



wasteaware

# **Institutions and Governance. The Missing 7<sup>th</sup> Function.**

Resources and Waste Management Policy Paper Series

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The opinions expressed in this Policy Paper are those of the author.

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## THE POLICY PAPER SERIES

From time to time Wasteaware has a certain combination of experiences which deserve to be shared with other practitioners.

The embedded knowledge of our field of work, **Resources and Waste Management**, has increased a lot over the last 10-20 years. But there is still a long way to go towards reaching the goal of 'a clean living environment for all'. And people continue to innovate, countries continue to develop, consumption behaviour changes, and as a result the boundaries of our profession are always in flux.

Wasteaware is a non-profit organisation registered in the UK but working throughout the World. Wasteaware's primary goal is to share innovative approaches to waste and resources management. This Policy Paper series is designed to do exactly that.

The first of the series, was prepared and published with the help of the International Finance Corporation, focused on the subject of **Producer Responsibility for Packaging**. The document can be downloaded from our website [www.wasteaware.org](http://www.wasteaware.org).

This document, our second policy paper, is derived from experiences working in over 35 countries, and directly inspired by work which we carried out for KfW<sup>1</sup> in Egypt. The subject is Institutions and Governance.

### The purpose of this Policy Paper is to:

- Provide some background to the **Common Policy Drivers** being faced in developing waste management situations;
- Introduce **Institutional Theory and Practice** for resources and waste management;
- Distill-out some **Core Policy Issues** which need to be taken into account when designing institutional systems.

The Policy Paper is designed to be relevant to any Country looking to develop its resources and waste management sector.

Our Policy Paper's are designed to inspire not to offend! The politics of institutional change and governance can be very sensitive, even for such a humble subject as waste management. We hope that it will prove useful input to debate and decision making processes on this matter.

Enjoy the read!

<sup>1</sup>The author's work on the preparation of a National Waste Management Program for Egypt, supported by KfW (the German Development Bank), GTZ (the German Bilateral Development Agency), and the EU inspired the creation of this paper. The views expressed in this Paper are those of the author, and not these institutions.

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## COMMON POLICY DRIVERS

The daily removal, transport, treatment and disposal waste is an intensely practical activity. Every day we see bins and vehicles on the streets, and that's all that most people really know about, 'getting waste out from underfoot'.

However, what goes on after this, and what goes on behind the scenes to make this seemingly simple service function properly, is actually remarkably complex. We introduce this complexity in this Policy Paper, but to summarise.

### Why is waste governance complex?

- **Waste management involves everyone!**

Including different levels of government, institutions, industries, hospitals, schools, businesses, NGOs and citizens. There are lots of interest groups surrounding the sector.

- **Waste management needs a lot of money!**

Absorbing anywhere between 10 and 30% of a municipal budget, a functioning waste management system relies heavily on budget allocations and taxation, and on public procurement.

- **Everybody knows something about waste but nobody knows everything!**

There is a constant pressure to comply with the wishes and instructions of the 'non-experts' who govern and employ us. These instructions do not necessarily make sense.

- **People are never satisfied with the services they receive!**

Whatever the quality of service provided, it is human nature to get quickly used to it, and want more. This means we are continually challenged to improve services.

### So why do we need to improve waste governance?

- **Waste management is a public health and environmental issue.**

Poor waste management is not only unsightly, de-motivating and annoying; it can also cause disease outbreaks and pollution incidents.

- **Waste management is a highly visible public service.**

Good governance in waste management is noticeable.

- **Waste management can help solve conflicts.**

There is plenty of evidence that focusing on a local environmental issue such as waste management can help bridge community divides.

- **Waste is simply a waste!**

We have a common interest to improving the efficiency of resource use, the quality of our environment, our economy, and the quality of our lives.

