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## **Participatory Strategic Planning of Solid Waste Management in the Republic of Moldova**

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Photos Left: Unauthorized dumpsite close to Soldanesti  
town  
Top right: Rayon Council of Floresti  
Bottom right: Group work of mayors during a  
workshop on the solid waste management situa-  
tion in the district Soldanesti.  
Centre: Strategic planning cycle  
(all made by team)

## Foreword

For 50 years, the Centre for Rural Development (SLE – Seminar für Ländliche Entwicklung), Humboldt Universität zu Berlin, trains young professionals for the field of German and international development cooperation.

Three-month practical projects conducted on behalf of German and international organisations in development cooperation form an integral part of the one-year post-graduate course. In interdisciplinary teams and under the guidance of an experienced team leader, young professionals carry out assignments on innovative future-oriented topics, providing consultant support to the commissioning organisations. Involving a diverse range of actors in the process is of great importance here, i.e. surveys from household level to decision makers and experts at national level. The outputs of this “applied research” directly contribute to solving specific development problems.

The studies are mostly linked to rural development (incl. management of natural resources, climate change, food security or agriculture), the cooperation with fragile or least developed countries (incl. disaster prevention, peace building, relief) or the development of methods (evaluation, impact analysis, participatory planning, process consulting and support).

Since 1972, SLE has carried out 147 projects with the current focus and regularly publishes the results in this series.

In 2012, SLE teams have completed studies in the Democratic Republic of the Congo and South Sudan, in Liberia and in the Republic of Moldova.

The present study was commissioned by the project “Modernization of Local Public Services in the Republic of Moldova” of the German Agency for International Cooperation (GIZ).

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# Executive Summary

## Study Context

Since the Republic of Moldova gained independence in 1991, it has passed through an ongoing transformation process turning itself from a Soviet Republic into a sovereign and democratic country. As the Eastern communist systems were marked by highly centralized governance, the handover of decision-making authority from the national to sub-national level has since played an important role on the Moldovan political agenda. Since 2006, **decentralization** policy in Moldova is determined in the *Law on Administrative Decentralization*. Whilst decentralization has advanced remarkably on the formal legal level, the effects on the local level are still quite moderate. An indicator of this is the weak and inefficient provision of local public services (LPS), such as water supply and sanitation, energy efficiency and waste management, to the population. The Ministry of Regional Development and Construction (MRDC), which was established in 2009, is responsible for this sector policy implementation on the regional level. The subordinated regional development agencies (RDA) are charged with using national policies to plan for their respective three regional development regions, South, Center and North.

In 2010, the *Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)* implemented the project Modernization of Local Public Services (MLPS) in Moldova. GIZ started a **pilot project in the solid waste management (SWM) sector** in cooperation with the Ministry of Environment (MoE) and the Ministry of Regional Development and Construction (MRDC). Their objective is to establish an inter-municipal waste management area in the three neighboring rayons (districts) of Soldanesti, Floresti and Rezina. As in most rural areas of the country, waste management in these pilot rayons is thus far poorly developed: The majority of the approximately 100 communities and their 185,000 inhabitants is not covered by such service. The project launched three processes fostering inter-municipal cooperation (IMC), investing in infrastructure (e.g. for an already planned sanitary landfill) and developing strategic plans to provide a basis for developing a SWM system in the commonly managed area.

GIZ-MLPS commissioned the Center for Rural Development (SLE) to support the district administrations in developing the solid waste management chapter of the socioeconomic development strategies (SEDS) of the three rayons in a participatory, up to now novel, way. SEDS are a planning tool for the local level that enables local authorities to create and implement strategies for their own aspired development according to local needs and opportunities, and to access national funds. In addition,

SEDS have to be aligned with national-sector policy recommendations, thus ensuring the harmonization of strategies between the national and local levels.

The present study reflects the conceptual and methodological background of the three-month assignment. It describes the approach chosen by the SLE team, summarizes the principal findings and discusses the achievements. Furthermore, recommendations are given to the commissioner and the principal cooperation partners.

### **Scope of the Study**

This report provides an example of how participatory strategic planning can be practiced on the local level in the Republic of Moldova (RoM) and can contribute to modernizing local public services within the framework of decentralization.

The SLE team, in close cooperation with the regional development agencies (RDA), aimed at supporting district administrations in developing sector-specific strategic plans on solid waste management to be included as separate chapters in each of the rayon's socioeconomic development strategies. New perspectives of how to solve common challenges on SWM in the three pilot rayons should be developed jointly in a participatory way. The SLE team acted as a process facilitator enabling the involved stakeholders to communicate across political and administrative borders. In addition to initiating the process of developing content for the SWM strategy, capacity development measures with local and regional partners in the fields of participatory strategic planning and workshop design was an important component of the project. Such measures should support the partners in their efforts to replicate the planning process autonomously.

The cooperation mainly took place in common spaces of interaction during workshops and was based on multi-stakeholder dialogue.

### **Methodology and Description of the Approach**

The strategic planning cycle provided a framework for the SLE team's approach. This cycle contains a sequence of logical steps that guide the user through the strategy development process and is framed by four leading questions:

- (1) Where are we now? (i.e. understanding the present situation of the specific sector and the current responsibilities, problems and needs of stakeholders)
- (2) Where do we want to go? (i.e. defining a long-term vision and medium-term objectives)
- (3) How do we want to go there? (i.e. assessing the measures to achieve the objectives)
- (4) How do we implement the activities? (i.e. developing an action plan that clearly indicates responsible actors and the corresponding time frame)



The SLE team chose methods and instruments to support the development of content of the specific SEDS chapter taking into consideration the leading questions and to strengthen participatory strategic planning, including:

- **Stakeholder dialogue** as a methodological framework to realize participation of all relevant stakeholder groups,
- Selected **planning instruments** to deliver and monitor outputs for the relevant steps of strategic planning (e.g. problems and needs analysis, a service system matrix for clarification of roles and responsibilities),
- **Capacity development** activities, such as moderation trainings and trainings on the job, throughout the SLE assignment to guarantee the replicability and further development of the approach for participatory strategic planning, and
- A rapid appraisal of the present situation of SWM in the three pilot rayons by using **questionnaires** distributed to the mayors and **semi-structured expert interviews** with relevant stakeholders (i.e. local administration on the community level [LPA1] and rayonal level [LPA2], deconcentrated state entities, NGOs, service providers, private sector and institutions on national level).

The SLE team decided a **series of workshops** would be the most appropriate format to serve both assignment goals: the participatory development of the SEDS chapter content according to the four leading questions as mentioned above and the strengthening of participatory strategic planning in the administrations. The workshops that were carried out within the SLE assignment and their main objectives can be summarized as follows:

- **Kickoff meeting** in each pilot rayon to inform about the approach and to distribute questionnaires.
- **First rayonal workshop** to share information between LPA1 and LPA2 in each rayon and to identify problems, needs and opportunities in the SWM sector.
- **Second rayonal workshop** with representatives of LPA1 and LPA2 in each rayon to discuss aspects of a vision for this sector, to develop SWM-specific objectives and measures and to identify key actors in the SWM sector.
- **Inter-rayonal workshop** with representatives of the central government and from all three pilot rayons (i.e. LPA1, LPA2, deconcentrated entities, NGOs, service providers and waste generators). The so-called service system matrix served as an instrument to discuss roles and responsibilities of each actor and was a first step to develop an action plan for a future waste service system.

It is worth mentioning that all workshops were jointly prepared, moderated and carried out with the regional partner RDAs from the development regions Center and North.

## Results

### 1) SWM-specific Results

The situation in the SWM sector is similar in the three pilot rayons. It is characterized by existing but underdeveloped SWM services in towns and bigger villages. The majority of small communities lack a SWM service at all. Furthermore, public administrations lack financial resources and professional, experienced staff. Technical know-how in the form of engineers or waste experts is scarce and has to be requested from outside.

During the assignment, participants developed preliminary central components of the future SEDS chapter on SWM, like a vision, objectives and measures, in each rayon. Representatives of the three rayons moreover agreed on a preliminary common vision concerning SWM. These agreements still have to be approved by technical experts on SWM and at the very end of the strategy development by the respective rayon councils.

The SLE team formulated five key objectives out of the most pressing needs, which were broadly identical in each pilot rayon, as follows:

**Table: Five key objectives for the SLE assignment derived from common SWM constraints of the three pilot rayons**

<b>SWM constraint</b>	<b>Corresponding objective</b>
Existing <b>SWM services</b> in towns and bigger villages <b>are underdeveloped</b> ; small villages have no service at all.	<b>Objective 1:</b> A sustainable <b>service system</b> for integrated solid waste management <b>is developed</b> and launched.
<b>Authorized landfills are lacking.</b> Existing landfills are in bad condition and not controlled.	<b>Objective 2:</b> <b>Waste is disposed in a controlled way</b> by using the best available technology and not entailing excessive costs.
<b>Poor people cannot afford waste services.</b>	<b>Objective 3:</b> The <b>SWM service system can be financed</b> in the long and short term by users' fees and other sources.
<b>The ecological awareness of the population is low.</b>	<b>Objective 4:</b> <b>Awareness of all waste producers</b> (households, farmers, enterprises, industry) and public institutions for the new or enhanced solid waste service system has increased.
<b>Waste is not recycled.</b>	<b>Objective 5:</b> <b>Waste</b> is to be prevented, minimized, <b>reused or recovered</b> whenever possible.

For each objective, several required measures have been developed by the participants. In a following step, representatives from local administrations, deconcentrated state entities, waste service providers, nongovernmental organizations and private companies made a preliminary clarification of possible roles and responsibilities related to the previously developed measures. As a result, a foundation to create an

action plan for a future SWM strategy exists and needs to be completed by the partners.

## 2) Results Regarding Participatory Strategic Planning

Communication and cooperation between the local public institutions seems to be intermittent as their different levels of information and knowledge regarding waste and strategic planning has indicated. Thus, the common working experience during the assignment helped to improve communication and cooperation between LPA1, LPA2 and other stakeholders. The workshops have revealed a high cooperation potential among various stakeholders and their willingness to jointly establish an integrated waste service system.

## Recommendations

The SLE team has developed several sector-specific recommendations of what is necessary to improve the current solid waste management system. The general planning-specific recommendations outline how to strengthen participatory strategic planning of local public services.

### 1) In terms of SWM the SLE team recommends:

- The Ministry of Environment finalizes and approves the **National Strategy on Solid Waste Management** and an **updated law on household waste** as soon as possible so that local administrations can refer to reliable documents and legislation.
- Decision makers **consider already existing experiences in Moldova concerning SWM**. The SLE team identified potential in the private sector in addition to existing experience in developing and implementing a regional waste strategy. Decision makers should learn from and develop such experiences.
- Nongovernmental organizations - which possess capacities to increase the level of awareness among the population - should **carry out awareness raising activities** in cooperation with local governments (LPA1 and LPA2) in various ways, such as national cleaning days, information campaigns in schools or public exhibitions.

### 2) Concerning participatory strategic planning, the SLE team recommends:

- National authorities pass a **legislative framework on local strategic planning** to provide guidance on how to develop SEDS.
- LPA2 creates a **strategic planning department** in order to institutionalize the planning process.

- MRDC in cooperation with international organizations strengthens the role of the **regional development agencies** that bridge the gap between the national and local levels. In order to support the strategic planning process adequately, MRDC should increase the RDAs financial and human resources and carry out capacity development measures with their staff.

## Conclusions

Looking at the SLE assignments from a broader development perspective, three main topics have evolved throughout the study. The following conclusions are clustered accordingly.

### 1) Decentralization

The decentralization process in the RoM has brought a new dimension of local autonomy. The assignment has revealed various remaining shortcomings, such as unclear roles and responsibilities, absent strategies for local public services, and new unmet challenges coupled with the inexperience of the local administrations facing their new functions. The SLE team regards these shortcomings as manageable, as the overall commitment of partners on all tiers is extremely high. The decentralization process in the RoM is on a promising path, but still needs more time to develop. Thereby, finding the right level and cultural adaption of decentralization is important, as in particular small Moldovan communities do not have the capacities to implement all local public services (LPS) on their own. Therefore, a rearrangement of responsibilities (e.g. in the form of inter-municipal cooperation) should be considered.

### 2) Solid Waste Management

The SLE research has revealed that SWM is not considered as the main lacking LPS by the local population and the final treatment of waste is often done individually and inadequately. One reason for this is that negative impacts related to waste (e.g. the pollution of soil and groundwater) are not widely known. Therefore, large investments in new technologies that meet environmental standards will only be sustainable as long as the level of awareness improves. The SLE team highly recommends parallel awareness campaigns. Only if environmental and health benefits are clear to everyone and an incentive is given to stakeholders all involved parties will jointly tackle the many challenges ahead.

### 3) Participation

The participatory approach the SLE team has chosen was highly acknowledged by local partners, expressing their willingness to apply newly learned methods in future meetings and workshops. Moreover, participation has brought actors together, triggering new cooperation among those who might have previously been neglected in

planning activities, such as civil society and private companies. Furthermore, the approach has shown that different purposes need different levels of participation. Whereas informative participation about strategic planning and solid waste management was necessary throughout the whole process, the consultative participation was only required for key aspects, such as identifying local problems and needs of SWM. Finally, participation should not be overstretched, especially if certain sector-specific standards (e.g. technical requirements) can only be established by sector experts.



# Zusammenfassung

## Einführung

Seit die Republik Moldau im Jahre 1991 ihre Unabhängigkeit erlangte, durchlief das Land einen Transformationsprozess von einer Sowjetrepublik hin zu einem souveränen und demokratischen Staat. Wie in allen kommunistischen Ländern wurde auch die Bevölkerung Moldaus jahrzehntelang autoritär und zentralistisch regiert. Durch den Wandel der letzten Jahre wurden dezentrale Strukturen erweitert und die lokale politische Partizipation verstärkt. Ein Meilenstein in der jüngsten Dezentralisierungsgeschichte ist die Verabschiedung des Gesetzes zur Administrativen **Dezentralisierung** aus dem Jahre 2006. Greifbare Ergebnisse der Umsetzung auf lokaler Ebene blieben bisher jedoch recht bescheiden. Ein Indikator hierfür ist die derzeit noch sehr schwache und teilweise ineffiziente Bereitstellung von lokalen öffentlichen Dienstleistungen. Dies wird insbesondere in den Bereichen Wasser- und Sanitärversorgung sowie in der Abfallwirtschaft deutlich. Das 2009 gegründete Ministerium für Regionalentwicklung und Bauwesen (MRDC) ist verantwortlich, Sektorpolitiken auf regionaler Ebene umzusetzen. Dazu sind dem Ministerium die regionalen Entwicklungsagenturen (RDA) untergeordnet, die für Planungen in ihrer zugehörigen Entwicklungsregion (Süd, Zentrum oder Nord) unter Berücksichtigung nationaler Vorgaben zuständig sind.

Um die Dezentralisierungsbemühungen der moldauischen Regierung zu unterstützen, startete die deutsche Gesellschaft für Internationale Zusammenarbeit (**GIZ**) mit ihrem Vertragspartner MRDC ein Projekt zur Modernisierung öffentlicher Dienstleistungen (MLPS). Im Rahmen dieses Modernisierungsvorhabens wurde ein **Pilotprojekt** im Nordosten des Landes **im Bereich Abfallwirtschaft** ins Leben gerufen. Die GIZ kooperiert hierbei mit dem Umweltministerium (MoE) und dem Ministerium für Regionalentwicklung und Bauwesen (MRDC). Zum ersten Mal in der Dezentralisierungsgeschichte Moldaus soll ein interkommunales Entsorgungsgebiet in den drei benachbarten Rayons (ein Rayon ist vergleichbar mit einem Landkreis in Deutschland) Soldanesti, Floresti und Rezina aufgebaut werden. Wie in anderen ländlichen Regionen des Landes ist die Abfallwirtschaft im Projektgebiet ungenügend entwickelt: Die Mehrzahl der ungefähr 100 Gemeinden mit ihren 185.000 Einwohnern hat keinen Zugang zu einem funktionierenden Entsorgungssystem.

Das Pilotprojekt kann in drei parallel laufende Prozesse unterteilt werden. Neben der Förderung der interkommunalen Zusammenarbeit wird in die Planung und Bereitstellung von Infrastruktur investiert (z.B. die Konstruktion einer Mülldeponie nach internationalen Standards) und die Entwicklung von strategischen Plänen, die als Grundlage für ein gemeinsam verwaltetes Entsorgungssystem dienen sollen.

Das Seminar für Ländliche Entwicklung (SLE) wurde von der GIZ beauftragt, die drei Rayonverwaltungen bei der bisher nicht praktizierten partizipativen Erarbeitung von Abfallwirtschaftsstrategien zu unterstützen, die ein separates Kapitel in den Sozio-ökonomischen Entwicklungsstrategien (SEDS) bilden. Die SEDS der jeweiligen Rayone sollen lokale Probleme und Bedürfnisse berücksichtigen und den Zugang zu nationalen Fonds erleichtern. Bei der Erarbeitung von SEDS-Kapiteln sind die nationalen Prioritäten eines Sektors zu beachten, um eine Harmonisierung zwischen der lokalen und nationalen Strategie sicherzustellen.

Die vorliegende Auftragsstudie beschreibt den konzeptionellen sowie den methodischen SLE-Ansatz auf partizipative Weise eine Strategie zu entwickeln und reflektiert die zentralen Ergebnisse des dreimonatigen Projektes. Die Studie schließt mit den wichtigsten Empfehlungen für den Auftraggeber und dessen Kooperationspartnern.

### **Ziele der Studie**

Anhand dieses Berichtes soll beispielhaft gezeigt werden, wie eine strategische Planung in der Republik Moldau (RoM) auf lokaler Ebene partizipativ erarbeitet werden kann, um zu einer Modernisierung öffentlicher Dienstleistungen im Rahmen der Dezentralisierung beizutragen.

Das SLE-Team unterstützte die Rayons bei der Erstellung der SEDS-Kapitel in enger Zusammenarbeit mit den regionalen Entwicklungsagenturen (RDA). Hierbei agierte das SLE-Team als Prozessberater, um die Kommunikation aller wichtigen Akteure über politische Grenzen hinweg zu fördern. Neben der Entwicklung des SEDS-Kapitels für Abfallwirtschaft stand der Aufbau von Kapazitäten (capacity development) im Bereich strategischer Planung mit lokalen und regionalen Partnern sowie die Gestaltung von Planungsworkshops im Vordergrund. Die dabei angewandten Capacity-Development-Maßnahmen unterstützten die Partner zukünftige Planungsprozesse eigenständig durchführen zu können.

### **Methodik und Beschreibung des Ansatzes**

Der strategische Planungszyklus diente als Rahmen für den vom SLE-Team gewählten Ansatz zur partizipativen Erarbeitung einer Abfallwirtschaftsstrategie. Der Zyklus beschreibt anhand von vier Leitfragen den logischen Prozessablauf:

- (1) Wo stehen wir jetzt? (das heißt, die aktuelle Situation im Bereich Abfallwirtschaft und die Probleme und Bedürfnisse der Bevölkerung zu verstehen)
- (2) Wohin wollen wir hin? (das heißt, eine langfristige Vision zu formulieren und mittelfristiger Ziele festzulegen)
- (3) Wie können wir das erreichen? (das heißt, Maßnahmen zur Erreichung der Ziele und Visionen zu entwickeln und zu bewerten)



(4) Wie wollen wir die Strategie umsetzen? (das heißt, einen Aktionsplan zu entwickeln, in dem Verantwortungsbereiche und Zeitrahmen für die einzelnen Akteure festgelegt sind).

Bei der Auswahl der Methoden- und Planungsinstrumente zur partizipativen strategischen Planung bezog sich das SLE-Team auf diese vier Leitfragen. Folgende zentrale Methoden und Planungsinstrumente wurden gewählt:

- **Stakeholder-Dialog** als methodischer Rahmen, um die Partizipation aller relevanten Akteure zu gewährleisten.
- Ausgewählte **Planungsinstrumente**, um Ergebnisse der zukünftigen Abfallwirtschaftsstrategie zu formulieren und Erfolge der Planungsworkshops zu kontrollieren (Monitoring). Zum Beispiel wurden Problem- und Bedürfnisanalysen durchgeführt und eine Service System Matrix diente zur Klärung von Rollen und Verantwortlichkeiten der Akteure.
- **Capacity-Development-Maßnahmen** wie Moderationstraining und „Training on the job“, um den Partnern eine Wiederholung und Weiterentwicklung des SLE-Ansatzes zu ermöglichen.
- Eine erste Situationsanalyse (rapid appraisal), um die aktuelle Müllsituation in den drei Rayons mit Hilfe von **Fragebögen** und **semi-strukturierten Interviews** zu erfassen. Dabei wurden alle relevanten Akteure befragt: die Verwaltungen auf kommunaler Ebene (LPA1) und auf Rayon-Ebene (LPA2), dezentrierte staatlichen Einheiten, NGOs, Dienstleister, der Privatsektor und Institutionen auf nationaler Ebene.

Das SLE-Team entwickelte eine **Workshopreihe**, um die beiden zentralen Auftragsziele zu erreichen: die partizipative Ausarbeitung des SEDS-Kapitels zur Abfallwirtschaft und die Stärkung der strategischen Planungskapazitäten in den Verwaltungen.

