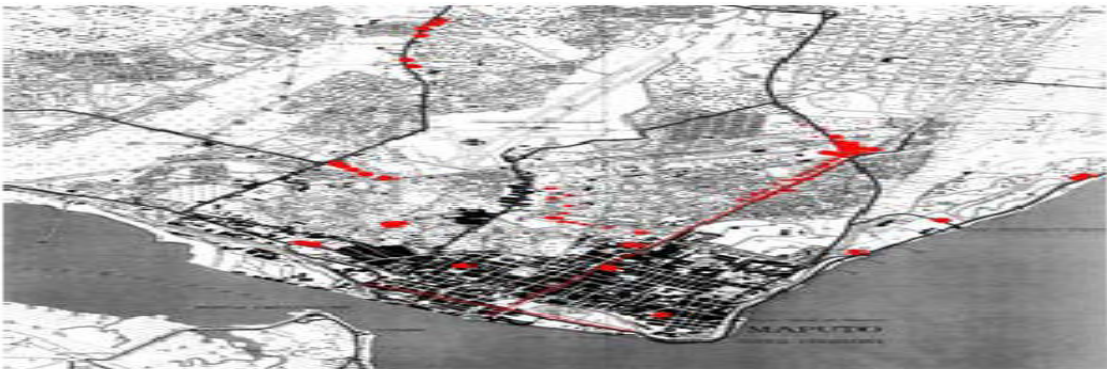


# Participation in Urban Environmental management

A Participatory Approach for Sustainable Urban Development  
Project in Maputo



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Aalborg University  
Department of Development and Planning  
M.Sc. in Environmental Management  
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# Aalborg University

## Department of Development and Planning

Theme: Master Thesis

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Author: Eugénio Langa

Supervisor: Lone Kørnøv and Andrew Jamison

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### **Synopsis:**

Participation and producing consensus-based approaches has become a core pre-requisite for achieving sustainable development at all levels of society, especially in development projects aimed at improving urban conditions in slum areas of the developing world.

The aim of the report was to investigate how participatory approaches can effectively improve the quality of environment and living conditions in urban deprived communities of Maputo. The examination conducted in the report is not a how to do process but rather a general exploration and discussions of the practices and possibilities for ensuring a sustained process. The report concluded that participatory approaches have to ensure a sustained empowerment for the communities, while the success of the approaches depends on the political and institutional frameworks at the micro and macro levels.

# Preface

This dissertation report for the Master Programme in Environmental Management is a result of a five-month study partly undertaken through The Danish Organisation for Sustainable Energy in September 2005.

I would like to express deep gratitude to my academic supervisors, professors Lone Kørnøv and Andrew Jamison for their patience in guiding me through the project. I would also like to thank in particular Finn Tobiesen OVEs Director for International projects for having taken me as a member of the research team for the case of Sustainable Urban Development in Maputo and for accepting my request to apply the data in my empirical investigation of this dissertation project. Appreciations are also extended to the team members Bjarke Rambøl, Trine Glue Doan (OVE) and Mauricio Sulila (Livaning) for their support.

Aalborg University, Denmark, August 7<sup>th</sup>, 2006

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Eugénio Langa

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## Abbreviations

ABIODES	Organic Agriculture, Biodiversity and Sustainable Development Association
ADASBU	Association for Drainage Water and Sanitation
CBOs	Community Based Organisations
CTV	Centre for Life Earth
CEC	City Executive Council
DANIDA	Danish International Development Agency
EPM	Environmental Planning and Management
GTZ	The German
IBIS	Danish Non Governmental Organisation
MICOA	Ministry for Coordination of Environmental Affairs
MCP	Maputo City Party
NGOs	Non Governmental Organisations
ODA	Oversight Development Agency
OVE	Organisation for Sustainable Development
SCP	Sustainable City Programme
SEI	Stockholm Environmental Institute
SDS	Sustainable Dar es Salaam
UNIDO	United Nations International Donor Organisations
UNCED	United Nations Centre for Economic Development
UNEP	United Nations Environmental Programme
UNCHS	United Nations Centre for Human Settlements
UMP	Urban Management Programme
UNDP	United Nations Development Programme
UN	United Nations
UGSM	Association for Maintenance and Sanitation Management
WHO	World Health Organisation
WB	The World Bank

# 1. Introduction

At the onset of the twenty-first century, Africa faces major problems, of urbanisation, which have brought about serious environmental and health risk challenges. As a response to the rapid urbanisation in Sub-Saharan Africa, several initiatives were taken largely aimed at strengthening the health systems and emphasising the delivery of improved services at a primary level with community participation (Harpham and Few, 2002).

Since the 1990s, improving environmental quality in urban areas emerged as major public and policy concern reflected in the declarations produced by the Rio earth summit in 1992 “Agenda 21”, Habitats II “City summit” 1996 (Miller and De Roo, 1997). The discussion of the Agenda 21, happening at the international level emphasised integrated strategies to promote human development through economic growth based on sustainable management of natural resources base (UN, 1997). Given the ambitious agenda, there may have been miss-achieved hopes but the mutual dependence of north and south was recognized and new pathways were opened as in participatory approaches allowing for increased communication and cooperation between governments, NGOs and other actors (Wynberg, 2002).

The paradigmatic setting agenda provided role and responsibility for all sections of the society with the recurring message that real change is likely to occur with the involvement of the ordinary people (Wynberg, 1993 p1). This view was further emphasised with the habitat agenda that dealt with the urbanisation challenge recognizing the need for all to support sustainable urban development. The urbanisation challenges include among, other issues the promotion for sustainable human settlement, appropriation for legislations that reflect local reality, creation of mechanisms for its implementation and the improvement of urban conditions (Wekwete and Sesay, 2001).

One of the agreed outcome of these declarations imply that effective participation by all is indispensable foundation for realisation of the broader goals of sustainable

development. Thus the sooner effective participation among public, private and local communities is established, the better are the prospects of solving urban environmental problems, that have been associated as asserted by Mohanty (1993) with spectacular growth of the urban population. Although Urbanisation in Sub-Saharan Africa is relatively a new phenomenon, Zuberi et al in “Population and African Society” (2003) stated that in the late 1990s Sub-Saharan Africa especially the southern African region was with the highest urbanisation rate with four percent per annum growth (Zuberi et al, 2003). The UN-Habitat Global Urban Observatory (2003) cited that population living in slums have reached 166 million in 2001 a figure nearly two-third larger than that estimated for 1990 of 101 millions. Several researches have argued that in many of the urban centres, conditions of a substantially section of the population have deteriorated over the last two decades (globenet, 2006).

Within the urban areas, there exist inequalities regarding accessibility to basic services and as a result adverse environment and health conditions prevail in low-income areas. These differences vary from country to country and according to the contextual socio-economic, political and cultural background nevertheless, they all share some fundamental characteristics of squalid living conditions typical, of low access to basic services such as sanitation and water; high levels of air and water pollution; generation of large amounts of waste and poor housing (Mohanty, 1993; Pugh, 1996; Hardoy et al, 2001). In other words the latter can be translated in terms of lack of environmental equity.

The scale and severity of these problems is a reflection of failures by urban and national governments and at some point supporting agencies in their strategies and governing mechanisms applied in some of the essential environmental actions such as ensuring adequate provisions to supply basic services; water, solid and liquid waste collection including treatment systems to all urban communities. More over, failure to enforce appropriate environmental related legislations and implementation of land use policies (Hardoy, et al, 2001).

Considering contemporary approaches to environmental matters handling, the success in solving the issues affecting the urban population especially the most vulnerable



groups, require a political and administrative system through which views and priorities of the citizens can be reflected and influence policies within their local neighbourhood and further at city level (Hadoy et al, 2001, Rollnick, 2003).

The former clearly entails that participation is one of the key blocks for achieving the broader scope of urban sustainability. However, as argued by (Bedford et al (2002) it can be difficult for the average public participant to become engaged in the processes of decision making because of a limited understanding of the planning and decision making system (Bedford, Clark and Harrison 2002). The lack of awareness in bargaining mechanisms, planning issues, etc in general, and in particular obscured perceptions of opportunities for involvement in various processes, are serious barriers confronting the communities or the public in general, specifically in the developing world such as Africa.

With the foregoing arguments, responses to enhance interest in application of collaborative or multi-stakeholder processes that facilitate the wider involvement of individuals, groups or other agents interacting with local governments in problem solving and decision-making with respect to issues that involve or affect them, are important elements to be considered. In light of promoting sustainable urbanisation and good governance that will eventually take appropriate actions of improving the urban environment.

However, to be able to understand the underpinnings of the complexity of the problems and their emergence in urban areas it is necessary to take a closer spectrum of the urbanisation process in the region. The following section will briefly discuss aspects of urbanisation and their linkages to environment.

## 1.2 Urbanisation and the environment

In an attempt to understand the underlying reasons behind the deterioration of the environmental conditions or generally the quality of life in urban areas of the Sub-Saharan Africa, the proceeding section will explore urbanisation and the phenomenon's relationship with the urban environment. Further more, as the focal point of the present research is on participation, the notion will be used to underscore its importance on solving the problems faced by urban communities.

The relevance of the proceeding section in the present project can be argued as claimed by Smith (1996) that to understand the urban systems and their problematic issues it is essential to first comprehend the wider social, political and economic context of their emergence and their respective growth.

The concept of urbanisation in the developing world has often been reduced to limited study of housing or to social structures. Smith (1986) argued that in his view, urbanisation is a much broader social process. Based on his interpretations, there are two distinct aspects to be considered: "Urban growth and Urbanisation". The first implies increase of urban population whether viewed in isolation or with the smaller increase of the rural (Smith, 1986). In contrast, Urbanisation is to the present project defined in a demographic sense as being "*a process of growing population concentration whereby the proportion of the total population, which is classified as urban, is increasing*" (Smith, 1986 p7).

The cause of this process has been a phenomenon of research for several years. The most dominant causes of urbanisation in regions such as Sub-Saharan Africa has been that there are less prospects of adequate life in the country side thus, it is the perceived advantage of the cities that draw migrants, causing the rural-urban migration effect (Pugh et al, 1996; Smith, 1987; Smith, 1986). Urbanisation trends in Sub-Saharan Africa according Onibokun (2003) is increasing and as illustrated in the subsequent Figure 1, the number of urban citizens living in slums will have a significant rise up to year 2020.

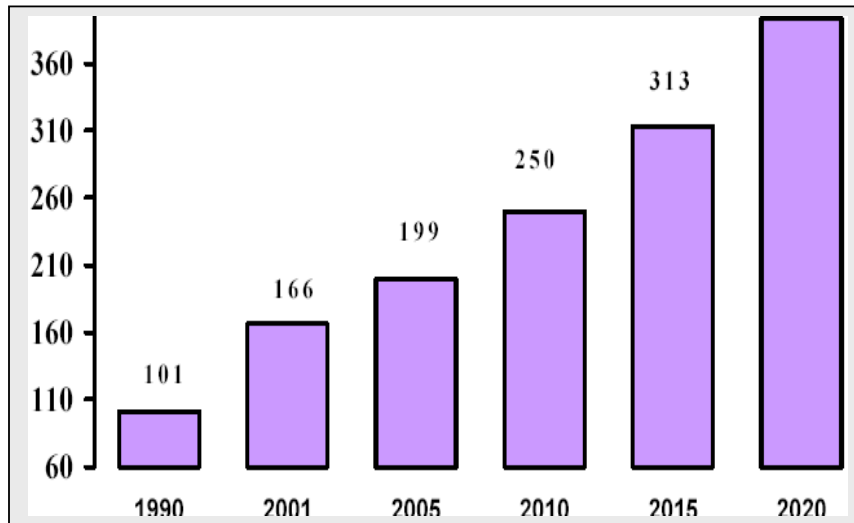


Figure 1 Trends of slum Population (sub-Saharan Africa, 1990-2020)  
Source: (Onibokun, 2003)

Most of the migration in many of the African countries occurred in the late 1950s and 1960s after the spread of independence and departure of colonial powers, the indigenous people fled to cities with prospects of administrative and commercial jobs, in which they had been excluded (Smith, 1997; Napier, 2002; UNCHS, 1996). However, the latter is challenged and cannot be the overriding cause because one crucial factor that caused migration in some countries such as Angola, Mozambique and others, is the political instability that resulted in civil wars.

The process of urbanisation has been known and occurring for some times as quoted by the Los Angeles Times; “*The Rush to the Cities is straining the Social Fabric of nations*” (Smith, 1996). Pointing out to a historical development of cities from the 18<sup>th</sup>, century the article argued that 3 percent was the world’s population living in cities in 18<sup>th</sup> century. By the 19<sup>th</sup> century there was 10 percent and the 21<sup>st</sup> century marks the biggest urbanised population ever (Smith, 1996).

Most developing nations are least able to handle the impact of urban transformation, which is occurring at its most uncontrollable form; thus few will escape the shock of the impact. The examples of Maputo and Johannesburg squatter settlements are illustrated as the shocking impact on social disaster, marginalized people,

impoverished urban areas in which the public and private institutions have no ability at all to control or cope with problems (Smith, 1996).

This is reflected by the continuous and spontaneous growth of popular housing areas without controlled physical or spatial planning; increase in private owned public transport that have taken over the monopoly of the state regulated companies; and the explosion of unregulated small traders and services dealing with every facet of life in the city (UNCHS, 1996; Napier, 2002).

It is this kind of urban setting that characterize Sub-Saharan settlements where by households are deprived from primary services. As argued by Hardoy, such areas have the least waste collection service or no service at all. In many of these settlements it is impossible to access by “*conventional refuse trucks and the governments make little or no attempt to develop waste collection services that are suited to such sites*” (Hardoy et al, 2001 p82). The illustration in Figure 2 is an example of one urban challenge cited in Onibokun (2003) asserting that the majority of the population in Sub-Saharan Africa faces major crises of basic amenities such as improved or adequate sanitation services.

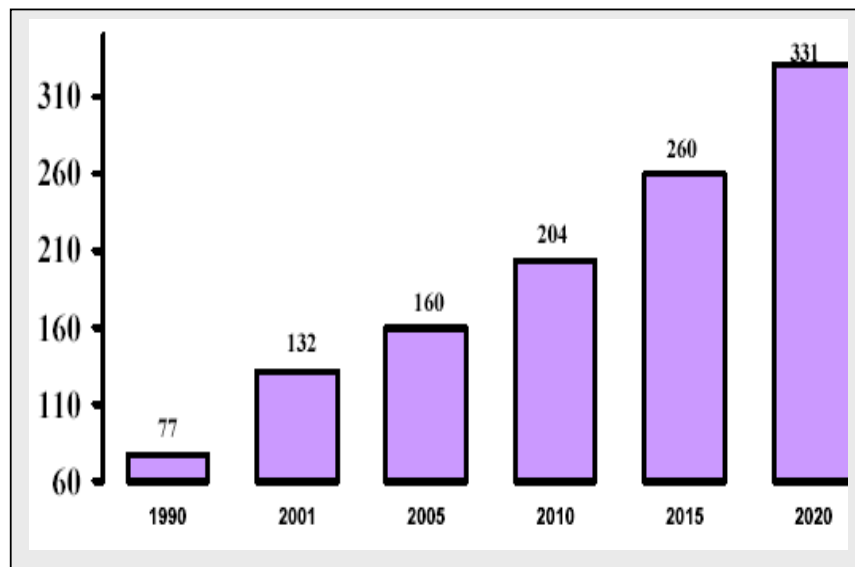


Figure 2 Population without improved sanitation services (1990-2020) Source: (Onibokun, 2003)

It is observed from the figure that the number of people without such services as sanitation will increase, however some previous research argue that urbanisation in itself is not a problem, if drawing experiences from other advanced industrialised regions as it correlates positively with development indicators but it becomes a source of concern when the urban problems as referred above, are far beyond the management capacity of the nation. A current situation in Africa that brought the UN-Habitat cited in Onibokun (2003) to conclude that “*African cities have become homes of the poor and deprived islands of desperation and degradation for many people and the source of environmental pollution and degradation, as well as social economic and insecurity*” (Onibokun, 2003 p13)

The presence and global emergence of infectious diseases, has been associated with afore ascribed social and demographic changes of urbanization (Wilcox and Gubler, 2005). A range of disease vectors, live and breed in or around such settlements and the diseases they cause are some of the most ill health affecting the most vulnerable not only in the Sub-Saharan Africa but other countries with similar settlement characteristics (Hardoy et al, 2001, Wilcox and Gubler, 2005).

It has also been argued that urbanisation may change the local ecology in ways that favour pathogens or the emergence and multiplication of particular disease vectors (Hardoy et al, 2001; Wilcox and Gubler, 2005). The latter, implies that the urban environment is affected in many ways by uncontrolled urbanisation. The following section, discusses the interactions and relevance between urban environmental management and participation.

### **1.3 The Relevance of Participation in urban environment**

As discussed in the previous section, the problems derived from urbanisation in developing countries are generally stimulated by informal settlements or agglomeration of people in marginal areas. The reasons behind associated with the failure of cities to cope with the speed and direction of growth in peripheral areas.

From the foregoing, it is also clear that the interaction between urbanisation and the urban environment involve complex processes that have some potential conflicts between government agencies, households, markets, CBOs and NGOs. The relevance of a successful solution and understanding among these agents depends upon resolutions of creating and operating institutional frameworks.

According to Hardoy, institutions can be regarded as central in social bonding, functioning and influencing the relationship among organisations or agents involved in urban improvements (Hardoy et al, 2001).

More over, it is this framework that creates norms, rules and legal systems that result in harmonizing the social change, of for example, the changing environmental needs. In further relevance, it is also argued that there are examples in which institutions with inappropriate frameworks as much of the top down approaches used buy most African nations after independence have inhibited progress in urban environmental reforms and improvements (Hardoy et al, 2001).

The latter, has been characterized by prescription from the high level to be forwarded to the lower levels of the communities, rather than consensus. Based on the recognition that there should be consensus with communities in solving urban problems, it was then agreed that a new environmental agenda was needed and that it should be rooted in a representative, transparent government structures and in local determined priorities. This is especially essential in determining local priorities as the most critical environmental problems affecting the urban communities, in the countries of Sub-Saharan Africa, would be reflected much more than the perceived

problems by some development agencies, pollution of ambient air (Hardoy et al, 2001).

The relevance of participation in environmental management can be further related to what is known as environmental equity. As Hampton (1999) argued, the principles and practices of public participation can serve to promote environmental equity for disadvantaged social groups, thus all stakeholders affected by a particular environmental decision, programme or even at a project level need to be treated consistently in order for equity to be secured (Hampton, 1999).

Furthermore, in what Hampton designated as “claim rights” he cites that appropriation in terms of living standards should include environmental services such as water, free air and land pollution and other basic services (Hampton, 1999). A summarized scope of what has been termed as the criteria by which equity, fairness and justice in policy making and evaluation process is as illustrated in Box 1. Detailed definitions of the different components are presented in Annex 2

- Procedural fairness
  - Maintenance of conditions – as defined by common expectations
  - Formal equality – equal treatment
  - Substantive equality – equality of final outcomes
  - Need as demand
  - Basic needs – minimum requirements to fulfil universal objectives
  - Wider needs or wants
  - Liberty rights – right for choice and intervention in the policy process
  - Claim rights – with a concomitant duty to provide
- (Hampton, 1999)

Box 1: Policing making and evaluation process

Fulfilling the elements outlined in Box 1 should ensure in large, that equity is taken into account as participation serves as a counter force for inequality.