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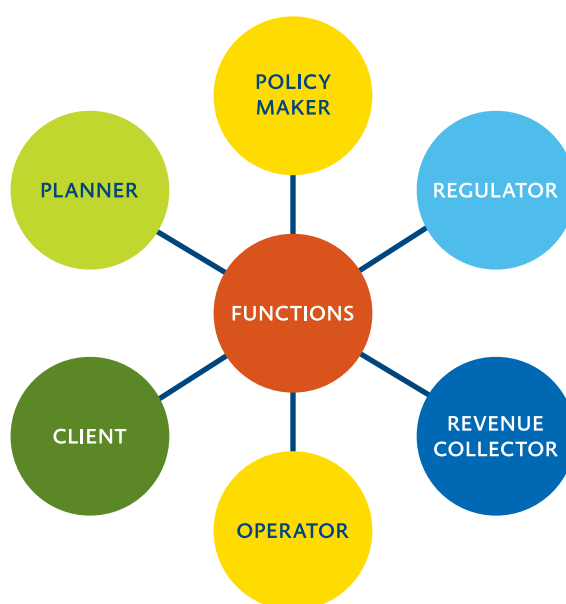
## INSTITUTIONAL SYSTEMS AROUND THE WORLD

### Institutional Theory - the six functions in resources and waste management.

The World Bank's Strategic Planning Guide (SPG) for Municipal Solid Waste Management<sup>2</sup> is one of the source-books where this complexity has been presented and described, and a theoretical framework offered to help understand and compare different waste management systems.

The SPG presented the following six (simplified) 'institutional functions' inherent in a waste management system.

Figure 1: The Six Institutional Functions



Recognition, strengthening and (where appropriate) separation of these functions is one of the most important precursors to improving waste governance. For example:

- Where the policy function is not well identified or developed, the sector tends to drift without direction or purpose, rolling from crisis to crisis.
- Where the regulator function is not well developed, the tendency is for the standards of service and environmental protection to stabilise at the level of the lowest common denominator.

<sup>2</sup>Wilson D.C, Whiteman A and Tormin A. Strategic Planning Guide for Municipal Solid Waste Management. The World Bank, 2001. The SPG can be accessed online through [www.wasteaware.org](http://www.wasteaware.org).

- Where the planner function is not well developed, there's coordinated action to meet future needs, organise investments and put infrastructure/services in place to cope with demand.
- Where the client function is not well developed, there is no one to oversee the performance of day-to-day services, ie to make sure we are getting what we are paying for.
- Where the revenue collector function is not well developed, the system gravitates towards under investment and sometimes threatens bankruptcy of public institutions.
- Where the operator function is not well developed, there is poor quality or sometimes even no organised services, and a lot of mess on the streets, drains, mountains, rivers and beaches to show for it.

**Table 1: Description of the Six Institutional Functions**

### Policy maker

Policy can be defined as a plan or course of action intended to influence and determine decisions, actions, and other matters. Policy shapes the legal, institutional framework, the financial framework, the planning framework and the market for delivery of services. In the resource and waste management sphere, there are many options, and the role of the policy maker is to establish goals, set legislation, and shape the economic climate for the sector. Typically, part of the policy function is to ensure the balanced development of infrastructure and services across all territorial areas of a country, and to put in place mechanisms to deliver good practice, including financing and other economic instruments and incentives.

### Regulator

The regulator controls or directs according to rule, principle, or law. In the resource and waste management sector there are two-three main roles, financial, technical and environmental regulation. The financial regulator allocates municipal revenue and audits expenditures. The technical regulator approves technology selection and design standards. The environmental regulator determines and issue permits and licenses, and to follow-up and enforce the provisions contained within them. The environmental regulator is responsible for issuing penalties and fines, and for prosecuting malpractice.

## Planner

Planning can be defined as the process of setting goals, developing strategies, and outlining tasks and schedules to accomplish these goals. It is a multi-level process in which there is a diversity of stakeholder groups involved. In the resource and waste management sector, it is important to secure the participation of different interest groups in the formulation of the overall goals and specific investments and measures.

## Client (or employer)

The Client (or employer) 'ensures' that services are delivered to the required standard, coverage and environmental performance. This does not mean that they actually provide the services – rather that they make sure that the services are properly provided (by the operator, see below). The Client sets the performance standards, supervises performance and manages contracts (where they exist). This function becomes more prominent once services have been contracted-out. However, the Client function can also exist in public-run services, although less explicitly. There may be different Clients for different materials streams, and different links in the waste management service chain.

## Operator

The operator is responsible for the day-to-day delivery of services. These may include street sweeping, collection, transfer, treatment and disposal of waste, and extraction of resources throughout the waste management chain. There are many different types of operator, including municipal departments, private sector (international/national), NGO/CBO, and informal. Operators exist regardless of whether their contribution is formalised into a service contract.

