



PUBLIC AWARENESS & COMMUNICATION MODULES AND MATERIALS

Module 1: Regional Guidelines

Prepared by the International Consortium
GTZ-ERM-GKW



Public Awareness & Community Participation – Regional Guidelines

This powerpoint presentation gives an overview of the Regional Guidelines for Public Awareness & Community participation in Integrated Solid Waste Management projects and programmes.

The guidelines can be used to develop a step-by-step approach to design and implement a sustainable ISWM strategy and programme in close co-operation with the concerned communities and stakeholders.



KEY CONCEPTS

Public Awareness

Creating understanding and appreciation of:

- dealing with solid waste issues
- solving problems with disposal and collection

Community Participation

Involvement of the local community with:

- influence and sharing control on decisions and resources

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Public Awareness & Community Participation – Key Concepts

Key concepts in these guidelines are ‘*community participation*’ and ‘public awareness raising’. To avoid confusion on their meaning, the following definitions are used:

The concept ‘*community*’ refers to a whole population of a city, village, or district, to residents of neighbourhoods in urban or rural communities and/or to sections of cities.

‘*Community participation*’ is a sociological process which includes varying degrees of involvement of the local community. In this process communities influence and share control over development initiatives, decisions and resources which affect them.

Raising public awareness in SWM programmes is creating understanding and appreciation among the population to deal with solid waste issues and to solve problems with solid waste collection and disposal. Awareness raising is used to raise people’s environmental consciousness and to stimulate peer solidarity. It seeks to introduce greater understanding of the negative effects of handling waste carelessly- on overall environmental conditions in the neighbourhood. A campaign makes people more aware that proper waste collection and disposal have a positive effect on public health” (Muller and Hoffman, 2001).

‘*Stakeholders*’ refers to people or organisations having an interest in SWM issues. They can include local authorities, service providers, NGO’s, neighbourhood committees, households, waste pickers, etc.



GUIDELINES OBJECTIVES & SET-UP

Provide guidance on strategic planning, community participation and two-way communication in ISWM services

Provide instruments and tools for active community involvement

Provide gender specific tools for implementation of ISWM

Generic Aspects in Community Development

Regional Case Studies & Best Practices

Key Messages

Aids to Implementation

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Public Awareness & Community Participation – Objectives of the Regional Guidelines

The **objectives** of the Public Awareness and Community Participation guideline are to:

- Provide guidance in carrying out strategic planning of integrated solid waste management and to enhance appropriate levels of community participation and a two-way communication in planning and implementation of integrated solid waste management services;
- Provide instruments and tools, applicable to the regional context, for the establishment and improvement of active community involvement in the process of planning and implementation of ISWM; and
- Provide tools for the implementation of ISWM which have been tailored specifically for the needs of women.

The set-up of the Regional Guidelines is as follows:

1. Generic aspects of CP presented in a step-by-step approach
2. Selection of PA &CP programmes on ISWM from the Region + best practices + conclusions
3. Eight Key messages on PA &CP, with special attention to the regional context
4. Aids to implementation; Detailed explanation of 4 concepts with supporting methods and techniques for implementation of the key messages.



LITERATURE REVIEW on PA&CP in ISWM

Working Papers of international Consultancy firms and consultants
Project reports and manuals (grey-literature)
WB publications

Case studies, Lessons learned, Assessment of Best Practices, Description of Activities and Tools on:

- EHE & CP in Yemen and Palestine
- Household survey and Participatory monitoring, Gaza Palestine
- Functioning of Neighbourhood committees in Rafah, Gaza Palestine
- Community Development and gender roles, Zaballin com. , Cairo, Egypt
- Training workshops on SW management, Aswan, Egypt
- Awareness raising campaign in Algeria (mobile exhibition)
- Environmental Education Programme, Tunisia

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International reports and publications on PA&CP in ISWM

With the development of these regional guidelines use was made from a selection of international reports and publications dealing with PA&CP in ISWM. Contents of these reports are described in abstracts, followed by concise comments. Furthermore reference is made to case studies, guidelines, tools and modules, used in international and regional implemented SWM programmes.

Review of the selected literature can be found in Annex 1 of the RG, while chapter 3 describes case studies and assessments of programmes in PA&CP in SM from Algeria, Egypt, Palestine, and Tunisia. In the ATI of the RG more cases and examples are given describing the specific programme activities and tools used.



Generic Aspects of PA&CP (1)

Learn from other CD projects, programmes and commercial enterprises.

Adopt a user-oriented Communication model

Define your Target Groups

Identify Opinion Leaders

Find out who is ready and who is not

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Generic aspects of PA & CP (in community development programmes) (1)

Learning from other projects and programmes

In the overall discussion on how to achieve a good functioning and sustainable ISWM system, concepts such as community participation, awareness raising, change of attitude and behaviour, and gender are recurring. Generic aspects of PA & CP can be identified in a range of community development programmes, such as water supply and sanitation projects, agricultural programmes, income generating activities, and primary health care projects, etc.. All these programmes require, besides the technical expertise and the financial input, a strategy on how to integrate these programmes into the socio-economic structure of the local communities. It is also very useful to study the methods and media of commercial enterprises, e.g. TV/Radio commercials, newspaper advertisements and bill boards. These commercial companies spent a lot of funds on researching their targetgroups!

