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Italia

Tackling Poverty Through Decentralisation and Local Governance:
Five Concrete Experiences of Oxfam Italy

FULL REPORT

by
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Contents

Abstract

During times of crisis, poor people are the most vulnerable target in terms of economic and social justice. In order to break the cycle of poverty and inequality, it is necessary a radical redistribution of power, opportunities and assets, rather than traditional models of charitable aid. The levers that can drive this transformation are active citizenship and effective states, allowing people to have a voice in deciding their own destiny and claiming for state and private sector accountability (*Sen, 1999; Green, 2012*).

Within this scenario, the objective of this paper is to explore the relevant experience of Oxfam Italy (OIT) in fostering an efficient and effective management of public resources in order to tackle poverty through decentralization and local governance for human development. In particular, this paper critically assesses five initiatives implemented by OIT in the last ten years in the following areas: waste management in Latin America, South Africa and Democratic Republic of Congo; urban and rural SMEs in Bosnia-Herzegovina; social and health care services in South Africa. This case-studies analysis is based on desk-based review, independent evaluations, and interviews with key informants.

Overall, these actions aim at removing bottlenecks constraining the enhancement of individual capabilities and agency by acting on contextual conversion factors (*Robeyns, 2005; Deneulin, 2008; Frediani, 2010*) and institutional capacities of local governments. It is crucial to explore through a cross-country and comparative analysis the conditions enabling the design of pro-poor policies at the local level by fostering active involvement of public, private and civil society stakeholders.

The paper is structured as follows. The first section presents the OIT approach to support bottom-up policy-making processes and to build networks and partnerships for human development and capability expansion. The second section critically discusses the outcomes of the five selected experiences, assessing to what extent OIT interventions have been successful in triggering a change in livelihood conditions, and in expanding individual capabilities and agency. The final section outlines the most relevant conclusions.

1. Introduction

The present analysis aims at systematising and capitalising on the Oxfam Italy (OIT) intervention strategy in developing countries, in order to make it understandable and repeatable within the Oxfam international confederation and other stakeholders. Starting from the case-analysis of five OIT experience, the investigation aims to highlight the strengths of the OIT strategy and the evidence of its effectiveness as well as the concrete tools used by OIT to implement the strategy.

Oxfam Italy, named UCODEP until 2010, has been operating in developing countries for many years and its experience as an international NGO covers countries all over the world as well as several thematic areas. In the last decade OIT led some important projects in urban and rural environments, using a specific approach in tackling local issues such as urban poverty, social inclusion, social conflict and the lack of essential public services. These projects are included in a medium term country strategy of Oxfam Italy.

OIT strategy is based mainly on the assumption that the role of local government is essential to address local issues and that local institutions should work alongside civil society to undertake policy processes oriented towards solving those local issues. For this reason, OIT works to influence local and sub-national policy change in order to make a State more efficient. OIT promotes a bottom-up approach and a participation process involving key stakeholders and civil society. This methodology is more effective and result oriented rather than a confrontational way of work. The evidence of this approach are described in following pages.

Since 2010 it has been a part of the Oxfam International Confederation. Therefore, this work might also represent a contribution by OIT to Oxfam's theory of change, starting from the concrete results achieved by OIT's projects in recent years. Highlighting the OIT intervention strategy will reveal the specific elements which both prove the consistency of the OIT strategy to the Oxfam theory of change and its possible contribution to the theory itself. This effort goes in the direction of improving the OIT intervention as well as the OIT actively participating in the Confederation debate on which role, approaches and instruments are appropriate "to make a difference" in tackling poverty and inequality.

The work is based on the analysis of five OIT projects, two located in South Africa, one located across four Latin America countries, one located in the Democratic Republic of Congo and one in Bosnia Herzegovina. The five projects concern both urban (waste management and support to small and medium enterprises) and rural issues (health service).

The paper is structured in four sections. Starting from an overall conceptual framework of the change that Oxfam wants to achieve, the analysis exposes the main evidence of Oxfam Italy' experiences, the most important features of OIT intervention strategy and the repeatable elements of the OIT work. The conclusive paragraph summarizes the key elements of the research.
Annex to the report are included five profiles of the OIT analysed projects.

2. Long-term Goals

2.1 OIT way of working

In the last five years, the "*fil rouge*" of Oxfam Italy programmes is to stimulate the innovation of essential services or of response to inequality and injustice. In order to generate social change, OIT worked in the interactions between effective local authorities and active citizens (*Sen, 1999; Green, 2012*). The involvement of both target in OIT programmes is the real element able to produce the change regardless by the themes (waste management, health, local economic development, etc.).

As described in the fourth section of this paper, the key points of OIT's approach are:

1) making the civil society an "active" citizenship by participation;
2) influencing sub-national policy change through capacity and institutional building;
3) supporting a bottom-up process of policy-making to trigger political leverage, that is, raising local issues to the higher institutional levels to obtain resources and well-addressed national policies.

These actions aim at removing bottlenecks constraining the enhancement of individual capabilities and agency by acting on contextual conversion factors (*Robeyns, 2005; Deneulin, 2008; Frediani, 2010*) and institutional capacities of local governments.

The following diagram shows the OIT way of working and the synergy between Oxfam International and Oxfam Italy influencing experiences.
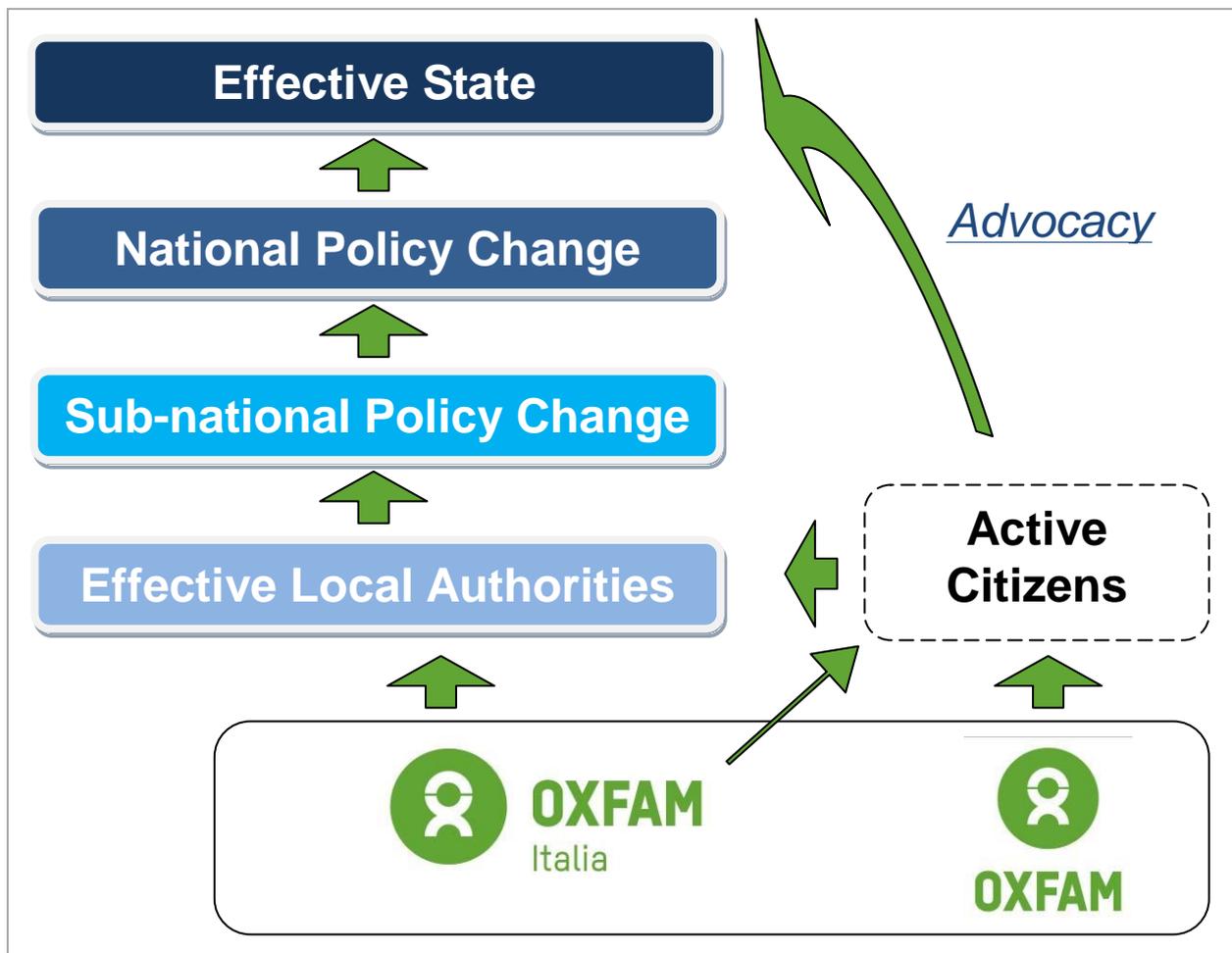
Chart 1 – *OIT approach in influencing experiences (Source: Oxfam Italy)*

The OIT approach has a relevant interaction with Governance & Citizenship Oxfam Knowledge Hub, but it has several links and transversal elements with other Oxfam strategic themes. **Which are the connecting link within the Oxfam International debate?**

2.2 Oxfam's Theory of Change

> «*We can end poverty and injustice by mobilizing the power of people against poverty*»[1]

This seemingly simple sentence embodies the Oxfam International rationale and represents a beacon for each of Oxfam's affiliates in conceiving their intervention strategy.

In recent years Oxfam International has been striving to move towards "One Oxfam" and an agreed intervention strategy among the Oxfam affiliates (*Jayawickrama, 2012*). A Single Management Structure (SMS) has been conceived and spread within the confederation in order to "*make joint and conscious choices, based on a common analysis of the issues […] coming to agreement about what intervention points are really powerful, appropriate, and transformational to be pursued by a prominent international NGO like Oxfam*" (*Ambler, 2011*).

An actual theory of change has led these efforts. The theory essentially relies on Duncan Green's assumption that "*development, and in particular efforts to tackle inequality, is best achieved through a combination of active citizens and effective states*"[2] (*Green, 2012*). Citizens, because they are right-holders, are critical to holding states accountable; and states, because they are duty bearers, can guarantee rights and the rule of law as well as being legitimated to design policies and strategies to support the development of society.

Under this vision, citizens, and civil society in general, have to be active in fighting for their rights and in calling for government accountability. This means that they have to be conscious of being rights-holders and aware of the instruments available to claim those rights. On the other hand states must be effective and accountable to citizens as well as able to guarantee their rights.

According to Green (ib.) the relationship between citizens and states requires both a long-term vision and a sort of "social contract" in order to build mutual trust and confidence. Moreover, the private sector has to be included in the active citizenship. It can create empowerment through job creation and know-how transfer as well as being able to influence, on a larger scale, policies and development opportunities.

Using this assumption as a reference point, Oxfam International works hard all over the world to reinforce civil society in its formal and informal representations, that is civil society organisations. The efforts of the Oxfam confederation aim at strengthening awareness of rights, by providing citizens with knowledge of the instruments that they may use to claim respect for their rights, better livelihood conditions and accountability. Oxfam's focal point is the local level, considered closer to the people and also the most suitable to build "active citizens".

In September 2011, the Oxfam International debate focused on how Oxfam International could and should relate to civil society and to government in combating the root causes of poverty and social injustice (Ambler, 2011 – Discussion note). Concerning the role that the individual affiliate should play in doing that, the 2011 debate indicated that Oxfam should be "transformational" and focused on making transparent and informed choices about how to relate to civil society rather than being a unique role-model. To this end, Oxfam affiliates should have a "*very sophisticated power analysis of the local situation to decide how [they] can be most helpful*" (*Ambler, 2011 – Discussion note*).

The 2011 confederation debate also focused on the concept of "effective states", that is on the need to consider government's role as a key agent of change. Ambler states that "the government is both a legitimate target for change, and a legitimate partner in change*"* (*Ambler, 2011 –*

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[1] From Oxfam International web-site: http://www.oxfam.org/en/about

[2] Green (2012, pg. 10-11) refers to active citizenship as "that combination of rights and obligations that link individuals to the state, including paying taxes, obeying laws, and exercising the full range of political, civil, and social rights" and it refers to effective states as "states that can guarantee security and the rule of law, and can design and implement an effective strategy to ensure inclusive economic growth.

Discussion paper) and its discussion paper describes two ways of viewing government: government as a big part of the solution; government as a big part of the problem. The two are not mutually exclusive, because Oxfam may be allied with a particular government on some issues, while being opposed to that same government's policies on others.

In addition to Ambler's argument, we have to consider that the State is made up of sub-national and local authorities. Influencing the sub-national policy contributes to the building of effective State. In this framework, the sub-national and local authorities are the target of sub-national policy change. In other words, we could say that local authorities are like a "champion" that can do leverage and influencing the policy of the country and make it more effective. OIT believe that the work of sub-national policy change can fit with an advocacy process at national level and can reinforce Oxfam response to inequity and injustice.

Most developing countries have undertaken a decentralisation process, which give power and responsiveness to the local level in answering local needs and in providing basic services. So it is frequent that national government in one country has iniquitous policies which deplete resources and population livelihood conditions more and more, while local government (LG) in the same country acts as an active partner of civil society. Often the decentralization is designed in the National legislation, but there is a period of time (medium term) where this process has not implementation tools. The risk to remain an "empty box" is high. This is a crucial moment to fit and to bring innovation when there are the conditions. In Oxfam Italy experience, local governments can become solid examples of positive action toward citizens. Thanks to bottom-up policy, it could be possible to give concreteness and impulse to the national decentralisation design through a strong influencing strategy.

The OIT projects provide clear evidence of the fact that LG could be a concrete policy spin-off in tackling local issues, trying to make up for national level deficiencies and providing local communities with basic services and better overall livelihood conditions.

As we will explain in the paper, in the OIT vision local government is an essential contributor in confronting local issues. LG is one of the two pillars in development, the first being civil society. Local government has the power to provide public services, set local regulations for local communities, and define policies and intervention strategy. The two pillars have to work together and when one is weak the other may help to compensate.

3. Main Evidence of OIT's Strategy Contribution to the Theory of Change

The analysis has focused on five projects and the investigation has been conducted through the case-study method (mainly: documentation review and interviews with key informants). The cases analysed are as follows:

1) <u>Latin America</u>, La Basura Sirve. Part of the Urbal-III programme. Topic: waste management. Years: 2009-2013.
2) <u>South Africa</u>, Waste Community Based Organisation (CBOs)/Coops in Ekurhuleni. Part of the Netsafrica programme. Topic: waste management. Years: 2010-2013.
3) <u>South Africa</u>, Maternal and Child Health: Local Authorities and Decentralization of services in SADC. Years: 2011-2014.
4) <u>Republic Democratic of Congo</u>, Strengthening Decentralized Territorial Entities (ETDs) and Local Associations ETD in the Management of the Local Health Service and Sanitation of the City of Kananga. Topic: waste management. Years: 2011-2013.
5) <u>Bosnia Herzegovina</u>, Strengthening the System of Small and Medium Enterprises (SMEs) – Part of the SeeNet 2 Programme. Topic: economic and local development. Years: 2009-2013.

These projects have been implemented in 3-4 years, but they are part of a single medium term country strategy of OIT. The main features of the 5 OIT practices are summarized in Chart 2. The abovementioned experiences have been selected on the basis of following <u>criteria</u>: relevance of practice, focus on urban and peri-urban area of intervention, dissimilarity of the work topics, innovation/added value of OIT experience in comparison to Oxfam's theory of change. The <u>methodologies</u> selected for the research was based on case-study analysis. In particular it was been implemented though desk-based review, independent evaluation, baseline and narrative reports (interim and final), and interviews with key informants and stakeholder. An evidence based results has been privileged to others types of rigorous analysis in order to be more pragmatic and close to Oxfam goals.

This approach has been privileged to obtain evidence based results rather than scientific rigour of others types of analysis.

The project analysis shows that the main underlying criteria of OIT interventions is addressing specific local issues (lack of basic services, precarious and unsafe work conditions, social conflicts) through the design of local public policies for triggering **a real change in the livelihood conditions** in poor and marginalized areas.

At the same time the analysis shows that the OIT intervention strategy aims at supporting the creation of a local policy-making process in order to ensure both ownership and sustainability of the results achieved.

Therefore the evidence which arose from the projects can be clustered into two main groups:
1) in terms of concrete **improvement of people livelihood conditions** (that is, the direct benefits for the beneficiaries);
2) in terms of **policy-making** (that is, the effectiveness of the process)[3].

There is much **evidence of the contribution of projects to triggering a change or improving livelihood conditions** in the local context of the action.

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[3]   Each of the five projects achieved several results, which are detailed in the single case-study to which we refer. Here we will focus on the results that better exemplify the OIT intervention strategy.

Chart 2 – *Case-Analysis Synopsis*

Project Title	General Info[4]	Issue/s addressed	*Objectives*	Beneficiaries
Waste is Useful: Waste Reduction and Recycling and Environmental Awareness to Build Social Cohesion in Latin America (in Spanish: *La Basura Sirve:*) - Part of URB-AL III Programme and follow-up of DesUrbal III (2006-2008)	Latin America (Argentina, Chile, Ecuador, Peru), 2.401.544,17 Euro, from 2009 to 2013 CA: European Commission CB: Municipality of Arezzo (It) PP: Municipalities of: Lille Metropolle (Fr), Arica (Ch), Cuenca and Lago Agrio (Ec), General Pico and Tres de Febrero/Buenos Aires Province (Arg), Santiago de Surco (Peru), Oxfam Italy (technical coordinator)	Deficiencies in waste management services, due to the impact of the rapid population growth and the lack of integrated and sustainable waste cycles. Marginalisation of waste informal workers. Inadequate capacity at local level to implement policy concerning multi-dimension issues, lack of technical know-how and of technology.	*General objective*: Promoting social cohesion. *Specific objective*: spreading a new environmental people awareness and introducing/improving an integrated waste cycle management	*Direct beneficiaries***:** waste workers (informal pickers/sorters), city-owned enterprises, students, households, local institutions (political and technical level), policy-makers at local, regional and national level. *Final beneficiaries*: 800.000 citizens of the five local municipalities partners of the project
Waste Community Based Organisation(CBOs)/ Coops In Ekurhuleni Areas Of Wattwille And Actonville (as a part of NETSAFRICA[5])	Ekurhuleni Metropolitan Municipality (EMM) in Gauteng Province, South Africa € 504.542,00, June 2010 - 2013 CA: Italian Ministry of Foreign Affairs CB: Ekurhuleni Metropolitan Municipality PP: Department of Cooperative Governance; Regional Government of Tuscany; Gauteng Provincial Government; Cispel Confservizi Toscana; ATO Toscana Sud and Toscana Costa; Cooplat	Poor waste management services in Ekurhuleni, due to a lack of political power of low income communities and a lack of technical skills and financial means of local government to serve low income neighbourhoods. Presence of informal collectors/pickers with low and uncertain incomes and exploited by buyers of raw materials. Poor quality of separate collection for recyclable waste.	*NetsAfrica general obj.:* enhancing the capacity of the EMM in the formulation of policies and the implementation of initiatives to fight poverty and to ensure access to basic services. *Project specific objectives*: (a) to improve waste management services through the elaboration of a waste management strategy involving CBOs in waste collection and recycling; (b) to promote the creation of job opportunities for disadvantaged groups; (c) to strengthen the capacity of the municipality in strategic planning.	*Direct beneficiaries*: EMM municipality, specifically the LED(Local Economic Development Unit and Waste Department), waste cooperatives and population of Benoni. *Final beneficiaries*: population of the EMM

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[4]   Legend: CA Contracting Authority; CB Contract Beneficiary; PP Project Partners.
[5]   Support Programme "*Decentralisation and Local Development Policies in South Africa - A Network of Tuscan and South African Local Governments*".