## Revenue collector

The role of the revenue collector is to ensure that sufficient money is collected from customers and Government transfers or borrowing to support the desired level of activity and performance of the resource and waste management sector. Revenue from customers rarely covers the full costs of resource/waste management, however, in some places it does. The need to bridge the financing gap creates a close (and sensitive) inter-dependency between the revenue collector and financial policy maker functions.



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## The Missing 7th Function

When you look at places where the resources and waste management sector has developed rapidly (or profoundly) in a short period of time, for example:

- Where a rapid increase in the level of investment in waste management infrastructure and services has been attracted and sustained; or
- Where there has been a major increase in the collection and sanitary disposal service coverage; or
- Where there has been a dramatic increase in the level of reduction, recycling and reuse.

And look for the reasons behind this, an important lesson emerges.

Where a step change in practices has been experienced, there is often a leading person, movement or organisation that has been a driving force behind this development, or a key event that has galvanised different stakeholders toward the same course of action.

In some places this is a charismatic Mayor, talented at getting the best out of their team; in others it is a well organised non-government or community group capable of getting the attention of high level officials; and in others it is an institution, organisation or facilitator which has driven the change.

Reflecting back to the 'institutional functions', there appears to be a missing function which does not fully capture this reality. In this Policy Paper we refer to this missing 7<sup>th</sup> Function as the **Change Agent**. Or in other words, the institutions, people and their networks capable and responsible for making change happen.

Change agents can come in many different forms, as government departments/agencies, NGO's and limited companies. Here's one example of each of these:

- **Government agency change agents: ANGED Tunisia.**

ANGED (which in English stands for the National Waste Management Agency), is institutionally located under the Tunisian Ministry of Environment. It works to develop implement policy, strategy and infrastructure, but is institutionally separate from the environmental regulator (the ANPE).

- **Not for profit change agents: WRAP UK.**

The Waste and Resources Action Program was set up in 2000 as an independent not for profit company. Its aim is to 'to create the case for change, support change and deliver change' in waste and resources management across the UK. It runs a wide range of programs to help businesses and individuals reap the benefits of reducing waste, develop sustainable products and use resources in an efficient way.

- **Limited Company change agents: WasteServ Malta.**

WasteServ Malta Ltd was established in November 2002. Wholly owned by Government WasteServ, the company is responsible for organizing, managing and operating (as an 'operator of last resort') integrated systems for waste management.

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## Zero Waste South Australia

Zero Waste SA is an excellent example of a resource and waste management 'Change Agent'. Established as a public authority under the South Australia Zero Waste Act 2004 the functions of Zero Waste SA are:

- To develop, coordinate and contribute to the implementation of government policy;
- To develop, adopt and administer the waste strategy for the state;
- To monitor and assess the adequacy of the waste strategy and its implementation;
- To provide assistance to local councils with arrangements for regional waste management;
- To contribute to the development of waste management infrastructure, technologies and systems;
- To commission, support and collaborate on research into waste management practices and issues;
- To advise the Minister from time to time about the amount to be charged by way of the (landfill) levy;
- To advise the Minister about any matter referred to it;
- Such other functions as may be conferred.

Zero Waste SA is staffed by 19 resource and waste management professionals, from a broad range of backgrounds, and is financed through an innovative mechanism whereby 50% of the landfill levy receipts of the state are legislated to be made available to Zero Waste SA for its programs. They have been extremely effective in driving a step change improvement to the levels of reduction, reuse, recycling and recovery, as well as in harmonising the standards of waste management service across the territory of South Australia.

The Board, 6-10 representatives appointed by the State Governor, is comprised of selected relevant government institutions (including the Chief Executive of Zero Waste SA), as well as non government representatives who have a 'practical knowledge of, and experience of environmental sustainability, conservation and protection, local government, waste management industry or waste-related infrastructure development, regional affairs, economic, financial and risk management; and advocacy on environmental matters on behalf of the community.

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## CORE POLICY ISSUES

### Introduction

This section distils the policy actions that will help strengthen or set-up the institutional framework for resources and waste management.

We have divided the section into the following nine areas:

1. Strengthening the policy framework.
2. Defining the legal framework.
3. Separating the policy and regulatory functions.
4. Introducing a change agent.
5. Defining the role of local authorities.
6. Encouraging regional cooperation.
7. Separating the client and operator functions.
8. Demonstrating institutional capacity.
9. Behavioural change, communication and education.

