Reassessing Stakeholders' Involvement in Environmental Sanitation Planning and Provision: A Comparative Analysis of Three Contemporary Approaches in East Africa.

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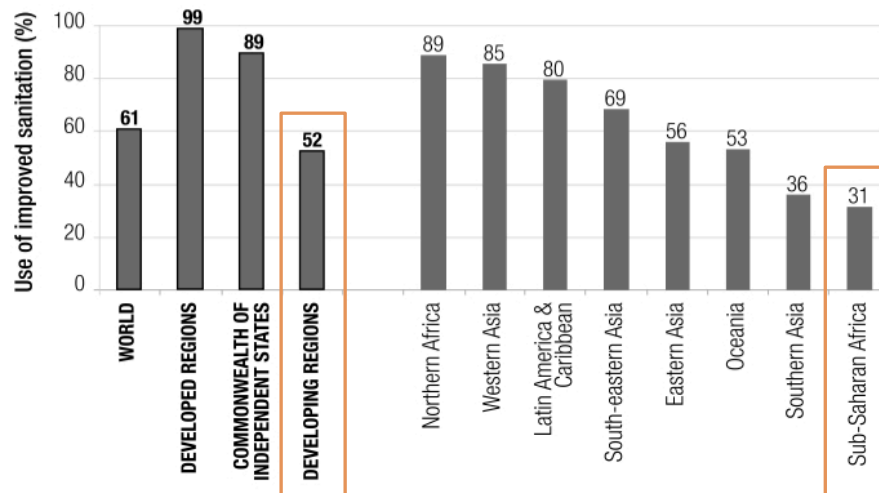
Study Overview

- **Background**
  Environmental Sanitation + Planning and Provision

- **Scope**
  Research Problem + Research Questions + Introduction of Cases

- **Methods**
  Data Collection + Analytical Framework

- **Results**

- **Findings**

- **Conclusions and Recommendations**

Background   Scope   Methods   Results   Findings   Conclusions and Recommendations

Facts and Figures

▪ Currently around 2,6 billion people worldwide lack access to sanitation;

▪ Half of the population in developing regions does not make use of improved sanitation;

▪ The MDG target addressing sanitation will be missed.

Urban Sanitation Challenges

▪ Rapid urban growth allied with poverty;

▪ Increase of informal and unplanned settlements;

▪ Unclear assignment of responsibilities;

▪ Low resource allocation;

▪ Weak institutional capacity of governments and utilities;

▪ Lack of interest of private sector for poor areas.

Share of population per region that use of improved sanitation facilities, 2008

WHO/UNICEF JMP 2010, p.6

Background   Scope   Methods   Results   Findings   Conclusions and Recommendations

Conventional and Alternative Approaches
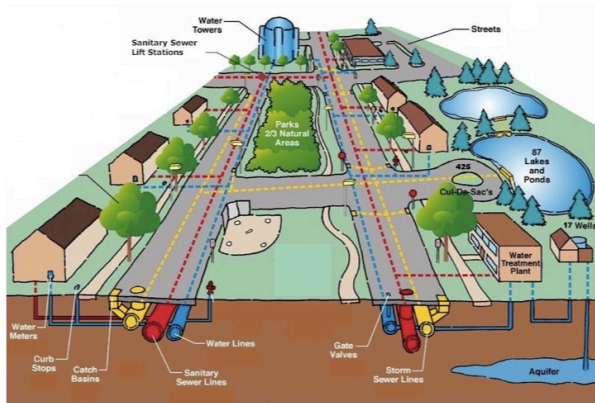
Conventional Sanitation System

- Supply-oriented;
- Externally funded and planned;
- Over-engineered;
- Large-scale solutions;
- i.e, water-based sewer systems

Constraints

- Failing to reach the poor;
- Highly costly;
- Dependency on subsidies;
- Discouragement of ownership.

Answers from Theory and Practice

Alternative Sanitation System

- Adaptable and flexible;
- Affordable and sustainable;
- With room for improvement.

+

- Consider social and cultural aspects;
- Raise awareness and demand;
- Address institutional capacity building.

→ Recognition that sanitation is more than the provision of physical infrastructure, it is also related to values and cultural practices.

