or families, age group) in the community⁹¹. Meetings for women only were planned after reviewing most suitable options for location and time. The project team looked for champions from all stakeholder groups who could enthuse others and increase commitment and ownership of the process.

Resources needed to facilitate socially inclusive multi-stakeholder platforms

Considerable effort is required to establish and maintain stakeholder platforms and to build the capacity of stakeholders to work together. Different stakeholders have differing, sometimes conflicting interests and levels of power. Consensus is the exception. Time and resources also need to be put into identifying and supporting marginalized groups in participating in the process.

Human resources. Each country team had a full time facilitator and a full time documentalist. The team was supported by content specialists and an international team of experienced sector professionals with experience in IWRM and participatory approaches. For replication, EMPOWERS advises that for one governorate the facilitation team will consist of two to four people with a range of disciplinary backgrounds, both technical content and social processes, including an understanding of gender and social exclusion.

Experience from the project reveals that capacity building is needed to develop the skills for managing water resources and strategic planning and especially for applying participatory approaches. Intensive support on process facilitation to familiarize stakeholders with the approach and tools, as well as to deal with power dynamics and to help in resolving potential conflicts of interest. Facilitators must act as intermediaries and avoid taking sides.

Financial resources. The total project budget was approximately five million Euros, of which some four million was earmarked for methodology development, and one million for implementing pilot activities in communities (Smits *et al.* 2007). Now that the methodology has been developed, Moriarty *et al.* estimate that the approach can be implemented at a cost

⁸⁹ In EMPOWERS these people were referred to as ‘under-privileged’

⁹⁰ At the end of the project, it was reported that between 40 and 90% of the members of the Community Water Platforms were representatives of the most ‘under-privileged’ groups.

⁹¹ The EMPOWERS field team in Palestine initially was all male. This made it very difficult for the team to interact with women and conduct surveys or involve them in meetings or discussion. In 2005, two female field coordinators were hired (Barghout et al. 2005). Over time, women became more vocal in mixed meetings.

of around US\$ 2-5 per person per year within a given area. The local context and other expenditures within the sector will co-determine if this is sufficient financing. Resources both financial and human are needed in particular for capacity development, improved communication and improved information management (Moriarty *et al.* 2007¹).

The project provided € 300.000/country/year, of which € 100.000/year was earmarked for pilot project implementation and € 200.000/year on stakeholder facilitation, methodology development, and program management. The project employed a full time process documentation specialist in each country to record the lessons and challenges. Additional funding for pilot projects in the communities was sought as well (see Annex 1). Another € 300.000/year was spent on regional information exchange, support to the regional EMPOWERS Thematic group and to provide capacity building workshops, publicize experiences attend international symposia etc.

Time. Changing social patterns and institutional processes takes time and ongoing efforts. By the end of the project, platforms were set up in each community and at each administrative level. The involvement of stakeholders increased over time as they developed greater trust for each other and confidence in the process. In EMPOWERS, time was needed for the project team to develop skills in facilitating participatory approaches. According to the project evaluation: a properly budgeted comprehensive strategy for core skills development should be embedded in any similar project (Ghezae *et al.* 2007).

Outcomes, Conclusions and Key Lessons

Outcomes

The most important outcomes of the EMPOWERS project were stronger—and in some cases new—relationships between water users and local government representatives and between water-user groups and different line ministries. A second important outcome of EMPOWERS are support at national and governorate levels for the EMPOWERS approach (El-Manadely, Soliman and Fahmy 2005). Representation of community stakeholders, including marginalised groups has helped to get the needs and abilities of different stakeholders on the agenda of decision-makers. According to the final evaluation, the Governorate/District level, staff of the stakeholders who had been involved in the process said that they: Gained better understanding of the problems of the local communities and felt that their work had become more efficient; gained confidence in the ability of community members to understand and solve water problems (Ghezae *et al.* 2007).

More specifically, outcomes include:

- Through development and testing of guidelines and tools for improved local governance of IWRM capacities were built for problem analysis, visioning and scenario- building, prioritising needs and solutions. These guidelines and tools have been shared and used in other regions as well⁹².
- Cooperation networks and stakeholder platforms representing marginalised groups at the community and district levels were established and have been sustained since the project ended.

⁹² EMPOWERS methodology has been used in settings as diverse as Nigeria, India and Malta.

- Using the cooperation networks and methods pilot projects were selected which increase access to water resources for socially excluded groups.
- Local ownership and increased confidence witnessed (especially of women) to voice their interests and assert their rights

Conclusions on social inclusion

It is becoming increasingly recognised that sharing responsibilities and influence with users is vital to effectively identify, analyse and address water management problems. Improving water governance requires financial resources, monitoring systems for information collection and sharing, monitoring systems for the inclusion of marginalised groups and good facilitation.