The sections below only present a short summary of the issues under each of these headings. If you need more information or help on any of these topics, please do get in touch by registering through our website [www.wasteaware.org](http://www.wasteaware.org).

### Strengthening the policy framework

#### Objective:

To establish and communicate the policy direction, and support implementation of priority measures with consistent guidance, professional management, and sufficient investment.

#### Key issues and actions:

- Establish a core policy making team, staffed and/or advised by professionals in the sector.
  - Consult widely with the whole range of stakeholders, in order to develop the strategic agenda to gather support and momentum.
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- Maintain openness and fairness between stakeholders, balance representation from different stakeholder groups.
  - Study regional and international developments, look for innovations which are appropriate for implementation in your country.
  - Prepare a financing plan, secure and allocate sufficient budget and investment to kick-start programs which implement policy priorities.
  - Decide upon which organisation will take the lead as the 'change agent' responsible for supporting and monitoring the implementation of policy and/or strategy.
  - Communicate through various media.

**Core Action:**

Strengthen the policy function by forming a policy team which is staffed and advised by professionals in the sector.

## The Northern Ireland Waste Management Strategy

In the late 1990's Northern Ireland was emerging from years of sectarian conflict. A great deal of effort was being made by the institutions of government to bridge divides, open up opportunities, and put the economy on the right track.

The Department of Environment (NI) embarked on a fully inclusive stakeholder-driven waste management strategy process. Over a period of 4-years Northern Ireland's first waste management strategy was drafted up, debated and unanimously approved by a multi-stakeholder Advisory Group, and then launched in parallel with a hard-hitting television advert.

The Strategy sparked a period of rapid change. Local authorities from different parties started to work together towards a common goal, investment flowed in, and over a period of 2-3 years recycling rates rose from a very low baseline to levels higher than most parts of the UK and Ireland.

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## Defining the legal framework

### Objective:

To prepare and enact legislation which clearly establishes the framework principles and rules for the development of the resources and waste management sector.

### Key issues and actions:

- Translate the package of policy measures into law, in order to underpin and support the development of the sector.
- Establish principles, objectives and/or targets, as well as the means through which they will be implemented, monitored and enforced.
- Establish the institutional roles and responsibilities within different levels of government.
- Ensure options exist for flexibility in arrangements at the local level, to be implemented according to the will and circumstances of the regional and local authorities.
- Enable regional and local authorities to work together, inter-municipal cooperation is essential.
- It is important to establish a legal requirement for local (including regional) authorities to prepare waste management plans. If it is not made a legal obligation, planning tends to be ineffective, done too late, reactive to a crisis situation, or not done at all.
- Carefully consider institutional arrangements for different parts of the resource/waste management chain.
- Find the right balance between legislation and economic instruments for all the different material streams. Local authorities, industries, businesses, community organisations and citizens respond very well to incentives!

### Core Action:

Establish and update framework legislation to drive forward the next developmental stage of your resources and waste management sector.

## The European Waste Framework Directive

Across the European Union, development of the resources and waste management sector has been driven by the need to implement European Directives. There are many Directives in place dealing with different aspects and waste streams, but key principles were originally established in the 'Waste Framework Directive'.

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The first Waste Framework Directive (75/442/EEC) was published in 1975, and established requirements for member states to:

- Take the necessary measures to ensure that waste is recovered or disposed of without endangering human health and the environment.
- Prohibit abandonment, dumping or uncontrolled disposal of waste.
- Establish integrated and adequate network of waste disposal facilities.
- Designate competent authority(ies) for implementation of the Directive.
- Draw up national waste management plans.
- Impose requirements on holders of waste.
- Impose requirement for permitting of waste management operators, who must retain and make data available.
- Implement the polluter pays principle.
- Introduce waste categories.

The Framework Directive had a powerful affect in shaping waste management systems across the EU. It has been strengthened and adapted over a 35 year period.

## Separating the policy and regulatory functions

### Objective:

To clarify roles and reduce the potential for conflict of interest between the implementation of policy/strategy and the enforcement of law/prosecution of offenders.