Background   Scope   Methods   Results   Findings   Conclusions and Recommendations

Claims for Participation

Demand–responsive Approaches

- Seek to extend service to unserved areas;

- Widening of service options;

- Decided by beneficiaries;

- Involving more stakeholders;

- Adapted to users' capacity to pay

Claims for Participation

- Site-specific solutions;

- Concerned with cultural beliefs and practices;

- Capacity development for O&M;

- Improved community contributions;

- Ownership of process and results;

- Empowerment of communities

**More appropriate, sustainable, efficient and effective solutions**

- Participation is lower in practice than it is advocated in theory;

- Little evidence that links participation process to outcomes;

- Scarce evidence to support participatory approaches regarding the distinct stages of planning processes.

Background **Scope** Methods Results Findings Conclusions and Recommendations

Research Questions

▪ How participation is applied to the projects?

▪ To what extent do the modes of participation contribute to the achievement of the claims for participation found in the literature?

Methodology

Desk-based evaluation supported by secondary analysis of qualitative data assessed from project documents and complemented by semi–structured interviews with key informants from the projects.
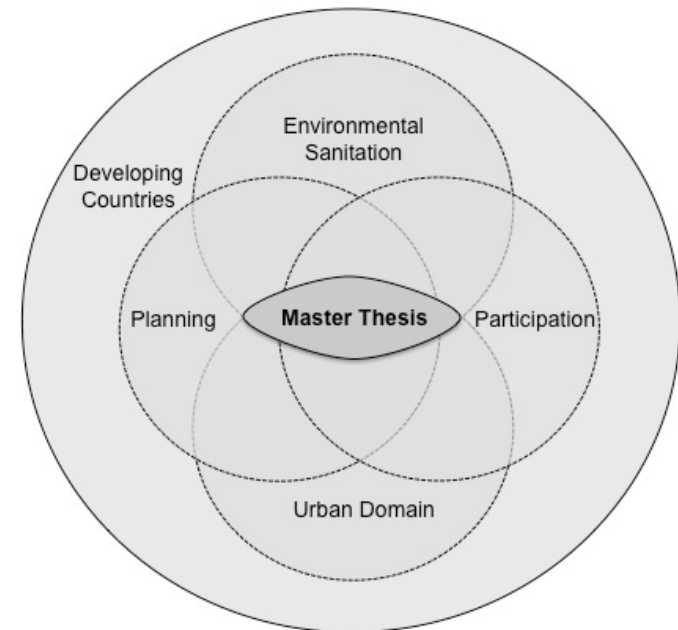
Background   **Scope**   Methods   Results   Findings   Conclusions and Recommendations

Three Contemporary Approaches to Urban Environmental Sanitation

Household-Centred Environmental Sanitation
Dodoma, Tanzania

Product Development and Social Marketing of Sanitation and Urban Waste Management Systems
Kampala, Uganda

**Stronger Services Providers, Better Service for All**
Nairobi, Kenya

Projects	Proponent	Strategy	Target Group	Site	Period	Donor
HCES	Sandec	Communicative Planning	Local community	Unplanned settlement	2007 - 2011	SECO
PDSM	SSWARS	Social Marketing	Local community	Slum Parishes	2006 - 2010 Phase 4: 2009-2010	WaterAid Uganda
SSP	WSUP	Sanitation as a business	LSP and local community	Slum Village	2010 (ongoing)	AusAID

Background   Scope   **Methods**   Results   Findings   Conclusions and Recommendations