Project Title	General Info[6]	Issue/s addressed	*Objectives*	Beneficiaries
Maternal and Child Health: Local Authorities and Decentralization of services in SADC Area *Ongoing*	Or Tambo district, Province of Eastern Cape (South-Africa) Kondoa District Council in Dodoma Region (Tanzania) Kananga[7] (DR of Congo) 1.300.000,00 Euro, 2011-2014, CA: EU CB: Region of Tuscany PP: District of Or Tambo - South Africa, Kondoa District Council – Tanzania, City of Kananga - DR of Congo, Oxfam Italy, CMSR – Italy, COSPE – Italy, SPF - South Africa	Need to implement appropriate health services for the local context, in order to achieve the basic human needs of the most marginalised groups on health care delivery system including the fight against HIV infection and AIDS Limited opportunities on exchange of experiences and shared approaches on HIV/AIDS among different actors Ineffective governance, lack of coordination and multi-sector policies Need of efficient and sustainable actions to be elaborated with the involvement of local authorities and relevant local actors.	General objective: to reduce the morbidity and mortality due to HIV infection in rural areas, enhancing the role carried out by the local authorities in the reduction of poverty and in the quality management of the primary health care services. Specific objective: to facilitate the provision of innovative services on Anti-retroviral therapy and Preventing Mother-to-Child Transmission for infant and mother on rural areas supporting the local authorities in the implementation of their own competences and empowering the communities to play a more meaningful role.	*Direct beneficiarie*s: Local Health Authorities; Health and Welfare Sector Education and Training Authorities; Community Health Workers; HIV/AIDS patients; Pregnant women; newborn babies; rural communities. *Final beneficiaries*: at least 300,000 community members: peripheral health workers, existing community structures for whom the benefit consisted of getting organisational and collective skills on how to prevent sanitation and hygiene related diseases at the basic level of the entire society.
Strengthening Decentralized Territorial Entities and Local Associations ETD in the Management of Local Health Service and Sanitation of the City of Kananga	City of Kananga - Province of Western Kasai (Democratic Republic of Congo-DRC) Euro 323.452,44 2011-2013 CA: European Commission CB: Oxfam Italy (OIT) PP: Caritas Kananga, Municipality of Kananga	Deficiencies in waste management and, consequently, risk of epidemics of diseases linked to unhealthy environment (dysentery, tetanus, cholera, typhoid fever, tuberculosis.) Absence of a structured strategy to improve sanitation services. LG do not involved local communities, civil society organisations, private sector to tackle waste issue.	*General objectives*: (a) improving the livelihood conditions of the population of Kananga through the improvement of salubrity and of hygienic-sanitary services; (b) strengthening the synergy between local actors (LAs) and non-state actors (NSAs) in the management of basic services. *Specific objective*: strengthening the local hygiene and the basic sanitation services through the involvement and networking of ETDs and civil society.	*Target groups and direct beneficiaries*: project local state and non-state actors involved in waste management. *Final beneficiaries*: the city of Kananga population
Strengthening the System of Small and Medium Enterprises (SMEs) – Action 3.B of SeeNet 2	Bosnia Herzegovina € 934.621,00 2009- 2013 CA: Ministry of Foreign Affairs of Italy; CB: Region of Tuscany; PP: Region of Emilia-Romagna, Canton of Zenica-Doboj, Canton of Herzegovina-Neretva, Municipalities of Prijedor and of Tuzla	Poor managerial capacity of local governments in order to consolidate their role in the governance of local economic development and of public services. Need of national and international networks to support SMEs markets. (N.B. The subjects touched by the action were: production process (certifications, traceability, standards), marketing, branding and development stakeholders)	General **objective:** to increase the development potential of the system of SMEs in the areas concerned. Specific objective: to provide support in order to reinforce the networks, to exchange information and good practices and to develop the cooperation among SMEs, institutions and technical agencies.	*Direct beneficiaries*: local institutions, development agencies, SMEs, local manufacturers and other economic operators interested in local development (i*ndirect beneficiaries*: trade associations, industrial districts, Universities, SME incubators). *Final beneficiaries*: Bosnia-Herzegovina population

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[6]   Legend: CA Contracting Authority; CB Contract Beneficiary; PP Project Partners.
[7]   During the implementation of the project, the Ville de Kananga took the place of the Nord Kivu Province partner.

3.1 Evidence on improvement of the livelihood conditions

The results achieved by the projects show that the OIT intervention strategy has been successful in improving the livelihood conditions in the areas where the projects have been implemented (or are being implemented in the case of MATCH in South Africa).

First of all, the OIT experiences have carried out a role of **broker of the innovation** by the improvement or introduction of new basic services. In Latin America (*Ceccarelli, 2013*) as well as in South Africa and the DR of Congo (*Filippi, 2012; Quinci, 2013*), waste management has been improved through new treatment plans and the collection of recyclable waste, and therefore the hygienic and sanitary conditions in those marginalised areas are now getting better. Likewise, again in South Africa, the quality and accessibility of the rural health services for HIV-infected mothers and infants has been improved and the exposure to the disease is decreasing in that area (*Ngare, 2013; Regione Toscana, 2013*). In Bosnia-Herzegovina business-centres, enterprise incubators and other services such as centres for exports and centres of excellence have been created and as a consequence the SMEs are more competitive in national and international markets (*Manuelli et al., 2013; Oxfam Italia, 2013*).

Secondly, the projects have contributed to an **increase in income** of marginalised groups and to creating new job opportunities. In Latin America (*Ceccarelli, 2013*) as well as in South Africa (*Hugow, 2012; Rossignoli et al., 2012; Oxfam Italia, 2008-2012*) , the informal waste workers status has been changed from illegal to legal, reducing marginalisation and potential social conflict. The creation and consolidation of waste picker cooperatives increased and stabilised income for those workers, notably for women and young people. The introduction of the collection of separated recyclable waste allowed women and young people to start-up new job opportunities in the DR of Congo (collection of plastic bags to produce plastic tiles for outdoor paving). The working conditions of those employed in sorting recyclable waste have been improved, providing best treatment plans and technical devices (*Filippi, 2012; Quinci, 2013*).

Thirdly, the projects have been successful in increasing **civil society awareness and participation**. Through a wide set of participation instruments in Latin America (*Ceccarelli, 2013*), South Africa and Bosnia-Herzegovina, local communities have acquired knowledge of their rights and have been able to cooperate with their local institutions. On the other hand, the LG have been able to elaborate appropriate strategic plans through a participation process. In some marginalised urban areas, waste management after the project intervention has been more efficient because households, students, and single citizens actively cooperate in the collection. In South Africa the involvement of the HIV-infected in awareness campaigns has reduced stigmatization and increased male consciousness of the consequences of unsafe sexual practices (*Ngare, 2013; Regione Toscana, 2013*). In Bosnia-Herzegovina the SME's have been involved effectively in the local development policy and LG has been taking account of their specific needs in providing support services (*Manuelli et al., 2013; Oxfam Italia, 2013*).

Finally, the projects show important evidence from the OIT intervention strategy concerning **capacity building**. The five projects have been able to address appropriate targets, notably local civil servants, waste workers, health community workers, and SME's. The capacity building actions have strengthened the technical capacity of local government so that the people at local level started to see it as a possible partner for local community development. The provision of better public services based on good technical arrangements has contributed to reinforcing the "social contract" at local level. The capacity building actions addressed to local stakeholders such as community leaders, cooperatives, workers, and SME's have reinforced their technical capacity to cooperate with local institutions to implement the services at a local level.

Please, see the following chart that summarize the main above-mentioned evidence.

Process indicators	Project evidence
(1) Broker of the innovation by the improvement or introduction of new basic services	**Latin America (waste)**: waste collection service started that enhance the livelihood conditions of the citizens through a significant improvement of their surrounding environment (*Ceccarelli, 2013*). **DR of Congo**: two waste treatment centres and 40 garbage bins constructed. A coordination unit established to supervise the people sanitation conditions and for the distribution of equipment kits (*Filippi, 2012; Quinci, 2013*). **South Africa (waste)**: a more efficient waste collection service implemented. Two waste treatment plants built and operating. The separated collection of recyclable waste launched (*Hugow, 2012; Rossignoli et al., 2012; Oxfam Italia, 2008-2012*). **South-Africa (HIV)**: quality and accessibility of integrated PMTCT services at decentralized level improved. New tools for quality improvement and service performance monitoring introduced. The 2 new Community-Health Workers (CHW) assigned to each local health facility (benefit for communities and health services) (*Ngare, 2013; Regione Toscana 2013*). **Bosnia-Herzegovina**: SMEs performance on national and international markets improved, providing both infrastructures and services. The centers for innovation, and businesses centers provided the 1.020 SMEs enhanced their competitiveness (benefit in terms of new strategies and competences) (*Manuelli et al., 2013; Oxfam Italia, 2013*).
(2) Increase in income of marginalised groups and to creating new job opportunities	**Latin America (waste)**: the livelihood conditions of informal waste workers improved, which obtained a legal status and new work opportunities in waste collection cooperative and commercialisation of recyclable waste (*Ceccarelli, 2013*). **DR of Congo**: about 70 young people employed in public health and sanitation work. New economic opportunities started-up for women and young people, (the collection of plastic bags (youth) and the opening of purchase points of plastic bags (women) for then selling them to the producers of plastic tiles for floors) (*Filippi, 2012; Quinci, 2013*). **South Africa (waste)**: the livelihood conditions of informal waste workers improved (from an informal status to a formal and recognized one) (*Hugow, 2012; Rossignoli et al., 2012; Oxfam Italia, 2008-2012*).
(3) Enhance civil society awareness and participation	**Latin America (waste)**: potential social conflicts defuse (*Ceccarelli, 2013*). **DR of Congo**: citizen awareness on their role in waste management enhanced (*Quinci, 2013*). **South Africa (waste)**: citizens awareness of their role in policy-making process increased (*Hugow, 2012; Oxfam Italia, 2008-2012*). **South-Africa (HIV)**: citizens awareness raised on HIV and PMTCT issues in the communities of Or Tambo District (tackling stigmatization). Increased the integration with the local outreach programs run by the health department, and with SPF pre-existing programs for youth empowerment and sexual education in schools (*Ngare, 2013; Regione Toscana 2013*). **Bosnia-Herzegovina**: new methodologies and approaches in local development planning spread and implemented. The national and international network created (*Manuelli et al., 2013; Oxfam Italia, 2013*).
(4) Capacity building support	**Latin America (waste)**: the civil servants of the local government enhanced their technical know-how leading to an efficient functioning of public treatment plants and the strengthening of civil servant role within their organisations (*Ceccarelli, 2013*). **DR of Congo**: officials trained in waste management and tax collection, so that they are able to continue forward with a) the distribution of the service, b) the tax perception has improved, c) a model of tax collection has been creating (replicable for other basic services) (*Filippi, 2012; Quinci, 2013*).

Process indicators	Project evidence
	South Africa (waste): The local governments enhanced their technical skill and capacity in manage waste treatment (*Hugow, 2012; Rossignoli et al., 2012; Oxfam Italia, 2008-2012*). **South-Africa (HIV)**: Decentralization process in Or Tambo (National Health Insurance) reinforced through iinvestments in the infrastructures, integration of new human resources, re-engineering and intensification of outreach activities that are now bringing CHWs door to door to engage and support the local population (*Ngare, 2013; Regione Toscana 2013*). **Bosnia-Herzegovina**: The local governments improved their capacities in dealing with the local development issue (*Manuelli et al., 2013; Oxfam Italia, 2013*).

Chart 3 – *Evidence in terms of improvement of livelihood conditions (Source: Oxfam Italy)*

3.2 Evidence on policy-making

This aspect is a crucial element of the OIT strategy and relies on the assumption of Green that development needs "active citizenship" but also "effective states" (*Green, 2012*). The way in which states both at national and local level are effective consists mainly of the creation of good policies through an explicit policy-making process (*Ham and Hill, 1993*).

As the next chapter will describe better, on this basis OIT considers it essential to support local governments in undertaking policy-making processes which address local issues. Notably, the policy-making should be bottom-up, that is, it should start at local level and rise towards higher institutional levels (vertical subsidiarity); it should have as high a level of participation as is possible, that is, it should include all local stakeholders in order to ensure awareness and appropriate solutions to those issues (horizontal subsidiarity).

To demonstrate evidence of the project contribution to the policy-making process, we have to refer to specific policy-making **process indicators[8],** which may prove: (a) the real stakeholders inclusion in the policy-making process, (b) the existence of the policy itself, (c) the activation of both vertical (inter-institutional) and horizontal (public-private) subsidiarity in order to ensure ownership and sustainability.

Indicators for point (a) are mainly represented by the existence of formalised networks of stakeholders, of formal committees, of periodic open-public meetings, of coordination mechanisms between LG and civil society representatives as well as the existence of official occasions where formal and informal local community leaders are requested to express their position (inclusion in the decision-making process).

Indicators for point (b) refer to the existence of strategic plans, regulations, bodies of rules concerning the specific policy topic/issue. They also refer to the concrete creation of services and infrastructures.

Indicators for point (c) refer first of all to the local government leverage towards higher institutional levels in order to ensure vertical subsidiarity and to the LG capacity to implement the national strategy with appropriate resources and means. Therefore the process indicators are the existence of inter-institutional protocols, the redistribution of resources from the higher level towards the local one, the inclusion of local issues in regional or national priorities.

Secondly, indicators for point (c) refer to the capacity for triggering horizontal subsidiarity and

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[8]   Process indicators refer to a qualitative aspect unlike output measurement which focuses on a quantitative one.

therefore for focusing both public and private local stakeholders' interest on the same issue. Therefore specific indicators are, for instance, the existence of alliances between local government and local stakeholders (stated by agreements), public-private co-management of services, exchange of good practices, provision of private resources to public services.

Please, see the following chart for some of the main evidence concerning the process indicators arising from the projects.

Process indicators	Project evidence
(a) Inclusion of stakeholders in the policy-making process	**Latin America (waste)**: five municipalities included in the partnership network at local, national and international level; open workshops and public seminars and assemblies; formal inclusion of the informal workers in the waste cycle management (*Ceccarelli, 2013*). **DR of Congo**: Local management committee (LMC) driven by the Mayor of Kananga and including all local stakeholders and civil society representatives (monthly meetings to coordinate and organise waste management). Seminars involving the City of Kananga urban authorities (Mayors, traditional leaders, community chiefs, police commanders) (*Filippi, 2012; Quinci, 2013*). **South Africa (waste)**: formal inclusion of the informal workers in the waste cycle management. Waste workers' participation in a study tour in Italy (*Hugow, 2012; Rossignoli et al., 2012; Oxfam Italia, 2008-2012*). **South-Africa (HIV)**: Steering Committee including local health service representatives (*Ngare, 2013; Regione Toscana 2013*). **Bosnia-Herzegovina**: inclusion of local governments and key stakeholders in a formalised network; introduction of Community Based Management; creation of an action plan shared with 14 local stakeholders (*Manuelli et al., 2013; Oxfam Italia, 2013*). **All projects**: project objectives have always been formulated including the local governments as the direct implementer or project partner so that they were in the meanwhile beneficiaries and implementers. The projects have been presented to stakeholders and communities (including traditional chiefs where existent) before their start-up and participation actions have been implemented.
(b) Existence of the policy itself	**Latin America (waste):** Waste Strategic Plans, a set of rules (ordinances) aimed at regulating the whole waste cycle management (from collection, to treatment, disposal and commercialisation); formalisation of the Buenos Aires new waste management model, based on a regional structure (*Ceccarelli, 2013*). **South Africa (waste):** integrated waste management strategy involving CBOs; establishment of a Training Unit to support waste workers in starting-up their business (*Hugow, 2012; Rossignoli et al., 2012*). **DR of Congo:** introduction of tax collection for providing waste management services (*Filippi, 2012; Quinci, 2013*). **Bosnia-Herzegovina**: review of administrative procedures and programs for the support of SME development; strategy plan for the development of SMEs; establishment of business centres; platform for development of business incubators; restoration of buildings, acquisition of new equipment and innovative communication devices (*Manuelli et al., 2013; Oxfam Italia, 2013*).
(c) Activation of both vertical (inter-institutional) and horizontal (public-private) subsidiarity in order to ensure ownership and sustainability	*Vertical subsidiarity*: **Latin America:** inter-institutional exchanges in the partnership network (*Ceccarelli, 2013*). **South-Africa (HIV)**: seminar at Pretoria involving all institutional levels (National, Provincial, Local) (*Ngare, 2013; Regione Toscana 2013*). **DR of Congo**: Province of Kasai requested the project to participate in the elaboration of the provincial legislation on hygiene and sanitation; the head of the Division of the Environment of the Kasai Province included in LMC (*Filippi, 2012; Quinci, 2013*).

Process indicators	Project evidence
	Bosnia-Herzegovina: Herzegovina Neretva Canton undertaking a planning process with the support of the municipalities in their territories (*Manuelli et al., 2013; Oxfam Italia, 2013*). *Horizontal subsidiarity*: **Latin America**: signature of formal agreements between public institutions for the use of a treatment plant by bordering municipalities; public-private enterprise agreements for power provision (*Ceccarelli, 2013*). **South-Africa (waste)**: exchanges of experience were organised in and outside Guateng Province; inter-municipality synergy (*Hugow, 2012; Rossignoli et al., 2012; Oxfam Italia, 2008-2012*). **Bosnia-Herzegovina**: collaboration of actors from the same territory, with the purpose of supporting and stimulating the adoption, implementation and improvement of a local development policy (*Manuelli et al., 2013; Oxfam Italia, 2013*).

Chart 4 – *Evidence concerning the process (Source: Oxfam Italy)*

In brief, the evidence on the side of the policy-making process is as follows:

1) the creation of a legitimated policy-making process, proved through adoption during the project implementation of strategic plans, bodies of rules, ordinances, official circulars;

2) the creation of inter-institution alliances to support the vertical subsidiary and the creation of public-private partnership to support the horizontal one;

3) the reinforcement of civil society's capacity and awareness of how to "make a difference" in the policy-making process (stakeholder inclusion).

Furthermore, it is important highlight two elements of social capital: (1) the cooperation between local government of different countries and (2) the exchange of experience between local governments of the same State. Two relevant indicators of the sustainability.

Besides this positive evidence, the projects analysis also shows some **weaknesses** that need to be considered in order to make the OIT strategy more effective.

In South-Africa and Latin America, the inter-institutional fragmentation hampers the achievements of relevant results in the leverage action of LG towards higher institutional levels. The spoil system and the consequent rapid turnover of civil servants, compromise the good results achieved by all projects with capacity building actions in Latin America, South-Africa and the DR of Congo (*Filippi, 2012*).

The absence of a serious taxation policy and the deficiencies of redistributive systems as well as the lack of citizen awareness about the principle of paying tax as a condition to obtain services, undermines the financial sustainability of the services created during the project implementation.

Finally, an overall consideration concerns the duration of the projects. The satisfactory ownership level observed in the projects is a promising factor for the continuation of the policy-making process. Nevertheless, the average time of three years for projects does not ensure a real consolidation of the policy.

4. Oxfam Italy's Intervention Strategy

Originating from the Green's assumption that active citizenship and states should work together to tackle poverty and inequality (social change), the purpose of OXFAM Italy work is to the change of the country policies to make the State more efficient. Because the sub-national and local authorities are part of the State, influencing the sub-national policy contributes to the building of effective State.

Therefore, in OIT's vision it's crucial to promote actions oriented: 1) to make the civil society an "active citizenship" (participation); 2) to influence sub-national policy change (through capacity building and institutional strengthening); 3) to build a bottom-up process of policy-making to trigger political leverage, that is raising local issues to the higher institutional levels to obtain resources and well-addressed national policies.

The OIT intervention strategy is a result of years of in the field work. Shared experiences and knowledge with private and public partners directly and indirectly contributed to the strategy design. For instance, the presence of the Region of Tuscany and the local stakeholders in three of the five projects, surely contributed to the design of the intervention approach, notably, with regard to network and inter-institution partnership building.

Moreover, there are some other important context variables that seem to have influenced the OIT intervention strategy.

The five projects operated in low-middle income contexts, where pockets of underdevelopment and poverty persist. All the projects addressed local issues, and four of them specifically addressed urban topics. In these contexts the general livelihood conditions of the people are strictly related to local issues. For instance, fast urban growth entails the crucial issue of informal workers and their marginalisation, which causes potential social conflict. Likewise, the lack or deficiency of basic local services (e.g. power and water provision, waste collection, sanitation services) in rural poor areas and in non-regulated urban areas stress the social inequality and increase the mistrust in government ability.

Considering that local issues are strictly related to a specific territory and to local communities, one of the features of the OIT strategy is to operate at the **local level**, in order to build or reinforce the "social contract" between public institutions and citizens.