Having explored the process of urbanisation and its impact on human and non human environment, the relevance of participation in the resolution of the problems, it rather becomes essential to view past experiences, on how the international community has responded as the problems of urbanisation are from local to global spheres and how efficient the responses have been. The following section briefly explores at an international level, the intervention response to the problems discussed in the sections above.

#### **1.4 Intervention initiatives**

The growing recognition of the degrading environmental quality in urban areas of developing countries as argued by Hardoy et al (2001) prompted a new environmental agenda, which imply transforming urban areas from centres of environmental distress to sites of health and sustainable living. As not only are the world's population and poverty becoming increasingly urban, but environmental conditions in the developing world such as Africa, account for a large share of ill-health, early deaths and destitution, thus contributing to persistent poverty (Hardoy et al, 2001).

The agenda has been developing during the last few years, as reflected in recent urban policies or projects by some governments and development assistance agencies. However as Hardoy et al (2001) asserted, the emerging environmental agenda remains weak as the interest in urban environmental problems is often based on perceptions that are not locally drawn (Hardoy et al, 2001). Pugh (1996) sets out an assessed discourse of the international urban policy to local institutional conditions after the post Earth Summit (1992) with some fundamental views of the major organisations such as WB, Various agencies of the UN, (UNDP, UNEP, and UNCHS) responsible for developing and supporting appropriate policy frameworks and initiatives.



Within the foregoing, several programmes have been initiated such as the Urban Management Programme (UMP), Sustainable City Programme (SCP) by the various agencies and other independent actors working in the context of improving the urban environment in developing countries such as the Sub-Saharan Africa Figure 3.

However these have not always been successful; Pugh (1996) notes that within the emerging environmental agenda stated in the World Bank's strategic urban policy review (1991), reforms at the level of urban governance are emphasised, as it was acknowledged that despite some social and economic progress urban conditions in terms of environmental degradation, basic services and squatter settlements were still a challenge (Pugh, 1996).



Hardoy et al (2001) further points out that much of the international action programmes and research activities have given little attention to environmental health agenda that low-income groups need.

Many of the cities in the region under discussion, grew spectacularly during the 1960s and 1970s in rates as high as five to seven percent. The growth of the cities continued through out the 1980s and 1990s sparking uncontrolled agglomerations followed by physical infrastructure and services as the extension of services failed to cope with the growth rate (Napier, 2002).

Piovesan (2003), summarising on programmes and projects undertaken in Sub-Saharan Africa during the last decade based on the neo-liberal approach, he states that it is widely accepted that their effectiveness have not reached satisfactory levels. Through evaluation of these programmes, failures in terms of lack of sustainability,

selection of proper target groups, lack of cost recovery, etc has been found (Piovesan, 2003).

Piovesan (2003) further argues that up to the 1970s, most of the governments in the developing world had given priority to consolidation of central institutions as development based on industrialization was adopted as the approach. This required strict control of resources and investments resulting in the mostly named top down approach. On the other hand, there was the necessity of reinforcing the state-nation concept in order to develop the citizenship consciousness among different groups of populations. The results of this option has widely not been positive, thus it is commonly accepted, that physical and socio economic conditions are worse off, if compared with the colonial one, but also that the modernization strategy based on a centralistic system is not viable anymore (Piovesan, 2003).

Acknowledging the foregoing, the UN habitat has reflected that mechanisms are needed to echo the views of local communities because even though there has presently been decentralisation in most nations, it has however occurred without devolution of power (UN habitat, 2005).

Within the former perspective, Hardoy et al (2001) argued that these mechanisms involving a new environmental agenda, they have to be rooted in a representative, transparent government structures and in local determined priorities. The development of local government is strongly related to the reinforcement of participatory approaches and governance mechanisms. This path has been followed by development agencies and NGOs as the case given in (chapter 4). The case based on an initiative taken by the Organization for Sustainable Energy (OVE) to through locally determined priorities develop mechanisms in which urban communities in Maputo can address their problems both in action oriented activities and enhance their bargaining capacity.

As argued by the Stockholm Environmental Institute (SEI), urban residents need not be passive recipients of urban environmental planning and management. Indeed, public engagement has historically been one of the main catalysts of urban

environmental improvement, and the role of urban residents as agents of change is likely to be central in the future as well (SEI, 2006).

Thus, participatory approach is widely accepted as an integral part of the new paradigm of development promoted by multilateral and bilateral donors interacting with governments from the developing world (Vira and Jefferey, 2001) as represented in for example World Banks development policies including other supporting agencies such as Danida, etc.

However, according to Pugh, international organisations influencing improvements in urban change in the developing world act as regimes. Thus, they have their own norms enforced to national and other levels within the governments of the developing world. Therefore, these organisations have their own powers and limitations in developing their role and influence (Pugh, 1996). On the other hand, national institutions of these developing countries are equally characterised.

The former implies that within their strong interest of improving urban environmental quality, there are gaps that brutally affect the most vulnerable as they are marginalized or excluded from participating in planning and policy development of issues that would ensure them adequate services or being part of the much needed urban environmental improvement. From this perspective and the exploration of urban crisis in Sub-Saharan Africa, the following section defines the problem analysis, narrowing the scope to a specific country and city – Mozambique and Maputo respectively.

## **1.4 Problem Analysis**

With the knowledge that more than two third of the urban population in Maputo live in unplanned settlements excluded from the public service network of drinking water, waste drainage or household refuse collection (Comiche, 2005) and suffer from a sense of powerlessness for not being able to address such problems and be involved in decision making of policies that affect their lives; the present project departs with the argument that planning of development programmes need to involve citizens in defining problems, choosing core values and crafting of the solutions.

The focus on participatory approaches has been chosen as pragmatic being the emerging alternative to answer urban challenges. The approach, based on ideas of decentralisation, democracy, community empowerment, etc which take protection of environment as an integral part of development rather than an obstacle to economic advancement, has been argued to be dynamic and a flexible way of gathering information about and with local people on their conditions (Mitlin and Thompson, 1995). Not only limited to the former extent, some have also argued that the approach is potential to filling gaps where for example municipal authority fail.

As previously reflected that new mechanisms were necessary to handle urban challenges, different agencies have sought to use participatory approaches in urban programmes and projects to strengthen civic associations and create new mechanisms through which state institutions can be held responsible. In light, collaboration between donors, NGOs, CBOs have evolved (Mitlin and Thompson, 1995) with the idea that local problems can be solved by local communities and by all groups working together (Gaye and Diallo, 1997).

The agenda for the municipals management in Maputo, is largely set by the international community and it is aimed at fostering effective practices however it is unclear weather the outcome will be the desirable one (Grest, 1995) as institutions capable of providing acceptable levels of urban management are practically still centralised and reform for decentralisation policies run slow. The driver of this process is the rhetorical slogan of Local Agenda 21 “think global, act local”, but also

because of the consolidated experience that working at local level could assure higher performances in terms of efficiency and effectiveness. As in Innes (2004), effective participatory approaches involve collaboration, dialogue interaction and they are inclusive. This implies that citizens, groups, NGOs, planners and relevant actors interact in a common framework influencing one another in the undertaken process, where polity, interest and community co-evolve and communication, learning and action, interact in a multidimensional manner. Within this context, the contention is that the approaches are non-reactive as they focus on defining actions for practice based on consensus building and knowledge sharing.

The agency or donor driven presumption, to a large extent signify that ensuring participation at a local level, within the prevailing de-concentration system would lead to efficacy and efficiency in local empowerment and adequate service delivery for all citizens, while at the same time working as a laboratory for the actual political decentralisation. However, it becomes critical to find adequate mechanism through which the participation process can be exercised until it leads to the desirable belief and outcome within the existing socio political conditions.

Recognising that participation must be assured, the legal framework for participation according to the internal documents of the Ministry for Coordination of Environmental Affairs, the principles rests on free speech, rights to healthy environment and secured livelihood. The current status of formal participation opportunities in the urban context of Maputo is in general geared by the requirements established through the 1997 environmental law and the 1994 municipalities law as illustrated in the following Figure 1, and the decentralisation process has also been perceived as being part of assuring local participation, however is only perceived as token in its relative sense.

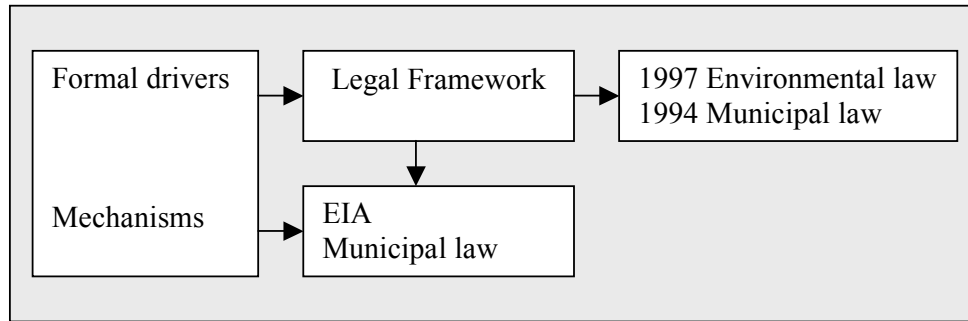


Figure 4 Formal opportunities for participation (MICOA, 2005)

The framework for environmental law that generally refers to environmental protection has, as its prerequisite the need for participation through EIA procedures or methods. The municipal law lunched under the decentralisation programme of local authorities entails more of political representation calling for involvement of any community institutions to be part of management and administration at a local level (MICOA, 2005). These mechanisms are necessary but not sufficient to deal with the myriad problems faced by urban communities, thus demand driven innovations that reflect priorities of communities that are most affected and innovations that balance the urgent needs with at the same time working towards broader social, economic and environment goals are crucial.

Otherwise the results and approaches may become just another unsatisfactory success as Satterthwaite (1997) argued that even though the international agencies have promoted initiatives of sustainable cities, goals have in large not been met, as “*most international agencies give low priority to meeting directly human needs*” (Satterthwaite, 1997 p1669). Based on this argument, Satterthwaite cites deficiencies in supporting provision of safe and sufficient supplies of water and provision for sanitation. More over “*there is low priority in improving waste and disposal, energy conservation and public transport, despite their importance for achievement of sustainable development goals*” (Satterthwaite, 1997 p1669).

Thus, success strategies of management of such conditions are likely to be in a large scale locally driven. As Richard Stren (1989) argued that the ultimate solutions to urban problems in Africa must be, formulated locally by local people on the basis of

local experience and information. However solutions must be multifaceted taking into account not only local environmental interconnections but also combine governmental programmes, NGOs contributions including scientific research.

Although participation has been branded as one of the best practices and preferred approach in solving community problems in development projects, its benefits in building collaboration and partnership between different actors with conflicting interests or opinions is not easy and must not be taken for granted (Carter et al, 1999). To address local community problems through this approach, a clear understanding of challenges faced by the alternative and the reasons that underlie them is crucial.

It is hypothetical assumed in this context that meaningful stakeholder participation involves decision making, a continuum process that increases capacity of all actors and that enhancing community participation has an empowering effect that transforms existing power relations between the poor communities and external actors and further encourages women and other marginalized groups to become involved in decision making process aimed at improving environmental conditions and quality of live in their communities. Thus for achieving urban sustainable development within the framework that promotes local and global ecological and socio-economical sustainability, participation is needed in any strategy as an alternative mechanism.

It is within the foregoing context that the key questions are designed for the present research project seeking answers for the following:

***How can participatory approaches contribute to improve urban environmental quality in the most deprived areas of Maputo?***

The subsequent are supportive means that provide a framework for answering the above question.

*What do communities find as barriers for their involvement in solving environmental related problems in their urban communities?*

*What kind of strategies and policies could be used to promote improvements in participatory initiatives aimed at fostering better quality of urban environment in deprived areas?*

The issue of participation at a community level, since the post Rio Earth Summit (1992) has evolved as being within the new environmentalism agenda, followed by other summits that have repeatedly highlighted the critical importance of innovation and change within the efforts of creating sustainable societies. Since then, it has been recognized that sustainable societies cannot be achieved without active stakeholder involvement at the local level and this requires community participation in practice, as well as in principle (Velasquez et al, 2005).

The urban pressures felt by communities environmental, social and economical can be partly blamed at the failure of conventional centralized approaches, such as top-down system that Mohanty (1993) cited the problem as being too much dependence in central authorities giving least alternatives at the micro level, however it is at the local level that lifestyles, choices, values and behaviours can be innovated as little involvement in the part of communities, contribute to the ever degrading environmental and living conditions.

Nevertheless it is argued that the top-down systems can be efficient in a sense of being rights driven, providing information, stability, legitimacy and for example professional skills can efficiently be deployed, but the approach marginalizes many groups. Therefore, there is relevance in seeking answers to the broader problems affecting the urban society through alternative approaches that will also embody values in a responsive inclusive mode.



## **1.5 Structure of the Report**

The report is organised into five seven chapters. Chapter 1 introduces the area of investigation and the problem analysis. The chapter broadly introduces the urban problems faced by urban residents focusing specifically on poor communities in Sub-Saharan Africa. More over some perspectives linking urbanisation and the environment and relevance of participation within the urban context are briefly outlined, with the purpose of informing the reader about the development of the problem discussed in the project, setting the importance of democratic planning processes.

Chapter 2 offers theoretical perspectives concerned with participation within the framework of sustainable development. Some elements of the politics of sustainable development are presented an important review as they offer an understanding of the current problems and practices. The approach is based on a general discussion of elements of environmental politics, theory and practice with some reflexive view from the ecological modernisation.

The focus of the section narrows from a general overview of the theoretical discussion of environmental politics integrated into sustainable development, to a more pragmatic reasoning of participation and the contextual elements. This in term will partly depict a strategy or tool based approach. Furthermore, stakeholder concept is outlined as an important part of the participation process, its role and applicability. Finally there is a brief presentation of the institutional theory. This investigation reveals criteria and principles for effective participation, leading to mutual understanding of planning issues that can be used for effective collaborative action oriented activities such as the process that is exemplary case in chapter 4.

Chapter 4, the case of sustainable urban development in Maputo, within the framework of agenda 21 underline that communities can effectively be part of influencing change in their communities if not treated as objects in planning processes.

Chapter 5 embodies a synthesis in analytical terms of the literature examination and the case study. Chapter 7 contains the conclusion where the findings in the analysis in relation to the problem formulation will be presented. Perspectives of further research that could be carried out will also be outlined.

## **2. Theoretical Framework**

The proceeding section describes the conceptual and theoretical framework used to discuss and analyse participation in the quest for sustainable Development. The approach drawn from politics of sustainable development and insights from the modernisation theory will be discuss at first from a reflexive point of view to guide the understanding of the relationship and implications of the current influential politics and theory and practice of participation in relation to sustainable development. Practices and modes of participation are then discussed to bring insights of how participation is perceived, defined and practiced. This will be followed by a description of stakeholder analysis that is outlined as means to understand the different players and their relevance to the development process of the Maputo case. At last a brief description of the institutional theory used to help analyse the case of Maputo and to guide the formulation of answer to the research question. The approach is used to this project, as it is perceived that the success of any participatory approach may be constrained or influenced by the institutional conditions.

### **2.1 Politics of Sustainable Development**

The aim of this report is to find out how participatory approaches can contribute to improve conditions in urban settlements, however a broad understanding of the approaches that are the drivers of current development processes is of relevance if a generalised answer for the issue in concern is to be devised. Thus the following section explores the theories that are the driving force of the current environmental and development issues.

From the 1980s there has been theoretical developments in the quest for sustainable development Such as the ecological modernisation that is the dominant paradigm with its faith on technology or as cited in Jamison (2001) natural capitalism. The proponents arguing that capitalism have failed to resolve or adequately engage environmental problems for the reason that it has not been capitalist enough. Focusing

on social and institutional transformations it proposes that economic growth and environmental protection can be reconciled by a greener industrialisation. As Carter (2001) cited, it indeed offers a wide range of solutions to prevent pollution however fails to acknowledge that not all actors can participate since many of their basic needs are not fulfilled in the southern states.

On the other hand as cited in Jamison whilst advocates of the paradigm seek to integrate ecological aspects into their arguably appropriate mode of dealing with the problems through efficiency, critics have cited that the very mode tends to exclude a growing number of people from its capitalist approach. By focusing on technology as the foundation of solutions, the theory ignores social issues, which are deeply linked to environmental problems. However its core features as identified in Mol and Sonnenfeld (2000) that include transformation in the role of nation state - refers to decentralisation, consensual styles of governance with less top down approaches (Mol and Sonnenfeld, 2000), implying modernisation of politics and policy making – where state intervention strategies move away from command and control and begin including market instruments, self regulation and in a way open opportunities for non-state actors such as the sub-politics.

The problems of the dominant paradigm as latter mentioned, Jamison argues that they are some of the very reasons underlying an emergence of a different kind of integration in environmental politics and other pursued struggles for justice, equity and in general in quest for sustainable development. Moreover, within the emerging perspectives, the ambition is to empower human communities to solve their own multiple problems so as to avoid the global capitalist system that often create some of the problems such as those that southern states face among others health, poverty, exclusion, etc

The quest for social action through environmental politics has varying types of groups and practices that have all come to be in the name of public participation, symbolizing an informal and indirect way of pressure that have taken a greater importance to the contemporary environmental problems (Jamison, 2001). Within this perspective Baker et al (1997) characterised this groups from the micro level as the Third Force

Organisations in other words termed by Jamison and also in Mol and Sonnenfeld (2000) as “sub-politics”, which characterizes what goes under the formal politics.

These sub-politics which can be in form of organisations NGOs CBOs networks, etc according to Barker et al (1997) have a lot of importance in improving life conditions within the environmental context, they hold a significant mechanism for promoting policies that tackle the issues of equity. In strategies for achieving sustainable development, participation is argued to be one of the core elements. However, it has become a catch word like sustainable development referring to distinct forms of social action in organisational initiatives, debates about naming and defining programmes, etc (Jamison, 2001). Theory and practice acknowledges the tension existing in the quest for sustainable practices deriving from the approaches pursued by the different followers or cognitive actors of sustainable development as their point of departure or problem formulations are taken and conceptualised from different realities.

The influencing factors may stem from the individual's choice, identity based on social constituency and necessity to pursue a certain approach. What is observed is that one or the other way, these actors in pursuit of sustainable development are all supported or must serve either directly or indirectly a certain paymaster, consequently are influenced or must serve the masters interests (Jamison, 2001).

Within the strategies for achieving sustainable development, participation functions as a mechanism to empower citizens or groups. In the southern states or developing countries, this has long been advocated as necessary for changing the critical situation of exclusion and merely expert driven decision making of priorities that concern the poor. The keystone of the thought is that despite the decades of development that has led to some growth in some cases, particularly in the south, poverty and other negative ecological related aspects are still increasing Sachs (1999) has a similar claim and similar to what Jamison (2001) asserts in relation to advancement in technology and science asserting that in spite of so much advancement, poverty still remains for the majority of the people and yet they lack other basic needs, etc (Jamison, 2001). Thus, the merely technological, business emphasis is a questionable answer for the crisis in specific context of developing countries.