Analytical Framework

Guiding Questions

1. How are planning and provision arranged?
2. Who are the stakeholders involved?
3. How are the stakeholders involved?
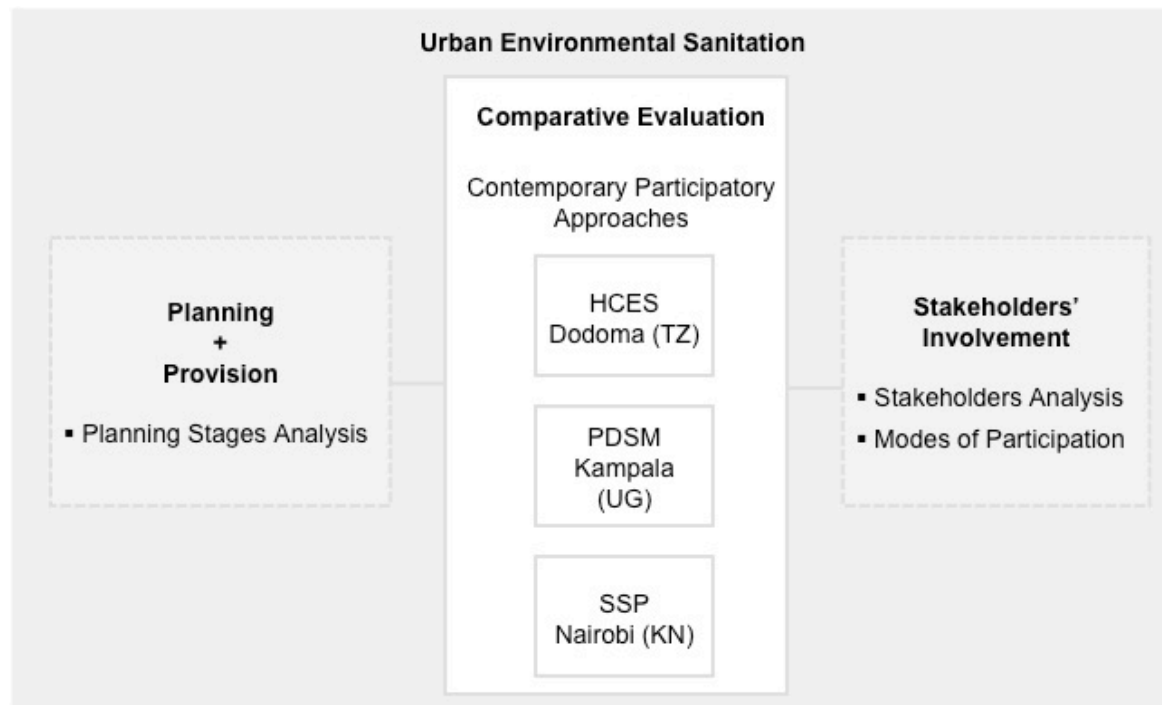
Background   Scope   **Methods**   Results   Findings   Conclusions and Recommendations

Research Process

Step 1: Planning Stages
Categorization of activities
according to planning stages used
as analytical categories

Planning stages used as analytical categories

1. Ignition

2. Problem identification

3. Definition of objectives

4. Development of alternatives

5. Selection process

6. Action planning

7. **Implementation**

8. **Operation and Maintenance**

9. Monitoring and Evaluation

Source: by the author based on McConville 2008 and Hamdi and Goethert 1997

Background   Scope   **Methods**   Results   Findings   Conclusions and Recommendations
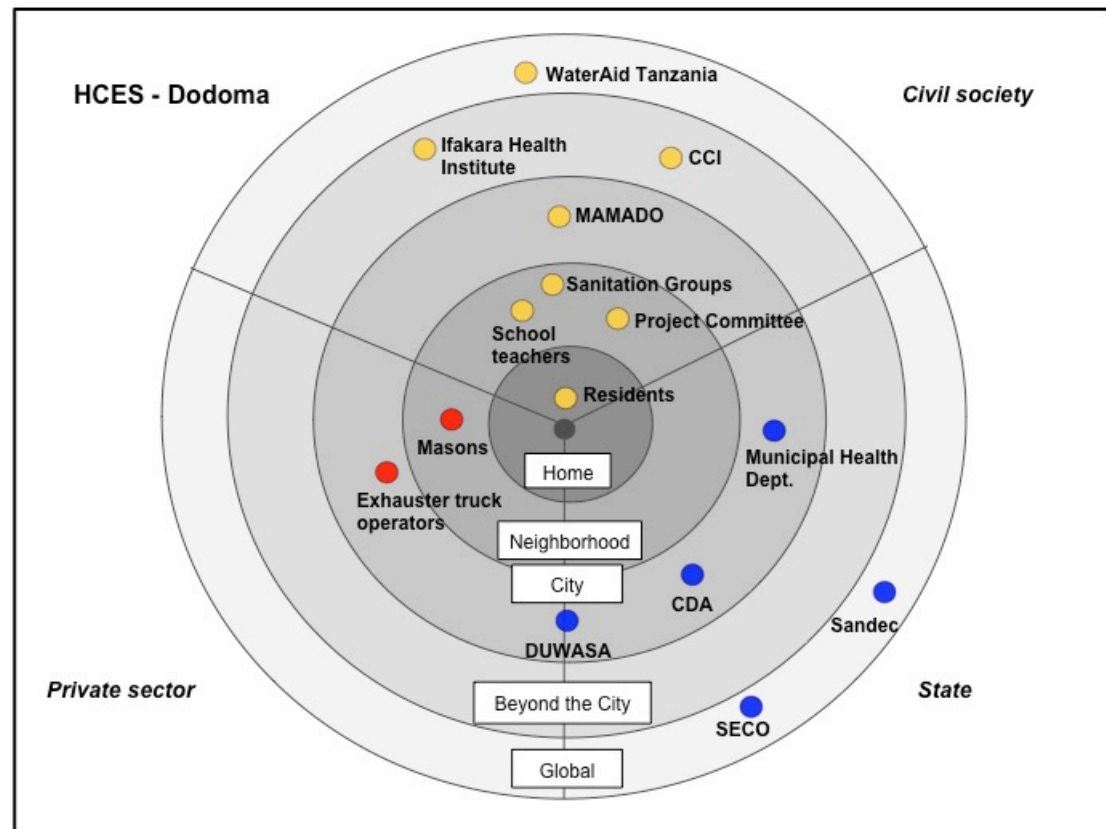
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Step 1: Planning Stages
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Step 2: Stakeholder Map
Identification of stakeholders according to urban domains and spheres