The participatory approaches and planning tools used in EMPOWERS have helped generate knowledge, attitudes and practices needed for better, stakeholder-led, water governance. The following are the specific conclusions from the project experiences:

- *Representation and influence.* For the most marginalized groups within communities to influence decision-making, representation must be seen to be legitimate. The involvement of community members from the onset of the project helped build their trust in the process and their commitment. Joint activities helped to overcome an initial lack of trust between groups.
- *Facilitation.* One of the most important conclusions from EMPOWERS was that maintaining and facilitating dialogues at the various levels cannot be left to stakeholders themselves. EMPOWERS identified the need for a full time process manager as well as a high level facilitator in each country to facilitate the process. Also, the facilitation team requires people with different kinds of expertise, both technical and social.
- *Expertise on gender and poverty.* The EMPOWERS guidelines advise that each team should have a poverty and gender expert to develop a strategy for the involvement of the poorest and most marginalized. The project team looked for champions from all stakeholder groups who could enthuse others and increase commitment and ownership of the process.
- *Sharing information and lessons.* The project has produced extensive documentation including papers, presentations, training and a website and data base on IWRM. EMPOWERS also engaged with policy makers, NGOs, donors and media through regional networks for water resources management. Training based upon the guidelines has been well received across the region. At community level, information sharing was also key to social inclusion: To contribute to improved governance, information had to be shared in a way that is appropriate to the educational levels and needs of stakeholders from different backgrounds.
- *Ownership.* The approach and methods, with learning platforms at all levels and a link with participatory problem solving in the field led to a high sense of ownership with all parties. The EMPOWERS Thematic Group, a knowledge network on participatory planning for improved local water governance, builds upon the existing work and experience gained by the partners in the EMPOWERS Project.

Important longer-term indicators of the impact of a project are its institutional sustainability and the ongoing use of the developed approaches and tools. On the institutional sustainability of process facilitation, initial results have been promising:

- In Palestine, the project partners agreed to take the role of facilitator after EMPOWERS finished.
- The government of Jordan has agreed to look in more detail at the establishment of a national steering committee. Strong facilitation, training and social analysis expertise exists there through the Zein Al-Sharaf Institute for Development (ZENID) a local institute under the umbrella of JoHUD, a NGO that manages and supports Community Development Centres all over the Kingdom.
- In the Balqa Governorate in Jordan an integrated water information management system has been established.

Overall, it can be concluded that improve local water governance is quite a challenge, but that the project has contributed to a shift from the top-down approach that has existed in the region for generations. Social change is not something that happens overnight and there are many political constraints in the region. In the selected communities the project helped community members solve several existing problems associated with social exclusion. Through creating multilevel platforms and building leadership these problems could be reduced in future. To ensure sustainability of the multi-stakeholder approach, local host agencies (government, NGO, service providers, or professional facilitators) with staff who have both technical and social skills must take over the facilitation.

Lessons for SWITCH cities

EMPOWERS shows that with strong facilitation people with often few means, little education and limited negotiating power have a big but often untapped potential to solve problems and to innovate together with government officials and other stakeholders. Understanding the divergent (and often conflicting) priorities and demands for water resources and effectively involving end users and local institutions are crucial elements for sustainability and improved local governance in IWRM.

Building stakeholder platforms, identifying all actors and interest groups at each level, including the most excluded, and ensuring that there is a constructive dialogue is not easy. It often will require capacity development at individual, group or organizational level so that marginalized groups can participate and be effectively represented. Facilitation and a strategy for the involvement of the poorest and most marginalized are needed to ensure representative participation and to resolve possible conflicts between individuals and stakeholder groups. Both technical and social expertise are needed. EMPOWERS identified the need for financial resources and a full time process manager as well as experienced process facilitators, who have networks and standing in the sector.

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Links for further information on EMPOWERS:

EMPOWERS project
<http://www.project.empowers.info/>
Empowers insight 1, 2005
EMPOWERS Partnership governance principles
EMPOWERS Factsheets
EMPOWERS case studies, reports and papers
EMPOWERS concepts, guidelines and change stories

European Union's Regional MEDA Water Programme for Local Water Management
http://ec.europa.eu/comm/external_relations/euromed/meda.htm

Dialogue 'Water, Food and Environment'
<http://www.iwmi.cgiar.org/dialogue/Index.htm>

Global Water Partnership; Dialogue on Effective Water Governance
<http://www.gwpforum.org/servlet/PSP>

Participatory Rural Appraisal www.eldis.org/manuals/participation.htm

RAAKS guidelines
Engel, P., Salomon, M.(1997). *Resource Guide to RAAKS. A Participatory Actor-oriented Methodology on Networking for Innovation and Stakeholder Analysis* (KIT/CTA/STOAS).

UNDP Water Governance programme <http://www.undp.org/water/>

Annex 1 : Examples of Selected pilot projects and funding agencies

Community	Pilot Project	Responsible community organization	Funding (EMPOWERS or others)
EGYPT/ Beni Suef			
El Masharqa	1) Enhance potable water network maintenance and 2) Activate Water User Association one mesqa (small canal) and provide solutions to Irrigation Improvement Project 3) Increase number of people connected to potable water services 4) Study the best solutions to solid and liquid waste disposal systems in village control	1)Community Development Association (CDA), Women's Group, Potable Water Authority (PWA) 2) CDA, Farmers Group 3) CDA, PWA 4) CDA, experts	1) EMPOWERS, PWA, 2) EMPOWERS, Ministry of Water Resources and Irrigation (MWRI) 3) EMPOWERS 4) EMPOWERS
JORDAN/Balqa'			
Subaihi	Rehabilitation of two springs	Subehi Voluntary Society	Netherlands Embassy
Rwaiha	Strengthening Community Water Committee through a revolving fund for water management and agricultural purposes	Rwaiha Cooperative Society	EMPOWERS
PALESTINE/Jenin			
Qabatya	1) Study and redesign of the municipality water network. 2) Installing water meters at agricultural wells to organize and account for use of irrigation water for farmers without a well.	1) Municipality, Palestinian Water Authority 2) Farmer Group, Ministry of Agriculture	1)EMPOWERS, Municipality 2) EMPOWERS

Source Barghout *et al.* 2006, p23