Jamison suggests that if society is to appropriately make use of the current dominant cultures of for example science and technological advancement, ecologically and in a sustainable way, it is necessary to take a broader spectrum exempting any disciplinary interpretations into the worlds of culture and history. Otherwise decision makers and others a like, will continue driving society into narrowly defined development trajectories. In this respect he proposes three-dimensional perspectives as termed: historical dimension, pluralistic and cognitive praxis of environmental politics (Jamison, 200).

Briefly outlined the historical dimension according Jamison's accounts, it represents a reflection of reality. This is an important element to understanding reality and how society can best address its problems. He asserts that if development actions are only drawn from the present reality ignoring the historical account, it is like taking a short term perspective of development thus serious lapses in judgement may be taken and this may further create misunderstanding of the situation. The historical account should be taken as a collective memory that may help shape the present and future actions. The next section will discuss the cognitive praxis and activism.

## **2.2 Participation and the Cognitive praxis of Community activism**

The being part process termed as participation, according to Jamison has had varied interpretations as to what it means in practice (Jamison, 2001), a fact that is also evident in literature about participation that will be presented in the next section.

The emergence of agenda 21 as part of the added agenda of the 1990s, has paved way for local groups to play an influential role in locally directed initiatives, in environmental politics and the decision making process, through for example local urban projects where by communities or residents are given opportunities to develop improvements or be part of a process that is directed to making improvements in their communities. Young (1997) argued that these groups attach allot of importance in improving life conditions within the environmental context and they hold a significant mechanism for promoting policies that tackle the issues of equity, as they function as conventional pressure groups that hold unique hands-on expertises on their rhetoric's as a result of the projects they are involved with. The approach of participation is also a significant from their ability to consciousness raising process and their ability to promote change in life styles, etc (cited in Baker, 1997)

Calls for sustainable development have stimulated this of community-based approach all over the world. The southern countries have frequently been supported by the development assistance organisations through for example training programs and over the years, NGOs have increasingly been involved to the extent of developing certain participation and collaboration expertise (Jamison, 2001).

It is in a way, from this expertise and experiences that approaches, like the rural participatory appraisal that is currently also applied in urban regeneration and sustainable development that link environmental protection and economic development evolved (Jamison, 2001).

More over as Fischer (2000) argued one of the goals of community participation, is an emphasis on fostering individual and community empowerment, motivation, and solidarity. The community-based approach is a product of the work of intellectuals,

activists and progressive professionals and the termed “new social movements” identified most strongly with third world communities that represent contemporary struggle for participatory democracy (Fischer, 2000). As cited in Jamison (2001) empowerment contains its contradiction, referring to the outcome depending on who is empowered, on the other hand, one of the other key problems is the classic tension between expertise and participation. A careful balance must be struck between the importance of empirical scientific knowledge and the knowledge that comes from direct experience in a particular environment.

Current activism is based on synthesising knowledge and experiences making a link to global challenges, thus the local activists must create a dialogue and facilitate what may be termed as social innovations of strong democracy (Jamison, 2001 p152).

In what Jamison calls the dominant culture “modernisation” that seeks to integrate environmental concerns into its operational modes, there is on the other hand he claims new social forms of solidarity being seeded out in the name of sustainable development. However it is a contested ground with competing top down and bottom up approaches in quest for integration of environment in socio-economical life. He cites that whereas the theoretical elements have widely been attempted, the analysis of the practical activities taking place have received little attention (Jamison, 2001).

The new social forms of solidarity that are also termed, an emerging ecological culture containing both thought and action, and are considered to be social experiences in solutions that must wage a battle in two fronts. First against the modernisation culture, that seeks to integrate them and second against the residual or reactionary cultures. For Jamison, it is important to understand the innovations and the struggles taking place in order to explore the varies approaches of for example the new network building, collaboration forming, etc (Jamison, 2001) implying the concurrent collective actions or participatory approaches taking place as means of social and cultural change.

Thus cognitive praxis becomes a framework for understanding the greening of societies. In Jamison (2001) cognitive praxis is thought to be “*the way that human*



*consciousness is acted out or put into practice*” (Jamison, 2001 p42). It contains both ideas and practice that validates the thoughts and it is also both situational determined and context specific (Jamison, 2001). The following section will discuss elements of participation in a more detailed form that provide a framework for analysing the case.

### **2.3 Practices and Modes of participation**

Jamison (1999) cites that the quest for sustainability has led to a range of new forms of participation as the role of the state diminishes through calls of democratic processes and representation. Thus participation as such has been recognised as an essential ingredient for the success of many of the reforms taking place as in policy proposals and their action orientation.

However, despite the linkages of environment, sustainability and the calls for democratic revitalization, Jamison asserts that the broader participation is still obstructed by the dominant forms of policy discourses. Moreover, responsibilities have to some extent been transferred from state to private sectors and the privatisation has further confined public access to decision making processes. The implications of the typical form of doing business according to Jamison tend to favour the technical experts in formulating the problems and in policy articulations. Further citing that this instrumental and objectivist approach, restrict agency involvement and in a sense reduces social, political or other distinct issues to technical and expert evaluative matters.

Very often environmental problems in the south are framed as a result of insufficient capital, out-dated technology, lack of expertise and slackening economic growth. Perceived in this way, the definition of the problem very often from the northern perspective already imply that the solution is increments in investments to the south, provide technological transfer, bring in competence in eco-engineering and to act as locomotive of growth (Sachs, 1999). While the author of the report cannot dispute that the former elements are important for any progress in the south, but if the elements are perceived as an import they are likely not to succeed.

Within the foregoing, Jamison argues that even the non-governmental organisations have sometimes been caught with or affected by this instrumental and professional culture on the quest for environmental aspirations or sustainable development (Jamison, 1999). This does not imply that the notion of participation is not practiced but rather means that the representation is concealed for its accountability following its expert led environmentalism. Thus it becomes representational errors and self-proclaiming normative and authoritative.

This form of representation is tacit in its form, and reflects existing cultural resources in the dominant policy culture; the civic reaction in this case is likely to respond to the inadequacies of the representation system through cultural based practicalities. According to Jamison, dissatisfaction, alienation, lack of moral identification, mistrust, etc. will be displayed however not necessarily through conscious choices or explicit rational deliberations (Jamison, 1999).

Other views, such as Wolfgang Sachs assertion that one of the root causes of the conditions in the southern states is their corrupted values blaming colonialism for having introduced centralised management systems of the commons by government bureaucracies over communal management. As a result people became alienated from their commons and this meant that they played little or no role in its management, thus destroying their sense of responsibility. The implication of this has been experienced through out the decades even after the southern states became independent and moved to reforms such as democratisation and decentralisation.

As the former are part of processes of reforms aimed at Sustainable Development, as asserted in Barker et al (1997), Sustainable Development can be viewed as a catalyst for change and in contrast to a top-down approach a participatory bottom up approach can facilitate to catalyse radical change. As such, participation must not only aim at environmental management but of social continuation as well, and if its principles are to be realised it is necessary that it rely on local control and empowerment of the local people with a particular focus on the underprivileged and marginalized (Barker et al, 1997)

Jamison refers to the modes of participation resonating from the Agenda 21 era, based on consensus building, innovative approaches, etc as being highly fragile as he argues that, in many countries they appear to be disconnected from the real source of power and decision making (Jamison, 2001). At least this may reflect the reality in the southern states at the micro level, however they do serve to create new forms of conscious societies and promote awareness on the interlink-ages between the varied environmental problems and the broader social sphere. Within the former, innovations such as the sustainable cities programme, healthy cities, etc are relevant examples of some of the inspirational initiatives that have tempted to promote the participation concept. However as sector and capital-intensive programmes and donor dependent in the southern states, for the vast majority at the micro level of neighbourhoods are likely to be fragile.

More over these can be characterises as temporary based, however from within, they bring new forms of consciousness such as the green life styles, local based sub politics that have not yet had a significant connection with the formalised politics.

From a practical level of the emergence of Agenda 21, others argue that is has paved ways of structuring participation in local development programmes as Leitman (2006) referred to three ways of structuring participation in development projects based on local agenda 21 namely: Priority Problem Approach, Sectoral or Municipal Service Approach and Stakeholder or Thematic Approach.

The Priority Problem Approach according to Leitman, entails involving stakeholders in determining urban environmental problems and the participation is structured around the key problems. Its process, based on stakeholder's workshop, begins with the contextual information that in term allows stakeholders discussion and priority setting and options for problem resolution and action strategies for the prioritised problems (Leitman, 2006).

Sectoral or Municipal Approach implies a sectoral analysis of the existing services through expert or stakeholder workshop that identify and prioritise the problems with respective options of solutions. The process leads to inter-sectoral or service specific

action plans. The Thematic Approach follows the process of participation based on pre-identified themes that are discussed through groups of stakeholders or experts working on a specific theme that leads its output into a citywide action program.

From a distinct perspective, over the last three decades, conceptual frameworks for participation have been developed in an attempt to describe the degree of community and the general public participation in decision-making processes. The inspirations of the ladder of participation by Arnstein (1969) have widely contributed to such characterisation of the levels and processes of participation.

Within the forgoing participation context, there are varying degrees of community and public involvement that are interpreted in diverse ways even within relative similar contexts. People most often become involved because of individual interest or personal stake. Thus participation ranges from simple persuasion techniques to education, information sharing, and consultation and shared decision-making (Marshall and Roberts 1997; Plummer, 2001). However most of the approaches consider the modes illustrated in the following figure.

Modes	Characteristic
Manipulation	Participation is simply pretence. The objective is to manipulate citizens to agree with the system as the decisions are with the power holders
Passive or information dissemination	People participate by being told what has been decided or has already happened. Information belongs to external agents
Consultation	There is feedback between communities, agents or authorities. Communities can communicate their views through forums but information and decision-making is retained by agents and, or authorities.

Collaboration and partnership	Entitles facilitation and joint analysis, decision-making and control over the activities. Communities are involved in from the early stages of the process
Empowerment and delegated power	Communities take control of decision making process and generate initiatives independently of external institutions. Authorities enter into initiatives or communities develop contacts with external institutions

Table 1: Forms or levels of participation

As presented in the previous sections that participation functions as a mechanism for empowerment implying power relation, thus forms of enhancing power of a range of stakeholders at the micro level in taking action have been advanced, as the examples of local authorities Local Agenda that draws upon collaborative or participatory approaches that seek to improve the local environment in parallel with other social and economic aspects (Bedford et al, 2002).

Axelrod and Cohen (1999) cited in Innes (2004) argued that such framework is not based on metaphors of citizens pressing governments but rather fluid networks of interacting agents gathering information, acting based on their needs, understanding and shared values building from this perspective societal capacity and innovative responses to problems affecting their communities.

As cited in Rydin and Pennington (2000) and Innes (2004) such interactions that are engaged in collective action problem, build social networks and these individuals or groups when they have been able to overcome collectively a problem, the marginal cost of building on that organisational basis is less than starting with no prior basis. By doing so, what these communities have been able to achieve is to create social capital, which will help them solve more of the problems they face in the long run (Rydin and Pennington, 2000).

Collective problem solving imply involvement of several players in the process and they may have different interests sometimes conflicting, thus it is relevant to discuss

how these players can be analysed. The following section presents the notion of stakeholder approach.

## **2.4 Stakeholder analysis**

The concept of stakeholder analysis has historically evolved from business and management sciences as quoted in Mitchell (1997) and Chevalier (2001). The notion has been embedded in, and transformed by a variety of fields including environmental studies, methods of project design such as participatory action research (Chevalier, 2001).

The concept is used as an analytical tool to identify those who should be involved in the process at stake, assess their interests and evaluate how these interests may influence the outcome of the process at stake (Mitchel, 1997; Chevalier, 2001, Kørnove, 2005). Freeman (quoted in Mitchel, 1997) has defined stakeholder as any group or individual who can affect or is affect by the achievement of the organisation's objective. Freeman's definition implies that stakeholders are individuals, groups or institutions with interest in a development of a programme, plan, etc that is to take place.

Theory review as cited by Mitchel et al (1997) has classified stakeholders in different categories as the example illustrated in Figure 5. However the general classification considered in this context and the theory build up takes the approach of three categories based on ODAs categorisation. Primary stakeholders are those who are affected negatively or positively by the development under discussion. Secondary stakeholders are those intermediaries in the process and key stakeholders those who have some influence and importance to the process. These may include CBOs local leaders, politicians, NGOs, Civil society, etc.

	Categories
ODA (1995)	<p>Primary stakeholders – those whose interest and behaviour are ultimately affected by the programme</p> <p>Secondary stakeholders – intermediaries in the delivery process</p> <p>Key stakeholders – those who can significantly influence or are important to the success of the process</p>
Gass, Biggs & Kelly (1997)	<p>Internal stakeholders – (part of the organisation implementing the action)</p> <p>External stakeholders – (likely to be affected by change)</p> <p>Agencies in the same geographical area/ related interests</p>
Grinble and Wellard (2001)	<p>Active stakeholders – Who affect a decision or action</p> <p>Passive stakeholders – who are affected by a decision or action</p>

Figure 5: Different ways of stakeholder categorisation (Studd, 2002)

The definition given by Freeman (1984) is a broad one; it excludes no one from the analysis. However Mitchell et al (1997) building upon Freeman's definition, he proposes a narrower classification as he argues that stakeholders can be identified by their attributes or attributed possession for participation. Hence, this perspective builds typology that permits the analysis to pay attention to the critical entities and the differentiation of salient and latent stakeholders. Three classes that build stakeholder typology in (Mitchel's et al) assertion are as follows: Power, Legitimacy and Influence (Mitchel et al, 1997). Linear to Kørnøv's (2005) summary of stake classification, these key attributes determine the differential and consequential participation process as for example:

Ones power influences the action of others and the desired outcome;

Ones legitimacy relationship to the organisation and

Urgency as in attention given to the stakeholders claim. (Mitchel et al, 1997; Chevalier, 2001; Kørnove, 2005)

The combination of these attributes (power, legitimacy and urgency) result in different classes of stakeholder typology as illustrated in Figure 6. Seven types of stakeholders are produced within the attributes and Mitchel et al (1997) proposes that the salience is associated to the collective number of the three attributes.

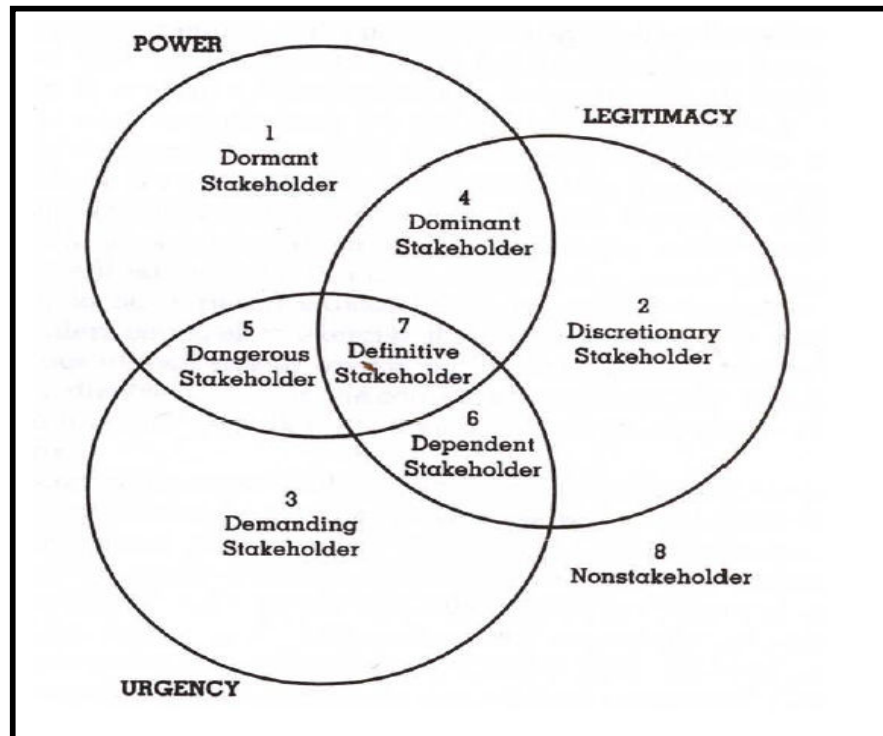


Figure 6 Stakeholder Typology (Chevalier, 2001 p9)

The figure as well represents the class salience according to their control or attributed possession. It is observed that areas (1, 2 and 3) only possess one of the attributes thus according to Mitchel et al (1997) they are latent stakeholders. Areas (4, 5 and 6) and possess two of the attributes and as stakeholders who expect something they are identified as expectant stakeholders. At last area 7 combines the three attributes, hence identified as the most salient stakeholders.

The analysis process is a useful way to gather contextual information about the issue in question and an important tool that helps understand stakeholders knowledge, perceptions and define interests on the issue at stake. In addition the process helps to



identify relations between stakeholders that can be built upon as well as conflicts of interest and the relative risks posed by some of the stakeholders. Analysing who expects and need to be involved as away to allow effective and equitable process becomes important for the success of the programme, policy or project to be developed (ODA, 1995; Studd, 2002).

There is not a universal rule to make a stakeholder analysis. However most of the methodologies followed are rather similar. One of the most common guides refers to the following steps:

Identify major stakeholder groups,

Assess the stakeholder importance for the project success and their influence

Identify risks and assumptions that may affect a successful project completion and,

Establish strategies for stakeholder participation.

With the forgoing ODA (1995) cites that one way to identify stakeholders importance and influence can be identified using a matrix illustrated in Figure 7 that defines the influence according to the power they have over the project in terms of involvement capacity in decision making, control over implementation power over the actions of others. Their relative importance defines how close the interest with the intent of the action under discussion.

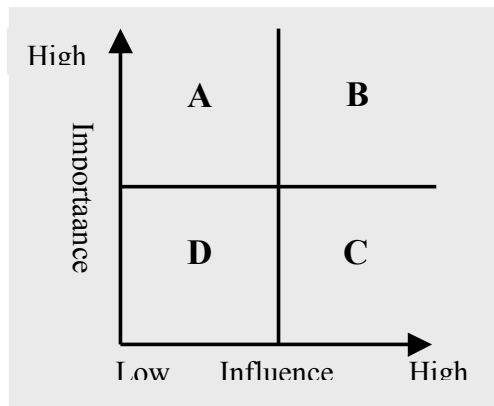


Figure 7: Stakeholder classification according to their relative importance and influence (adopted from Studd, 2002 p30)

The illustration of Figure 7 identifies stakeholders of group A, B and C as salient in a sense of being the key stakeholders. Most notable is that (A) has low influence and according to Studd (2002) it is a group that tends to represent the socially excluded groups, thus it requires special initiatives as cited by Kørnøv (2005) empowerment that can include involvement and or capacity building. Group (B) possesses both attributes thus constructive relationship ensures effective coalition for support of the programmes or project in other viewpoint cited in Kørnøv (2005) collaborative approach is necessary. Area (C) presents the risk group due to their high influence but low interest to be involved in the action under discussion but they possess the capacity to affect the outcome.