Die Workshops hatten folgende Inhalte:

- **Kickoff Meetings** in jedem einzelnen Rayon dienten dazu, über das SLE-Vorhaben zu informieren und Fragebögen zu verteilen.
- **Erste rayonale Workshops** wurden genutzt, um Informationen zwischen LPA1 und LPA2 in dem jeweiligen Rayon auszutauschen und um Probleme, Bedürfnisse und Möglichkeiten im Bereich Abfallwirtschaft zu identifizieren.
- **In zweiten rayonalen Workshops** tauschten sich Vertreter von LPA1 und LPA2 aus, um eine gemeinsame Vision im Abfallwirtschaftssektor zu finden, spezifische Maßnahmen zu entwickeln und die relevanten Akteure dafür zu identifizieren.
- **Der Inter-rayonale Workshop** brachte Vertreter der zentralen Regierung sowie alle relevanten Akteure der drei Rayons an einen Tisch (LPA1, LPA2, dezentrierte Einheiten, NGOs, Dienstleister und Abfallerzeuger). Eine Ser-

vice System Matrix diene dabei als Instrument, um Rollen und Verantwortungsbereiche jedes Akteurs zu klären und erste Schritte eines Aktionsplans für ein zukünftiges Abfallwirtschaftssystem zu entwickeln.

Alle Workshops wurden gemeinsam mit den regionalen Partnern (RDA Nord und Zentrum) vorbereitet, moderiert und durchgeführt.

## Ergebnisse

### 1) Ergebnisse zur Abfallwirtschaft

Die Situation der Abfallwirtschaft ist in allen drei Rayons sehr ähnlich. So existieren erste Dienstleistungen in diesem Sektor in den Verwaltungszentren der Rayons und in einigen größeren Dörfern. Dieser Service ist jedoch unzureichend entwickelt und stellt eher die Ausnahme dar. Der Großteil der ländlichen Gemeinden verfügt über kein öffentliches Müllmanagement. Haushaltsmüll wird von der Bevölkerung in der Regel verbrannt oder außerhalb der Ortschaften entsorgt. Den öffentlichen Verwaltungen fehlen sowohl ausreichend finanzielle Mittel als auch professionelle und erfahrene Mitarbeiter, um die dafür notwendigen Dienstleistungen zur Verfügung zu stellen. Hinzu kommt, dass technisches Know-How vor Ort nur sehr unzureichend verfügbar ist und daher in Form von externen Beratern angefragt werden muss.

Während der Workshopreihe formulierten die Teilnehmer gemeinsame Visionen, Ziele und die dafür notwendigen Maßnahmen für ihren jeweiligen Rayon. Allerdings müssen diese Ergebnisse noch mit technischen Experten abgestimmt und am Ende der Strategieentwicklungsphase vom Rayon-Rat angenommen werden. Folgende fünf strategische Ziele ergaben sich aus den formulierten Bedürfnissen der Teilnehmer:

**Tabelle: Die fünf strategischen Ziele der SLE-Studie ergeben sich aus den bedeutendsten Einschränkungen der Abfallwirtschaft in den drei Pilot-Rayons**

Momentane Einschränkungen in der Abfallwirtschaft	Strategische Zielsetzungen
Bestehende <b>Dienstleistungen</b> im Bereich Abfallwirtschaft sind in den Städten und Dörfern <b>unterentwickelt</b> . Kleine Dörfer haben kein Angebot an sektor-spezifischen Dienstleistungen.	<b>Ziel 1:</b> Ein nachhaltiges <b>Abfallwirtschaftssystem</b> ist <b>entwickelt</b> und ins Leben gerufen.
<b>Es fehlt an behördlich genehmigten Deponien</b> . Bestehende Deponien sind im schlechten Zustand und werden nicht kontrolliert.	<b>Ziel 2:</b> <b>Der Abfall</b> wird in einer kontrollierten Weise durch Einsatz der am besten verfügbaren Technologie unter Berücksichtigung des Kosten-Nutzen-Verhältnisses durchgeführt.

<b>Ärmere Haushalte können sich die Dienstleistung im Abfallwirtschaftssektor nicht leisten.</b>	<b>Ziel 3:</b> Das <b>Abfallwirtschaftssystem</b> kann kurz- und langfristig durch Nutzergebühren und anderen Quellen finanziert werden.
<b>Das ökologische Bewusstsein der Bevölkerung ist gering.</b>	<b>Ziel 4:</b> Das <b>ökologische Bewusstsein</b> für das neue oder verbesserte Abfallwirtschaftssystems hat sich bei <b>allen Abfallerzeugern</b> (Haushalt, Bauern, Unternehmen, Industrie) sowie öffentlichen Institutionen verbessert.
<b>Abfall wird nicht wiederverwertet.</b>	<b>Ziel 5:</b> <b>Abfall</b> sollte möglichst <b>verhindert</b> , minimiert, wiederverwendet oder verwertet (recycelt) werden.

Für jedes dieser fünf Ziele wurden mehrere erforderliche Maßnahmen von den Teilnehmern entwickelt. Darauf basierend konnten vorläufige Rollen aller relevanten Akteure diskutiert werden. Dies kann als Grundlage für ein zukünftiges Abfallwirtschaftssystem dienen, muss aber von den Partnern noch ergänzt werden.

## 2) Ergebnisse bezüglich partizipativer strategischer Planung

Der sehr unterschiedliche Informations- und Wissensstand zu den Themen Abfallwirtschaft und strategischer Planung deutet darauf hin, dass die Kommunikation und Kooperation zwischen den lokalen öffentlichen Verwaltungen sehr gering ist. Durch die gemeinsame Arbeitserfahrung in den Workshops konnten Austausch und Interaktion zwischen LPA1 und LPA2 sowie den anderen Akteuren verbessert werden. In den Workshops wurde deutlich, dass alle Akteure ein ausgeprägtes Kooperationspotenzial sowie eine hohe Bereitschaft mitbringen, gemeinsam ein integriertes Abfallwirtschaftssystem aufzubauen.

## Empfehlungen

Das SLE-Team entwickelte sowohl Empfehlungen für den Bereich Abfallwirtschaft als auch für Planung im Allgemeinen.

### 1) In Bezug auf die Abfallwirtschaft empfiehlt das SLE-Team:

- Das Umweltministerium sollte die **nationale Strategie der Abfallwirtschaft** baldmöglichst verabschieden und das nationale **Müllgesetz erneuern**, damit sich die lokale Verwaltung auf zuverlässige Quellen und Rechtsvorschriften beziehen kann.
- Entscheidungsträger sollten **auf die wenigen bereits existierende Erfahrungen im Bereich Abfallwirtschaft in der Republik Moldau zurückgreifen**, um aus diesen zu lernen und diese weiterzuentwickeln. Das SLE-Team kann

sich hierbei auf Anwendungsbeispiele vor allem im Privatsektor oder eine regionale Strategie zur Abfallwirtschaft beziehen.

- NGOs mit den entsprechenden Kapazitäten sollten **Sensibilisierungskampagnen zum Thema Müll** durchführen. Dies kann von nationalen Aufräumtagen bis hin zu Informationskampagnen in Schulen oder öffentlichen Ausstellungen reichen, um das Bewusstsein der Bevölkerung zu steigern. Eine enge Zusammenarbeit mit der lokalen Verwaltung erscheint hierbei sehr sinnvoll.

## 2) In Bezug auf partizipative strategische Planung empfiehlt das SLE-Team:

- Die nationalen Behörden sollten einen klaren **gesetzlichen Rahmen zur lokalen strategischen Planung** verabschieden und **Leitlinien** zur Erarbeitung von SEDS anbieten.
- LPA2 sollte eine **strategische Planungsabteilung** etablieren, um die Planungsprozesse zu institutionalisieren.
- MRDC in Kooperation mit internationalen Organisationen sollte **die Rolle der regionalen Entwicklungsagenturen (RDA) stärken**, um die Lücke zwischen der nationalen und lokalen Ebene zu schließen. Damit der strategische Planungsprozess adäquat unterstützt wird, sollte das MRDC finanzielle und personelle Ressourcen zur Verfügung stellen. Des Weiteren sollten Capacity-Development-Maßnahmen für die Mitarbeiter angeboten werden.

## Schlussfolgerungen

Aus entwicklungspolitischer Sicht lassen sich aus den Erfahrungen zur partizipativen strategischen Planung die folgenden Schlussfolgerungen zu den Hauptthemen der Studie ziehen:

### 1) Dezentralisierung

Der Dezentralisierungsprozess in der Republik Moldau führte zu neuen Dimensionen lokaler Autonomie. Im Laufe der Studie wurden verschiedene Herausforderungen identifiziert wie zum Beispiel ungeklärte Rollen und Verantwortungsbereiche der Akteure, fehlende Strategien für lokale öffentliche Dienstleistungen und wenig erfahrene Mitarbeiter in Verwaltungen, die vor zahlreichen neuen Aufgaben und Funktionen stehen. Den Erfahrungen des SLE-Teams nach, sind diese Hemmnisse überwindbar, da das Engagement zur Verbesserung der momentanen Situation auf allen Ebenen sehr hoch ist. Dies ist eine wichtige Voraussetzung dafür, dass sich der Dezentralisierungsprozess in der Republik Moldau erfolgsversprechend gestaltet, auch wenn dieser Prozess Zeit braucht. Dabei ist es wichtig, ein gesundes Maß für den Transfer von Verantwortung auf die untere Ebene zu finden. Kleine moldauische Gemeinden

sind oft nicht in der Lage mit ihren vorhandenen Mittel und Kapazitäten alle öffentlichen Dienstleistungen eigenhändig auszuführen. Eine Neuordnung der Verantwortungen (z.B. in Form einer interkommunalen Zusammenarbeit) sollte daher berücksichtigt werden.

## **2) Abfallwirtschaft**

Das SLE-Projekt hat gezeigt, dass der Abfallwirtschaftssektor nicht immer als der am dringendsten zu verbessernde öffentliche Dienstleistungsbereich gesehen wird. Die lokale Bevölkerung hat eigene, jedoch oft die Umwelt belastende Lösungen der Müllbeseitigung entwickelt. Oft sind sich die Menschen den negativen Konsequenzen der momentan praktizierten Abfallentsorgung nicht bewusst, die zu Verschmutzung von Böden und Grundwasser führt. Daher werden größere Investitionen in neue Technologien, die Umweltstandards genügen, nur dann nachhaltig sein, wenn die lokale Bevölkerung die Wichtigkeit einer funktionierenden Abfallwirtschaft erkennt. Das SLE-Team empfiehlt daher, parallel zu den laufenden Investitionen Sensibilisierungskampagnen durchzuführen. Die Bewältigung von Umwelt- und Gesundheitsproblemen sollte für alle Interessengruppen einen Anreiz darstellen, um gemeinsam die vielen Herausforderungen in diesem Sektor anzugehen.

## **3) Partizipation**

Der vom SLE-Team praktizierte partizipative Ansatz wurde von den Partnern sehr geschätzt. Sie erklärten, die erlernten Methoden und Techniken in zukünftigen Sitzungen und Workshops anzuwenden. Des Weiteren wurden dank der neuen Arbeitsweise auch neue Kooperationen zwischen zuvor vernachlässigten Partnern ermöglicht (wie z.B. Akteure in der Privatwirtschaft und der Zivilgesellschaft). Der Ansatz hat auch verdeutlicht wie wichtig es ist, für verschiedene Zwecke unterschiedliche Intensitätsstufen der Partizipation zu praktizieren. So war die informative Bürgerbeteiligung während des gesamten Prozesses für alle Teilnehmer von großer Bedeutung, da zu strategischer Planung und zur Abfallwirtschaft wenig bekannt war. Andere Aspekte wie die Identifizierung von lokalen Problemen und Bedürfnissen setzten konsultative Partizipation voraus. Eine mitbestimmende Beteiligung konnte noch nicht erreicht werden. Letztendlich sollten die verschiedenen Stufen der Partizipation dort angewendet werden, wo sie sinnvoll erscheinen und nicht überbeansprucht werden (z.B. wenn es um sektorspezifische technische Standards geht, die nur von Experten eingeschätzt werden können).

## Abbreviations

BMZ	German Ministry of Economic Cooperation and Development
CALM	Congress of Local Authorities of Moldova
CDM	clean development mechanism
CLI	Collective Leadership Institute
DEFRA	Department for Environment, Food and Rural Affairs of the United Kingdom
DFID	Department for International Development of the United Kingdom
EE	energy efficiency
EPA	Environmental Protection Agency of the United States of Amerika
EU	European Union
GDP	gross domestic product
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GoM	Government of Moldova
GOPA	Gesellschaft für Organisation, Planung und Ausbildung (Consulting Group)
IMC	inter-municipal cooperation
IMF	International Monetary Fund
LPA	local public administration
LPA1	local public administration at community level
LPA2	local public administration at rayonal (district) level
LPS	local public services
M&E	monitoring and evaluation
MEC	Ministry of Economy
MLPS	modernization of local public services
MoA	memorandum of agreement
MoE	Ministry of Environment
MoH	Ministry of Health
MRDC	Ministry of Regional Development and Construction
NCPH	National Center for Public Health
NEF	National Ecological Fund
NFRD	National Fund for Regional Development
NGO	nongovernmental organization
OECD	Organization for Economic Cooperation and Development
PPP	public-private partnership
RDA	regional development agency
RDS	regional development strategy
RoM	Republic of Moldova

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ROP	regional operational plan
SC	State Chancellery
SEDS	socioeconomic development strategy
SEI	State Ecological Inspectorate
SLE	Center for Advanced Training in Rural Development, Humboldt University of Berlin
SWM	solid waste management
SSM	service system matrix
ToR	terms of reference
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
VENRO	Verband Entwicklungspolitik deutscher Nichtregierungsorganisationen (VENRO e.V.)
WS	workshop
WSS	water supply and sanitation

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# 1 Introduction

The first chapter presents background information about the study and its relationship to the corresponding GIZ project. It presents some basic facts regarding the Republic of Moldova (RoM) and briefly describes the waste situation in the study region. It also outlines the outcomes and main objectives of the assignment and, at the end, explains the study's structure.

## 1.1 Context of the Study: From Decentralization to Waste Management

### Decentralization and Regionalization in the Republic of Moldova

Since gaining independence in 1991, the RoM has been in a period of transition from a Soviet Republic to a sovereign and democratic country. As the Eastern communist systems were marked by highly centralized governance, the handover of decision-making authority from the national to the sub-national level has played an important role on the Moldovan political agenda. Despite eight years of a communist-led government between 2001 and 2009, decentralization policies advanced with the adoption of the *Law on Administrative Decentralization* in 2006. Self-administration of municipalities and districts (rayons) has been legally strengthened since then. After a coalition of liberal-democratic parties took over in 2009, the RoM has directed its view increasingly toward the European Integration<sup>1</sup>. One measure of the new administration was to complement local autonomy with a regional planning approach in order to foster development on a larger scale (GIZ, 2011: 8). Since 2009, the Ministry for Regional Development and Construction (MRDC) is responsible for promoting and implementing regional development policies. Three Regional Development Agencies (North, Center, South) coordinate the adjustment and implementation of regional and national development strategies (vertical cooperation) and promote inter-regional and intra-regional cooperation (horizontal cooperation). The National Fund for Regional Development (NFRD) provides financing for regional development projects (Government of the Republic of Moldova, 2008).

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<sup>1</sup> Cooperation between the Government of Moldova and the European Union in the field of regional development exists since 2001. However, the RoM is not yet receiving financing from EU Structural Funds or Pre-accession Assistance.

## **Decentralization and the Provision of Local Public Services**

Establishing decentralization and autonomy requires increased financial resources, technical know-how and management capacities of local authorities. One of the principal responsibilities of the local administrations is the provision of local public services (LPS) - such as in the areas of public health, education, water supply and sanitation, and solid waste management - to the population. However, the capacities and budgets of the local administrations are generally not sufficient to face the new challenges. In the RoM, for example, around half of the population does not have access to potable water and sanitation services. An even higher percentage does not receive solid waste management services: The households of most Moldovan villages lack a public waste service system. Therefore, the provision of public services is very important as reflected in the recently approved *Water and Sanitation Strategy of the Republic of Moldova* or the separate chapter on energy delivery and efficiency in the current national development strategy *Moldova 2020* (EPTISA, 2012).

### **GIZ: Modernization of Local Public Services**

In 2008 the governments of Moldova and Germany agreed to cooperate in the improvement of local public services (GIZ, 2011: 6). As a result, the German Ministry for Economic Cooperation and Development (BMZ) commissioned GIZ to implement the project Modernization of Local Public Services (MLPS), initiated in 2010. The aim of the cooperation, which will run through the end of 2014, is to strengthen the capacities of local authorities and service providers in order to satisfy the needs of the population in the provision of LPS (GIZ, 2012: 9). GIZ's direct counterpart in this cooperation is the MRDC and the RDAs. It is thought that it will be more efficient to spread innovation and knowledge at the local administrative level due to their ability to act on a bigger regional scale.

Yet, on what services does MLPS focus? In the agreement, Moldova and Germany selected three services: water and sanitation (WSS), solid waste management (SWM) and energy efficiency (EE). They chose five pilot projects (two in the WSS sector, one in the SWM sector, two in the EE sector) supported by a group of advisors, technical assistance, training measures and financial assistance for the projects' physical infrastructure (GIZ, 2011: 26). The conditions for improved local public services delivery are ensured if the investments in local public services are planned using a participatory planning approach, the services are organized in an efficient and effective way and the investment measures in services infrastructure are managed properly. Within that, capacity development measures for local public services and services providers are an important component.

## Innovation in the SWM Sector in the Pilot Region

The pilot project to improve the SWM services is located in the northern and central regions of Moldova and comprises three neighboring rayons: Soldanesti, Floresti and Rezina.



**Figure 1.1: Map of the Republic of Moldova with the marked location of the pilot rayons (adapted after Andrein, 2009)**

As in most rural areas of the country, waste management is poorly developed: The majority of the approximately 100 communities and their 185,000 inhabitants does not have such services. As a result, numerous authorized and unauthorized dumpsites scatter the region's landscape. Lacking alternatives, people dispose of their waste in the dumpsites or they burn or bury it in the ground. One of the results of uncontrolled waste disposal is soil and ground water pollution, which causes health concerns for the population in the long term.

Based on a request from the town of Soldanesti, starting in 2010, GIZ-MLPS together with its partner MRDC identified the pilot area and designed the first project. With the support of Moldovan and German funds, the country's first sanitary landfill fulfilling international standards would be constructed outside the town of Soldanesti and would receive the waste disposal of seven surrounding villages.<sup>2</sup>

As a result, these villages would have to decide on the form of inter-municipal cooperation (IMC) in order to jointly face their waste challenge and make the SWM service system work efficiently.<sup>3</sup> Due to the high investment costs and excessive capacity of the sanitary landfill, it was decided in 2011 to gradually extend the number of the involved municipalities and districts. The size of the waste catchment area has since grown to the current size of three rayons (Figure 1.1).

<sup>2</sup> For further information concerning sanitary landfills, see Box 3.1 and the Information Sheet (Annex X: Information Sheet).

<sup>3</sup> For further information on IMC, see chapter 2.3.

**Box 1.1: Information box: The Republic of Moldova****Republic of Moldova****Information box**

Capital: Chisinau

Population: 3,559,500  
(estimated for 2012)

GDP per capita: \$3,373

The Republic of Moldova is a landlocked country in eastern Europe situated between Romania and the Ukraine. Its economy heavily depends on agriculture, namely fruit, vegetables, wine and tobacco. In 1991 Moldova gained independence from the former Soviet Union. Moldova's aspiration to join the European Union can be seen through various recent reforms such as the decentralization process.

**Economic difficulties and mass migration**

Moldova—once known as a main provider of agricultural products for the former Soviet Union and a rather middle-income region during Soviet times—has become the poorest country in Europe according to GDP per capita. Following a regional economic crisis in 1988, Moldova faced a severe economic downturn throughout the 1990s. Ambitious IMF and World Bank market liberalization programs trying to promote economic growth failed miserably. In particular between 1992 and 1994 Moldova lost up to 60 percent of its production value.

Even today, despite moderate economic growth during the last decade, Moldova has not reached the same economic living standard it had before independence. As a result, migration, mainly to other European countries and Russia, has become a big phenomenon. In 2010 illegal migration was estimated to be up to 600,000 people in a country with less than four million inhabitants. On one hand, remittances, which make up about one-third of GDP, have helped to significantly reduce poverty, but, on the other hand, migration divides families and leaves children growing up without their parents (Tofan, 2012).

Today the situation of the rural population in particular is precarious, with few economic prospects and worrisome access to relevant public services, such as sanitation and waste management. Although remittances make up a significant part of rural incomes, it is well known that the majority is spent for consumption and not for sustainable long-term investments that could help to develop local industry.

**Unresolved territorial conflict**

Moldova's efforts to join the European Union are slowed by an unresolved post-Soviet conflict that peaked in a civil war between 1990 and 1992. Since then a small strip of Moldova on the east bank of the Dniester River also known as Transnistria has been de facto under the control of a separatist government with its own currency, border controls and a presidential parliament. Although it has not been officially recognized by any state, Russia keeps its military presence and is the most important trading partner for Transnistria. However, about one-third of its exports go to other European countries, illustrating no direct link between political isolation and economic support (Prohntichi, 2009).



## 1.2 The SLE Assignment

### Enabling the Formulation of Development Strategies

Usually project implementation follows a strategic decision in which the political institutions and, hopefully, the affected population and principal stakeholders decide in a participatory procedure about future measures of development. However, the implementation of the solid waste management system in the pilot SWM area with support from GIZ is not based on existing development strategies. One result of the decentralization process in Moldova is the creation of planning instruments at the local level, the socioeconomic development strategies (SEDS). These strategies are meant to enable local authorities to decide about their development according to their specific needs and potential in alignment with national sector policy recommendations. Moreover, SEDS are required to access national funds like the National Fund for Regional Development (NFRD) or the National Ecological Fund (NEF). Nevertheless, many local administrations have not formulated or updated their strategies. In the case of the pilot SWM area, the three districts did not possess a strategy for the SWM sector (see chapter 6.1).