### Key issues and actions:

- The goal of the policy maker is to support development of the sector, and in order to do this it is common to provide support in the form of “carrots and sticks” that include incentives, investment and grant programs in addition to penalties for inappropriate actions. In the municipal sector, the policy maker has a direct influence on the allocation of finances to municipalities for infrastructure and services, and therefore on the ability of that region or local authority to develop their resource/waste management sector and essentially comply with the law.

- The goal of the regulator is, without prejudice, to enforce legal and regulatory requirements, and in cases where there is a demonstrated breach of these requirements, to bring cases to court and prosecute offenders.
- The policy maker and regulator therefore have the potential to be in conflict with each other. In many countries, the regulator is nevertheless often also an advisor of the policy maker. For this and other reasons, many countries have separated these functions, although whether and how this separation is done needs to be very carefully considered.
- Many countries are in a situation where institutions with responsibility for policy and/or regulation of the resource/waste management sector are not well developed. It is unusual for new institutions to be created from scratch. Often, the professional capacity of a policy or regulatory unit is incubated within one institution, and then later on when the unit has matured it is split-off into a separate agency.
- Creation of new Government agencies always requires legislation which in many countries takes a lot of time to put in place. A lot can be done with executive order and professional management to develop the capacity of existing institutions, eg. Through proper resourcing, institutional re-organisation, partnerships and capacity building/ training.
- Before separating the functions of policy and regulation, you need each of these functions to be reasonably well developed. If you are in an early stage of development, consider strengthening the functions within existing institutions and then separating these functions.
- The pace of change depends on the political priority of the resources and waste management sector, the vision and commitment of leaders, and the level of support which is provided from the national administration and budget to support meaningful development of institutional capacity.

#### **Core Action:**

Establish the institutional structures, capacity and performance at the national level, paying close attention to developing the policy and regulatory functions.

### **Agence Nationale de Gestion des Déchets, Tunisia**

Prior to 2005, the national agency for environmental protection (ANPE) in Tunisia contained a department which was becoming increasingly involved in the coordination and provision of waste management infrastructure and services, and in the implementation of producer responsibility legislation. The national waste management program (PRONAGDES) was establishing a national network of waste recycling, treatment and disposal facilities, heavily supported by international financing institutions.

Considering the potential conflict of interest between the regulatory and project implementation functions within ANPE, it was decided in 2005 to create a new government agency called ANGED as a 'public establishment with non-administrative character'. Amongst the principal tasks of ANGED is the implementation of a national program for waste management (PRONGID).

ANGED is the 'Change Agent' in the resource and waste management sector in Tunisia, which has catalysed the rapid development of the sector. ANGED is staffed by more than 100 professionals, and holds the responsibility for:

- Overseeing and monitoring construction and exploitation of regional landfills, including the network of transfer stations.
- Closure and rehabilitation of uncontrolled dumpsites.
- Construction and exploitation of hazardous waste management centre, including all of the necessary transfer stations to connect the industrial areas across the country.
- Conception and management of centres for collection of recyclables.
- Public awareness campaigns for industry and citizens to reduce and valorise waste.

## Introducing a change-agent

### Objective:

To put in place a development-focused organisation that works to achieve the policy/strategy goals which have been set for the resources and waste management sector.

### Key issues and actions:

- The Change Agent organisation can take many different forms: eg Government department, agency, NGO or company. The main criterion is to ensure that whatever the articles of association, the organisation works in the public interest and is sufficiently empowered and resourced to do their job.
- The job of the Change Agent is to professionally assist the development of the resources and waste management sector, by helping central government, local authorities, industry, research centres and civil society organisations.
- Any organisation is only as good as the people in it! The Change Agent needs to be staffed with professionals from a range of different backgrounds. The head should be a leading figure from the resources and waste management sector in the country.



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- Funding research and development drives innovation and brings new professionals into the sector.
  - Consider the level of statutory powers that the Change Agent organisation needs to be given in order to fulfill their tasks. Procurement of infrastructure and services is one of the areas where a Change Agent can have an important role, either in a guiding or executive role.

**Core Action:**

Determine the most appropriate entity responsible for driving forward change, establish this organisation, and provide it with the necessary powers and resources to do their job. Include renewal mechanisms in the design of the organisation.

## Renewal

Institutions are created to achieve goals decided by political leaders. In the years following their creation, the institution will work hard and in many cases cause a step-change in activity.