Adopt a User-oriented Communication Model

Give up misleading top-down ("sender -> receiver") communication concepts:

The target group is not a passive object ("receiver"). Out of dozens of messages arriving at an individual at any time only those that are perceived to correspond to the individual's interests and capacities are read. In short: Perceiving is an active process of selection and interpretation.

Define Your Target Group(s): Segmentation and Clusters

Identify and study your target group applying a mix of appropriate criteria or attributes. Be aware of differences among your target groups, maybe you have to deal with sub-groups or clusters. Decide whether you can reach out to all of them or whether - for logistic or budget reasons - you concentrate on the most relevant cluster (e.g. gender, age, urban/rural, level of education, political and moral orientation, etc.)



Generic Aspects of PA&CP (2)

- Communicate and keep Supporting
- Find Bridging Themes- Message design
- Prepare your ground: Public Relations
- Be consistent: Use a Corporate Identity
- Orchestrate your message across the media

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Generic Aspects of PA & CP (2)

Identify Opinion Leaders: Interpersonal Communication is Key

Identify your target group opinion leaders and preferred sources of information. Mass-media communications directed at opinion leaders will eventually be transmitted to the final “beneficiaries” through interpersonal communication. So always imply the opinion leaders in your strategy and talk to them first. (e.g. Imams, local sheicks, teachers, informal women leaders, etc.)

Find Out Who Is Ready and who is not.

The objective of your communication strategy is a specific behaviour change among your target group, which can either mean “start with ...” a new behaviour (e.g. recycling) respectively “stop with ...” a certain behaviour (stop littering). Thus you have to place your communication approach in the major framework of behaviour change theory.

Behaviour change theory teaches us that in any target group one finds three sets of individuals:

1. the early adopters or innovators;
2. the followers;
3. the laggards.

One also distinguishes between:

- “never users”, “ever users”;
- “first users”, “recurrent users”, “permanent users”;
- and “droppers”.

It is important to find out the reasons of the above mentioned groups for their behaviour.



Generic Aspects of PA&CP (3)

Communicate and keep Supporting

Find Bridging Themes- Message design

Prepare your ground: Public Relations

Be consistent: Use a Corporate Identity

Orchestrate your message across the media

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Generic Aspects of PA & CP (3)

Communicate AND Support

When designing a communication campaign for behaviour change one should concentrate on the “early adopters” and try to turn these into “first users”, and the “first users” into “recurrent users”. Once you have “won” the first segment of “early adopters” it is decisive to keep this group and not let it turn into “droppers” due to encountered difficulties. Thus designing a sound communication strategy implies a counselling and support strategy, because losing “first users” would mean a great loss and damage to your whole campaign. Take special care of your “innovators” and make them convinced and permanent users that work as a magnet to attract those near to them (the followers).

Use simple measures: support line (“Hotline”); regular follow-up calls and visits, follow-up meetings and events.

Find Bridging Themes: Message Design

Explore your target groups’ “thematic horizon”, i.e. their prime concerns and mental occupations, visions, dreams, desires...(check for research reports, conduct a baseline study, make interviews).

Identify bridging themes between your concern as communicator and the target group’s main issues. (Example: You want to promote “waste management” in municipal areas. Then: don’t talk about waste, but talk about “health” because waste is health related and the main concern of your target group – women – is the health of their family).



Generic Aspects of PA&CP (4)

- Communicate and keep Supporting
- Find Bridging Themes- Message design
- Prepare your ground: Public Relations
- Be consistent: Use a Corporate Identity
- Orchestrate your message across the media

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Generic Aspects of PA & CP (4)

Prepare Your Ground: Public Relations

Before designing and producing any communication product such as an exhibition, you should make your topic a public issue using Public Relations techniques. Long before the exhibition starts the target group must have heard of it's subject (create a "halo"). In order to achieve this you must start with PR work at an early stage. Establish firm and trustful relationships (networks) with the gatekeepers to the media: the journalists. Consider mobilising sponsors and donors, these are also valuable opinion leaders!

Be consistent: Use a Corporate Identity (CI)

As soon as you start communicating with anybody (with opinion leaders, journalists, potential project partners, donors etc.) use an identifiable and unique CI: a logo and a slogan (or "claim") – and use it consistently. (A claim is a slogan that promises a benefit).

Orchestrate your Message Across the Media

Behaviour change comes at the end of a more or less long period of continuous exposure to the same message across a broad spectrum of media communication channels plus, interpersonal communication and provision of a supportive environment. This is what we call the horizontal and vertical dimension of communication in an individual's "media biography" . Thus communication campaigns should not focus on one media format only or on a single event, but should orchestrate the across all sorts of different media channels, which are relevant to the target group, and over a long period. Cross-media strategies should only work with consistent messages and CI (technically speaking: output-independent source-data format for multiple-format outputs).



