

# If not us, then who?

**Social Dimensions of  
Community-based Environment Initiatives**

**23150**

December 2000



THE WORLD BANK

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for Reconstruction and Development/THE WORLD BANK  
1818 H Street, N.W., Washington, D.C. 20433, U.S.A.

Printed in Bangkok, Thailand  
First Printing December 2000

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This paper was written by Kirrin Gill of the Environment and Social Development Unit of the East Asia and Pacific Region. Tanvi Nagpal, Illangovan Patchamuthu, Heinrich Unger, Warren Van Wicklin, Thomas Walton, Anna Wetterberg, and David Williams provided peer review. Katherin Golitzen provided editorial assistance. Kanchalika Klad-Angkul prepared the document for publication. Cover and layout designed by Ratchubol Chayutkul.

“If not us, then who?”

Social Dimensions of Community-Based Environment Initiatives

# Contents

5	<u>FOREWORD</u>
6	<u>ABBREVIATIONS AND ACRONYMS</u>
8	<u>ACKNOWLEDGEMENTS</u>
11	<u>INTRODUCTION</u>
12	<u>THE AIMS OF THE STUDY</u>
13	<u>METHODOLOGY</u>
15	Limitations of the Analysis
16	<u>THE MEIP APPROACH</u>
16	Indonesia
17	Philippines
23	<u>BUILDING BLOCKS OF THE MEIP APPROACH</u>
23	Country and Local Context
23	Community Involvement
26	Local Decision-Making
27	Local Contributions
29	Capacity Building
29	Transparency and Accountability
29	Inclusion
32	<u>BENEFITS OF THE MEIP APPROACH</u>
32	Project Impact
33	Innovation and Dissemination
34	Institutionalization
35	Sustainability
37	Expectations
38	Factors of Influence
42	<u>CONCLUSIONS</u>
42	Implications of the Study Findings
45	Ripple Effects
47	<u>REFERENCES</u>
49	ANNEX A: THE PHILIPPINES, PROJECT SUMMARIES
54	ANNEX B: INDONESIA, PROJECT SUMMARIES
58	ANNEX C: FOCUS GROUP QUESTIONS FOR COMMUNITY LEADERS

## BOXES

25	Box 1. Babon River: Banding Together to Monitor the Health of a River
28	Box 2. Paliko Creek Rehabilitation Program: A Partnership Approach
31	Box 3. ZKK Solid Waste Program: A Medical Clinic Tackles an Urban Community's Garbage Problem
36	Box 4. The Kampung Improvement Program (KIP): A Comprehensive Approach to Environmental Problems
41	Box 5. Summary of Findings

## FIGURES

24	Figure 1. Community Involvement in MEIP Initiatives: Extent
25	Figure 2. Community Involvement in MEIP Initiatives: Quality
32	Figure 3. MEIP Project Impacts
35	Figure 4. Sustainability of Project Investments
37	Figure 5. Sources of Funds for Project Maintenance
38	Figure 6. Community Involvement and Project Impact
38	Figure 7. Community Perceptions of Positive Factors

## TABLES

12	Table 1. Analytical Framework
14	Table 2. MEIP Community Initiatives Selected for the Study
19	Table 3. Projects Selected for the Study: The Philippines
21	Table 4. Projects Selected for the Study: Indonesia
40	Table 5. Summary of Community Perceptions of the MEIP Initiatives
45	Table 6. Key Social and Institutional Indicators for MEIP

"Environmental problems are not problems of our surroundings, but in their origins and through their consequences – are thoroughly social problems, problems of people, their history, their living conditions, their relations to the world and reality, their social, cultural and living conditions...At the end of the twentieth century nature is society and society is also 'nature'."

(Beck, 1992, emphasis in the original)



*Community members in Srengseng Sawah, Indonesia admire a star fruit tree they have planted as part of the Kebagusan Green Corridors Project*

# Foreword

The Metropolitan Environmental Improvement Program, or MEIP, as it is commonly called, has been a pioneer in the World Bank's efforts to address the environmental concerns of Asia's major cities. MEIP called attention to the rapidly escalating solid waste and pollution problems of urban areas and brought together key actors -- government, the private sector, non-governmental organizations, and technical and research institutions -- to strategize how to resolve them. While working with central, provincial and local governments to strengthen policies and develop environmental management strategies, MEIP also piloted community initiatives to test innovative ideas on the ground. These demonstration projects have improved environmental conditions and have given communities the experience and structures they need to continue to improve their lives in the future.

This publication focuses on MEIP's community-based initiatives and considers the social dimensions and long-term benefits of a community-based approach. It explores the experience of twelve community projects in Indonesia and the

Philippines, highlighting how communities gained from the process of establishing the projects, as well as from their outcomes. We hope this paper will be useful to managers of community-based programs, non-governmental organizations, communities and policy-makers as they continue to grapple with the environmental and development facing urban areas.

MEIP embodies the spirit of team effort, and we would like to extend our thanks to the governments of Indonesia and the Philippines, their officials, and representatives of the private sector, media, and technical institutes. In particular, we would like to thank the people who made community action at the grass-roots possible: community members, non-governmental organizations, community-based organizations, local government, and MEIP staff.

Zafer Ecevit  
Director  
Environment and Social Development  
East Asia and Pacific Region  
The World Bank

# Abbreviations and Acronyms

Bapedalda	<u>Badan Pengendalian Dampak Lingkungan Daerah</u> (local environmental protection agency in Indonesia)	MDF	Muntinlupa Development Foundation
		MEIP	Metropolitan Environmental Improvement Program
BHW	<u>Barangay</u> Health Workers	NGO	Non-Governmental Organization
CLEAR	Citizens League for Ecological Awareness and Responsibility	NPC	MEIP National Program Coordinator
		PSF	Public Sanitation Facilities
DENR	Department of Environment and Natural Resources in the Philippines	RW	<u>Rukun Warga</u> (association consisting of several RTs)
EWM	Eco-Waste Management	RT	<u>Rukun Tetangga</u> (Indonesian neighborhood association)
IEC	Information, Education, and Communication	UNDP	United Nations Development Programme
KIP	Kampung Improvement Program		
LLDA	Laguna Lake Development Authority	ZKK	<u>Zero Kalat para sa Kaunlaran</u> (Zero Waste for Progress program in the Philippines)



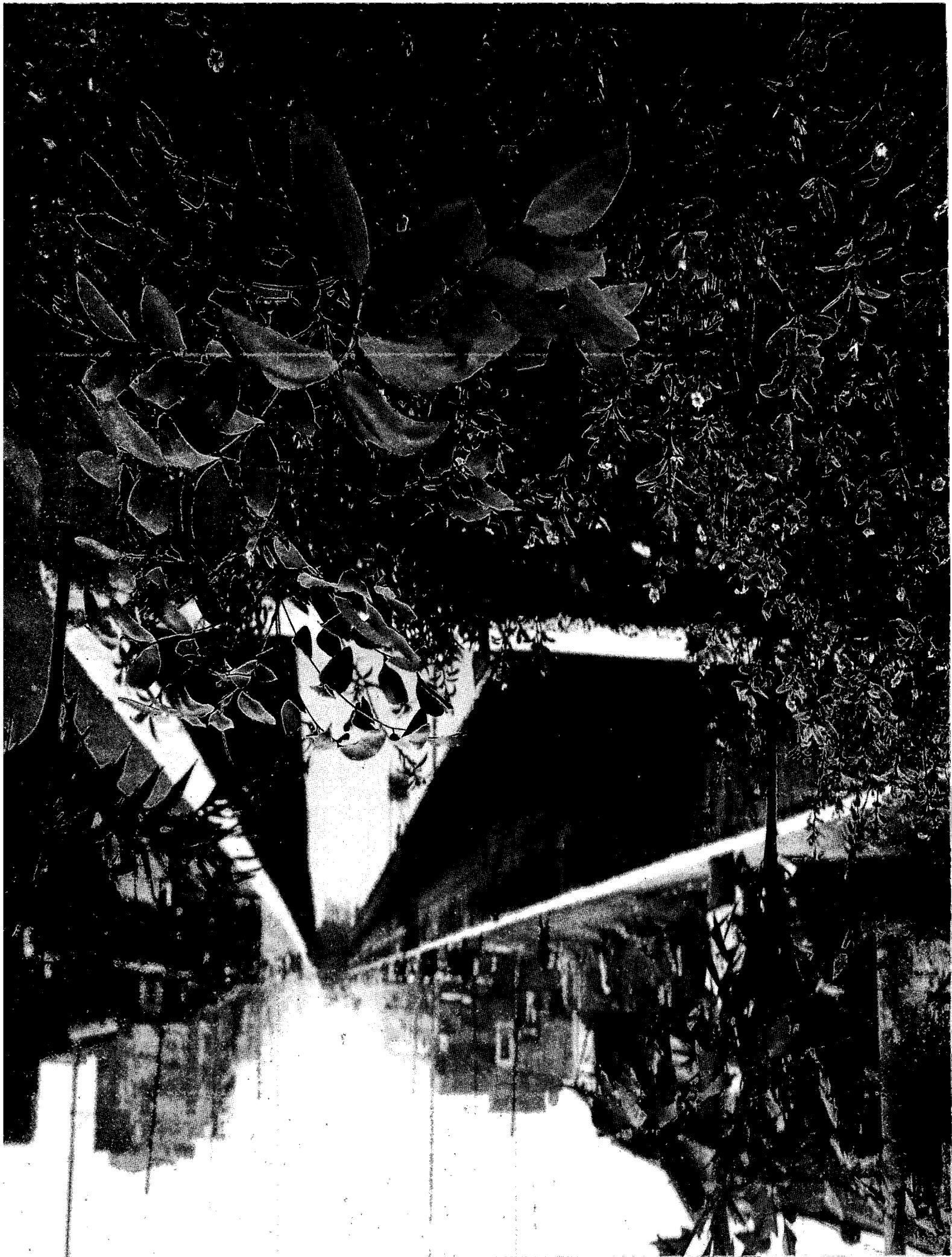


# Acknowledgements

Many people helped bring life to the stories about MEIP described on these pages. The field work for the study was conducted by Victoria Espaldon in the Philippines and Deviarandy Setiawan in Indonesia. MEIP National Program Coordinators, Bebet Gozun in the Philippines and Suhadi Hadiwinoto in Indonesia, introduced the study team to the MEIP communities and painstakingly provided the background details on a decade of experience in the two countries. Members from MEIP communities sat for hours with the study team to describe their experiences. The report was peer reviewed by Tanvi Nagpal, Heinrich Unger,

Warren Van Wicklin, Thomas Walton, and David Williams. Bhuvan Bhatnagar, Lanfranco Blanchetti-Revelli, John Clark, Scott Guggenheim, Patchamuthu Illangovan, Kumi Kitamori, Parmesh Shah, Mark Sundberg, and Anna Wetterberg also provided input.

Learning about MEIP has been an inspiring process. I particularly want to thank all the MEIP partners who made these stories a reality: Illango, Tanvi, Kumi, Bebet, Suhadi, and the MEIP communities, themselves.



A call to action from the people's protests of the 1960s in the Philippines, adopted by the environmental group, Zero Kalat para sa Kaunlaran (Zero Waste for Progress), to mobilize a Manila community to tackle its garbage problem.

For over 10 years, the Metropolitan Environmental Improvement Program (MEIP) worked with communities in Indonesia and the Philippines to find innovative solutions to urban environmental problems. A participatory process to build local ownership, capacity and institutions was central to MEIP's approach. As a result, projects had not only environmental effects but social and institutional ones as well. This paper examines MEIP's social and institutional development process and the broader dimensions and benefits of its community-based approach. It looks at how MEIP's pilot projects enabled communities to be better equipped to improve their own lives and helped shape environmental policy and programs.

MEIP catalyzed communities and NGOs to address the environmental problems of their cities. The program provided seed funds and technical advice to NGOs to work in partnership with communities on local environmental issues, such as solid waste and water pollution. The paper looks at the building blocks of MEIP's community-based approach, such as the level of community involvement, local decision-making, capacity building, local contribution and inclusion. Communities in both countries were highly involved in implementation of MEIP initiatives, and, in the Philippines, in project planning and management. MEIP helped communities build their capacity by training them in technical environmental skills, and, to some degree, in management. All groups in the community took part in MEIP initiatives, and women represented over 40 percent of participants. However, communities had little involvement in resource allocation or monitoring and evaluation, which limited the extent to which initiatives could be driven by the communities themselves. The

transparency and accountability of project finances was also uneven, which restricted community access to information about the administrative decision-making process.

MEIP initiatives had broad benefits. Communities reported positive impacts on the their environment, general well-being, and capacity to organize and participate. MEIP efforts helped communities improve their livelihood through access to grant funds, savings programs and income generation opportunities. Pilot initiatives in both Indonesia and the Philippines had considerable success in institutionalizing their innovative approaches through changes in policies and programs. For instance, in one of the earliest instances of devolving financial control to communities in Indonesia, MEIP helped the government to draft procedures to enable communities to control grant funds in the Kampung Improvement Program. In the Philippines, half of MEIP's innovative approaches have been adopted by government programs. Study findings suggest that MEIP's focus on a participatory process, institutional capacity building and a partnership approach benefited its communities. A high level of community involvement was associated with high impact of projects in both Indonesia and the Philippines. However, poor institutional capacity and lack of a network of support weakened the sustainability of MEIP initiatives in Indonesia.

The paper provides an outline of key indicators to monitor the social dimensions of a community-based approach and considers what the MEIP experience shows about expanding and scaling-up grass-roots efforts.

# Introduction

By the 1980s, the escalating environmental problems of Asia's megacities had become all too evident. Smoke-filled air, littered streets and polluted waterways were common features of urban centers, and such problems were growing unchecked. The Metropolitan Environmental Improvement Program (MEIP) was initiated in the late 1980s by the World Bank and UNDP to help urban centers in East and South Asia address these mounting environmental concerns. MEIP aimed to look at the relationship between natural environmental systems and urban areas.

The program originally began in five cities in five different countries, Manila, Jakarta, Bombay, Beijing, and Colombo, and supported a broad range of activities. It strengthened environmental policies by working with central, provincial and local governments to develop environmental management strategies, policies and action plans. MEIP emphasized the importance of strategic studies to help establish an empirical basis for future efforts.

MEIP focused on involving all key urban actors in environmental activities. NGOs, government, the private sector and technical and research institutions worked together on MEIP's steering committee. MEIP sponsored inter-country workshops to facilitate exchange of experience and learning between countries. To build capacity of government agencies and NGOs, MEIP also assisted its partners through training, seminars and field exercises, particularly as related to participatory approaches.

By the second year of the program, managers saw a need to link MEIP's activities with communities to bring academic strategies to the ground level and to tap local innovations. They believed community-based initiatives would allow MEIP to pilot new ideas, as well as to explore and expand existing innovative strategies. Communities were both a demand and a resource that could not be neglected. Community projects were also seen as a way to include the needs of the poor and most vulnerable groups in environmental efforts.

This paper focuses on MEIP's community-based initiatives in two countries, Indonesia and the Philippines. 'Community-based development' encompasses a wide range of different types of initiatives at the grass-roots level. By definition, community-based approaches are intended to respond to local problems, constraints, and opportunities, and so are deeply influenced by their local context. Looking at MEIP's experience in two countries provides an opportunity to examine the specific building blocks of MEIP's approach, and how they were adapted to different country contexts.

MEIP's community-based process is not typical. The program functioned primarily as a catalyst, using a small budget for seed funds and a few dedicated staff members. However, the lessons from its experience offer insights for other community-based efforts.

# The Aims of the Study

In both Indonesia and the Philippines, a participatory approach to build local ownership, capacity and institutions was central to MEIP's community-based initiatives. Thanks to this approach, project impacts extended beyond environment alone. The study examines the social and institutional aspects of MEIP's process and the ways communities gained from MEIP's community-based and participatory approach. The primary question explored is:

What are the broader dimensions and potential benefits of a community-based approach?

To determine this, the study considers both the process and outcome of MEIP's approach:

- Process: What are the social and institutional building blocks of MEIP's community-based approach?
- Outcome: What are the social and institutional benefits of MEIP's community-based approach?

Because these questions are interlinked, the study then looks at the relationship between MEIP's building blocks and its social and institutional benefits. To understand the process and its outcomes, several hypotheses about the nature of community-based development and its benefits are explored through the indicators in Table I :

Table I. Analytical Framework

<u>Process</u>	<u>Outcomes</u>
Community Involvement	Project Impact
• Planning	• Environment
• Management	• Well-being
• Implementation	• Capacity to organize and participate
Local Decision-Making	Innovation and Dissemination
Local Contribution	Institutionalization
Capacity Building	Sustainability
Transparency and Accountability	Expectations
Inclusion	

Finally, the study aims to provide guidance to managers of community-based projects on how to expand the social and institutional benefits of their projects.

# Methodology

While MEIP was implemented at various levels, from national policy to the grassroots, this study focuses on MEIP's community-based initiatives. These initiatives were based in a particular geographic location and aimed to engage community members in the development process. In each country, the definition of community was adapted to the local context.