## **2.5 Institutional theory**

Within the principal aim of this report of how participatory approaches can improve living conditions, institutional analysis becomes important in order to understand local rationalities that guide actions and to understand how actors are influenced. From the perspective that institutions are present in any given society and individuals, groups or organisations operate within these, it is arguable that any participatory approach operates within the institutional frames therefore influenced by its factors.

Scott (2001) defines institutions as social structures that have attained a high degree of resilience, in other words, resistant to change. Institutions consist of three basic pillars that provide meaning and stability to social life or behaviour. The elements put forward by Scott are composed of culture- cognitive, normative and regulative pillars. These elements are interconnected and together form the basis of institutional structures.

Institutions are widely perceived as structures whose function is to control and limit the behaviour of the individuals that are part of a society by setting boundaries of what is legitimate and illegitimate. In this way, institutions help regulate the conduct or action of individuals but as Scott argues it is also essential to recognise that institutions can in addition provide support and further empower actors or activities. It

is from this perspective that the theoretical underpinning of institutional analysis become essential to this report as hypothetically perceived that for the individuals, groups and organisations or institutions forming part of this study, if they are to undergo through a meaningful change to achieve the desirable end, which is to be living in an improved environment and social, economical and political conditions, they need to be interdependently within these elements of theory and practice.

To have a clear understanding of these concepts in order to explore what role they have, how they influence actors, the social and cultural life, it is necessary to explore the three analytical pillars that will partly guide the formulation of the answer that the present report seek. Therefore the subsequent section will briefly outline each of the three pillars.

### **2.5.1 Institutional Pillars**

The Regulatory: Scott (2001) asserted that in a broad sense, institutions constrain and regularise behaviour. Thus it is perceived by many scholars that the regulatory pillar is a fundamental element of institutions. It establishes rules, and set the criteria to be followed by the social group under the rules; sanctions for those who break the rules and rewards for those who abide to them, at times, manipulates the sanctions, rewards and or punishment in order to influence future behaviour.

This takes place in a variety of ways, which vary from society to society, from informal mechanisms such as shame and honour systems to what most societies currently have; specific apparatus to enforce the rules, such as police, tribunals and courts. North (quoted in Scott, 2001) argues that institutional theory must involve an analysis of the political structure of a society and the degree that this one provides a framework for effective enforcement. Additionally North points out that regulation enforcers are prone to act in ways that are not always neutral. This will necessarily affect the regulatory outcomes.

Normative Pillar: The emphasis of the normative pillar is placed on values and norms. Values and norms introduce prescriptive, evaluative and obligatory dimensions to

social life. Values are preconceptions particular to every society of what conducts are preferred or desirable, and the mechanisms in place to be able to measure these conducts. Norms specify how these values should be attained; they provide validity to the way people act in a given society (Scott, 2001). According to Scott normative systems impose constraints however, also empower and enable social action. On the other hand they provide or grant rights to each individual, group, organisation or institutions as well as attributing responsibilities, duties and mandates. To the context of the focus of this report, individuals or groups representing communities, normatively have the right to participate, represent communities interests aimed at improving environmental economical and social life and how this aim should be achieved.

In a nutshell values and norms are applicable to all members in a social group. They apply as well to certain individuals or positions that these individuals hold at a certain time. This is known as roles that are defined ways in which certain individuals are expected to behave. They become normative, and are enforced by the actors taking part in a specific context. Roles assign responsibilities and rights, which are assimilated with time by the individuals holding that role until they become part of that individual's behaviour.

The Cultural – Cognitive Pillar, is defined as shared conceptions that constitute the nature of social reality and the frames through which meaning is made (Scott, 2001) the cultural – cognitive elements of institutions explain how the internal perceptions of an individual's environment influence the way in which that individual acts. In other words, in order to understand an individual's actions it is necessary to analyse the objective conditions in which the action is taking place as well as the individual's subjective interpretation of these conditions. The way an individual perceives his/her environment is shaped by external cultural frameworks. In this way many of men's actions are done because we learned that it is the way things are done here, or the way things have always been made.

## **2.6 Analytical Framework**

The central aim of the report is to analyse how participatory approaches that have become a prerequisite for sustainable political, social and environmental reform, can better serve urban communities. The analytical framework in this report is based on four analytical components. First and foremost, the analysis will through Jamison's community cognitive praxis discuss the significance of the action oriented development process undertaken in Maputo.

Second, the analyses will use the practices and modes of participation in local development against the case to assess what level of participation was achieved. Third In order to identify primary and secondary stakeholders and their influence in the sustainable urban development project in Maputo the report makes use of stakeholder analysis. The fourth component will be the institutional analysis based on the three pillars namely regulative, normative and cognitive by Scott (2001). The following section presents the methodological approach used for the study.

### **3. Research Methodology**

This section gives delineation of the methodological considerations performed in relation to the report. At first an explanation of the methods used as data collection techniques and the respective purpose is outlined. Secondly the research design and the data analysis will be presented.

#### **3.1 Research Design and data Analysis**

The approach of the report is based on a single case study. Considered as “*a strategy for doing research which involves an empirical investigation of a particular contemporary phenomenon within its real life context, using multiple sources of evidence*” (Robson, 1993 p146) The approach is appropriate in this situation as the research question “how” is exploratory in nature and concerns a contemporary phenomenon (Yin, 2003).

Ying (2003) suggested that the selection of case studies as research strategies instead of other methods such as surveys, depend on several characteristics of the specific project and these are in the present report. The case considers empirical objectives, implying the investigation of a contemporary phenomenon within its real life context where the boundary between phenomenon and context are not clearly evident. The case relies on multiple source of evidence with data needing to be triangulated. The use of theoretical framework that facilitate the study to benefit from prior theoretical prepositions guiding the analytical framework and the questions asked which are an important element to differentiate with other strategies, were appropriate and favoured the use of a case study.

The selection of the case “Sustainable Urban Development Project in Maputo” was selected to explore its participatory approach in order to understand the dynamics and practices that can be used to support how the approaches can be tailored to improve their interactive applicability and legitimacy as an incentive for resolution of environmental and quality of life in urban communities.

The implications of the research lead to conclusions of the questions asked and at a more theoretical level as well. The conclusions from the undertaken process can be used for designing specific projects with the aim of strengthening urban networks that would on one hand improve the organizational culture of the communities, interaction between the actors (NGOs, authorities, CBOs, etc). On the other hand building strong movements advocating better urban environmental quality interfacing with development processes that in hand may lead minimization of disparities faced by urban communities.

These conclusions could be useful in the formulation of a methodology of research that can be applied in the process of assessing urban upgrading needs of the local people of an informal settlement

From a theoretical point of view, the significance of the research draws upon

Presentation of elements environmentalism as a way to consider sustainable development in the communities

The use of participation for considering social and environmental as well as economic issues that may lead to improving the quality of life in the communities.

### 3.2 Data Collection

The Study is an explorative investigation and makes use of both primary and secondary data sources. The secondary data was obtained from research reports, consultant reports and other electronic journals.

The primary data was collected through interviews and focus group discussions – workshops. Interviewees were selected through stakeholder identification of institutions, community based organizations and NGOs involved in the urban context or that were of a potential relevance to the study of the project that was to be designed. These involved 10 interviews and 2 workshops. Representatives from the authorities were selected according to their respective roles in urban environmental planning and management. Summary of the interviews and from the workshops are in

the enclosures. The following Table 2 enlists the interviewed people in a chronological order.

<b>Name</b>	<b>Position</b>
Erasmio Nhachungue	National Director of The Ministry for Environmental Coordination
Mr. Lars Eskild	Danida Country Technical Advicer
Stephen Greenhalgh	Long-term Advisor
Maria Chumba	Project Coordinator for Ibis in Mozambique
Marcos Fereira	Environmental Activist (Environmental Advocacy, Research and awareness)
Dr. João Schwalbach	Maputo Municipal councilor
Joachim Strez	Municipal Technical Advisor (GTZ)
Oswaldo Matavel	Head for Municipal Public Awareness
Ismenia	Representative of NGO (ABIODES)
Paulino Daniel Mate	Head of Community Organization (ADASBU)
Vitorino Carapeto	Councilor of Matola Municipality

Table 2: List of interviewed people

The criterion for interviewing the civil society was based on their proactive-ness towards environmental improvements in the urban context and their influential role towards public mobilisation and having some influence in urban policy formulation.

Representatives from NGOs were interviewed based on their past experiences on participatory actions, being proactive players interest and historical functions in fighting against environmental and the degradation of quality of life in urban are. Furthermore the capacity in advocacy of the communities they represent.

Community based organizations were interviewed according to their past experiences with participatory approaches, the barriers they are confronting and interests in a continuum advocacy and regeneration of their communities.



The interviews were partly semi-structured and this was a suitable format as it allowed room for discussions and follow up on interviewee's responses. The information gathered during the interviews was controlled through reviews from members on the design team and a final copy of the research outcome was circulated to all parties for confirmation, corrections and further comments. Moreover the focus group discussions allowed for further review of the information and correction and this increased the validity of the information gathered. However, sometimes there was a language barrier thus a translation had to be made. This factor has the weakness that the probability of misinterpretation of the interviewees meaning cannot be discounted.

### 3.3 Focus Groups

As mentioned above, one of the main information sources were workshops with focus groups. In the first round of workshops the primary aim of the focus groups was to build up an urban network and gather information that would be used as background for the creation of the Sustainable Urban Development Project in Maputo. The process of collecting information was in an interactive manner but most importantly having CBOs express their needs and views of conditions their communities. In order to have a comprehensive picture of issues perceived by the community as problems the first step CBOs were asked to elaborate what environmental related problems they face in their neighbourhoods, complimented by other participants (NGOs and authorities). The second step was the selection of key issues that needed immediate attention as in priorities. The third step involved identifying existing activities in the communities, initiatives related to the issues in questions and the fourth step involved finding out what organizational experiences or forms of organisations existing in communities. The table with the key issues is in

The second workshop was aimed at developing the framework for the Sustainable Urban Development Project. Based on results of the first workshop participants were asked to define the major problems in the communities leading to the focal problem containing the course effect consequence. Then participants were asked to think about the future as the desired situation in defining the objectives and outcomes of the Sustainable Urban Development Project. The workshop was also aimed at identifying

forms of participation of the different stakeholders and the organisational strategy of the Project.

### 3.4 Direct Observation and participation

Another source of information was direct observation. The author of the present report was part of developing the project as an observer and participant. The author was present in all the meetings (interviews), the briefing meetings with the OVE and Livaningo team members, the workshops and the site (community) visits.

## **4. Case study: Sustainable Urban Development in Maputo**

The previous section outlined the methodological approach applied in this report. The following section presents the case of Maputo, developed under the efforts of promoting participatory approaches in responding to the urban needs.

The chapter, first and foremost describes the process in which the case evolved and the role of the author of the report within the case. The contextual background of the municipality is briefly outlined followed by a historical discursive description of attempts made through engaging citizens to try and solve the urban problems. This is particular essential in order to understand the current reality. In sections that follow the actual development of the creation of the sustainable development project takes place.

### **4.1 Creation of Sustainable Urban Development Project in Maputo**

The creation for the Sustainable Urban Development in Maputo project is an initiative taken by The Danish Organisation for Sustainable Energy presented in detail on section 4.2. The initiative was founded in 2005 a period in which the author of the present report was on negotiation of internship contract basis with the organisation. On this foundation, the author of the report was invited to be part of the research team in the creation of the programme with a proviso of the author applying the research as an empirical study for the dissertation project.

The organisation (OVE) has a local partner NGO in Mozambique working with promotion of sustainable energy projects. From this basis, the organisation became familiar with the degrading conditions in Maputo and having other similar urban projects in South Africa and in other developing countries the organisation realised that there was need for such an initiative in Maputo.

#### 4.2.1 Role of the author in the process

The author of this report was part of the research team and had two main objectives: 1) Be part of the research process and 2) explore the participation process undertaken and 3) investigate from the discursive historical account of how the municipality has interacted with communities in trying to solve the vast environmental problems faced by urban communities.

The author had an active role in preliminary preparations by being part of assessing on whether the possible target areas are within the scope of communities in need of immediate attention and contributed to the preliminary outline of the research purpose of the exercised carried out in Maputo. Further more the author set up interviews that were carried out with the different stakeholders. The author was also part of the data collection process from interviewers; field visits preparing the workshops and being part the process to preliminary programme document draft. The following section briefly presents contextual background of the municipality of Maputo.

#### 4.3 Background Maputo Municipality

Maputo, is the largest urban centre in Mozambique, with an estimated population of 1.3 millions. The municipality of Maputo is like in many other Sub-Saharan African cities divided into two distinctive areas, the “inner urbanised city” with about 230.000 inhabitants and the “sub-urban areas” with about 1.299 millions inhabitants (UNPD, 2001; Strez and Hunger, 2006).

Since the 1980s, the city has experienced rapid and unprecedented urbanisation caused by rural urban migration and the civil war. The growth of the city has not followed any coordinated strategic planning; as a consequence the city experiences environmental deterioration, inadequate services.

The institutions required for efficient management of these services in a democratic system are still very weak (Danida, 2001). Even though, over the last decade (1990s), the municipality has been under impressive reforms under the decentralisation

programme and democratisation that required private sector and citizen involvement in managing the problematic issues of urban environment, but practically no authority had made use of these, and the policy framework continued to be top-down based, partly due to dependence on the central government and structures still organised in the colonial and hierarchical way (Strez and Hunger, 2006).

The combination of the growing urban population, a shortage of resources, lack of capacities in almost all fields, outdated nature of traditional urban and environmental planning and management, resulted in compound inefficiency and has culminated in a situation of the evident marginalized un-serviced poor settlements (Fernandes, 2005).

In 1997, a comprehensive reform program for public administration was launched, but there are still weaknesses in the various civil services within the state – municipal administration practices (Danida, 2001). However democratisation is taking its toll and general public awareness and interest and involvement is beginning to flourish. The following section will briefly present a historical account public interaction with the municipality.

#### 4.4 The Municipality and the Discourse of Participation

The discourse of participatory approaches are part of the new decentralisation and democratisation trends which are particularly widespread in developing countries, however to this case, policy researchers argue that defining the process of decentralisation, generally nation wide, is more of de-concentration of power rather than political de-centralisation (Sitoe and Hunguana, 2005)

But first and foremost, the review of practices after the independence in 1975 to improve urban conditions may create an understanding of the current situation and approaches taken to the municipalities urban environmental agenda.

The actions taken after 1975 in what Grest (1995) termed the centralised democratic system were a failed agenda to the citizens of Maputo municipality. The changes in

municipal administrative system are striking, as the old colonial authoritarian political administrative system, highly centralised was abolished after the 1975 independence. New local administration was introduced within the chaotic transitional period. In the early 1980s, the new municipal authority outlined an action plan that was to organise the city and consolidate popular power as part of political strategy to deal with the growing number of urban problems such as the rapid population growth, uncontrollable settlements, the degrading health and sanitation services, etc (Grest, 1995).

Grest (1995) cites that several structural adjustments at the municipal level were outlined. First, the Maputo City Party (MCP), which represented the ruling party (FRELIMO)<sup>1</sup> at a local level, was established. In term, this entity should foresee the formation of other municipal organs. In the name of promoting community and the general public participation, MCP opted in forming what has been described as “Dynamising Groups” Figure 8. These groups symbolized peoples’ power in tackling the various urban problems affecting the municipality. The groups were given the charge of economic, social and cultural tasks at the local administrative level. Ironically, these new administrative structures that were meant to give power to local communities came to take much of the logical top-down approach of the colonial system.

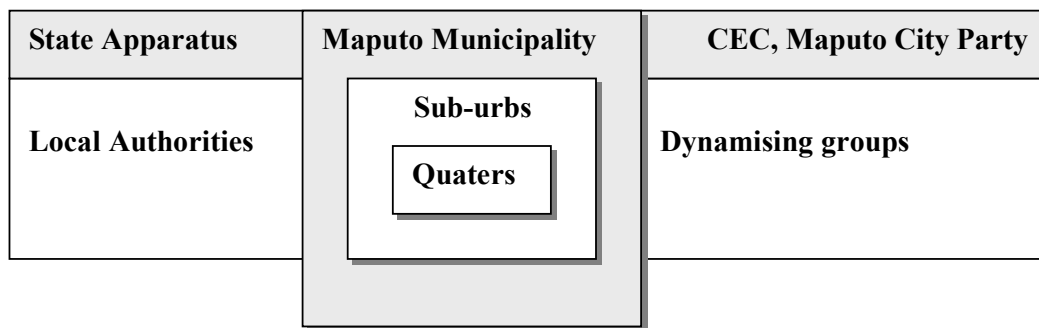


Figure 8: Municipal setting 1975-1990s (Siteo and Hunguana, 2005) multi party

<sup>1</sup> Front for Liberation of Mozambique, the only political party by then, but now through democratization other political organisations have evolved however Frelimo remains in power until now

Figure 8 represents a much-summarised operating structure of the municipality and the relationship with the other levels up to the 1990s. Noted in the figure, is overlap of functions between state and the party and the distinction between City Executive Council (CEC) and Maputo City Council (MCP) is unclear. According to Grest, structural complication led to confusion of broad governance functions between the state and local service provision. Municipal citizens in this context were involved through the local dynamising groups representing local interests at the quarters<sup>2</sup> level and Suburban level, however these became incorporated as part of the state apparatus. As a result the minimum exercised participation was state controlled.

Figure 9 represents the improved municipal structure under the decentralisation approach.

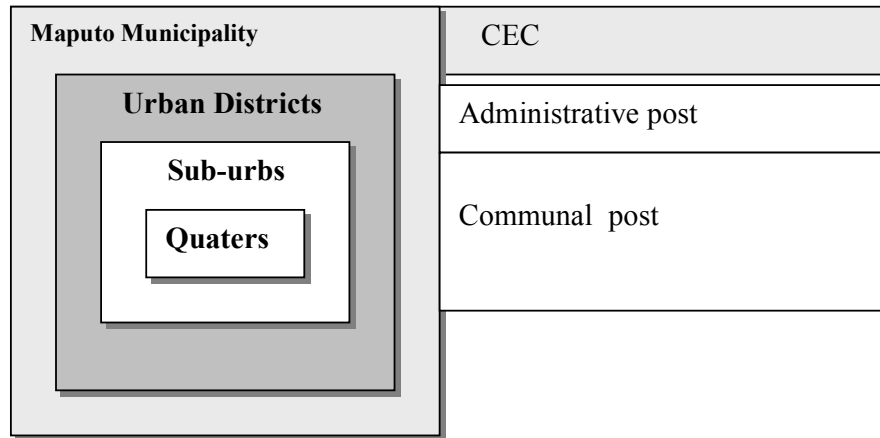


Figure 9: Municipal setting after decentralisation (Sitoe and Hunguana, 2005)

With the foregoing figure, comparatively with the first, the municipality operates as a separate entity from the state apparatus and has literary no longer influence from the political party. Though as previously mentioned there are still ambiguities between the state and the municipality.