Generic Aspects of PA&CP (5)

Differentiate between Communication Channels and Media Formats

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Generic Aspects of PA & CP (5)

Differentiate between Communication Channels and Media Formats

- What media formats do you personally know?
- What format are within reach of the project, its capacities and budgets?

Press-release, leaflet, brochure, books (manuals etc.), posters, billboards, murals, newsletters, public press, magazines, audio cassettes, radio (spots, features, drama), video films, TV (spots, features, drama), cinema, conference, music/songs, poetry, drama, dance, and others.

Learn to assign different media formats to different communication channels and senses:

- audio (oral)
- visual
- audio-visual.

Judge their individual potential and restrictions by applying criteria like:

- low/ medium/ high costs;
- low/ medium/ high tech;
- one-time/ recurrent exposure;
- fragile/robust;
- short/ long-living;
- focussed/omni-present;
- size of audience reached
- cost per contact



Generic Aspects of PA&CP (6)

Contract professional partners and remain in control

Plan your Time Frame

Set up your Cost Budget

Look at the complete Communication Plan

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Generic Aspects of PA & CP (6)

Contract Professional Partners and Remain in Control

Check out for local partners (agencies, photographers, cameramen, designers, printers etc.) and develop reliable contracts (with clauses for non-compliance with requirements for quality or timely delivery). Prepare emergency and pull-out plans. Write concise and extensive briefings. Never let the agency take control, always remember : you are the **master mind of the project, nobody else knows better than what you want but yourself.** (and of course your participating target group)

Plan Your Time Frame

Set up a spreadsheet:

- Vertical: the products and activities (like press-release, brochure, poster...)
- Horizontal: the time line (in calendar weeks)

Mark critical dates as “milestones” that have to be met.

Set up Your Cost Budget

Set up individual spreadsheet for each type of product and summarize all sub-totals on a master sheet.

Look at the Whole Plan: the Communication Plan

Set up a spreadsheet with columns containing:

Results (product or activity) - Indicators - Responsibility - Partners - Time - Budget - Observations and Risks



LESSONS LEARNED in REGIONAL ISWM

Algeria, Egypt, Palestine, Tunisia (1)

1. **Community Participation integrated in the project**
2. **Gender Sensitive Programming**
3. **Channeling messages through existing communication infrastructure**
4. **Identification of Stakeholders**
5. **Cost recovery through increased reliability of community based SWM services**

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Summary of Lessons learned from Regional ISWM Projects and Programmes (1)

1. Community participation as an integral part of the project:

In all projects (except the Zabbalin case) **community participation was an integral part** of the project. Community perception and views on SWM practices and services and how the community could participate were sought from the beginning. This helped the decision-makers in the design of the system and enabled them to perceive problems that should be addressed.

2. Gender sensitive programming

In Rafah and Gaza City SWDPs, **women were focussed on as a special target group**. Municipality officials working in waste disposal and environmental health education recognized that women play a major educative role in the socialisation process of their offspring. Women are also responsible for the garbage collection at source and the cleanliness of their direct domestic environment. With reference to the staff of the EH/CP programme, the project recruited many local female residents as EH extension workers.

3. Channelling communication and awareness raising messages

To channel the interaction, the projects made **use of existing communication infrastructure(s)**. In the SWM projects in Palestine and in Egypt, part of the awareness raising activities included door-to-door visits and group meetings with neighbourhood committees, which were organised by local councils and the community. Other communication channels (Tunisia, Egypt and Palestine) were local institutes, women associations, youth clubs, religious organisations, clinics, and schools. In Algeria relevant institutes and organisations located along the railway were mobilised to participate in the campaigning.

Furthermore, **messages should be recurring and dynamic** and can be linked to national holidays or festivities, i.e. the slaughter fest.

Another important aspect of adequate communication is the **monitoring** of the **interaction processes**. Give up misleading top-down ("sender -> receiver") communication concepts. In Rafah neighbourhood committees in close cooperation with the staff of the EHE section of the municipality channelled the messages from the community to the municipality and governmental departments and vice versa.



LESSONS LEARNED in REGIONAL ISWM

Algeria, Egypt, Palestine, Tunisia (2)

1. **Community Participation integrated in the project**
2. **Gender Sensitive Programming**
3. **Channeling messages through existing communication infrastructure**
4. **Identification of Stakeholders**
5. **Cost recovery through increased reliability of community based SWM services**

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Summary of Lessons learned from Regional ISWM Projects and Programmes (2)

4. Identification of stakeholders

In the beginning of the project in Gaza City, **key stakeholders groups** and their roles and position in the solid waste collection and disposal chain were **identified**. Existing groups of community elder were mobilised to involve the communities in the decision-making processes and planning of the EHE and SW activities.

5. Cost recovery and willingness to pay for a community based service.

In the projects in Bardees-, Gedelah- and Kolongeel village and Gaza City mechanisms for cost recovery were assessed by means of a community survey. The survey indicated that over 50 percent of the people are willing and able to pay. The **increased reliability on SWM services** is related to increased **willingness to pay** for SWM services.