In Indonesia, community was generally defined by the administrative entities Rukun Tetangga (RT) (neighborhood association) covering about 300 people and Rukun Warga (RW) (association consisting of several RTs) covering about 3,000 people. In the Philippines, community was used as a generic term to identify any group with a common set of interests, located in a particular geographic area. These included cities, barangays (the lowest administrative level), industry associations, schools, offices, malls and residential communities. Communities ranged in size from a barangay of 40,000 people to a condominium community of about 700 people.

Some of MEIP's community-based initiatives in Indonesia were quite large. The Pisang Baru Kampung Greening Project involved two to three communities in 75 sub-districts, covering about half a million people in total, and the Kebagusan Corridor Greening Project involved 30 communities, covering 90,000 people. In the Philippines, MEIP initiatives worked intensively in a small number of communities of several thousand people, although some projects were considerably larger, such as the School Involvement in Muntinlupa City's Solid Waste Reduction Plan, which involved 30 communities.

A total of sixteen community-based initiatives were chosen for this study, eight from each country. Initiatives were selected to provide a representative sample of the range undertaken in each country. The complete list of community-based initiatives was categorized into different project types, and initiatives were chosen from among each type. (See Table 2 for project types and initiatives selected for the study, and Annexes A and B for a complete list of all of MEIP's community-based initiatives.)

To select from among initiatives of each project type, criteria were developed to provide a representative range of initiatives. Selection criteria included:

- physical and geographic environments
- type of lead institutions
- type of community members
- starting date of the initiative.

The second-oldest initiative in each category was selected for two reasons: first, to provide an adequate time frame in which to observe the initiative's impact and second, to avoid the potential bias of problems that can be associated with pilot efforts.

Research was conducted by local consultants in each country. The study was based on three sources of information: (1) focus groups with beneficiaries in selected communities where a MEIP community-based initiative had been conducted; (2) discussions with and documentation from the MEIP National Program Coordinator in each country; and (3) case histories of each community initiative based on information from communities, NGOs, local leaders and MEIP National Program Coordinators.

**Table 2. MEIP Community Initiatives Selected for the Study**

<u>Project Type</u>	<u>Total Area Covered by Project</u>	<u>Communities Selected for the Study</u>
<b><u>PHILIPPINES</u></b>		
Community Action Planning for Public Sanitation	2 communities	Marikina
Community- based Water Quality Monitoring	3 communities	None
Donor–Beneficiary Scheme	5 donor communities and 4 beneficiary communities	Makati City: Bldg. 6750 and Barangay Pinagkaisahan
Household-level Solid Waste	8 communities	Zero Kalat para sa Kaunlaran (ZKK) Barangay New Era
Public Market Solid Waste Clean-up	6 communities	Binan River Paco Public Market
Recycling of Polystyrene Waste from Commercial Establishments	1 community	None
River Rehabilitation and Solid Waste	3 communities	Paliko Creek
School Involvement in City-wide Solid Waste Reduction Plan	30 communities	Muntinlupa City
<b><u>INDONESIA</u></b>		
Community-based River Monitoring	6 communities and 4 Schools	Babon River
Corridor Greening	30 communities	Kebagusan
Housing Development	1 community	None
Kampung Greening	2-3 communities in each of 75 sub-districts	Pisang Baru
NGO Involvement in Kampung Improvement Program (KIP)	10 areas (each covering several communities) and 1 small island community	Cipinang Besar Utara (Cibesut) Pulo Gadung Tugu Utara
Solid Waste Habitat	10 neighborhood communities	Pejaten Barat
Urban Renewal	1 community	None
Water Quality Management	5 communities	Semanan

Focus groups were conducted in each community with three types of people: (1) community leaders, (2) community members actively involved in the project,<sup>1</sup> and (3) female members of the community with no particular relationship to the project or the community members, both men and women, who were actively involved in the project.<sup>2</sup>

Community leaders were comprised of representatives of NGOs working in the community, local government leaders, and leaders of local community-based organizations. Community members actively involved in the project were selected based on guidance from key informants and community leaders.

<sup>1</sup> A focus group with active community members was not held for two community projects in Indonesia. In Semanan where the Water Quality Management initiative had been conducted in a neighborhood of soybean producers, MEIP supported a community development specialist from an NGO to encourage community involvement in the establishment of a wastewater treatment plant. However, due to problems between the soybean producers' collective and its members, few community members were actively involved in the project and none were available to take part in the focus group. In Pisang Baru, community members who had been actively involved in the project could not be located. The relationship between the managing NGO and the community was limited to large information dissemination meetings and the provision of seedlings. Although many community members took part in greening activities, they did not associate them with the MEIP initiative.

<sup>2</sup> Focus groups with women were not conducted in one community in the Philippines and four communities in Indonesia. In New Era barangay in the Philippines, community members had been displaced to another area, therefore, women currently living in the community were unfamiliar with the initiative. In Semanan (Water Quality Management), Pejaten Barat (Solid Waste Habitat), Babon River (Community-based River Monitoring), and Kebagusan (Corridor Greening) in Indonesia, the MEIP initiatives were conducted with a small group of people, therefore, community members outside this group were not familiar with the initiatives.

The findings presented in the paper are based primarily on responses from community leaders and active community members. Responses from focus groups with women not involved with the project are used to serve as a check, first on bias in responses of the other focus groups, which had greater involvement and therefore greater stake in the projects; and second on potential gender-differentiated biases and impacts. Findings from focus groups with women are reported in this paper only in cases where they are notably different from those of other focus groups.

A literature review was conducted to develop hypotheses about the building blocks and benefits of community-based initiatives and to select indicators to be investigated in the study. Areas selected were restricted to those relevant to the MEIP process and those about which information was available. The indicators were grouped into categories and then adapted for questionnaires for focus groups. During field-testing, the indicators and questionnaires were adapted to the actual MEIP process in each country.

### LIMITATIONS OF THE ANALYSIS

Due to the retrospective nature of the study, the hypotheses and indicators that could be examined were limited. The lack of a baseline survey makes it impossible to conduct detailed 'before and after' comparisons of project outcomes and community capacity. Little information was available on the level of community involvement, community organizational capacity, or interaction with

organizations outside the community prior to the MEIP intervention, all of which are important for understanding pre-existing institutional development. Insights are also restricted by the quality and completeness of available sources of information. MEIP National Program Coordinators (NPCs) offered a rich source of information concerning ten years of project history, but they also presented a potential for bias due to their stake in the program. Retrospective research was complicated by MEIP's conscious effort, particularly in Indonesia, to keep a low profile in order to foster community ownership of environmental actions. The study is based on qualitative measures and subjective ratings that may have different meanings within different cultural contexts.

To address these weaknesses, the study focuses on understanding the process and outcomes related to conducting a community-based initiative within a particular context, rather than on comparing results across countries. It explores community perceptions of the development process to examine how community-based initiatives start, function and prosper. While beneficiary satisfaction is a subjective measure, it is an important outcome for all development efforts, and a particular priority for community-based initiatives. Findings have been verified by the use of several different sources of information. Three different groups of community members were asked the same questions in focus groups. Qualitative information from communities was complemented by quantitative data, questionnaires from MEIP program staff and NGO representatives, and site visits. Loss of information due to time passing is not extensive because MEIP's oldest community initiatives started six years ago, and many of them have only recently ended.



# The MEIP Approach

MEIP never sought to implement programs; rather it was a catalyst, assisting others—particularly NGOs and communities—to get the resources, ideas and support they needed to implement their own projects. MEIP's approach was defined by a small pot of funds and a small dedicated staff. The program provided seed funds to NGOs to work with communities to test innovative ideas. In each country, the program was managed by a National Program Coordinator (NPC). Both Coordinators identified promising strategies and worked together with NGOs, communities, and other interested partners to put them into action. MEIP also helped its partners to draw on existing resources and organizations to complement their efforts.

MEIP's early years, beginning in the late 1980s, were occupied at the national policy level with developing environmental strategies and regulations. The process involved work with a range of key actors in the environment sector, including NGOs. Through such interactions, MEIP NPCs became familiar with new grassroots approaches and with the potential for further innovations at the local level. At the same time, many of the ideas being put forth at the policy level had not been tested in the field, and there was a need for environmental results on the ground, particularly in poor communities that were shouldering more than their share of environmental degradation.

MEIP's community-based initiatives had several aims:

- to promote innovation
- to encourage local initiatives
- to increase community participation and ownership

- to test new ideas through small-scale pilot exercises.

NGOs were central to MEIP's community-based initiatives. They initiated contact with the selected communities, mobilized community involvement in activities and managed the flow of funds. NGO selection was ad hoc, usually in response to the opportunities and innovative ideas available, although some key characteristics influenced the process. To work with MEIP in Indonesia, NGOs needed two qualifications: expertise in environmental issues and familiarity with a comprehensive, community development approach. In the Philippines, MEIP supported NGO community-based initiatives that were characterized by local ownership and innovation. NGOs there had to have a strong community-based partner organization, be demand driven, and in the initial stage of piloting a new idea.

Descriptions of the sixteen projects selected for this study are provided in Tables 1 and 2.

## INDONESIA

When MEIP began its work in Indonesia, open discussion of environmental issues or criticism of existing policies and institutions was uncommon, even among the media. In this context, MEIP aimed to give voice to the people to demonstrate that change can be made through a local decision-making process. MEIP's emphasis was on improving institutional structures by building local capacity, rather than on environmental change per se. In this way the program hoped to enable sustainable environmental improvements. This was a slow process because the NGO sector, civil society

structures and democratic processes required time to develop. Civil society organizations and unions are now rapidly emerging, but this is a relatively recent phenomenon. MEIP had to build on existing resources and organizations and encourage communities to take an active role in local decision-making while helping them to strengthen institutional structures to support the democratic process.

MEIP's first community-based efforts in Indonesia were integrated with other comprehensive community development efforts for the poor. From 1990 on MEIP facilitated preparation and implementation of the Kampung Improvement Program (KIP), which worked to provide basic infrastructure and sanitation to improve low income settlements. In 1994, MEIP encouraged the local government in Jakarta to allow NGOs to take over preparation and implementation of ten sites under KIP. MEIP also helped establish the Community Environmental Grant, through which funds were allocated directly to communities in KIP—a notable achievement in an era of strong central rule. Communities have used these grants to repair water supply systems, build new toilets and restore homes damaged by flooding.

Other MEIP initiatives in Indonesia include water quality management, solid waste management,

greening programs and community-based river monitoring. They are spread throughout Jakarta and have also been introduced in the cities of Semarang and Surabaya. MEIP's activities took many forms, including discussions on environmental issues, training in waste collection and composting, establishment of a liquid waste treatment facility, and training in a bottom-up planning process for land use.

MEIP supported NGOs, technical groups and research institutions to facilitate environmental and capacity building activities within communities. To make best use of its limited resources, MEIP drew on a broad range of partners to provide support to community initiatives. Partnerships included government ministries, industrial cooperatives, international agencies, private foundations, teachers, women's organizations, youth and student organizations, and, in the case of a greening program, a bird club. These organizations provided a network of support and technical advice for NGOs and communities.

## PHILIPPINES

In contrast to Indonesia, civil society in the Philippines was well established and had an active role in national development when MEIP began in the country. NGOs were partners in policy dialogue

at the international level, and community-based organizations were widespread. MEIP's community level work began with a study on local environmental efforts of NGOs. At that time, most environmental NGOs focused on 'green' issues, such as forestry or logging, rather than the 'brown' concerns of urban areas. The study highlighted what was and was not working at the community level and gave MEIP an introduction to potential local partners. By 1993 MEIP had begun to support NGO efforts to resolve the environmental problems of urban communities.

The MEIP approach in the Philippines was guided by the philosophy that environmental management is everyone's concern since everyone contributes to and is affected by environmental degradation. The initiatives aimed to demonstrate to communities that, by working together on a common cause, they can make a difference, no matter how poor they may be. By involving the community in the entire process, from problem identification through to finding solutions, the program worked to build ownership and commitment. MEIP advised NGOs and communities on how to cut problems down to a manageable size, making solutions easier.

MEIP initiatives in the Philippines focused primarily on solid waste management, a major concern in the country, particularly in poor

neighborhoods. Communities and NGOs initiated clean-up efforts, waste segregation, composting and recycling. The program collaborated with the private sector, foundations, schools, offices, malls, and vendor associations, as well as residential communities. To raise the visibility of environmental concerns, MEIP worked closely with local champions, including public officials, NGO representatives and dedicated individuals.

Projects included household level solid waste programs, school involvement in a city-wide solid waste reduction plan, solid waste clean-up in public markets, river rehabilitation, and community action planning for public sanitation. MEIP also supported a 'donor-beneficiary scheme,' which matched a low income, beneficiary community with a high-rise building in an upper middle-class, donor community. The donor community learned to segregate its waste while members of the low income community managed waste segregation and recycling and earned profits from the recyclable materials.



***Lorenzo Cawali's painting of communities creating a clean and green city won the high school division grand prize in the Muntinlupa City environmental art competition in the Philippines.***

Table 3. Projects Selected for the Study

<u>Name</u>	<u>Objectives</u>
Barangay New Era Household Level Solid Waste	<ul style="list-style-type: none"> <li>• To mainstream the concept of Ecological Waste Management in the barangays.</li> <li>• To set up a sustainable mechanism by which target communities can attain self sufficiency through the viable livelihood projects.</li> </ul>
Binan River Public Market Solid Waste Clean-up	<ul style="list-style-type: none"> <li>• To promote reduction, recovery and proper disposal of market wastes.</li> </ul>
Makati City, Donor-Beneficiary Solid Waste Management Scheme	<ul style="list-style-type: none"> <li>• To transform wastes into a resource with higher value.</li> <li>• To involve community in managing the resource.</li> <li>• To provide a system where 'resource rich' groups 'donate' segregated wastes to the barangays who can recycle and generate income from wastes, and create employment for community members.</li> </ul>
Marikina Community Action Planning for Public Sanitation	<ul style="list-style-type: none"> <li>• To assist user groups, barangays and municipal officials in improving operation, maintenance and development of services related to Public Sanitation Facilities (PSF).</li> <li>• To rehabilitate PSF based on a community plan.</li> <li>• To document the processes involved.</li> <li>• To <i>determine mechanisms by which pilot activities can be adopted by other PSFs.</i></li> </ul>
Muntinlupa City School Involvement in City-wide Solid Waste Reduction Plan	<ul style="list-style-type: none"> <li>• To reduce school waste by fifty percent in 1999.</li> </ul>
Paco Public Market Solid Waste Clean-up	<ul style="list-style-type: none"> <li>• To promote reduction, recovery and proper disposal of market wastes</li> </ul>
Paliko Creek River Rehabilitation and Solid Waste	<ul style="list-style-type: none"> <li>• To raise the level of environmental and health consciousness of the community.</li> <li>• To mobilize local industries to voluntarily comply with effluent standards.</li> <li>• To mobilize city government and barangays to strictly enforce anti-pollution and anti-littering laws, rules and regulations.</li> <li>• To reduce discharges of domestic and industrial wastewater and dumping of solid waste.</li> </ul>
Zero Kalat para sa Kaunlaran (ZKK) Household Level Solid Waste	<ul style="list-style-type: none"> <li>• To conduct Waste Management and Awareness Seminar for residents, officials, leaders and youth in the target areas.</li> <li>• To conduct training in waste segregation, recycling and composting involving at least 700 community members.</li> <li>• To <i>organize community members into a cooperative.</i></li> <li>• To develop linkages with municipal and barangay governments in implementation of ordinances for proper management and improvement of sanitation.</li> </ul>

## The Philippines

### Activities

- Information, Education and Communication Campaign
  - Training
  - Composting
  - Recycling
  - Segregation at household level
  - Training of Trainers
- 
- Segregation
  - Composting
  - Information, Education and Communication Campaign
  - Training
- 
- Information, Education and Communication Campaign
  - Training
  - Segregation
  - Donor-Beneficiary Matching
  - Livelihood
- 
- Management of Public Toilet Facility and Water Supply
  - Participatory action planning
- 
- Information, Education and Communication Campaign
  - Training
  - Segregation
  - Composting
- 
- Segregation
  - Composting
  - Information, Education and Communication Campaign
  - Training
- 
- Solid waste management
  - Organizing urban communities
  - Information, Education and Communication Campaign
  - Training
- 
- Composting
  - Recycling
  - Segregation at household level
  - Information, Education and Communication Campaign
  - Training for Trainers
  - Establishment of a Community Vegetable Farm
  - Seminar on Cooperative Development
  - Income generation activities from recycled waste materials

### Partners

Recycling Movement of the Philippines Foundation, Inc.  
Barangay officials  
Community members

Lions Club  
Local government  
Laguna Lake Dev. Authority  
Fisheries and Aquatic Resource Management Council  
Academic Institutions  
League of Binan Leaders  
Media

Low and mid income communities  
Food stall and restaurant owners  
Association of business establishments  
Polystyrene Packaging Council of the Philippines  
Ayala Foundation  
Department of Environment and Natural Resources

UP Social Action and Research for Development Foundation  
Barangay Council  
Barangay Sanitation

School officials  
Committee on Health and Sanitation of Muntinlupa City  
School children

Paco Vendors Association  
Vendors  
Hawkers  
Unilever  
Community members  
Local government  
Clergy

Barangay Cupang  
City government of Muntinlupa  
LLDA (Laguna Lake Development Authority)  
Muntinlupa Development Foundation  
Advance Warehousing Association, Inc.