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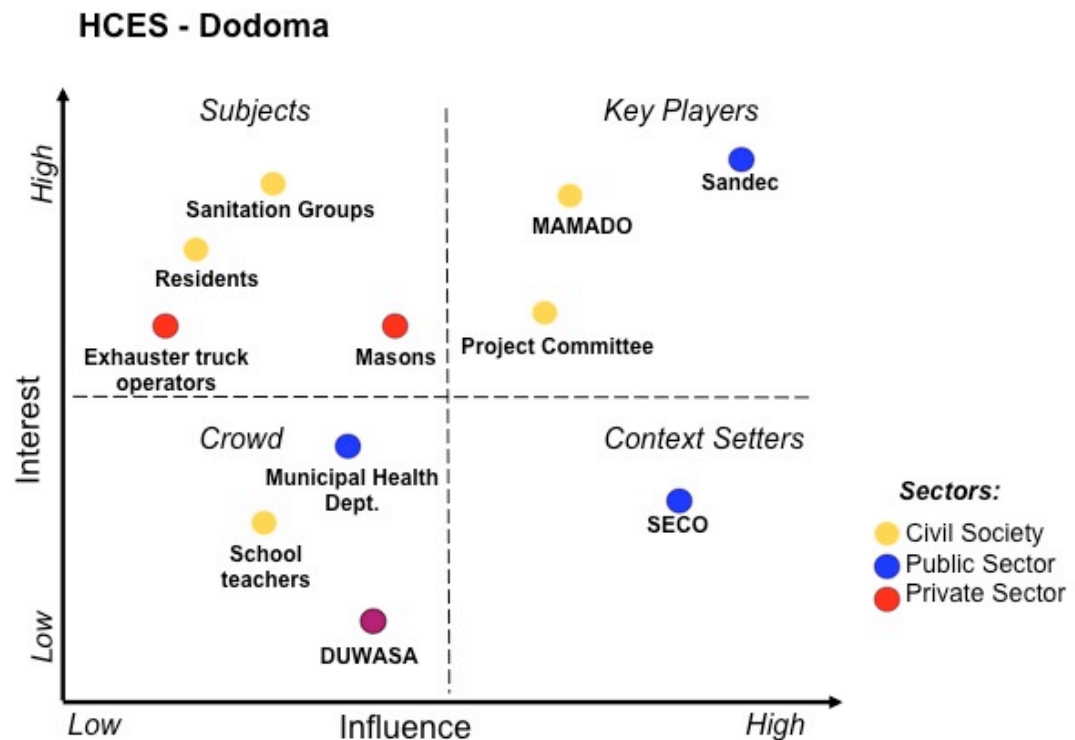## Research Process

Step 1: Planning Stages
Categorization of activities according to planning stages used as analytical categories