Key Messages: Public Awareness (1)

1. Do not confuse "information" with "communication".
Communication is by definition "two-way" interaction
2. Public awareness strategies for ISWM must be well targeted and focused

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Key messages Public Awareness (1)

Key Message PA 1: Do not confuse "information" with "communication". Communication is by definition "two-way" interaction.

Regular and relevant **exchange of information and ideas between municipal officials** at managerial as well as operational level **and the consumers** is a prerequisite for a sustainable SWM. Community participation is an ongoing process, which starts at the planning phase, and proceeds throughout the implementation and evaluation of SWM systems in the communities. It is important that this participatory process is continuously monitored, making use of local leaders and the existing communication networks within the communities.

Regional context: In the METAP region, **participatory processes in decision-making and planning are in a preliminary phase**. In most of the METAP countries, a **top-down decision-making approach in SWM is commonly practised**. In all countries, community participation processes have generally been linked to introductory campaigns or crash cleanings, without in depth and long-lasting involvement of the communities. The municipalities in Gaza City and Rafah, Palestine, have initiated over the last 10 years liaison with local leaders at a neighbourhood level and started working with local neighbourhood committees. Despite the local successes, it is the very beginning of a participatory network, within which communication tools and linkages still have to evolve.

Key Message PA 2: Public awareness strategies for ISWM must be well targeted and focussed

Public awareness campaigns are a tool for raising the level of public consciousness and for addressing specific related issues. They reach out to a large audience and are mostly executed within the framework of a national environmental/health education programme. The topics of these programmes are linked to strategically planned SWM activities, such as crash cleaning of contaminated dumping areas, recycling, composting, cost-recovery, etc. **Public awareness campaigns only have a long-term benefit when they are well planned and linked to targeted SWM activities** and possibly to other environmentally related programmes, such as water supply, drainage, sewage systems, etc.

Regional context: As in most developing countries, the countries in the METAP region have experience with public awareness campaigns. However, **strategic planning and long-term objectives in these campaigns are missing**. In most cases these campaigns serve as an instrument for **a top-down approach and a way to introduce SWM activities in a popular way, without any further involvement of the communities**. Constraints are lack of well-trained and experienced human resources and a tight budget. Therefore, the effect of these programmes has been limited and they tend to have limited positive impact on the attitude and behaviour of community members.

Key Messages: Public Awareness (2)

3. Public awareness strategies for ISWM must consider gender issues
4. ISWM needs quality education materials.
To achieve this, the skills of local designers should be upgraded

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Key messages Public Awareness (2)

Key Message PA 3: Public awareness strategies for ISWM must consider gender issues

In particular, women are instrumental in the process of improving the health status of the community as they are to a large extent engaged in the raising of children, preparation of food, cleaning of the house and its surroundings, disposal of waste, feeding of children, nursing them in the case of illness, etc. Consequently, planning, implementation and evaluation of SWM services should in particular address this key target group.

Regional context: In most of the METAP countries *women's roles, decision-making processes at household level and mobility of women are relevant aspects in achieving an effective integration of SWM services at community level*. In some countries, data on these aspects have been collected but are not specific to the different socio-economic levels to which these women belong to and to periods of transition. For instance in Palestine and Algeria women's role and mobility expanded during the Intifada and the transition period. The end of these periods resulted again in *changes of women's roles and mobility*. It is extremely important not to generalise the role of the women for this region, but to assess the differences and to bear them in mind while planning and implementing community participation activities.

Key Message PA 4: ISWM needs quality education materials. To achieve this, the skills of local designers should be upgraded

In most countries education materials focus on delivering non-dynamic messages. In other words, such material does not activate awareness on relevant topics, such as environmental hazards and health risks, which are already available in the perceiver's mind. In order to avoid repetition in production and use of these ineffective products, *it is necessary to make an inventory and to screen the materials on needs and priorities of the local communities*. At the same time reputable designers and communication experts should be identified and trained on design of appropriate and quality education materials, based on analysis of the communities Knowledge, Attitude and Practice (KAP).

Regional context: In the METAP countries awareness raising is related to non-dynamic messages. Some countries are more progressive than others in their presentation of education material, i.e. in Algeria and Palestine. However, they still often lack an input from trend-setting communication means and materials, to help them move towards a more dynamic and progressive way.