A second variable is that the five projects operated in developing countries with fledgling **democratization**[9] processes where the national level, in spite of poor economic conditions and structural limitations, set up a **decentralisation** process to ensure vertical subsidiarity. In some cases this decentralisation process is still fragmented and not well-structured, entailing at local level an inadequate capacity to implement policy concerning multi-dimension issues, lack of inter-institutional links or overlap of institutional responsibilities, as well as lack of technical know-how and technology. In that regard, Green itself (2012, p. 80) clearly argues that "local governments, particularly in poor areas, often have neither the money nor the technical expertise to provide quality services". This creates a large **gap** between the policies and strategies decided at national level and implementation at local level. The gap in turn leads to inequality and disempowerment in the poorest and more marginalised areas. As Green (ib.) clearly states "*decentralisation that assigns responsibilities without matching them with resources undermines the redistributive role of national public spending and may increase inequality, as rich areas find it far easier than poor ones to raise revenue from their inhabitants*".

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[9] Including human rights promotion.

Nevertheless LG has undoubtedly a potential high leverage towards higher institutional levels and may provide a crucial contribution to filling that gap. According to the vertical subsidiarity principle, because of their closeness to people's endeavours, discontent and civil society pressures, local institutions are generally much more responsive and motivated to address local issues. Likewise, local governments, because of their demonstrated potential to leverage possible solutions to higher institutional levels, are the most suitable level to undertake a policy-making process. Considering this point as an important asset, the OIT intervention strategy considers LG the most effective **entry-point** to support a lasting development process and all the five projects rely on the involvement of local governments, both northern and southern, as direct implementers and/or project partners.

A third variable is related to the fact that, as said, local issues are strictly related to a specific territory and to the local level. Therefore tackling them, according to the principle of vertical subsidiarity, requires the design of local public policies.

The five projects unequivocally indicate that the primary component of the OIT strategy is to support the **policy-making** processes. For instance in Latin America and South Africa, the projects highlighted the added value for local governments in addressing the waste issue as a "policy" not only from the environmental point of view, but also by considering the social and economic issues related to crucial actors (the informal waste workers, etc.).

At the same time, in Bosnia-Herzegovina the project was able to persuade local governments to address the small and medium enterprises issue through an integrated policy approach (local development planning).

Moreover, in order to ensure sustainability and ownership of the policy, the OIT strategy promotes a **bottom-up** approach (that is, a process that originates from the local institutions) and a **participation** process involving key stakeholders and civil society.

In this framework, OIT takes the role of an active partner of public institutions in defining public policies on the basis of the assumption that the improvement of livelihood conditions and the defence of basic human rights are strictly correlated to an efficient and effective management of public resources (policy-making) and to an active involvement of civil society. In other words, the OIT strategy addresses local issues, operating at the local level alongside local institutions to build bottom-up and participatory policy-making processes.

Specifically, the OIT approach aims at providing local partners with technical assistance in supporting the bottom-up policy-making processes and in building networks and partnerships for activating vertical and horizontal subsidiarity.

Considering these primary aspects, the OIT intervention strategy relies on three recurrent components: capacity building in order to strengthen the local institutions' (and in some cases key stakeholders) technical capacity both in managing the policy-making process and providing services; participation, in order to enhance civil society's awareness and capacity to actively contribute to the policy-making process; institutional brokering and networking to include all the relevant stakeholders in policy-making and to activate horizontal subsidiarity.

The following chart provides the specific features and related evidence of the three components of the OIT intervention strategy.

Strategy components	Features and relation with evidence/achievements
(I) Capacity building for local governments in order to reinforce political and technical competences	The five projects implemented a strong action of capacity building, in order to strengthen the local institutions' capacity, both at a political and technical level and then make a contribution to filling the above-mentioned gap between national policy design and local implementation. Training, study tours, handbook elaboration, exchange of experiences and good practice between northern and southern institutions, and visit tours by international technicians were the specific actions of this component. Without capacity building actions, new waste treatment plants (*Hugow, 2012; Rossignoli et al., 2012*) would not have been built (Latin America, South Africa) and new opportunities for small and medium enterprises would not have been created (Bosnia-Herzegovina) (*Manuelli et al., 2013; Oxfam Italia, 2013*); without the improvement of institution officers' capacity, the strategic plans, the bodies of rules (ordinances, permits, etc.) for regulating waste collection (Latin America and South Africa) or health care centres (South Africa) would not have been possible (*Ceccarelli, 2013*); without the specific training addressed to informal workers, their formal inclusion in the waste management, and the legalization of their status, would not have been achieved. The improvement of the capacity of the institutions increased the efficiency and effectiveness of the policies and helped to consolidate (or create) the "social contract" which is the base element to legitimate the public intervention and the role of regulator and provider of basic services.
(II) Participation, as a key factor of the policy-making process	The five projects implemented several actions in order to enhance civil society awareness of and participation in the policy-making process. Relying on the consolidated experience of OIT in mobilizing local stakeholders, awareness campaigns, public assemblies, public workshops, seminars, training for school students and households, national and international study tours involving key stakeholders, and structured local committees including community leader and private sector were organized. Structured participation interventions ensured the activation of civil society and the creation of participatory local policies in the five projects. For instance, the new regulation on waste collection in South Africa (*Hugow, 2012; Rossignoli et al., 2012*) and Latin America, where the involvement of the households was crucial in order to improve the separated waste collection (*Ceccarelli, 2013*). In South Africa again, the actions of awareness on HIV prevention were successful in involvement of male sexual partners and in reducing the negative stigma surrounding the issue as well as in promoting an effective dialogue on social and cultural norms and practices that fuel HIV and AIDS (*Ngare, 2013; Regione Toscana, 2013*). In Bosnia-Herzegovina the participation action directly involved the SMEs in the local development planning as well as ensuring their direct contribution to enlarging markets and partnerships at national and international level (*Manuelli et al., 2013; Oxfam Italia, 2013*). Essentially, the participation actions were successful in envisaging a direct interest for the stakeholders to contributing to the policy-making.

Strategy components	Features and relation with evidence/achievements
(III) Institutional brokering and networking	The complexity of the local context and the specific issues which the five projects addressed entail a wide policy governance which involves both vertical and horizontal levels. At vertical level local institutions (municipalities) as well as regional, national and international ones (Ministries, Provinces, European project partners) are involved. Horizontally, local communities (citizens, households, students, traditional leaders, enterprises, civil society associations, etc.) are involved. The institutional **brokering** in the five projects consisted of both attracting potential partners to the projects (local, national, international) and being able to envisage the advantage for each key stakeholder. The main result of this action was the creation of significant networks of partners which supported the project implementation through exchanges of experience, good practices, direct contribution, know-how, and inter-institutional exchange. The analysis of the five cases shows that the exchanges between partners have been continuously encouraged by OIT (**networking**) as well as the creation of alliances in order to improve efficiency and effectiveness. The presence of these networks encouraged the creation of partnerships (SMEs in Bosnia Herzegovina), public-private agreements (waste treatment plants in Latin America) (*Ceccarelli, 2013*), exchange of technical expertise (waste cycle management in South Africa (*Hugow, 2012; Rossignoli et al., 2012; Oxfam Italia, 2008-2012)*, HIV prevention and care in South Africa again (*Ngare, 2013; Regione Toscana, 2013*), Centre for small entrepreneurs in Bosnia Herzegovina) (*Manuelli et al., 2013; Oxfam Italia, 2013*).

Chart 5 – *OIT intervention strategy components (Source: Oxfam Italy)*

If these are the key elements of the OIT intervention strategy, the project analysis shows that some essential **conditions** must be granted in order to ensure the effectiveness of the strategy.

The first condition is a **deep knowledge of the local environment** (**rooting**) in order to properly identify problems and ensure an active key stakeholder participation. In the projects analysed, this condition has been fulfilled because of the good general knowledge of OIT of the intervention countries[10] and because a preliminary preparation phase was carried out (baseline study and a stakeholder analysis).
The rooting and background knowledge also seem to be important to **legitimate** the OIT intervention towards other local, national and international partners. At the same time these elements ensure the successful role of broker played by OIT.

A second essential condition seems to be the **time** dimension: the approach addresses the policy-making dimension and the participatory process. Both of these elements require a medium to long term period of intervention to achieve concrete results in "changing the livelihood conditions". Four out of the five projects were conceived in a multi-annual framework, where previous actions had been undertaken on the same or similar issues. The Urbal-III Program in Latin America started in 1995, Netsafrica started in 2008 and SeeNet (Balkans) in 2007, several years before the start-up of the projects analysed, which widely benefited the already existent networks and practices. Time is also an essential condition to allow a successful brokering action: meetings, workshops, forums, individual contacts with key stakeholders, involvement of public institutions (with their bureaucratic procedures); all of this is consistently time-absorbing, as stated by all the key informants.

A third condition seems to be the existence of an institutional framework. In all the countries touched by the five projects, a **decentralisation** process was ongoing and even if the local institutions are still fragile, they have however the mandate and the institutional power to take

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[10]   Four out of the five projects were a part of a wider program (or were the follow-up of a previous project).

decisions and undertake a policy-making process on local issues. On the other hand, in all the countries an overall **legislation** framework on the issues addressed by the projects was already elaborated by the national level of government, so that the project intervention was legitimate to support the implementation of specific actions on these issue.

5. OIT's Experience Capitalisation: the Repeatable Elements of the OIT Strategy

Because the main objective of this work is the capitalisation of OIT's intervention strategy, a part of the investigation has been aimed at revealing those elements that make the strategy repeatable.

The OIT intervention strategy benefited from some favourable circumstances, such as the commitment of Italian national local government (e.g. Region of Tuscany, Municipality of Arezzo), the presence of consolidated stakeholder networks (e.g. the network of the Urban III Program, the Netsafrica Program and the SeeNet Program), the existence of programs concerning the issues that the projects addressed.

Apparently these specificities could represent a bound forward for strategy capitalisation and repeatability. Nevertheless, the project analysis reveals a set of recurrent points that consolidates the strategy and may be repeated in further experiences.

The five projects have a governance structure and some implementation arrangements which have been influenced by the context, the issues addressed, and the nature of the partner network. However, the presence of a sort of **operational secretariat**[11] (OS) is a recurring element proved to be essential for the successful implementation of the projects. This function was served by OIT and consisted of providing the projects with qualified staff, organisational arrangements, methodological instruments and, more generally, qualified technical assistance.

In the five projects OIT took over the OS responsibility, staying in the background rather than playing a role as a leading actor. OIT acted in the guise of watchdog for implementing the same strategy in all the countries involved.

The operational secretariat was able to create a space where the stakeholders were encouraged, supported and ultimately reassured by a system of shared and known rules in creating synergies and development opportunities. The OS also provided specific know-how in carrying out participative methodologies which were essential for civil society mobilization.

OIT, through the OS, essentially supported the local governments and stakeholders in undertaking the policy-making process and to this end it has built partnerships with northern and southern local government and has worked alongside them. In some circumstances this position legitimated the OIT intervention as a "third party" or a "neutral" actor intervention in the policy-making process, but it was the bearer of technical competences and practical arrangements which were crucial to attaining achievements.

According to the final evaluation of one project (SeeNet), if the stakeholder partnership was the binding agent of the projects in facing implementation impasses, the OS was the cement of the partnership, keeping it coherent and focused on the Program objectives. The presence of the OS represents a model to repeat in similar programs, also attributing to it the monitoring and capitalisation duties.

On the operational side, the OIT through the OS provided the local partners with qualified technical

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[11]   In the five projects this function has different names but the same content and features.

assistance which supported the public institutions in elaborating official documents (plans, regulations, etc.), in procurement procedures, and in drafting partner agreements. Furthermore, it coordinated the presence of international experts in local contexts to ensure the application and transmission of innovative methodologies. In brief, the OS ensured the best conditions for achieving the sustainability of the process.

Finally, through the OS, the OIT **brokering** and networking actions were legitimate towards the project partners as well as the local stakeholders: the continuous action of stimulating the creation of partnerships and collaborations were perceived as an added value by the target groups and by the beneficiaries. At the same time, through the technical assistance at operational level, OS acted as a concrete **facilitator** during the implementation, providing adequate operational arrangements.

The OS has been successful also for the presence of an OIT **appropriate staff**. Ambler states the need "to staff our offices with people who have the sophistication and local knowledge to understand power dynamics and effective points of intervention on a particular issue. We need to have the skills resident to carefully assess the strengths and weaknesses of the current actors in local civil society, in order to make informed choices about the agendas we choose to support, and those we choose not to" (*Ambler, 2011 – Discussion paper*).

In this direction, OIT ensured qualified staff in all the projects, aligned with the OIT strategy and able to carry out "brokering/networking". The project managers dealt with the local partners on a day by day basis and worked alongside them, continuously stimulating local partner responsiveness and ownership.

Therefore, the OS is a primary element that could be repeatable in future experiences. However the governance structure of the projects has also been characterised by the wide range of international partners, namely northern local governments and **technical partners**.

The capacity building was a core element of the project strategy and it was implemented through the qualified participation of specialized partners such as CISPEL, Cooplat, Toscana Promozione as well as OIT itself with regard to the participative and local development planning processes. The qualified expertise of these technical partners was essential for the successful capacity building action and the know how transfer in all five projects.

The institutional support ensured by Italian local and regional governments was also an element of the projects in order to provide the local institutions with administrative, normative and policy-making support. Therefore the selection of qualified technical partners could be considered a second important element of repeatability.

The structure of governance in some projects caused delays (MATCH) but in others it ensured a successful **flexibility** in cases of implementation paralysis (*Ngare, 2013*). An emblematic example is the case of the Municipality of Lazarevac (SME project in Bosnia Herzegovina), where political turnover initially entailed a stoppage in collaboration with the regional SME centre. Putting the new political representatives in contact with other representatives of the 3B Action partners was the keystone to overcoming this. Likewise, the drawn-out government crisis in Zenica-Doboj delayed the implementation of the local development policy. In this case, the 3B Action management stressed the relationship with the local associations in order to ensure the prosecution of activities (*Manuelli et al., 2013; Oxfam Italia, 2013*).

A third recurrent element of the strategy is the involvement of the local stakeholders. **Governance through partnership**[12] was the slogan and the underlying theme of the five projects (*Manuelli et al., 2013; Oxfam Italia, 2013*).

The projects involved stakeholders in two ways: as direct partners of the project or as target groups/beneficiaries. In both these ways the OIT strategy was successful in ensuring their active

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[12]   Definition extracted from SeeNet 3B Action final report.

participation in policy-making.

The local partners of the projects were formally and concretely involved in the direct implementation through the signature of a Memorandum of Understanding (MOU). They contributed to the preliminary actions, and in some projects to the identification phase. This direct involvement of municipalities and, sometimes, of provinces and regions was a key to success in undertaking the policy-making processes.

The stakeholder involvement is a direct result of the brokering activity of OIT and, notably, the capacity to envisage for each stakeholder a concrete advantage to participate and to identify its best contribution to the implementation of the projects.

The broad networks created at national and international level in four of the five projects were a direct result of the brokering action. The signature of specific partnership agreements, the inter-change of good practices, the transfer of know-how, the institutional debates within the Italian local governments and the local governments involved in the projects were the fruits of networks and were essential factors in achieving the most significant results of the projects.

For instance in Latin America, the project approach was based on vertical and horizontal partnerships among partners and worked to stimulate synergy and then to encourage new ideas, practices, and methods (*Ceccarelli, 2013*). To this end, a lot of activities were supported and promoted by the project: thematic seminars, inter-country workshops, study tours, invitation of experts to public assemblies.

As a results of this synergy, the municipalities were able to elaborate Strategic Plans or at least some sets of rules (ordinances) concerning waste management. They also could improve their technical know-how in order to increase the efficiency of the waste cycle management as well as to innovate in relation to the waste economic structure. In fact, they introduced the commercialisation of recyclable waste and legally included the informal waste workers in the waste cycle treatment.

In some cases, the network included different institutional levels, that is Ministries, Regions and Provinces and this allowed the inclusion of the local issue in the national policy agenda. In some other cases, the partnership involved not only a classical decentralized cooperation action (north-south), but also an horizontal interchange between countries sharing similar problems in similar contexts (south – south) and this has been really fruitful in terms of the capitalisation of the innovative methodologies as well as providing technical assistance during the project implementation.

Other local stakeholders were involved as target groups or direct beneficiaries. Households, students, informal workers, traditional leaders, health workers, women living with HIV, small and medium enterprises as well as civil society associations in general played an active role in all five projects. Their direct involvement ensured the start-up of local policies. Student school training, educational campaigns, communication devices, door-to-door awareness actions, open workshops, education days, and public assemblies were key factors both for improving public awareness and guaranteeing the attention and support of civil society to the issue.

The results achieved by the projects are also based on the creation of diversified networks of stakeholders: long-networks including international and multi-country partners; local(short)-networks including local partners; vertical networks including inter-institutional levels of government (from local to national) as well as horizontal ones, including public and private partners interested in the same issue.

These networks stimulated both vertical and horizontal subsidiarity. For instance in South Africa (waste and HIV care centres), the activation of the local communities and the traditional leaders alongside the local governments improved the waste collection service and the quality of HIV prevention (*Regione Toscana, 2013*). Likewise, the SMEs project is a good example of activation of

horizontal subsidiarity because public and private partners worked alongside each other in order to elaborate a shared integrated plan of local development (*Manuelli et al., 2013; Oxfam Italia, 2013*).

Therefore a third element of repeatability of the OIT strategy is the creation of stakeholder networks and the actions to stimulate an inter-change between the network participants.

In brief, there are at least these **recurrent and structured elements** that could make the OIT strategy repeatable: the establishment of an operational secretariat able to carry out brokering/networking and play the role of facilitator, the inclusion of qualified technical project partners, the selection of competent staff, the inclusion of local institutions in the project as partners and direct implementers, and the creation of wide stakeholder networks.

Beside these elements of the strategy, the project analysis also highlighted the existence of a set of recurrent operational instruments that can represent an OIT intervention **toolkit,** which has been crucial for the quality of project results. The instruments are:

1) the realisation of baseline studies to identify and define the specific issues the project should address;
2) the sharing of the baseline study between the project partners to ensure convergence on the same objectives;
3) the realisation of a stakeholder analysis to cluster them on the basis of their interests, features, and position in relation to the project;
4) the signature of agreed Memoranda of Understanding by partners, in order to avoid overlaps and misunderstandings concerning roles and the contribution of individual partners;
5) the project presentation to the local stakeholders before its official start-up, in order to capture their attention on the project;
6) a capacity building action mainly based on documents and physical devices in order to ensure dissemination to other beneficiaries (to avoid the bad effect of a spoil system).

This **toolkit** represents a further element of repeatability of the OIT intervention strategy.

6. Conclusion

The first objective of this work was systematising and capitalising Oxfam Italy's (OIT) intervention strategy in developing countries, in order to make it knowable and repeatable within the Oxfam confederation.

The analysis clearly shows the important evidence of the OIT's strategy contribution in tackling local issues and in improving the livelihood conditions of the local communities involved in the projects. In Latin America (*Ceccarelli, 2013*), South Africa (*Hugow, 2012; Rossignoli et al., 2012*) and the Democratic Republic of Congo (*Filippi, 2012; Quinci, 2013*), informal waste workers have gained a formalised status and waste treatment services have been improved or introduced, so reducing the risk related to poor hygienic and sanitary conditions. In South-Africa rural communities are benefiting from a more effective health service for HIV-infected mothers and infants (*Ngale, 2013; Regione Toscana, 2013*). In Bosnia-Herzegovina SMEs benefited from start-up services, business centres, and exchange of good practice and new jobs were created as well as new trade in national and international markets (*Manuelli et al., 2013; Oxfam Italia, 2013*).

In the five project contexts, civil society awareness on rights and its participation capacity were increased through structured actions. The local institutions strengthened their political and technical capacities due to the project capacity building actions. The analysis also shows that OIT's strategy has been successful in working alongside local institutions in order to stimulate

bottom up and participatory policy-making processes. Notably, the OIT's strategy considered the local governments as an entry-point for its intervention, which has proved to be a strong point which of the strategy.

In this framework, OIT takes the role of an active partner of public institutions in defining public policies on the basis of the assumption that the improvement of the livelihood conditions and the defence of basic human rights are strictly correlated to an efficient and effective management of public resources (policy-making) and to an active involvement of civil society. In all five projects, process indicators show that local stakeholders have been successfully included in the process, that the policies have been really undertaken (and after some time raised from local to national level), that vertical and horizontal subsidiarity have been triggered.