Step 2: Stakeholder Map
Identification of stakeholders according to urban domains and sectors

Step 3: Matrix Interest vs. Influence
Qualitative assessment of roles, interests and influence of key stakeholders

HCES - Dodoma

Background   Scope   **Methods**   Results   Findings   Conclusions and Recommendations

Research Process

Step 1: Planning Stages
Categorization of activities according to planning stages used as analytical categories

Step 2: Stakeholder Map
Identification of stakeholders according to urban domains and sectors

Step 3: Matrix Interest vs. Influence
Qualitative assessment of roles, interests and influence of key stakeholders

Step 4: Modes of Involvement
Assessment of modes of interaction between project proponent and key stakeholders at planning stages

Informative: One-way information flow, in which the recipient has a passive role.

Contractual: Minimal involvement on the basis of a service or resource provision, instrumental input.

Consultative: Two-way information flow with small stakeholder's input, emphasis on diagnosis, data collection and evaluations.

Collaborative: More intense and continuous two-way information flow, implies establishment of mutual confidence, involvement and discussion.

Collegial: Characterized by continuous open dialogue and social cohesion of stakeholders. Knowledge and skills of parties are seen as complementary and mutual dependent.

Source: by the author adapted from Ashby (1986), Biggs (1989) and Rowe and Frewer (2000)

Background   Scope   Methods   **Results**   Findings   Conclusions and Recommendations

Assessment of Planning Stages - Dodoma

- **Goal:** design an environmental sanitation plan;

- **Emphasis:** planning process;

- Intrinsic linear and stepped nature;

- **Remarks:** Creation of Project Committee and financing scheme

Experts' Workshop for definition of alternatives, Dodoma

Background   Scope   Methods   **Results**   Findings   Conclusions and Recommendations
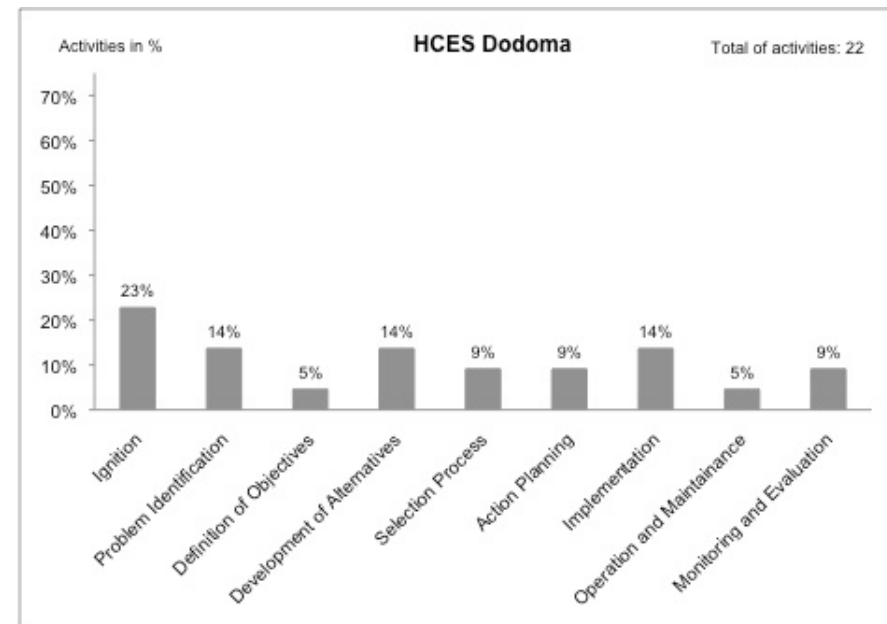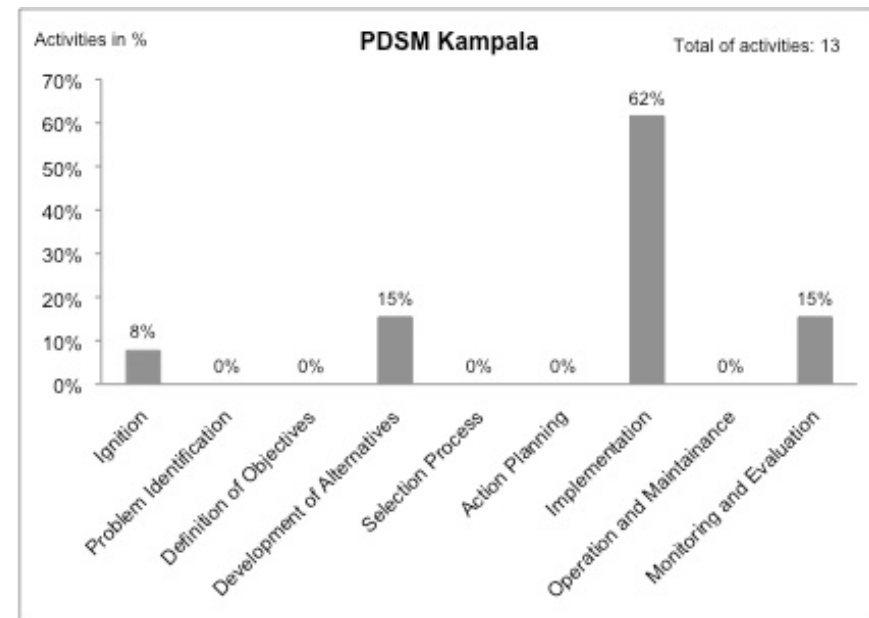
Assessment of Planning Stages - Kampala