### Relevant Research Areas and Questions

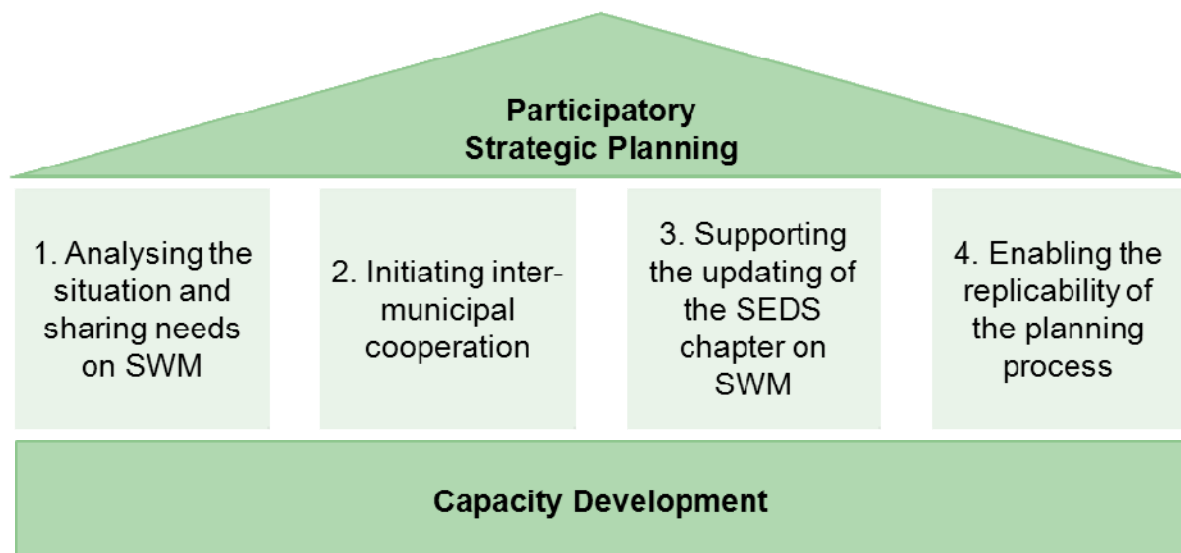
Part of the assignment of the SLE team was to support the local administrations of the three districts in the content development of a chapter regarding SWM in their respective SEDS. In close cooperation with the regional development agencies, the SLE's role was to facilitate process and administration, enabling the involved stakeholders to communicate across political borders and further frontiers. The explicit aim was to create a strategic perspective for the waste situation of the three districts.

A variety of research areas and questions outside of the scope of study arose. Besides the aforementioned aspects of decentralization, local public services and solid waste management, further issues needed to be clarified in order to create an approach to develop a sector-specific chapter of the socioeconomic development strategies:

- The identification of an appropriate **participatory planning approach** for the development of local investment planning measures for SWM services. How can strategic planning in the SWM sector look? What particular aspects need to be considered? How can the needs and potential of the population be included? These are some of the questions that needed to be answered.
- Another issue was the need to foster cooperation between the municipalities of three neighboring but inexperienced districts concerning **inter-municipal cooperation**. As the sanitary landfill project was designed to cover three districts, their waste strategies had to be aligned yet respect the particular situations of each.

Questions arose, including: What is the particular situation of each district concerning SWM? What do they have in common to justify a joint waste catchment area? What has to be considered in order to allow them to cooperate in the waste sector?

- Finally, the **replicability of the strategic planning process** had to be assured. In other words, the chosen approach needed to be designed in a way that the partners would be able to conclude and repeat it without external support in the same or in other districts dealing with SWM services. Accordingly, the questions were: How can the existing capacities of the partners be used efficiently and how can they be strengthened during the strategy content development process? How can the complexity and the external support be minimized? How can the process be documented and the respective capacities institutionalized?



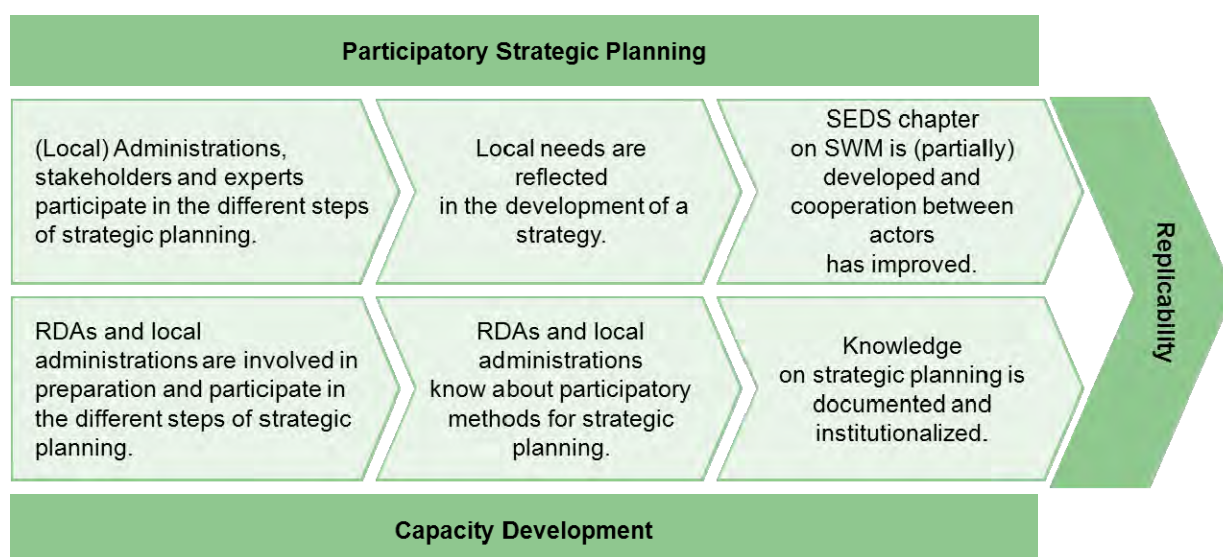
**Figure 1.2: The four main outcomes of the assignment are complemented by the two main methods that were applied to achieve them (own development)**

The assignment is located within one of **three current GIZ-supported activities** in the SWM context of MLPS in the pilot SWM rayons. One consists of the facilitation of **developing the local strategic planning documents for solid waste management services**. This is where the SLE team contributes with its assignment. Second is planning and supporting the implementation of the required physical infrastructure on which the SWM system will operate. The third process aims at **the creation of an inter-municipal management system** where concrete legal, political and technical questions are debated and rights and responsibilities are negotiated between the three rayons and the relevant stakeholders.

## Principal Objectives to Achieve Outcomes

Out of this scope of work, the SLE team identified **two principal objectives** that served as reference for the selected approach and all respective measures undertaken during the assignment:

1. **Provide methods and information to the responsible** employees of the local administrations to initiate and enable the participatory development of the content of a SEDS chapter on SWM in the districts of Soldanesti, Floresti and Rezina (see the upper row of figure 1.3).
2. **Ensure the transfer of provided methods and skills** in order to build capacity among local partners to facilitate the replicability of participatory strategic planning measures for the same or different sectors in the future (see the lower row of Figure 1.3).



**Figure 1.3: Impact chain of the two main objectives (own development)**

## Temporal and Human Resources of the Assignment

The SLE assignment was divided into three phases: a preparatory phase (June and July), a conducting phase (beginning of August until middle of October) and an analysis and documentation phase (middle of October until end of November). The team consisted of five junior advisors from different disciplinary backgrounds, two team leaders and two resource people.

The study represents a follow-up study to an SLE assignment conducted in 2011 on water supply and sanitation services in the rayons of Cahul and Riscani (SLE, 2011).

### 1.3 Structure of the Study

The study reflects the most relevant aspects of the SLE assignment. The text is divided into eight chapters. This structure is intended to offer the reader a coherent overview of the team's process with regard to the assignment. It begins by examining the key issues in the terms of reference (ToR), the specific challenges concerning the SWM sector and the conceptual questions that needed to be answered. The chosen methodology and its effectiveness during the stay in Moldova are described and discussed. In this way, the reader can take a close look into the progress of the team's work and the well-structured information regarding the different facets of the assignment. The detailed descriptions and the extensive annex offer the ability to use the study as a guide for those who are actively involved in the process or those who wish to learn from experiences in a comparable field. The text is designed to be read from the beginning to the end, but readers who are interested in selective aspects can extract parts of the text. For instance, additional information is offered in boxes throughout the chapters. They deepen some aspects of the text, but are not necessary to understand the full study.

In the early chapters (2 to 4), the reader is invited to find out about the assignment's principal issues. **Chapter 2** explains decentralization and local public services. In this context, the idea of inter-municipal coordination as a mechanism to provide local public services in a joint and effective way will be touched. **Chapter 3** focuses on solid waste management and seeks to familiarize the reader with basic knowledge about the sector. Participatory strategic planning is highlighted in **chapter 4**. Therefore, steps of strategic planning are introduced as well as the definition and different types of participation. All three chapters have a theoretical part in the beginning where general information is provided, complemented by practical experiences and data specific to the Republic of Moldova.

**Chapter 5** introduces the methods applied by the SLE team during the assignment. As the detailed implementation of the methods will be described in the following chapter, this one is designed as a complement as it explains the methods in a more conceptual way.

**Chapter 6** describes the chosen approach to develop the content of the SEDS chapter on SWM. Most of the results and findings made in the RoM can be found there. Besides the descriptive part, the approach is also discussed from a critical point of view. The chapter concludes with an outlook for those readers involved and interested in the continuation of the process.

**Chapter 7** provides recommendations for the involved actors from the perspective of the SLE team. The recommendations are clustered in categories and directed to the principal partners.

**Chapter 8** concludes the study with an evaluation of the achievements of the assignment regarding the four outcomes. Furthermore, it examines the findings of the assignment and offers some relevant conclusions for the debates on decentralization, participation and solid waste management.



## 2 Decentralization and Local Public Services

This chapter clarifies the concepts of political decentralization and local public service delivery and gives an overview of the particular challenges in dealing with these concepts. A special focus is laid on inter-municipal cooperation as one mechanism to improve the provision of such services. A theoretical part is complemented by case studies from the Republic of Moldova.

### 2.1 Main Aspects of Decentralization

One frequently quoted advantage of decentralized governance is the raised efficiency “in reaching policy objectives and creating higher acceptance of political decisions through connecting decentralized state institutions to the people” (SLE study, 2011: 1). However, a main question is *how* to design a decentralized system, appropriate to the country-specific conditions (Rauch, 2009: 278).

#### Definition and Forms of Decentralization

Decentralization is defined as “a transfer of power, responsibility and resources” (Rondinelli et al., 1989) from the central government to regional and local governments, semi-autonomous public institutions (e.g. universities) or NGOs. As a result, the central government’s competencies and responsibilities are split between the different tiers of government. However, in comparison to privatization, the political responsibility of the state and the principle of democratic control of the citizens (see Figure 2.1) are ensured. Different forms of decentralization can be classified into three groups (see Box 2.1), according to the degree of autonomy (Rauch et al., 2001: 64) comprising the following three dimensions: power (political dimension), responsibility (administrative dimension) and resources (fiscal dimension). These three aspects should ideally not be separated. The institution or administration that receives the responsibility for a duty should also receive the corresponding decision-making power and sufficient financial resources to fulfill its role (Rauch, 2009: 281). The single transfer of the administrative dimension (deconcentration) is therefore inadequate (BMZ, 2008).

**Box 2.1: The three types of decentralization (Rauch, 2009: 278-279)****Principles of Decentralization**

Decentralization does not automatically lead to the expected positive impacts. Its success depends on the design of the decentralization process and on the country-specific conditions, such as the historical, geographical, socio-cultural and political-institutional background. Although there is no blueprint model for all countries (Rauch, 2009: 283) an orientation toward the following two principles is helpful:

1. The **principle of subsidiarity** explains the distribution of duties following the paradigm: as decentralized as possible but as central as necessary. A systematic analysis should check “that only that which cannot be done equally well at a lower level, should be done at a higher level” (Rauch et al., 2001: 62).
2. The principle of **vertical coordination**, which means a combination of bottom-up and top-down approaches as well as sector-specific and regional planning. The vertical coordination also leads to a mutual control of checks and balances. One example out of a variety of forms of vertical coordination is the “**principle of countervailing influence**” (see Figure 4.2). Different planning levels (national, regional and local) are mutually interlocked by controlling and integrating each other in decision making (Rauch et al., 2001: 62).



## 2.2 Local Public Services

### Local Public Services in Development Cooperation

Equal access to local public services such as healthcare, education, housing, potable water and waste management is considered a right under the *Universal Declaration of Human Rights*.<sup>4</sup> Local public service delivery represents one of the principal obligations of state authorities. In many developing and transitioning countries, local administrations have become increasingly important due to continuous decentralization policies. As a result, not only central, but local governments are responsible for fulfilling human rights obligations. Moreover, functioning local public services are a central requirement for social and economic development. According to the United Nations Development Programme (UNDP), access to basic services for poor populations is of high relevance in order to reduce poverty and to achieve the Millennium Development Goals (2012). The improvement of local public service delivery is therefore an important objective for the international development community and also indispensable for a country's development.

### Central Challenges of Local Public Services

However, local governments do not necessarily have to provide services themselves, but can transfer this task to a municipal or private enterprise, or to an NGO.

How can the provision of local public services to disadvantaged populations be guaranteed, especially in the case of rural areas of poor countries? And how can corruption and misuse of local public service funds be avoided in the relationship between a government contractor and a service provider? **Establishing a trilateral relationship between government, service provider and user** can ensure the fair and effective provision of local public services (see Figure 2.1: The service systems model (Rauch, 2009: 303)).

Various service arrangements in this vein exist and can be designed or adapted to specific contexts. In contrast to privatization of services, the government keeps the political responsibility for providing services and ensures that services are affordable and accessible for everyone and do not become commercial goods (ibid.). In this way, human rights obligations can be fulfilled.

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<sup>4</sup> Article 21(2) of the United Nations Universal Declaration of Human Rights states that "Everyone has the right of equal access to public service in his country." (UN, 1948)

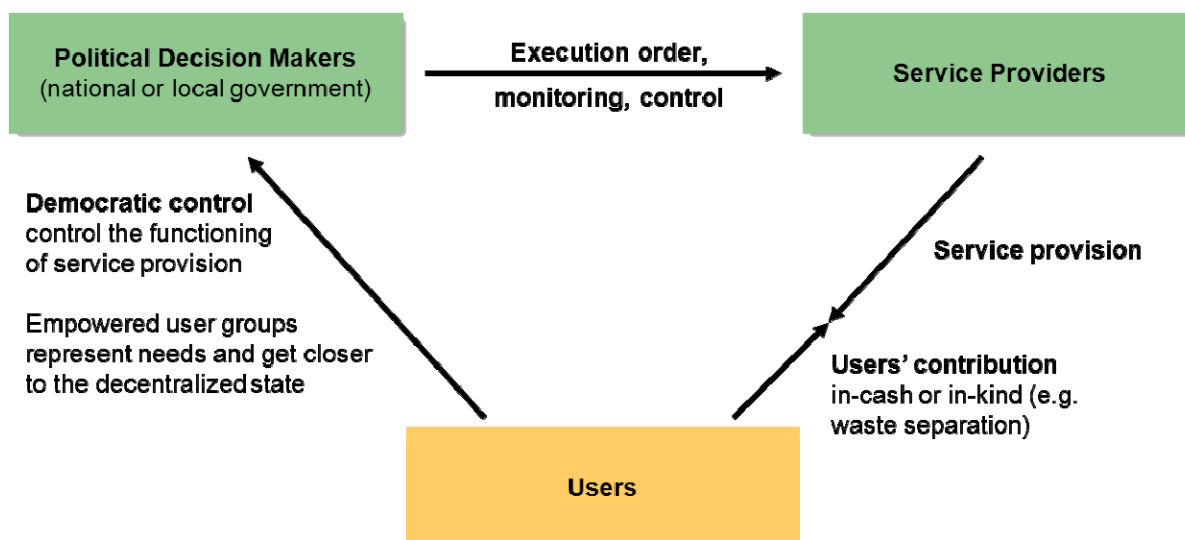


Figure 2.1: The service systems model (Rauch, 2009: 303)

## 2.3 Provision of Local Public Services by Means of Inter-municipal Cooperation

**“IMC [Inter-municipal Cooperation] is when two or more municipalities agree to work together on any of the tasks assigned to them in order to gain mutual benefits.” (UNDP & Council of Europe, 2010: 7)**

In decentralized countries the local level is responsible for the provision of public services. However, if decentralization leads to high fragmentation, communities may be too small to bear the costs and provide the necessary human capacity needed to provide local public service on their own.

IMC is a means for making the provision of LPS more efficient and effective through joining forces. By using financial synergies, modern technologies become affordable for small villages (OECD, 2007: 9). Cooperation that leads to regionalization of services strengthens local self-governance instead of interfering with it. Therefore IMC enhances decentralization and, when adequately implemented, it can serve as a means against territorial fragmentation (Expert Grup, 2000: 100).

Although a sound legal framework needs to be established by the government, it is important to stress that IMC should be based on voluntary cooperation in order to be successful.

The basic concept of IMC considers cooperation to happen on the local level. However, creating a service area large enough to make the operation efficient and cost effective might require a catchment of a certain size. This could elevate the need for IMC to the next administrative tier. In this case, the district or regional level might be

more appropriate for cooperation than the local level and thus inter-district or inter-regional cooperation might be best to provide services adequately. As service areas might not correspond to administrative boundaries for technical, financial or environmental reasons, it is not necessary to include the whole districts or regions, but might be efficient to include parts of neighboring districts or regions.

### **Advantages and Risks of IMC**

In summary, IMC can bring a range of benefits, such as better services at a lower cost due to economies of scale, better access to funds or improved relations between neighboring communities.

On the other hand, potential risks of IMC are that decision-making processes slow down, as the range of stakeholders grows, or that ambitious political leaders fear losing power. IMC also bears the risk of “free-riders,” as communities may use the service but not be willing to contribute to its functioning (UNDP & Council of Europe, 2010: 19-22).

Regarding sectoral plans or strategies, such as a waste management strategy, IMC should be considered as a cross-cutting solution because cooperation can resolve problems that would not be manageable otherwise (UNDP & SDC, 2009: 19-20).

## **2.4 Decentralization and Provision of Local Public Services in the Republic of Moldova**

### **Decentralized Administrative Structure of the RoM**

After Moldova gained independence in 1991 the country underwent several phases of administrative-territorial changes regarding the number and size of districts and level of autonomy of local governments. When the communist party was re-elected in 2001, it restored the former soviet territorial model (32 rayons without the eastern rayons of Transnistria and the autonomous territorial unit Gagauzia) and reduced autonomy of local governments compared to the previous decentralization phase (Expert Grup, 2010: 49).

Since then **three levels of governments** have existed in the RoM (Figure 2.2):

- 1. the central government,**
- 2. the rayon administrations (this is considered the second level of local public administration, or LPA2), and**
- 3. the administrative-territorial units on the village and municipal level (this is considered the first level of local public administration, or LPA1).**

Through decentralization the local governments (LPA1) in Moldova are formally and politically responsible for the provision of local public services, such as water supply

and sanitation, street illumination and waste management, whereas competencies of LPA2 are related to public targets at the rayonal level, such as road construction and maintenance, higher-level education and public transportation (Government of the Republic of Moldova, 2006a: art. 4).

### **Deficits of Decentralization**

However, as decentralization has advanced mainly in legislation,<sup>5</sup> the actual effects on the local level are still quite moderate. Thus, local administrations have had difficulties fulfilling their executive role in providing decentralized service systems. According to *Administrative and Fiscal Decentralization in Moldova: Current Situation and Ways of Making Decentralization Work* (Beschieru et al., 2008) and the *National Decentralization Strategy* (Government of the Republic of Moldova, 2012), the main reasons for difficulties are:

- **Lack of real progress in fiscal decentralization.** Competencies are formally delegated without financial resources, thus keeping centralized control over financial transfers and capital investments.
- **Incomplete and contradictory laws.** In legislation and in practice, delegated, deconcentrated and devolved responsibilities are not always clearly differentiated among the different administrative levels.
- **Excessive administrative-territorial fragmentation.** The enormous fragmentation into 898 communities in 32 rayons leads to insufficient incomes at the LPA1 level. The lack of funds complicates the provision of local public services and results in rural LPAs having a more representative role than a functional one.

### **Regionalization**

The recently adopted *National Decentralization Strategy* and the not yet adopted *Law on Public Financing* support a variety of measures to implement decentralization and to strengthen local autonomy. Applying these measures should contribute to a better provision of local public services.

After the change of government in 2009, the current Ministry of Regional Development and Construction was founded. It was responsible for the creation of **regional development agencies** (RDA) in three development regions in the north, south and center of the country. These agencies have no government function. Their role is to contribute to regional development through strategic planning (see chapter 4.2), to

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<sup>5</sup> Among others: *Law on Administrative Decentralization* (2006), *Law on Local Self-government* (2006) and *Law on Public Finance* (2003).

mobilize resources and to create extensive infrastructure projects by using economies of scales (Beschieru et al., 2008).