KEY Messages: Community Participation (1)

1. A participatory planning approach is key to the success of ISWM
2. ISWM services systems have to reflect the target group's ability to pay

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KEY MESSAGES Community Participation (1)

Key Message CP 1: A participatory planning approach is key to the success of ISWM

Integrated SWM programmes have to be carried out with an integral focus on creating and improving community involvement in, and understanding of, the purpose of these programmes. The emphasis must be on integrated planning and development based on local participation and investment. In this context, community participation can be defined as ***involvement of the local population actively in decision-making, implementation and evaluation of community development programmes.***

Regional context: The countries in the Metap region still tend to conceptualise community participation as an effort on the part of the communities ***to assist in implementation of plans already made and targets already set.*** The challenge is to move to a more dynamic concept of community participation, ie responding to society's demands rather than mere acceptance of plans and active implementation. This requires the community to identify with needs and priorities, with the policy and plans, which in turn requires involvement in thinking, planning, deciding, acting and evaluating. In the region, the discussion on community participation as an objective has not started yet. In Jordan and Syria, the communities are involved in implementation, i.e. they are mobilised when crash cleanings are executed. In Lebanon community participation comprises public awareness actions and is not seen as an integrated process. In this respect, Palestine is an exception. Since 1993 at municipal level the discussion has started on community participation as an integral part of the decision-making processes and the design phase of the SWM programmes. However, since the second Intifada the political instability and the economic crisis are undermining this process.

Key Message CP.2: ISWM services systems have to reflect the target group's ability to pay

In most municipalities a relatively large proportion of the budget is spent on waste collection and disposal services. Often municipalities lack the financial capability to provide all required services on a regular basis. In the poorer rural areas and urban neighbourhoods, solid waste collection services are often not so regular as in the higher and middle class neighbourhoods. From a financial point of view, a sustainable waste management service system requires that the cost of the service correspond with the financial capabilities and affordability of the client. In developing improved solid waste collection services, it is important to make use of data on financial capability and to be informed on the desired solid waste system of the consumer as well as their preferred alternatives.

Regional context: In the METAP region, ***data on the financial capacity (and willingness) of consumers to pay for SWM services is often not available. An appropriate billing system as a basis for cost-recovery is often lacking.***



KEY Messages Community Participation (2)

3. A participatory management approach is key to the success of ISWM
4. SWM community participation must consider gender implication

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KEY MESSAGES Community Participation (2)

Key Message CP.3: A participatory management approach is key to successful SWM

A prerequisite for a successful SWM implementation is that the basic principles of strategic management are adopted. One of the basic differences between traditional management and strategic management in infra-structural sectors is that ***in strategic management all stakeholders participate at all levels in planning and in decision-making.*** Traditional management is much more top-down in nature. The promotion of strategic management can only be achieved by means of a participatory approach. In this participatory process, ***communication is seen as a primary, and most essential aspect,*** to increase commitment and partnership towards implementation of programmes. Good communication is required to make optimal use of knowledge and expertise, experience and capacity of all actors. It is therefore important to consider the community and what community members perceive as the solid waste problems that need action on a priority basis. These problems and their solutions should be placed in the framework of the planning methodology.

Regional context: The most relevant governmental key-stakeholders in SWM for the METAP region are the national policy makers and municipal officials. Those who decide at national level are in the first place responsible for the outputs of their strategic planning. The officials who operate at municipal level are responsible for the implementation of the plans and policies dealing with SWM. It is therefore essential that in this initial phase of development of national policies, rules and regulations, participatory processes are a key-issue.

Key Message CP.4: Integrated SWM must consider gender implications

The Key message CP 4 is already introduced and developed within Key Message PA 3



AIDS to IMPLEMENTATION

- Social Assessment
- Gender analysis and planning
- Assessment on affordability and willingness to pay for SWM services
- Communication and dissemination techniques

Modules and materials specifically detailing these topics will be presented later on in this workshop

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Aids to Implementation of Key messages

The regional guidelines describe the following 4 aids, with details as to their objectives and specific tools/techniques that can be used.

During the workshop modules and materials on these topics will be presented and discussed in detail



What is Social Assessment ? (1)

An interactive and participatory process to identify stakeholders and strategies for their participation

Step 1: Identify key stakeholders

(existing data review, interviews, transect walks, mapping, informal talks).

Step 2: Research on and analysis of SW practices.

(Focus group discussions, workshops, public meetings).

Step 3: Establish a structure for community involvement.

(Neighbourhood committees, public meetings).

Step 4: Identify indicators/select instruments for participatory monitoring and evaluation

(Action oriented research, workshops, self-evaluation).

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Social assessment can be used to identify important stakeholders and to analyse their interrelationships. A social assessment identifies household solid waste practices and problems, user needs and constraints, willingness and affordability to pay, etc.

Social assessment identifies the involved stakeholders and at the same time a strategy can be developed for their participation. It is an interactive and participatory process to prioritise, gather, analyse and use operationally relevant information about social development.

Participation comes in various forms and has different degrees, in some studies even more than six levels are described. In community development programmes, and in particular ISWM programmes, the following four levels of participation can generally be observed:

1. information: a one-way communication to stakeholders;
2. consultation: a two-way communication. Stakeholders can express their opinion, concerns and do suggestions. There is no assurance that their information will be used;
3. consensus-building: stakeholders interact with each other and discuss various options; and
4. decision-making: stakeholders are involved in planning and making decisions.