Dagat-dagatan Polymedic Medical Foundation, Inc.  
Community members  
Recycling Movement of the Philippines Foundation, Inc.  
Local government  
Local civic organizations

Table 4. Projects Selected for the Study

<u>Name</u>	<u>Objectives</u>
Babon River Community-based River Monitoring	<ul style="list-style-type: none"> <li>• To improve information, awareness, skills and economic capability of communities to enable their participation in environmental management</li> </ul>
Kebagusan Green Corridors	<ul style="list-style-type: none"> <li>• To create green corridors to connect major green areas in Jakarta to improve the city environment, encourage bird life and biodiversity</li> </ul>
Pejaten Barat, Solid Waste Habitat	<ul style="list-style-type: none"> <li>• To reduce solid waste by implementing low-cost composting technology</li> </ul>
Pisang Baru Kampung Greening	<ul style="list-style-type: none"> <li>• To help low income communities establish green areas in their settlements, using their own resources</li> </ul>
Pulo Gadung, Cibesut, and Tugu Utara, Kampung Improvement Program (KIP)	<ul style="list-style-type: none"> <li>• To strengthen community involvement in basic infrastructure provision and sanitation improvement in slum areas.</li> </ul>
Semanan Water Quality Management	<ul style="list-style-type: none"> <li>• To reduce river pollution caused by tofu and tempe production along Banjir Kanal, by relocation of small-scale producers and development of a community-based water treatment and sewerage system.</li> </ul>

## Indonesia

### Activities

- Workshops on environmental awareness and monitoring techniques
  - Training of Trainers Program
  - Village work groups
- 
- Provision of seedlings and raising awareness about greening and how to grow plants
  - Self help approach
  - Encouragement of Dept. of Public Works to allow local nurseries to utilize empty space along roads and rivers for growing plants
- 
- At sub-district level, (1) increased awareness for households about community solid waste management and encouragement of partnerships with scavengers, official waste pickers and the formal government system; and (2) adjustment of pick-up schedule, re-routing of garbage cart, and improved services
  - At community level, evaluation of existing Recycling and Composting Production Enterprises
  - At household level, introduction of three methods of composting
- 
- Provision of seedlings
  - Raising awareness about greening and how to grow plants
  - Self help approach
- 
- NGOs made responsible for KIP project preparation and implementation, to strengthen community involvement
  - Community Environmental Grant provides a direct route funding community needs, such as (1) construction of infrastructure and public facilities, (2) micro-credit for job creation, and (3) strengthening social and community organization.
  - Home Improvement loans are available to families
  - Greening
- 
- Construction of central, community-based tofu and soybean cake production kitchen with water treatment and sewerage system
  - NGO-facilitated consultation with local communities; NGO facilitator lived with community for 3 months and provided assistance in community awareness and organization
  - Construction, installation, assistance in operation and maintenance provided by the Office of Public Works
  - Management of kitchen and supply of soybean through community co-op

### Partners

Teachers  
Women's organizations  
Youth organizations  
University students  
The mayor  
Municipal government

Symbiose Birds Club (NGO)  
Community members  
Jakarta Office of Agriculture  
Department of Public Works  
Private nurseries  
Mayor of Central Jakarta

United Nations Center for Human Settlements/  
Habitat  
Community members  
Sub-district government

Community members  
New graduate volunteers  
NGOs

NGOs  
Local government  
Community members  
Private foundation (3 communities in  
Pela Mampung)

Semanan co-op of tofu and soybean producers  
Office of Public Works of Jakarta Special Territory  
Bina Swadaya (NGO)  
Community members

# Building Blocks of the MEIP Approach

What is MEIP's community-based approach? What are its social and institutional building blocks and what distinguishes it from other types of initiatives? This section of the study looks at the MEIP community-based process through the selected case studies.

## COUNTRY AND LOCAL CONTEXT

MEIP's approach varied according to the local and country context of each project. The institutional, social and cultural factors within each country determined the starting point of the initiatives and were a critical influence on their progress and outcomes. These factors included:

- Civil society and institutional capacity:

The Philippines has a vibrant NGO and civil society sector; MEIP initiatives were able to draw on existing community organizations and a wide network of other institutions for support. Indonesia is a recently emerging democracy; fewer communities had existing local organizations or institutions prior to the start of MEIP.

- Culture: Culture affects how development projects are managed and implemented, as well as how their results are interpreted. In this study, for example, cultural modes of expression may have influenced focus group results, particularly on subjective rating scales. Indonesia and the Philippines have distinct styles of showing approval, with understatement the general principle in Indonesia and ebullience more common in the Philippines. These differences in style are likely to have affected the way communities rated initiatives.

Programmatic factors in each country also influenced the MEIP process and study findings. These included:

- Project staff: MEIP in Indonesia was managed by one National Program Coordinator generally without any additional staff, while the National Program Coordinator in the Philippines had support from staff assistants.

- Project scope: The scope of the project coverage was particularly large in some Indonesia initiatives, likely affecting their intensity of involvement and impact.

- Integrated development approach: Three of MEIP's initiatives in Indonesia were integrated into a broader, comprehensive community development program, the KIP. They are distinct from the other Indonesian projects and tend to have stronger social and institutional development processes and outcomes.

Because of these important contextual differences, comparisons between Indonesia and the Philippines have limited use or validity unless seen in light of these factors. Although the following sections of the study make comparisons between countries for specific aspects of the MEIP process and benefits, both the characteristics and achievements of the program should be viewed within the context of each country.

## COMMUNITY INVOLVEMENT

A participatory process was a focus of MEIP in both Indonesia and the Philippines, as a means to an end—to enable initiatives to be more responsive to community needs—and as an important end in itself. The level of involvement differed depending on project phase, planning, management and implementation. Communities reported that they were very active in project implementation in both countries; about 90 percent of community



respondents in both countries reported that they were always or often involved in the implementation of the projects.<sup>3</sup> Participation in planning and management was more irregular.

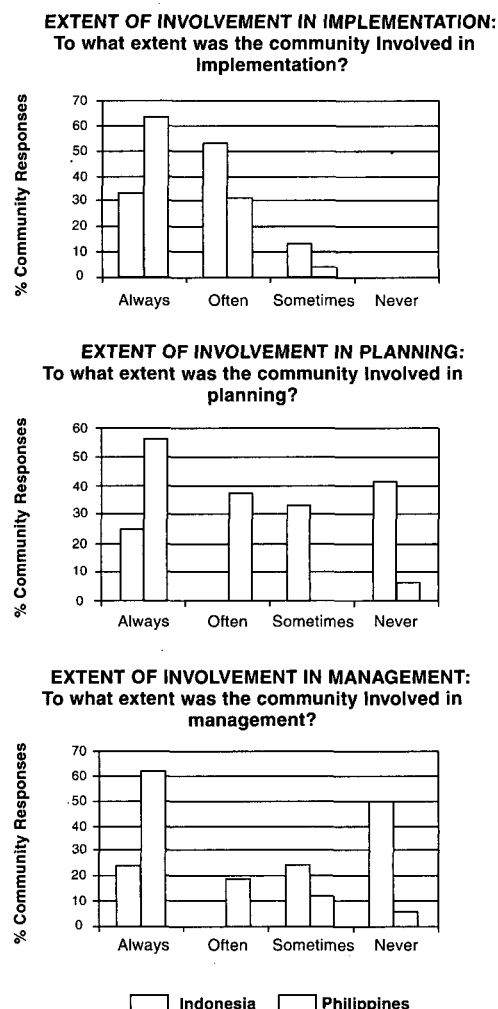
Community involvement in initiatives was moderately high in key decision-making stages, planning and management in the Philippines. Most community respondents reported that they had always or often been involved in the planning and management of the projects. In Indonesia, community involvement in planning and management was less consistent.

Community perceptions of involvement in Indonesia differed by type of focus group. Community leaders had a much more positive perception of community involvement during all project stages than other community members. In fact, almost all the respondents who reported the highest extent of community involvement in planning, management and implementation of the initiatives were community leaders. This suggests that the deepest level of community involvement in Indonesia may have been limited to the leaders of the community. In the Philippines, the level of community involvement was similar for all groups.

The extent of involvement in MEIP initiatives was lower among respondents in women's focus groups, particularly in project management. This was true in both the Philippines and Indonesia. In Indonesia, they were also less active in planning

and implementation. However, a lower level of involvement is to be expected for these focus groups given that they were not active project members. In comparison, other focus groups were held with leaders and community members actively engaged in project activities, both of which would be expected to have a high level of involvement. Although some of the difference in extent of involvement between women's groups and the others could be due to a gender bias, further research comparing perceptions about the project of non-active females with those of non-active males would be needed to draw any conclusions.

**Figure 1: Community Involvement in MEIP Initiatives: Extent**



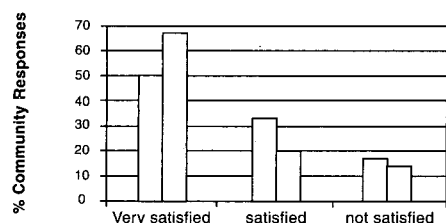
<sup>3</sup> Findings from focus groups may be positively biased since they depend on the information available. In some communities, particularly in Indonesia where some projects were no longer functioning, information was not available on building blocks of the MEIP process.

**Figure 2: Community Involvement in MEIP Initiatives: Quality**

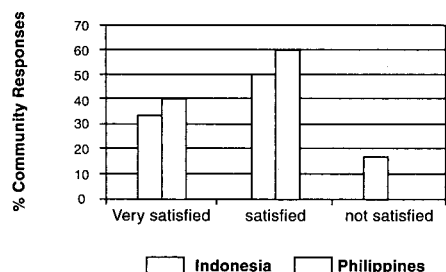
**QUALITY OF INVOLVEMENT IN IMPLEMENTATION:**  
Are you satisfied with the communities' Involvement in Implementation?



**QUALITY OF INVOLVEMENT IN PLANNING:**  
Are you satisfied with the communities' Involvement in planning ?



**QUALITY OF INVOLVEMENT IN MANAGEMENT:**  
Are you satisfied with the communities' Involvement in management ?



**Box I. Babon River: Banding Together to Monitor the Health of a River**

The Indonesian Government launched a Clean River Program (Prokasih) in 1988 to reduce the water pollution caused by large and medium industry. Prokasih introduced a formal monitoring system, but it was not enforced since the budget did not provide for the intensive monitoring and inspections required. MEIP saw that there was a need for a community monitoring process to complement the formal government system and to put pressure on industry and government to improve their performance. The idea was to use simple methods and equipment that communities could easily learn and manage themselves.

In the early 1990s, the Indonesian government was still very centralized and focused on formal institutions. Most officials were not interested in a participatory process. With encouragement from MEIP, however, the city of Semarang decided to set up a community-based river monitoring program at Babon River. MEIP worked with the Mayor to develop plans to strengthen environmental efforts and with Bapedalda (the local environmental protection agency) to develop the project. MEIP encouraged Bapedalda to visit the successful river monitoring effort of the PPHL (Environmental Study Center) in Trawas, East Java. Bapedalda then brought PPHL to Semarang to assist with setting up field sites and training local staff and community members. MEIP provided funds for the training and some equipment and chemicals. An organizing committee for the project brought together the efforts of several government departments to support the project: public works, sanitation, culture and education, agriculture and fisheries.

The project team selected monitoring sites at different points along the river – upstream middle and downstream. They met with communities and schools along the river and trained them to conduct the monitoring. A water quality monitoring expert from Sugiyapranata University in Semarang helped to develop the methodology for the sampling and project evaluation. High School Biology and Physics teachers invited their students to join river monitoring groups. River monitoring was included as a topic in school essay writing requirements.

The project made steady progress, but funding issues constrained some project activities on the ground. Bapedalda supported the maintenance of school and community monitoring sites, but its budget was small. In then sought assistance from other partners. The Education Department provided funds for chemicals for the school laboratory but supply was irregular. Due to limited funds, field activities involved a small number of community members. Gradually, training will be expanded to a larger group.

MEIP's partnership with institutions in Semarang had impacts beyond the river's communities and schools. Bapedalda's visit to PPLH in Tawas convinced it of the need to integrate community-based approaches in environmental protection and improvement. The Babon River Monitoring Project has become a model for other cities. Just as Bapedalda once visited PPLH in Tawas, other groups now come to Semarang to observe and learn from its community river monitoring activities.

Community satisfaction with involvement in the planning, management and implementation of MEIP initiatives has generally been good. More than 80 percent of community respondents reported that they were satisfied or highly satisfied. Satisfaction was particularly high in the Philippines for involvement in project planning. A small percentage (about 15 percent) of community respondents in both countries were not satisfied with their involvement during project planning. Indonesian respondents also expressed dissatisfaction with involvement in project management, and, to a lesser degree, in implementation.

### LOCAL DECISION-MAKING

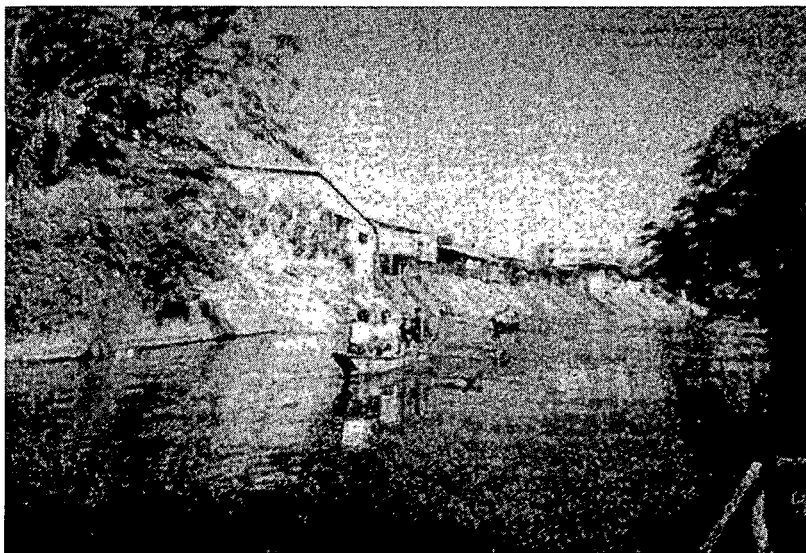
Focus groups with community leaders involved detailed questions on decision-making processes. Community leaders reported that Filipino initiatives and the comprehensive KIP projects in Indonesia helped build local institutional capacity by enabling communities to:

- have an active role in problem analysis and project design.
- have information on options, costs and benefits and reach consensus.
- establish new committees and their own rules for management.

In the Philippines, leaders of almost all the communities surveyed gave high ratings to all three aspects of decision-making. While leaders in the three KIP communities in Indonesia reported a high level of involvement in all three aspects of decision-making, other communities reported moderate or no involvement.



*Binan River in Manila before the MEIP project.*



*Binan River after fisher folk and the Lion Club literally fished the garbage out of the river and hauled the garbage away in fishing boats.*

MEIP contributed to the institutional capacity of communities by building local structures and processes for community control over decision-making and by enabling communities to have control over resources. These capacity building efforts were evident among most projects in the Philippines and the KIP projects in Indonesia. According to community leaders, almost all communities in the Philippines and two of the KIP communities in Indonesia established new committees and their own rules for management and operation. Five Filipino communities and two Indonesian KIP communities always managed their own funds for project activities. In the third KIP community, Cibesut, the NGO working with the community managed the funds and led the project activities, therefore, community involvement was limited.

Before the start of the MEIP initiatives, almost all the communities in the Philippines had an active existing community organization. In Indonesia, about half of the communities had a pre-existing community organization. In both countries, the number of communities with an active community organization increased over time.

### LOCAL CONTRIBUTIONS

Since MEIP's primary role was as a catalyst, its initiatives depended on support from other sources to carry out project activities. Contributions from the community were also considered an important aspect of building local ownership. Program Coordinators and NGOs encouraged communities to demonstrate their commitment to MEIP initiatives by committing their time and other resources to the project efforts. Communities

provided several types of inputs to the MEIP initiatives, including manpower, complementary actions, materials, money and ideas. In the Philippines, all communities contributed manpower, and about half of the communities also supplied materials, money and ideas. About half of the communities in Indonesia provided manpower, complementary actions and ideas to the projects.

Municipal authorities and the private sector also contributed to the projects. In both countries, municipal authorities provided materials and complementary actions for several projects. In a few cases in the Philippines, they also supplied manpower and money. About half of the projects in both countries received private sector contributions, such as materials, money, complementary actions and expertise. In the Philippines, private sector involvement often took several forms within one project.