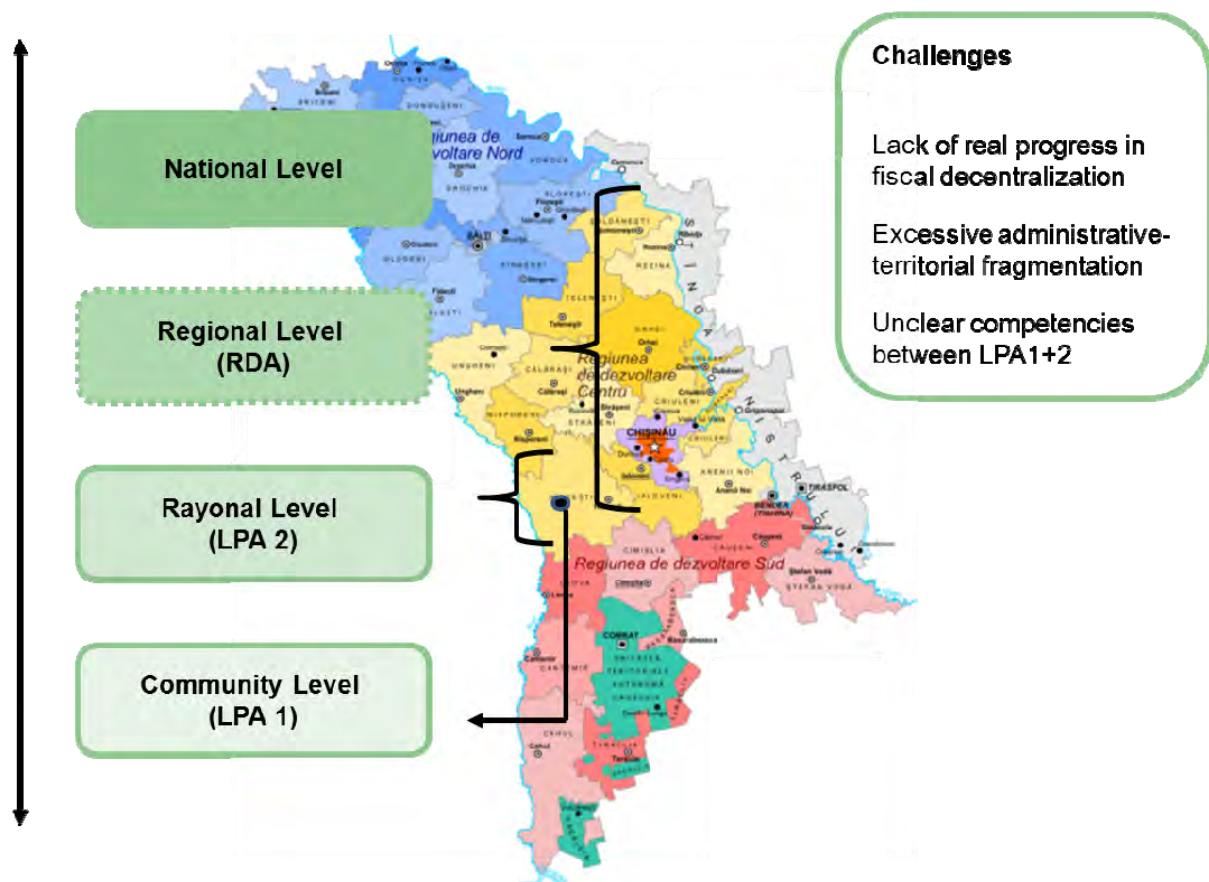


Figure 2.2: Levels of government in the RoM and challenges in decentralization (own development, source of map: Andrein, 2009)

## 2.5 Inter-municipal Cooperation in the Republic of Moldova

According to article 10 of the *European Charter of Local Self-governance*, signed by RoM in 1996, “local authorities shall be entitled, in exercising their powers, to cooperate and, within the frame work of the law, to form consortia with other local authorities in order to carry out tasks of common interest.” Objective five of the *National Decentralization Strategy* proposes IMC as a means for reducing fragmentation and for improving LPAs’ capacities to provide LPS in an effective way.

Inter-municipal cooperation in Moldova can take place on the local, rayonal (inter-rayonal cooperation) and regional level (inter-regional cooperation) (Government of the Republic of Moldova, 2006a: art. 5,1; Government of the Republic of Moldova, 2006b: art. 14k, art. 29y, art. 43t, and art. 53d). The need for intra-regional cooperation is underlined by the regional development strategies. It is the regional develop-

ment agencies' and councils' task to promote intra-regional and inter-regional cooperation (Government of the Republic of Moldova, 2006c: art. 7(6)g).

So far, not many initiatives for IMC have been launched in Moldova. A first step toward IMC was taken by last year's SLE assignment. The team used the approach of clustering and regionalization on the LPA level in order to design a more efficient water supply and sanitation service in the rayons Cahul and Riscani (SLE, 2011: 9; 90).

During the first national conference on IMC in June 2012, government officials, ministries, regional and local authorities as well as donors underlined the need for IMC as a tool for further decentralization and regional development. At the conference it was furthermore stated that IMC should be integrated as a cross-cutting issue within the socioeconomic development strategies (GIZ-MLPS, personal communication).

## **2.6 Challenges for Decentralization and Governance of Local Public Services in the Republic of Moldova**

This chapter has shown that the decentralization process in the RoM just started and is still in progress and the provision of local public services is currently limited. Devolution of the task of providing local public services from the central government to the LPAs has partly taken place without transferring the fiscal dimension. LPAs in charge of providing the population with LPS are under-equipped technically, financially and in terms of staff. The *National Decentralization Strategy of Moldova* (Government of the Republic of Moldova, 2012) states that the following issues need to be tackled in order to improve the current local public service situation:

- The regulatory framework about decentralization has to be completed and refined in order to permit sufficient autonomy for LPAs, including financially. Ministries should focus on their policy planning function, monitoring and providing up-to-date sectoral analysis. A clear share of roles and responsibilities for all respective actors will create a more transparent system.
- Reducing the fragmentation of the administrative-territorial structure is important to carry out decentralized tasks more efficiently. The IMC model is one possibility to improve public services by a joint provision of LPS.

Furthermore, training and capacity development are required to ensure the adequate use of transferred power and finances. Here, the international development cooperation community can contribute its experience.

### 3 Theoretical and Practical Aspects of Solid Waste Management

This chapter examines the sector of solid waste management (SWM) from various perspectives. Chapter 3.1 questions the relevance of SWM in the development context, outlining its main global and local challenges. Chapter 3.2 will then provide the theoretical background of SWM, describing the main principles and aspects of sustainable waste management. The final part is dedicated to a description of the current state of SWM in Moldova, also highlighting the sector's main challenges.

The European Directive 2006/12/EC defines SWM as follows: **“Waste management shall mean the collection, recovery, transportation and disposal of waste, including the supervision of such operations and after-care of disposal sites.”** (European Union, 2006)

#### 3.1 Solid Waste Management in the Development Context

Solid waste management as a development issue is a complex task in which responsible management does not only depend on technical solutions, but primarily depends on social and political awareness of the negative impacts of inadequate SWM. Although waste is a result of what is produced and consumed in everyday life, its negative environmental and health effects are often not directly visible or not strictly related to waste.

##### **Increasing Amounts of Plastic and the Effect on Global Climate**

One global point of reference for the worrisome effects of inadequate waste management is the plastic industry. The worldwide production of plastic in a period of less than twenty years has increased from approximately 100 million tons per year in 1989 to about 245 million tons per year in 2006 (KFW, 2012). Thus, millions of tons of plastic waste end up in the oceans, are burned or simply dumped somewhere in the countryside where they pollute soil and water resources (ibid.). However, plastic is only one type of waste that has become a burden for the environment and for human health.

Solid waste is also an important issue in global climate change. Organic waste releases methane, a greenhouse gas that is about 21 times more harmful to the atmosphere than CO<sub>2</sub>. At least eight percent of worldwide methane emissions are a

result of uncontrolled waste disposal (Wiegel & Steiner, 2012). Whether waste pollutes groundwater and oceans or negatively contributes to climate change, it certainly has a global relevance.

### **Recognizing the Potential of Waste**

Global challenges need local adaptations. How can populations cope with new dimensions of solid waste, particularly in developing countries where growing economies face an underdeveloped waste sector? For many people waste has become an essential part of their lives, as they create different means to manage it.

From an economic perspective, almost all kinds of waste have some intrinsic value, whether it is a recycled plastic bottle, a reused glass bottle or more valuable resources, such as metals. In developing countries the majority of people who work in the waste sector are part of the informal economy. Informal waste pickers often have no other choice than to cope with harsh work and living conditions. Thus, it makes them vulnerable to disease; they lack social security and face economic uncertainty (UNDP & Habitat, 1996: 23). Besides the informal waste sector, a huge organized waste economy also exists. Due to global price differences in raw materials, waste poses a lucrative market for companies trading recyclable material.

However, a solid waste management system is not only attractive for recycling industries. A clean environment without waste can also help local municipalities and its citizen benefit from tourism. An improved waste sector can even profit from global climate initiatives if, for example, prevented waste emissions are sold in forms of climate certificates on the Clean Development Mechanism (CDM) market (UNEP, 2010: 21).

In summary, the development challenges in the field of SWM are manifold, yet so are the opportunities. On one hand there is the protection of the environment and the global climate: improving soil and water resources will improve human health. On the other hand, SWM can create new jobs, leading to less poverty. A recent EU report estimated that full implementation of current waste legislation in Europe would save €72 billion a year and create about 400,000 jobs by 2020 (European Commission, 2012). In light of this, it appears that the EU was the main driver behind the European Commission's call for urgency to find global solutions to SWM during the RIO+20 United Nations Conference on Sustainable Development.

## **3.2 Theoretical Aspects of Solid Waste Management**

Many studies and manuals have been written on how solid waste can be managed in a sustainable way. Although, views and opinions differ on what is best and most sustainable. Some basic waste principles help to provide clarity.



## Basic Waste Principles and the Waste Pyramid

SWM should take local needs into consideration and be implementable and affordable for everyone. The affordability aspect is highlighted by the “**principle of polluter pays**,” in which the one who pollutes has to pay for it, for example paying a service charge for waste collection, or paying a penalty for illegal dumping (Government of the Republic of Moldova, 2011).

Thereby it is important that waste is managed within a certain region with defined borders (**principle of self sufficiency**). Thus, it relates to the **proximity principle**, which suggests waste disposal sites are located as close as possible to where the particular waste is generated. In other words, waste generated in the city should not be disposed far away in a rural area.

Finally, the waste pyramid (Figure 3.1) explains the ideal way waste should be treated: starting with prevention on the top, down to the least favored final disposal of waste. The final disposal of waste should be considered the least desirable option. Thereby, the final disposal of waste has to fulfill certain obligatory environmental standards. One option is the sanitary landfills (Box 3.1).

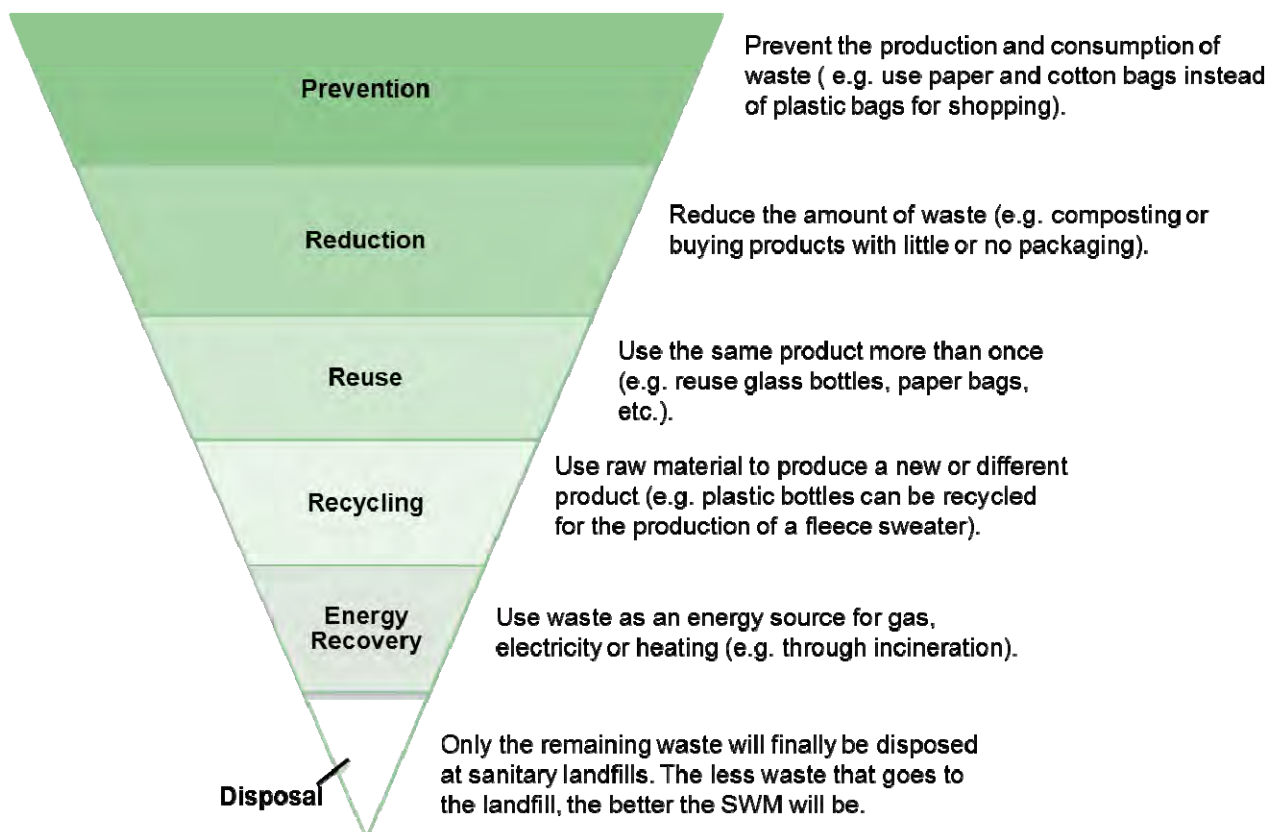
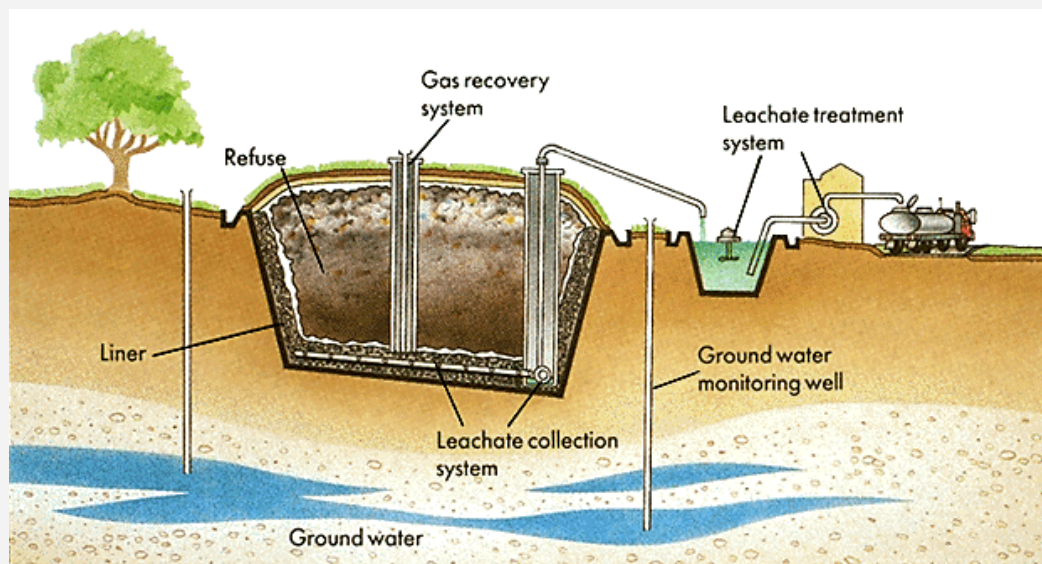


Figure 3.1: Waste management hierarchy (own development)

**Box 3.1: Basic requirements for building a sanitary landfill**

A sanitary landfill needs to have a so-called leachate collection and lining system which prevents toxic substances from entering the environment. The released liquid collected by the system will then be pumped into a separate waste-water basin. During the life cycle of a landfill, waste will step-by-step be covered with a lining system in order to prevent methane from being released into the atmosphere. Ideally, the landfill gas can be recovered and used for energy consumption.



**Figure 3.2: Schematic representation of a sanitary landfill** (Yangyang et. al., 2000)

### 3.2.1 Institutional and Organizational Aspects of Solid Waste Management

When setting up a SWM system, first there needs to be a reliable legal framework that clarifies roles and responsibilities.

According to the Facilitators Guide Book for MSWM published by the World Bank (2000), the main actors of SWM can be divided into three categories: the clients, the operators and the regulators.

1. **The client (user)** expects a good waste management system that includes the ability to store the waste (e.g. in waste containers), which will regularly be collected. In exchange, the user is obliged to pay for this service. The user's willingness to contribute largely depends on the level of awareness.
2. **The operator (service provider)** has the executive responsibility for the daily operation, which includes the provision of storage places (e.g. bins or containers) and the collection of waste. The service provider can be a public communal enterprise or a private enterprise.

- 3. The regulator.** Finally, a service system needs to be monitored by governmental institutions. In a decentralized political system, regulation authorities have to be established on the local level in order to fulfill their supervisory responsibility.

In summary, a division of tasks helps to improve efficiency and transparency through a system of checks and balances (World Bank, 2000: 25)

### **3.2.2 Legal Regulations for Solid Waste Management**

The roles and responsibilities of the above mentioned actors rely on both national and local regulations. Specific local regulations that work in parallel with national laws are necessary as the waste situation in urban areas may require different regulations than in rural areas. For example, specific local regulations work very well to adjust penalties for illegal dumping or to charge commercial waste producers more than private households. However, it is important that the national law protects households from unjustified service charges conducted by private SWM service providers (World Bank, 2000: 9).

### **3.2.3 The Role of the Private Sector: Public-private Partnerships**

From an operational point of view there are different ways to legally manage a SWM region. Public institutions in developing countries often lack sufficient funding to operate SWM services on their own. Thus, additional private investment capital can be one solution to create adequate SWM (UNDP & Habitat, 1996: 41-42).

The involvement of the private sector brings various advantages. In a partnership with the public sector, private companies can add new innovative solutions. When choosing a private partner, the municipality should make its selection process as transparent as possible in order to benefit from vivid competition. In the best case, private companies positively contribute with their managerial, technical and labor skills.

However, as private companies are profit oriented, they may require cutting expenses, layoffs or increasing the user's service charge. The municipality should therefore have the final control and regulatory function in a public-private partnership. In case the private partner is not as reliable and efficient as expected, municipalities must have the chance to terminate the partnership and look for another partner. In the end, it is the municipality who has to make sure that public services are provided to all citizens at a fair price (World Bank, 2000: 24).

In conclusion, a sustained effort is needed to create and maintain a SWM system as it depends on all actors involved to contribute their part whether it be funding, cooperation, expertise or, simply, awareness.

### 3.3 Solid Waste Management in the Republic of Moldova

Moldova's waste situation is characterized by an increasing amount of waste due to rising consumption. Meanwhile, the country has an underdeveloped SWM sector with many shortcomings. The majority of the approximately 25 million cubic meters of waste produced annually (GIZ, 2011) is disposed on approximately 3,000 small-to-medium illegal dumpsites found throughout the country (Bacal, 2011). Many of these uncontrolled dumpsites are located in vulnerable ecosystems, such as riverbanks, and close to wells - essential sources of drinking water in Moldova.

The situation looks very precarious in rural areas where hardly any SWM services are in place. If rural households want to do their best to deposit their residual waste in a responsible manner, they need to transport it by themselves to authorized dumpsites, which are mostly located out of town (Government of the Republic of Moldova, 2011: 13). However, even authorized dumpsites do not fulfill minimum international disposal standards.<sup>6</sup> Whether dumpsites are authorized or unauthorized, negative environmental and health problems continue to be a central problem.

#### Main Obstacles to SWM

According to the draft national strategy of SWM (Government of the Republic of Moldova, 2011) and Bacal (2009) the Republic of Moldova has to overcome the following main obstacles:

- Insufficient waste infrastructure (collection, transportation and final disposal).
- Low level of public awareness. This results in negative environmental consequences (e.g. waste continues to be burned and disposed of in proximity to vulnerable ecosystems).
- Little knowledge of economic prospects of adequate waste management. Moldova does not have a real industry for recycling and recovery of waste.<sup>7</sup>
- The legislative, normative and technical framework<sup>8</sup> is still being updated and does not yet correspond to international regulation, such as the waste principles of the EU directives.

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<sup>6</sup> In the RoM, authorized dumpsites are often referred to as "polygons," originating from the term used for waste disposal sites during Soviet times.

<sup>7</sup> Moldova's first recycling initiatives can be found in Chisinau, where plastic, glass bottles and paper are traded on a small scale.

<sup>8</sup> Examples of most important Moldavian laws and regulations in SWM are:

The Law on Environmental Protection, no. 1515-XII, 1993

The Law on the Production and Household Wastes, no. 1347-XIII, 1997

The Law on Environmental Pollution Payment, no. 1540-XIII, 1998

- Public services, which are supposed to be implemented on local levels by LPA1 and LPA2, still operate inefficiently and lack financial resources.
- The RoM continues to be the poorest country in Europe. SWM services may not be affordable for the majority of its population or only affordable with low tariffs that cannot finance the total operational costs. Advanced and environmental-friendly technologies, such as sanitary landfills or incineration plants, are very cost intensive and require external financial support.

Besides numerous shortcomings, the first positive initiatives can be seen in various fields as the results of the first private investments, public awareness campaigns and institutional planning indicate.

As Figure 3.3 suggests, many actors are involved in SWM. In the following figure only the key public actors and their roles will be introduced.