Structural complexities and power conflicts still do exist even with the recent reforms as referred by the mayor of Maputo municipality (Eneas Comiche) asserting that though decentralisation and municipal structures are modified, there is an urgent need for streamlining and simplification moreover resolve areas of ambiguity in the

<sup>2</sup> A group of typical 20 to 40 housing families in a planned settlement

definition of areas of jurisdiction and responsibilities between the municipality and that of the central government (Comiche, 2005).

On the other, the national planning director for the Ministry of Environmental Affairs cited in reference to a running urban environmental programme (Greater Maputo Plan) that even though some of the components of the programme have been lunched for implementation he observes some problems on its functioning, because of the donor requirements, there is inflexibility and complexities on the part of those who like to implement some of its components thus, there is unwillingness of some responsible organs to take initiatives as they do not want to fill responsible and account for the funds.

The greater Maputo plan is a Danida funded project initiated in 2003 with the overall objective of strategy formulation for urban environmental management bringing together various stakeholders from national to local level. However the initial development of this strategy formulation was based on a top down approach to ensure compliance with government policies and approvals at high levels. The advisers of this programme when asked what constraints they confronted on its implementation they cited limited capacities of municipal councils for environmental management and community participation as very few educated staff exists on the area, low levels of organisation and community mistrust of the municipality.

The implications of the foregoing problems, ineffectively exercise the philosophy behind the decentralization process, which was meant to strengthen the state governing system via the creation of citizenship from bellow. Allowing citizens participation at all levels in decision making on matters affecting their environmental, economic and social well-being (Siteo and Hunguana, 2005).

The general public in the foregoing perspective is thus discouraged as the generation of political momentum necessary to experiment with, and eventually accept new ideas or otherwise provide grounds for implementing major initiatives is strapped by power struggles. In term, this generates mistrust between the authorities, communities, civil society and other actors. The reason behind the municipality accepted during a round



table debate, that they have no substantial capacity to mobilise communities or the public in general (enclosure 5).

In what the municipality describes as the approach to improving environmental, economic and social problems, at the same time promoting or restoring public confidence, the civil society and other actors, strategies and initiatives for good governance are set to be of priority. As illustrated in Box 2, the idea is to promote different mechanisms that will eventually evolve into good governance allowing transparency in decision-making and equity in resource allocation and level of involvement.

- Citizen involvement in all planning stages
  - Mentality change
  - Promote decentralization, modernization and transparency in the public service
  - Prioritize benefits to disadvantaged social groups
  - Promote the reduction of social inequities and gender equity
  - Present regularly results and reports
  - Stimulate inter-municipal and international cooperation
- (Comiche, 2005)

Box 2: Municipals strategic initiative for good governance

From the foregoing, the critical question of to what extent can NGOs, donors and other actors develop local capacities that can work within the de-concentrated powers and eventually evolve and function as desirable, participants during the round table discussion at the municipality appeared in light of promoting good governance; sympathetic to the donors belief that fostering de-concentration as a strategy for local empowerment at the local level, it can latter lead to sound practices. Implying that people used to participate or contribute in communities, districts forums with the de-concentration strategy may build up a movement that can lead to collective empowerment, improving service delivery and forcing political decentralisation.

Some initiatives have evolved in which CBOs, and local authorities have collaborated in solving some of the major problems in the communities such as waste and sanitation. The following section will in brief present one CBO that has managed to establish a form of partnership with the municipality.

#### 4.5 Community based management systems

Within the new decentralised system, with the calls of communities to be better serviced, some community-based initiatives have evolved such as the one that is presented in the following section based on a community-based organisation ADASBU. The organisation founded in 2000 by residents of Urbanização with the help of Medics San Frontier (MSF) later supported by UNICEF and UN-Habitat with the primary objective of working at a community level with water, sanitation and waste management. MSF provided the institutional support (contacts with the municipality and other organisations), capacity building, technical support (equipment) for waste collection and other purposes.

According to Paulino Mate representative of (ADASBU) (enclosure 7) and Thompson (2005) Urbanização has major problems including high levels of water table during rain season. Like in many other neighbourhoods; it is a highly populated area with informal settlements in close proximity making access difficult for waste collection, and for sanitation purposes. On the other hand the municipality has no capacity to provide services and ensure acceptable environmental conditions.

From this basis, it became ideal for the organisation (ADASBU) to provide some of the critical services. However there was no legal framework under which the organisation was to operate and was unknown by the municipality thus with the help of MSF entered into negotiations with the municipality

Thompson (2005) cited that ADASBU is one of the only groups working with the municipality on a contract basis for waste collection. A general framework on how these groups interacted with the municipality is as illustrated in the following Figure 10.

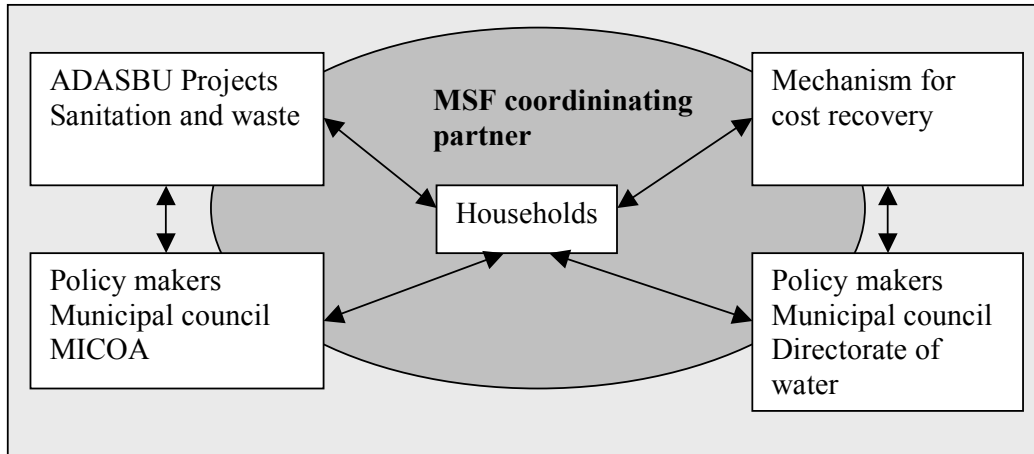


Figure 10 Stakeholders interface in Urbanização (Thompson, 2005)

The figure represents a framework of interaction between the CBO the Ministry of Environmental Affairs (MICOA) and the municipal council. The approach facilitated to establish a framework on which legal conditions were created to allow CBOs to be able to operate as a contracted organ for waste collection and sanitation in the community. Mechanisms for partial cost recovery under which the CBO would be able to charge a fee from residents for their services was established. However the municipality only supports financially the waste project as referred above on a contract basis. The sanitation project covers liquid wastes according to ADASBU, residents are charged per cubic meter and the waste is transported to the organisations storage place. In term, for its disposal in the treatment sites municipal authorities collect the waste ADASBU but a fee is charged on the organisation as the authorities argue is for fuel costs.

The support from donor organisations ended in 2003 and with the fuel rising prices from 2004 the authorities raised the liquid waste disposal charges and set curt backs on the solid waste contract thus according to the CBO representative the sustainability of the project is at stake.

**Conclusion:**

Participation according to the historical context has been in a political sense that favoured state control over communities or the general public. In particular the first decades after independence the popular power was merely a token form of participation in a sense. The different forms of structural changes only exposed the society to more disparities and the centralistic approach was unable to cope with any of the urban problems. However with the democratisation and decentralisation approach from the late 1990s opportunities emerged witnessing some form of representation. Structural constraints have been emphasised even within the new form of governance. On the other hand lack of organisational culture at the micro level was taken to be part of what impede broader participation coupled with mistrust of the authorities and lack of capacity. However, the new municipals strategy demonstrated a will to improve the relations between the communities and in general the public.

Faced with structural constraints and lack of economic opportunities, which resulted in deprivation, exclusion and vulnerability, communities have sought ways of getting about their problems in some informal customs. The study observed that there is a revival or creation of what can be designated as solidarity networks, various forms of associations and CBOs, in search for alternative forms of social direction and for self-basic services provide, to compensate the failures of the formal sector

The example of (ADASBU), has illustrated that communities are able to take initiatives and constructively be part of improving the urban environment. But the short term focus and lack of networking hamper the sustainability of such initiatives. On the other hand it was observed that this organisations are liable to global systems such as the fuel cost that prompted the authorities to raise cost for waste disposal and support for the organisation.

The following section will present the approach taken by OVE to promote sustainable urban development also from a local community perspective based on principles of local agenda 21.

## 4.6 Rationale for the Sustainable Urban Development Project in Maputo

The nature of the urban crisis in the previous sections is by itself a strong rationale for an interactive process involving citizen's participation, the NGOs, local authorities and other relevant stakeholders in finding measures for resolving them. OVE argues that the approach that is needed rest primarily on realization that acceptable quality of life to all citizens and other socio economic disadvantaged groups require a major change in the macro as well as in the micro sphere. In reasoning of the initiative that forms the basis of this case, the organisation argues that it should be recognised that the urban poor are active agents and not passive beneficiaries of development processes. This requires active involvement of communities, civil society, etc and a fundamental redefinition of the political relationship between the government and these agents (OVE, 2005).

One way to achieve this is to call for a reorientation in the nature, direction and strategy to favour reduction of disparities between the urban community groups and classes in municipality of Maputo. Efforts are also necessary to tackle micro realities such as strengthening financial and organizational capacities of local communities and extending environmental and social services to all sections within the urban jurisdiction. It is therefore necessary, to have popular awareness, acceptance and participation of the communities in designing implementation and monitoring of the actions and decisions that affect their life (OVE, 2005).

This is an approach that is widely supported by the funding, multilateral and bilateral agencies within the growing awareness that urban problems must be confronted under the gradually decentralizing municipal system or based on community empowerment, appropriate and appropriable technology. It is a participatory alternative approach that is slowly emerging in answer to urban challenges.

The reform lunched in 1990s to decentralize local government has given greater autonomy of action for local authorities. The idea behind was to strengthen the powers and capacities of local authorities to be able to respond more adequately to local needs and demands. However the results have been slow and the true integration

and involvement of the broader public or communities is still lacking (OVE, 2005) Danida, 2004). The municipality accepts having constraint in mobilising the general public as referred in the previous section, partly due to lack of trust towards the municipality which derive from municipals lack of capacity in terms of “Funds, Know how and Technical capacity” to assure service delivery to all (enclosure 5).

Recognizing that civil society organizations or NGOs like OVE have the capacity to focus on the essential issues of how to mobilise the public to organise themselves to addresses the present urban challenges and promote participation, Eskild and Greenhalgh (enclosure 2) Danida technical advisers encouraged the participatory initiative as it would also compliment bilateral projects such as the Great Maputo Plan.

Within the emphasised participatory approach, two critical components were to be involved as illustrated in Box 3.

- In collaboration with the relevant stakeholders, develop pilot projects to show alternative ways of doing things.
- Engage local and national officials in a dialogue with communities in relation to the pilot projects, the scope and multitude without removing community management.

Box 3: Strategy for lunching an initiative based on participatory approach

In following this approach, OVE argued that it is necessary to engage relevant stakeholders and the organisation should act as a facilitator of the development process to allow local communities to have a sense of ownership of any decision taken. The engagement of the different stakeholders should in itself result in an urban network that will facilitate interaction between the different actors and encourage communities to be part of the network movement. A strong organisational capacity should be established as a basis for empowering communities to be part of developing initiatives for their communities and be engaged in the political process that can influence policies aimed at their communities.

## 4.7 Conditions as research protocol for the SUD Project

One of the primary conditions for the creation of the SUD project was that it should follow the principles in the concept of a Local Action 21 process as the examples illustrated in Box 4 to address the myriad urban environmental problems faced by the poor and low-income communities. In considering agenda 21 principles, the targeted communities are made the subject rather than the object of the development process and feasible solutions should be identified by exchanging knowledge and jointly analysing the problems taking account most importantly local knowledge, concerns, and needs. Thus the approach required an interactive involvement of the different local communities, local authorities and other relevant stakeholders such as NGOs local and international working in the context of urban environmental improvements in Maputo.

Agenda 21 refers to participation in various chapters including for example

In chapter 8 (Integrating environment and development in decision-making), an adjustment or even a reshaping of decision-making in light of country specific conditions may be necessary if environment and development is to be put at the center of economic and political decision, in effect achieving full integration

In chapter 23 (Strengthening the role of major groups), Agenda 21 requires, in the specific context of environment and development, the need for new forms of participation and notes the need of individuals, groups and organizations, particularly those which affect the communities in which they live.

In chapter 26 (Recognizing and strengthening the role of indigenous people and their communities), active participation is called for to incorporate their values, views and knowledge

More over participation is also referred in chapters 33, and 37

(UNCED, 1992)

Box 4 Calls for participation in Local Agenda 21

The research process should go beyond the simple verification and affirmation of hypotheses of the local problems; the results should be translated into action-oriented activities that will form basis for replication of the programme to other communities and further at a national level (OVE, 2005).

In calling upon involvement of communities and other relevant players, OVE suggested that the groups or key stakeholders should be:

A community or stakeholders ready to collaborate in a development process and,  
Decision-makers who are able to devote time, share knowledge, and expertise to a process of consensus building

The interaction process should through interviews establish a dialogue that leads to a workshop bringing together all the key stakeholders.

The workshop should:

Define the problems faced by communities based on all sources of data, views and knowledge of participants (CBOs, NGOs, and Municipal authorities)

Identify common areas of concern

Agree on common objectives

A final selection of target areas in terms of communities

An in-depth knowledge of experiences and ongoing initiatives within the urban setting

Define the organisation with roles and responsibilities of partners and stakeholders in the project (OVE, 2005 enclosure)

#### 4.8 The key players in the creation of the SUDP

In the environmental scene in Maputo, a number of players in terms of environmental activism can be identified. The following section presents active players in the creation on the SUDP programme and these will include the NGOs and community-based organisations.



### **The Organisation for Sustainable Energy (OVE)**

The Danish organisation for sustainable energy (OVE) is a non-profit non-governmental organisation founded in 1975 based on a popular movement for renewable energy in Denmark. The principal aim for OVE is to promote energy and environmental policies that are both resource and environmental friendly, promote sustainable and democracy development through people's participation and initiatives. The organisation works both nationally and internationally through partnership and network building. OVE's international programmes are based on raising awareness by training NGOs, the civil society, private sector and authorities on energy, environment and development-linked issues (OVE, 2005).

OVE began its activities in Mozambique in 2004 involving the promotion of sustainable energy programmes through assisting local partners with programme development, technical support and facilitation of the interaction between the public sector, the private sector, civil society and community based organisations.

### **Livaningo**

Livaningo is a popular NGO known nation wide through its activism against polluting industries, environmental damaging projects and its capacity to mobilise the public. The association was founded in 1998 and mainly works with environmental advocacy; awareness and community development however has little capacity in project or programme implementation (Livaning, 2005). Livaningo was selected as the main partner of the SDPM by OVE due to its integrity to public advocacy, capacity to mobilise the public for a given action and as an influential NGO in local and national environmental policy development.

### **Organic Agriculture, Biodiversity and Sustainable Development Association (ABIODES)**

Is an association working at a local and national level promoting sustainable rural and urban development through activities such as local economic and environmental based development, advocacy and sustainable agriculture. ABIODES was founded in 1998 and has since developed networking capacities with community-based

organisations, national and international NGOs and local authorities. The association currently heads the forum for civil society in Mozambique.

### **IBIS**

Is a Danish non-governmental, non-profit organisation rooted from the European solidarity movement for the struggles against apartheid in the 1960s. The organisation works with capacity building programmes at the local and national levels such as education, local governance and popular participation.

### **Community Based Organisations**

In the area of Maputo municipality, there are few community-based organisations in deprived settlements that have sustained themselves and are fully dedicated to urban and environmental improvements in their communities mostly through service delivery waste and sanitation projects. These are less known outside their communities and have little support from the local authorities. The organisations that were part of the process were selected due to their activeness in the communities and were strategically located in the target areas that were perceived to be needing urgent attention. These are, the Association for Drainage Water and Sanitation (ADASBU), The Youth Association, “Association for Maintenance and Sanitation Management” (UGSM).

These all work with improvements of urban services in communities, erosion prevention measures and community education. There is little or no material at all about this community based organizations, as they have not been able to produce any information material. However they are generally made of organized communities with the specific interest of improving their communities as authorities fail to provide services.

## 4.9 The interactive Process of SUD in Maputo

The foregoing section has described the players involved in the creation of the project. The following section presents how the actors interacted and the results obtained from the exercise.

Collaboration through interaction was viewed as an appropriated mechanism that brings together local authorities, representatives from communities and other actors such as the civil society engaged in the urban questions, national and international NGOs to discuss specific needs and suggestion of workable actions or solutions for the problems faced by the communities.

First and foremost the process opened through interviews with the City Council, Ministry for Coordination of Environmental Affairs (MICOA), selected CBOs and NGOs, national and international (enclosure A) was an important step for opening a dialogue advocating a participatory approach as the key-driving factor for improving urban conditions in the communities.

Previous researches in Maputo have concluded that participation is a new approach for the municipality as Stretz and Hunger (2006 p1), claimed that “*the municipality is still young and developing*” (Stretz and Hunger 2006 p1) and Jenkins also observed that there is in general “*limited evidence of penetration of concepts such as citizens right and organizations to mediate between civil society and the governments, such as the trade unions, neighbourhood organizations and other interested groups*” (Jenkins et al, 2004 p9).

The former compliments Grest (1995) claim of absence of tradition of independent social organisation and participation capable of scrutinizing the actions of authorities, defending civic interests and promoting alternative actions (Grest, 1995). What on the other hand Jenkins (2000) and Comiche (2005) referred to as structural problems that inhibit coordination between the different levels of authorities as a result preventing civic engagement, thus causing some of the urban problems.

It has therefore, been argued that up to date in some cases, policies continue to be based on uncertain assumptions and oversimplifications concerning the poor and their relationship with environment as the involvement of the broader public or communities is still fragile. The structural fragmentations and conflicts are also acknowledged at the ministerial level as the National Director at MICOA stated that, there is lack of coordination between the several stakeholders giving an example of the greater Maputo project. With the former, he stated that, the problem of the greater Maputo Project is that no authority has been appointed to be in charge, albeit characterising the municipality as well organised, however being financially and technically weak (enclosure 1).

During an interview with the municipal councillor, Dr. João Schwalbach acknowledged lack of capacity to serve or mobilise, however working under the new decentralised structures in his words, the vision is to draw attention to public demand with the overall philosophy of improving living conditions (enclosure 5).

The municipality enthusiastic about finding ways to involve communities and new partners in developing initiatives to improve urban conditions within the rationale of collaboration and partnership, acknowledging that the approach requires conducive physical, socio-economic and political environment that is geared towards participatory modes, the municipal representatives asserted as quoted *“Our main aim is to find programs that can improve people’s lives. The suggestion would be to bond efforts to jointly improve the living conditions of all factions of the municipality”* (enclosure 5).