- **Goal:** create demand for sanitation and promote low-cost technology options

- **Emphasis:** awareness raising and toilet construction

- **Focus on implementation**

- **Remarks:** Income generation strategies, Savings and Credit Cooperative Organizations

Bio-latrine constructed in Mulago III

A Super-loo at Pimbas Secondary School in Bwaise I

Background   Scope   Methods   **Results**   Findings   Conclusions and Recommendations

Assessment of Planning Stages - Nairobi

▪ **Goal:** create demand for sanitation and promote low-cost technology options

▪ **Emphasis:** capacity building and infrastructure delivery

▪ **Focus** on implementation and 'Monitoring and Evaluation'

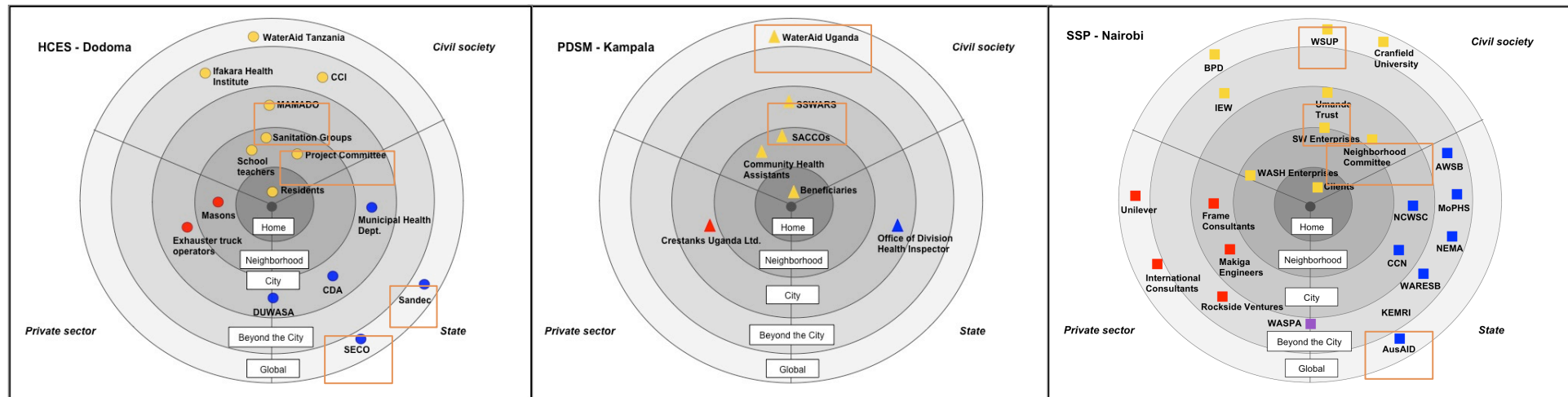▪ **Remarks:** promoting solutions in larger scale, addressing suppliers