The OIT's intervention strategy to attain these achievements has relied on providing local partners with technical assistance in order to support bottom-up policy-making processes and building networks and partnerships for activating vertical and horizontal subsidiarity. To that end the OIT strategy focuses on three main components: 1) the influence of local and sub-national policy change by capacity building actions; 2) the enhancement of civil society awareness, through participation actions; 3) the continuous involvement of stakeholders and project partners as well as the promotion of information and good practice exchanges, through the creation of very well-connected networks and a constant action of brokering and networking.

These actions aim at removing bottlenecks constraining the enhancement of individual capabilities and agency by acting on contextual conversion factors (*Robeyns, 2005; Deneulin, 2008; Frediani, 2010*) and institutional capacities of local governments.

OIT have acted in the background rather than as a direct implementer which has proved to be a second strong point of the strategy. OIT has been legitimated by local stakeholders for its "neutrality" and for being a bearer of technical expertise. The OIT staff were selected, paying specific attention to this feature.

In regard to the strategy capitalisation, the elements which could ensure repeatability in future action are: the establishment of an operational secretariat able to implement brokering/networking and play the role of facilitator, the inclusion of qualified technical project partners, the selection of competent staff, the inclusion of local institutions in the project as partners and direct implementers, and the creation of wide stakeholder networks. The analysis also revealed a set of recurrent operation instruments, which represent an actual OIT toolkit.

In regard to the OIT's strategy coherence and contribution to the Oxfam theory of change, the evidence drawn from the case-analysis prove that OIT is strongly committed to the theory of change and that its intervention goes in the direction of supporting both civil society to be "active" and states to be "effective" to ensure better livelihood conditions for people.

Ambler states that "*our different affiliate perspectives on civil society should add richness to the analysis that was sometimes lacking before SMS*" (*Ambler, 2011 – Discussion paper*). Therefore, the additional contribution of OIT to the theory of change is the importance of putting the local governments as an entry-point for the process to tackle local issues. In the five projects the central role of local government has been a real success in the achievement of positive results.

The assumption is that local issues should be confronted through a policy approach, that is, a comprehensive strategy involving actions at different levels and different stakeholders. In this framework local government is crucial because it has the potential power to undertake policy through strategic planning, service delivery, regulations and to leverage higher institutional levels (vertical subsidiarity). At the same time, the OIT strategy considers civil society as a pillar of the policy-making process that could provide support and resources to local government in implementing policies (horizontal subsidiarity).

Essentially, OIT's strategy refers to local government as an entry-point in the local context and aims at reinforcing the LG capacity so that the "social contract" envisaged by Green should be signed.

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ACKNOWLEDGEMENT

This analysis has been possible through the support provided by the OIT staff as key informers, notably (in alphabetic order): Sara Albiani[13], Mario Biggeri[14], Sibilla Filippi[13], Andrea Ferrannini[15], Benedetta Gualandi[13], Angela Pinna[13], Silvia Testi[13], Francesco Torrigiani[13], Rasim Tulumovic[13].

Finally, thanks to Elisa Bacciotti[13], Roberto Barbieri[13] and Sorinel Ghetau[13] for giving us the opportunity to carry out this work and for their attention to the achievements.

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8. Annex

FOREWORD

The case-studies reported in the following pages have been carried out through a sound document review and interviews to key informants.

Notably the documents are: project application forms, intermediate and final activity reports, ROM reports, intermediate or final independent evaluations.

The key informants are members of Oxfam Italy staff and in specific are (in alphabetic order):

- Sara ALBIANI
- Sibilla FILIPPI
- Benedetta GUALANDI
- Angela PINNA
- Silvia TESTI
- Francesco TORRIGIANI
- Rasim TULUMOVIC

The case analysis focuses on the specific objective of marking out the features of Oxfam Italia intervention strategy and of providing the evidence of its effectiveness. For this reason the case-study it not exhaustive and do not focus on some other relevant aspects, for instance the possible project follow-up or the view on the operational arrangements.

The case-studies are as follows:

1) **Latin America**, La Barusa Sirve. Part of the Urbal-III programme. Topic: waste management. 2009-2013;

2) **South Africa**, Waste Community Based Organisation (CBOs)/Coops in Ekurhuleni. Part of the NetAfrica programme. Topic: waste management. 2010-2013;

3) **South Africa**, Maternal and Child Health: Local Authorities and Decentralization of services in SADC. 2011-2014 (ongoing);

4) **Republic Democratic of Congo**, Strengthening Decentralized Territorial Entities (ETDs) and Local Associations ETD in the Management of the Local Health Service and Sanitation of the City of Kananga, Topic: waste management. 2011-2013;

5) **Bosnia Herzegovina**, Strengthening the System of Small and Medium Enterprises (SMEs) – Part of the SeeNet 2 Programme. Topic: economic and local development. 2009-2013.

9. LA BASURA SIRVE

Case-study by Giulietta Delli - July 2014

GENERAL INFO

Title	**Waste is Useful: Waste Reduction and Recycling and Environmental Awareness to Build Social Cohesion in Latin America** (in Spanish: *La Basura Sirve: reducción, reciclaje, recuperación de los residuos y sensibilización medioambiental para la construcción de cohesión social en américa latina*) - Part of URB-AL III Programme
Location	America Latina (Argentina, Chile, Ecuador, Peru)
Budget	2.401.544,17 euro (79,5% co financed by UE)
Date	from 2009 to 2013 (as follow-up of DesUrbal III 2006-2008)
Contracting Authority	European Commission
Contract Beneficiary	Municipality of Arezzo (It)
Partners	Municipalities of: Lille Metropolle (Fr), Arica (Ch), Cuenca and Lago Agrio (Ec), General Pico and Tres de Febrero/Buenos Aires Province[16] (Arg), Santiago de Sur Peru) Oxfam Italy (technical coordinator)

PROJECT OVERVIEW

The Basura Sirve project was conceived in the framework of the Urb-Al III Programme, of which main objective was the reinforcement of the intra-territorial partnership between local institutions and non-state actors. Intra-territorial partnership focuses on spurring inclusive partnership based on a participatory process, mutual accountability, multi-dimension and multi-actor relations, ownership and harmonisation with national development policies.

The project addressed the urban environmental issue of the waste cycle management and the project design consisted in supporting a policy-making process oriented to social cohesion[17]. The project intervention strategy was focused on some dimensions of waste policy which, according to previous analysis, have been proven to be crucial for policy effectiveness:
1) institutional strengthening;
2) promotion of social inclusion and active citizenship (more participation, increased identity, lower social conflict, etc.);
3) to improve the technical and organisational management of the waste cycle.

Waste management in Latin America urban contests is a serious and challenging issue, essentially due to the impact of the rapid population growth (people flows from rural to urban areas) and the lack of integrated and sustainable waste management (collecting, treatment, disposal and

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[16] The Buenos Aires Province took over from the Municipality of Tres Febrero during the project implementation.
[17] Speaking of "social cohesion" the project refers to horizontal social processes based on an aggregate of equality, recognition (legitimation), participation, identity principles, to which a multitude of stakeholders take part (such as local governments, civil society associations, entrepreneurs, citizens, etc.).

recycling). At the same time, in these contests, recyclable materials such as paper, cardboard, cans and metal represent the only revenue for millions of people (*recicladores*, i.e. waste pickers) who are mainly informal-not recognised workers and marginalized by the rest of population. For this reason the waste issue has also a strong impact on social cohesion in urban contests.

In Latin America, environmental policies are relatively new and, at the same time, the institutional framework is quite recent, which means: vertical policy fragmentation due to a not very well-structured decentralisation process; inadequate capacity at local level to implement policy concerning multi-dimension issues; lack of technical know-how and of technology.

Moreover, civil society awareness of its potential role in policy-making is definitely poor; the same is true for the strategy to influence the decision-making process. Participation is a widespread practice in Latin America, nevertheless it is still problematic in some areas, mainly because citizens don't have enough access to information; the participation processes, in some situations, don't ensure equity and transparency and people often are not able to give an active and constructive contribution.

In this framework the project aimed, as general objective, at promoting social cohesion and, in specific, at spreading a new environmental people awareness as well as at introducing/improving an integrated waste cycle management.

The project addressed the dimensions above-stated and, specifically, it was developed in the following **components**:

1) institutional reinforcement, inter-institutional exchanges and experience capitalisation: project design focused on reinforcing partnerships both in the vertical direction, that is between provincial, regional and national levels, and in the horizontal one through partnerships with local institutions and stakeholders (civil society associations, waste workers, small entrepreneurs, etc.); the project was oriented to encouraging the capitalisation of experiences of two successful models of waste management (Santiago de Surco-Peru and Cuenca-Ec) for improving waste management and social cohesion;

2) actions for improving social cohesion and citizen awareness on their capability to make a difference in waste management (e.g. separate collection of household waste) and for increasing the participation of local stakeholders in the decision-making process concerning the local waste policy;

3) organisational and technical reinforcement of local institutions (capacity building): project aimed at providing the local institutions with technical knowledge and new equipments in order to improve the efficiency and the effectiveness of the waste cycle management, also through new organisational practices.

The **direct beneficiaries** of the project were**:** waste workers (informal or independent sorters), city-owned enterprises, students, households, local institutions (political and technical level), policy-makers at local, regional and national level. The **final beneficiaries** were the 800.000 citizens of the five local municipalities partners of the project (Arica-Ch, Cuenca and Lago Agrio-Ec, General Pico-Arg, Santiago de Surco-Peru).

PROJECT RESULTS AND MAIN EFFECTS ON THE BENEFICIARIES

The overall results of the project have been: 1) the improvement of the urban quality through the improvement of waste collection and treatment, 2) an increased "environmental awareness" and participation of the population and 3) a reduction of social potential social conflicts through the formal inclusion of some marginalised groups (informal waste sorters) in the social-economic structure. The specific achievements of each component are as follows:

Component 1: the five municipalities have been included in a partnership network which included municipalities of other countries, Ministries of Environment, Ministries of Economy, research institutes, European local governments, civil society associations. This partnership network

allowed the five municipalities to have a constant exchanges in order to traduce the waste issue into a real policy-making process both at local level and at national one. At local level the first results were the Waste Strategic Plans, the set of rules (ordinances) aimed at regulating the whole waste cycle management (from collection, to treatment, disposal and commercialisation), the agreements with other public and non-state stakeholders in order to make the waste treatment more efficient. A second result was the adoption of the more advanced models of waste management of Surco and Cuenca in other municipalities. A third result was to stimulating the municipalities to adopt social cohesion strategies, including in their local policies some specific actions to improve the status of the waste workers. At regional and national level the project allowed the formalisation of Buenos Aires new waste management model, based on a regional structure and in Peru the new national law concerning the waste workers was immediately enforced by the Municipality of Surco due to the presence of the project.

Component 2: the general objective concerning the social cohesion has been achieved, because the actions of the project aimed at increasing social inclusion and citizen awareness have really reduced the emerging social conflict between informal sorters and households. The promotion of environmental awareness actions, the open workshops, the public seminars and assemblies as well as the educational campaigns for school students and households provided citizen with the essential information to better facing the waste management and to weighting in the decision-making process. For instance, most of the municipal Waste Strategic Plan have been adopted through a participatory process; the separate recyclable waste collection has significantly increased after the training to households and school students. At the same time the formal inclusion of the informal workers in the waste cycle management achieved two results: the informal workers now are legal and their social and economic contribution has been recognised by the local communities; the cycle management improved in efficiency also thank to their direct contribution.

Component 3: in each partner municipalities both the technical know-how of officials and the infrastructures were improved. New treatment practices were introduced, such as an underground collection plants to enhancing the hygienic conditions of people living around the collection point or the mill to grind plastics. The inter-institutional exchanges in the partnership network allowed a direct contact between officials of the municipalities, technicians and experts both national and international in order to improve the waste cycle management. The project also provided resources for the structural renovation of the existent treatment plants and to improve their productivity (introducing machineries for recyclable waste sorting, treatment and commercialisation). These actions attained important results, namely the increase of the recyclable waste treatment. At the same time waste workers after the project gained more hygienic work conditions and got new equipments.

The following chart 1 provide a schematic view for each component of the actions done, the main project outputs and the main results achieved.

Chart 1 – Actions, Outputs and Results of Each Component of the Project

	Actions	**Outputs**	**Results**
Component 1 – Institutional reinforcement and interchange	Territorial workshops Seminars Experience interchanges Capitalisation of Surco and Cuenca models	250 participants (civil servant of local and national institutions of Perù, Ecuador, Argentina e Cile)	Waste management issue included in political agenda (Strategic Plan and Programme of waste management, including social cohesion aspects, Ordinances and set of rules)

	Actions	Outputs	Results
Component 2 - Social inclusion and active Citizenship	Environmental training for school students, teachers and households in marginal urban areas Environmental awareness campaigns (school and household); spreading of 30.000 leaflets Workshops for discussing the new Waste Strategic Plan Public assemblies on waste issue open also to the informal workers *Mingas*[18] and education days door-to-door actions for increasing household awareness on waste collection (Surco) Rutas Verdes and Punto Naranja (Surco)	300.000 direct beneficiaries involved 23 schools and 48 teachers (a Cuenca) 6 weekly *mingas*[3](Cuenca) 3 waste workers associations (2 at Cuenca and 1 at General Pico) 4 waste workers cooperatives (3 at Cuenca and 1 Lago Agrio) 230 waste workers formally integrated in municipal waste cycle management 278+376 children involved in "Days of environmental" (Lago Agrio) Establishment of a "House on Environment" for training initiatives 3000 households involved (Surco)	Increased citizen awareness and participation to decision-making process Social inclusion of informal workers (legalization of informal workers through their formal integration in the waste cycle management: creation of sorter cooperatives) Separate waste collection enlarged to the whole city (General Pico)
Component 3 Technical and organisational management (capacity building)	Training of civil servants on waste cycle management (organisational models, economic sustainability, technical solutions) Interchange of experiences and know-how Purchasing of new machineries for recyclable waste sorting, treatment and commercialisation Purchasing of new technical equipment	New machineries for recyclable waste sorting, treatment and commercialisation New technical equipment New treatment practices (Cuenca, through the EMAC Strategic Plan or e.g. a Surco an underground collection plants to improve the hygienic conditions of people living around the collection point or the mill to grind plastics) Structural renovation of existent treatment plants New Waste Treatment Plant design (participated) a Lago Agrio Introduction of safety devices and hygienic rules in collecting activities	Increase of productivity of the treatment plants Decrease of not treated waste brought in landfill Increase of separate recyclable household waste collection (from 12tn to 90tn monthly at Cuenca[19] and from 1,6tn to 3,1tn monthly a General Pico) and, as a consequence, lower operating costs of the landfill and longer landfill life (Arica, ….) Improved work conditions of waste worked (and, as an indirect consequence, reduction of potential social conflict and marginalisation)

The following chart 2 provides a schematic design of the situation of the five municipalities before and after the project. This table shows with evidence that the starting point of the five municipalities

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[18] Community voluntary work.
[19]   From 35% to 56% of the whole collected household waste.

were quite different: Cuenca and Santiago de Surco already had a waste policy and specific models of waste cycle management. General Pico and Lago Ario were less advanced and, finally, Arica was at the early steps to treat the waste issue. At the same time, table shows that, in spite of these differences, the project design allowed the necessary flexibility to provide added value to the five different contests and that each municipalities reached benefits and achieved results.

Chart 2 – Waste Issue Before and After the Project Intervention in Each Municipalities

	Before the project	**After the project**
Municipality of Arica (Ch)	No organized household recyclable waste collection (paper, cardboard and cans) Only informal waste collectors and sorters No separated waste service and no waste reduction policy	Environmental Awareness Plan (for school students) Start-up of services of waste sorting and classification, waste separate collection (in the schools) Feasibility study to convert the municipal landfill into a waste treatment plant Progressive privatisation of waste cycle management Agreement with power provider, with Ministry of Environment for building a recyclable waste disposal plant Round-tables with local entrepreneurs and citizens to build a Waste Strategic Plan Environmental education for students of schools in marginal urban areas No specific actions aimed at the prevention of social conflict, but a new regulation for household waste collection (collection timetable)
Municipality of Cuenca (Ec)	EMAC (city-owned enterprise which whole waste cycle management including separate collection of household waste) Collector and sorter associations (50 households e 200 independent workers associated) A specific waste plant disposes of the portion of not-separated waste.	Municipality, EMAC, civil society organisations worked together to elaborate the Strategic Plan of Integrated Waste Management and set of rules and requirements to be a "recicladores", so that these informal and marginalized workers got a status, safe work condition and prevention devices. Sorter associations are an essential link in the chain of the waste cycle. Establishment of Recycled Waste Committee, which include 2 workers (elected), one officer of the Municipality and two representatives of EMAC Agreements with neighbouring municipalities to improve the efficiency in waste collection and treatment. Start-up of pilot project to extend the separate collection of household waste in 6 out of 21 parishes of Cuenca administrative territory Inter-institutional cooperation and partnership led to vaccination campaigns and to actions of preventive medicine for the informal workers and their children Agreements with other municipalities to organise specific training for waste workers. A sort of kindergarten for children whom mother are waste workers. 3 new waste worker associations

	Before the project	After the project
		A new waste recycling plant built up
		12 citizens took on in the new waste treatment plant
		Workshops for discussing the new Waste Strategic Plan
		Opening of public assemblies on waste issue to the informal workers
		Door-to-door actions to increase awareness on household waste management
		Agreements with Alianza and Avena to encourage informal workers to start-up small enterprises
		Improved management of municipal waste service (new model: inclusion in the decision-making process of the waste independent workers and creation of waste worker cooperatives)
Municipality of Lago Agrio (Ec)	No separate collection of household waste No disposal plant Only a not regulated landfill with informal waste sorters	Start-up of an integrated waste cycle management (due to the experience interchange with Cuenca)
		Municipal ordinance in order to: a) introduce the separate waste collection; b) legalize the status of the informal workers; c) introduce "green certificates" for commercials (ordinance worked out with the support of project staff and grace to inter-institutional exchanges)
		Green Plan which includes specific projects (some of them still ongoing) in order to reinforce the environmental policy of the Municipality
		Start-up of new waste treatment plant, which allows the legalization of informal workers (and better work conditions)
		Micro-enterprises of waste workers (recyclable waste collection and commercialisation)
Municipality of General Pico (Ar)	Integrated solid waste policy existent from early 90s Waste disposal plant existent	Policy-making process which led to a new environmental regulation (e.g. municipal ordinance to extend separate collection of household waste to the whole population and to forbid the use of no-recyclable plastic bags)
		Agreement with the Municipality and the Ministry of the Environment which let to include the solid waste management in the national policy agenda
		All informal workers integrated in the waste sorting plant
		Structural improvement of that plant (better hygienic and safety conditions for worker)
		Equipped area for recyclable waste, which has permitted the removal of the skips (large rubbish container), in order to avoid the presence of informal sorters along the city streets
		Establishment of a small enterprise of street cleaners for the social inclusion of the most marginalized people, in order to provide them with a formal job, socially recognised.
		Environmental Awareness Campaign (2011)

	Before the project	After the project
		Separate waste collection enlarged to the whole city, also through interchange experiences with Surco and Cuenca
Municipality of Santiago de Surco (Peru)	Programme for collection, treatment and disposal of waste (1996) Awareness campaign on waste management (2000) Programme for separated waste collection (2000)	Agreements with other municipalities of Lima metropolitan area Agreements with local enterprises to stimulate plastic and paper recycling Three new municipal ordinances/ regulations: a) the new Plan of Solid Waste Management, which include measures for a sustainable waste management) b) new organisational structure to correctly identify functions responsible for the waste management; c) Programme of Separate Waste Collection

OXFAM ITALY's INTERVENTION STRATEGY

The project is a part of the results of a multi-annual and multi-dimension initiative started in 1995 in the frame of the first Urbal-III interventions. Therefore the project intervention strategy was based on some crucial URBAL existent results, namely a problem identification exercise and a strong stakeholder network which was operating at regional, national and international level.
In short, the project operated in a fertile contest where the actors and the knowledge of the local contest (political, economic, social) had been deeply analysed during the previous and concomitant projects of the Urbal-III Programme.
This favourable framework allowed the setting of a strategy based on different dimensions.