The municipality’s understanding of the problems affecting the communities that need urgent responses are as illustrated in Box 5

- Extension of solid waste project
- Minimisation of environmental impact on the dumping sites
- Public awareness
- Planning new land fill sites
- Recycling initiatives.

Box 5: Municipals urban priorities (enclosure 5)

The OVE approach is partly an attempt to create conditions to break the gap by empowering communities, promoting urban networks that bring together authorities, communities and other relevant players. The interactive process conducted in Maputo gave an opportunity for communities to identify positive and negative attributes in their communities including those related to industrial and other relevant impacts.

Among the environmental and other related issues highlighted by community representatives NGOs and other participants, in line with the thematic components or conditions were as illustrated in the following Box 6.

**Problems in the communities**

- Insufficient waste collection and waste management
- Informal settlements in inappropriate areas
- Insufficient water supply and drainage systems
- Insecurity in areas vulnerable to erosion, floods and fire
- Insufficient community education on appropriate use of vital physical infrastructure
- Insufficient awareness on environmental issues and the link to other issues
- No community urban network to exchange experiences

**Experiences within communities**

CBOs: Engaged in community waste collection, sanitation services.

Micro-credit based organisations: Giving loans to women for small business purpose

Box 6: Identified community priorities and existing experiences (Workshop, 2005, enclosure 9)

The diagnosis of the problems in Box 6 was carried out during project workshops (enclosures 10 and 11) held in Maputo. The workshops played a crucial role in identifying the problems and defining the research objectives that reflected communities' priority and complementing the municipals intention. The initial workshops served to identify the problems and included organizations CBOs and local authorities as listed in enclosure 11.

A further workshop to develop a common understanding the underpinning reasons of lack of progress in the communities, based on the results and discussions from the previous work was carried out with all stakeholders. This would in term form a framework for the creation of the sustainable development project in Maputo. The conclusion of the joint analysis of the problems in the urban communities of Maputo resulted in the definitions illustrated in Box 7.

**The stakeholders concluded that there is:**

Insufficient solidarity and group culture

Insufficient economic power

Lack of urban culture

Insufficient community capacity building

Insufficient drainage, water supply systems and waste collection

Insufficient action for community education on solid waste management

Communities suffer from environmental degradation and community living conditions

(workshop, 2005, enclosure 10)

Box 7 Prioritised community problems

The results in Box 7 were then translated into specific objectives as means of creating a common understanding for the aim of the Urban Sustainable Development Project in Maputo. The objectives that on one hand aim at achieving action oriented activities and on the other hand empowering communities were outlined as follows:

Establish links and mechanisms to influence policies and development projects in urban communities.

Establish mechanisms and systems to exchange experiences and information between communities and other external organs.

Develop capacity for the communities to be able to identify, organise and implement projects and evaluate.

Improve organisational capacity of local ONGs and CBO's, to plan and implement development activities.

Having agreed upon the specific objectives that the programme should be based on, reflecting community needs perceived as a demand driven process, the project development partner OVE would then proceed with further outlining of the project and the submitting to the donor organisation Danida.

## 5. Key stakeholders and form of involvement

The following section presents the key partners of the Urban Sustainable Development project in Maputo. According to the agreed framework during the stakeholder workshop, OVE is a facilitator of the process working towards building capacity of the local NGOs, the communities and the authorities to be able to interact with the communities.

The communities are at the centre of implementing any programme that however with support from the local NGOs and OVE supporting technical assistance and financing. The partners are described in the following Table 3.

<b>Partner</b>	<b>Form of participation</b>
Danida	PSC member, donor, indirect participation
MICOA	Provide national strategies, relevant data and indirect participation
Municipality	Facilitate community participation with questions related to community sustainable development
OVE	Contract holder, financing entity, Project partner
Livaningo	Community mobilisation, government, NGOs, environmental advocacy, Project implementation
IBIS	Community organisation in CDC, Facilitation of IAH
ABIODES	Member of project steering committee
CTV	Produce pamphlets, community education, member of the steering committee, advocacy and environmental education
ADASBU	Implementing member
UGCM	Implementing member
Communities	Implementing member

Table 3 Partners and form of participation (workshop, 2005 enclosure 10)

## 5.1 Areas of Conflicts

The major conflicts between local authorities and communities were among others issues the introduction of a waste fee. The inner city is covered about 60 percent with waste collection and the suburbs are according to Strez and Hunger (2006) covered about 25 to 45 percent. This means that the 1.2 millions of people living in the suburbs only have a fraction of the services. The municipality as argued by Osvaldo Matavel (municipal representative) referred to the public in general, as having inappropriate behavioural attitudes towards public utilities and reactive attitudes to some of the public policy like for example the waste tax introduced based on Polluter Pays Principle (PPP) (enclosure 9).



The public reacted negatively against the tax introduction as argued by CBOs and also in Strez and Hunger (2006) because the policy was introduced without public consensus and no effort at all to inform the public. The principle of the tax introduction requires every household to pay a certain fee ca. (0,8 USD) per month. According to the National Director for Environmental Planning (Erasmus Nhacungue) compared to other countries it is a very low price. The controversy is that the services of waste collection are not provided to the neighbourhood communities except at the inner city. The other problem is that the waste tax is paid through the electricity bill as a result there are free riders as those who do not have electricity are exempted from paying the waste tax.

The situation eroded to a level where the communities denied paying the fee as a result the electricity company collecting the fee was affected and had to abolish the waste fee from the electricity bill. Thus waste collection came to a halt diverting from the MDG number 7: Ensure environmental sustainability - target 10: Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation (Strez and Hunger, 2006).

They cite that since 2002 the German organisation (GTZ) has been offering assistance in solid waste management and claim that as a result of their intervention, the proportion of people with access to waste has increased by 7%. The fee is still applied but as claimed by Strez and Hunger (2006) it was accompanied by a massive public awareness campaign and this has led to some understanding leading to cost recovery of about 50-60 thousand dollars per month and acceptance of the taxing system.

Waste and sanitation were critical issues that conflicted the authorities and the communities. Some organised communities have established CBOs to serve their neighbourhoods as the municipality failed to provide services. Like the example of (ADASBU) as the CBO argued “the municipality has not been able to solve our problem, so we decided to take matters into our hands. Now we have minimised some of the problems” (enclosure 7).

## **Conclusions**

From the historical account, it is perceived that measures have been taken along the lines of political decentralisation, which aims at enabling broader participation of other actors than the central government. However it appears that political decentralisation has not been accompanied by financial decentralisation as for example funds of the greater Maputo project are still central controlled by MICOA under Danida supervision. It is perceived from the case that a whole range of issues from social, political, cultural and governance style, combined are the causes of exclusion, deprivation and environmental degradation.

The interaction between the different stakeholders resulted in a consensus of the major problems affecting the communities and a common understanding of how the problems should be tackled. The approach allowed a wide acceptance from the CBOs and other participants and the idea of establishing urban networks was perceived as a valuable tool for improving the efficiency and effectiveness of the organisations through knowledge sharing and dissemination of good practices.

A need for a strong organisational culture at the micro level was an important aspect to be prioritised including capacity building of the CBOs and local NGOs mechanisms for policy appropriations to enable the communities to develop and implement initiatives, and to ensure sustainability and replication of the pilot activities.

## 6. Analysis

The following chapter makes use of the theoretical and analytical tools presented in chapter 2 in order to analyse the case study Maputo. The cognitive praxis of the SUDP discusses the significance of the action oriented development process undertaken. Then the modes of participation are discussed through the case to in order to draw insights of what level of involvement was achieved and is expected to achieve under the project cycle. The stakeholder approach is then framed as means of identifying the primary and secondary and their respect characterisation according to influence. The approach helps to identify the risky areas and issues that may affect the outcome of the project. Finally, the institutional analysis is presented through the three pillars by Scott (2001).

### 6.1 The Cognitive praxis of SUDP in Maputo

Jamison's account of new social movements being seeded out between two fronts – modernisation and the reactionary forces, is one that characterizes the form of solidarity rising in sustainable development projects such as the Maputo case. Jamison (2001) claimed that the emerging social movements or ecological cultures contain both thought and action. Relating the former claim to the rationale of the SUDP, its observed that the case had two objectives: 1) it is action oriented towards improving conditions in the communities 2) holds an ideology that through this actions, people are empowered thus making a foundation for sustainable democratic society.

The partnership and collaboration-taking place, in the name of sustainable development becomes an innovation aimed at achieving social and cultural change. What can be termed in relation to Jamison's theoretical account of the emerging ecological culture as a form of greening society in the specific context in which the actions take place.

The approach applied in the case of Maputo, is an innovation geared towards action-oriented results that seek to in a sense, strengthen grass root organisations, capacity

building while at the same time improving the actual environmental and economic conditions of communities. As Jamison argued, the analysis of these form of practical activities taking place at the very micro level have received little attention, here the analysis will suggest that these form of interactions witnessed in the case presented in the study, they are also a contribution to building solid foundations for movements and contribute to development of strong sub-politics in communities. In other words it is form of enlightenment conducive to social change.

The problems in the communities and their respective responses require some technical intervention but as much the same way that they require cultural, social intervention. Thus the participatory approach that involved some CBOs, NGOs and authorities produced to some extent, a new form of organisation and knowledge dissemination. Combined with the worldview of the local life-word, appropriate responses were defined for example the aspect of “group culture” that would ensure there is a solid basis for empowering communities at a group and individual level.

## 6.2 Practices and Modes of Participation

Jamison (1999) argued that despite the diminishing role of the state through calls of democratic processes and representation, the broader participation is still obstructed by the dominant forms of policy discourses. It is the perception from the discursive perspective of the formal participation in the case of Maputo. The view of the mayor of Maputo Eneas Comiche (2005) that argued, though decentralization and municipal structures are modified, there is an urgent need for streamlining and simplification and a need to remove areas of ambiguity in the definition of areas of jurisdiction between the municipality and that of the central government spells a clear sign of obstruction between the formal politics that form the dominant policy discourse. Within this perspective, the broader public or in this case, termed as communities, are left behind the scenes of conflicting structures fighting for recognition, control or personal interests.

On the other hand, programmes that are not entirely State led, still fail to capture the essentiality of their existence. To this context, it is observed in the engineering project termed the as the Greater Maputo Project that while promoting local empowerment and democrat process from its idealistic and philosophic foundations, its success is in a slow process that may hamper its effectiveness. It was cited in the case with the Director of Planning at MICOA and the Danida advisers that the programme has been running for two years but has not achieved much. Reasons blamed to its inflexibility, in a way it can be a representation of clash cultures in terms of the top down approach that is dominated by expert led agency and the bottom up that has little foundation on the ground, as concluded in the workshop that there is lack of group culture that would enforce empowered groups of communities to stand for themselves.

The theory review in Singh (1995) and Jamison (2001) claimed that participation serves as means of empowerment for achieving or appropriating sustainable development. In their discussion relating to Agenda 21 that called for maximum possible participation and is viewed as the mechanism for incorporating participatory methods and tools that take into account all factions of a society in a given context. The rationale of the case of Urban Sustainable Development in Maputo was built under this context.

But if consider why participation is needed and how much of it is exercised, it is clear that the notion has been perceived distinctively and used for different purposes such as political control as the historical discourse of Maputo's municipals participation strategy from the late 1975 to the late 1990s.

The case of Maputo claimed the need for a participatory approach that would involve all relevant players in the development process specially communities as they were the subject of the process that was to be undertaken. Acknowledging that participation is in its diverse forms and interpreted distinctively, it is essential to review what form or to what extent the participatory approach in Maputo can be placed.

Based on the processes followed of; background information, stakeholder workshop, working groups and problem prioritisation it can be concluded that the approach of structuring the development processes in the Local Agenda 21, "Priority Problem

Approach” was pursued. With the communities being part of the priority setting and defining what actions should be taken, there was certainly some involvement that can be characterised through the participation modes described in section 4.4. Marshall and Roberts (1997) and Plummer (2001) inspired by Arnstein’s “ladder for participation” (1969) claimed that participation ranges from simple persuasion techniques to education, information sharing, consultation and shared decision-making. For the case of Maputo having been characterised as the Local Agenda 21 “priority problem approach”, community involvement can further be qualified through the range of participation modes that were claimed on the theoretical account. This is illustrated in the following Figure 3.

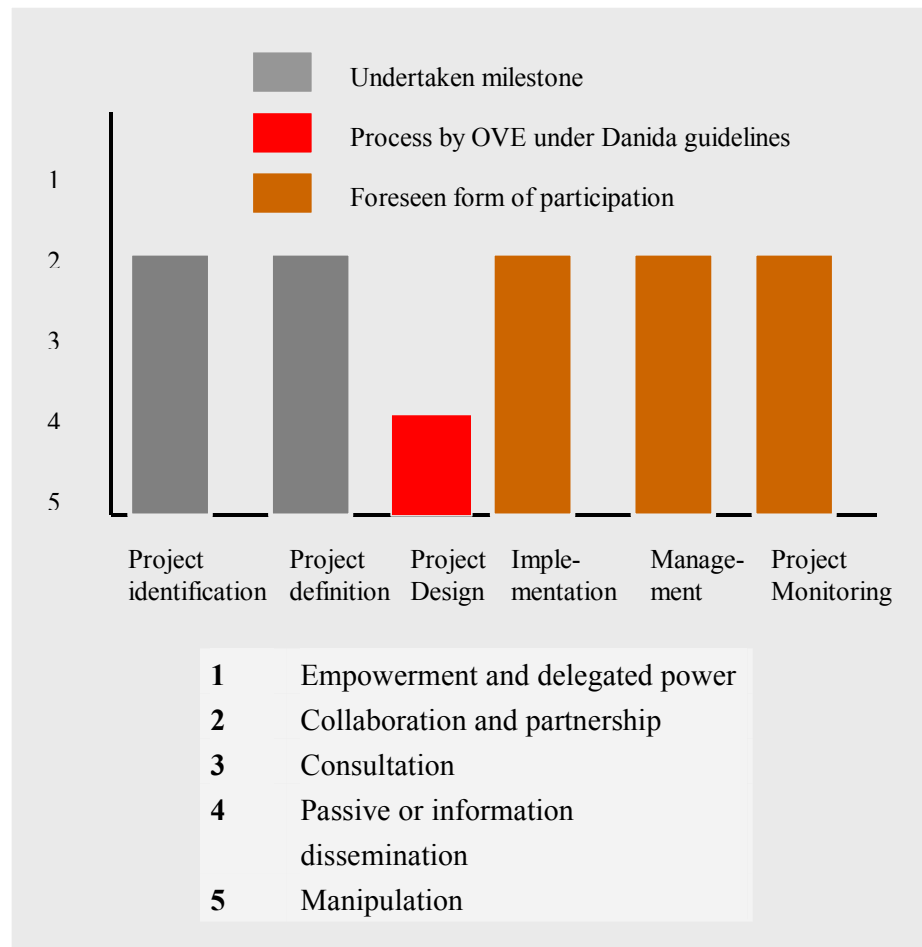


Figure 11 Levels of participation in the development cycle

According to the diagnosis in Figure 11 it is perceived that guided by the research protocol presented in the case, chapter 4, the selected communities have been part of and contributed in identifying and defining the problems in their communities. More

over, as the stakeholder form of participation presented in the case, communities are expected to implement, be part of the management and monitoring of the different initiatives that will arise as a result of the undertaken process.

The form of participation attained through the process in which communities are actively involved in raising problems and expressing their readiness to work together with other partners in the solutions of their problems, is in its kind, an incentive in the process of empowerment. As cited in Rydin and Pennington (2000) and Innes (2004) such interactions can be a construct of the very social networks that can be built upon to improve organisational capacities, and in a sense, further attribute individual and collective empowerment.

The results from the case, qualify the claim that interactions engaged in collective action problem solving are a potential tool for building social networks that communities can use to further resolve their community problems. The idea of creating spaces in which communities and other urban players can exchange information ideas and experiences, it is claimed through the case as being one crucial move towards empowering grass root organisations and local NGOs.

### 6.3 Stakeholder analysis

The multi stakeholder approach was praised and characterised as the appropriate way in an interactive process for collective actions such as those aimed by the Sustainable Urban Project of Maputo. It was acknowledged by all participants and interviewed people that the current reality of Maputo needs an approach that includes relevant stakeholders even if some of do not have influence within the process. The analysis performed in the following section is entirely a process developed for the present project not as part of the case procedures in Maputo.

Based on ODAs typology and the definition of the different stakeholders in relation to the players involved in the case of Maputo it can be concluded that primary stakeholders – those who are negatively or positively affected by the development under discussion, are the communities as they were the subject of the development

process. According to ODAs classification of secondary stakeholders, that is, intermediaries in the delivery process, NGOs function as mediators or facilitators supporting the process with experiences in mobilisation, structural functions including the know who and how.

ODA characterised “Key stakeholders” as those who can significantly influence or are important to the success of the process (ODA, 1995). From this perspective, the municipal authorities and MICOA have significant influence for the success of the project. As any intervention action will have to be implemented as a supplement of the broader urban development process and for example some actions will require official approvals and regulative instruments may have to be articulated in order to guarantee the success of the project. It is widely acknowledged that without support from the local authorities conflicts may arise that can affect the outcome of the project.

The foregoing categorisation can further be integrated into the analytical framework of stakeholder classification according to their influence and importance as illustrated in the following figure.

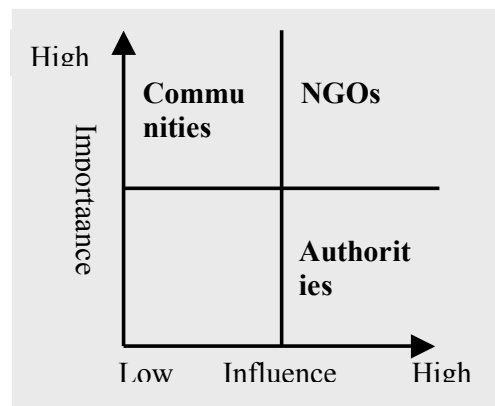


Figure 12: Stakeholder classification according to their relative importance and influence

The classification in Figure 6, which is also based on the theoretical discussions, confirms the need for empowering communities and the NGOs taken to be an essential ingredient for building coalitions to support the development process and



also implying a strengthening of the local NGO capacity through coalition building. The authorities are on the risky area due to their possession of influence, a component that can affect the outcome of the project.

#### 6.4 Institutional analysis

The regulative context: As Scott (2001) asserted, institutions can constrain and regularise behaviour. Observed from the historical discourse of the municipality, the structures created as part of rule of the game up to the 1990s, have constrained participation and regulated it to be perceived as such that fulfils states interests, which was political consolidation.

However within the current situation it is a fact that the communities have benefited from policies passed with the decentralisation process to allow transparency, effectiveness and broader participation. But the difficulties confronted by the local authority and the fact that rules are merely imposed to communities constrains its implementation of elements sanctions, rewards and the objective to influence behaviour to the desirable. For example the introduction of the waste tax that required every household to pay a certain fee could not be enforced. On the other hand the difficulties faced by communities in the settlements to squatter areas because the people cannot afford to pay the fee stipulated by the authority, in such situations where the rules established do not reflect the reality of what people are able to afford and are not consulted and informed on the underpinnings of the regulatory framework it tends to have no effect.