Training of sludge exhausters, Nairobi
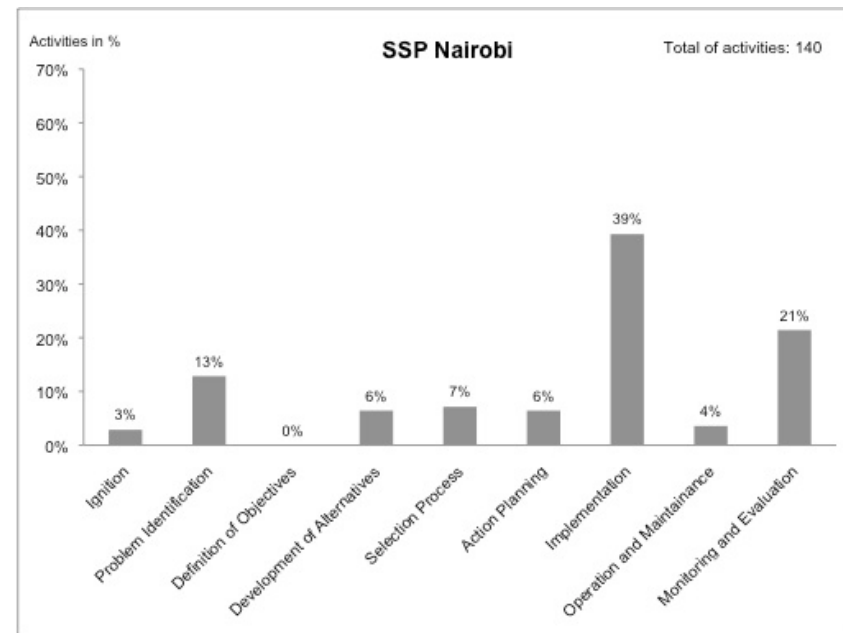
Background   Scope   Methods   **Results**   Findings   Conclusions and Recommendations

Assessment of Stakeholders

- Similar institutional settings and implementing structures;

- Stakeholders inclusion as a common feature;

- None of the projects was originally started by the community, neither was there a strong influence from political authorities in their institution.

Background   Scope   Methods   **Results**   Findings   Conclusions and Recommendations

Assessment of Stakeholders
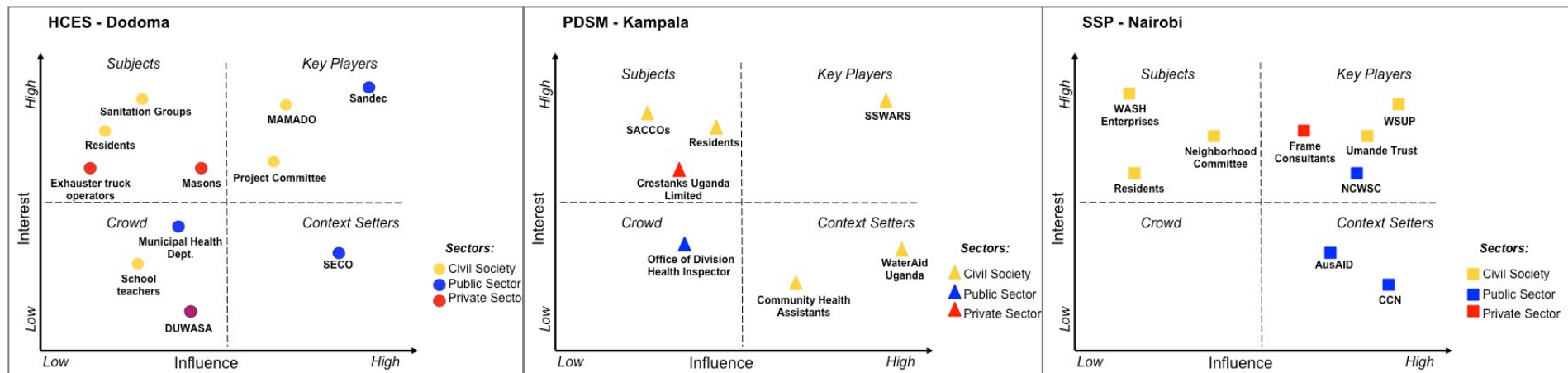
- **Public Sector:** minor participation

- **Civil Society:** local committees increased the influence of residents

- **Private Sector:** underdeveloped role

Background   Scope   Methods   **Results**   Findings   Conclusions and Recommendations

Assessment of Modes

Establishment of collaborative modes of participation between proponent and local NGOs
-> the strong role played by these agencies, rather than local governments to steer community development;

Residents were mainly involved throughout the processes in consultation -> more collaboration with project committees -> not always clear to infer to what extend that interfered with the planning stages;

Modest interaction with public and private sectors, despite potentially common interests.