### Box 2. Paliko Creek Rehabilitation Program: A Partnership Approach

Surrounded by an industrial compound, shanties and railroad tracks, Paliko Creek became a sewer for industries and low income communities on the outskirts of Manila. The creek's rehabilitation was sparked by a fire. A community resident was burning garbage, and the fire grew out of control. When residents tried to extinguish the fire with water from Paliko Creek, the highly polluted water intensified the flames. After a complaint from the community about the high level of petroleum products in the water, the Laguna Lake Development Authority (LLDA) sent a notice of violation to Amkor Anam, a semi-conductor industry located near the site of the fire.

Amkor Anam sought MEIP's assistance in resolving the problem. Together they held consultation meetings with community members, local government, the Muntinlupa Development Foundation and twenty-nine other industries in the area. The group sponsored a 'walk through' of the creek to appraise the issues and in 1997 initiated the Paliko Creek Rehabilitation Project. With the Muntinlupa Development Foundation (MDF) at the helm, the partnership aimed to raise community awareness; mobilize industries to comply with effluent standards; mobilize local government to enforce anti-pollution laws and regulations; and minimize garbage dumping and discharges of domestic and industrial wastewater.

Since the community around the creek had grown habituated to the garbage problem, the rehabilitation initially focused on a strong information, education and communication (IEC) drive to galvanize community support and action for the enforcement of anti-littering and anti-dumping measures. In addition to disseminating printed materials, the project organized training on community-based environmental management for women, youth, fisherfolk and school children, and initiated community action planning. The action plan included continued IEC, technical and management training, and an engineering support system with water separators and screens to reduce industrial wastes.

With support from other partners, the community led a series of activities to clean up the creek and establish a regular maintenance process. The city government financed construction of trolley bins to collect garbage from homes along the railroad track. The LLDA worked on monitoring the water quality of the creek. A steering committee was formed to explore the multi-sectoral issues related to the well-being of the creek, including income generation and land tenure.

Industries, community leaders and residents continue to take part in quarterly clean-up activities to ensure that the gains of the rehabilitation movement are not lost. The LLDA institutionalized river rehabilitation councils in an LLDA resolution and adopted the project's partnership of industry, NGOs, local government and community as a model for other river councils in the area.

MEIP's credibility and reputation for impartiality helped bring all the groups together to work on their common problem. The project was able to move beyond the adversarial relationship between the local residents and the neighboring industries to a synergy of interests and efforts. At the heart of the project, communities mobilized themselves to raise awareness, clean up the creek and ensure that the creek remained clean. Industry provided the expertise, ideas and financial resources to transform the degraded environment. The LLDA responded quickly to the community complaint and provided the technical and legal framework for the partnership. The MDF was the catalyst for community organizing, conflict management and coordination.

## CAPACITY BUILDING

Building the capacity of community members in technical skills on environmental issues was a strong focus of MEIP. In some communities, MEIP also aimed to improve the management capacity of community members by developing their administrative skills.

Community members in most project areas took part in technical skills training to build their capacity to address environmental problems. Training topics ranged widely according to the substance of particular initiatives, covering areas such as composting methods, river monitoring, and solid waste segregation. In addition, about half of the communities in both countries also received some management training.

Satisfaction with the skills development component of the projects was high in the Philippines. All Filipino communities reported that the projects helped them to develop technical and management skills, as well as the ability to sustain the project on their own. In Indonesia, where training was more limited and informal, most communities felt that the projects helped them develop technical skills. However, only two of the KIP communities felt their skills related to management or project sustainability had improved. This dissatisfaction may have stemmed from a lack of training programs in these areas or from problems in the quality of the training provided.

Community involvement in project monitoring and evaluation was not a focus of MEIP initiatives. Therefore, there was little evidence of community capacity building through participatory monitoring

and evaluation activities in the communities studied.

## TRANSPARENCY AND ACCOUNTABILITY

By bringing project decision-making and financial issues closer to the community level, MEIP initiatives aimed to create greater transparency and accountability in project finances. Focus group responses show that MEIP had a mixed record of success. Focus groups were asked about who was responsible for project accounts and expenditures, the availability of information to community members, procedures for complaints, and instances of complaints. While several projects in both countries had transparent procedures and accessible information, the remainder did not.

According to community leaders, three of the communities in the Philippines and the three KIP communities in Indonesia knew who was responsible for accounts and expenditures and could ask for information if they had a question. Two of these communities in the Philippines had relied on these procedures to complain about a problem related to accounts and expenditures. In one community these complaints were resolved in a court case. The rest of the MEIP communities in the Philippines and Indonesia did not have access to basic information about the finances of the MEIP projects, which would have affected their ability to engage in project decision-making and oversight.

## INCLUSION

MEIP projects in both countries made an effort to be inclusive. All types of community members—including the rich, poor, women, youth, teachers and community leaders—took part in MEIP-related

community organization. In both countries, more than 40 percent of project participants were women. According to respondents, no group was excluded from project activities.

However, a project rule of the KIP, with which MEIP closely collaborated, effectively excluded the poorest in communities from some of the key aspects of decision-making. Community members reported that the poor could not take part in the community organization because they did not have enough money for the initial deposit required for the members' savings program. As a result, although most KIP community members were from low income households, the poorest in the communities were not able to play the same role in project decision-making as other members of the communities. While the poor did benefit from the project's charity activities and overall community improvements, project impact is likely to have been greater if the poor had had more say in project management. Since KIP aims to assist poor communities, giving the poor a significant role in project management would have helped to ensure that it was tailored to the needs of its key target group.

Focus group composition reflects the representation of women in MEIP communities. The groups gathered together all community leaders and active community members who were available in the community at the time the group was held. Most

communities had similar numbers of men and women. In Indonesia, more men than women were represented among community leaders, and some communities had no female leaders. In the Philippines, women were well represented among community leaders. Representation of women also was high among active community members in both countries. In Indonesia, most communities had more women than men among active members. In the Philippines, overall percentages were similar for men and women.



*Community Volunteers in the Zero Kalat para sa Kaunlaran (ZKK) (Zero Waste for Progress) program in Manila cleaning the streets of their community.*

### Box 3. ZKK Solid Waste Program: A Medical Clinic Tackles an Urban Community's Garbage Problem

Once a small coastal town, during the 1980s Navotas became a densely populated extension of Manila, with garbage lining the streets and filling the canals. Slum dwellers account for 27 percent of its population, and a quarter are unemployed. Perennially flood-prone, the town has earned the name Dagat-dagatan, meaning resembling an ocean.

The Dagat-dagatan Polymedic Medical Foundation was established to provide affordable services to low income residents of the area. By the end of the 1980s, the garbage problem plaguing the community had become severe, leading to proliferation of flies, cockroaches and rats. The Foundation decided to tackle the solid waste problem to protect the community from the rising incidence of diarrhea and other illnesses. The Foundation staff contacted the University of the Philippines and the Recycling Movement of the Philippines to learn how the community could reduce its waste problem. The Foundation opted for a 'zero waste' program (Zero Kalat para sa Kaunlaran): waste products are segregated into three categories—reusable, recyclable, and biodegradable—and nothing is discarded.

The project aimed to solve the solid waste problem and create employment for community residents. The program focused on teaching the community how to segregate and recycle waste; setting up a community garden to demonstrate the benefits of composting; and establishing a recycling and redemption center. With the help of the Recycling Movement, local government organizations and civic groups, the Polymedic Foundation launched an education and clean-up campaign in 1996. A two-week training course in ecological waste management was provided to 30 trainers, and a team of eco-supervisors and eco-aides was formed. Every Saturday over two months, leadership training was provided to volunteers who, in turn, taught community members. About 3,000 participants attended the training seminars.

For two hours every morning, community volunteers joined together for the painstaking and humbling process of removing the garbage from the neighborhood. Wearing the bright yellow T-shirts donated by one of the partner groups, they collected years of accumulated waste from the curbsides, canals, and along the main drain of the neighborhood. The community instituted a night watch to prevent garbage from being dumped in the community during the night. After several months, the area was transformed: canals were clean, streets were swept and green plants began to appear in communal spaces.

In 1997, a core group of 140 volunteers established a recycling and redemption cooperative, and eco-aides began to collect and segregate waste from local households and businesses. Reusable and recyclable materials were sold in by weight to businesses and manufacturers. The cooperative also produced craft and household items recycled materials, including stylish handbags made from paper and floor wax made from discarded plastic. Each worker was paid on an incentive system, according to how much they brought in and produced. After two years, the cooperative had become economically self-sustaining and employed forty full-time workers and twenty part-time workers.

While the project's work with recycled and reusable products was very successful, composting of biodegradable waste stalled. Community efforts to segregate waste matter were only partially successful, leading to problems with odor and disposal, and the cooperative had trouble finding a location for the composting. The project continues to refine its approaches to work toward the zero waste ideal.



# Benefits of the MEIP Approach

## PROJECT IMPACT

Communities were positive about the impact of the MEIP initiatives. Focus group respondents in both countries reported positive project impacts on the environment, well-being,<sup>4</sup> and community capacity to organize and participate. Communities rated impacts in all three areas at an equally high level in the Philippines. In Indonesia, communities perceived environmental impacts to be greater than project impacts in other areas.

Communities believed MEIP initiatives contributed to a variety of environmental, social, economic and institutional benefits. Community members and leaders in about half the communities in Indonesia identified cleaner surroundings, an improved aesthetic environment, access to credit and increased knowledge as positive effects of the projects. Two communities also cited establishment of a cooperative as a benefit of the initiatives. In the Philippines, most communities noted that the initiatives had brought about cleaner surroundings; about half thought they improved income-earning opportunities, discipline and unity. Respondents also mentioned that increased independence and mutual trust were other positive outcomes of the projects.

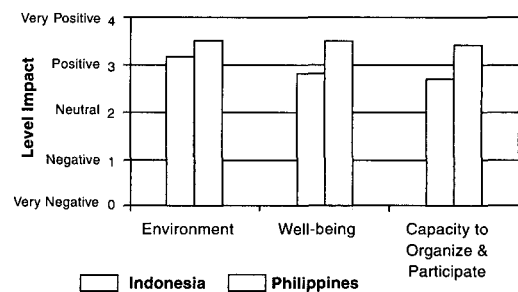
In addition to qualitative changes in community surroundings and the environment, some MEIP communities reported improvements in their physical and environmental infrastructure. Focus groups involved discussions about the physical and environmental conditions in their communities before and after the MEIP-supported project and

the role of the project in any changes over time. In the Philippines, four communities attributed improvements in conditions to MEIP project interventions. They stated that the projects lead to working surface drains, and regularity in water supply, garbage collection within the community, and garbage transport from the community to the main collection site. In Indonesia, some communities noted that the projects brought about regular garbage collection within the community.

The majority of communities in both countries reported that MEIP projects had improved the environmental behavior of community members. Changes in behavior varied according to the type of initiative, but included waste segregation, composting, and helping to maintain a clean and green environment. The degree to which behavior had changed was greater in the Philippines, where half the communities reported dramatic improvement.

Few negative project impacts were reported. Three communities in the Philippines and one in Indonesia mentioned that there had been minor complaints from non-participating members of the community about the initiatives. For example, in the Philippines, one community had complaints due to noise from a paper shredder.

Figure 3: MEIP Project Impacts



<sup>4</sup>Well-being covers the broader project impacts on the community unrelated to environment or capacity to organize and participate. It includes economic and social factors, and is an intentionally broad term so it could be adapted to community perceptions of the ways the projects have affected their lives.

## INNOVATION AND DISSEMINATION

Innovation. Community respondents and MEIP National Program Coordinators recognized MEIP's achievements in fostering innovation in the environment sector. Communities in both countries pointed to several examples of MEIP initiatives that developed new approaches to resolve environmental and community development problems. In the Philippines, the partnering of resource rich communities with poor communities in the Donor-Beneficiary Scheme helped resolve a solid waste problem and create employment. Rich and poor communities learned to segregate their waste and sell the recyclable and reusable components, and poor communities benefited from new jobs and the sale of recyclable materials. The *Binan River rehabilitation in the Philippines* mobilized fisherfolk and used their boats to collect floating debris in the river clean-up. This idea was expanded to other communities when a River Council was created for the Binan River System, which included the upstream portion of adjoining municipalities. Since the river traverses several municipalities, cooperation was crucial. Through the River Council, the core team for the Binan River Project now serves as a resource group to assist other communities.

In Indonesia, the Pisang Baru Kampung and the Kebagusan Corridors Greening Projects introduced the idea of providing green spaces in urban communities for the enjoyment of both people and birds. The Babon River Monitoring Project empowered communities to learn river monitoring skills so they could better understand and protect their environment. Under the Kampung Improvement Program in Indonesia, with MEIP encouragement, the government gave communities

and NGOs an unusual level of autonomy and control during a period when devolution of control was uncommon. NGOs took over responsibility for the planning and implementation of the project in 10 sites. Communities controlled decision-making and resources through the community managed environmental grant and revolving fund, and established a local committee to manage the fund. This was one of the earliest instances of government budgets being used for community directed work.

Dissemination. In the Philippines, to ensure that successful initiatives were replicated and had impacts on a larger scale, MEIP promoted their achievements through 'how to' booklets, monographs with photo documentation, pamphlets, site visits, meetings and media events. Several of the communities surveyed had visited other MEIP community initiatives and then applied newly learned approaches in their own efforts. Communities also used documentation of other projects, pamphlets on technical environments approaches and 'how to' booklets for guidance. As a result, the majority of the MEIP initiatives in the Philippines became models for other programs elsewhere. Three MEIP initiatives in the Philippines were also scaled up: the Donor-Beneficiary Scheme, the Binan River Public Market Clean-up, and the Paliko Creek River Rehabilitation and Solid Waste Project. The River Council established for Paliko Creek was adopted as a model by the Laguna Lake Development Authority for other areas.

In Indonesia, communities generally exchanged lessons learned about their experiences with MEIP and other initiatives on an informal

basis. News about MEIP's approach also spread informally. For example, other cities heard about the river monitoring initiative in Semarang and sent government representatives to the site to learn more about it. NGOs who worked in several communities were a useful source of information about what had been tried in other areas. Under KIP, NGOs were encouraged to meet with other NGOs to exchange ideas and experiences. Both KIP facilitators and NGO representatives brought information about other initiatives into communities. In the Pisang Baru Kampung Greening, the government facilitated dissemination of information through competitions and exchanges among the 75 community sites.

## INSTITUTIONALIZATION

Governments in both Indonesia and the Philippines changed policies and adapted programs to institutionalize MEIP's environmental and community development approaches. MEIP's innovations have also affected other actors, such as private sector institutions. MEIP facilitated this process by working in partnership with numerous institutions and providing practical assistance, for example in drafting legal documents.

Indonesia. In Indonesia, under the Babon River Monitoring Program, the local government of Semarang borrowed the concept of community involvement in river monitoring from an environmental organization in another part of Java and then replicated it successfully. Influenced by the success of kampung greening efforts including the MEIP-supported Pisang Baru Project, the Parks Department in Indonesia organized a Kampung Greening Competition to encourage communities throughout Jakarta to develop similar activities.

MEIP contributed some funds for the initial competition. The competition was successful in gaining community interest, and the city now organizes a yearly competition. MEIP phased out its support after the first Kampung Greening Competition. Now kampung greening is implemented in many other cities in Indonesia.

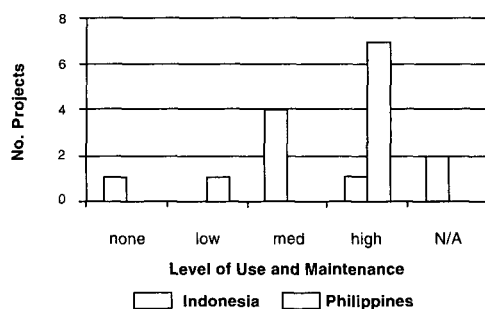
When the local government of Jakarta agreed to let NGOs take over the management of additional project sites under KIP, the Governor issued a decree that gave priority to NGOs in community-based development projects and exempted them from complicated bureaucratic requirements. MEIP worked with the Ministry of Finance to draft the financial procedures that enabled communities to control the grant funds. These policies have made it possible for NGOs and communities to have an active role in driving development decision-making.

Philippines. In the Philippines, the government established an anti-dumping law as a result of the Binan Market Clean-up Project, and a barangay ordinance was passed to mandate waste segregation at source to support the efforts of the Donor-Beneficiary Scheme. River rehabilitation and ecological waste management practices employed in Muntinlupa were replicated by the government. The local lake development authority in Muntinlupa passed a resolution to institutionalize the Paliko Creek Rehabilitation Project's partnership of industry, NGOs, local government and community as a model for other river councils in the area. MEIP innovations in Binan and ZKK were also adopted by government programs. The private sector changed its environmental practices thanks to the efforts of several MEIP initiatives, including Binan, Paliko and Makati.

## SUSTAINABILITY

The sustainability of MEIP activities and investments differed in Indonesia and the Philippines. Filipino projects had a strong record of use and maintenance, while that of Indonesia was moderate. All but one community in the Philippines reported that MEIP investments were usually or always used and maintained. In Indonesia, most communities gave projects moderate ratings for frequency of use and maintenance.