The first dimension is related to the general objective of the project, which addressed social cohesion and the improvement of the social, economic and environmental contest. Such an ambitious objective focused on the **policy-making** process which deeply underlined the entire initiative design and implementation strategy. In fact, it's clear that to trigger a real change in social, economic and environmental contest as well as to improve the social cohesion means, first of all, to define a specific policy.
Key elements of any policy are: participated and clearly defined issues, stakeholders involvement at different level (from local to national) and a multi-annual process where the advantage of each significant stakeholder at staking is clear and fully recognised.
This dimension is evident in the project approach: first of all the project strategy went beyond a mere technical solution by linking the issue (to improve urban waste management) to another crucial dimension related to the need of social-cohesion and to social, economic and environmental of local contest.
Secondly, the project built up partnerships and alliances at different level: local governments (5 municipalities as project partners) and Ministries, international organizations (the contractor and Lille Municipality) and technical bodies (CISPEL and Oxfam).
Thirdly, a **bottom-up** policy making process was built up: starting from local communities and institutions towards higher institutional levels.
The **medium-long term** dimension is a further evidence of the policy-making approach. The action gave continuity to an ongoing process started in 2004 with the URBAL initiative then it's no wrong to state that project operated within a process developed in around 9 years.

The **multi-stakeholder,** dimension is the second important feature (and added value) of the project strategy.

The complexity of the urban contest and the specific issue of the waste management entail a wide governance handled by institutions and stakeholder both at vertical and horizontal level. At vertical level were involved local institutions (municipalities) as well as regional, national and international ones (Ministries of Environment and Economy, Buenos Aires province, European project partners). Horizontally, are involved local communities (citizens, households, students), the marginalised waste workers, the small entrepreneurs, the city-owned enterprises, the civil society associations. To this regard it is important to note that the multi-stakeholder dimension was built up around the specific issue of the waste management.

Experience exchanges between partners have been continuously encouraged by the project as well as the creation of alliances in order to improve the efficiency and effectiveness of the waste cycle management. For instance, it is significant the signature of formal agreements between public institutions (see Cuenca for the use of its treatment plant by bordering municipalities) and private enterprise (power provider, EMAC, etc.). Experience exchanges also was particularly fruitful for the capitalisation of the innovative waste management methods and practices and to share technical solutions during the project implementation.

At national level, the network included also Ministries in at least two cases (Cuenca and Surco). This allowed the inclusion of the waste issue in the national policy agenda. Buenos Aires Province, also reacting to issues arising by General Pico and Tres Febrero proposed a new waste management model, based on the regional level.

The multi-stakeholder approach means also that the project highlighted and recognised what were the real interests for each stakeholder in participating at the policy-making process. In specific, project demonstrated to the local municipalities the added value of addressing the waste issue as a "policy" not only through the environmental point of view, but also by considering the social and economic issues related to crucial actors (the informal waste workers, etc.). The project was also able to envisage that social recognition by the citizens was as important as the financial contribution. In this direction, the project acted to providing local institutions with instruments for stimulating community consensus (participation) and national support (thematic seminars, inter-institutional agreements).

At the same time the project showed to the informal workers the advantages of taking part into the decision-making process in order to attain legal status and social acceptance.
On the side of local communities, the project showed to the citizens the advantage in cooperating with the new model of waste management (separate recyclable waste collection) to enhance their hygienic conditions.

In addition, the **multi-country** dimension was essential for the project approach. The international partnership included European institutions (Municipalities of Arezzo and Lille), Italian technical partners (CESPI, Oxfam Italy), as well as partners from four Latin America countries (Argentina, Chile, Ecuador and Peru). In other words, the action involved not only a classical decentralized cooperation action (north-south), but also an horizontal interchange between countries sharing similar problem in similar contest (south-south). The multi-country dimension was really fruitful in terms of capitalisation of the innovative waste management models of Surco (Peru) and Cuenca (Ecuador). Their know-how was transfered to the municipalities of Arica (Chile), Lago Agrio (Ecuador) and General Pico (Argentina) and technical assistance was provided throughout the project implementation.

The multi-stakeholder and multi-country dimensions created important **synergies** within the network. Building partnership with different type of stakeholders which are belonging of different countries was not sufficient to trigger the policy-making process and then the project specifically provided the partners with a set of tools to promote internal interchanges, to make the stakeholders aware of their own role and potential, to identify the specific aspect of the issue and its multiple

effects. In short, the project worked in the direction to stimulate synergy and then to raise out new ideas, practices, methods. To this end a lot of activities were supported and promoted by the project: thematic seminars, inter-country workshops, study tours, invitation of experts in public assemblies. As a results of this synergy, the municipalities were able to elaborate Strategic Plans or set of rules (ordinances) concerning the waste management. They also were able to improve their technical know-how to enhancing the efficiency of waste cycle management as well as to innovate the waste economic structure. As a result, they introduced the commercialisation of recyclable waste and legally included the informal waste workers in the waste cycle treatment.

One more important dimension is the **multi-action** approach. The project in order to support the policy-making process stressed three kind of actions: ones aimed at the institutional reinforcement; ones aimed at improving the citizen awareness and the social-cohesion; ones aimed at increasing the know-how of the public officers. The institutional reinforcement was supported, as said, through networking and synergy actions such as thematic meetings, round-tables, study and analysis exchange, study tours. These actions involved the political level of the municipalities and Ministries as well as their technical staffs. Citizen awareness and social-cohesion were supported through a kit of participation tools, such as student school training, educational campaigns, communication devices (special plastic bags, stickers, posters, etc.), door-to-door awareness actions, open workshops for discussing the new waste strategic plans, public assemblies on waste issue open also to the informal workers, *mingas*[20] and education days. Technical know-how, which was an essential action in order to improve the efficiency of waste cycle management, was supported through a strong capacity building action, based on both traditional training and visit tours and exchange of experiences.

OIT's ROLE AND STAKEHOLDER INVOLVEMENT

Oxfam Italy as official partner of the project was in charge of the technical coordination. Our interest here it is not focusing on the organisational aspects but rather on the role of OIT in the achievement of the project results.

First of all, OIT gave a strong contribution in creating the mentioned partnership arrangements by supporting the contractor in finding institutional partners during the project identification and by helping the institutions to create mutual synergy with other stakeholders. To this regard, its role was crucial in organizing meetings, in stimulating public officials to participate, in encouraging political level in order to sign local agreements, in providing administrative support. In general, as international NGO expert in intra-territorial cooperation, its main contribution was to facilitate the essential tasks of nurturing the network partnership process.

At the same time OIT had a role of facilitator in supporting the policy-making approach: its experience and vocation for stimulating citizen awareness and civil society participation allowed the project to achieve significant change in the waste issue perception. OIT contributed with its technical experience in participation tools and provided local institutions with concrete instruments to arise community awareness on waste issue.

Besides that, the technical expertise on waste management that OIT was able to mobilize allowed the project to identify the techniques and practices which were the most efficient in those countries, minimizing the secondary negative effects. In this regard, OIT provided a qualified technical assistance to ensuring the best conditions for achieving the process sustainability.

Concerning the stakeholder involvement, the important role of **local institutions** (the municipalities) as "entry point" of the project is unquestionable. All the project histories show that

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[20]   Community voluntary work.

the local governments were the core actors in the project strategy both as direct beneficiaries and direct implementers. This is a crucial point which allowed the achievement of one of the most result of the project, that is to include the waste issue in the political agenda.

The local governments played two different roles: as institutions charged of the their institutional duties (service provider, regulator authorities) and as point of reference for the community in arising their issues (participation). The project supported the local governments in playing both of the roles, providing them with appropriate instruments, for instance to elaborating waste plan or to innovating waste treatment cycle. But it's important to underline that never the international partners acted as substitutes of local governments in playing their role of institution and this is probably one of the key success of the project approach. In this regard, one result of the project is the increased capacity of that municipalities to make policy and to answer to people issues.

One more result is that the municipalities are more visible and reliable towards their communities.

Another key stakeholder for achieving the objective has been the **waste workers**. As a substantial part of the waste issue and trigger of potential social conflicts, their involvement in the decision-making process was essential. Their inclusion in waste management and the legalization of their status represent the main achievements of the project in terms of social-cohesion. In this regard, was also essential the involvement of the **civil society**, specifically households and local communities (parish, for instance).

In some cases, (Cuenca and Santiago de Surco) the **private sector** had an essential role: namely the small and medium enterprises for the commercialisation of recycled waste, the EMAC (city-owned enterprise) in undertaking innovative waste treatment practice, the cooperatives by absorbing informal waste workers.

Finally, a real contribution in finding suitable technical solutions was ensured by the national and **international network** (public officers of European municipalities, CESPI, Buenos Aires Province, waste experts, etc.).

LESSONS-LEARNT

Some important lessons-learnt can be draw from this project as follows:

1) In order to give sustainable solutions to local issues, it is essential to put the local governments "in the middle of the policy arena" therefore to engage them as active actors during the overall process, from the design to the implementation, going beyond the mere beneficiaries role;

2) As a consequence, could be retained that, in several cases, instead of dealing with policy issues from the regional/national level which are usually difficult to tackle within the project dimension, it could be much more productive to 'navigate' the local agendas, being the local institutions much more responsive for their closeness to people endeavours and discontent;

3) According to the principle of subsidiarity, local governments are the most suitable level to tackle local issues, because they are close to the citizens and they have the potential capacity in leveraging solutions to higher institutional levels;

4) To play this role, local governments, in recent democratic contests, need to be strongly supported in acquiring experience and know-how and in making them able to handle policy-making and participation process;

5) The Municipality of Arica experience shows clearly the potential weakness of a policy-making approach if the political contest is affected by frequent turnover, for instance because of the spoil system. In this case is recommended strengthening the technical know-how of the middle level/technical officers in order to ensure the prosecution of the policy-making process beyond the political turnover.

10. WASTE COMMUNITY BASED ORGANISATION(CBOS)/COOPS IN EKURHULENI

Case-study by Giulietta Delli – July 2014

GENERAL INFO

Title	**Waste Community Based Organisation(CBOs)/Coops In Ekurhuleni Areas Of Wattwille And Actonville** (as a part of NETSAFRICA[21])
Location	Ekurhuleni Metropolitan Municipality (EMM) – Gauteng Province - South Africa
Budget	€ 504.542,00
Date	June 2010 - 2013
Contracting Authority	Italian Ministry of Foreign Affairs
Contract Beneficiary	Ekurhuleni Metropolitan Municipality (in specific the EMM Economic Development Department and EMM Waste Management Department and Environment Department)
Partners	COGTA (now DCoG- Department of Cooperative Governance) Regional Government of Tuscany Gauteng Provincial Government Cispel Confservizi Toscana ATO Toscana Sud and ATO Toscana Costa Cooplat

PROJECT OVERVIEW

The project is a part of NetsAfrica[1], an Italian-South African programme which aims at promoting the decentralisation process in the Republic of South Africa through the strengthening of the role of local governments as the main actor in the democratisation and pacification process as well as in fighting poverty. Specifically the NetAfrica programme focused on the capacity reinforcement of actors in charge of decentralisation, in order to revise the model of governance at local level. At the same time, the programme focused on the improvement of institutional reinforcement of the Gauteng and Eastern Cape Provinces as well as the improvement of four municipalities, in order to tackle poverty and make basic services more accessible.

The Programme operated in within the National Framework for Local Economic Development (Strategy 1 and 4).

The specific Ekurhuleni project was based on an Overall Operative Plan (OOP), elaborated jointly by South African and Italian partners of NetsAfrica. The OOP designed "*a strategy for the provision of the waste management municipal services (collection and recycling) through an outsourcing modality involving Community-Based Organisations (CBOs)*"[22]. The following description of the context is drawn in summarized form from the OOP.

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[21] Support Programme "*Decentralisation and Local Development Policies in South Africa - A Network of Tuscan and South African Local Governments*".

[22] All texts copied from the OOP and the Final Evaluation report are in *Italics*.

The Ekurhuleni Metropolitan Municipality (EMM) has approximately 2.7 million residents which constitute 5.6% of the national population and about 28% of the population of Gauteng Province. Consequently the EMM has a high population density (about 1400 people per Km²).

The Ekurhuleni economy accounts for around 8.3% of the national gross domestic product[23]. 57% of the population is economically active, but the unemployment rate is 34 %, and the Municipality reflects the contradiction seen throughout the country, where areas characterised by a growing and sound economy lie side by side with extremely poor and un-served areas.

The EMM has a thriving informal economy, with numerous small and micro businesses which rarely contribute to the improvement of household incomes . The degree of inequality and poverty and the need for services provision (including waste management) are high.

The lack of strategic planning and the mismanagement of available resources have always hampered the delivery of basic services, especially to the poorest communities.

In Ekurhuleni, waste management services are poor, especially in the informal settlements and very poor areas, due to physical conditions, a lack of political power of low income communities and a lack of technical skills and financial means of local government to serve low income neighbourhoods.

Waste collection is run directly by the municipality (in-house) for 50% of the areas, and by private companies (outsourced) for the remaining 50%. Before the project, the EMM, only being in charge of the responsibility of waste collection, had never formulated a recycling strategy. As a consequence, the separate collection for recyclable waste has been managed by informal collectors/pickers. This informal collection is characterized by low quality recycling and exploitation of informal collectors by the buyers of raw materials.

Regarding the waste management national policy, new relevant national legislation was recently drafted in 2009, which introduced new strategies to curb the increasing problem of the waste production.

In this framework, the project contributed to the NetsAfrica goal of enhancing the capacity of the EMM in the formulation of policies and the implementation of initiatives to fight poverty and to ensure access to basic services within the context of the National Framework for Local Economic Development (Strategy 1 and 4). The **specific objectives** of the project were: (a) to improve waste management services through the elaboration of a waste management strategy involving CBOs in waste collection and recycling (including drop off/collection points and new sustainable techniques) in order to increase recycling while decreasing the cost of disposal; (b) to promote the creation of job opportunities for disadvantaged groups; (c) to strengthen the capacity of the municipality in strategic planning.

To this end the project was implemented through the following **components**:

1) *Municipal capacity building component:* this component aimed at giving adequate know-how and a methodological approach to the EMM municipality, in specific the LED(Local Economic Development Unit, Waste Department and Environment Department) and some other relevant stakeholders. Capacity building focused on strategic planning and better management and coordination.

2) *Waste management improvement component:* this component aimed at providing technical and financial support to the EMM in order to improve waste management services in the areas of Actonville and Wattville. This component constituted the *core-part* of the Project.

3) *Information and awareness component:* this component aimed at raising awareness and information spread within the communities on waste management appropriate practices, contributing to create a sense of responsibility and changing of behaviour. It was a key component of the entire pilot Initiative and it contributed in giving sustainability to the new

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[23] It accounts for nearly a quarter of the Gauteng economy which in turn accounts for about a third of the national gross domestic product.

adopted waste management approach, involving the CBOs.

The **direct beneficiaries** of the project were**:** the EMM municipality, specifically the LED(Local Economic Development Unit and Waste Department), waste cooperatives and population of Benoni. The **final beneficiaries** were the population of the EMM.

PROJECT RESULTS AND MAIN EFFECTS ON THE BENEFICIARIES

The main results achieved by the intervention have been as follows:

With regard to the **first specific objective,** a waste integrated management strategy involving CBOs was elaborated. Two local cooperatives of pickers were selected as partners of the EMM for the recyclable waste collection.   A new tender procedure was elaborated which included specific criteria to enable the CBOs to participate in the selection process.

Two drop off/collection point has been established; new collection techniques have been undertaken, such as the settlement of metal big dustbins in key areas, door-to-door collection of separate household waste, distribution of "plastic recycling bags" and new means of transportation (from hand-carts to tricycles[24]) which reduced costs for the waste collection

More generally, the interviews conducted for the Final Evaluation show that stakeholders recognized their improved ability to enhance their performance in collecting.

Concerning the second specific objective (**to promote the creation of job opportunities for disadvantaged groups**), the project contributed effectively to the creation of new sustainable job opportunities and to the passage from informal to formal employment.

Two cooperatives formed by ex-informal pickers have been selected as EMM partners for the collection service. contracts between the EMM and these cooperatives were signed (light agreements), which included the regulation of the collection service and the assets granted to the cooperatives (list of assets, specific use, mutual liability of the EMM and of the cooperative in their management). Local government provided support to cooperatives in negotiating with big waste collection and recycling companies.

The Waste management initiative succeeded in involving low income people and a high number of women within the cooperatives. The revenues are redistributed among members of the coops and coops negotiation power against the bigger waste companies has increased. Some positive effects of the project have been spread to other cooperatives through the Waste Coops Forum, created by the coops during the project implementation.

At the same time, with regard to the **improvements in the capacity of the CSOs in advocating their needs**, the Final Evaluation confirms that the project provided the cooperatives with new capabilities, especially through training and learning-by-doing and, more generally, states as well that it triggered "*a shift in the mindset of beneficiaries […] CSOs have improved the quality of the message towards them, in terms of priorities, clarification of needs, channel of communication*"

On the side of **strengthening the capacity of the Municipality in strategic planning,** the main result has been the establishment of the Training Unit (now Task Team[25]).

The TUT has been supporting both the EMM officials. Its job has consisted of providing technical support to the waste collection service and to business start-ups in the commercialisation of recyclable waste).

According to the Final Evaluation Report, the capabilities of the coops under the light agreements have been enhanced and the training courses have been largely appreciated by the beneficiaries.

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[24]   From the Final Evaluation Report: "*Transportation is extremely crucial because through more efficient tools the coop members can finally overcome the middle-men that obviously reduced the final income for the beneficiaries*".

[25]   During the project follow-up (2013) the Training Unit changed its name to Task Team in order to emphasize that its activities were not only devoted to training.

Moreover the presence of the TUT ensured an improvement in the capability of the municipality that was not activated before NetsAfrica.

The TUT has been contributing to spreading information and communication and has been avoiding an overlap of EMM departments. The TUT has been representing a concrete opportunity of inter-departmental synergy.

The TUT has also activated the planned municipal monthly monitoring of waste collected by the cooperatives and this activity is still in operation.

The strategic planning concerning the recyclable waste has been elaborated and during its elaboration a broad consultation of relevant stakeholders was carried out(meetings with informal pickers, associations, cooperatives, and youth groups; preliminary contacts with waste private firms). Finally, the direct involvement of the coop members in the communication strategy, through door-to-door information sharing, has been a crucial aspect for implementing the new strategy.

Regarding the capacity of local governments to formulate and assess their needs, there was a certain dynamism in designing and submitting proposals to external funders, such as a project with PECTO (a private plastic recycling company) and the project follow-up itself.

Finally, the Municipality because of the project has introduced the innovative model of the outsourcing towards the CBOs, This model has been entailing an income-generating opportunity for informal workers and meanwhile the improvement of waste service in remote areas.

OXFAM ITALY's INTERVENTION STRATEGY

The project approach mainly consists of supporting a policy-making process (waste strategic planning) through a **bottom-up approach** with an emphasis on **participation**, which was considered a key factor to enhance the capacity of the South African local governments in the formulation of policies and implementation of initiatives to fight poverty and ensure access to basic services.

In detail, a strict collaboration/coordination with the EMM municipality (in particular the EMM Local Economic Department and the EMM Waste Department, Environment Department) and other stakeholders was activated. The capacity of the EMM municipality in participatory planning was enhanced, essentially through the establishment of the Training Unit, which is a permanent structure devoted to capacity building activities. The establishment of the TU has to be considered as a real innovation and an unquestionable element of the quality of the approach in addressing the project objectives.

Public awareness and information campaigns were organized, particularly those aimed at waste reduction and illegal dumping, in order to promote a 'sense of responsibility' and willingness to change towards a more positive behaviour.

Educational materials were targeted according to the different audiences and to the specific situation of the Municipality.

A strict partnership with Tuscan partners was created in order to ensure an exchange of experience.

The strategic planning concerning the recyclable waste was also elaborated through a broad consultation of relevant stakeholders, in order to improve the waste services without increasing local taxes and to create job opportunities.

The approach quality also relied on a **preliminary and accurate selection of project partners** which was based on criteria such as skills in the area of intervention and the experience in development cooperation, as well as on a constant effort to properly meet local requirements. In addition the "Tuscan skills" were correctly identified and they have been crucial in filling technical gaps and in providing knowledge and expertise to local partners.

As crucial as the partner selection was the **stakeholder analysis** conducted during the

identification phase of the project. On the basis of this, the stakeholders were classified in four main groups and each group's position in relation to the project was outlined (at the present and potentially in the future), as well as their specific features and interests. The stakeholder analysis is an essential element in developing a policy-making approach.