- The **State Chancellery** coordinates and ensures the strategic planning processes within the central public administration and establishes the methods and organizational framework for public decision making. It coordinates and monitors the performance of central public authorities, including activities related to their internal reforms in order to achieve the country's strategic European integration objectives. The State Chancellery also manages the process of programming, managing, monitoring and evaluating external assistance to Moldova.
- With the change of Government in September 2009, the present **Ministry of Regional Development and Construction (MRDC)** was created, which has since then coordinated the creation of Regional Development Councils and Agencies. The ministry is responsible for the implementation of sector strategies at regional level.

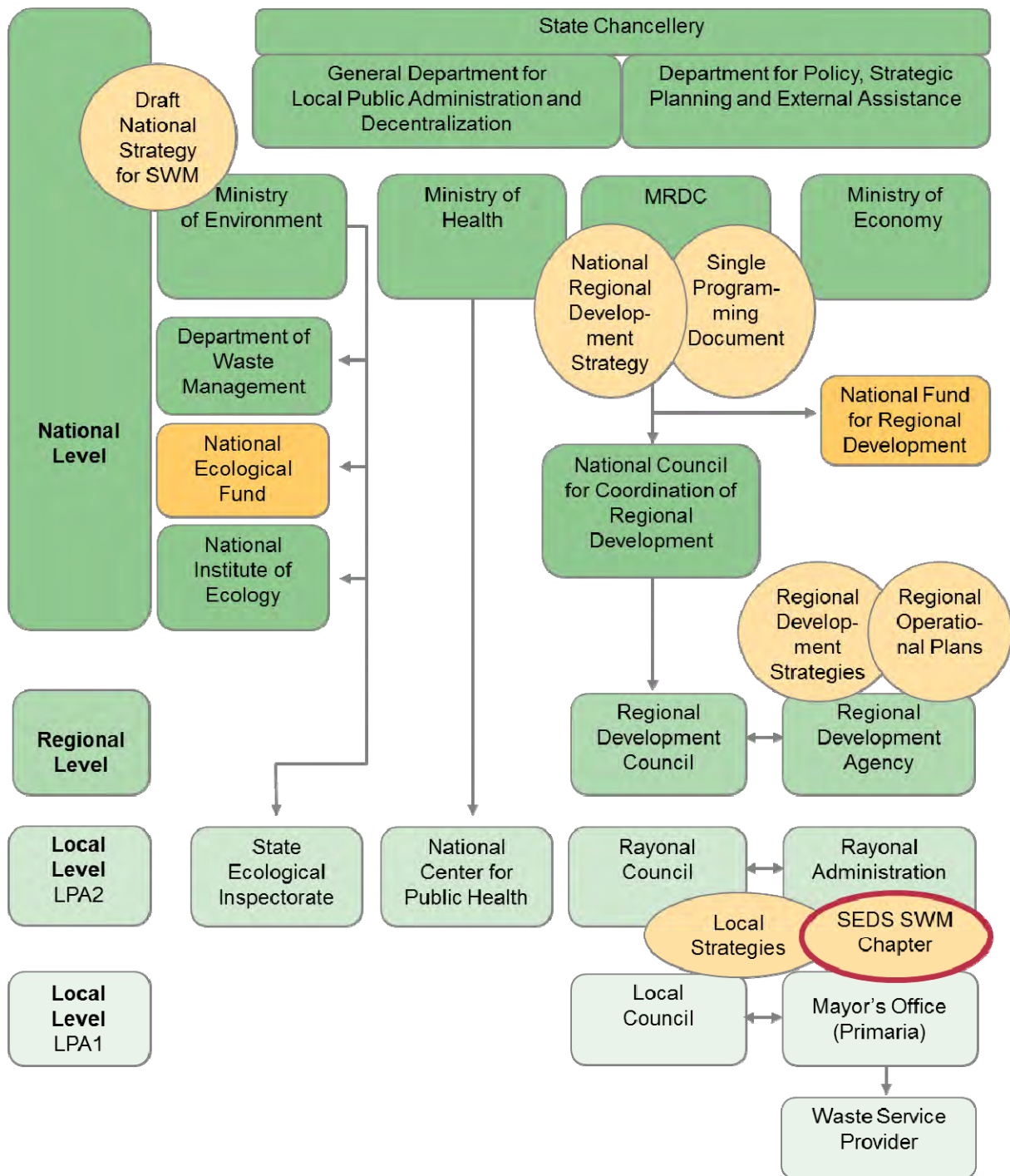


Figure 3.3: Main state actors and strategic instruments (adapted from SLE, 2011)

- The **National Fund for Regional Development (NFRD)** is a national funding source for regional development priorities, comprised of at least one percent of the state budget plus additional funds from development partners or other sources. GIZ selected the MLPS pilot projects from the pool of NFRD proposals in order to align itself with this institutionalized process of identifying public investment priorities.

- The **Ministry of Environment** (MoE) is responsible for the efficient management of water resources and waste as well as for environmental protection. The MoE provides the strategic policy as well as the legislative and normative framework in the environmental sector. Thus, it includes developing, monitoring and evaluating the national SWM strategy.<sup>9</sup>
- The **National Ecological Fund** (NEF) of the MoE provides funding to environment-related projects.
- The **State Ecological Inspectorate** (SEI) is the subordinated unit of the Ministry of Environment and is responsible for the state control of the respective legal framework and environmental policy.
- The **Ministry of Health** (MoH) and its deconcentrated entity, the **National Center for Public Health** (NCPH) is responsible for the sanitary-epidemiological supervision in the country.
- **Regional Development Agencies North, South and Center** (RDA) are responsible for the development, monitoring and implementation of the projects in different sectors, including pilot projects, which are also financed by GIZ. Furthermore, they are responsible for the updating of the regional development strategies and its regional operational plans.
- **LPA2 (rayon administration and rayon council)** is responsible for the development and implementation of the socioeconomic development strategies for the rayons, which includes the SWM sector (Government of the Republic of Moldova, 2006b: art. 43j).
- **LPA1 (Primaria)** is responsible for implementing the services in its community. According to the law they are responsible for “waste collection and management, including sanitation and maintenance of their land for storage” and “the establishment and management of municipal enterprises” that may provide this service (Government of the Republic of Moldova, 2006a, art 4b and 4l).

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<sup>9</sup> During the time the study was written (Oct. 2012) the national strategy was a draft and about to be approved.



### 3.4 Challenges

A brief overview of the state of Moldova's SWM sector has shown that the challenges are manifold. According to Van de Klundert and Anschutz (2001), an integrated SWM can be **clustered into three dimensions**. First, the **technological dimension**, second **the stakeholder dimension** and third the **sustainability dimension**, which includes social, environmental and economic sustainability.

**Technical dimension:** From a technical perspective, SWM needs to fulfill minimum environmental standards. However, in rural Moldova a modern sanitary landfill will simply not be affordable for a rural region with a scarce population. That is why cooperation needs to be considered for SWM. Cooperation should go beyond regional borders as the inter-regional example in the pilot region demonstrates.

**Stakeholder dimension:** The complex tasks can only be managed if all stakeholders are actively involved and know about their roles and responsibilities. In addition, public authorities should not only look at international case studies but make use of already successfully implemented Moldovan pilot projects.

**Sustainability dimension:** Looking at the final dimension, three main aspects will play a significant role for Moldova. First, SWM needs to be institutionalized, meaning that laws and strategies are in place and are clearly communicated to all relevant stakeholders. Second, the SWM system needs to be affordable and adopted to local conditions. Concerning the economic sustainability, the cost of maintaining the service—which should in the long term be financed by local and national budgets—is of particular importance. Finally, laws, regulations and sufficient financing do little without awareness. Thereby, it is important not only to consider creating awareness among civil society but among politicians and private companies as well.



## 4 Participatory Strategic Planning

Countries face continuous change in many contexts, such as a changing demography, shifting values or the changing requirements for public services. These changes create a need for new directions and improvement in specific fields and thus for strategic planning.

This chapter will explain how strategic planning works and what it requires. Furthermore, it will depict strategic planning in the Republic of Moldova at different administrative levels. The focus will be on local administrations and their opportunities to integrate local needs into regional and national development strategies and legislation. The second part of the chapter is dedicated to participation as a key factor for successful and sustainable planning.

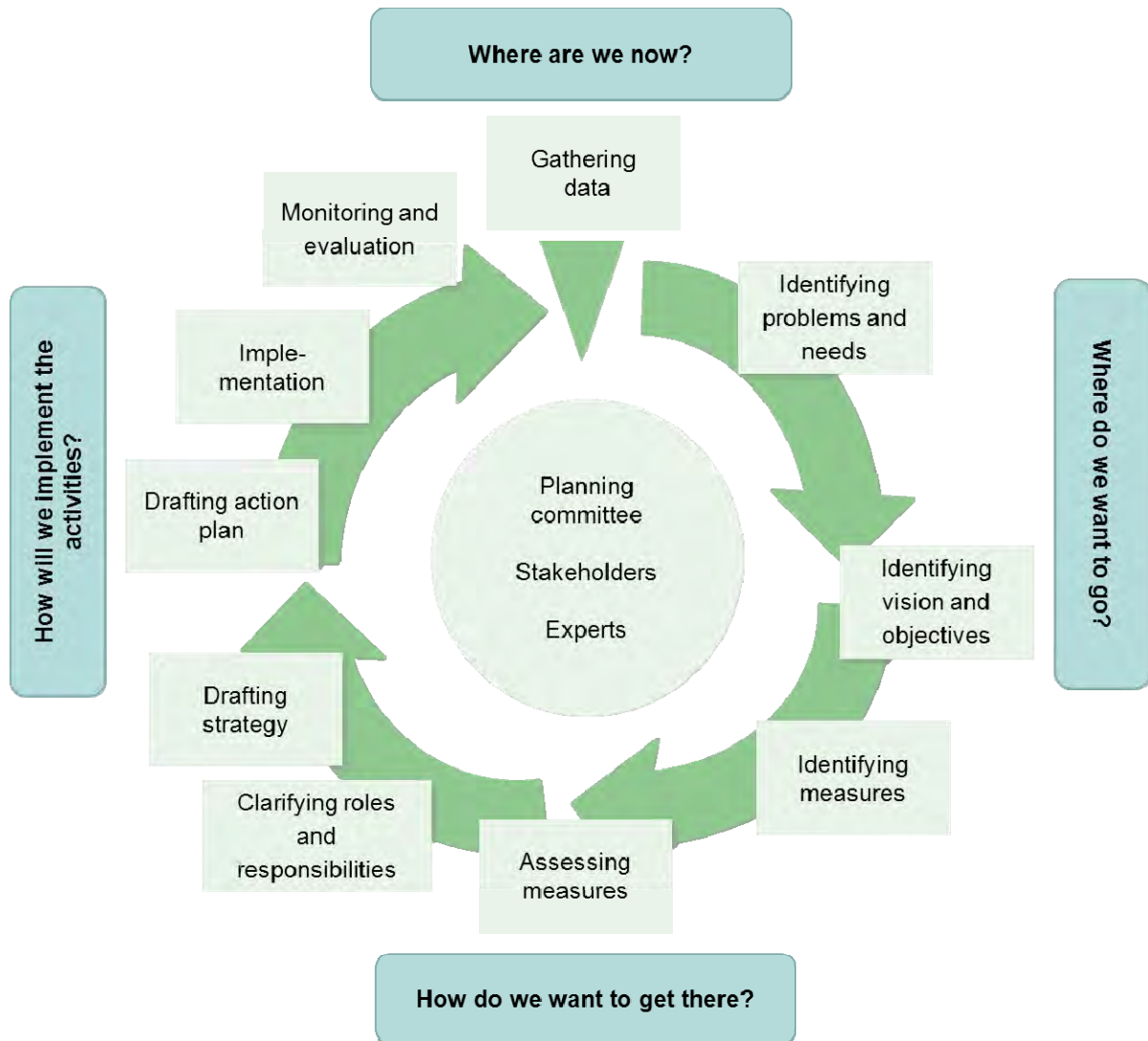
At the end of this chapter, a variety of challenges concerning participatory strategic planning in the RoM are described.

### 4.1 What is Strategic Planning?

Strategic planning is a tool for developing rational decisions and actions in order to encounter changes. It has to be understood as a **cyclical process** that follows a sequence of steps guided by four major questions (see Figure 4.1) (Kobus, 2003: 11).

To start the development of a strategy, the present **situation** has to be analyzed and understood. This includes the collection of data, for example monitoring results of existing strategies and plans, or conducting surveys or assessments of infrastructure and technology. Furthermore, stakeholders and their potential can be analyzed. A **vision** for the future should be set up. Out of identified needs, **objectives** can be formulated and appropriate **measures** subsequently derived. Depending on the sector and the particular situation, **options** have to be assessed (e.g. by feasibility studies) and prioritized. In order to implement activities, **roles and responsibilities** of relevant actors need to be clearly defined and reflected in the **action plan**. Continuous **monitoring and evaluation** should go along with the implementation of the strategy and if necessary adjustments should be made.

Ideally a **planning committee** (i.e. core team), **experts** and relevant **stakeholders** are involved in the strategic planning cycle.



**Figure 4.1: Strategic planning cycle (source: inspired by DEFRA, 2005; Kobus, 2003 and SLE, 2011)**

### Internal and External Conditions for Strategic Planning

Strategic planning requires adherence to certain conditions and institutionalization of the process. Kobus (2003: 14) distinguishes between internal and external conditions:

As a main **internal condition** he identifies the interest of political leaders in the content development process. As such, the administrative level must be committed to supporting the development and implementation of the strategy. At least one person (a project coordinator) should have the main responsibility for the strategy development. Concerning financial aspects, it is important to agree on realistic targets for funding as well as a budget for external inputs, such as logistical support. Finally, adequate data must be available.

Regarding **external conditions**, the interests and active involvement of relevant stakeholders should be considered. Thus, professional facilitators as well as technical experts should take part in the process.<sup>10</sup>

Whether internal or external conditions, there are three underlying **factors for successful sustainable strategic planning: participation, cooperation and coordination**. Applying these principles throughout the whole process leads to an acceptance of the results by key stakeholders and prevents actors from retrospective dissatisfaction.

## 4.2 Strategic Planning at the Local Level in the Republic of Moldova

In the RoM, strategies for local public services theoretically exist on all tiers of governance headed by the National Development Strategy 2012-2020 (Figure 4.2).<sup>11</sup> As a result of decentralization and to foster regional development planning, Moldova established the *National Strategy for Regional Development 2012-2014* (Government of the Republic of Moldova, 2010). It reflects the national policy and provides the framework for regional development strategies (RDS) with their respective regional operational plans (ROP).<sup>12</sup>

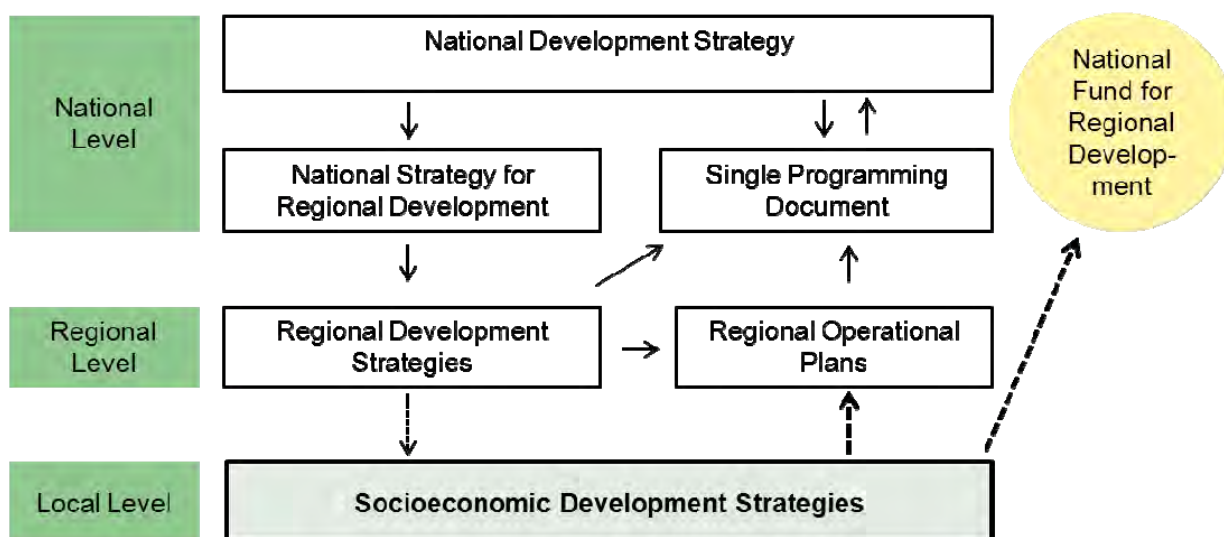
The development of strategies on the local level is not stipulated by law. However, it is the task of LPAs to provide local public services. **Socioeconomic development strategies (SEDS)** are an adequate planning tool to help local authorities establish autonomy and initiative in decision making (SLE, 2011: XIV).

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<sup>10</sup> According to Kobus (2003: 5) “experts should take a leading role [and] generate and compile data, develop scenarios, analyse costs, assess environmental impact. Stakeholders are expected to help in defining objectives, planning criteria, and site selection criteria, ranking scenarios, confirming compliance with national legislation, providing concerns about environmental impact, ensuring proposed environmental mitigation measures likely will satisfy their concerns. The proof of a successful strategic planning process comes when the selection of a scenario largely satisfies both experts and stakeholders.”

<sup>11</sup> Not adopted by law while writing this report.

<sup>12</sup> Regional development strategies (RDS) are policy documents developed by the regional development agencies. They identify priority projects and are valid for seven years. Regional operational plans aim at the implementation of the RDS. They are valid for three years (Government of the Republic of Moldova, 2006c: art. 4g and 11).



**Figure 4.2: “Top-down” and “bottom-up”: Strategic planning in Moldova (own development)**

Socioeconomic development strategies can lead to a coherent “**top-down**” and “**bottom-up**” approach to the planning process in Moldova.<sup>13</sup>

SEDS connect local priorities and needs with national and regional demands and targets. The content of SEDS can then provide input to the regional operational plans (SLE, 2011: 21).

SEDS are beneficial for various administrative levels: They are the basis for feasibility studies at the rayonal level and they have an impact on village development plans. Furthermore, developing SEDS eases the process of applying for funds, such as the National Fund for Regional Development (NFRD), as it gives administrations detailed background documentation to refer to in their applications (SLE, 2011: 21).

### Principles for Regional Development

In order to make this “bottom-up” approach work, administrative-level decision makers must ensure **broad-based participation** (see chapter 0) The RoM has set up **principles for supporting regional development** that should be considered for strategic planning.

These are **efficiency** (better use of natural, financial and human resources), **equity** (equal access to economic values and cultural and social rights), **sustainability** (technically, financially and institutionally sound measures), **planning** (develop strategies with clearly defined objectives and mechanisms that work in parallel with national and regional strategies), **coordination** (between different tiers of governance),

<sup>13</sup> Stipulated by the *National Strategy for Regional Development 2010-2012* (Government of the Republic of Moldova, 2010: art.13). Also see the “principle of countervailing influence” in chapter 2.1.

**partnership** (between the public and private sectors as well as civil society) and **transparency** (clarity in allocation processes and distribution of funds) (Government of the Republic of Moldova, 2006c: art. 2(2)).<sup>14</sup>

These principles for supporting regional development are crucial; however, one is missing. The need for a participatory approach in strategic planning is not yet included in Moldova's legal framework.

**Box 4.1: Background information: Socioeconomic development strategies (SEDS)**

The *National Decentralization Strategy* (Government of the Republic of Moldova, 2012: chapter IV) promotes the creation of local development strategies. SEDS can exist on the two local administrative tiers: on LPA1 level, approved by local councils (Government of the Republic of Moldova, 2006b: art.14p) and on LPA2 level, approved by rayon councils (ibid.: art. 43j). However, there is no legal obligation for either level to produce SEDS at present.

Many development organizations and institutions (e.g. the Moldovan Institute for Urban Development) support the development of SEDS on both levels. Such organizations recognize, among others, the advantage of visualizing local needs on the regional and national levels. For example, UNDP assisted in updating the SEDS in the rayon Rezina and USAID helped to develop the SEDS of the town Soldanesti (the capital of the rayon Soldanesti). GIZ MLPS, with the contribution of an SLE team, supported the writing of the SEDS chapter on water and sanitation in two rayons last year.

Applying the guidelines on how to develop and structure strategies outlined in Governmental Decision 33 of the RoM (Government of the Republic of Moldova, 2007) could create coherence in this plurality of SEDS on various levels.

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<sup>14</sup> These principles mainly go in line with the characteristics for good governance: participation, rule of law, transparency, responsiveness, equity, effectiveness and efficiency, accountability and strategic vision (UNDP, 1997).

## Basic Ideas of Participation

Participation is a precondition for locally-adapted public services and considered to be a cornerstone of democracy (UNDP, 2003). Furthermore, participatory elements can help to raise acceptance of governmental initiatives.

According to the concept of participation developed by BMZ (1999), participation means:

that social actors (humans and organizations) create their own opinion, articulate development targets, participate in decision-making, actively shape and lead changes, increase their scope of action (in particular disadvantage groups) in order to participate in political, social and economic processes.

Participation does not necessarily imply the loss of decision-making authority of governments. It rather reduces opposition and creates a sense of **ownership**. Participation of relevant stakeholders can lead to a trust-building and long-lasting cooperation structure (Kobus, 2003: 16; UNDP, 2003: 15; CLI, 2011: 18).<sup>15</sup>

However, the possible challenges of participation, such as a higher chance for disagreement (and conflicts to solve), additional costs and a time-consuming process should be considered. Therefore, when employing participatory methods, certain preconditions should be met, including communication structures and knowledge about rights and opportunities. In addition capacity assessment and development of decision makers and administrative staff as well as institutionalization of the stakeholder process should be considered (CLI, 2011: 148) (see chapter 5.1.1).