After working on the same issues over extended periods of time, however, the performance of the institution can stagnate. This is partly due to the fact that in many public institutions personnel turnover is limited, and ways of thinking – once established – can be slow to change.

Whilst the sector changes over a period of time, often, the frame of reference of the institution does not change unless the mandate of the institution is renewed.

The strategic design of the change agent needs to include mechanisms for self-renewal. This can mean changing board members, executive and management staff, objectives and methods of achieving them.

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## Waste & Resources Action Programme, UK

The UK was for a long time known as the 'dirty man of Europe'. When other European countries were moving ahead with their policies to combat dependency on landfill, the UK was lagging well behind. Against the threat of large fines for non-compliance with EU Directives, the UK was forced to get its house in order, and began to put in place more ambitious policies.

One of the outcomes of this process was the establishment of the Waste & Resources Action Programme (WRAP). WRAP was charged with the task of placing 'resource management' on the agenda of businesses, local authorities, agriculture and horticulture, construction, recycling industry, retail supply chain and individuals.

WRAP's key aim is

**'to create the case for change, support change and deliver change'.**

Perhaps reflecting a cultural sensitivity to not establishing additional Government bureaucracy, WRAP was set up as an independent not-for-profit company. WRAP has been, however, backed by significant government funding from England, Scotland, Wales and Northern Ireland.

## Defining the role of local authorities

### Objective:

To determine the most appropriate level at which the delivery of resource/waste management services should be administered and overseen.

### Key issues and actions:

- Generally it is preferable for street sweeping and waste collection services to be overseen and administered by public authorities which work as close as possible to the citizens.
- Waste treatment and disposal services, however, often demand more of a regional or inter-municipal approach and are often better placed under the administrative control of regional authorities, where they exist.
- Wherever responsibility for administration, monitoring and control of services is placed, the responsible authorities need sufficient powers, financial and human resources to do their job.
- In cases where municipal (or district or city) authorities are responsible for waste collection services, and regional authorities are responsible for waste treatment and disposal services, arrangements may need to be made for the transfer of revenue collected from the local to the regional level.

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- The quality of local services experienced by citizens is influenced by the extent and quality of decentralisation of powers to local authorities, and the organisational structures and professional competence of the local authority itself.
  - Many local authorities around the world are constrained by lack of ability to retain the revenues collected in local taxes (ie. they have to pass the revenues collected up to national Ministries). This reduces the incentive on the local authority to improve their revenue collection practices.
  - Other local authorities choose not to raise their local taxes to sufficient levels or fully exploit their revenue collection powers in order not to be seen to be imposing taxes on the local population.
  - Regardless of the framework conditions, a lot can be achieved through the leadership of Mayors and Governors, and delegation of day-to-day operational decision making to professional staff working within the local authority.

#### **Core Action:**

Decentralisation of responsibility to oversee and monitor waste management services has to be supported by institutional arrangements, professional capacity, and financial and administrative autonomy/accountability of the local authorities.

## **Diversity in Local Government**

Local government refers collectively to administrative authorities over areas that are smaller than a state. The term is used to contrast with offices at nation-state level, which are referred to as the central government, national government, or (where appropriate) federal government. "Local government" only acts within powers delegated to it by legislation or directives of the higher level of government and each country has some kind of local government which will differ from those of other countries.

In modern nations, local governments usually have some of the same kind of powers as national governments do. They usually have some power to raise taxes, though these may be limited by central legislation. In some countries local government is partly or wholly funded by subventions from central government taxation. The question of Municipal Autonomy—which powers the local government has, or should have, and why—is a key question of public administration and governance.

[http://en.wikipedia.org/wiki/Local\\_government](http://en.wikipedia.org/wiki/Local_government)

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## Encouraging regional cooperation

### Objective:

To ensure that infrastructure and services are planned well, equitably financed and can be operated economically.

### Key issues and actions:

- At the end of the day, a significant proportion of the money required to support the resources and waste management sector will come from the public purse. The precise arrangements put in place for delivery of infrastructure and operation of services will significantly influence how much tax needs to be collected from citizens.
- Regional cooperation is necessary in most countries for securing sites and achieving economies of scale. For large cities, this means cooperating with neighbouring local authorities, for less populated urban agglomerations this can mean forming inter-municipal associations.
- There are two strategies for encouraging regional cooperation – either force it through legislation or allow it to evolve ‘organically’.
- The most difficult issue encountered in regional cooperation arrangements is how to share the financial burdens and benefits. Specifically, the issue of ‘who sets the tariff and how?’ is a critical issue which needs to be tackled when attempting to form any lasting partnership
- Municipalities are generally more interested in ensuring high standards of street sweeping and waste collection services, rather than waste treatment and disposal services. It may prove necessary to institutionally separate the planning and procurement of these services in order to ensure that both receive sufficient resources.