Finally, the elaboration of a **baseline survey** was essential to precisely identify and define the issues addressed by the project. Both the stakeholder analysis and the baseline survey were presented to the project partners. Speaking of the specific actions of the **capacity building**, the project approach largely exploited the contribution from other local/provincial/national organizations and institutions in dealing with environmental issues. Good practices were spread to the stakeholder; exchanges of experience were organised in and outside Guateng Province. The EMM and the cooperative members participated in some study tours in Italy and Italian waste experts were invited to the EMM.
In addition, project staff carried out several **advocacy** actions in order to strengthen the feasibility and sustainability of the project.

Visit-tours, exchanges of experiences and documents, meetings were organised in order to create an **inter-municipality synergy**. Good practice exchanges between EMM and other municipalities helped to find operational solutions to similar issues.

GOVERNANCE STRUCTURE OF THE PROJECT AND STAKEHOLDER INVOLVEMENT

The above-mentioned dimensions of the approach were supported by a specific implementation structure (governance of the project) which was particularly suitable and fruitful in order to achieve the project objectives.
As a part of the NetsAfrica programme, the project benefited from an articulated coordination structure which included the South-African national level. Under the overall guidance of the Regional Government of Tuscany, the project was managed by a pool of qualified and well experienced professionals who formed a core team, constituted by the EMM and the programme Secretariat. This team was structured as shown in the figure below.

The specific governance structure of this project had a significant role in the project implementation and it effectively ensured four essential elements: 1) coordination; 2) day to day implementation; 3) information sharing; 4) project revision and periodic assessment.
The Project Management Unit (PMU), coordinated by the Project Manager and composed of one representative from each partner institution, played a crucial role in ensuring the sharing of information and in supporting the Project Manager (PM) in coordinating the project partners. Its duty was also to approve internal working procedures.
The Project Manager (PM), supported by a Project Assistant, was in charge of the daily technical and financial implementation of the project. They reported to the Programme Secretariat's Gauteng Coordinator and worked in close cooperation with the appointed members of the Project Management Unit.

Last but not least, the NetsAfrica Secretariat continuously supported the PM in revising the operational plan and service contracts; monitoring progress of the project (including assessment of the content and quality of monitoring reports); suggesting corrective measures, supporting timely disbursement of Italian resources; facilitating communication and information flow between, and feedback to key stakeholders of both countries; managing official reviews (i.e. mid-term evaluations); taking timely decisions to solve problems and support implementation. The Final Evaluation underlines the high degree of satisfaction of the stakeholders and of the beneficiaries concerning the Secretariat's performance.

The Accounting Officer worked under the supervision of the Gauteng Provincial Administrator, and was in charge of the daily accounting and financial administration of the project, in compliance with the donor requirements.

The other staff consisted of technical experts from the EMM Local Economic Development (LED) Unit and the EMM Waste Department and EMM environment Department.
Project revision and periodic monitoring was ensured by COGTA.
The technical support, which is a core element of the project approach, was ensured by the qualified participation of CISPL, ATOs and Cooplat as well as Oxfam Italy with regard to the participation process. According to the Final Evaluation *"the role of the Tuscans became crucial especially when the project required the support of technical experts"* and it emphasizes the *"capability of the Tuscan partners to activate the best practices of the territory and to be flexible in adapting their views to the context"*.
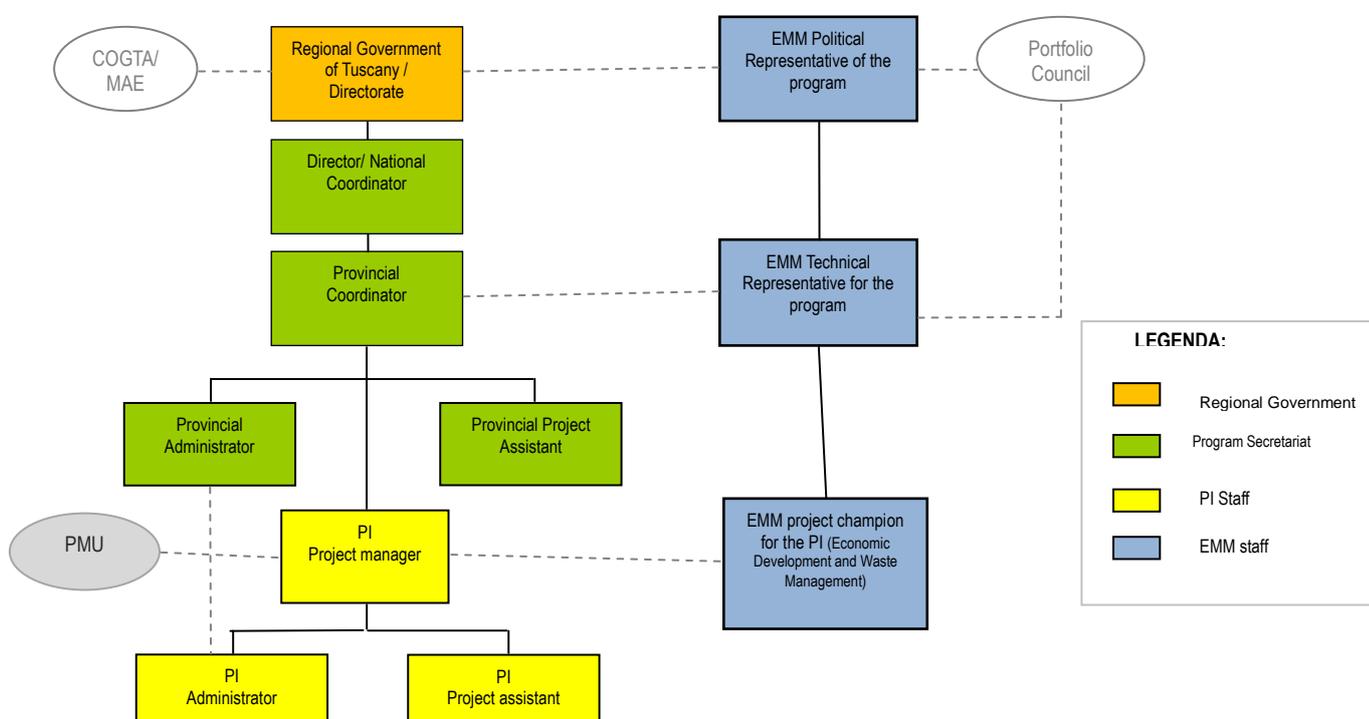
Concerning the **stakeholder network**, the project benefited of the results in NetsAfrica programme, which, roughly in four years, was able to create a new network. All the members are interested in maintain the partnership. In some cases this willingness was spread up to external actors which demonstrate an interest in partnering with the NetsAfrica South African or Italian actors. The institutional sustainability is strengthened thanks to COGTA commitment, that increase legitimacy of the whole initiative and its capacity to be replicated within other South African local governments. The weak point noticed by the Evaluation Team is the lack of formalisation/institutionalisation of the services activated.

In addition, the preliminary stakeholder analysis and the existence of clear and stated selection criteria were essential in order to include in the policy-making process the key stakeholders.

OXFAM ITALY'S ROLE

Oxfam Italy acted as the operational arm of the Region of Tuscany. Its contribution was both during

the project identification phase and during its implementation.

During the project identification its support was essential for **attracting potential partners** on the projects in Italy and in South Africa and for selecting the local contacts. All throughout the implementation of the project, Oxfam Italy was in charge, on behalf of the Tuscany Region, of the **operative implementation** and it played an important role **in supporting the policy-making process**.

Specifically it operated in the guise of Operational Secretariat and, if on one side, its duty concerned the financial and administrative management, on the other side its efforts were devoted to working daily side by side with the EMM Training unit (now Task Team)in order **to facilitate** the creation of the conditions for policy-making and to improve their capacity and awareness. Through meetings, daily contacts and informal support, Oxfam Italy supported the EMM in playing its institutional role in the waste planning process. For instance in order to formalise the informal pickers, Oxfam Italy provided the EMM and the TU with technical support for elaborating the business plans and, later, the light agreements. A new tender procedure was elaborated to allow the coops to participate at the selection process. Additionally, Oxfam Italy placed its strong experience in stimulating **participation** at the disposal of the EMM during the elaboration of the strategic waste plan.

Oxfam Italy also provided support for the coordination of the Italian and South-African partners, specifically for the study tours and the visits of experts. It ensured the presence of all the key stakeholders, including the Coops members , in these experience exchanges.
Finally, Oxfam Italy supported and facilitated the establishment of the TU and provided its officials with technical assistance in delivering their services to the cooperatives.

The Final Evaluation reports that the technical assistance "*had directly met the local needs in the field of coop organisation and, above all, waste collection and recycling. Interviews confirm the involvement of South African partners in identifying these competences, which have been integrated through the skills of local consultants. According to them, workshops also provided time and space for open confrontation and information sharing with Italian experts*".

LESSONS-LEARNT

The lessons-learnt from the project are the following.

1) The project shows that in South-Africa the administrative structure of the public institutions is still fragile and that the mingling of political and administrative levels is significantly high. This entailed delays in implementation (bureaucratic procedures, lack of clear responsibilities), overlaps in decision-making, an unclear definition of the role of the institution towards other stakeholders. At the same time, being that the decentralisation process is relatively new in South-Africa, the vertical institutional structure and interactions are not very well defined. The different levels (municipal, provincial, national) revealed specific interests and objectives which were at times in mutual conflict or hampered the smooth roll of the policy-making process. On this point, the Final Evaluation registers the *"limited role played by provincial governments"* which *"inevitably affected the actual alignment of various institutional levels and the possible synergies among different policies in the field of development and, above all, participation. (The lack of involvement of the Provinces remained one of the major limits of the programme, together with the difficulty in linking the three levels of governments: national, provincial and municipal. Despite this, the second part of the Programme experienced an improvement in strengthening the relations between national and municipal levels.)"*.
2) In such a complex context, the existence of a national normative framework on waste policy was a crucial element for the successful implementation of project. The new national law drafted

in 2009 set out the framework of institutions in charge of the waste issue and then provided the legitimation to the EMM for dealing with that issue at local level through innovative strategies and approaches.

3) The involvement of the informal pickers (one of the main stakeholders in the "waste issue arena") in the decision-making process was essential in order to elaborate a plausible and suitable waste collection strategy. This as well as the involvement of the citizens and of private waste enterprises through a concrete participation process was essential for ensuring the active cooperation of civil society on the issue.

4) The capacity building component was one of the key factors of the project, because tackling an issue through a policy-making approach implicitly entails strengthening the capacity of the decision-makers in handling the process. The establishment of a permanent unit (TU) responsible for the training of the pickers has been a successful element in the direction of strengthening the awareness and technical capacity of this important stakeholder. This was also a key element in moving the pickers from an informal status to a legal one (one of the main objectives of the project): The TU in fact provided the juridical expertise for elaborating the Statutes of the new cooperatives and the light agreements as well. On the side of the EMM, the involvement of technical partners such as CISPEL and CooPlat, provided the EMM officers, in charge of elaborating the innovative and economically sustainable waste collection service, with the necessary know how. The approved collection and recycling strategy, as well as the established drop off/collection station, were the concrete results of this capacity building action. Nevertheless the Final Evaluation reports that "*in terms of learning and awareness (e.g. on the procurement process, regarding the legal dimension of coops) the interviews show positive results obtained by the PIs[26]. One the other hand, the interviewees admit a lack of skills in adequately managing the new mechanism and the absence of a specific capability for the continuation of the project without external support.*"

5) Concerning sustainability, the Final Evaluation provides a clear lesson-learnt: "*The institutional sustainability of the programme and the PIs is generally positive. The weak point noticed by the Evaluation Team is the lack of formalisation/institutionalisation of the services activated. None of them were formalised by creating the risk of manipulation and reducing the opportunity of institutionally enforcing the new practices adopted. The civil society organisations involved in the programme still need to be empowered in order to ensure their positive role in lobbying local governments to continue delivering the services activated during the programme. The economic sustainability of the initiative is not so strong. At the end of the programme none of the PIs can be considered sustainable economically. The sustainability of these projects is mainly guaranteed by the follow up ensured by the Tuscany Region and the additional funds received from other donors for the realisation of activities in continuity with the NetsAfrica programme. Finally, some difficulties occurred with the cultural sustainability of the initiative. Ward based planning and Lusikisiki initiatives were those affected most by the cultural and social challenges of the complex South African context*".

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[26] Priority Initiatives, that is the three specific projects implemented in the overall framework of NetsAfrica, including the Ekurhuleni project.

11. MATCH - Maternal and Child Health: Local Authorities and Decentralization of services in Southern African Development Community-SADC Area

Case-study by Giulietta Delli – July 2014

GENERAL INFO

Title	**Maternal and Child Health: Local Authorities and Decentralization of services in SADC Area**
Location	South Africa: Or Tambo district, Province of Eastern Cape Tanzania United Republic of, Kondoa District Council in Dodoma Region Democratic Republic of Congo: City of Kananga, Province of Western Kasai
Budget	1.300.000,00 Euro
Date	2011-2014 (ongoing)
Contracting Authority	European Commission (75% of the total cost)
Contract Beneficiary	Region of Tuscany
Partners	District of Or Tambo - South Africa Kondoa District Council – Tanzania Ville de Kananga - Democratic Republic of Congo[27] Oxfam Italy – Italy Centro Mondialità Sviluppo Reciproco - CMSR – Italy Cooperazione per lo sviluppo dei Paesi Emergenti - COSPE – Italy Small Projects Foundation-SPF - South Africa[28]

PROJECT OVERVIEW

The project focus on three poor and marginalized rural areas in three Southern African Development Community (SADC) countries, that is South Africa, Tanzania and Democratic Republic of Congo, which were implementing health sector reform through decentralization process.

South Africa and Tanzania decentralization process shows that human resources at the local level are poorly developed and unable to provide effective reproductive health services.

All the rural areas targeted have a high poverty rate (i.e. Or Tambo District that 64.5% live below the poverty line), an elevate level of infant mortality rate (UNICEF 2007 estimated in RDC IMR is 108, in Tanzania IMR is 68, in South Africa 46 per 1000 live births) and considerable maternal mortality rates (UNICEF reported in RDC was 1300, in Tanzania is 568 per 100,000 live births in 2006), while HIV infection continues to escalate mainly in youth aged 15-24 years9 and in newborns through mother-to-child transmission10 (MTCT). Thus, there is a consistent need to implement appropriate comprehensive and innovative health services, for the local context, in order to achieve the basic human needs of the most marginalised groups on health care delivery

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[27] During the implementation of the project, the Ville de Kananga took the place of the Nord Kivu Province partner.
[28] SPF initially was an project associate and it was included as a official partner later.

system including the fight against HIV infection and AIDS.

Moreover, according to the *SADC Protocol on Health purposes and by the Regional Minimum Standards for Harmonised Approaches to Prevention of Mother to Child Transmission (PMTCT) in SADC Region,* three issues affected this already dramatic contest:

1) limited opportunities on exchange of experiences and shared approaches on HIV/AIDS among different actors abroad and National levels, but also Regional/Province and other key actors of the SADC countries; 2) ineffective governance, lack of coordination and multi-sector policies; 3) need of efficient and sustainable actions to be elaborated with the involvement of local authorities and relevant local actors.

In addition, some other problems at countries level contributing to make the contest particularly hard. At local authorities level (provincial, district and local level) are registered: a) lack of clarified regulation framework for Provincial Assembly to adequately implement their delegated competences on health sectors ; b) management and planning constraints; c) lack of monitoring; d) lack or limited availability of necessary equipment and supplies mainly for rural health facilities; e) inadequate transport facilities at the district, ward and village level; f) lack of integration, coordination, multi-sector approach and communication; g) human resources constraints.

At community level are registered: a) limited information and education behaviour change for prevention campaigns; b) limited awareness and participation to the services of Anti-retroviral therapy (ART) and Preventing Mother-to-Child Transmission (PMTCT); c) missed liaison strategy between formal health services and traditional practitioners; d) lack of adequate service package and psychological support for HIV-infected to women, infants and their families mainly because of limited skills and human resources; e) persisting of stigma and discrimination.; f) unavailability supplies and socio-economic constraints that limit the access to the service for people living in village/rural areas; g) poor health care organizations.

In this framework, the **overall objective** of the project is to reduce the morbidity and mortality due to HIV infection in rural areas, enhancing the role carried out by the local authorities in the reduction of poverty and in the quality management of the primary health care services. The **specific objective** is to facilitate the provision of innovative services on Anti-retroviral therapy and Preventing Mother-to-Child Transmission for infant and mother on rural areas supporting the local authorities in the implementation of their own competences and empowering the communities to play a more meaningful role.

The project is build on the results of a previous action, namely the experience carried out by the Africa Board on HIV/AIDS that was created within Tuscany Region in 2006 and that included local authorities, NGOs and associations based in Tuscany and already working on HIV/AIDS prevention in African countries. The project take in account the recommendations drawn by this previous experience and included in the official document "Global Action against HIV/AIDS: objectives, principles and recommendations".

The project is designed as a global and comprehensive approach to maternal and child health in close relationship with the role of local authorities and decentralization of services in SADC Area. It is implementing through the following components:

1) Transnational activities, which involves all the partners through an exchange of experiences and capitalisation. Activities: a launch seminar and the establishment of a steering committee, the creation of a web portal and an e-learning platform, an exchange seminar ("Setting-up of models for lessons learned"), a study tour to Italy for public officers, a final conference and a final publication in order to proving models for the scale up and replication of maternal and child HIV prevention, treatment and care.

2) In-country component of innovative services in rural areas on ART and PMTCT in Congo DR, Tanzania and South Africa. Activities: introduction of project to stakeholders and communities (including traditional leaders); establishment of a project management committee in each country; community mobilisation through the PLA methodology to enhance the awareness of maternal and child health, HIV/AIDS and the access to services;

capacity building delivered in two sections, the first an ad hoc training targeting programme managers at local, district level, provincial level and health staff, the second an ad hoc training sessions targeting lay councillors, community health workers, community based organisations and support groups; outreach programmes and awareness campaign; Voluntary Counselling and Testing (VTC); development of a routine PMTCT programme; scaling up workshops; VCT Equipment and supply.

The **target groups** of the project are the Community Based Organisation(s); Illness affected people (Malaria,Tuberculosis, HIV/AIDS); Local authorities; Women; Young people; Children. The **final beneficiaries** were Local Health Authorities; Health and Welfare Sector Education and Training Authorities; Community Health Workers; HIV/AIDS patients; Pregnant women; newborn babies; rural communities.

The expected **indirect beneficiaries** are at least 300,000 community members: peripheral health workers, existing community structures for whom the benefit consisted of getting organisational and collective skills on how to prevent sanitation and hygiene related diseases at the basic level of the entire society.

PROJECT RESULTS AND MAIN EFFECTS ON THE BENEFICIARIES

Because the present analysis focuses on the OIT intervention, we will report mainly about the South Africa, the Tanzania and transnational components being handled by other partners. With regard to the Democratic Republic of Congo component, because the project implementation is started in April/June 2013 is too early to have a concrete feedback on the results achieved in terms of effects on the beneficiaries.

With the regard to the above-stated objectives the expected results of the project are specifically:
1) Improved capacities of decentralized local authorities – also through the creation of a network of local authorities at both national and international level - in health service planning, service delivery and adopting a multi-sectorial approach;
2) Level of health services improved with active involvement of communities;
3) Increased awareness and involvement of communities in HIV prevention.

Although the long administrative procedure requested for the registration of the EU funds in the Region of Tuscany's budget and for the signing of the Memorandum of Understanding (MoU) within the partner caused an initial delay in the project start-up, at the end of the day the project is achieving some important results, which are different from one country to another due to the different features of the contexts.

For instance, the political and social situation in Nord Kivu Province, the Republic Democratic of Congo partner, in 2012 became critically unstable and it hampered the concrete start-up of the activities after the first preliminary actions of the project. As a consequence, the Ville de Kananga took the place of Nord Kivu.

The preliminary actions, that is the establishment of the coordination units in Italy and in each countries as well as of the steering committee, were carried out. Also the project launch and the elaboration of a communication plan (logo, web-portal) were realized.
In each country the project was introduced to stakeholders and communities through initial meetings and a specific mobilisation action. The initial meetings addressed public institutions from local to national levels[29] as well as civil society, that is Community Based Organisations-CBOs,

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29   For instance in South Africa all the public institutions in charge of the manage the public health system were invited: the National PMTCT Co-ordinator, the Provincial PMTC Co-ordinator and the HIV/AIDS Treatment of Mother-to-child

local NGOs, Communities members of villages, traditional leaders.