## Three Main Levels of Participation

Participation in practice can vary significantly. Its complexity can be reduced to **three main levels**, which are **information**, **consultation** and **cooperation** (CLI, 2011). These three levels of participation should be used to involve communities and stakeholders as much as possible in strategic planning processes (DEFRA, 2005): **Information dissemination**: Stakeholders are informed and aware about the particular strategy, process or proposal (e.g. through meetings or mass media).

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<sup>15</sup> Definition of stakeholders by CLI (2011: 17): "Stakeholders are people or institutions that have an interest in a particular course of development, or a particular decision, either as individuals or as representatives of a group. This includes people who influence a decision, who are key players in implementation, or who are affected by the development."

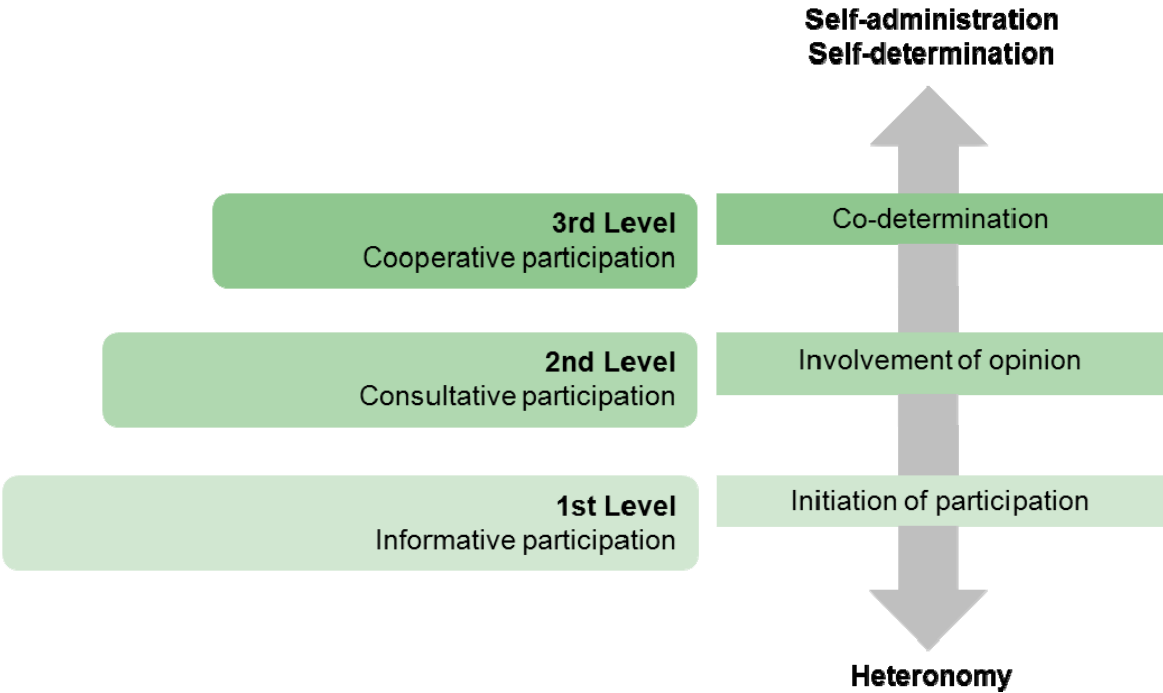


Figure 4.3: Levels of participation (from Nexus, 2010 and Arnstein, 1969: 217)

**Consultation and needs assessment:** Stakeholders are consulted for their needs, experiences or opinions (e.g. in surveys, questionnaires, workshops or comment forms). However, it is not guaranteed that their comments are included in final decisions.

**Cooperation:** Stakeholders are significantly involved in decision making while collaborating with technical experts and politicians during the development of a strategic plan. In this way, expert knowledge is properly interpreted, opposing perspectives are understood and a common ground can be found. This leads to increased legitimacy and public trust.

### 4.3 Participative Elements in the Republic of Moldova

In recent years, the Government of the Republic of Moldova made an effort to improve cooperation with civil society. The *Civil Society Development Strategy for 2008-2011* was ratified in 2008 and in 2010 the National Council for Participation was founded (VENRO, 2011).

However, big gaps in participation are still prevalent on the local level. Only poor communication structures between local councils and residents exist. Decision-making processes often lack transparency and citizens are not consulted about their needs (Government of the Republic of Moldova, 2012: part 1, V).

The RoM as a young democracy needs more time to develop an active civil society that is committed and engaged to articulate its needs. Old Soviet structures charac-

terized by centralized state power influenced the public mentality for decades. However, these habits are gradually changing. NGOs should take advantage of this opportune moment to represent the voice of the people in political discussions and to fulfill their watchdog function (VENRO, 2011).

#### 4.4 Challenges for Participatory Strategic Planning of Local Public Services in the Republic of Moldova

So far, strategic planning of local public services (LPS) in the RoM is not institutionalized. Reasons for this have been described in the previous chapters (e.g. the weak legal framework and the young decentralization process). If strategies are agreed upon, the quality of their development and implementation often is insufficient (Government of the Republic of Moldova, 2012: chapter I-3).

Thus, there is a strong need to institutionalize strategic planning, which can only be successful if stakeholders meet the mentioned requirements (chapter 4.1) and adhere to the principles for supporting regional development (chapter 4.2).

Based on the present situation in the RoM and on the experience of last year's SLE assignment there, the following main challenges in participatory strategic planning are:

- **Participation is not a usual practice,**
- **Unclear roles and responsibilities** of actors due to an ambiguous legal framework, and
- **Low level of cooperation and communication** between administrations on the same and different levels.

Tackling these obstacles means:

- **Promoting the application of participatory elements** within society. This can stimulate an active citizenry and trigger commitment of communities and stakeholders for a participatory bottom-up process.
- **Involving main stakeholders.** They will learn how to fulfill their roles in the course of strategic planning. It is indispensable to clarify self- and legally attributed roles and responsibilities of each actor and to align them.
- **Fostering cooperation and communication** between different administrative tiers, different sectors and different municipalities.

The participatory strategic planning approach designed by the SLE team (see chapter 5.2) considers these shortfalls and supports the institutionalization of participatory strategic planning for LPS, hereby using solid waste management as an example.



## 5 Methods and the Design of the Participatory Strategic Planning Approach

The SLE team designed the participatory strategic planning approach (SLE approach) and its underlying methods to reach the central outcomes of the assignment (see Figure 1.3):

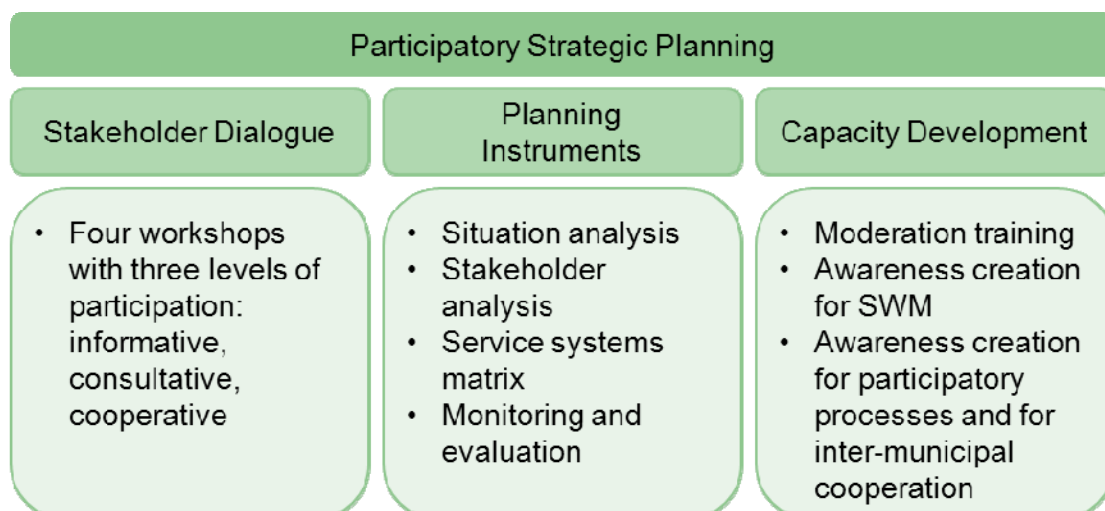
- 1) Contributing to the participatory development of the content of the SWM strategy for the pilot region,
- 2) Fostering inter-rayonal and inter-municipal cooperation and exchange of experiences for the common waste management area, and
- 3) Enabling rayon administrations to replicate the participatory strategic planning approach for other sectors.

Furthermore, the SLE team took into consideration the general challenges for participatory strategic planning in Moldova. The challenges significantly influenced the resulting developed methods and SLE approach (chapter 4.4).

Chapter 5 first highlights the methods chosen to develop the participatory strategic planning approach and concludes with describing the completed approach. Both sections are a basis for better understanding chapter 6, where the respective steps of the participatory strategic planning approach are explained in detail.

### 5.1 Methods to Strengthen Participatory Strategic Planning

Figure 5.1 displays the central methods and their respective instruments used to support and implement participatory strategic planning.



**Figure 5.1: Methods and their respective tools for participatory strategic planning (own development)**

- The SLE team chose the **stakeholder dialogue** as a methodological approach to realize participation of all relevant stakeholder groups in strategic planning for LPS.
- The team used select **planning instruments** to deliver and monitor results for relevant steps of the strategic planning process (Figure 4.1).
- The SLE team conducted **capacity development** activities, such as training for moderators and training on the job, throughout the SLE assignment to encourage the replication and further development of the participatory strategic planning approach.

### 5.1.1 Stakeholder Dialogue

The SLE team created opportunities for stakeholder dialogue to encourage relevant stakeholders to contribute to the strategic planning process.<sup>16</sup> The intention of stakeholder dialogue is to create long-lasting cooperation for and commitment to planning and the SWM service system. Important key principles that should be respected throughout the stakeholder process are participation, transparency and equity. There are different levels of participation and dialogue (Figure 4.3) that can be adjusted according to the needed level of involvement of a stakeholder group (CLI, 2011).

#### How Was the Method Applied?

The SLE developed a sequence of workshops as a platform to implement structured stakeholder dialogues. The type of participation (Figure 4.3) of a certain stakeholder group varied throughout the process and depended on the scope of its needed commitment and role in updating the SEDS chapter on SWM.

### 5.1.2 Planning Instruments

The SLE team selected planning instruments according to the requirements of each step of the strategic planning cycle (Figure 4.1). Situation analysis, monitoring and evaluation are inherent parts of the broader strategic planning cycle, while the service system matrix is an instrument designed to plan local public services specifically. Additional planning instruments and details are given in chapter 6.2.

#### Situation Analysis

To develop strategy content the current situation first has to be analyzed. The SLE team used the following analytical tools:

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<sup>16</sup> Relevant stakeholders for the updating process of the SEDS chapter were: LPA1 and LPA2, RDA North and Center, national level (MRDC, MoE and State Chancellery), civil society, NGOs, private sector, providers of SWM services (formal and informal), mass media and waste producers.

- **Semi-structured questionnaires** (Annex V: Questionnaire) were distributed to all mayors of the pilot region (in total 87) at the kickoff meetings in order to get an overview of the solid waste situation of their villages. The questionnaires revealed information about challenges, practices and cooperation regarding SWM from the perception of the mayors. Results should be viewed as trends because the questionnaires may contain some bias as the mayors might not know all details about the waste problems in their rayons.
- **Expert interviews (chapter 6.1.4 and Annex II: Expert Interviews)** were conducted among SWM experts, rayonal and national level administrative staff as well as among NGOs, service providers and other relevant stakeholders. For a more comprehensive understanding of the solid waste situation in the communities, an additional 12 interviews with mayors were conducted.

### **Service System Matrix**

The service system matrix is a strategic planning instrument used to analyze and design a system for local public services according to the respective local conditions. This instrument is based on the logic of the service system model: It describes the relationship between government, service providers and users (Rauch, 2009: 303) (chapter 2.2). The aim of this tool is the clarification of roles, responsibilities and actions of all relevant stakeholders in order to set up a new service system that covers the needs of the local population in this field. The design of a service system is an incremental planning and negotiation process with the help of a set of analytical instruments (see Annex VI: Service System Approach).

#### **How Was the Instrument Applied?**

The first steps of this rather complex planning tool were applied during the planning process (see Annex VI: Service System Approach for a detailed description). It was used to demonstrate and apply a strategic planning tool in order to develop preliminary results in a participative manner.

### **Monitoring and Evaluation**

Monitoring and evaluation (M&E) is an essential part of the methodological approach. Monitoring regularly observes the internal development of the project in order to ensure that the project is on track to achieve its goals and objectives; evaluation looks at the results in terms of efficiency, effectiveness, impact and sustainability (DFID, 2005).

#### **How Was the Method Applied?**

The SLE team documented and evaluated each of its workshops and tools in order to monitor the projected outcomes and outputs and to assess the whole participatory strategic planning approach. The applied M&E tools were manifold as workshop par-

ticipants filled out evaluation sheets, and partners (GIZ, RDA and CALM) could monitor each aspect of the workshop through observation sheets (see an example in Annex 2). At the end of every workshop, regular feedback sessions with SLE partners and translators completed the M&E process. The completed observation sheets and protocols were used in order to draw lessons learned from which follow-up workshops could be improved.<sup>17</sup>

### **5.1.3 Capacity Development**

Capacity development is not only necessary to make the developed approach repeatable for future participatory strategic planning by LPA2 and RDAs, it is also needed to have a sustainable and broad-based impact on the SWM sector by raising awareness among all relevant stakeholders.<sup>18</sup> Furthermore, the administrative level and civil society need to be trained in different fields of action in order to create a functioning and balanced system (Rauch, 2009: 309).

#### **How Was the Method Applied?**

Capacity development took place during the whole SEDS planning process on SWM. The participatory strategic planning approach was designed to transfer strategic planning skills to the planning committee.

RDA and LPA2 representatives were involved in the conceptual and organizational planning of the workshops. Additionally, they received moderator training before and on-the-job training during the workshops. Opportunities for discussion as well as interactive and participatory tools used during the workshops encouraged cooperation and communication between various stakeholders. Workshop attendees discussed stakeholder roles and responsibilities - which is one important aspect of capacity development (CWG, 2010: 8).

Furthermore, awareness raising and knowledge transfer on participatory strategic planning and on SWM were regular topics in all workshops. Thus, individual stakeholders and civil society were informed about the purpose of the SLE assignment and the planned SWM service system through interviews, information sheets and an exhibition in the building of the Rayon Administration of Soldanesti.

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<sup>17</sup> Except the inter-rayonal workshop every other workshop was conducted three times in a row.

<sup>18</sup> Capacities and skills in the context of this assignment refer to hard skills such as strategic planning and organizational skills as well as soft skills like moderation, awareness, communication, cooperation and commitment for the updating process of the SEDS chapter.

## 5.2 The Design of the Participatory Strategic Planning Approach

The SLE approach consists of a workshop sequence, but also includes other elements such as questionnaires and stakeholder interviews (chapter 6.1).

The approach was structured according to the first steps of the planning cycle for strategic planning (Figure 4.1). During the field phase, the design was adapted to the local context.

The sequence of workshops aimed at two goals:

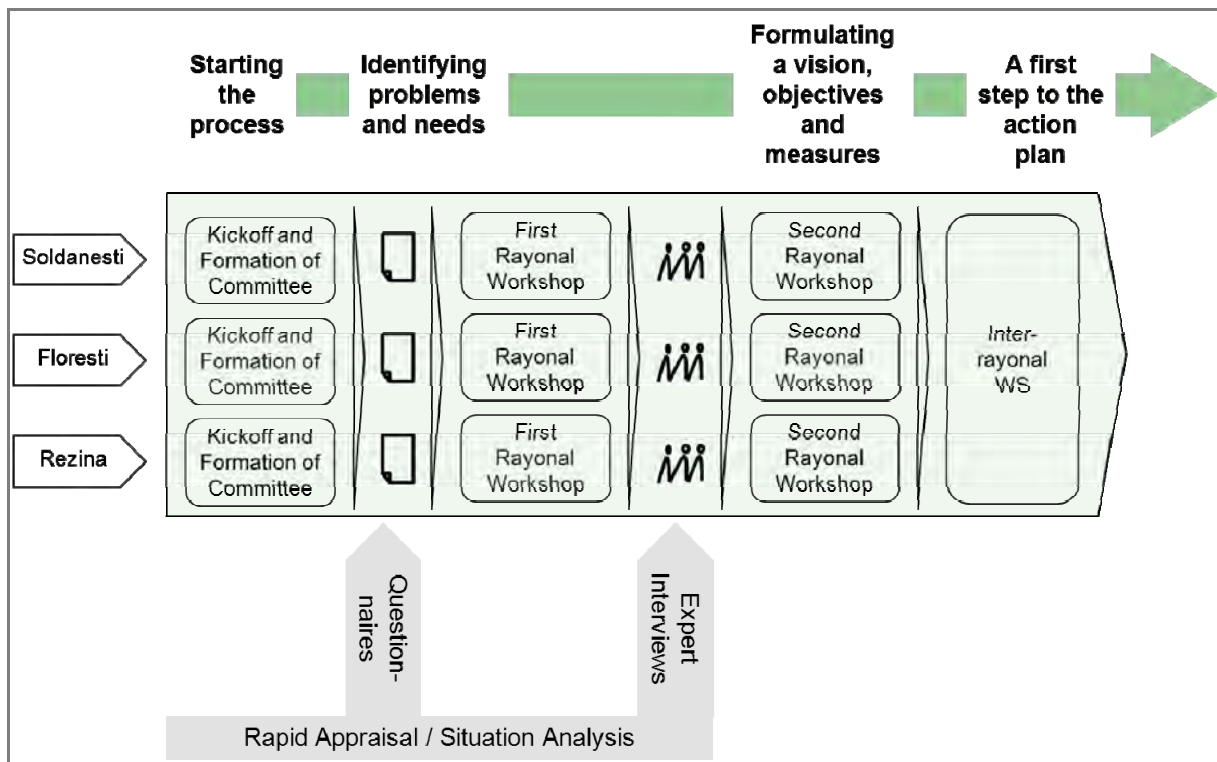
1. to strengthen participatory strategic planning and improve communication and cooperation between stakeholders in this sector, and
2. to develop SWM-specific content for the socioeconomic development strategy.

Instruments for enhancing participation and capacity development were an integral part of each planning step. This was meant to increase the possibility of local partners replicating the approach.

### Steps of the SLE Approach

The SLE team chose a step-by-step bottom-up approach in order to first gain a broad knowledge of local needs, then widen the discussion and invite other stakeholders to partake in the process.

1. For **starting the process** questionnaires were distributed to the mayors (LPA1) during the kickoff meeting and the rayonal planning committee (SEDS team) was formed. The questionnaires served to analyze the situation rapidly and were a good starting point to trigger discussion and to motivate mayors to participate further.
2. **Problems and needs** at the local level were identified in a participatory session during the first rayonal workshop, using the results of the questionnaires as a starting point.
3. The findings obtained from the questionnaires and discussions during the workshops were complemented through expert and stakeholder interviews.
4. Based on the needs, **objectives** of the strategy were formulated by the SLE team and revised by an expert on SWM. During the second rayonal workshop, participants from each rayon assessed these objectives. At this time, preliminary ideas for a **vision** were collected and **measures** for the respective objectives were defined.
5. **First steps toward a future action plan** were taken during the inter-rayonal workshop. Stakeholders had the opportunity to exchange their perspectives about potential roles and responsibilities in a future waste service system.



**Figure 5.2: SLE approach for updating the three pilot rayons' SEDS chapter on SWM (own development)**

The steps of the strategic planning cycle (see Figure 4.1) were addressed in an abbreviated form in the participatory strategic planning approach until the “clarification of roles and responsibilities” section. In order to proceed, the SLE team provided recommendations on next steps for updating the SEDS chapter on SWM (see chapter 6.5).

## 6 The Participatory Strategic Planning Approach

This chapter describes the implementation and the results of the participatory strategic planning approach. The entire approach and its toolset will be critiqued with reference to its intended impact. The purpose of each step and its location in the strategic planning cycle (Figure 4.1) are highlighted in order to make it more comprehensible.<sup>19</sup>

The chapter starts with a basic introduction into the solid waste situation of the pilot region. This has laid the groundwork for developing the strategy content. Chapter 6.2 then looks at the series of kickoff meetings and workshops. The contributions of the workshops for strengthening participatory strategic planning and for developing content for the SEDS chapter on SWM are presented and analyzed for each step (chapter 6.2 and 6.3). Finally, chapters 6.4 and 6.5 contain lessons learned and a critical review of how far the approach has to be adopted in order to easily be replicated by other actors in the field.<sup>20</sup>

### 6.1 Capturing the Situation: Solid Waste Management in the Pilot Rayons



The following section will briefly look at the current waste situation in the pilot rayons Soldanesti, Floresti and Rezina.

First, what should a situation analysis in solid waste management comprise? Adequate and reliable data that are the basis for analysis of the current situation are needed in order to develop a strategy. Data from the SWM sector can be gathered by local administrations, service providers, external experts and other relevant stakeholders (e.g. NGOs) (Kobus, 2003: 25).

Guidelines (Kobus, 2003; DEFRA, 2005) recommend taking the following issues into consideration when conducting a situation analysis:

- **Contextual information:** data and factors that can influence the nature and quantity of waste arising and help to explain trends.
- **Technical information:** data on type, amount and composition of currently produced waste and predictions for the future. It can include an appraisal of

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<sup>19</sup> In the following subchapters, figures of the simplified planning cycle can be found. Those figures indicate to which specific step of the planning cycle the presented element of the approach belongs.