The processes of social assessment and community participation should start simultaneously and at the very beginning of a SWM project. This is to help to understand the social context of a SWM project. Social assessment in SWM programmes involves the following four steps:

1. Identify the involved stakeholders, their characteristics, constraints, needs, priorities and preferences;
2. Investigate and analyse the solid waste practices of the beneficiaries and to evaluate their significance for the ISWM programme, i.e. waste reduction, separation at source and recycling, education;
3. Identify, enhance or establish a structure for community involvement in the process of planning, design and implementation of the ISWM system; and
4. Develop indicators for monitoring and evaluating the social process.



What is Social Assessment ? (2)

An interactive and participatory process to identify stakeholders and strategies for their participation

Step 1: Identify key stakeholders

(existing data review, interviews, transect walks, mapping, informal talks).

Step 2: Research on and analysis of SW practices.

(Focus group discussions, workshops, public meetings).

Step 3: Establish a structure for community involvement.

(Neighbourhood committees, public meetings).

Step 4: Identify indicators/select instruments for participatory monitoring and evaluation

(Action oriented research, workshops, self-evaluation).

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Social Assessment and tools: Step 1 to 4

The four steps can be carried out by using a combination of different tools. These tools differ in participatory approach and in what kind of data one would like to obtain: qualitative or quantitative data. The selection of certain tools, depends on the objectives of the data collection programme, the available time, available trained human resources and the budget.

Which tools have been most often used in ISWM programmes, how are they used, and how relevant are they? The tools described below are used in the four steps of the social assessment. They have proven to be simple and practical instruments for the planning, design and monitoring and evaluating of a community participation programme in ISWM.

Identify Key Stakeholders in ISWM

The first activity in the social assessment is to make an inventory on involved stakeholders and their characteristics. It is important to know as much about them, as these groups can be powerful **supporters or opponents**.

Objective: identify the major stakeholders, including the vulnerable groups and women, and obtain data on their socio-economic status, their number and role in the community and determine their view and influence on the solid waste collection and disposal services and its management.

Tools: inventory or review of information sources and data banks, semi-structured interviews, transect walks, informal talks and mapping.

Inventory or review

Data on stakeholders can be obtained by reviewing existing data sources at ministerial and municipal level and by interviewing key informants. Stakeholders in ISWM may include the following groups:

- National level: ministries of finances, environment, housing and municipalities, and or public works
- Local Level: authorities at governorate and municipal level
- Beneficiaries: households, commercial, industrial and institutional buildings and medical facilities
- Formal Waste workers: solid waste management staff and employees, sweepers
- Informal waste workers: scavengers or waste pickers
- Waste recycling entrepreneurs or industries: urban or regional industries, waste dealers
- Non governmental organisations: local environmental groups
- Community based organisations: local community groups
- Private sector: private waste collectors and disposal firms, services that use recyclables
- Traders: associations that have any interest in solid waste aspects, products
- Educators: media and educational institutes



What is Social Assessment ? (3)

An interactive and participatory process to identify stakeholders and strategies for their participation

Step 1: Identify key stakeholders

(existing data review, interviews, transect walks, mapping, informal talks).

Step 2: Research on and analysis of SW practices.

(Focus group discussions, workshops, public meetings).

Step 3: Establish a structure for community involvement.

(Neighbourhood committees, public meetings).

Step 4: Identify indicators/select instruments for participatory monitoring and evaluation

(Action oriented research, workshops, self-evaluation).

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For the design of communication plans, awareness campaigns and involved target-groups, it is important to obtain as much data as possible on the following topics:

- o Interest: are they interested in SW issues and do they want to communicate about the SW programme?
- o What is their relation to SWM?
- o How do they feel about the SWM issue?
- o How do they look for information on SWM?
- o What are their beliefs, norms, habits and values?
- o Do they have influence on decision-making processes?

In the overview below the different stakeholder groups and the relevant topics for data collection and analysis is shown; Stakeholder analysis, their interests, effects, importance and influence on SWM.

Step 2: Research on and analysis of SW practices

Investigate and analyse the solid waste practices of the user groups and

evaluate their significance for the ISWM programme, i.e. waste reduction, separation at source and recycling and education.

Objective: Obtain baseline information on SW practices and the perception and preferences, needs and constraints of the user groups. This is to understand the socio-economic and culturally bound context of the user groups and to involve them from the very beginning of the ISWM programme in the planning and decision-making processes.

Tools: Focus group discussions, workshops and public meetings

Step 3: Identify, enhance or establish a structure for community involvement

As long as people are not aware of being a stakeholder in a specific problem situation or issue, nothing will happen. It will not be possible to start negotiations or discussions, because as far as they are concerned there is nothing to discuss. However, when people are approached within a social unit comprising many stakeholders all having interest in SW issues, a discussion on knowledge, financial contributions and organisational matters of SW issues can start. Attitudes, perceptions, concepts, programmes are developed in part by interaction with other people. People may need to listen to the opinion of others before they form their own personal viewpoints. An example of such a social unit is the neighbourhood committee, where a two-way communication process can be promoted between different stakeholders. Their interests, views, constraints and preferences can be identified and linked to participatory interventions of the ISWM programme.



What is Social Assessment ? (4)

An interactive and participatory process to identify stakeholders and strategies for their participation

Step 1: Identify key stakeholders

(existing data review, interviews, transect walks, mapping, informal talks).