### Core Action:

Encourage regional cooperation through a balance of planning controls, preferential financing and legal obligations. Finding the right balance is one of the arts of the policy maker, and needs a well structured and managed consultation process.

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## Inter-Municipal Cooperation in Bulgaria

As part of the European Union accession agreements, Bulgaria was required to sign up to the European Waste Management Directives. With the help of generous grant financing, Bulgaria is making efforts to plan and put in place the network of waste treatment and disposal facilities, in a very short period of time.

Bulgaria is a highly decentralised country with many Municipalities, and very weak regional Government. Because of the strong 'policy push' infrastructure projects have been completed without properly addressing the regional institutional framework under which they will be operated.

Facilities have been designed to be shared by many municipalities. However, one of the critical issues has been who sets the tariff (or gate fee) for the landfill. This singular issue has created a lot of tension between neighbouring municipalities. In some cases dispute on this issue has led to infrastructure only being used by the 'host' municipality.

### The policy solution adopted was to

- a. Encourage the creation of inter-municipal associations by making them a pre-requisite before award of grant financing.
- b. In the articles forming these associations set out a transparent procedure for calculating costs, estimating future needs and setting tariffs.
- c. Establish a legal requirement for preparation of regional waste management plans.

Inter-municipal associations are difficult to establish and administer. However, they do provide a platform on which to develop the more technology intensive and costly resource and waste management systems.

## Separating the client and operator functions

### Objective:

To introduce a service performance specification so that the performance of operations can be adequately monitored.

### Key issues and actions:

- Separating the service monitoring (client) and service delivery (operator) functions enables the local authority to more effectively monitor the performance of services.

- This separation catalyses the introduction of service performance specifications. This happens in most cases when the delivery of services is corporatized or contracted-out to the private sector. However, there is no reason why this separation of functions should not also be done where the services are publicly run.
- The role of the client or clients' representative is to routinely check whether the day-to-day operations are being carried out in accordance with the required specifications. Specifically, whether the streets are being cleaned, whether waste is collected as the agreed frequency, and whether operational management standards are adhered to. Whether the taxpayer is getting what they are paying for?
- The level of service monitoring should be appropriate. The procedures for service monitoring should be established in the performance specification or contract. There is no use punishing a good contractor, or letting a poor performing contractor continue to work.
- Consider establishing contract monitoring units within the local authority, or contracting out the day-to-day monitoring activities to an independent organisation.

#### **Core Action:**

Strengthen the client function by introducing service performance specifications, and at the same time make sure that the service performance 'monitoring' activities are properly defined and resourced.

### **Contracting-out the contract monitoring in Zahle, Lebanon**

The local authority does not necessarily need to do the day-to-day service monitoring in-house, it can contract-out this activity.

A famous example of this is in Zahle, Lebanon. The contract monitoring activities are specified within a terms of reference, and contracted out to an independent agent.

The benefits of this approach is that the service performance monitoring function itself is properly specified, adequately staffed and resourced and the local authority retains flexibility to select a different monitorer in the event of unsatisfactory performance.

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## Demonstrating institutional capacity

### Objective:

To ensure professional competence of the institutions overseeing and monitoring the resources and waste management sector.

### Key issues and actions:

- Regardless of the structures put in place, the performance of the institutions responsible for overseeing and monitoring the resources/waste management sector will only be as good as the people who work in them.
- The sector attracts people from a very wide range of professional backgrounds. It is not just an engineering discipline, it requires people with legal, technical, scientific, economic, logistical, organisational, marketing, diplomatic and communication skills.
- Resources and waste management is a dynamic and innovative sector, with a very strong development potential. Whilst in many places the sector is underdeveloped, underestimated and undervalued, in others it is highly organised, capitalised, competitive and profitable. Resources and waste management is an important industrial sector, and the growth and sustainability of this industry is very much dependent on the institutional structures governing it.
- Institutions face an uphill struggle to gain public trust. Whilst doing a good job for the resource and waste management sector can be a rather thankless task, and visible changes can be slow to achieve, there is a lot of important work to be done. Positive changes (developments) should be professionally communicated and publicized. If the reality is that development is really happening, then attitudes can begin to change.