<sup>20</sup> The entire approach was conducted within eight weeks.

the condition of infrastructure and equipment, such as collection and disposal facilities, trucks and containers.

- **Current SWM practices:** an analysis of current practices for collection, transport, treatment and disposal of waste.
- **Roles and responsibilities:** an analysis of actors involved in waste management.
- **Financial and legal aspects:** an analysis of costs for collection, transfer, treatment and disposal of solid waste (which might include the households' willingness and ability to pay for the waste service) as well as an understanding of existing policies and legal requirements.

### 6.1.1 The Rapid Appraisal

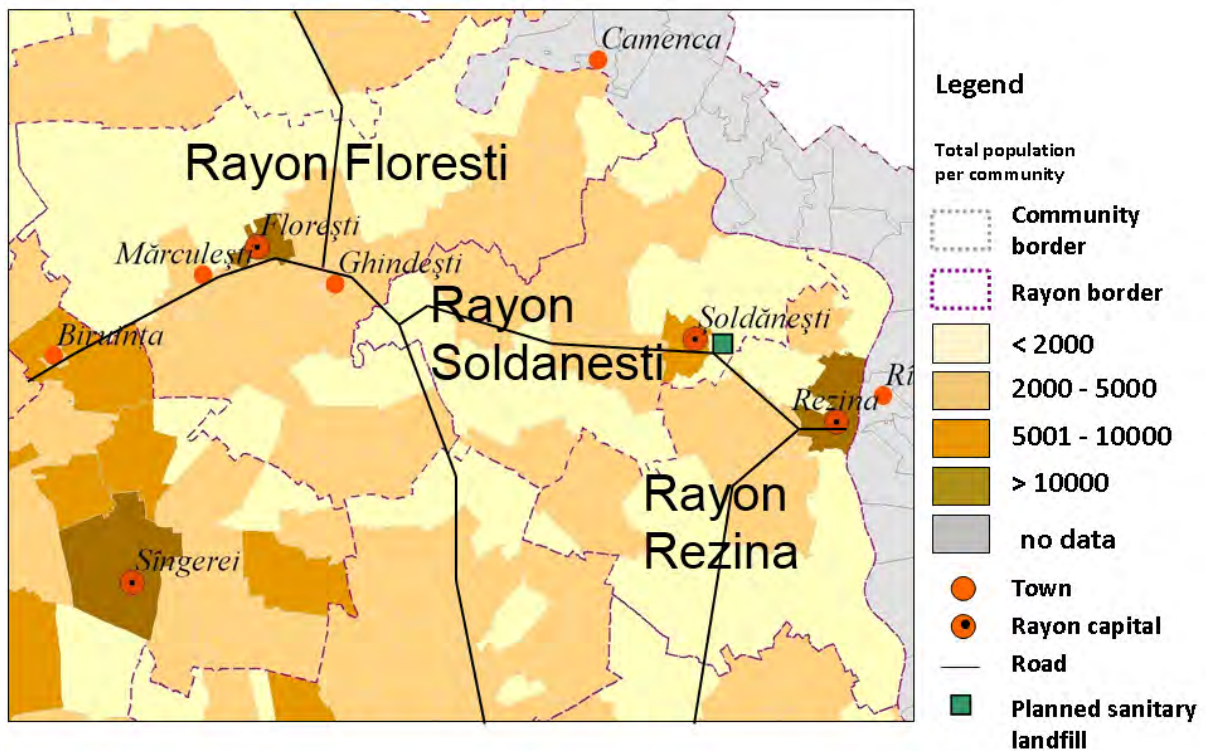
As only limited information was available concerning the current SWM situation, the SLE team carried out a rapid appraisal. Besides questionnaires and interviews, further data and background information about the pilot region were derived from:

- existing local strategic documents (SEDS),
- reports, fund applications and results from a survey of a small number of communities when starting the project on SWM,
- an assessment of the planned sanitary landfill by an international waste expert, and
- official statistical data (e.g. from the State Ecological Inspectorate and local administrations).

### 6.1.2 Contextual Information: Basic Data on the Pilot Rayons

The three pilot rayons Soldanesti, Floresti and Rezina are located in the north-eastern part of the RoM, crossing the western part of Transnistria (see Figure 6.1). Their total area covers 15 percent of the RoM and is comparable to the size of the country Luxembourg. The rayons belong to the two different development regions Center and North where different regional development strategies are applied.





**Figure 6.1: Pilot region (source: Ministry of Economy of the Republic of Moldova, 2009, modified by SLE)**

Although predominately rural and less populated than other parts of the RoM, some industry can be found in rayon Floresti; there are a small textile factory in Soldanesti and a bigger cement factory close to the rayon capital of Rezina. However, the majority of citizens are peasants. Most communities are small (below 1,500 inhabitants) and only accessible by unpaved roads, which make transportation time consuming and cost intensive. A paved national road and a rarely used railway line connect the towns of Floresti, Soldanesti and Rezina. There is a domestic airport in the rayon Floresti.

Few employment opportunities in the region, particularly for young adults, force a large proportion of the population to work abroad. Remittances are therefore an important economic factor in rural Moldova. Due to this migration, the pilot region has to cope with a decreasing population of 0.42 percent (GIZ/GOPA, 2011: 3), which is characteristic for rural areas in the RoM (see Box 1.1).<sup>21</sup> The following table presents detailed data on the three pilot rayons.

<sup>21</sup> Population trends are an important factor for estimating the future generated waste amount.

**Table 1: Basic data on the pilot region**

	Soldanesti	Floresti	Rezina
<b>General data</b>			
Size of rayons	581 km <sup>2</sup>	1,108 km <sup>2</sup>	658 km <sup>2</sup>
<i>Population:</i>			
- total rayon (year 1989)	46,850	104,680	54,820
- total rayon (year 2012)	43,000	89,500	52,300
- rayon capital (year 2012)	7,500	15,400	13,400
Number of communities	23	39	25
Monthly average wage	~ 1,345 lei (€85)		
<i>Source: NBS 2012</i>			
<b>SWM-specific data</b>			
Service provider (in rayon capitals)	Municipal: <i>Apa Regia</i>	Municipal: <i>Servicii Co- munale</i>	Municipal: <i>Apa Regia</i> and private: <i>Ecoverde</i> (starting soon)
Service fee per household	5 lei per month	7-9 lei per month	-
<i>Responsibilities for waste disposal:</i>			
- individual households	64%	68%	79%
- formal service provider	20%	13%	16%
- informal service provider	16%	19%	5%
<i>Forms of waste disposal:</i>			
- authorized dumpsites	33%	33%	28%
- unauthorized dumpsites	25%	36%	28%
- burned	29%	19%	27%
- buried	13%	12%	17%
<i>Cooperation forms (number of villages):</i>			
- using the same polygon	4	4	1
- using the same collection system	2	2	-
- no cooperation	17	25	17
<i>Source: own rapid appraisal</i>			

### 6.1.3 Current Solid Waste Management Practices

The SWM situation in Soldanesti, Floresti and Rezina is relatively homogenous. Major differences can be found between rural and urban areas.

The actual waste generation is estimated at 0.7 kg per person per day in urban areas and at 0.5 kg per person per day in rural areas. Although the population is decreasing, international waste experts expect a yearly increase of **waste generation** of two percent (GIZ/GOPA 2011, 3).

**Separation of waste** does not play an important role in the three rayons and is not cost effective. The mixed household waste including organic materials, such as animal dung or hazardous substances, is not separated. Biodegradable waste is predominantly generated in rural areas, but not reused (e.g. as compost).

The rural areas of the three investigated rayons lack a solid waste service system whereas all towns and most bigger villages are covered by a waste **collection and transportation** system. Modest municipal services as well as a recently-opened private waste service provider exist (see Table 1). However, the service is underdeveloped and does not cover the total number of corresponding households. The fees of contracted residents are not sufficient to cover the regular operational costs of the municipal service providers (Janikowski, 2011: 2).<sup>22</sup>

Only very few examples can be given regarding **recycling and treatment of waste** in the pilot rayons. Until approximately one year before this study was conducted, a glass factory in Floresti recycled glass bottles, but the enterprise closed. Old metal is the only material that is collected and later sold for recycling by small enterprises in the capital of Moldova. Moreover, the cement factory in Rezina is interested in recovering energy from certain waste types (e.g. old tires), which would require a large waste management area with separation.

So far, four options exist for **disposal** or removal: Waste is either collected and transported to a few authorized dumpsites (polygons) or disposed illegally by private households on their own, by dumping at the many unauthorized places, burned or buried.<sup>23</sup> The latter three activities come into play because solid waste collection services are insufficient or tariffs cannot be afforded. Burning waste is a common practice, even in private yards. Janikowski (2011: 3) describes the waste disposal of the rayon capital Soldanesti as follows:

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<sup>22</sup> There are no experiences with the new private service provider in the rayon Rezina.

<sup>23</sup> The number of unauthorized dumpsites varies in different studies as there is no clear definition. But one can expect to find approximately four major illegal dumpsites per community (Bacal, 2011: 24).

“The collected waste is transported to an open, uncontrolled dumpsite, which is located nearby a forest and close to a lake and does not have any mitigation measures to avoid environmental damages.”

In the SLE questionnaires mayors of the three rayons stated the inefficient or missing SWM system as one of their three major problems, the others being lack of potable water and the bad condition of roads. However, according to SLE observations and interviews with key experts the population’s **awareness** of the negative health and ecological consequences of inadequate waste treatment or disposal is estimated as low.

### **Box 6.1: Case study: Absence of a SWM service system in a small community**

The small village Marculesti is located in the rayon Floresti between two neighboring cities with a functioning SWM system. The mayor describes the situation in the following way:

*“There are only 1,030 inhabitants in our village. Not enough to arouse any interest of the waste service provider of the neighboring city to cover our village as well. It is not economic to collect and transport our waste. They would offer the service only if at least 100 households pay for the service. But the price of 20 lei per month per person is four times higher than in the city due to the distance. It is too much for our villagers to pay for it.”*

Instead of paying the high tariff, inhabitants currently bury, burn or dump the waste in unauthorized places outside the village.

This description is representative of many other communities in the pilot region as well.



**Image 6.1: Unauthorized dumpsite in the rayon Floresti (own image)**

So far, **cooperation** between neighboring communities regarding waste management is mainly inexistent. Some villages use the same polygon or share the same collection system, but the majority of communities is trying to manage the waste on its own, which leads to the existence of a high number of dumpsites.

Due to the cooperation between GIZ-MLPS and local administrations in the pilot rayons, preliminary **physical investments** - such as platforms, recycle yards in rayon capitals and transfer stations - will be implemented very soon. The first construction measures for the sanitary landfill close to the town of Soldanesti are planned for 2013.



Image 6.2: Platform for waste collection in Soldanesti town (own image)

#### 6.1.4 Principal Stakeholders on the Local Level and their Role in the Solid Waste Management Sector

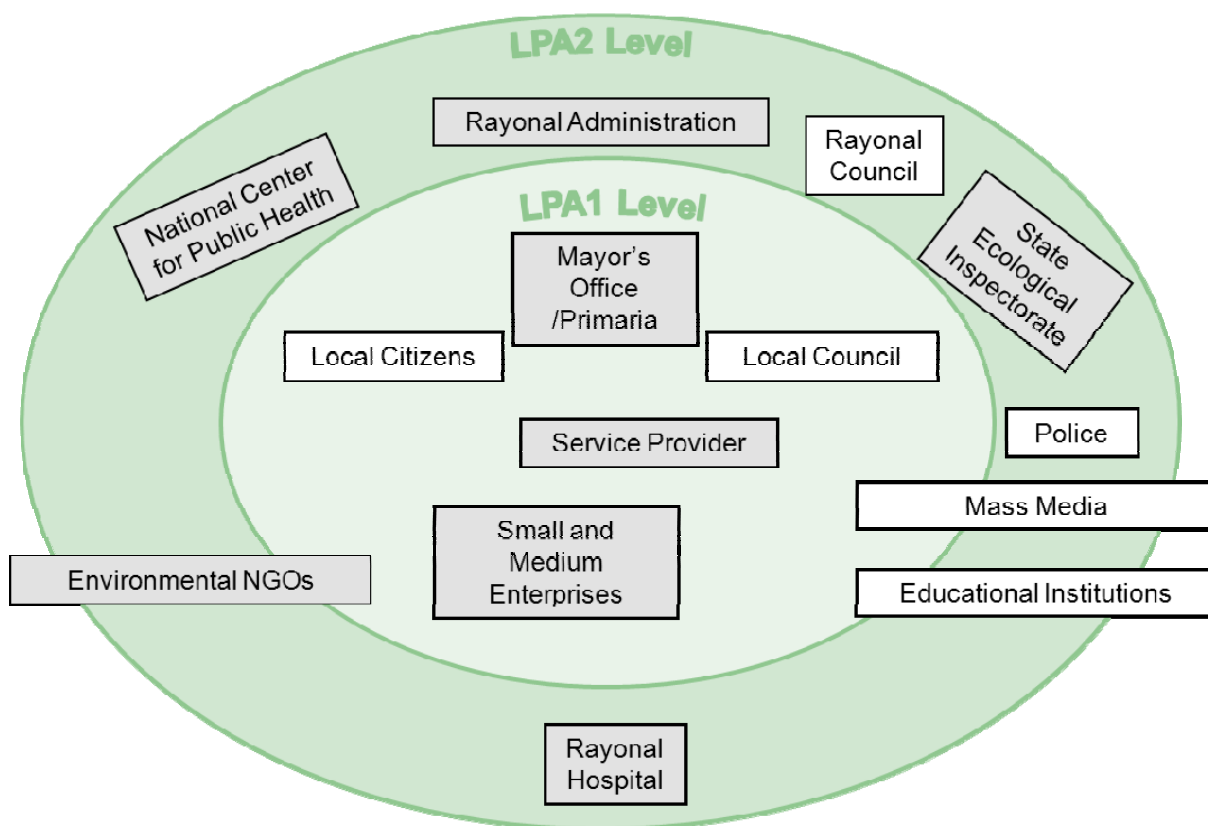
This subchapter will give an overview of the main actors at the local level. The findings and statements are mainly based on 31 expert interviews conducted with these actors in the pilot region.<sup>24</sup> The following figure shows a visual representation of the local-actors landscape. Some of the most important actors in the gray boxes will be described in this section. In doing so, their role in SWM, their strengths and weak-

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<sup>24</sup> An overview on the conducted expert interviews can be found in the Annex II: Expert Interviews.



nesses, possible areas of intervention, their interests, potential conflicts and partnerships with other stakeholders will be examined.



**Figure 6.2: Main local actors in the pilot region (own development). Grey boxes indicate that the actor was interviewed by the SLE team.**

### Rayon Administrations (LPA2)

The second tier of local public administration bodies in the RoM consists of a council elected every four years during general elections, a rayon president (elected by the council) and the presidential apparatus (rayon administration) subdivided into different departments, whose composition can vary between the rayons (compare Annex XI: Organization Charts of the Three Pilot Rayons' Administrations ).

The rayon administrations are responsible for developing SEDS content on the rayonal level and therefore they are one of the most important actors in the assignment. However, a separate SEDS chapter on SWM does not yet exist in the pilot region (see chapter 6.1.5).

As other public institutions in the RoM, LPA2s require more financial and human resources as well as technical and strategic planning expertise in order to exercise their function adequately. As the LPA2s do not have experience in the field of SWM, professional external advice and support are indispensable for strategy development. However, once an inter-municipal SWM system is ready to be implemented, LPA2

can assume the coordination role between the LPA1s. In this case, responsibilities must clearly be defined to avoid further conflicts between the two administration levels.

The LPA2s are interested in legitimizing their role and increasing their importance in the political system of the RoM.<sup>25</sup>

### **Municipal and Village Administrations (LPA1)**

The LPA1's responsibility in SWM is the provision of the service to the inhabitants of its territory. It operates on the local level, is the closest political actor to the population and is elected every four years. The function of the local council is equivalent to the council on the rayonal level.

The relationship between LPA1 and LPA2 is marked by constant disputes concerning political competencies and responsibilities on the local level.<sup>26</sup> Also the budget distribution is discussed between the two actors.

The main characteristic of LPA1 is the proximity to the citizens. As LPA1 is the citizenry's primary level of representation, it is the most informed and therefore best positioned to make decisions on the citizens' behalf. However, the lack of financial resources of villages and municipalities limits the possibility of developing autonomy. Knowledge and experience on writing project proposals and accessing regional or national funds is necessary at this level. The interest of LPA1 to develop the content of a waste management strategy on the rayonal level is to allow its population to benefit from such services. As a result, the administration in charge can increase its political capital and eventually raise the probability of being reelected.

### **The Deconcentrated State Entities (SEI and NCPH)**

The responsibility of the deconcentrated state entities, the State Ecological Inspectorate and the National Center for Public Health, is to supervise the ecological and health situation in their respective rayons. They are subordinates of the Ministry of Environment and the Ministry of Health.

The two entities collect statistical data - like the number of authorized dumpsites - and identify polluted areas and disease outbreaks. They have the ability to inform the population and raise awareness. SEI and NCPH moreover have the right to impose penalty charges to LPA1 and individuals if the corresponding laws are not respected. Still, lacking financial and personal resources complicate the exercise of their duties.

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<sup>25</sup> The territorial structures of the second local level have changed over time. Their current constitution and even their existence at all is under debate in the RoM.

<sup>26</sup> For instance, the question arose whether LPA1 or LPA2 should be in charge of an inter-municipal SWM system.

In order to strengthen them, the available resources have to be raised and their work should be backed by the judicial system.

Potential conflicts can occur with LPA1 as SEI and NCPH are supposed to control LPA1's activities in these fields. Though both institutions were created at the same time, they act independently. A closer cooperation could help to combine ecological and health aspects and their interaction.

### **Nongovernmental Organizations (NGOs)**

The function of NGOs is to pressure state authorities to exercise their responsibilities or to replace public services when they are not officially provided. In the area of SWM, local NGOs seek to improve the waste situation by creating awareness among the population or organizing cleaning days where waste is partially removed by the participants. However, the number of NGOs in this field in the pilot rayons is very low and only occasional activities are carried out.

One strength of NGOs is their independence from political and (partially) economic interests. Another strength is the proximity and the subsequent access to the population as many NGOs are rooted in local populations. Weaknesses are the low level of organization and professionalism and the lack of finances. These aspects need to be strengthened to raise their impact on the political system.

Possible conflicts can arise between NGOs and political institutions if the latter do not exercise their duties. Another opposing actor is the private sector, as economical aspirations often run contrary to ecological benefits.

### **The Private Sector**

The private sector in the pilot region mainly consists of small and medium enterprises like construction companies, a textile or a glass factory. Also a big international cement factory is located in the rayon Rezina. Regarding SWM, the companies seek, on the one hand, to dispose their production waste. On the other hand, they make use of selected waste materials in order to recycle them or recover energy out of them. Up to now, only a few small companies form part of a not very profitable recycling system collecting, for instance, old metals. However, they expressed their interest in increasing the amount of recycled waste in their production cycle.

Medium-to-large private companies possess financial resources, technical know-how and equipment that could be incorporated into a SWM system in the event that the companies considered joint ventures as profitable. Yet, the profit orientation is also risky for the service system as private companies tend to leave the system as soon as profit dries up. Another challenge for a SWM system is industrial waste itself: Its composition differs from regular household waste and special disposal methods have to be considered in a waste system due to its high toxicity.





**Image 6.3: Junk dealers (left) like the one in Soldanesti are still scarce in the pilot regions (own image)**

**Image 6.4: LaFarge, a cement factory in Rezina, (right) burns old tires to generate energy for the production of cement (own image)**

Private companies can be involved in a SWM system in public-private partnership agreements with the municipal service provider. During the assignment, none of these agreements were identified in the pilot region.

### **Municipal Waste Service Provider**

Expert interviews were conducted with service providers in the municipalities Soldanesti and Floresti. Their responsibility is to collect, transport and dispose of the waste in their respective catchment areas. Generally, they are also in charge of collecting the waste fees of the service users. Municipal waste service providers depend politically on the local administrations and the service users' willingness and ability to pay. They also play an important role within an existing infrastructure and have experience in the field of waste management that can be broadened if necessary. In this case, technical equipment and infrastructure must be provided and staff must be trained to manage a system on a larger scale.

In the field of cooperation, private companies can be involved in the system and NGOs can offer their capacities to realize awareness raising campaigns.