Concerning the specific results achieved to this day in the district of Tambo in **South Africa**, the mid-term independent evaluation[30] reveals that the local authorities underline the good results that the project is achieving at service delivery and community level. They assert that the best results of the project are to be found in particular in the improvement of quality and accessibility of integrated PMTCT services at decentralized level. The most effective activities according the evaluation findings are:

1) capacity building of health staff: the training delivered to local health staff has effectively improved their skills and capacity to deliver the services.
2) implementation of a community-based strategy for health service delivery and support: the project has employed and trained two new CHWs for each clinic involved, hence contributing to filling the existing gaps in the number and capacities of human resources and increasing the capacity of the health system to reach people in the communities. In line with the new local policies (NHI), CHWs are now carrying out also door to door visits and are allowed to access full patient data (instead of specific data based on vertical programs), so they are able to provide integrated care. The NHI pilot that has been started in Or Tambo is further reinforcing decentralization through investments in the infrastructures, integration of new human resources, re-engineering and intensification of outreach activities that are now bringing CHWs door to door to engage and support the local population.

A new monitoring toolkit for health care facility (i.e. grid of indicators) and the related training has been providing. The level of satisfaction is good, however a lack of data elaboration at provincial level persists in order to provide a structured feedback to local health communities.

According to the above-mentioned evaluation report, the project is duly implementing the sensitization and awareness planned activities, in collaboration with the local health system, the schools, the communities, and all the relevant stakeholders. However, behavioral change remains a challenge even if the younger generations are showing more interest in and attention to health education campaigns. Pregnant women as well are being receptive and increasing their understanding of HIV and PMTCT.

With regard to the specific objective of the project (to facilitate the provision of innovative services on Anti-retroviral therapy and Preventing Mother-to-Child Transmission for infant and mother on rural areas supporting the local authorities in the implementation of their own competences and empowering the communities to play a more meaningful role) is early to evaluating the impact, because the project is still in progress.

However, an important results achieved concerns the effectiveness of support activities in helping the local health communities to implement the national strategy.
The capacity building actions as well as the day by day work alongside the local communities are contributing to offset the lack of know-how of the health workers. Notably, concerning the capacity building, a set of physical training tools have been delivered (documents, video, etc.) so that to provide a concrete legacy of the action for other officials. This undoubtedly represents on of the main results of the project to this day.
In this regard, the mid-term evaluation states that "the project appears to be effective in supporting the local system of Or Tambo in the implementation of ART and PMTCT services, moreover the project is introducing new tools for quality improvement and service performance monitoring. The training of 2 new Community-Health Workers assigned to each local health facility is further strengthening the community side, contributing to the linking of communities to the health services. This action represents an highly appreciated solution for filling the gap left by the public system,

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Co-ordinator, the District Municipalities, the Sub-Districts, the local authorities. They were involved both during the initial phase that all throughout the implementation of the project.
[30] Como, Elena, November 2013, Draft Report of the Mid-Term External Evaluation of the MATCH Project.

which is expected to employ these and more human resources through its new National Health Insurance scheme. The project therefore appears strongly aligned with the local system and complementary to it".

A second important result is to have undertaken a dialogue with the national level concerning the implementation difficulties and to that end a seminar in Pretoria has been hold involving national, provincial and local representatives.

OIT's INTERVENTION STRATEGY

The starting point of the project was the experience acquired by Region of Tuscany in the sector of health cooperation with African countries and the recommendations and guidelines arisen from such experience. Moreover, the approach aimed at exploiting the already existing SADC regional strategy for combating HIV/AIDS and the already existing methodologies used in planning, management and monitoring of ART and PMTCT protocols in rural areas.

In order to achieve the specific objective of the project (to facilitate the provision of innovative services on Anti-retroviral therapy and Preventing Mother-to-Child Transmission for infant and mother on rural areas supporting the local authorities in the implementation of their own competences and empowering the communities to play a more meaningful role) the intervention strategy is based on the putting in place of a specific care model. The main features of the model are as follows:

1) Decentralization of ART, VCT, and PMTCT services
2) Integration of PMTCT in Reproductive and Maternal Care
3) Adoption of WHO Guidelines
4) Comprehensive and family-centered approach for prevention, treatment care and support
5) Collaboration with CBOs and PLWHA associations
6) Role of Community Health Workers.

Because this model in already existent in the national strategy, the project effort focuses on *supporting* local authorities in its implementation and on facilitating the exchange of experience and inputs between the three different countries (districts) involved, except for Kananga where the local health system has formally adopted but not yet started to implement the PMTCT guidelines in rural areas.

The methods of implementation is based on a "multi-sector" approach, which involves the following dimension[31].

a) Multi-partnership dimension, in order to achieve national coverage and universal access (scale up): the project is based on the assumption that PMTCT programmes need to be scaled up to prevent HIV infection among women of reproductive age, unintended pregnancies among women living with HIV and mother-to-child transmission from women living with HIV to avert hundreds of thousands of new HIV infections among children; to identify and treat pregnant women needing antiretroviral therapy for their own health; and to provide care, support and treatment for children and families.

b) Country ownership and accountability: project considers essential that governments, working with key stakeholders including the private sector and civil society, owned and drove programme planning and implementation.

c) Emphasizing the participation of people living with HIV and communities: project considers essential the participation of health workers, women living with HIV, lay counsellors in order to provide opportunities to engage male partners, families and communities and to increase the uptake of services as well to accelerate the scale up.

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[31] This part is mainly extracted from the application form.

d) Coordinated and sustained partnerships: long-term effective partnerships between national governments, international and national partners, civil society are considered crucial to harmonize and sustain action towards common goals and targets.

e) Delivering a comprehensive package of services is considered important for including links between services and integration with maternal, newborn and child health services and then for achieving the goal of eliminating HIV among infants and young children. To this end the PMTCT was linked to HIV care and antiretroviral therapy and integrated into existing maternal, newborn and child health services, other sexual and reproductive health programmes, services for sexually transmitted infections and voluntary counselling and testing services targeting most at-risk groups.

f) Giving priority to providing antiretroviral therapy to eligible pregnant women: project aims at providing highly effective PMTCT interventions for women with the highest risk of transmission (pregnant women living with HIV).

Beside that, one relevant approach dimension is the **transnational component** in order to answer to the needs expressed at regional level, through: (a) exchanges of best practices activities (specifically, exchange of North-South and South-South experiences aimed at sharing planning and management process and at establishing innovative strategy and methodology for the areas of interventions); (b) capacity building of local authorities on the and management of HIV infection and AIDS services; (c) the strengthening of institutional and evaluation mechanisms; (d) the establishment and capitalization of innovative methodology for rural area that involve local communities in setting priorities, planning and managing of maternal and child care services.

At countries level, the strategy of in-country component is to answer to the following constraints of the target group and final beneficiaries: (a) limited access to adequate health services through a strong **capacity building** action aimed at the improvement of service management and delivery as well as at the enhancement of human resources skills; (b) limited community awareness through information campaigns; (c) community empowerment through the adoption of effective mechanism of participation.

Finally, the approach also focuses on **decentralisation of services** as a key element in order to guarantee a better access, in the rural areas, to the health care territorial services on HIV infection and AIDS for pregnant mother and infant. On this side, the project approach set up different activities oriented to the community empowerment and to the direct participation of the communities and relevant stakeholders in the planning and management of the services of ART and PMTCT.

GOVERNANCE STRUCTURE OF THE PROJECT AND STAKEHOLDER INVOLVEMENT

The governance structure of the project is conceived for correctly responding at the specific dimensions of the intervention strategy as above-mentioned (multi-sector, transnational, in-country).

To that end a **Steering Committee** has been established with the role of ensuring connection and exchange between the experiences of different countries and help to promote dialogue between different levels of governments. Specifically, it is responsible for:) Ensuring the guidance of the project; b) Providing scientific supervision of activities; c) Establishing an internal "monitoring and evaluation task team" in order to capitalize the lessons learned and creating models for the scaling up of the intervention. It is composed by: a representative of each partner; a representative of the donor; a representative of SADC "Combating HIV/AIDS program"(as observer); a PMTCT expert/academic from South Africa, Tanzania, Congo DR.

The role, commitment, responsibilities and duties of each partners was formally underwritten with the Memorandum of Understanding (MoU).

A **project coordination unit** has been settled in Italy in charge of the overall administrative and technical project coordination and management. Symmetrically, a **project management unit** was established in each country in order to ensure the office set-up, the recruitment and appointment of the personnel, of the technical-administrative-financial management of the in-country activities.
Moreover, a **project management committee** has been settled in each country, formed by the person in charge of the health facilities, the representatives of health district office, the representatives of local authorities, the traditional leaders ("chiefs"). These committees is responsible for providing governance and policy direction in each country and for validating financial and monitoring reports.

An Internal Monitoring and Evaluation (M&E) Task Team has also been created, which is responsible for establishing the project M&E system, and for supervising its implementation (every six months report were expected).

With regard to the local partners and associates, namely the District of Or Tambo (South Africa), the Kondoa District Council (Tanzania), the Ville de Kananga (Congo DR) and the Small Projects Foundation-SPF (South Africa) their are continuously and directly involve in the implementation activities; some of them provides institutional support, some others contributes to the identification of seminar participants and local experts. The SPF, being very rooted in the Or Tambo territory, is crucial for ensuring technical support to the applicant along with Oxfam Italy staff.

Specifically for the South Africa component the local partner **Small Projects Foundation** (SPF) it represents undoubtedly a strength of the project because of its strong expertise in the thematic areas of intervention and excellent knowledge of the context. It guarantees high operational capacity, good reputation and relationships with local stakeholders, significant expertise in the areas of health and social development (including youth and gender empowerment). Therefore it plays a role of qualified technical partner in the implementation of the project.

The authorities at regional level and at district level are essential to provide enhanced health services. For this reason they are the main counterpart of the project. In Tanzania, the Kondoa District Council led by the District Executive Director, the Ministry of Health led by the District Medical Officer of Health and the District Health Management Team comprised the implementation partnership of the project.

The local communities at village level represent an other crucial stakeholder of the project: they plays an active actor on participation activities, which has been introducing to the village government with the assistance of the local authorities and in cooperation with the private actors working already in the fields (NGOs, other programme etc.).

Other relevant stakeholders are WHO, SADC and Programma. The coordination with them is essential to create synergy, to avoid overlapping of activities and to facilitate the capitalisation of the good practices.

The Italian partners (CMRS, COSPE and Oxfam Italy) provide all throughout the project the technical assistance to the applicant for implementing the activities. Specifically, CMRS ensured this role in Tanzania and Oxfam Italy in South Africa and DR of Congo.
COSPE is responsible for assisting the applicant technically and financially in the implementation of the transnational activities and in the capitalization of Swaziland good practices.
The project show clearly that this NGOs partnership is essential for providing technical assistance to a project implemented through a multi-sector approach and a transnational dimension.

OXFAM ITALY's ROLE

The project is being implemented by Oxfam Italy that is responsible for the overall project management and supervision in collaboration with the local partner Small Projects Foundation (SPF).
According to the evaluation report, Oxfam Italy is carrying out an intensive stakeholder mobilization aimed at engaging the local authorities and health system as well as it is arranging a number of training sessions for different target groups. The efforts of the partner to implement the project is excellent, however the context is particularly challenging because no ART and PMTCT services are presently in place in the local health facilities of DRC. Therefore, the project has had to adapt the contents of the activities and is now starting a process to support Kananga in accessing the necessary resources (from external Ministry of Health partners) for implementing the relevant services.

OIT has proving a great operational capacity in assisting the applicant in the implementation of the project in South Africa and Congo DR. OIT has acting its role in the background rather than as a direct implementer and provides the applicant and the local partners with a alongside assistance.
Essentially, OIT acted as a process facilitator. Its role is crucial in maintaining the stakeholders committed on the project objective as well as in providing operational arrangements in case of implementation stoppages.
OIT is legitimated by local stakeholders for its "neutrality" and for being a bearer of technical expertise. This allows OIT to leveraging the direct involvement the local health communities and to rising the issues related to the implementation of the decentralised health system to the national level.

LESSONS-LEARNT

The lessons-learnt from the project are as follows:
1. Long lasting bureaucratic procedures caused a considerable delays and was critically time-absorbing, to the detriment of the implementation of project activities.
2. The links with previous projects[32] facilitate the contact with local stakeholders and exchange of experiences.
3. As the respective governments have prioritized HIV and AIDS and maternal and child health programs and the project interventions are embedded in the government policies, systems and structures in the delivery of health services, therefore it is likely that the benefits provided by the project will be supported in the future.
4. Because the project is ensuring the involvement of key multi-sectoral and multi-level partners such as government health authorities, local authorities, community based organizations, People Living With HIV and AIDS Associations, the ownership of the project is high. The target communities (Community leaders, opinion leaders, traditional chief) are involved in the whole project process, thus ensuring that they play their role in social mobilization and demand creation, as well as providing crucial knowledge of the local culture and social context.
5. The capacity of health facility committees, local community based organizations, local AIDS councils and PLWHA in management and community mobilization is increasing, thus likely ensuring lasting benefits to the communities.
6. The project demonstrates the efficacy of the decentralizing HIV and AIDS services to the community/village level health clinics. At the community level, the community health workers and the village leaders have provided the required structural and operational support for the MATCH project.

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[32] Region of Tuscany project "Fighting the Mother-to-child Transmission of HIV"; Provincia di Livorno project "Women Health to Fight Poverty"; SPF project "Paediatric HIV Treatment for Africa".

12. MANAGEMENT OF LOCAL WASTE SERVICES AND SANITATION WASTE IN DEMOCRATIC REPUBLIC OF CONGO

Case-study by Giulietta Delli – July 2014

GENERAL INFO

Title	**Strengthening Decentralized Territorial Entities (ETDs[33]) and Local Associations ETD in the Management of Local Waste Services and Sanitation of the City of Kananga** (in French: *Renforcement des ETD et des associations locales dans la gestion du service locale de base d'hygiène et d'assainissement de la ville de Kananga*)
Location	City of Kananga - Province of Western Kasai (Democratic Republic of Congo-DRC)
Budget	Euro 323.452,00
Date	2011-2013
Contracting Authority	European Commission
Contract Beneficiary	Oxfam Italy (OIT)
Partners	Caritas Kananga Municipality of Kananga

PROJECT OVERVIEW

Decentralization was forged in the 2006 Constitution as the new system of governance in the Democratic Republic of the Congo. Decentralization involves transferring competencies and responsibilities to decentralized entities, namely provinces and Decentralized Territorial Entities (ETDs[1]). The services provided by ETDs relate the maintenance of law and order, health centre activities, schools, markets, and road construction and maintenance. To enable provinces and ETDs to handle services the Constitution decrees that the 40% of the national revenue generated by the provinces has to be allocated to them and the provinces are required to transfer to ETDs 40% of the resources allocated to them by the central government.[34]

Nevertheless, in 2011 a World Bank report outlined a number of challenges for the DRC[35], because:
- "Most Decentralized Territorial Entities remain ineffective in providing public goods and services to their populations."
- "ETDs are characterized by the lack of a structured administrative organization that is systematic and capable of handling the prerogatives conferred on it by the Constitution. Major administrative constraints include the absence of a bill on the organization of central, provincial, and local administration, ageing, under-qualified, and unmotivated staff, weak technical capacity, and a lack of infrastructure and equipment."
- "Internal management of resources among ETDs is also lacking, which results in the

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[33] In French, Entités Territoriales Décentralisées – ETD.
[34] Extract by: World Bank Report No. 68553-ZR, *Democratic Republic of Congo An Analysis of Administrative Financial, and Public Service Delivery Status in Decentralized Territorial Entities (ETDs)*, Feb 2011.
[35] Source: http://localdemocracy.net/countries/africa-east/drc/

absence of budgets and financial reports. This problematic situation is made worse by the lack of monitoring mechanisms at the central, provincial, and ETD levels."

The project was located in the city of Kananga which, with 1.300.000 inhabitants, is organised in 5 municipalities.

Waste management was (and still is) a priority issue in order to preserve the health of citizens. In the city of Kananga, in few years, the tons of waste have increased from 6 to 20 because of the rapid population growth. Waste were present everywhere, including streets, cultivated lands, gutters and rivers. This affected both the general sanitary conditions and the risk of disease spreading. The diseases linked to unhealthy environment (gastrointestinal, respiratory, malaria, etc.) have become permanent and the risk of epidemics such as dysentery, tetanus, cholera, typhoid fever, tuberculosis was increasing.

Although improving sanitation services was one of the main goals of the strategic planning of the city, there was not a structured strategy to cope with this goal. As well as the city government did not envisage a participation process in order to to tackle the waste issue with the collaboration of non-state actors, such as local communities, civil society organisations, private sector.

In this framework, the project aimed at supporting the decentralization policy initiated since 2008 by the Government of the DRC, in line with the priorities of the Strategy Document for Growth and Reduction of Pauverté (DRCSP II). In this regard, OIT implemented along with the city of Kananga a previous project within the decentralization framework concerning the reinforcement of the local institutions and the development of local cooperatives and small commercial farmers.

The project **general objectives** were: (a) improving the livelihood conditions of the population of Kananga through the improvement of basic services (salubrity of the City and hygienic-sanitary services); (b) strengthening the synergy between local actors (LAs) and non-state actors (NSAs) in the management of basic services to fostering the development and integration of disadvantaged groups, through the creation of a local management committee composed of representatives of local authorities and civil society.

The **specific objective** was strengthening the local hygiene and the basic sanitation services through the involvement and networking of ETDs and civil society.

The project **beneficiaries** were the state and non-state actors involved as well as the city of Kananga population.

PROJECT RESULTS AND MAIN EFFECTS ON THE BENEFICIARIES

The results of the projects were as follows:

A) The establishment of a coordination mechanism between the Mayor, the ETDs and civil society in the management of basic service for hygiene and sanitation. To that end the project organised along with the main NSAs an harmonization and awareness seminar involving the urban authorities of the City of Kananga, namely the Mayors, the traditional leaders, the community chiefs, the police commanders. A local management committee (LMC) was established to coordinate and organise the activities of the sanitation teams and the community relays (RECO) as well as to ensure the effectiveness of the basic services.

B) The technicians of the municipalities and the local members of the LMC were trained in techniques for public safety and tax collection. Notably, a training workshop for 50 technicians sanitation of the 5 municipalities of the City was organised; 50 people (teachers, nurses, managers of social structures, parish, university, etc.) were trained on technical environmental sanitation; 30 officers were trained as tax collectors were trained on tax collection methods; some awareness campaigns were organised by the LMX along

with the RECOs in different parts of each pilot municipality.

C) ETDs were properly equipped to deploy the works of public sanitation environment. Notably, 200 logistic kits were distributed to the sanitation team members; two waste centres were established for collecting, sorting, and treating waste; organic matter was destined to the market gardening activities; 10 latrine blocks were built or re-put into operation in three sites of high concentration of population.

D) About 70 young people were employed in public sanitation works. A coordination unit was established for the supervision of young people and women employed in that and for the distribution of kits; a training seminar was organised for 40 RECO and 40 safety sanitation team members.

Concerning the project **effects** on the project beneficiaries, the ROM mission revealed that the project's contribution to the improvement of living conditions and strengthening the synergy between the ETD and NSAs was satisfactory. Moreover, the LMC monitoring role in the project as well as the way the committee took the decisions and included key local stakeholders have been perceived by the city of Kananga, the ETDs and NSAs as a true innovation. This demonstrates the value of networking and consultation process in taking decisions.

The discussions on the practical arrangements of waste collection, the door by door dialogue with the population conducted by the RECOs, the debate on the new criteria for selecting land for future waste treatment centres are elements that all together have established a constructive dialogue and consensus on priorities and strategies[36].

The final report of activities states that citizens have change their behaviour in collecting and treating households waste, due to an increased awareness on the subject of sanitation. As well as the project had the effect of promoting the start-up of new economic opportunities. For instance the production of plastic tiles for outdoor floors started-up and this opportunity was seized by young and women of the city which started to collect plastic bags (youth) and open purchase points of plastic bags (women) for delivering them to the waste management centres of the city[37.] In the waste treatment centres the sanitation teams produce the plastic tiles for selling them to households, restaurants, and so on.