Step 2: Research on and analysis of SW practices.

(Focus group discussions, workshops, public meetings).

Step 3: Establish a structure for community involvement.

(Neighbourhood committees, public meetings).

Step 4: Identify indicators/select instruments for participatory monitoring and evaluation

(Action oriented research, workshops, self-evaluation).

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Objective: Institutionalise community participation in the process of planning, design, implementation, monitoring and evaluation of the solid waste collection services.

Tools: Neighbourhood committees, action-oriented planning, workshops and public meetings

Below, information is given on how to establish and make use of neighbourhood committees and how action oriented research can be used. For workshops and public meeting reference is made to 2.2 of step 2 of the social assessment.

Step 4: Identify indicators and select instruments for participatory monitoring and evaluation

In participatory monitoring the stakeholders are the main actors. They collect and analyse the information and based on the outcome, they formulate recommendations or solutions for identified problems. It is an ongoing action-oriented process of assessment and problem-solving, in which all stakeholders are committed at different levels.

Tools

There are many types of methodologies which can be used in participatory monitoring and evaluation. Below relevant tools used in SWM programmes are listed.

- o Stakeholder workshops and public meetings
- o Action-oriented research,
- o Joint assessment, a range of participatory assessment methodologies, such as participatory rapid appraisal (PRA); and
- o Self evaluation making use of community records and indicators.



Gender Analysis and Planning...WHY ?

- to increase understanding of gender issues and their impact on ISWM programmes, and in particular the educational programmes for the local communities
- to provide practical guidance for implementing more-gender sensitive and effective community development programmes and policies.

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PA & C – REGIONAL GUIDELINES



Gender Analysis & Planning

Gender relations and identities are not universal, but vary from culture to culture, and sometimes from community to community. They are dynamic and change over time. Understanding gender values and practices is central to knowing how societies are organised, how they function, and the potential for (social) change.

Objective: Develop a gender sensitive approach in CP & PA programmes.

Tools: gender roles identification, gender needs assessment, disaggregated data at the household level, GAD policy, linked planning for the female roles, incorporation of women, gender aware organisations and planners into planning,

What are the key lessons in recognising gender issues in SWM?

- gender analysis needs to be undertaken to ensure that the context specific gender relations and related social relations are understood and taken into account;
- strategies for improved ISWM needs to recognise the gender division of labour and either respect it or recognise that challenging it requires special expertise and effort
- gender-sensitive impact assessment needs to accompany changes to solid waste management in terms of household members, community based organisations and waste workers themselves (Source, WEDC, 1998).

Gender roles identification.

mapping the gender division of labour.

1. Women perform and manage the household, including disposal of waste;
2. Women decide on buying items for the household and are important as consumers and contribute to the sort of waste generated; and
3. Women are mainly responsible for the care and the raising of the (young) children, they are the ones responsible for the socialisation of their children.

In the productive sphere, women earn an income as sweeper, waste picker and domestic worker. In the recycling industry women work as labourer. Although women play an important part in reproductive and productive sphere, their role and status is not related to supervision or decision-making positions. Any intervention in these areas will affect the other areas. Women's workload can prevent them to participate in neighbourhood programmes, all extra time spent in community participation programmes, means less time for other tasks such as child-caring and food preparation. Decision-makers should receive a Gender and Development (GAD) training to increase their understanding of gender issues in SWM and their impact on development and to provide practical guidance for implementing more-gender sensitive and effective SWM policies.



Assessment on affordability and willingness to pay for SWM services

To find out if and how much users can pay for solid waste services and if they are prepared to do so.

Community based needs and demands
Participatory observation
Rapid household surveys,
District meetings

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Assessment on affordability and willingness to pay

Privatisation as a way to improve SWM service at a lower cost should be based on the demand and the degree of community participation. To assess what service a community desires, its willingness to pay and to co-operate, there is a need to communicate with potential service recipients. Costs must be presented in a survey with clear terms for residents to be able to respond to questions. In order to obtain data on affordability and willingness to pay for SW collection services representative neighbourhoods should be selected, who would give a complete view of the range of conditions prevalent in the study area.

Objective:

Assess willingness and affordability to pay from the user groups.

Tools:

Participant observation

Rapid household surveys with questionnaires, PRA techniques and district meetings



“NIMBY”; Not In My Back Yard !!

An expression of resident opposition to the siting of a municipal solid waste facility based on the particular location proposed

- ✓ You will always get NIMBY reactions from people in the neighborhood of the new site;
- ✓ Communicate before people have expressed their opinion is more effective than waiting till people have expressed themselves.
- ✓ Good and timely research among residents and open and realistic information can reduce NIMBY reactions considerably
- ✓ Take the people seriously and be open to adapt the system where possible/feasible.

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NIMBY is the acronym for “Not In My Back Yard”.

It is an expression of resident opposition to the siting of a municipal solid waste facility, based on the particular location proposed. We have to accept that it is a normal and justified reaction which needs very serious and well thought replies, which also take the people seriously and respected.