Figure 4: Sustainability of Project Investments



Community perceptions of quality of use and maintenance were associated with their perceptions of extent of use and maintenance.

Communities who reported that their project investments were always or usually used and maintained, also generally reported that they were well used and well maintained. Likewise, communities that performed poorly on extent of use and maintenance had poor performance on quality.

Information could not be obtained for two communities in Indonesia: Kampung Greening in Pisang Baru and the Water Quality Management Project in Semanan. Although project-related investments and activities were still in use in these communities, community members who knew about MEIP or the NGO involved in the project could not be located. In addition, no information was available

about the Solid Waste Habitat in Pejaten Barat because the project was no longer active.

- Initiated in 1995, the project in Pejaten Barat was one of MEIP's earliest community-based projects. It trained communities in different composting methods, and composting continued in the community until 1998. By then, the organization that provided marketing support and technical assistance to the project had folded. The community initiative collapsed due to the loss of this assistance, combined with a low profit margin for composting and lack of government subsidy for composting.

- MEIP's role in the projects in Pisang Baru and Semanan had been limited, both in terms of people and time. Community members who had originally worked in partnership with MEIP could not be located in either place. In Pisang Baru the community was still involved in greening activities, but communities members had no recollection of MEIP's role in promoting greening in the community. In the Semanan Water Quality Management Project, MEIP supported a field officer based in the community for several months to encourage community involvement in installation of a wastewater treatment plant. Due to problems between the community collective and community members, the treatment plant was still in the process of being constructed. However, communities continue to maintain the existing drainage basins, which had been an objective of the MEIP initiative.

#### Box 4. The Kampung Improvement Program (KIP): A Comprehensive Approach to Environmental Problems

Begun in 1969, the Kampung Improvement Program (KIP) in Jakarta has been replicated in many cities throughout Indonesia. KIP provides basic infrastructure and improves sanitation in low income areas, or kampungs. Initially KIP focused on solid waste management and physical infrastructure, such as footpaths, drainage and public toilets. By the third phase of the project, KIP III, it had evolved into a comprehensive community development program with income generation and social components as well, such as assistance to low income families and school children.

In 1990, MEIP began to collaborate with the government on KIP III preparation and implementation, particularly in strengthening community and NGO involvement in the project process. MEIP helped initiate micro credit and small enterprise schemes for KIP communities, and encouraged the local government to give NGOs a role in project management. These initiatives have since been replicated in other cities.

During early phases of the project, KIP management hired community development specialists from engineering consulting firms to design and implement the project. MEIP persuaded the government to let NGOs manage project preparation and implementation in ten additional areas. To facilitate NGO involvement in the project, the Governor issued a decree that gives NGOs priority in community-based projects and exempts them from bureaucratic requirements. The decree also makes it easier for NGOs to get involved in other development efforts. MEIP worked with government departments to develop the procedures to devolve control to the NGOs and communities. It collaborated with the Ministry of Finance to draft procedures for disbursement, reporting and accounting that enabled NGOs to have management responsibility for project implementation.

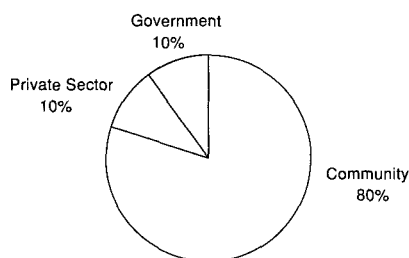
NGO involvement in KIP significantly strengthened the project's links to communities; NGOs worked closely with communities in planning the project and deciding on project activities and investments. However, communities were frustrated by the lengthy clearance process for proposed initiatives, and by outcomes that did not reflect the needs they had expressed. Community proposals went from the community to the district to the municipal level to be approved, and the final decision often did not match the original aspirations. To enable the communities to have a more direct role in development efforts, KIP established a Community Environmental Grant for small, local initiatives and gave communities control over how to allocate resources. The grant was one of the earliest instances of use of government budgets for community-directed work in Indonesia. KIP also instituted a community-managed revolving fund.

KIP's ambitious pilot initiatives in the ten NGO-managed areas sparked a wide range of community activities. The program has also been a learning process. In Pulo Gadung, the community was slow to take part in KIP. Initially, only 16 people joined the KIP-related community organization. But by making the community meetings more of a social gathering, the group was able to increase its membership over time to 660. The program funded public toilets, a drainage system, concrete paving for streets, and garbage carts. Low income families and school children received aid, and a micro credit program helped generate income. Community members learned how to write proposals and keep accounts, and they took part in auto mechanics, silk screening and other skills training programs.

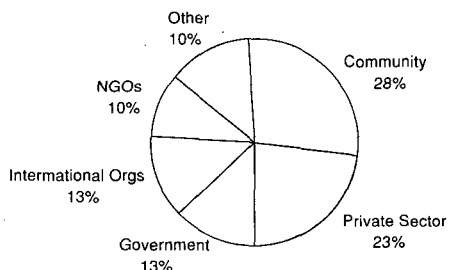
In Tugu Utara, a year went by before the community received any funding. After the initial delay, KIP funded garbage containers and business activities in the community, including a school uniform sewing project and a furniture project. KIP investments in Cibesut included improvement of physical infrastructure, such as streets, toilets and hand pumps, and a micro-credit scheme. Although a community organization existed prior to the start of KIP, the project initiated new community groups but these soon became inactive. The original community organization then took over the revolving fund and other project activities.

**Figure 5: Sources of funds for Project Maintenance**

**Indonesia: Sources of funds for project maintenance**  
(by % of community responses)



**Philippines: Sources of funds for project maintenance**  
(by % of community responses)



resourcefulness of Filipino community institutions and members, and the wide sharing of MEIP experiences may also have helped sustain projects. Sharing of lessons learned gave community initiatives greater exposure to new ideas and contacts, making it easier to leverage additional financial resources.

In both countries, the regularity of community contributions to project operation and maintenance varied widely. A few communities always contributed to project operation and maintenance, while others

Sources of funds for project maintenance differed in the two countries. In Indonesia, the community was the major provider of funds, while the government and private sector were minor contributors. Many groups funded project maintenance in the Philippines. Communities and the private sector played a large role, but government, international organizations and NGOs also contributed. The availability of numerous sources of funding may have made it easier to maintain initiatives in the Philippines. The high level of capacity and

did so only occasionally or not at all.

## EXPECTATIONS

MEIP experience shows that, to some extent, community expectations of MEIP initiatives may have been higher than they would have been for other, non-participatory environmental projects. Expectations extended to a variety of socio-economic concerns in addition to environment. Nevertheless, the initiatives were able to satisfy the expectations of most community respondents. Community involvement may have played a role in this by ensuring that project design was tailored to community needs.

Community expectations included cleaner surroundings, general improvements, additional income and increased knowledge. Indonesian communities also expected to help others and expand the scope of existing projects. The majority of communities in both countries believed their expectations had been well met by the projects. Only one community in each country reported that some of its expectations had not been met. The ZKK community in the Philippines felt that its expectations for project expansion and increased income had not been satisfied. This is despite the fact that the community gave the ZKK Project high ratings for all three areas of project impact, the environment, overall well-being and community capacity to organize and participate. In Cibesut, one of the KIP communities in Indonesia, the community felt the funding was inadequate to provide the community with much help. The community hoped for aid from others to supplement it.

## FACTORS OF INFLUENCE

### Community involvement and project impact.

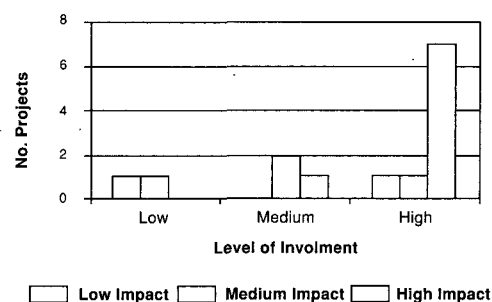
Although the type and depth of participation differed, both country programs emphasized community involvement and believed it would improve the impact of the projects. Findings from this study provide support for this aspect of MEIP's approach. Analysis shows that projects with a high level of community involvement tended to have a high impact. Impact was measured by a composite indicator giving equal weight to impact on environment, well-being and capacity to organize and participate. Involvement was based on a composite indicator giving equal weight to community ratings of their extent of involvement in project planning, management and implementation. The association between involvement and impact is weak at lower levels of involvement, however, perhaps partly due to the small number of projects that fall into this category. Although the small sample size makes the findings statistically insignificant, the analysis indicates support for a participatory approach

A similar analysis of project involvement and sustainability showed no relationship between the two. Sustainability did not increase with level of community participation. Other factors, such as size of staff, length of project period, and existence of institutional support mechanisms for sustainability, may have obscured an association.

Positive factors. Community perceptions of the factors that positively affected MEIP initiatives were similar in the two countries. Cooperation, committed leaders, private sector support, and the role of other organizations were seen as significant

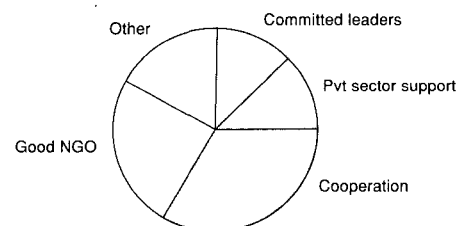
positive factors for project success. The emphasis given to these factors differed in the two countries, however. Most Indonesian respondents stressed cooperation and a good NGO as key factors, while Filipinos pointed to the importance of committed leaders, determination and partnership with other organizations. Several communities in the Philippines cited factors at the national level, such as supportive environmental policies and programs, as other notable influences on projects.

**Figure 6: Community Involvement and Project Impact**

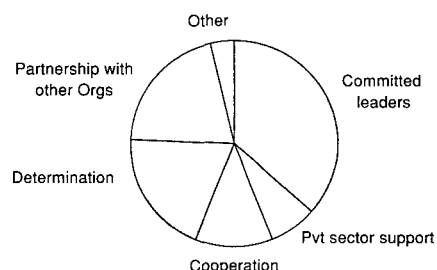


**Figure 7: Community Perceptions of Positive Factor**

#### INDONESIA: COMMUNITY PERCEPTIONS OF POSITIVE FACTOR



#### PHILIPPINES: COMMUNITY PERCEPTIONS OF POSITIVE FACTOR



Negative factors. Few focus groups in either country identified factors that had negatively affected the projects. In Indonesia, some communities did point to financial issues that they felt had hindered their initiatives. Most Filipino communities believed the projects were based on a financially sound idea, but about half of the Indonesian communities reported problems in the financial planning of the projects. In the Kampung Greening and Green Corridors Projects, costs were high since the areas covered were large and incentives were needed to encourage community participation. In the river monitoring project, the funds were just enough to cover initial activities. In addition, some respondents in the two countries mentioned concerns such as differences in opinion, lack of facilities and lack of a market for products.

Communities in both countries described various problems they had encountered in project implementation. In the Philippines, respondents pointed to difficulties with leadership, cooperation, and funds as the most common problems in implementation. In Indonesia, lack of interest and assistance were the greatest barriers. When asked how they would have changed the way the project worked, community respondents had several ideas. In the Philippines, the issue mentioned most often was fundraising, while in Indonesia, it was the need for greater assistance in general. Communities in the Philippines also talked about the need to improve storehouse facilities; conduct information, education and communication campaigns; network; and recruit more members, including women. In Indonesia, community members noted the need for additional project inputs; networking; recruiting more members; and fundraising.

Community perceptions of MEIP initiatives in Table 5 encapsulate some of the key aspects of the MEIP process and its outcomes. Perceptions of both the process and impact of MEIP initiatives in the Philippines and the KIP projects in Indonesia were very positive. Communities gave these projects a high rating for community involvement and capacity building efforts, as well as for project impact and sustainability. These projects also received good ratings for community involvement in local decision-making.

The performance of non-KIP projects in Indonesia was not as positive. Most projects received low to moderate ratings. These were probably due in part to the lower institutional capacity in Indonesia, both inside the community in terms of the number and quality of community organizations, and outside the community with regard to supportive partner organizations. The KIP projects in Indonesia did not suffer from these weaknesses as much because they had the support of a large governmental system and its many collaborating institutions.



**Table 5. Summary of Community Perceptions of the MEIP Initiatives**

<u>Project Name</u>	<u>Process</u>		<u>Outcome</u>	
	Involvement <sup>5</sup>	Capacity Building <sup>6</sup>	Impact <sup>7</sup>	Sustainability <sup>8</sup>
<u>Philippines</u>				
ZKK Household Solid Waste	***	***	***	***
New Era Household Solid Waste	**	**	**	***
Muntinlupa City School Involvement	***	***	**	***
Binan River Market Clean-up	**	**	***	***
Paco Public Market Clean-up	***	***	***	*
Paliko Creek River Rehabilitation	***	*	***	***
Makati City Donor-Beneficiary Scheme	***	***	***	***
Marikina Community Sanitation Planning	***	***	***	***
<u>Indonesia</u>				
Pulo Gadung NGO Involvement in KIP	***	***	***	***
Cibesut NGO Involvement in KIP	***	***	*	**
Tugu Utara NGO Involvement in KIP	***	***	***	**
Pejaten Barat Solid Waste Habitat	**	**	**	None
Pisang Baru Kampung Greening <sup>9</sup>	NA	*	NA	NA
Semanan Water Quality Management <sup>10</sup>	NA	**	NA	NA
Babon River Monitoring	*	**	**	**
Kebagusan Corridor Greening	*	*	*	**

High: \*\*\*, Medium: \*\*, Low: \*, Not available: NA

<sup>5</sup> Composite indicator giving equal weight to community ratings of extent of involvement in project planning, management and implementation.

<sup>6</sup> Measured according to training in technical and management skills taken by communities with equal weight given to both. Communities rated at a high level of capacity building participated in both types of training. Medium describes communities that had only one type of training, and low describes communities that had no formal training.

<sup>7</sup> Composite indicator giving equal weight to community perceptions of project impact on environment, well-being and capacity to organize and participate.

<sup>8</sup> Composite indicator of community perceptions of the extent and quality of use and maintenance of the projects, with equal weight given to both extent and quality.

<sup>9</sup> MEIP-related activity is ongoing in this community, although no details about project sustainability could be obtained through the focus group.

<sup>10</sup> MEIP-related activity is ongoing in this community, although no details about project sustainability could be obtained through the focus group.

## Box 5. Summary of Findings

### Local and country context

- **Institutional capacity:** The lack of pre-existing capacity and local level institutions may have restricted community involvement and project outcomes in Indonesia, where there were few community-based institutions in the MEIP communities, and those that existed had little experience in local activism and decision-making. In the Philippines' vibrant civil society sector, MEIP initiatives were able to draw on many existing community organizations and a wide network of supporting institutions.

### Building blocks of the MEIP approach

- **Community involvement:** Communities had a high level of involvement in project implementation in both countries. Filipino communities were highly involved in project planning and management.
- **Local decision-making:** Filipino initiatives and the comprehensive KIP projects in Indonesia helped build local institutional capacity by enabling communities to have an active role in problem analysis and project design; to obtain information on options, costs and benefits and reach consensus; and to establish new committees and their own rules for management.
- **Capacity building:** Initiatives in both countries provided communities with training to develop technical skills, and to a lesser extent, management skills.
- **Inclusion:** The projects generally have a good record of including all groups, regardless of socioeconomic status, social standing, age, or sex. Over 40 percent of participants in both countries were women, and women were also represented among community leaders.

### Benefits of the MEIP approach

- **Project impact:** Communities reported positive impacts on the environment, as well as on their general well-being, and capacity to organize and participate. In the Philippines, these impacts received particularly high ratings. Other positive effects of MEIP initiatives included improved environmental behavior, establishment of community institutions, greater access to credit, increased knowledge, improved economic opportunities, discipline and unity
- **Innovation and dissemination:** MEIP initiatives in both countries had considerable success in introducing innovative approaches to resolving urban environmental problems. All the MEIP initiatives piloted new ideas. The program also actively promoted dissemination of its lessons and approaches through publications, meetings, workshops, competitions, videos, media events and other means.
- **Institutionalization:** MEIP's success in disseminating its ideas is evident from the spread of its ideas into policies and programs in both Indonesia and the Philippines. For example, in one of the earliest instances of devolving financial control to communities in Indonesia, MEIP helped the government to draft procedures to enable communities to control grant funds in the Kampung Improvement Program. In the Philippines, half of MEIP's pilot approaches were adopted by government programs.
- **Effective process:** The study suggests that MEIP's focus on a participatory process, capacity building and a partnership approach benefited communities. A high level of community involvement is associated with high project impact in projects in both Indonesia and the Philippines. MEIP communities also identified cooperation, committed leaders, private sector support and the role of other organizations as positive factors for project performance.
- **Sustainability:** The outlook for the sustainability of MEIP initiatives is high in the Philippines and moderate in Indonesia. Projects in the Philippines received high ratings for extent and quality of use and maintenance, and moderate ratings in Indonesia.