With regard to the training component, the capacity building process involved not only the representatives of the public administration but also civil society. As a result, the participation and awareness on the waste issue increased significantly. The municipality staffs acquired more skills, and after the project they became autonomous in handling their work. In brief, the City of Kananga received this legacy by the project:

1) well-trained staffs in waste management, which are able to continue forward with the distribution of the service;
2) an increased awareness of the citizens due to RECOs activities;
3) two sorting centres built and running;
4) 40 garbage bins constructed;
5) 30 tax collectors trained;
6) income-generating activities for young and unemployed women (collection and selling of plastic bags for the plastic tile production).

Finally, according to the ROM report the methodology used to foster dialogue between ETDs and NSAs, to involve NSAs and civil society participation in decisions about services as well as the seminars on taxation allowed the Mayor to improve the tax perception and create a model replicable to other basic services. The project was well rooted in the local structures. There was political support at the municipality, national (which provided two waste trucks) and provincial level.

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[36]   Extracted and translated from ROM monitoring report (French version).
[37]   Extracted and translated from OIT Rapport Narratif Final (French version)

The province of Kasai requested the project to participate in the elaboration of the provincial legislation on the hygiene and sanitation, which includes a "tax of salubrity".

OXFAM ITALY's INTERVENTION STRATEGY

The project was conceived as a reinforcement action addressed both to the ETDs and the civil society, in order to create awareness on waste issue and to provide the local communities with a waste basic service.

One assumption of the project approach was the importance of the **participation** of the civil society in the decision-making process as a key element to ensure suitable and durable services. A **bottom-up** process was then supported for creating a concrete local policy concerning the waste management.

To that end, the project involved different stakeholders (local authorities and non-state actors) in Kasai Occidental Province: Provincial Assembly of Kasai Occidental, the City of Kananga, Kananga CARITAS and other representatives of civil society organizations working with local authorities in strengthening public services (such as women and Muakaji association Ba Mamu Tabulukayi). The sense of ownership of the project within the actors involved in the implementation was considered essential for the success of the project itself. This required the ability of animation and of stimulating the dialogue as well as the "listening" to local institutions and non state actors.

A second element of the project approach is the **networking** within the local stakeholder community. The project created strong mechanisms of collaboration between different actors operating in the territory of the city with the goal of responsible, sustainable and inclusive development. This partnership was also aligned with the rational of the Organic Law N08 / 016 of 07.10.2008 on the ETD and the Law 08/012 of 31/07/2008. Moreover the provincial level provided relationships between local, national and international institutions as well as between public and private sector to promote development activities in the territory.

The LMC ensured monthly meetings and periodic reports which were submitted to all the committee members as a principal instrument of dialogue, exchange and sharing on the development of the project activities. The committee included some civil society representatives as members.

The third element of the project strategy was the **reinforcement of capacity** of ETDs and non-state actors; training was ensured by the project in order to make the ETDs and civil society actors autonomous and able to play their role in the waste management.

GOVERNANCE STRUCTURE OF THE PROJECT AND OIT's ROLE

The project **governance structure** relied on the LMC and on the involvement of non-state actors interested in waste issue. The LMC was composed of:
1) the Mayor of the City of Kananga;
2) 5 chiefs of the 5 municipalities of the City of Kananga;
3) the head of the Division of Environment of the Kasai Province (which ensured inter-institutional dialogue and provincial government participation);
4) a representative of Oxfam Italy;
5) a representative of Caritas Kananga;
6) the chief of the sanitation team;
7) the presidents of the civil associations CMBT and woman's Muakaji.

The LMC was driven by the Mayor of Kananga with the technical support of Oxfan Italy. The Municipality of Kananga played an important role with regard to the collection of data, identification of target groups and beneficiaries as well as it contributed to the identification of the strategy of implementation and to draft the budget.

The role of the Caritas in the governance structure was conceived for ensuring both technical expertise and knowledge of the local community (rooting).

Concerning the local **stakeholders** interested in waste management, the various district committees worked closely with the waste treatment centres, private citizens organized into purchasing points to selling plastic bags, associations of women and men working in the field of gardening benefited from the compost produced in the treatment centres by the members of the sanitation teams.
Moreover the ETDs, the local associations (such as women's centre MTBF, Woman's Muakaji), the sanitation teams, the community relay (RECO), the sanitary technicians attached to the project were meanwhile direct beneficiaries of the project and key actors in the implementation of project activities.

In this governance structure of the project, **Oxfam Italy** ensured the project coordination. Its role focused on the traditional coordination activities and also on the reinforcement of the capacity of the ETDs and NSAs, through a day by day support along with them. Several activities were directly implemented by the City of Kananga to the end of ensuring the ownership of the project results.
OIT promoted the spreading of good practices to capitalize previous experiences and to facilitate the project implementation.

OIT role was also essential for mobilizing technical competences both at local and international level. These competences allowed the City of Kananga to better handle the construction of the waste treat centres and the tax collection.

LESSONS LEARNT

The lessons-learnt from the project are the following:

- the existence of a national normative framework on decentralisation was a crucial element for the successful implementation of project, although the local governments in DRC do not have yet adequate resources and capacity to deal with local issues and to provide basic services;
- in contest where decentralisation process is recent, it is essential to involve civil society (local associations, private sector, traditional chiefs, an so on) as a pillar in the policy-making process against the weakness of local institutions; as well as it is essential to provide local institutions with technical skills;
- the strong commitment of the City of Kananga Mayor ensured the "mandate" to implement participation activities and training; it seems essential to have the commitment of at least one institutional level to involve actively the local stakeholders;
- *addressing the waste issue through a bottom-up process, involving civil society, enabled the provincial level to revised its safety and sanitation policy and to re-issue a related specific regulation, which introduced also a "tax of salubrity".*

13. STRENGTHENING THE SYSTEM OF SMALL AND MEDIUM ENTERPRISES IN BOSNIA-HERZEGOVINA

(Action 3B of SeeNet)

Case-study by Giulietta Delli – July 2014

GENERAL INFO

Title	**Strengthening the System of Small and Medium Enterprises** Action 3.B of SeeNet2[38]
Location	Bosnia Herzegovina
Budget	€ 934.621,00
Date	Nov 2009- Oct 2013
Contracting Authority	Ministry of Foreign Affairs of Italy
Contract Beneficiary	Region of Tuscany (Primary partner)
Partners of 3B Action	Region of Emilia-Romagna In **BiH:** Canton of Zenica-Doboj, Canton of Herzegovina-Neretva, Municipalities of Prijedor and of Tuzla In **Serbia:** Municipalities of Kragujevac and of Lazarevac *Technical partners:* Oxfam Italy (OIT), Toscana Promozione In **BiH:** PREDA Prijedor, LINK Mostar, BSC Zenica, RPC Lipnica Tuzla, Entrepreneur Association of Tuzla, REDAH Mostar In **Serbia:** Regional Development Agencies "Beograd" and "Šumadija and Pomoravlje"

PROJECT OVERVIEW

The project is a part of the SeeNet Program which from 2003 to 2013 involved, in two phases (SeeNet 1 and SeeNet2), 60 partner organisations from eight countries[39]. The countries involved in the Program were Italy, Albania, Bosnia & Herzegovina, Croatia, Macedonia, Serbia, and The Autonomous Province of Kosovo as well as 13 Tuscan local governments.

The Program operated following the end of the fierce Balkan conflict, in an area hard hit by the consequences of this conflict. The objectives of the first part of SeeNet were: (1) to strengthen the managerial capacity of 21 local governments in order to consolidate their role in the governance of local economic development and of public services; (2) to create a solid network between partners located in the Balkan area and partners located in the region of Tuscany. The Program intended to build up new systems of *governance* through the strengthening of democracy and the decentralisation process.

The second part of the Program (SeeNet 2) operated from 2008 to 2013 and was focused on the

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[38] South Eastern Europe Network (SeeNet). SeeNet 1 2003-2006 and SeeNet 2, 2007-2013.
[39] Initially the SeeNet partners included 21 public institutions in South Eastern Europe and 13 in Italy, and two technical partners (IRPET and CISPEL).

exploitation of the solid partnership built by SeeNet 1. SeeNet 2 aimed at: (1) facilitating the access of South East European Program partners to the EU pre-accession funds as well as to national and international funds for local development; (2) encouraging the adoption and the development of innovative programs and services concerning territorial management, economic development and social planning[40].

Therefore, SeeNet 2 envisaged the implementation of 9 vertical actions and 4 horizontal actions. The present project (SSSME) was one of the nine vertical ones, specifically the 3B Action.
The SSSME involved six Bosnia Herzegovina public institutions, namely the Municipalities of Prjedor, Kragujevac and Vozdovac and the Cantons of Zenica-Doboj and Erzegovina-Neretva as well as four Italian public institutions, the Regions of Piedmont, Emilia-Romagna, Marche and the Autonomous Province of Trento.

The **objective** of the 3B action aimed at increasing the development potential of the system of small and medium enterprises (SMEs) in the areas concerned. Specifically, the objective was to provide support in order to reinforce the networks, to exchange information and good practices and to develop the cooperation among SMEs, institutions and technical agencies. The subjects touched by the 3B Action were specifically: the production process (certifications, traceability, standards), marketing, branding and development stakeholders.

The **target groups** and **direct beneficiaries** of the Action were the local institutions, the development agencies, the SMEs, the local manufacturers and other economic operators interested in local development. The **indirect beneficiaries** were trade associations, industrial districts, Universities, SME incubators.

PROJECT RESULTS AND MAIN EFFECTS ON THE BENEFICIARIES

The 3B Action provided 1,020 small and medium enterprises with 1,490 m2 of reconstructed business and production space, 92 B2B meetings during 7 fairs and investment events, 18 policy documents, 69 workshop conferences and gatherings with 1,614 participants.

The Action provided consistent technical assistance in terms of "promotion and offer of products and services" of which the main results were an improved capacity of the local SMEs in acceding to national and international markets as well as the reinforcement of the clustering process among SMEs. The Action also supported the development of cooperation among SMEs, institutions and technical agencies (multilevel governance) and hereby ensured the creation of a policy on local development involving local institutions, development agencies and other institutions; to this end strong relationships among development agencies and the above-listed technical partners were established.

In general, according to the final evaluation, Action 3B showed good results in triggering the local private stakeholders towards an active participation in the governance of the local development policy. As a result, the network of public institutions and private stakeholders involved in economic development was strongly reinforced due to the 3B action.

The following table shows in brief the output and results achieved.

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[40]   The Italian partners main interest in participating was the reinforcement of reciprocity of the pre-existing relationships between Italy and Balkan countries as well as the aim of promoting a synergic and inclusive strategy in dealing with local development issues.

Table 1 – **3B Action output and results**

OBJECTIVES	HOW	OUTPUTS and RESULTS
Strengthening capacity of public and private bodies that deal with local economic development	Improving physical (hard) infrastructure and providing necessary equipment for the institutions	1) Business Centre in Prijedor 2) Centre for Export and Clustering of SMEs in the Sumadija and Promoravlje Region in Kragujevac 3) Development and Entrepreneurial Centre in Lipnica and the Scientific Research Centre and the Innovation and Technology Park (BIT), in Tuzla
	Improving services (soft infrastructure) that the institutions provide to SMEs	4) Centre of excellence 5) Study trips and training 6) Review of Administrative Procedures and Programs for the support of SME Development in the VA3B territories 7) Centre for the wine growers in the Autonomous Province of Vojvodina 8) Centre for wood technology in the Vukovar-Srijem County 9) Centre of Agronomy in the Tuzla Canton
Strengthening networking of development agencies and other stakeholders in order to improve services that they provide to SMEs	Continuous promotion of good practice and development policies	10) Strategy for the development of SMEs in Herzegovina-Neretva Canton for the period 2012-2020 11) Analysis of absorption capacities in Zenica-Doboj Canton for the attraction of EU funds 12) Analysis of the current state and recommendations for the development of agriculture and the rural area in the urban municipality of Lazarevac. 13) Action Plan for the joint operation of 14 development actors in the territory of Tuzla 14) Reinforcement of LEDNet
Supporting clustering and association of SMEs	Studies and analysis	15) Analysis of potential for improvement of the status of SMEs and contractors in developed industrial sectors, through the development of networking in Sumadija and Pomoravlje 16) Agro Cluster in Lazarevac 17) A platform for development of business incubators in Bosnia and Herzegovina (study) 18) Expert Analysis for the Establishment of a Celpak Business Zone in Preijdor 19) Feasibility Study for Svale Industrial Zone 20) Regional Entrepreneurship Centre of the City of Mostar (study)
	Fairs and B2B[41]	7 fairs
Improving SME access to the market	Analysis of potential, Information, Business Plans, B2B, Investment projects	In total 1020 services provided

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[41] B2Bs were organized as part of fairs and as part of the activities of SME referent persons.

Besides that, the 3B Action achieved some cross-results. First of all, the dialogue within the institutional vertical line has been improved and the local development process rose to the national level. Secondly, the empowerment of the institution at local level has increased and some Regions have been undertaking a planning process with the support of the municipalities of their territories (Herzegovina Neretva Canton in Bosnia and Herzegovina).

Thirdly, some new intervention methodologies were successfully experimented with, such as a new consultation process (Community Based Management), integrated planning and the creation of support centres for small manufacturers. For instance, the Business Innovation and Technology Centre (BIT) with the support of the 3B Action established the Scientific Research Centre which has been acting as a driving force in the local labour market, so that 300 young electronic engineers had the opportunity to start-up a small enterprise.

These results represent a set of instruments that could be capitalised on and spread among all the Program partners and further actions in the future.

OXFAM ITALY's INTERVENTION STRATEGY

The main strategies of the project have been on the one hand **technical assistance** with the aim of reinforcing existent SMEs; on the other hand pushing the "**networking**" and "**clustering**" in order to create and/or reinforce relationships and interest groups among the stakeholders interested in local development issues.

Basically, the action was implemented stressing horizontal subsidiarity and collaboration within the actors of the territory, with the purpose of supporting and stimulating the adoption, implementation and improvement of a local development policy.

The Action coupled the allocation of funds for small infrastructure works with the provision of technical assistance (services). Specifically, it supported the restoration of buildings, the acquisition of new equipment, innovative communication devices, and so on; in relation to service, it provided analysis of potential, information, business plans, investment projects, fair participation, spreading of good practices, etc. with the aim of elaborating strategies, plans and a program of local development.

Finally, the 3B Action approach also included specific **training** to SMEs in order to strengthen their capacity. Table 1 shows in detail the instruments adopted by the Action approach to reach the related results.

As a part of SeeNet 2, the project approach gave attention to these dimensions: (a) finding out **new approaches and instruments,** also exploiting the experience of the Italian partners; (b) design, adoption and coordination of public policy (**policy-making**); (c) promoting **participation** in order to involve the civil society and to reinforce their relationship with the public institutions.
According to the final evaluation, the whole action has been characterized by a mixed public-private management, supported by an effective **technical expertise** on the local development issue, ensured by the official technical partners as well as by the Technology Centre of Pordenone, the University of Udine and three local development agencies.

The 3B Action strategy was designed following a scrupulous need and potential assessment carried out jointly by Italian and Balkan partners on the basis of a mixed and "**multi-competence**" approach, which ensured a smooth implementation of the subsequent activities of the the Action.
As a result of this, for instance, the promotion of collaboration among SMEs and Universities through the empowerment of local development agencies allowed the creation of the support centres for small manufacturers, such as the centre for the wine growers in the Autonomous

Province of Vojvodina, the centre for wood technology in the Vukovar-Srijem County, the Centre of Agronomy in the Tuzla Canton, which works in collaboration with the regional development agency (NERDA) and the University of Tuzla in order to provide advocacy and technical assistance on product certification. One more important aspect of the Action approach was the **exchange of methodologies and good practices** delivered through "participated" training, know-how transfer and integration processes.

Finally the **community based management** was an effective instrument in order to integrate the thematic aspects of the development (tourism, environment, culture, planning).

GOVERNANCE STRUCTURE OF THE PROJECT AND STAKEHOLDER INVOLVEMENT

Concerning the governance structure of the Action, a **Technical Committe**e was established with the aim of overseeing the project implementation, suggesting adjustments and approving the operative plans. It was composed of local technical representatives, partner organisations and OIT representatives.

In each territory involved in the 3B Action, a local **technical representative** of the SME system who facilitated the concrete establishment of relationships among stakeholders. They were trained to this end and to ensure communication within the local networks. Through an accurate analysis, the technical representatives designed the profile of each SME operating in their territories in order to support the enterprises with tailored actions.

The 3B Action also promoted the creation of Centres of Excellence, which were both a result of the Action and a part of the governance structure of the project. Through these Centres the 3B Action promoted the good practice exchanges, the spreading of innovative methods, and the guide-lines for local development. These elements were essential to making up for the lack of a structured national policy addressing local development issues.

With regard to the stakeholders' involvement, "**governance through partnership**[42]" was the slogan and the underlying theme of the whole SeeNet 1 and 2 Programs. It was also used for the 3B Action, which was conceived in a joint meeting of the partners of SeeNet and was led by a joint body composed of technical and political representatives of the territories concerned and representatives of Oxfam Italy (OIT).

A great contribution in creating partnerships among local institutions was provided by the **existent LEDnet** as well as by the Tuzla initiative for creating an action plan shared with 14 local stakeholders. In this regard, the 3B Action has supported a partnership in order to implement a regional strategy for the sustainable development in Sumadija and Pomoravlije as well as the strategy for the SME development in the Herzegovina-Nereta Canton.

Nevertheless, the final evaluation indicates that the 3B action developed only a first degree of exchanges, on a scale of three, which essentially means exchanges of knowledge, documents and general information on, for instance, running of services or quality processes. Therefore, there was not a deep capitalisation on the experiences of the Italian partner.

OXFAM ITALY'S ROLE

The 3B Action management was conducted under the umbrella of the Operational Secretariat (OS) of SeeNet, which was a technical body composed of all Italian and SEE partners of the Program. OIT was in charge of the OS and it ensured the coordination of the vertical and horizontal partnerships involved in the Action.

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[42] Definition extracted from 3B Action final report.

The OS was established both in Italy and in the SEE area and according to the final evaluation was a key element in the successful "**networking**" produced by SeeNet. In fact, it promoted a cross-action which was at the disposal of all SeeNet networks and activities; it facilitated the exchange of information, the links within different actions as well as marking out the potential relationships among partners.

The OS ensured the internal coherence of the Program and of the single Actions toward the Program. It was a sort of watchdog for the adoption of the same approach and strategy in all countries involved, in order to include all relevant stakeholders before and during the implementation.

Substantially, the OS was able to design a space where the stakeholders would be encouraged, supported and, finally, reassured by a system of shared and known rules in creating synergies and development opportunities.

The final evaluation confirms that if the partnership was the binding agent of the individual Actions of the Program in facing implementation impasses, the OS was the cement of the partnership, keeping it coherent and focused on the Program objectives. According to this evaluation, the presence of the OS represents a model to repeat in similar programs, also attributing to it the monitoring and capitalisation duties.

LESSONS-LEARNT

The lessons-learnt from the project are the following.

1) The project interruption due to the evaluation procedure of the Ministry of Foreign Affairs affected the smooth implementation of both the Program and the single Actions. Nevertheless, it stimulated the Balkan partners in searching for new funds. In this regard the Program Focal Points were able to turn the constraints caused by the interruption into an opportunity and they provided support and assistance to local partners in elaborating new projects; this also allowed the creation of transnational collaborations.
2) The **networks** created by SeeNet 1 were essential in order to achieve the results of the SeeNet 2 Actions, including the 3B Action. The exchange of practices, the active involvement of SMEs and local institutions as well as of the other key stakeholders was feasible in the lifetime of the Actions because the networks were already established.
3) The presence of both public and private partners in the 3B Actions allowed the creation of a shared strategy (and action plans) concerning local development and a good exploitation of the Action resources.
4) The approach, based on **vertical and horizontal partnerships** among partners and stakeholders, has proved to be strongly effective in ensuring solutions in case of implementation paralysis, as shown by the case of the Municipality of Lavared, where the political turnover initially entailed an stoppage in collaboration with the regional SME centre. Putting the new political representatives in contact with other representatives of the 3B Action partners was the keystone to overcoming this. Likewise, the drawn-out government crisis in Zenica-Doboj delayed the implementation of the local development policy. In this case, the 3B Action management stressed the relationship with the local associations in order to ensure the prosecution of activities.
5) The presence of **technical expertise** throughout the Action (and, ultimately, the Program) was essential in order to legitimate the intervention towards the local stakeholders. The quality of this expertise is a condition for the achievement of concrete results and ensuring the prosecution of the benefits.