### Core Action:

Invest in the professional capacity of your institutions at all levels of government, in order to ensure protection of the environment, public health and provide a stable framework for the resources and waste management industry. Put in place a team of professionals which can be trusted to take on board more decision taking responsibility.

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## People don't trust Government

Decisions that affect lives are commonly seen as being taken as a result of the opinions (or whims) of politicians and high officials that lead privileged lives. Bad decisions fuel the perception of government being incompetent, inefficient and/or corrupt.

An important part of waste governance is to improve transparency, and this needs commitment to sharing/publishing information, clear procurement procedures, and active communications.

Also a team of professionals which can be trusted to take on board more decision taking responsibility. As far as possible, try to professionalise the decision making processes for the resources and waste management sector.

## Behavioural change, communication and education

### Objective:

To ensure that the public adopt new approaches to waste management willingly and comply with requirements of usage to ensure logistical and cost efficiencies.

### Key issues and actions:

- Waste is a fundamental part of everyday life for everyone. It's ubiquity means that it can become 'invisible' in terms of its overall impact and the role (or civic duty) of the individual upon its management.
- People will only adapt to new requirements if they are aware of the reasons, the ramification of non-compliance and given the means to change (both cognitive and physical).
- Behavioural change needs to identify the motivations and habit drivers that need to be understood and accessed in order to bring about a positive shift in actions.
- A common mistake is to view behavioural change as simply raising awareness. It is a strategic tool, not a tactical one; an essential element in the overall planning process that needs to be deployed at the earliest stage possible.
- Behavioural change strategy drives tactical delivery (advertising, public outreach engagement, etc). This requires appropriate budget allocation that is correlated to the extent of the change required. The more complex the systems that people are required to use, the greater the extent of tactical communication required and thus cost.

### Core Action:

Recognize the need for public acceptance, which is driven by strategic behavioral change planning and manifested through integrated tactical communications.



## Change-Agent Driven Behavioural Change WRAP: Recycle Now

In 2003/04 WRAP undertook extensive national research to assess the public's disposition towards change in waste management services and the introduction of widespread recycling.

Part of the outcome of this work was the development of the national "Recycle Now" campaign that incorporated national media advertising.

In addition, WRAP created the Recycle Now Partner's support programme which made available to local authorities, various communication tools for local adaptation and deployment, as well as providing funding and training for communications. This ensured brand and message consistency at a local level as well as reducing the cost burden placed upon local authorities.

Recognition of the role communications plays in behavioural change has been instrumental in the UK achieving close to a 40% diversion rate (from 3%) over less than 6 years.

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## SUMMARY FOR DECISION TAKERS

### Here's a brief summary of the key actions identified in this Policy Paper:

- Strengthen the policy function by forming a policy team which is staffed and advised by professionals in the sector.
  - Establish and update framework legislation to drive forward the next developmental stage of your resource/waste management sector.
  - Establish the institutional structures, capacity and performance at the national level, paying close attention to developing the policy and regulatory functions.
  - Determine the most appropriate entity responsible for driving forward change, establish this organisation, and provide it with the necessary powers and resources to do their job. Include renewal mechanisms in the design of the organisation.
  - Decentralisation of responsibility to oversee and monitor waste management services has to be supported by institutional arrangements, professional capacity, and financial and administrative autonomy/accountability of the local authorities.
  - Encourage regional cooperation through a balance of planning controls, preferential financing and legal obligations. Finding the right balance is one of the arts of the policy maker, and needs a well structured and managed consultation process.
  - Strengthen the client function by introducing service performance specifications, and at the same time make sure that the service performance monitoring activities are properly defined and resourced.
  - Invest in the professional capacity of your institutions at all levels of government, in order to ensure protection of the environment, public health and provide a stable framework for the resources and waste management industry. Put in place a team of professionals which can be trusted to take on board more decision taking responsibility.
  - Recognize the need for public acceptance, driven by strategic behavioural change planning and manifested through integrated tactical communications.
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