# Conclusions

## IMPLICATIONS OF THE STUDY FINDINGS

What does the MEIP experience tell program managers about how to expand the benefits of community-based initiatives? What issues should managers of community-based projects consider in developing their initiatives? The following points highlight some of the key lessons that emerge from the MEIP experience:

Pre-existing institutions and capacity shape the nature and performance of community-based efforts. Less pre-existing capacity at the local level and among NGOs in Indonesia affected how MEIP functioned and what it was able to achieve. Therefore, baseline information and monitoring in this area is important to understanding and promoting community-based initiatives. Existing community organizations and the range of supportive partner organizations outside the community are two key indicators of capacity at the local level. MEIP helped communities build both these dimensions of capacity. It worked with existing groups and helped them develop their skills through technical and management training. In cases where parallel community organizations were established for the purpose of the project, they did not last. In addition, MEIP assisted communities in widening their range of partner organizations. By collaborating with the private sector, academic institutions, technical organizations, NGOs and government, MEIP helped communities establish a network of institutions outside the community on which they could draw for support on a range of concerns, including technical, financial, policy and management issues.

Community involvement helps to build local capacity and is associated with better project impact. In Indonesia, communities had little role in local development efforts prior to MEIP's interventions. MEIP's efforts to bring communities into the project decision-making process was therefore slow especially in the planning period, but significantly increased civil society capacity to engage in local governance. Community involvement in MEIP was also associated with better project outcomes. Communities want to be involved in the project process.

Community involvement is important in all project phases and activities—preparation, management, implementation, resource allocation and monitoring and evaluation. While MEIP did not focus on community control over resources or participatory monitoring and evaluation, these aspects of involvement have particular potential to ensure that initiatives are adapted to community needs because they enable communities to take a leading role in project decision-making. The ability of MEIP communities to drive the development process was restricted by the fact that few community members had control over resources or access to information about project progress through participatory monitoring and evaluation.

Learning by doing and monitoring progress improves insight and performance. One of the greatest strengths of the MEIP approach is the flexible nature of project design, which enabled learning by doing. Project managers piloted new approaches, which they scaled up when successful and modified when unsuccessful. To assess the success of a pilot approach, managers kept a keen eye on how well the ideas were being received by

the community, whether the community was supporting the initiative and whether the community needed special training to provide the needed support. The managers were intuitively monitoring both process and outcome indicators of the success of the initiatives.

While many of the indicators described in this study represent implicit aspects of the MEIP approach, they were not formally tracked or measured. A small number of key indicators could have complimented MEIP's learning by doing approach and helped its project managers understand and assess their own efforts (see Table 6). These indicators help identify the numerous ways a community-based initiative has an impact on its beneficiaries. Process indicators examine the extent to which a project is actually engaging the community and, if they are monitored, can help flag problems at an early stage. Outcome indicators capture how well a project is doing and provide a way to measure and show results. By keeping track of the number of project innovations that were adopted into programs and policies, for example, the manager of a community project is better able to explain the impact of a project to others outside the community. Indicators of existing capacity help evaluate the starting point of a project.

Technical and management skills training helps to build local capacity. Communities experience the greatest benefits when technical skills (such as composting methods) are complemented by management training. Communities emphasized the usefulness of MEIP's skills training efforts. They were most positive when technical skills development was matched with training to help community members develop their abilities to direct

programs and lead organizations. They expressed a particular interest in formal training programs. Finance and accounting training also helps communities to address institutional weaknesses at the local level.

Mechanisms to document the process and share experience help to build capacity and spread innovation. The exchange of information about best practices is a critical aspect of training and helps ensure that local results feed into national programs. The lessons learned from community-based pilots are often lost with the end of the projects and go no further than one community. Managers need to make special efforts to ensure that the lessons—both positive and negative—are shared with others and applied. Such efforts also help build partnerships between communities and local institutions, which in turn improves sustainability. In the Philippines and Indonesia, efforts to document and disseminate the process of taking action at the community level and to share experiences with other areas made the expansion of MEIP's innovations possible. Several ways of sharing experience were effective, including site visits to pilot communities; short dissemination notes about the initiatives with 'before' and 'after' photo documentation; workshops to facilitate sharing of experience; practical 'how to' guidance notes on community-based environmental management practices; videos on project process and results for field training and advocacy at the policy level; and media events to raise attention to environmental concerns.

Institutionalization occurs through partnership, dissemination, and changes in programs and policies. Innovative community-based approaches

can be institutionalized at the policy level, through changes in laws and regulations, and at the program level, through the adoption of pilot ideas or partnership approaches in large-scale programs. Governments and other local institutions often need help in making these changes, and organizations that can assist in drafting laws and regulations and sharing program documents have considerable potential to influence this process. MEIP successfully mainstreamed its approaches by drafting policy changes and disseminating its pilots through program documentation and site visits. MEIP's partnership approach helped spread the word about the program's successes, in addition to creating a powerful advocacy group.

Sustainability requires more attention. Several factors may have contributed to the moderate rather than high level of use and maintenance of MEIP's Indonesian initiatives. The government's record of investing in operation and maintenance has not been strong. Low capacity and lack of a network of supportive institutions in Indonesia also undermined sustainability. The Pejaten Barat Waste Management Project collapsed after the institution that had provided it with marketing support and technical assistance folded.

MEIP community members in both countries cited difficulties with assistance, leadership, cooperation and funding as major concerns during project implementation. Lack of continuous funding is a major problem for community initiatives. Access to funding is often related to a network of support. Filipino communities had access to many sources of funding to help maintain their initiatives, which contributed to their sustainability. Filipino community capacity and resourcefulness, and the

wide sharing of MEIP experiences may also have strengthened project sustainability. Sharing of lessons learned gave community initiatives greater exposure to new ideas and contacts, making it easier to leverage additional financial resources. Building partnerships with other institutions and sharing experiences helps to strengthen cooperation and creates a network of support from other institutions for technical assistance, management advice, and funding. Efforts to help communities build a network of support and establish ongoing sources of funds through community revolving funds or other mechanisms can play a critical role in improving the sustainability of community-based initiatives.

Special efforts may be needed to encourage inclusion. Specific, targeted efforts may be needed to ensure that all groups have an equal opportunity



*Community members in Pisang Baru in Jakarta discuss their work in the Kampung Greening project.*

**Table 6: Key Social and Institutional Indicators for MEIP**

Existing Capacity

- Existing community organizations
- Range of partner organizations (prior to intervention)

Process

- Community Involvement
  - In preparation
  - In management
  - In implementation
  - In resource allocation
  - In monitoring and evaluation
- Local decision-making
  - Involvement in problem analysis and diagnosis
  - Availability of information on options, costs and benefits
- Range of partner organizations (after intervention)
- Capacity building
  - Technical (i.e. environmental skills)
  - Management (i.e. organizational skills, accounting, etc)
  - Mechanisms to foster exchange of lessons learned and best practices
- Transparency and accountability

Outcomes

- Project impact
  - On environment
  - On well-being
  - On capacity to organize and participate
- Innovation
- Dissemination
- Institutionalization
  - Through policy
  - Through programs
- Sustainability
- Inclusion

to participate in community-based efforts. If the cultural and institutional context of a country hinders the involvement of particular groups, a participatory approach alone may not be adequate to reach those who are excluded. Although MEIP projects were generally inclusive, their local context sometimes created barriers to participation. For example, in Indonesia the Kampung Improvement Program's requirement for a minimum level of community contribution effectively excluded the poorest groups from joining the community savings program. In addition, although women were well represented among active community members, there were fewer women than men among leaders in the MEIP communities, particularly in Indonesia.

RIPPLE EFFECTS

For the long term, MEIP sought to spread the ideas and lessons from its initiatives to support a broader movement for environmental action. Other than instances of dissemination and institutionalization of specific initiatives, how has the overall MEIP approach been extended beyond small target groups to a larger audience?

Although it is still early to evaluate this question, the answer appears to depend on the specific needs and opportunities of each country context. In Indonesia, MEIP's greatest impact may come from its efforts to create a participatory process that actively engages people to address the problems of their environment. While its ratings for community involvement and other aspects of the social and institutional capacity building process were less impressive than those of the Philippines, Indonesia began at a lower level of capacity, so what gains it made eventually may have greater relative

impact.

MEIP had some success in Indonesia with the technical aspects of its initiatives, but its efforts to strengthen democratic processes and civil society involvement in environmental efforts contributed to a larger process with a potentially greater impact in the long run. Recent political events and the movement toward democratization and decentralization have fueled efforts like MEIP's to devolve decision-making and action to the grassroots levels. A new generation of environmental initiatives—forums—have emerged to give people an opportunity to voice their concerns about their environment. In several Indonesian cities, forums are operating at the municipal and sub-district levels to create a bottom-up planning process, increase public and private participation, and build capacity through training programs. Each city has defined its own membership and operating rules for forums. Forums bring together universities, NGOs, media, private sector and, in some cases, government. The political pressure brought to bear by these forums creates an opportunity to advance the technical lessons from MEIP's environmental efforts as well as the importance of inclusive, participatory processes.

In the Philippines, the ultimate success of MEIP may depend on its efforts to communicate and mainstream its lessons, particularly at the national and policy level. Many of MEIP's innovations have spread to other communities and four have been adopted by government programs. Nevertheless, these successes remain small scale and do not have much impact on the vast scale of urban environmental problems in the country. While some local governments became partners of MEIP

initiatives, MEIP had limited impact at the national level. The major challenge is to mainstream MEIP's lessons and approaches in national programs so they can be replicated in more places and/or gradually scaled-up. Bringing MEIP's lessons to the national level will require greater attention to advocacy and policy dialogue, and expansion of its innovative, multi-media information dissemination efforts. Environmental activists in the Philippines have now made this a priority concern.

Both MEIP's democratic process in Indonesia and its communication efforts in the Philippines are closely linked to the program's emphasis on building local capacity. The Metropolitan Environmental Improvement Program's ultimate legacy, therefore, rests on its contributions to social and institutional processes as well as on its technical solutions.

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## ANNEX A: THE PHILIPPINES, PROJECT SUMMARIES

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Zero Kalat para sa Kaunlaran (ZKK)</u> (Zero Waste for Progress)  <u>Navotas</u> (Household level solid waste)	<ul style="list-style-type: none"> <li>To conduct Waste Management and Awareness Seminar for residents, officials, leaders and youth in the target areas.</li> <li>To conduct echo training involving at least 700 community members within six months from the start of the project.</li> <li>To organize the community members into a cooperative.</li> <li>To develop linkages with the municipal and barangay governments in the implementation of ordinances for the proper management and improvement of sanitation.</li> <li>Seminar on cooperative development</li> </ul>	<ul style="list-style-type: none"> <li>Composting</li> <li>Recycling</li> <li>Segregation at household level</li> <li>Information, education, communication (IEC)</li> <li>Trainer's training</li> <li>Acquisition of shredder and truck</li> <li>Established community vegetable farm</li> </ul>	<ul style="list-style-type: none"> <li>Dagat-dagatan Polymedic Medical Foundation, Inc.</li> <li>Barangay Dagat-dagatan</li> </ul>	
<u>Ecological Waste Mgmt. Project for Public Market</u>  <u>Mandaue City</u> (Public market solid waste clean-up)	<ul style="list-style-type: none"> <li>To promote reduction, recovery and proper disposal of market wastes.</li> </ul>	<ul style="list-style-type: none"> <li>Segregation</li> <li>Composting</li> <li>IEC</li> <li>Training</li> </ul>	<ul style="list-style-type: none"> <li>Rotary Club</li> <li>City Government of Mandaue</li> <li>Market Vendors Association</li> <li>Barangay Council</li> <li>DENR Region 7</li> </ul>	<ul style="list-style-type: none"> <li>This is a replication of the Metro Manila experience on market wastes management outside Luzon.</li> </ul>
<u>Casili Solid Waste Management Showcase Facility</u>  <u>Barangays Casili, Mandaue City, Metro Cebu</u> (Household level solid waste)	<ul style="list-style-type: none"> <li>To organize multisectoral bodies that will identify and establish a showcase site for solid waste management and composting.</li> <li>To strengthen IEC on solid waste management.</li> <li>To establish networking and cooperative relationships with other NGOs and POs for the successful implementation of the project.</li> <li>To study, plan and design a solid waste management/ composting plant.</li> <li>To incorporate into the project the major components of Eco-Waste Management (EWM).</li> <li>To establish an effective system of waste collection within the pilot site.</li> <li>To construct, operate and maintain the pilot area facility until it has become self-supporting.</li> </ul>	<ul style="list-style-type: none"> <li>Information, education, communication</li> <li>Community organizing</li> <li>Training</li> <li>Composting</li> <li>Recycling</li> </ul>	<ul style="list-style-type: none"> <li>Citizens League for Ecological Awareness and Responsibility (CLEAR)</li> <li>DENR Region VII</li> <li>Barangay residents and scavengers</li> <li>Barangay officials</li> <li>University of Cebu</li> <li>Rotary Club, Department of Agriculture</li> </ul>	<ul style="list-style-type: none"> <li>Training on floor wax making from discarded soft plastics is an income generating activity that has been very successful.</li> </ul>

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Community Mobilization for Zero Waste Management</u>  (Household level solid waste)	<ul style="list-style-type: none"> <li>To reduce household wastes by introducing a system of waste segregation.</li> <li>To improve the quality of life by improving living conditions in the town.</li> </ul>	<ul style="list-style-type: none"> <li>Information, education, communication</li> <li>Training</li> <li>Composting</li> <li>Recycling</li> <li>Segregation at household level</li> </ul>	<ul style="list-style-type: none"> <li>Rural Health Unit</li> <li>Community members</li> <li>Barangay Council and the Municipal Mayor</li> <li>Barangay Health Workers (BHW)</li> <li>Recycling Movement of the Philippines Foundation, Inc.</li> <li>Community members</li> </ul>	<ul style="list-style-type: none"> <li>80 % of Bustos population was active in the initiative.</li> <li>Bustos was chosen as the first runner up in the 1995-1996 Regional Search for Clean and Green and Hall of Fame Award for the Gawad Galing Pook.</li> </ul>
<u>School-based Ecological Waste Management</u>  <u>Muntinlupa City</u>  (School involvement in city-wide solid waste reduction plan)	<ul style="list-style-type: none"> <li>To reduce school waste by 50% in 1999.</li> </ul>	<ul style="list-style-type: none"> <li>Information, education, communication</li> <li>Training</li> <li>Segregation</li> <li>Composting</li> </ul>	<ul style="list-style-type: none"> <li>School officials</li> <li>Committee on Health and Sanitation of Muntinlupa City</li> <li>School children</li> </ul>	
<u>Community-based Integrated Waste Management</u>  <u>Barangay New Era, Quezon City</u>  (Household level solid waste)	<ul style="list-style-type: none"> <li>To mainstream the concept of Eco-Waste Management in the barangays.</li> <li>To set up a sustainable mechanism by which target communities can attain self sufficiency through viable livelihood projects.</li> </ul>	<ul style="list-style-type: none"> <li>Information, education, communication</li> <li>Composting, recycling and segregation at household level</li> <li>Training and training-of-trainers</li> <li>Acquisition of shredder</li> </ul>	<ul style="list-style-type: none"> <li>Recycling Movement of the Philippines Foundation, Inc.</li> <li>Barangay Era community members and barangay officials</li> </ul>	<ul style="list-style-type: none"> <li>Manufactured organic fertilizer through two composters and 61 compost heaps.</li> </ul>
<u>Eco-Waste Management for Bangkerohan Public Market</u>  <u>Davao City</u>  (Public market solid waste clean-up)	<ul style="list-style-type: none"> <li>To educate and train the managers, vendors and community members of the Bangkerohan Public Market and the surrounding community on the benefits and techniques of Eco-Waste Management.</li> <li>To establish a larger scale and replicable model of EWM in Davao City and Region II.</li> </ul>	<ul style="list-style-type: none"> <li>Information, education, communication on EWM</li> <li>Training activities</li> <li>Segregation and composting</li> <li>Establishment of micro-enterprise</li> <li>Barangay Bangkerohan</li> </ul>	<ul style="list-style-type: none"> <li>Rotary Club</li> <li>Bangkerohan Public Market Vendors Association</li> <li>DENR and CENRO</li> </ul>	<ul style="list-style-type: none"> <li>This is a replication of the experiences in Metro Manila for managing market wastes.</li> </ul>