While regulation is helpful in stimulating the desirable behaviour, it cannot stand alone as the people in the communities exhibit visible or latent resistance because they feel marginalized and the rules are just to exploit them, thus have to resist. Therefore the example of ADASBU the community organisation that confronted the authorities and created by laws that allowed it to operate legally and benefited its people by providing services, can be perceived as one way that rules can successful influence

peoples behaviour that in a longer term may not only be beneficial to the community but to the macro institutions as well.

#### The Value Normative Context

Scott's assertion of normative systems that can constrain also empower and enable social action have a particular weight in the case of Maputo. It was observed through the reflexive dimension of the municipality that local groups that were then called "Dynamising groups" were empowered but at the same time constrained to serve states interest. This form of participation is best expressed through the modes or levels of participation presented in section 2.3 – manipulation in which the objective is to manipulate citizens to agree with the system as the decisions are with the power holders.

Scott (2001) also asserts that the regulatory and normative instruments can be mutually reinforcing. The claim from the municipal representatives during the workshop characterising as behavioural attitudes towards the tax introduction, public utilities, etc demonstrates that regulations contribute in making people perceive the situation as acceptable or unacceptable. Likewise the regulatory instrument can be influenced by norms in the society. For example, the negative reaction of the waste tax introduction regulation becomes legitimate if the public perceives it as just one more of the other exploratory regulations. Thus regulative instruments are as much important as changing the human values which hinder the legitimisation of regulations such as the example of the first attempt made by the municipality to introduce waste tax. This particular attempt failed, however as the second attempt considered that people have to be part of acknowledging that the tax is necessary, it has to some extent succeeded as mentioned in the case.

It is of a particular relevance to mention Wolfangs claim that people's values have been corrupted through the custodial or centralised management of the of services by the government bureaucracies over communal management thus people became alienated, as a result people tend to play little or no role in the management thus diminishing their sense of responsibility.

The example of ADASBU and the development of the sustainable urban project in Maputo can be regarded as a process of sharing the responsibility with the communities, in which they can play a greater role in the management process. However there is still the sentiment that the municipality or government is solely responsible for services such as waste management and provision of basic services. Thus participation and sustaining communities depend on education but also on the time for the citizens to assimilate and accept their role. The incentives and facilitation from the authorities is also an essential ingredient for an improved or for a successful participator approach.

#### The Cultural Context

Having the authorities meet with the CBOs and the different stakeholders, makes a point for the authorities not merely to perceive communities as passive recipients and on the other hand the approach strengthens the ability for the individual and as a group in general though much of the influence has always been from the authorities, through participation they are able to influence the outcome of planning and decision making process.

Participation has an important role in this context because any initiative taken must be tailored to the local context. The presentation of the problematic issues perceived by the communities in Maputo, for their solutions are only viable for the long term when assimilated to the specific local context.

## **7. Conclusions and Perspectives**

The main aim of the project was to investigate how participatory approaches can contribute to improve the urban environmental quality in deprived areas of Maputo. The report has provided an overview of a participatory approach in creation of the Sustainable Urban Project in Maputo. The following section, will through some concluding remarks, drawn from the analysis of the case and the general discussions, answer the research question.

The case suggests that within the institutional framework there are barriers that hinder effective involvement of citizen groups and for resolutions of the problems affecting their communities. Lack of clear frameworks, policies and strategies to encourage and motivate participation is are some of the barriers that can be noted. The authorities have little interaction with the communities; it was observed from the case that only two CBOs are collaborating and supported by the municipality on refuse collection. Lack of capacity has also been underlined in terms of human, technological, financial and political will at all levels. Thus it is essential that any participatory approach should be supported by political will and well defined strategies and approaches that aim at providing enabling environment and incentives for broader participation of the civil society and communities.

It can also be concluded that due to lack of strong frameworks in terms of policy, initiations of environmental initiatives at local level have tended to depend on international agencies.

As to the creation of the Sustainable Urban Project, it was observed that the CBOs are able to contribute in the development process and they are very much aware of the principal problems that need to be addressed. The problems that communities address; waste, sanitation, etc are the very issues that concern local authorities. But the form of policy delivery to deal with the problems is exercised without consensus from the public as in the case of waste tax introduction.

The case has also acknowledged though there are grass root organisations that have recently flourished, there is still lack of strong group culture, thus the case study suggests that the process of mentoring by supporting NGOs with other committed partners such as the authorities, civil society, etc can often strengthen community empowerment and improve the link with the authorities and other local, national as well as international networks.

If in the process of participatory development, people receive training in useful transferable skills, empowerment will develop at a personal, project and or community level. Fully empowered people or communities are thus able to contribute towards the sustainability of development projects, which in turn contribute to the broader notion of sustainable development

However, it can be concluded that while development programmes may incorporate greater emphasis on empowerment initiatives, the outcome depends to some extent by local politics and the community structure. As if local political structures are not transparent and accountable, and where there is little social mobility possible within the community intervention at the organisational level is likely to embed existing power structures. As a result this may reduce the chances of incentives for initiatives and innovation.

For participatory approaches to effectively contribute in improving the environmental or the quality of life in the urban communities, the perception and practice of empowerment have to be taken to a different level in which empowerment is sustained. Hence the approaches will produce or achieve lasting tangible impacts tailored towards making improved social fabric. Communities then gain increasing control of their own affairs and increasing initiatives as to their destiny. Sustained empowered communities will collectively increase the ability to negotiate with external agents and institutions drawing investments and rights into the communities and will be able to increase their management ability of their internal affairs in terms of representing the interests and views of the members and agreeing on priorities.

Combining both the top-down and bottom-up systems can be a way to improve equity effectiveness and credibility of participatory approaches. The linking up of these approaches can bring political implications at all levels, resulting in changes of roles and responsibilities from the institutional, groups of communities, NGOs to individuals creating new patterns of behaviour that will foster sustainable development. To this context, policy strategies need to accommodate the new forms of participatory approaches with enabling legislation that take into account the different realities of social, economical and environmental needs. Thus, strategies to improve environmental quality in communities and at the broader urban scope should not merely be technocratic.

Participation between communities, municipal and at national level are necessary with good information cycle driven by participatory explorations of sustainable development needs and options from the communities to the macro level, and one way to achieve this is to: Build on existing participatory structures, projects and methods whether formal or informal approaches, broader mobilisation at the micro level to influence national policy, build capacity for participation and securing financial flows.

It has to be recognised that without effective municipal government there can be no sustainable development at local level and it can also be concluded that without sustainable development at local level there cannot be sustainable development at national and further at regional levels.

## 7.1 Perspectives

The factors discussed in this report do not constitute a finite set of ways in which participatory approaches can improve the living conditions of the urban poor and improve the environmental quality in their respective communities. Due to the limited scope of this study, the possible affects other actors; as well as possible debates on the issue could not be incorporated in the analysis.

A further study that evaluates past experiences with community based management systems and the general perception of participation could be performed. This is because there has been a number of projects through communities but the experiences are very fragmented as they have not been disseminated. Such a study could further investigate how the different innovations or projects could be combined in an overall municipal strategic framework that would ensure that all the small scale initiatives make a difference within the overall objectives in a coordinated manner. This may be an important approach to peruse, as it would bind the communities and the authorities breaking the gaps and the mistrust between the parties that sometimes hamper any advancement.

Creating such frameworks would ensure that even the donor driven programmes become sustainable as there will be a capacitated community and authorities that collaborate or partner in solutions of the several problems that affect the urban communities.

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## Enclosure A: Interviewees and Summary of the interviews

<b>Name</b>	<b>Position</b>	<b>Place and Date</b>
Erasmus Nhachungue	National Director of The Ministry for Environmental Coordination	MICOA, Maputo, August 30 <sup>th</sup> , 2005
Mr. Lars Eskild Stephen Greenhalgh	Danida Country Technical Adviser Long-term Advisor	MICOA, Maputo, August 30 <sup>th</sup> , 2005
Maria Chumba	Coordinator for Ibis in Mozambique	IBIS August 30 <sup>th</sup> , 2005
Marcos Fereira	Environmental Activist (Environmental Advocacy, Research and awareness)	CTV, Maputo, August 30 <sup>th</sup> , 2005
Vitorino Carapeto	Councillor of Matola Municipality	Municipality, Matola, August 30 <sup>th</sup> , 2005
Dr. João Schwalbach Joachim Strez Osvaldo Matavel	Maputo Municipal councillor Municipal Technical Advisor (GTZ) Head for Municipal Public Awareness	Municipality, Maputo, August 31 <sup>st</sup> , 2005
Ismenia	Representative (ABIODES)	ABIODES, Maputo, August 31 <sup>st</sup> , 2005
Paulino Daniel Mate	Head of Community Organization (ADASBU)	ADASBU, Maputo, August 30 <sup>th</sup> , 2005

### Enclosure 1

#### INTERVIEW WITH THE MIINISTRY FOR COORDINATION OF ENVIRONMENTAL AFFAIRS (MICOA)

**Interviewee: Mr. Erasmo Nhachungue**  
**Director of Planning, MICOA**  
**Date: 30<sup>th</sup> September, 2005**

**Place: MICOA, Maputo**

**Q:** What is the role of MICOA in the urban context?

The main task of Micoa is to coordinate national environmental programmes. Micoa does not implement any programme though the institution is actively involved in the process of planning, monitoring and evaluation of projects.

**Q:** what is your focus in terms of the overall strategic planning?

We have a national strategic plan that is composed of sectoral plans such as Sanitation and drainage, Solid waste management and erosion prevention and other plans, which are coordinated with the local municipal authorities. For the Maputo municipality we have the ongoing programme for the greater Maputo area, which is both Maputo and Matola municipality. This programme is financed by a number of donors such as the World Bank and coordinated with other support agencies such as Danida but I see some problems rising from this programme.

**Q:** What is the overall context of the greater Maputo programme?

In the GMA Four areas on environmental problems were defined by the programmes being 1) sanitation and drainage, 2) solid waste management, 3) erosion, and 4). In particular SW is a problem, which has never really be solved, though much equipment has been imported.

**Q:** Can you specify what you mean by the problems you see in the programme?

The problem of the Greater Maputo Project is that no authority has been appointed for administrative coordination between Maputo and Matola and they are very dependent and interlinked by all means. The different sectors deal with the problems separately and it appears no one wants to take the responsibility because the funding has strict requirements that some find it inflexible. But on the other hand I think the municipalities are well organised; however they are financially and technically weak.

**Q:** What are the main problems that the municipality faces?

I think sewage and waste management are some of the major problems and frankly speaking, these problems are partly associated with or rise from poor physical planning. The other thing is the influx of people coming in and out of the city, Maputo is a city of 1,5 millions and there are six hundred thousand people migrate in and out of GMA every day and they do not feel responsible for the conditions, by keeping places clean or so. There is no taxing system so nobody seems to care.

**Q:** What do you think about the service costs?

It is cheap to live in Maputo, as the services are cheap, e.g. the SW charge is 0,8 USD/month. However, the price on water has risen tremendously just over the last few months, and in general people pay a lot for water, the water system has recently been updated, and user-payment is functioning well. But apart from payment of drinking water, user-payment is not well functioning. In fact the DEA (Department for water and sanitation at municipal level) is one of the best functioning department, as the department has received a lot of funding and capacity building.

**Q:** How do you view the land tenure issue?

The land is in principle owned by the state, though this is not perceived so by the people using the land. It is acknowledged that there is a number of informal market operating outside the regulatory structures but there is no string control system at the moment. In general, people can locate themselves where they want, the poor people often settle on non-secure land, to be close to the city centre. There are examples that people have agreed to move to a more secure area, but after a few months they move back to the original area. I think the problem stems from poor physical planning and not land tenure. Poor and low-income are no longer distinctly segregated in today's Maputo it is hard to define where the poor and low income are staying. Poor and low-income have also settled in more well-off areas, e.g. on roof tops.

**Q:** Has the state not thought of privatising the land?

Privatising land is a low priority of the government this might start to take place the earliest in 5 to 10 years.

**Q:** What are the actors within the Urban and Environmental Sector?

National Council for Sustainable Development (the Center has not yet been established)

Town Planning Department (working with slum up-grading with UN Habitat)

UN Habitat

UNEP is not represented in Mozambique., however a project on poverty and environment is being prepared for seven African countries including Mozambique.

**Comment:** If I were the mayor as a solution to some of these problems I would begin doing what other cities have done. I would introduce parking charges, solid waste tax, etc in order to generate some funds that can be used to strengthening municipal budget.

## **Enclosure 2**

### **INTERVIEW WITH DANIDA COUNTRY REPRESENTATIVES**

**Interviewee: Mr. Lars Eskild**

**Country Technical adviser (CTA)**

**Stephen Greenhalgh (Long-term Advisor)**

**Date: 30<sup>th</sup> September, 2005**

**Place: MICOA, Maputo**

**Q:** What are your experiences in implementing the greater Maputo project?

As an environmental strategy the greater Maputo plan has experience little success because it is too difficult for the partners to get hold of the money. Thus there has been low rate of implementation so far only 5% of the budget has been used as the objectives take a starting point in the metropolitan idea (which does not really exist),

as the majority implementing partners (municipalities, provincial governments) are not interested to participate (one reason is that they are not allowed to control funds), and in general the project has little flexibility in relation to with whom and where it works, and how activities are implemented. At this point the project is designing the remaining two years.

So far only the Solid Waste Department of Maputo has shown interest in implementing activities. And the project will therefore focus on solid waste management, hereunder 0.5 mill USD for investments.

In Matola the project focus on enhancing the environmental management capacity, addressing the issues of sanitation, greening of areas, and local SWM. Focus will be on local solutions, using the internal strengths of a community, that is while people may not want to pay any fees or taxes to government agencies, the same people are willing to pay for local solutions. NGOs are starting to become involved.

**Q:** How do you think NGOs can contribute?

As an NGO I think you have an advantage because you can focus on the essential issue of how to mobilise people to organise themselves as this addresses the present challenge of the fact that nobody are organising themselves around a responsibility. So advantage of NGOs are that they can focus on: 1) organising people to realise their demands 2) organising people to help themselves. The NGO project can in that way be complimenting the bilateral project.

**Comment:** You should carefully consider the selection of target areas, and leave some flexibility involve communities in identifying and defining the solutions.

## **Enclosure 3**

### **INTERVIEW WITH IBIS COORDINATOR**

**Interviewee: Maria Chuma**

**Project Coordinator, IBIS**

**Date: 30<sup>th</sup> September, 2005**

**Place: IBIS, Maputo**

**Q:** Can you tell us about the project that CARE has implemented here in Maputo?

The CARE project was implemented in district no 3. The project worked with the politicians at district level and the CARE project functioned as facilitators and had an explicit exit and sustainability strategy.

At the beginning of the project the challenge was to select target areas and make a needs assessment. There are a lot of problems in the communities and almost all needed immediate attention. However the Care project had 4 main areas: 1) Capacity building (rehabilitation of the primary school, included a tender process, and built the capacity of the municipality, also a erosion control groups and works), 2) Youth

Center (helped young people to be trained and put in job, enterprises were identified to train you people), 3) Water and Sanitation (tried to establish a water task force including a private company, and tried to establish sustainable ways of repairing the sanitation systems), 4) Saving Scheme (introduced and made a private credit programme and saving programme for the inhabitants, the interest rate was 20%). The project worked with CBOs on e.g SWM, some of these CBOs have now become private enterprise and receives payment from Maputo Municipality. The total project budget was approx. 4,5 mill USD.

**Q:** How did you work with the communities?

Communities were the implementing partners and they also served as inspector or monitors to ensure that they were fulfilling the projects objectives. NGOs often serve as the mediators between communities and the municipality because there is more trust on NGOs than on the authorities.

**Q:** Why was there a saving scheme component?

This was after some review that observing that children were dropping out of schools and some were not at all going because those who had mothers selling in the markets did not know how to save money to pay for their children's education.

**Q:** What are Ibis current activities in the area?

Ibis is currently working in district 3, focusing on awareness rising, and want to expand the project to also include water and sanitation issues that can be perhaps collaborated with OVEs interests.

## **Enclosure 5**

### **INTERVIEW WITH THE MUNICIPALITY**

**Interviewee: Joachim Strez**

**Oswaldo Matavel**

**Dr. João Schwalbach**

**Date: 31 September, 2005**

**Place: Municipality, Maputo**

**Q:** What is the primary focus of the municipality in relation to poor neighbourhoods?

The Municipality has the primary responsibility of health care in the settlements. The philosophy behind is about improving peoples living conditions through improved sanitation and drainage, waste management, water supply not the ill or sick care services

**Our main focal areas are:**

1) Solid waste Management: We are Working on solid waste collection however the system is weak due to lack of capacity –Funds, Know how, Technical and public mobilization. The other aspect is that the waste does not reach the dumping site due to long distances.



Within the solid waste management sector we have worked with some communities in pilot projects through a decentralised community based system in (Maxaquene) run by two independent groups that do door to door garbage collection twice a week. These are officially contracted by the Municipality and will be extended to three new groups “micro enterprises” by the end of 2006.

## 2) Improving institutional capacity

3) Education and Public awareness: The objective is to inform and educate people on various issues related to health and waste handling, combining health aspects and environmental. Current aspects: 1) Working to find a strategy on fun fair and how to keep them clean. 2) Rabies disease control, but this is not the municipalities responsibility. The Municipality works in coordination with Medics san frontier on prevention of malaria, cholera through solid waste, sanitation and drainage management.

**Q:** How do you intend to successfully implement your strategy with the problems of lack of capacity, technical and the lack of public mobilisation?

First we need to stabilize the existing equipment and expand accordingly. We also have the idea of contracting private entities to provide secondary services such as container removal, however this proposal has not been approved yet. We also want to establish a dialogue with the private sector to participate in waste collection services through licensing even though the law states that it is municipality’s responsibility to manage waste.

We are hoping to involve communities through the examples of the pilot projects already undertaken and we always seeking partners who can assist in one or the other way.

**Q:** How do you deal with toxic waste?

Toxic waste for example from hospitals is under the Ministry for Coordination of Environmental Affairs (MICOA), it is not the municipality’s responsibility. But MICOA has its own problems of lack of funds, and not using efficiently the available funds. The municipality is now trying to reorganise to address the issues of will be direct towards improving conditions in the communities with the help of the respective communities.

**Q:** Are there any initiatives with international partners?

Yes we are going to work with UNIDO to find a strategy on how to form the Micro enterprise system that will go along with Municipalities strategy for the greater Maputo project. The next 3 community based service provider groups will be prepared through this system but the selection will be in a public tender.

The other initiative will begin in November through a workshop to identify major lines for the further development of greater Maputo. This does not cover Matola however through the cooperation of the association of Municipalities and having

common projects (new land fill site, cemetery) the Matola municipality will have a share of the greater Maputo development plan.

**Q:** How can OVE cooperate with the municipality?

We think there are possible areas of co-operation within 1) Extension of the solid waste project in the Bairros 2) Minimisation of environmental impact on the dumping site 3) public awareness 4) Planning new land fill sites 5) Recycling initiatives or activities. The effort in co-operation would be to find initiatives and joint efforts to improve peoples living conditions.