Selection Process, Dodoma
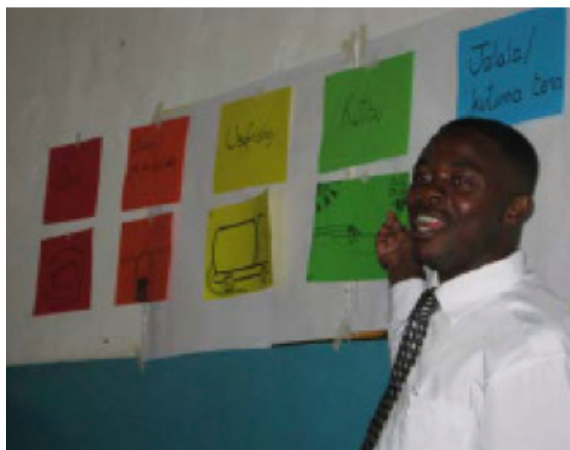
Training on toilet options, Kampala

Women focus group discussion to monitor and evaluate, Nairobi

Background   Scope   Methods   Results   **Findings**   Conclusions and Recommendations

Strengths

HCES: Commitment to stakeholders involvement mainly in all stages

PDSM: Adoption of strategies for income generation and affordability

SSP: Connections to permanent local agencies and ability to network with stakeholders from other spheres and sanitation chain

➡ Change in the focus on hardware provision to software components

Challenges

- Institutionalization of participation in development projects;
- Hierarchical structure of consultative modes;
- Few benefits form existing settings.

Background   Scope   Methods   Results   **Findings**   Conclusions and Recommendations

• The objectives of the projects were decided mostly outside the household/
community domain;

• The creation of an autonomous governance structure in two of the three cases
brings project proponent and residents closer;

• Collaborative involvement with public sector may indicate permanence and
replicability of solutions;

• Collaborative involvement with service providers may increase the capacity, improve
service provision and generate income to community members.

Stakeholders' involvement in **sanitation projects** reaffirms the **variety** of the
participation **concept** and role of planners as facilitators.

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How participation is applied to the projects?

Involvement and participation in the **HCES** experience is applied as a **goal**, while in the experience of **PDSM** and **SSP**, as **means** to achieve projects' goals.

To what extent do the modes of participation contribute to the achievement of the claims for participation found in the literature?

Consultative modes of participation, especially with civil society, addressing context-specific hindrances in stages 'Implementing', 'Operation and Maintenance' and 'Monitoring and Evaluating' can **support pragmatic** claims for participation in sanitation projects, such as capacity development for operation and maintenance and greater efficiency and effectiveness though community contributions. But aspects regarding **ownership** of process and **empowerment** of communities results are still left aside.

Background   Scope   Methods   **Results**   Findings   **Conclusions and Recommendations**

Contributions

Even restricted, space for consultations with residents to manifest their preferences can help mitigate negative reactions and advances towards more adequate solutions;

People's enterprises have the potential of scaling up provision of sanitation in urban settings;

More prepared institutional setting, with solid polices and trained staff may spur initiatives at household level.

But...

Alternatives approaches alone will not fill all the gaps of conventional provision and overcome by themselves urban sanitation challenges;

Participation is a socio-cultural process that demands time, willingness and efforts from actors involved.

Background   Scope   Methods   **Results**   Findings   **Conclusions and Recommendations**

Recommendations to Praxis

▪ Stronger involvement of stakeholders in earlier stages of the process;

▪ Coordination efforts to engage with public and private sectors and actors from sanitation chain;

▪ Emphasis on the monitoring of participatory process itself regarding their objectives;

▪ Financial and time flexibility to accommodate participatory outcomes and

▪ Sustainable ways to align demand for environmental environmental sanitation and income generation from sanitation services.

Recommendations to the Research Field

▪ Investigate linkages between the objectives of participation and outcomes;

▪ Investigation of ways to adapt project's frameworks.

Thank you for your attention.