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Community Participation and Advocacy for Ecological Waste Management</u>  Three Barangays and Public Market in the Paco District of Manila  (Public market solid waste clean-up)	<ul style="list-style-type: none"> <li>To draw up an implementable process of cleaning up the market and the residential communities.</li> <li>To involve both private and public sectors in EWM.</li> <li>To train individuals for effective leadership in the implementation of the EWM Action Plan.</li> </ul>	<ul style="list-style-type: none"> <li>IEC</li> <li>Training</li> <li>Segregation</li> <li>Composting (for a time)</li> </ul>	<ul style="list-style-type: none"> <li>Unilever Philippines, Inc.</li> <li>DENR</li> <li>City Government of Manila</li> <li>Barangay Chairpersons 671, 673, 679</li> <li>Paco Soriano Pandacan Cooperative</li> <li>New Paco Retailers and Stall Owners Association</li> <li>Paco Street Hawkers Association</li> <li>AWARE, Inc.</li> </ul>	<ul style="list-style-type: none"> <li>Composting activity was not sustained because of lack of appropriate composting site. The community is re-starting the activity and is looking for suitable site outside Metro Manila.</li> </ul>
<u>Santa Maria Public Market Wastes Documentation</u>  (Public market solid waste clean-up)	<ul style="list-style-type: none"> <li>To document the EWM process for replication in other similar sites.</li> </ul>	<ul style="list-style-type: none"> <li>IEC Documentation</li> <li>Training</li> <li>Establishment of processing center for organic fertilizer</li> </ul>	<ul style="list-style-type: none"> <li>AWARE, Inc.</li> <li>Local Government of Sta. Maria, Bulacan</li> </ul>	<ul style="list-style-type: none"> <li>The involvement of MEIP is only in the documentation of the case. This is part of the IEC material development for training in EWM. This project serves as a learning center for composting technology.</li> </ul>
<u>Polystyrene Recycling in Glorietta Mall</u>  <u>Makati Commercial Center, Makati City</u>  (Recycling of polystyrene waste from commercial establishments)	<ul style="list-style-type: none"> <li>To educate the fast food operators and crew about the value of proper waste management.</li> <li>To minimize the waste that needs to be collected and thrown away by recovering the polystyrene plastic waste from various fast foods operating within the Glorietta (Mall).</li> <li>To provide a regular source of materials for the polystyrene recycling plant operated by the PPCP.</li> </ul>	<ul style="list-style-type: none"> <li>IEC campaign</li> <li>Incorporation of the requirement of waste segregation in the contract of each fast food outlet with Ayala Properties Inc.</li> <li>Nightly collection of segregated PP waste and its delivery to the recycling plant in Sta. Maria.</li> </ul>	<ul style="list-style-type: none"> <li>Fast food Companies</li> <li>The Ayala Property Mgt. Inc.</li> <li>The Ayala Foundation</li> <li>Barangay San Lorenzo</li> <li>The City Government</li> <li>Metro Manila Development Authority</li> <li>The PPCP</li> </ul>	<ul style="list-style-type: none"> <li>The PPCP decided to set up a PP recycling plant to show that they are responsible producers of plastic. They did this due to the growing pressure to ban plastic in the country.</li> <li>Since the mall is within Barangay San Lorenzo, to support the project, the Brgy. Council passed a local ordinance requiring waste segregation of the entire community.</li> </ul>

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Global Rivers</u> <u>Environmental</u> <u>Education Network</u>  Binan, Laguna for the Binan River;  <u>Quezon City and</u> <u>Manila for the Pasig</u> <u>River system</u>  (Community-based water quality monitoring)	<ul style="list-style-type: none"> <li>To train community leaders and members in first level (using their senses and simple testing equipment) water quality monitoring.</li> <li>To develop a checklist which will be used for the first level monitoring.</li> <li>To eventually deputize the trained community leaders and members so that they can serve as partners of government (the DENR and the LLDA) in monitoring both the ambient quality and effluents.</li> <li>To identify hotspots where the technical staff/ inspection teams of DENR/LLDA are to be fielded.</li> </ul>	<ul style="list-style-type: none"> <li>Orientation and training</li> <li>Identification of industries within the area of the participating communities</li> <li>Testing of the river quality checklist by communities</li> <li>Finalization of the checklist and the development of the draft guidelines</li> <li>Provision of manuals and simple testing equipment</li> <li>Follow up training</li> </ul>	<ul style="list-style-type: none"> <li>The EMB</li> <li>The DENR Regional office for the National Capital Region</li> <li>The LLDA</li> <li>The Binan Local Government</li> <li>The Binan Lions Club</li> <li>The Fisheries and Aquatic Resources Management Council of Binan</li> <li>The fisherfolk of Binan</li> <li>The community members of Punta, Sta. Ana, Manila</li> <li>The community members in Quezon City</li> <li>The Sagip Pasig Movement (an NGO)</li> </ul>	<ul style="list-style-type: none"> <li>The initiative was supposed to be piloted in 3 areas and on the basis of the pilots, a general guideline was to be formulated by the DENR and LLDA. Although all partners were enthusiastic about the project and the communities keen to proceed, the deputation of the communities never came out from the DENR. The existence of too many bureaucratic requirements prevented the progress of the project.</li> </ul>
<u>Biñan River</u> <u>Clean Up Project</u>  <u>Binan, Laguna</u> <u>Province</u>  (River rehabilitation and solid waste)	<ul style="list-style-type: none"> <li>To reduce the volume of garbage dumped into the Biñan River by approximately 50% through market wastes reduction.</li> <li>To create a model for solid waste management can be replicated in other communities.</li> </ul>	<ul style="list-style-type: none"> <li>Public market clean-up</li> <li>IEC</li> <li>Training</li> </ul>	<ul style="list-style-type: none"> <li>Biñan Lion's Club</li> <li>Local Government of Binan</li> <li>FARMCI (Fisherfolk organization)</li> <li>Market Vendors Association</li> <li>Communities along the river banks</li> </ul>	<ul style="list-style-type: none"> <li>Facilitated the visit of project participants to other communities undertaking a successful urban environmental management program.</li> </ul>
<u>Paliko Creek</u> <u>Rehabilitation</u> <u>Project</u>  <u>Muntinlupa City</u>  (River Rehabilitation and solid waste)	<ul style="list-style-type: none"> <li>To raise the level of environmental and health consciousness of the community.</li> <li>To mobilize local industries to voluntarily comply with effluent standards.</li> <li>To mobilize the city government and barangays to strictly enforce anti-pollution and anti-littering law, rules and regulations.</li> <li>To reduce discharges of domestic and industrial waste water and the dumping of solid waste.</li> </ul>	<ul style="list-style-type: none"> <li>Solid waste</li> <li>Organizing urban communities</li> <li>IEC</li> <li>Training</li> </ul>	<ul style="list-style-type: none"> <li>Barangay Cupang</li> <li>City government of Muntinlupa</li> <li>LLDA (Laguna Lake Development Authority)</li> <li>Muntinlupa Development Foundation</li> <li>Advance Warehousing Association, Inc.</li> </ul>	<ul style="list-style-type: none"> <li>Clean-up of the creek is conducted regularly by the people's organization.</li> </ul>

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Donor-Beneficiary</u> <u>(DB) Solid Waste</u> <u>Management</u> <u>Scheme in Makati</u> <u>City</u>  <u>Kapatirang Maralita</u> <u>sa Pio del Pilar, Inc.</u> <u>(KAMPPI)</u> <u>Susan Roces and</u> <u>Pancho Compound,</u> <u>Inc (SRAPCAI)</u> <u>San Lorenzo Village</u> <u>Ecology Village</u> (Donor –Beneficiary Scheme)	<ul style="list-style-type: none"> <li>• To transform wastes into a resource with higher value.</li> <li>• To involve community in managing the resource.</li> <li>• To provide a system where 'resource rich' groups donate segregated wastes to the barangays</li> </ul>	<ul style="list-style-type: none"> <li>• IEC</li> <li>• Training</li> <li>• Segregation</li> <li>• Donor-beneficiary matching</li> <li>• Livelihood</li> </ul>	<ul style="list-style-type: none"> <li>• Low income communities</li> <li>• Middle-high level communities</li> <li>• Food stall and restaurant owners</li> <li>• Association of business establishments</li> <li>• Polystyrene Packaging Council of the Philippines</li> <li>• Ayala Foundation</li> <li>• Department of Environment and Natural Resources</li> </ul>	
<u>Participatory</u> <u>Action Planning</u> <u>for the Development</u> <u>of Two (2) Public</u> <u>Sanitation Facilities</u> <u>(PSF) Projects</u>  <u>Caloocan City</u> <u>Marikina City</u>  (Community action planning for public sanitation)	<ul style="list-style-type: none"> <li>• To assist the PSF user groups and appropriate barangays and municipal officials in developing actions to improve the operation, maintenance and development of other services related to PSF.</li> <li>• To rehabilitate PSF based on the community plan.</li> <li>• To document the processes involved</li> <li>• To draw out mechanisms by which the pilot can be adopted by other PSFs.</li> </ul>	<ul style="list-style-type: none"> <li>• Management of public toilet facility and water supply</li> <li>• Participatory action planning</li> </ul>	<ul style="list-style-type: none"> <li>• UIP Social Action and Research for Development Foundation</li> <li>• Barangay Council</li> <li>• Barangay Sanitation</li> </ul>	<ul style="list-style-type: none"> <li>• Bath, laundry area, toilets, water supply installed and managed by the community.</li> </ul>

## ANNEX B: INDONESIA, PROJECT SUMMARIES

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Community Development along Three Rivers</u>  <u>Ciliwung, Cipinang and Mookervart Rivers near Jakarta</u>  (Water quality management)	<ul style="list-style-type: none"> <li>To empower communities to help maintain the cleanliness of the river near their community.</li> </ul>	<ul style="list-style-type: none"> <li>Discussions on environmental issues with community groups, organized by the Community Education Agency.</li> <li>Practical activities developed in cooperation with communities, such as waste collection and composting.</li> </ul>	<ul style="list-style-type: none"> <li>Ministry of Education, Community Education Agency (Dikmas)</li> <li>Community groups</li> </ul>	
<u>Waste Management of Small Scale Industry</u>  <u>Tanah Tinggi, Central Jakarta</u>  (Water quality management)	<ul style="list-style-type: none"> <li>To reduce river pollution caused by tofu production.</li> </ul>	<ul style="list-style-type: none"> <li>Management of tofu production process, including sanitation and waste management</li> <li>Establishment of liquid waste treatment facility</li> </ul>	<ul style="list-style-type: none"> <li>Tofu home industry, community members</li> </ul>	<ul style="list-style-type: none"> <li>Destroyed by fire and redeveloped for other land use.</li> </ul>
<u>Waste Management of Small Scale Industry</u>  <u>Swakerta Small-scale Industry Cluster, Kampung Semanan, West Jakarta</u>  (Water quality management)	<ul style="list-style-type: none"> <li>To reduce river pollution caused by tofu and tempe production along Banjir Kanal, by relocating these small-scale producers to the Cluster.</li> </ul>	<ul style="list-style-type: none"> <li>Construction of central, community-based tofu and soybean cake production kitchen with water treatment and sewerage system.</li> <li>NGO-facilitated consultation with local communities: an NGO facilitator lived with the community for 3 months to raise awareness and provide organizational assistance.</li> <li>Construction of installation, assistance in the technical operation and maintenance expertise provided by the office of Public Works.</li> <li>Management of kitchen and supply of soybean through community co-op.</li> </ul>	<ul style="list-style-type: none"> <li>Semanan co-op of tofu and soybean producers</li> <li>Office of Public Works of Jakarta Special Territory</li> <li>Bina Swadaya (NGO)</li> <li>Community members</li> </ul>	<ul style="list-style-type: none"> <li>Problems included limited capacity of kitchen to accommodate more users, and weak coordination between agencies in the program.</li> <li>Future issues are an urgent need to build a channel from the water treatment facility to the main canal and continued encouragement for the community to maintain cleanliness, sanitation and cost-sharing.</li> </ul>

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>MEIP-Habitat Joint Project</u>  <u>10 neighborhood units (RTs) in South Jakarta</u>  (Solid waste management)	<ul style="list-style-type: none"> <li>To reduce solid waste by implementing low-cost composting technology.</li> </ul>	<ul style="list-style-type: none"> <li>At sub-district level: (1) increased awareness for households about community solid waste management system and encouragement of partnerships with scavengers, official waste pickers and the formal government system; and (2) adjustment of pick-up schedule, re-routing of garbage cart, and improved services.</li> <li>At community level, evaluation of existing Recycling and Composting Production Enterprises (UDPKs).</li> <li>At household level, introduction of three methods of composting.</li> </ul>	<ul style="list-style-type: none"> <li>United Nations Center for Human Settlements/ Habitat</li> <li>Community members</li> <li>Sub-district government</li> </ul>	<ul style="list-style-type: none"> <li>Evaluation of UDPKs showed that marketing was not well conducted and some technical details had been adjusted.</li> <li>Existing UDPKs in the community doubled their units to handle greater volume and a broader service area.</li> <li>Problems included some changes in the formal system which slowed down the process.</li> </ul>
<u>Community-based Housing Development</u>  <u>Mojosongo, Solo</u>  (Housing development)	<ul style="list-style-type: none"> <li>To help communities decide on their own plan for housing development.</li> </ul>	<ul style="list-style-type: none"> <li>Bottom up process of planning facilitated by a development consultant for land use, budget, provision of material, construction and maintenance.</li> <li>Land consolidation and relocation.</li> <li>Development of zone for informal sector activities.</li> </ul>	<ul style="list-style-type: none"> <li>Community members, Government agencies, Development consultant</li> </ul>	
<u>Clean River Program (Prokasih)</u>  <u>Six villages along the Babon River, Semarang</u>  (Community-based river monitoring)	<ul style="list-style-type: none"> <li>To improve information, awareness, skills and economic capability of communities to enable their participation in environmental management.</li> </ul>	<ul style="list-style-type: none"> <li>Workshops on environmental awareness and monitoring techniques.</li> <li>Training of trainers program.</li> <li>Village work groups.</li> </ul>	<ul style="list-style-type: none"> <li>Teachers, women's organizations, youth organizations and university students; Bapedalda of Semarang, mayor and municipal government</li> </ul>	



<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Involvement of NGOs</u> <u>in Kampung</u> <u>Improvement</u> <u>Program (KIP)</u>  <u>10 areas</u>  (Improvement of low income settlements)	<ul style="list-style-type: none"> <li>To strengthen community involvement in the basic infrastructure provision and sanitation improvement in slum areas.</li> </ul>	<ul style="list-style-type: none"> <li>NGOs responsible for KIP project preparation and implementation, to strengthen community involvement.</li> <li>Community Environmental Grant provides a direct route to funding community needs, such as (1) construction of infrastructure and public facilities, (2) micro-credit for job creation, and (3) strengthening social and community organization.</li> <li>Home improvement loans are available to families.</li> <li>Greening.</li> </ul>	<ul style="list-style-type: none"> <li>NGOs</li> <li>Local government</li> <li>Community members</li> <li>Private foundation (3 communities in Pela Mampung)</li> <li>Community Development Consultation</li> </ul>	<ul style="list-style-type: none"> <li>This initiative began after 1992 when MEIP encouraged the city government to invite NGOs to do the KIP project preparation and implementation.</li> <li>The Governor issued a Decree that gives priority to NGOs in community-based development projects and exempts them from complicated bureaucratic requirements.</li> <li>Since community involvement in KIP was a lengthy and frustrating process, KIP created the grant program to provide a faster route to support local concerns. Other KIP-related initiatives include loans to families for home improvement and kampung greening.</li> <li>The first KIP focused on physical infrastructure such as footpaths, drainage, public toilets and solid waste management, while KIP-III includes physical and social benefits, and income generation/job creation.</li> </ul>
<u>Community</u> <u>Empowerment on</u> <u>Small Island in</u> <u>Jakarta Bay</u>  <u>Small Island in</u> <u>Jakarta Bay</u>  (Improvement of low income settlements)	<ul style="list-style-type: none"> <li>To provide a suitable and acceptable approach to environmental improvement in the area.</li> </ul>	<ul style="list-style-type: none"> <li>Income generation activities, e.g. fish crackers, sweets, dressmaking and mechanics.</li> <li>Environmental activities, e.g. location of privies, solid waste management, tree planting, water conservation and quality.</li> <li>Mobilization of community to form cooperatives and other groups.</li> </ul>	<ul style="list-style-type: none"> <li>Community members, Department of Education and Culture's Community Education Department, Subdistrict government</li> </ul>	<ul style="list-style-type: none"> <li>MEIP did not start with environmental activities, because the community was not interested. It started with income generation activities such as making crackers and seaweed cultivation. Later MEIP moved into community sanitation.</li> </ul>

<u>Name</u> <u>Location</u> (Project Type)	<u>Objectives</u>	<u>Activities</u>	<u>Actors</u>	<u>Notes</u>
<u>Bandarharjo</u> <u>Urban Renewal</u>  <u>Bandarharjo</u> <u>Semarang</u>  (Urban renewal)	<ul style="list-style-type: none"> <li>To improve the environmental conditions of low income groups.</li> </ul>	<ul style="list-style-type: none"> <li>Strengthening of urban development, participatory process and environmental, social and economic development of area.</li> <li>Planning, provision of roads, footpaths, drainage, water supply, solid waste management, greening, land consolidation.</li> <li>Community-based development, housing loans, micro-credit, job creation, training for women, facilities for children.</li> </ul>	<ul style="list-style-type: none"> <li>Community members, Community development consultant, NGOs</li> </ul>	
<u>Kampung</u> <u>Greening Project</u>  <u>75 communities</u>  (Greening)	<ul style="list-style-type: none"> <li>To help low income communities establish green areas in their settlements, using their own resources.</li> </ul>	<ul style="list-style-type: none"> <li>Provision of seedlings and awareness raising about greening and how to grow plants.</li> <li>Self help approach.</li> </ul>	<ul style="list-style-type: none"> <li>Community members, new graduate volunteers, NGOs</li> </ul>	<ul style="list-style-type: none"> <li>Small improvements financed by MEIP led to community members themselves undertaking other activities, such as home improvement and renovation.</li> <li>The kampung greening approach was adopted by the government in its eco-tourism efforts.</li> <li>The kampung greening approach was adopted by the Jakarta Agricultural Office to help communities develop income generation activities and kitchen gardens.</li> </ul>
<u>Green Corridors</u> <u>Project</u>  <u>Communities in areas</u> <u>identified as</u> <u>'corridors'</u>  (Greening)	<ul style="list-style-type: none"> <li>To create green corridors to connect major green areas in Jakarta to improve the city environment, encourage bird life and biodiversity.</li> </ul>	<ul style="list-style-type: none"> <li>Provision of seedlings and awareness raising about greening and how to grow plants.</li> <li>Self help approach.</li> <li>Encouragement of Dept. of Public Works to allow local nurseries to utilize empty space along roads and rivers for growing plants.</li> </ul>	<ul style="list-style-type: none"> <li>Symbiose Birds Club (NGO), community members, Jakarta office of Agriculture, Department of Public Works, private nurseries, Mayor of Central Jakarta</li> </ul>	

## ANNEX C: FOCUS GROUP QUESTIONS FOR COMMUNITY LEADERS

### A. HISTORY AND OVERVIEW

These questions are intended to provide information for the case history of the project, therefore, use them to prompt the community for as much information as possible. Follow up each question with further questions to probe specific issues.