**Q:** How much capacity the municipality has to mobilise the public?

The Municipality has no capacity for community mobilization even though we have worked and still are working with some communities.

## **Enclosure 6**

### **INTERVIEW WITH ABIODES**

**Interviewee: Mrs. Ismenia**

**Representative**

**Date: 31 September, 2005**

**Place: ABIODES, Maputo**

**Q:** What does ABIODES work with?

ABIODES has 3 three main strategic areas: 1) Organic agriculture, 2) Biodiversity 3) Sustainable Development Association. In the area of organic agriculture the organisation has supported small-scale farmers in Boane with information on how to do organic farming to avoid use of pesticides. But we also work in the urban context for example in July 2005 the organisation met with the Danish Embassy and identified that waste and sanitation are the problematic issues for the greater Maputo.

One of the main activities of ABIODES is to join other NGOs at a national level. The purpose of the network group was to create a national forum however the focal points are established in each provincial level. We this, we are trying to create a national movement geared towards Sustainable Development in an integrated manner.

**Q:** How is your cooperation with the authorities?

ABIODES has good relationship at the local and national level. Not long ago we collaborated in a national study on soil erosion, waste and sanitation in the greater Maputo area.

**Q:** Do you have any outside links?

Yes the organisation has links to other international NGOs, for example Environmental Monitoring Group (EMG) a well-established South African NGO.

## **Enclosure 7**

### **INTERVIEW WITH ADASBU - CBO**

**Interviewee:** Paulino Daniel Mate

**Date:** 1<sup>st</sup> September, 2005

**Place:** Settlement of Urbanização, District Nr 3

**Q:** What are activities are carried out by ADASBU?

We are mostly working with Sanitation and Drainage but we are also involved in educational activities through campaigns throughout the community. This is an area in which the majority of the population rely on latrines and we face a huge problem because the area has high water bed. Now it seems to be fine but during the rain season the conditions are terrible. The municipality has not been able to solve our problem, so we decided to take matters into our hands. Now we have minimised some of the problems.

**Q:** What actions did you take to solve these problems?

We have created what we call eco latrines that residents can buy however they are a little expensive as they cost US 100\$ and some people cannot afford. We have also created a system in which we handle the sewer when latrines are loaded, and communities have to contribute for our services. Moreover we have constructed open drains in the main trouble areas in the community. However they are not enough. We also do door to door waste collection that we have made a contract with the municipality for the trucks to come and empty the container once a week.

**Q:** Where do you get the funding from?

The job we are doing it is supposed to be the municipality's responsibility, in waste collection we work under extreme conditions and the municipality after some bargaining has accepted to support us; they pay our salaries. But it is only due to the waste project we have. And we also have the contributions from the communities.

**Q:** What experiences do you have with working with NGOs?

NGOs are very important and good in working with communities the only problem is that when they leave the projects they create have a problem in sustaining themselves and they end up dying.

**Q:** Have not thought of creating green public spaces?

It is something we need but the physical planning has not worked so it is hard to find a place for that. But it is something essential because our children have no appropriate space to play. The whole area is very congested it would be necessary to move some people.

## **Enclosure 8**

### **INTERVIEW WITH MATOLA MUNICIPALITY**

**Interviewee: Vitorino Carapeto**

**Date: 30 September, 2005**

**Place: Municipality, Matola**

**Q:** How is Matola municipality structured?

Matola Municipality is composed of three administrative posts and 43 settlements. The population is approximately five hundred thousands; it used to belong to the Maputo municipality but through the decentralisation programme Matola became independent.

**Q:** How are environmental related services functioning?

Our environmental sector is not very active because we lack human and financial resources. We work mostly with waste management; other areas such as sanitation and drainage are not active. Even on waste we are not functioning properly and as the municipality has large industrial sector we should also deal with air pollution but this is not working, we have no resources for such activities. The sanitation system is really not well established. We were also supposed to sort garbage but so far we have not been able to do so.

**Q:** Do you plan to work with communities in these issues?

We were supposed to be working with communities but as I said our capacity is very limited. However I think it may be possible to work with CBOs on waste collection through the Danida supported project but this has not yet been materialised.

**Q:** What specific barriers do you face?

On human resources we have little capacity to attract and keep employees

**Q:** What problems are you facing concerning the industrial sector?

We are not able to enforce environmental laws such as those for air pollution, toxic waste, etc to multinational companies.

There is a new law on waste discharges but there is no clear distinction on who is to control, as it is now the central government is supposed to control but we have a say.

We also face financial problems as even if we are not obliged by law to do testing in the industries around, we have a possibility of hiring a consultant to do so but our financial resources are very limited.

**Q:** What is the situation in the communities concerning waste and sanitation?

In our area most pressure in the communities is on waste and little on sanitation. The area of sanitation is not so critical like in other areas such as Chamanculo, Polana, etc (Maputo municipality)

**Q:** What are your experiences in working with communities?

My experience in communities is that some project may be successful than others e.g. water projects. People tend to want shallow wells than the water pumps cause they think of the costs involved and distances to the pumps. Therefore the water pump projects tend to have little success.

**Q:** What major activities are being implemented now?

There is running waste project under the Danida support programme that has existed for two years but little has been done. The project partly works with communities and the idea is that we will ask the communities do the maintenance of the project. However on waste there is still allot to be done as only 40% is collected at the moment on a daily basis.

Concerning new initiatives I think composting and recycling would be ideal because there is not much going on these areas.

## **Enclosure 9**

### Notes from the workshop nr 1: 2<sup>nd</sup> September 2005

Sulila (Livaningo): Maputo and Matola are the chosen areas to be covered by this mission. The mission is about designing a project in close collaboration with our partners, with the communities, government and NGOs.

Finn (OVE): Talking about the importance of the environment said OVE will bring experiences from other projects that have already been implemented in other countries with the objective of improving living condition and the environment in poor communities.

Mazul (Bairro Fomento): Lack of dialogue “Municipality – Community” or consultation is one of the problems of Birro de Fomento. He added that there are cultural and other aspects to be considered as some people have been living there for more than 10 years it is not ideal to not consider their opinion or idea about their own Bairro.

Physical planning is not followed by other infrastructure namely: Schools, hospitals and well planned roads that are in accordance with laws.

Oswaldo(Municipality) Noted that the urban area is growing but there are no boundaries between the rural and the urban areas. Improper physical planning and land distribution have created garbage-dumping areas and this fact makes it difficult to create sustainable city. He further stated that the other problem faced by the municipality is the public’s attitude towards public infrastructure and policies that are designed to maintain and improve the quality of the local environment. A concrete example was the waste tax that was introduced however neglected by the public.

Finn (OVE) our knowledge is that people have no access to credit, health facilities, housing, etc. 1/3 of world population live in bad and vulnerable conditions. He added that this number of 1/3 of the population live under extreme poverty. These aspects are some that are not recognized as a course of environmental degradation. If nothing is done there will be more poverty, criminality and instability. These problems are not existent only in poor countries, they can also be found in developed cities like Paris, London, etc.

We have to exploit existing opportunities, and cooperate with all partners; the government, ONG's and the affected communities.

**Objective of the workshop:**

Identify and prioritise environmental related problems in suburban zones.

Identify existing activities in the suburban zones

Organisational experiences in suburban zones models for future sustainable development.

1. Major development and environmental challenges for the urban poor – problems and priorities

From thematic point no.1 the following were found to be the problematic issues within the communities:

**Problems in the communities:**

Sanitation: Improvised latrines in areas often affected by floods

- Deficient water supply
- Deficient management of the solid waste
- Erosion
- Insufficient drainage systems (primary, secondary)
- Housing on inappropriate areas
- Soil saturation
- Insufficient means for solid waste collection
- Unplanned settlements
- Insecurity in areas vulnerable of erosion, floods, fire
- Community education on appropriate use of vital infrastructure (drains, latrines, water pumps)

**Community Priorities:**

- Solid waste management
- Water supply system
- Reorganisation of slams
- Wastewater drainage

2. Economic activities in urban poor communities

On the issue of economic activities the following were identified as on running activities within the communities.

- Services: Water supply, repair workshops, renting services, Carpentry workshops, and blacksmith
- Informal money exchange
- Small business activities selling first necessity products (sugar, rice, etc.)

Community comments.

There is still lack of support in community development through credit schemes. The existing micro-credit schemes are with high tax rates or complex guarantee system.

3. Organizational experiences in urban communities – models for management of a future sustainable urban development.

From the thematic issue on organisational experiences the following were identified:

- Community based organisation (CBO)
- Community commissions
- Micro-credit based organisations
- Xitique: a group of associated persons’ family members, friends, co-workers’ organizing a self credit as a way of self financial support
- Associations
- NGO

## Enclosure 10

**Notes from the workshop nr 2: 5<sup>th</sup> september 2005**

**Interested partners and form of participation in the Sustainable Urban Development Project**

:

**OVE:** Contract holder, financing entity, Project partner

**Communities:** Community contributions, participation in the implementation, monitoring on the local level

**UGCM:** Capacity building, educate the community on proper handling of solid waste  
**ADASBU:** Support the community in solving problems affecting their lives.  
**Danida:** Indirectly, PSC member, founder  
**MICOA:** Provide national strategies, relevant data and indirect participation.  
**IBIS:** Community organisation in CDC, Facilitation of IAH  
**ABIODES:** Member of project steering committee  
Communities: community organisation for water supply and waste collection  
**Livaningo:** Community mobilisation, government, ONG, environmental advocacy, Project implementation  
**Centro Optar:** Community consultation on existing problems, community mobilisation and education.  
**CTV:** Produce pamphlets, community education, member of the steering committee, advocacy and environmental education  
**Municipality:** Facilitate community participation with questions related to community sustainable development

### **Problem definition**

The following problems were identified as priorities in the communities

Lack of economic power

Lack of urban culture

Lack of solidarity and group culture

Insufficient actions for community education about solid waste management

Insufficient systems for waste collection, drainage and rain water systems

Environmental degradation and community living conditions

### **Objectives of the intervention activities**

Develop capacity for the community to be able to identify, organise and implement projects

Improved organisational capacity of ONGs and CBO's, the poor and committee of low income to plan and implement development activities

Establish mechanisms and systems to exchange make information dissemination for the low income. Establish links to influence development projects.



## Enclosure 11

List of Participants “LFA” Workshop 1: 2nd September 2005

	<b>Name</b>	<b>Position and Office</b>
1	Mr. Finn Tobiesen	OVE, International Project Coordinator
2	Mr. Bjarke Rambøl	OVE, Project Coordinator
3	Mrs. Trine Glue Doan	OVE, Project Officer at the “Environment & Community” project
4	Maurício Sulila	Livaningo
5	Albino Mazembe	Moderator: Faculty of Architecture
6	Eugénio Langa	OVE
7	Maria Chumba	IBIS
8	Oswaldo Augusto Matavel	Municipality of Maputo
10	Isménia Guilima	ABIODES
11	Adélia Mario Januário	Livaningo
12	José Guilengue	Youth org. polana caniço
13	António Macamo	Kulima
14	Paulino Daniel Mate	ADASBU
15	Evelidio Nhantumbo	ADASBU
16	Jorge Mangaze	Comission of Bairro Fomento
17	Júlio José	Comission of Bairro Fomento
18	Arlindo Gilberto	Livaningo
19	Cacilda Magaia	Polana Canico “B”
20	Paulino Uaiene	UGSM
21	Fernando Mateus	Polana Canico ”A”
22	Isabel Antonio	Polana Canico “A”

## Enclosure 12

### List of Participants “LFA” Workshop 2: 5th September 2005

	<b>Name</b>	<b>Position and Office</b>
1	Mr. Finn Tobiesen	OVE, International Project Coordinator
2	Mr. Bjarke Rambøl	OVE, Project Coordinator
3	Mrs. Trine Glue Doan	OVE, Project Officer at the “Environment & Community” project
4	Maurício Sulila	Livaningo
5	Albino Mazembe	Moderator: Faculdade de Arquitectura
6	Eugénio Langa	OVE
7	Maria Chumba	IBIS
8	Adélia Mario Januário	Livaningo
9	José Guilengue	Youth org. polana caniço
10	António Macamo	Kulima
11	Paulino Daniel Mate	ADASBU
12	Evelídio Nhantumbo	ADASBU
13	Arlindo Gilberto	Livaningo
14	Cacilda Magaia	Polana Canico “B”
15	Paulino Uaiene	UGSM
16	Fernando Mateus	Polana Canico ”A”
17	Isabel Antonio Ngoca	Polana Canico “A”

## **ANNEX 1**

The Danish Organisation for Sustainable Energy

27 July 2005, version 1.1

Sustainable Urban Development: Maputo Action 21

### **Background**

Lack of resources in Maputo has prevented the extension of environmental services to newly created peri-urban settlements and in many cases it has been even impossible to maintain the existing services and infrastructure due to population pressure and damage caused by erosion. As a result only 31% of the urban population currently has access to safe drinking water and proper sanitation, where most water comes from public standpipes as only 9% have house connections, while only 4% are connected to sewers. The few existing drainage and sewerage systems have been destroyed or blocked due to lack of maintenance. Regular waste collection is restricted to a few areas in the city centre. The effects on public health are severe. Diseases such as malaria, diarrhoea, infections of the respiratory system, intestinal parasites, meningitis and food poisoning are common.

Poor communities are the most vulnerable to exposures from polluted drinking water and unhygienic or no sanitation systems. They are the most susceptible when they are exposed and are least able to cope with the consequences. Sub-groups like children and women are particular at risk.

However, it should be recognised that the urban poor are active agents and not passive beneficiaries of development. This requires involvement of the poor, and a fundamental redefinition of the political relationship between government and the poor communities.

The unemployment rate is more than 50% in many of the informal areas and many are forced to make their living in the informal market and subsistence agriculture. As a

result more than half of the urban population lives below the level of absolute poverty and almost one third suffer from chronic malnutrition.

The institutional capacity in the urban sector has been weak to address these problems. The primary reason has been a low governmental prioritisation on development strategies, enforced by ten years of structural adjustment during which the majority of better qualified personnel has left the public sector.

In the late 1990s the government launched a reform to support the local governments. (*Descentralização e Autonomia dos Órgãos Locais.*) The objective of this programme is to promote financial and administrative decentralization. A greater autonomy of action for local government and strengthen the powers and capacities of local authorities will give them power to respond more adequately to local needs and demands. In this way, responsibility for physical and environmental planning, low-cost sanitation, waterborne sewerage and public health, among other services, was to pass exclusively to the local level from central level. However, so far the process has been slow and a true involvement of the urban poor is still lacking.

The main strategy of the proposed project will be to address the vast environmental problems the urban poor and low-income communities are facing through participatory environmental sound solutions and processes. The project will call for a new approach to development where people are made the subject, rather than the object of development. The project will support environmental activities initiated and implemented by urban poor and low-income communities. The process will follow the principles in the concept of a Local Action 21 process.

Objectives of the mission:

Develop a project document titled ‘Sustainable Urban Development: Maputo Action 21.

The following table presents the composition of the team to undertake the mission.

Position	Name	Contact	Organisation
Team leader	Finn Tobiesen	tobiesen@ove.org	OVE
Team member	Mauricio Sulila	livaningo@tvcabo.co.mz	Livaningo
Team member	Bjarke Rambøll	ramboell@ove.org	OVE
Team member	Eugénio Langa	eulanga@hotmail.com	OVE
Team member	Trine Glue Doan	ramboell@ove.org	OVE

## **Appendix 2**

### **Equity, fairness and justice and environmental policy**

#### **Description:**

Procedural fairness and liberty rights are relevant to policy process issues such as how decisions are made. Adherence to procedural fairness requires consistency and even-handedness in the way interest groups or individuals are considered in a decision making process. These rights require that particular interest groups are not dealt with in an arbitrary manner or excluded from a process of consultation. All stakeholders, affected by an environmental policy decision, need to be treated consistently in a consultation process in order for equity to be secured. Kasperson, Golding and Tuler (1992) refer to a related principle of evidential equity which is applicable to issues such as facility siting. Evidential equity requires the host community to be provided with sufficient information and analytical resources such that the burden of proof for safety rests with a developer.

Liberty rights refer to rights of choice and duties of forbearance which give interested parties the right to intervene in a policy process, to be consulted about issues which affect them and to be free to express their opinions and preferences with suitable tolerance from others for their views (Trinder et al., 1991). These rights are fundamental to the need for public participation in decision making. The promotion of environmental equity requires the provision of conditions and resources which enable communities to freely express their opinions.

Claim rights require the right holder to be provided with benefits such as an adequate standard of living as well as civil and political rights (Trinder et al., 1991). An adequate standard of living should encompass acceptable environmental quality such as pollution free air and water and contamination free land. Claim rights also entitle community members to civil and political channels for demanding acceptable environmental conditions.

Expectation, substantive equality, need as demand, basic need and wider need are relevant to provision issues in policy making (Hay and Trinder, 1991). Equity requires the maintenance of environmental conditions to which a community has become accustomed. The sudden marring of visual amenity or the introduction of a facility creating waste, which is released into the air or onto the land, is inequitable. In the Australian context, a community opposed to a facility siting believed that increases in traffic and risk of chemical spill in a quiet and scenic environment were unjust (Hampton, Falk, and Parker, 1993). This community had made plans and commitments to live in an area with certain characteristics and had reasonable expectations that they would be maintained.

Substantive equality refers to equality of final outcomes (Trinder et al., 1991). All members of a community should be given equal access to or use of facilities. In some cases this may mean that groups are treated differently in order that all are provided with equal outcomes. In relation to environmental equity a community should be given equal access to environmental amenities such as visual, aesthetic or recreational benefit. Differential treatment may involve concessions for fees for park access, or where access to open space for recreational use is limited by property ownership, provision for access may need to be provided to the general public.

Basic needs refer to requirements for fulfilling universal objectives such as avoiding physical or mental harm (Trinder et al., 1991). This is pertinent to situations where a community may be subject to air and water pollution which threatens their physical health. It is also relevant to situations where the threat of contamination from pollution creates mental harm (Lebovits, Baum and Singer, 1986); or the loss of visual or recreational amenity is objectionable and mentally distressing (Eiser, Spears and Webley, 1988).

Criteria relevant to burden of cost issues are formal equality and substantive equality. Formal equality 'involves equal treatment within a reference group, that like benefits are enjoyed or suffered by like persons' (Trinder et al., 1991: p. 33). Externality issues are relevant to environmental equity as they concern who suffers from the use of a service or facility. The principles of formal equality and liberty rights suggest that the burden of pollution should be equally shared across a region or that compensation should be given to individuals affected by the operation of a facility. Kasperson, Golding and Tuler (1992) refer to the concept of outcome equity, whereby a fair distribution of benefits and burdens must be achieved. They argue that inequity should be reduced rather than compensated because it is morally better to avoid harm and injustice.

Environmental equity can be enhanced through the process of public participation if the foregoing principles are maintained in the management of the consultation process and if the public's preferences are considered in the final environmental outcomes produced through the decision making process. The following review assesses common practice of public participation in relation to principles of equity.

(Hampton, 1999)