As expected it origins from the people who will be most directly affected by the new facility. Although a Social Impact Assessment often is done, the IC has found that the results are not always used to develop a strategy to reduce NIMBY reactions. The NIMBY reaction is often based on a perceived impact among the residents, based on observations elsewhere or information collected from their own friends, family and neighbours or articles in the media.

In general the better the communication is planned and the more transparent and interactive the preparation process has taken place, the less problems you will have.

Few lessons learned based on the research and the IC' own experience:

1. Accept that you always will get a NIMBY reaction if you have to plan a site in a neighborhood. Such acceptance will help you to become better prepared.
2. Its best to be pro-active; Information reaching audiences before they have formed their opinion is much better perceived than if you have to convince people after they have taken their position.
3. Make sure the Social Impact Assessment will also provide information which you can use to develop a good NIMBY mitigation strategy. The research for the SIA itself already informs people and can trigger a process leading to NIMBY approaches
4. Take the people seriously and be open, or make yourself strong towards the engineers, to look for alternatives which can reduce some of the negative impact to the neighbouring communities.

During the session about Strategic Communication done by Gwen tomorrow, we can dig a bit deeper into this issue and try to come up with feasible and practical approaches which mitigate the NIMBY.



Communication & Dissemination Techniques

- Mass-media communication
- Interpersonal communication
- Education

Why.....Programme objectives
Whom.....Target groups
What.....Message & Strategy
How.....Methods & Media mix
When.....Time frame
How much..Costs budget

Pre-test & Evaluate

Involve all Stakeholders with every step !

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Communication and dissemination techniques (1)

-> Key Message: "One should never confuse "information" with "communication". Communication is by definition "two-way" interaction."

-> Key Message: "Public awareness strategies for ISWM must be well targeted and focussed."

-> Key Message: "Public awareness strategies for ISWM must consider gender issues."

-> Key Message: "ISWM needs suitable quality education materials. To achieve this, the skills of local designers should be upgraded."

In SWM campaigns modes of communication often consist of brochures, posters, information centers, films and education activities. Most of them are designed without adequate fact-finding, strategy development, pre-testing and results evaluation. **These one-way means of communication allow for little or no interaction between sender and receiver.** In many cases such instrumental campaigns will not lead to a permanent or structural change of attitude and behaviour.

Most communication activities of stakeholders fall into three categories:

- o Mass-media communication: advertising, promotion, publicity and propaganda, often through posters, brochures, radio and TV;
- o Interpersonal communication: dialogue, debate, discussion;
- o Education: a long term process to transfer knowledge, but also attitudes and values, both to children and to adults;

Using communication as an instrument for decision-makers and policy planners:

Successful communication depends on knowing exactly: Why, who, what, how and when you want to communicate. The key to success in communicating is planning and preparation. Following steps are simple to follow and to use in the organisation of a dissemination programme.

Step 1: Formulate programme objectives, such as:

- o - to make people aware of the coming SW events
- o - to mobilise the community in crash cleaning activities
- o - to make people aware of importance of a clean environment

Step 2. Specify the target-group

In SWM programmes the involved target-groups are not homogeneous. They differ in number, interest, preferences and perception regarding SW issues. It is important to identify the target groups and to involve them in the design of a communication activity.



Communication & Dissemination Techniques

- Mass-media communication
- Interpersonal communication
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Pre-test & Evaluate

Involve all Stakeholders with every step !

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Communication and dissemination techniques (2)

Step 3. Determine the message

In determining the contents of message in campaigns, it is important to consider the knowledge of the target group, their every day life-world and experiences with SW issues. All this information can be obtained from the stakeholder analysis and can be used to formulate the message in such a way that it matches to the local context.

Step 4. Make use of a communication strategy

- o Develop a national information-education programme
- o Determine communication products
- o Work with professional designers and agree on a budget
- o Develop with field staff (public relations department/environmental health educators) an implementation strategy for an information campaign, including public consultations
- o work with communities, entrepreneurs, industries in SW in preparation of the campaign
- o Deliver a follow-up communication programme
- o Evaluate the effectiveness of the communication programme

Step 5. Choose the methods: channels and instruments

What mix of communication methods do we need to use in order to be effective? In general two types of methods can be distinguished: mass-medial methods and interpersonal methods. Mass-media methods make use of radio, television, newspapers, brochures, websites, CD-ROMs, films, etc. The costs are high but many people can be reached. However it is very difficult to tune in to a certain target group.

Mass media is used:

- o to stimulate people to discuss a certain issue
- o to inform people with one single message
- o to make people aware of a problem
- o to create interest
- o to instruct a great number of people, who already have been motivated to change their behaviour

These methods are instrumental and are not establishing a direct contact to the people.

Interpersonal methods make use of conversations in larger or smaller groups and make it possible to tune into the target group. Interpersonal methods are used:

- o to get a direct reaction from the target group
- o to grasp people's opinion
- o to communicate on sensitive issues

These methods assume that **communication is an interactive process** where people have to reach agreement about



**Thank you
For Your Attention**