#### Topic

#### Question

How did the community get involved with the project? (For example, through an NGO)

What is the history of the project in your community?

What were the activities of the project?

In what ways was the community involved in each of these activities?

What is the percentage of all households that actively participated in the project (in decision-making, planning, implementation, management or otherwise providing contributions)

☐ >75% ☐ >50% ☐ >25% ☐ >10% ☐ >5% ☐ <5%

### B. SOCIAL AND INSTITUTIONAL IMPACT

#### LOCAL DECISION-MAKING

Was the community involved in planning the initiative?

How?

To what extent?

☐ The community was always involved in planning the initiative.

☐ The community was often involved in planning the initiative.

☐ The community was sometimes involved in planning the initiative.

☐ The community was never involved in planning the initiative.

To what extent was the community involved in analysis and problem diagnosis?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

To what extent did the community have information on range of options and costs and benefits?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

To what extent did the community group reach consensus on priorities?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

To what extent did the community propose the design of project /create a plan of action?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

Are you satisfied with the way your community was involved in planning?

☐ very satisfied

☐ satisfied

☐ not satisfied

Why? \_\_\_\_\_

COMMENTS:

## B. SOCIAL AND INSTITUTIONAL IMPACT(continued)

ANNEX C

### LOCAL MANAGEMENT

#### Management

Was the community involved in the implementation of activities?

How? \_\_\_\_\_

To what extent?

\_\_\_The community was always involved in implementing the initiative.

\_\_\_The community was often involved. In implementing the initiative.

\_\_\_The community was sometimes involved in implementing the initiative.

\_\_\_The community was never involved in implementing the initiative

Are you satisfied with the way your community was involved in the implementation?

\_\_\_very satisfied

\_\_\_satisfied

\_\_\_not satisfied

Why? \_\_\_\_\_

Was the community involved in managing the initiative?

How? \_\_\_\_\_

To what extent?

\_\_\_The community was always involved in managing the initiative.

\_\_\_The community was often involved. In managing the initiative.

\_\_\_The community was sometimes involved in managing the initiative.

\_\_\_The community was never involved in managing the initiative.

Are you satisfied with the way your community was involved in the management?

\_\_\_very satisfied

\_\_\_satisfied

\_\_\_not satisfied

Why? \_\_\_\_\_

Was a community committee/new group established?

\_\_\_yes \_\_\_no

Did the community establish its own management and operation rules ?

\_\_\_yes \_\_\_no

If yes, what were they?

Did the community manage its own funds?

\_\_\_always \_\_\_sometimes \_\_\_never

If yes, explain how?

#### Transparency and accountability

Who had all the details about the accounts and expenditures of the project?

If you had any questions about accounts and expenditures can you ask the responsible person?

If there was a problem with the accounts and expenditures, who would you complain to?

Did anyone try to complain?

What was the outcome?

COMMENTS:

## B. SOCIAL AND INSTITUTIONAL IMPACT(continued)

ANNEX C

### LOCAL CONTRIBUTION

Community  
contributions

What did the community contribute to the project?

☐ land  
☐ labor  
☐ materials  
☐ money  
☐ expertise  
☐ ideas  
☐ complimentary actions  
other \_\_\_\_\_

Municipal  
authority  
contributions

What did the municipal authority contribute to the project?

☐ land  
☐ labor  
☐ materials  
☐ money  
☐ expertise  
☐ ideas  
☐ complimentary actions  
other \_\_\_\_\_

Private sector  
contributions

What did the private sector contribute to the project?

☐ land  
☐ labor  
☐ materials  
☐ money  
☐ expertise  
☐ ideas  
☐ complimentary actions  
other \_\_\_\_\_

Contributions  
from other sources

What did other sources provide to the project?

Source \_\_\_\_\_

Type of contribution \_\_\_\_\_

### SKILLS TRAINING

How many community members received training through the project?

What was the type of training provided?

☐ Technical  
☐ Management

What was the topic of the training? \_\_\_\_\_

How many days of training were provided? \_\_\_\_\_

How many NGO representatives received training through the project?

What was the type of training provided?

☐ Technical  
☐ Organizational  
☐ Management

How many days of training were provided? \_\_\_\_\_

COMMENTS:

## B. SOCIAL AND INSTITUTIONAL IMPACT(continued)

ANNEX C

### CAPACITY BUILDING

IMPACT ON CAPACITY TO ORGANIZE AND PARTICIPATE: What was the impact of the project on the capacity of the community to organize and participate?

Has the impact of the project on the community capacity to organize and participate been:

- ☐very positive
- ☐positive
- ☐neutral
- ☐negative
- ☐very negative

Did the project help the community develop organizational skills?

- ☐yes ☐no
- In what way?

Did the project help the community develop technical skills?

- ☐yes ☐no
- In what way?

Did the project help the community develop skills to sustain the project on their own?

- ☐yes ☐no
- In what way?

COMMUNITY ORGANIZATION:

Before the project was the community organization ☐active or ☐inactive?

After the project was the community organization ☐active or ☐inactive?

### PROJECT IMPACT

COMMUNITY IMPACT: In what ways has the project affected the community?

POSITIVE OUTCOMES: What have been the major positive achievements of the project? (in terms of both project impact and process)

NEGATIVE OUTCOMES: What have been the major negative aspects of the project? (in terms of both project impact and process)

ENVIRONMENTAL IMPACT: What was the impact of the project on the environment?

The impact of the project on the environment has been:

- ☐very positive
- ☐positive
- ☐neutral
- ☐negative
- ☐very negative

IMPACT ON WELL-BEING: What was the impact of the project on the well-being of the community?

The impact of the project on community well-being has been:

- ☐very positive
- ☐positive
- ☐neutral
- ☐negative
- ☐very negative

## B. SOCIAL AND INSTITUTIONAL IMPACT(continued)

ANNEX C

### EXPECTATIONS

What were your expectations of the project?

How well did the project meet your expectations and needs?

- ☐ Very well
- ☐ Well
- ☐ Partially
- ☐ Not well
- ☐ Very poorly

What expectations were not met?

Why not?

COMMENTS:

### SUSTAINABILITY

Use, maintenance  
and behavior change

FREQUENCY: Is the activity/investment still used and maintained?

- ☐ The activity/investment is always used and maintained.
- ☐ The activity/investment is usually used and maintained
- ☐ The activity/investment is sometimes used and maintained
- ☐ The activity/investment is not used and maintained

How many years ago was the project initiated?

QUALITY: How well is the project still used and maintained?

- ☐ Very well
- ☐ Well
- ☐ Partially
- ☐ Not well
- ☐ Very poorly

What are the sources of funds for the operation and maintenance of the project activity/investment?

- ☐ Community
- ☐ Private sector
- ☐ Government
- ☐ International organizations
- ☐ NGOs
- ☐ Other \_\_\_\_\_

Did the community provide funds for the operation and maintenance of the project activity/investment?

- ☐ The community always funded the operation and maintenance of the project activity/investment.
- ☐ The community usually funded the operation and maintenance of the project activity/investment.
- ☐ The community sometimes funded the operation and maintenance of the activity/investment.
- ☐ The community did not fund the operation and maintenance of the project activity/investment.

Has the community improved its environmental behavior related to the project activity?

- ☐ The community has dramatically improved its environmental behavior.
- ☐ The community has considerably improved its environmental behavior.
- ☐ The community has somewhat improved its environmental behavior.
- ☐ The community has not improved its environmental behavior.

Explain:

## B. SOCIAL AND INSTITUTIONAL IMPACT(continued)

ANNEX C

Use and  
maintenance over time

Was the activity/investment still used/maintained after one year?

- ☐ After one year, the activity/investment was always used/maintained.
- ☐ After one year, the activity/investment was usually used/maintained.
- ☐ After one year, the activity/investment was sometimes used/maintained.
- ☐ After one year, the activity/investment was not used/maintained.

How well was the project still used/maintained after one year?

- ☐ Very well
- ☐ Well
- ☐ Partly well
- ☐ Not well
- ☐ Not at all

Was the activity/investment still used/maintained after three years?

- ☐ After three years, the activity/investment was always used/maintained.
- ☐ After three years, the activity/investment was usually used/maintained.
- ☐ After three years, the activity/investment was sometimes used/maintained.
- ☐ After three years, the activity/investment was not used/maintained.

How well was the project still used/maintained after three years?

- ☐ Very well
- ☐ Well
- ☐ Partly well
- ☐ Not well
- ☐ Not at all

Was the activity/investment still used/maintained after five years?

- ☐ After three years, the activity/investment was always used/maintained.
- ☐ After three years, the activity/investment was usually used/maintained.
- ☐ After three years, the activity/investment was sometimes used/maintained.
- ☐ After three years, the activity/investment was not used/maintained.

How well was the project still used/maintained after five years?

- ☐ Very well
- ☐ Partly well
- ☐ Well
- ☐ Not well
- ☐ Not at all

Financial Planning

To what extent was the project based on a financially sound idea?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

If below medium, explain:

To what extent were project funds adequate to carry out pilot activity?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

If below medium, explain:

To what extent were additional funds contributed to the pilot from other sources?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

If yes, from whom and for what?

COMMENTS:



## B. SOCIAL AND INSTITUTIONAL IMPACT(continued)

ANNEX C

### MAINSTREAMING

Did the government adopt a policy change as a result of the initiative?

What type?

To what extent did the government adopt a policy change as a result of the initiative?

☐high ☐medium/high ☐medium ☐medium/low ☐low

Have private enterprises changed their environmental practices as a result of the initiative?

How?

To what extent have private enterprises changed their environmental practices as a result of the initiative?

☐high ☐medium/high ☐medium ☐medium/low ☐low

Did the government adopt the communities' pilot approach?

How?

To what extent did the government adopt the communities pilot approach?

☐high ☐medium/high ☐medium ☐medium/low ☐low

COMMENTS:

### INNOVATION AND DISSEMINATION

What has been done to ensure that others benefit from the lessons of the project?

Did the pilot project introduce an innovation?

☐yes ☐no

If yes, explain.

Was the pilot concept replicated in non-program sites?

☐yes ☐no

If yes, explain.

Was the pilot project scaled up within your area?

☐yes ☐no

If yes, explain.

Did the project become a model for other programs?

☐yes ☐no

If yes, explain.

COMMENTS:

## B. SOCIAL AND INSTITUTIONAL IMPACT(continued)

ANNEX C

### EXCLUSION AND EQUITY

Who took part in the project-related community organization?

☐ rich people

☐ poor people

☐ women

☐ youth

☐ teachers

☐ community leaders

Other \_\_\_\_\_

Who did not take part in the project activities?

☐ rich people

☐ poor people

☐ women

☐ youth

☐ teachers

☐ community leaders

Other \_\_\_\_\_

What percentage of the total members were

women? \_\_\_\_\_

Who benefited from the project?

☐ rich people

☐ poor people

☐ women

☐ youth

☐ teachers

☐ community leaders

Other \_\_\_\_\_

Who was negatively affected by the project?

☐ rich people

☐ poor people

☐ women

☐ youth

☐ teachers

☐ community leaders

Other \_\_\_\_\_

## C. LESSONS AND OTHER FACTORS(continued)

ANNEX C

Lessons learned

What problems has the community faced in implementing the project?

How did it address these problems?

What conditions and factors contributed to the positive aspects of the project?

What conditions and factors contributed to the negative aspects of the project?

How would you have changed the project's way of working?

COMMENTS:

National and  
municipal level  
factors that may  
have affected  
the success of  
the project

To what extent are there supportive national policies on the environment?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

What are they?

To what extent are there supportive national programs on the environment?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

What are they?

To what extent is there a network of environmental organizations at the national level?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

To what extent are there supportive municipal policies on the environment?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

What are they?

To what extent are there supportive municipal programs on the environment?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

What are they?

To what extent is there a network of environmental organizations at the municipal level?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

COMMENTS:

## C. LESSONS AND OTHER FACTORS (continued)

ANNEX C

National and  
municipal level  
factors that may  
have affected the  
success of the  
project

To what extent did government authorities assist the project by:

A. providing implementation support?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

B. monitoring community development activities?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

C. encouraging future development and progress?

☐ high ☐ medium/high ☐ medium ☐ medium/low ☐ low

D. Other \_\_\_\_\_?

COMMENTS:

Factors which  
may have  
affected the  
capacity of the  
community to  
participate in the  
project

Was there a delay in the planning process?

☐ yes ☐ no

If yes, why?

Was there a delay in the implementation of the project?

☐ yes ☐ no

If yes, why?

Were there significant differences in opinion about the project among community members?

☐ yes ☐ no

If yes, why?

Was there difficulty in obtaining a contribution from the community for the project?

☐ yes ☐ no

If yes, why?

COMMENTS:

## D. BEFORE AND AFTER PROJECT GROUP EXERCISE

ANNEX C

Directions: Help the focus group to fill out the following chart. The aim of the exercise is to identify the different ways the community has been affected by the project-related activity.

	<u>Before Project</u>	<u>After Project</u>	<u>Project's Role</u>
<u>Physical/Environmental Conditions:</u>			What was Project's role in any changes that occurred?
What was the environmental condition of your community (specifically related to the project)?			
Regular Water Supply?	Yes__No__	Yes__No__	
Regular Garbage Pick-up?	Yes__No__	Yes__No__	
Regular Garbage Collection within community?	Yes__No__	Yes__No__	
Existing Surface Drains?	Yes__No__	Yes__No__	
Working surface drains?	Yes__No__	Yes__No__	
Free from localized flooding?	Yes__No__	Yes__No__	
Adequate toilet facilities for all?	Yes__No__	Yes__No__	
Existing open space for community use?	Yes__No__	Yes__No__	

	<u>Before Project</u>			<u>After Project</u>			<u>Project's Role</u>
<u>Organizations:</u>	Name of Organization	Activities	# people active	Name of Organization	Activities	# people active	What was the relationship between the project and these organizations?
What are the community organizations that have been active within your community to make life better for your community?							
<u>Partner Organizations and Institutions:</u>							
What organizations and institutions from outside the community did your community collaborate with on community development (Local Govt, Nat Govt., Private, NGOs, others)?							

## E. PARTICIPATION

ANNEX C

Directions: For each time period, enter the appropriate level (H = high, M = medium, L = low) of participation for each primary and secondary stakeholder that was involved in the project.

<u>PROJECT STAGE</u>	<u>STAKEHOLDER</u>	<u>LEVEL OF PARTICIPATION*</u>			
		Info. Sharing	Consultation	Collaboration	Empowerment
<u>Planning</u>	PRIMARY STAKEHOLDERS				
	Community members				
	Women				
	The poor				
	Other _____				
	SECONDARY STAKEHOLDERS				
	CBOs				
	NGOs				
	Research/academic Institutions				
	Technical and scientific institutions				
	Municipal authorities				
	National government				
	Private sector				
	Churches				
	Unions				
	Other _____				
<u>Implementation</u>	PRIMARY STAKEHOLDERS				
	Community members				
	Women				
	The poor				
	Other _____				
	SECONDARY STAKEHOLDERS				
	CBOs				
	NGOs				
	Research/academic institutions				
	Technical and scientific institutions				
	Municipal authorities				
	National government				
	Private sector				
	Churches				
	Unions				
	Other _____				

Information Sharing: One-way flow of information received by the stakeholder.

Consultation: Two-way flow of information between the stakeholder and other partners.

Collaboration: Shared control over decision-making in the project by the stakeholder.

Empowerment: Transfer of control over decisions and resources in the project to the stakeholder.





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