**Image 6.5: This garbage truck of Apa Regia, a communal service provider, already operates in the town Soldanesti (own image)**

**Table 2: Systematic overview of consulted local stakeholders related to SWM in the pilot region**

<b>Actor</b>	<b>Constitutional role / Interest</b>	<b>Capacities / Potential</b>	<b>Weaknesses / Constraints</b>	<b>Cooperation / Conflict with other actor</b>
<b>Rayon administration</b>	Formulation of a waste strategy	Can promote co-operation between LPA1s	Lack of planning experience; lack of technical expertise	Possible disagreement with LPA1 concerning responsibilities in SWM system
<b>Mayorality (LPA1)</b>	Implementation of the SWM system	Legitimacy to decide for the population; attract funds	Lack of financial resources	Possible disagreement with LPA2
<b>Deconcentrated state entities</b>	Supervision of environmental and health situation	Expertise in ecological and health issues; right to impose penalties	Lack sufficient financial and human capacities	Possible conflicts with LPA1 due to its function

<b>Actor</b>	<b>Constitutional role / Interest</b>	<b>Capacities / Potential</b>	<b>Weaknesses / Constraints</b>	<b>Cooperation / Conflict with other actor</b>
<b>Service provider</b>	Collection and transportation of waste	Technical infrastructure, right to charge and impose waste fees	Limited capacity; dependent on waste fees of the waste producers	Possible cooperation with private companies and NGOs
<b>Private companies</b>	Usage of waste (e.g. in the production cycle)	Financial resources, raise value of waste in production cycle	Can make use only of recycled waste; depend mostly on communal/ regional waste system	Possible conflicts with NGOs, cooperation with service provider
<b>Civil society / NGOs</b>	Reduce the harmful effects of waste, raise awareness of the population	Close contact to population; independence from political interests	Lack of financial resources; low level of professionalism and organization	Possible conflicts with private companies, cooperation with service provider

### 6.1.5 Short Review of Existing Local Strategic Planning Documents on Solid Waste Management

Regional priorities for the SWM sector can be derived from the respective chapters of the regional development strategies for the north (2010) and center regions (2010). The existing SEDS for the rayons of Soldanesti and Rezina do not include a chapter on SWM. In the *Socioeconomic Development Program for the Rayon Soldanesti 2012-2014* (Rayonal Council Soldanesti, 2012), waste is mentioned in the chapter on environment. It identifies the dumpsites and the lack of an adequate area for waste storage as major problems leading to detrimental environmental effects. The improvement of waste management, systematic collection of waste, liquidation of dumpsites, disposal according to international standards and raising of public awareness about the waste problem are suggested as measures to protect the environment and natural resources.

In the *Socioeconomic Development Strategy of the Rayon Rezina 2009-2011* (Rayonal Council Rezina, 2009), which was developed in cooperation with UNDP, unauthorized dumpsites are seen to be a major problem, as they still harm the environment. One priority is to develop a system of integrated solid waste management. Furthermore, the problem of burning waste at home should be addressed. Currently, no SEDS exist for the rayon Floresti.

### **6.1.6 Challenges for SWM in the Pilot Region**

The previous subchapters described the complex SWM situation in the pilot region. The region is characterized by an absent or deficit waste service system with negative ecological and health consequences. The description of the situation in the SWM pilot project (chapter 1.1) shows the urgency to undertake concrete planning steps in order to improve the waste situation.

For a detailed baseline study the SLE team recommends the analysis of the following data, which were not available at the time of this study: groundwater and soil quality and their connection to health problems, informal waste services, and household and enterprise ability and willingness to contribute to a future waste service.

The actors' landscape demonstrates a high cooperation potential for establishing an integrated waste service system. The relevant actors and institutions share the responsibility for tackling these waste issues by being actively involved in the SWM pilot project. However, the public institutions in Soldanesti, Rezina and Floresti lack financial resources and professional, experienced staff. Technical know-how in the form of engineers or waste experts is not available and has to be requested from outside. The communication between the public institutions seems to be intermittent as their different levels of information indicates. Moreover, the exchange between public institutions, NGOs and private companies needs to be improved in order to take advantage of the existing capacities of the different stakeholders.

The following chapter will illustrate how a future waste service system could be established by developing the content of the SWM chapter of the SEDS. This will be the basis for defining an action plan that includes the aforementioned actors, who will be part of a future integrated waste service system with the goal of jointly tackling the many challenges in the waste sector of the pilot region.

## 6.2 Contributions of Workshops and Meetings to the Development of the Content of the SEDS Chapter on SWM

In the following section, the main results of the meetings and workshops are outlined in chronological order. The previously provided basic information on SWM was a necessary first step in order to start with the sector-specific strategy planning.

As the workshop results are crucial to stakeholders who seek to repeat the participatory strategic planning approach, a detailed description and analysis of tools, methods, results and conclusions is given for each meeting.

Results and conclusions presented in this subchapter are in most cases divided into two groups regarding their contribution: (1) to strengthen the participatory strategic planning and (2) to develop content for the SEDS chapter on SWM.

Moderation and facilitation of the process were carried out jointly by RDA and SLE.

### 6.2.1 Starting the Process I: SEDS Team Formation



From the beginning, LPA2 needed to be actively involved as they represent the main actor for strategic planning.

First, the rayon presidents organized a meeting in order to form rayon planning committees (SEDS teams), which should be in charge of coordinating the development of the SEDS chapter content. The SEDS team usually consisted of a group of up to six members from relevant departments and deconcentrated entities.<sup>27</sup> A SEDS focal point was generally designated as the contact person for preparation of meetings and workshops.

### Results and Conclusions of Strengthening Participatory Strategic Planning

- **High demand for information:** Previous information about the planned SWM system and about the tasks of a SEDS team was not given before. Hence, the SEDS team required basic knowledge about the sector and needed to be aware about its roles and responsibilities in the process.
- **Time constraints:** The updating of the SEDS chapter was an additional task for each team member, especially for the SEDS focal point. High commitment

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<sup>27</sup> Relevant departments and deconcentrated entities for updating the SEDS chapter on SWM are: Departments of Economy, Education, Cadastral, and Strategic Planning, the State Ecological Inspectorate and the National Center for Public Health.

and support from his or her superior and department were beneficial for the success of the process.

- **Given capacities:** In particular the SEDS focal point had some knowledge on strategic planning. However, a clear introduction and training regarding SWM and participative planning methods were necessary. It could be one of the tasks of the SEDS focal point to identify needs for support of team members.

### 6.2.2 Starting the Process II: Kickoff Meeting for LPA1 and Distribution of Questionnaires



Besides the rayon administration, all mayors and local councils of the three rayons needed to be informed about the pilot project and the planned sanitary landfill. As was already mentioned, the LPA1 are responsible for the implementation of the SWM system. Hence, the needs and opinions of the mayors as the first representatives of LPA1 needed to be sufficiently integrated into the strategy.

**Kickoff meetings** were organized in each rayon council<sup>28</sup> to inform the mayors about the development of the content of the SEDS chapter on SWM and to raise awareness concerning inter-municipal and inter-rayonal cooperation. Additionally, **questionnaires** were distributed to consult LPA1 about their SWM situation.

### Results and Conclusions of Strengthening Participatory Strategic Planning

- **Interest in the topic:** Mayors actively listened to the presentation of the SLE team. Nevertheless, the discussions were dominated by questions regarding the implementation of physical infrastructure and the planned SWM system, rather than the development of the SEDS chapter content.
- **Commitment to participate:** The majority of the mayors (72-100 percent in three rayons) handed in the questionnaires in which they openly expressed their needs and problems in the field of SWM.
- **Awareness of the importance of SWM:** The questionnaires helped to reflect the villages' SWM situation.

### Results and Conclusions of Content Development for SEDS Chapter

**First insight into the SWM situation by questionnaires:** The qualitative questions of the questionnaires regarding waste problems were answered in de-

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<sup>28</sup> Rayon council is the name of the building where the rayon administration is situated and councilors meet.

tail.<sup>29</sup> However, quantitative questions related to waste disposal were hardly answered, as no data on SWM exist in the localities. The absence of adequate quantitative data is a shortcoming that LPA2 needs to overcome for reliable planning.<sup>30</sup> Thus, significant effort is needed to gain sound data.

### 6.2.3 Identifying Problems and Needs: First Rayonal Workshop



After the introductory meetings, the first rayonal workshop took place in each of the three rayon councils.

They served as a platform for mayors to express and discuss the needs of their localities and their possible contributions to improve the SWM situation. This information directly contributed to the situation analysis of the SEDS chapter. Moreover, raised awareness and common ownership for their SWM situation were intended through presenting the results of the questionnaires. Three permanent representatives of mayors of each rayon were elected. They were asked to participate in all follow-up workshops in order to consider the needs and opinions of the mayors throughout the whole approach.

Besides all mayors, members of the SEDS teams (LPA2) were invited. First steps toward cooperation between LPA1 and LPA2 were made by exchanging each other's needs and ideas regarding an improved SWM service system.

The workshops were moderated by employees of RDA North and Center.

#### Applied Workshop Methods and Tools

The workshop concept covered input presentations as well as interactive elements to express and discuss questions and opinions.

- **Presentations:** The SLE team gave presentations on challenges and advantages of a SWM service system and on the results of the questionnaires.
- **Group work:** Four thematic groups were formed to discuss main SWM challenges for LPA1, their possible contributions and support needed to solve those problems. Working groups presented their results and discussed them in the plenary.
- **Election of representatives:** LPA1 elected three representatives that took part in further planning steps.

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<sup>29</sup> The results of the questionnaires are given in chapter 6.1.1. An example of the questionnaire is illustrated in the Annex V: Questionnaire.

<sup>30</sup> A baseline analysis is required that assesses quantities and composition of household waste and willingness to pay or contribute. Compare also chapter 6.5.



- **Moderation training:** RDA moderators received training and feedback after the workshops. The SLE team prepared a plan for the moderator that explained the methods and goals of each workshop session.

## **Results and Conclusions of Strengthening Participatory Strategic Planning**

- **More than 50 percent of the mayors took part:** The amount of mayors that participated varied between 54 and 61 percent in the three rayons. The commitment differed between the rayons. In most cases either the president or the vice-president attended the workshops. Their attendance had a positive influence on the participation and engagement of LPA1 and LPA2.
- **Information exchange:** Most participants (80 percent) evaluated the presentation on SWM and the group work as useful. Additionally, participants asked for more practical examples. Presentations were done by non-SWM experts, thus only basic information was passed on.
- **Initiation of communication between LPA1 and LPA2:** LPA1 and LPA2 presented and discussed with each other their identified problems and needs in the SWM sector. LPA2 participants stated that they were positively surprised by the interest of LPA1 in solving SWM problems.
- **Recognition of RDA moderator:** The motivated RDA moderator built up a good relationship and contact with LPA1 and LPA2.

## **Results and Conclusions of Developing Content for SEDS Chapter**

**Identification of SWM constraints:** highlights the main constraints identified in the four working groups. An international SWM expert and the SLE team derived five objectives out of the identified challenges. Comparing the stated constraints revealed a relatively homogenous picture. Problems regarding the SWM situation in the three rayons were quite similar (chapter 6.2). Accordingly, one rayon-overlapping set of objectives and measures was formulated. The content, developed in a participatory way, was adjusted to international waste principles and reviewed by an international waste expert.



**Table 3: Main identified SWM constraints and the corresponding objectives for the SEDS chapter on SWM**

SWM constraint	Corresponding objective
Existing <b>SWM services</b> in towns and bigger villages <b>are underdeveloped</b> ; small villages have no service at all.	<b>Objective 1:</b> A sustainable <b>service system</b> for integrated solid waste management <b>is developed</b> and launched.
<b>Authorized landfills are lacking.</b> Existing landfills are in bad condition and not controlled.	<b>Objective 2:</b> <b>Waste is disposed in a controlled way</b> by using the best available technology and not entailing excessive costs.
<b>Poor people cannot afford waste services.</b>	<b>Objective 3:</b> The <b>waste service system can be financed</b> in the long and short term by users' fees and other sources.
<b>The ecological awareness of the population is low.</b>	<b>Objective 4:</b> <b>Awareness of all waste producers</b> (households, farmers, enterprises, industry) and public institutions for the new or enhanced solid waste service system has increased.
<b>Waste is not recycled.</b>	<b>Objective 5:</b> <b>Waste</b> is to be prevented, minimized, <b>reused or recovered</b> whenever possible.

#### 6.2.4 Formulating a Vision, Objectives and Measures: Second Rayonal Workshop



The second rayonal workshop focused on the development of a rayon-specific vision, objectives and measures of the SEDS chapter.

Before jointly developing content for the SEDS chapter, further information on SWM service systems, strategic planning and international principles for SWM had to be provided to the workshop participants. Further it was important that RDA moderators and LPA2 staff experienced how participative methods could improve working results and commitment of different stakeholders. Therefore, their active involvement in moderation and presentation was meant to improve respective skills. Group work and interactive tools also were used with the intention of further strengthening cooperation and communication between LPA1 and LPA2 to jointly work on the strategy.

In order to create an effective and focused working atmosphere, only the SEDS team and the three LPA1 representatives were invited to participate. The moderation was realized by the RDAs.

## Applied Tools

The one-day workshop used a number of tools, which could only be applied with a low number of participants. The involved participants contributed to the SEDS chapter content development. A detailed description of the workshop can be found in Annex VIII: Moderation Plan for Second Rayonal Workshop.

- **Market place of ideas:** At two market stands, participants received information in an interactive lesson about international SWM directives, the structure of SEDS and its strategic components.
- **Film:** Further information on SWM service systems as well as on functions of a sanitary landfill according to international standards was provided in a short film.<sup>31</sup>
- **Future vision in buzz groups:** In groups of two the participants brainstormed about how a desired SWM situation could look in their respective rayons in 15 years. The ideas were used for the development of the sectoral vision of the rayon.
- **Group work:** Participants developed measures (see Table 4) for each previously developed objective of the planned SWM service system and identified relevant actors to carry out the planned activities of the SWM service system.

## Results and Conclusions of Strengthening Participatory Strategic Planning

- **High participation and involvement:** Ninety percent of the invited people participated. There were lively discussions and interactions, which showed that the participants were interested in actively contributing to the development of the SWM strategy content.
- **Communication between LPA1 and LPA2:** Due to mixed working groups, LPA1 and LPA2 had a chance to exchange ideas and thus found a first common agreement of future roles and responsibilities.
- **Capacity development by specialized contributions:** The SEDS focal point and the State Ecological Inspector gave presentations on topics that related to their professional work and used their lecturing experience to do so.

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<sup>31</sup> The film ("Mittendrin auf einer Mülldeponie Folge 14 Teil 1" by Peter Mittendrin, uploaded March 16, 2011) is in German and available on YouTube.com at <http://www.youtube.com/watch?v=FntdAvfboLE>.

## Results and Conclusions of Developing Content for SEDS Chapter

**Vision:** The issues affecting the rayons were collected in the buzz groups and clustered in six main categories (vision clusters). The issues were compared among the rayons and it was found that most rayons had the same issues in common. Out of the common issues a preliminary common vision (Box 6.2) was proposed at the inter-rayonal workshop. A detailed table of the different vision clusters is found in Annex VII: Vision.

**Measures, roles and responsibilities:** The developed measures, roles and responsibilities are included in the service system matrix (Table 4).



Image 6.6: Energizer during the second rayonal workshop in Rezina (own image)

### Box 6.2: Negotiated proposal for a common vision of the rayonal SWM strategy according to previously clustered issues.

The common 15-year vision of the rayons Floresti, Rezina and Soldanesti is to jointly provide their population with an effective, efficient and affordable integrated solid waste management (ISWM) service system. In the vision, the high level of awareness of the population, administration and the private sector will have contributed to the system's success. By implementing the ISWM service system, the environmental situation and the health of the population will have improved, the rayons will have become more attractive and the regional economy will have benefitted.

### 6.2.5 Initiating the Action Plan: Inter-rayonal Workshop



The inter-rayonal workshop was the final step of the participatory strategic planning approach within the scope of the SLE assignment in Moldova. Its purpose was to bring the development of the SEDS chapter content from a rayonal to an inter-rayonal level. Thus, it emphasized the importance of joint strategic planning for the common waste management area. Also, additional relevant stakeholders that had not been involved in the previous planning steps were invited.

In the beginning, a common level of understanding had to be created among all stakeholders. Therefore, information was provided about the planned SWM service systems, the main actors involved and the strategic planning process. As a second step, participants were expected to agree on an inter-rayonal vision.

As an important part of the action plan, roles and responsibilities were identified for each actor in a future SWM service system. In a parallel session, the SEDS focal points discussed the procedure of updating the SEDS chapter on SWM and agreed on next steps for the process.

Throughout the workshop, plenty of opportunities were provided to improve communication and to initiate cooperation between the different administrative levels and other stakeholders.

All relevant actors were invited: civil society representatives, NGOs, waste generators, service providers, MoE, MRDC, State Chancellery, SEI, NCPH, RDA North and Center, national SWM experts, LPA2 (SEDS team) and the elected representatives from LPA1.

Regional development agencies were responsible for moderating this multi-actor event in order to be recognized as important actors that bring the national and local levels together and support the exchange of knowledge and needs between them.

#### Applied Tools

As in the earlier workshops, knowledge on relevant issues was provided as a precondition for the group work. The group work was structured in a way that all stakeholder groups had an equal chance to discuss and present their opinions and results.

- **Vision:** A proposal for an inter-rayonal vision for a future SWM situation was presented. The proposal was derived from the results of the brainstorming on rayonal visions during the second rayonal workshop (see Annex VII: Vision).
- **Service system matrix (SSM)** (see Table 4): In six groups, stakeholders discussed their roles and responsibilities for achieving measures. The respective

measures were developed at the second rayonal workshops (see chapter 6.2.4).



**Image 6.7: The moderator of RDA North introduces the service system matrix to the participants (own image)**

- **SEDS team working group:** At the same time, the three rayonal SEDS teams met. A presentation on the structure of a SEDS chapter was held. Also former experiences with updating the SEDS chapter on water supply and sanitation from Riscani were shared. Participants agreed on next steps and how SEDS teams would cooperate for updating the SEDS chapter.
- **Presentation of results:** All working groups presented their results to all participants. A discussion followed.

## Results and Conclusions of Strengthening Participatory Strategic Planning

- **Knowledge transfer by national waste expert:** For the first time during the pilot project, a national SWM expert presented the above mentioned topics together with the GIZ focal point. The majority of participants considered the received information as useful.
- **Active involvement:** Discussions in working groups were lively and members could openly mention their concerns and ideas for their respective roles in the common SWM service system. Discussions in the plenary were partly dominated by particular individuals.
- **Communication and initiated cooperation:** During the scope of the Modernization of Local Public Services project of GIZ in three rayons, this workshop

was the first opportunity for all relevant stakeholder groups to work jointly on strategic planning. Not only an inter-rayonal, but an inter-sectoral exchange took place during working sessions and breaks. All stakeholder groups could learn about the roles and responsibilities of each other and saw the potential for cooperation with different actor groups beyond rayonal borders.

- **Developed capacities:** One of the RDA moderators significantly improved her moderation skills and acted as a neutral mediator between the stakeholder groups.
- **Difficult method:** The design of the working group on roles and responsibilities was quite complex and too ambitious for the short period of time.
- **Clarified roles and responsibilities:** A first step of clarifying roles and responsibilities was done during the participatory strategic planning approach. The SEDS team knows whom to contact for which matter. However, roles and responsibilities still need to be reviewed for their practicability and need to be aligned with the legal attributions of the actors.

## **Results and Conclusions of Developing Content for SEDS Chapter**

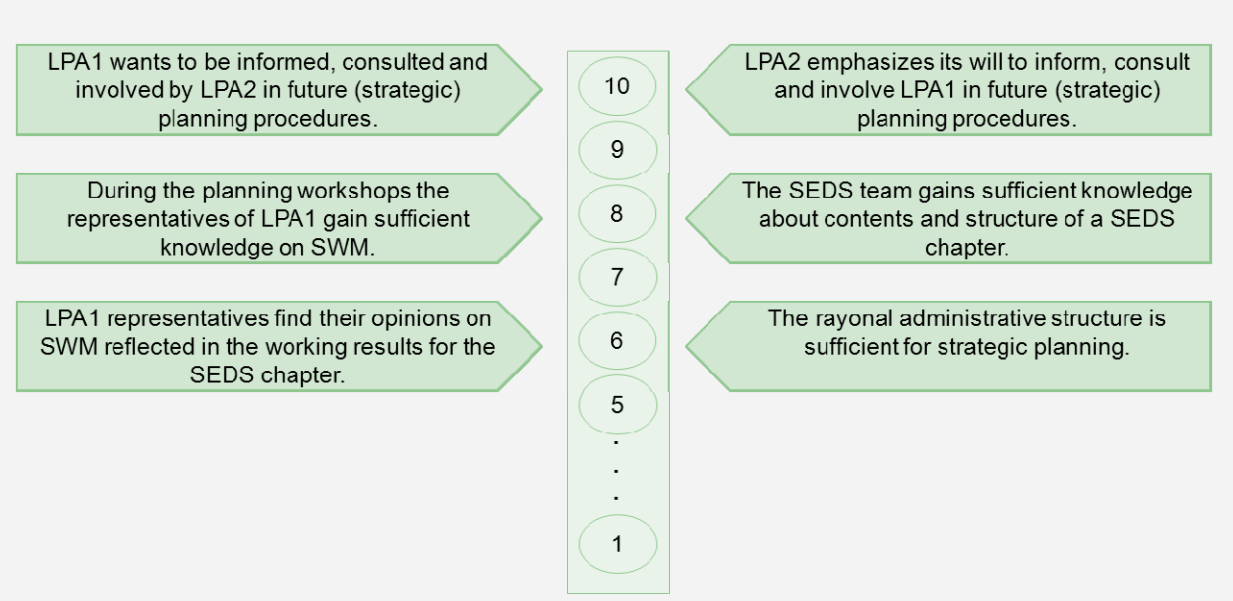
**Road map for SEDS teams:** SEDS teams of the three rayons came together and exchanged ideas about next steps and how to organize the rayonal and inter-rayonal updating of the SEDS chapter. Due to limited time, final roles and responsibilities were not clarified until the very end of the workshop.

**Vision:** A proposal for a common vision was presented to all participants. The vision needs to be revised by an expert and needs the final agreement of the SEDS team.

**Service system matrix:** The results of the service system matrix (table 6.3) are a first step toward an action plan for a common waste service system. This method has been applied in a participatory manner at the inter-rayonal workshop and demonstrates self-attributed roles and responsibilities of each stakeholder group, summarized by keywords. However, further clarification between actors is necessary. The involved actors should build upon cooperation potential shown in this matrix.

**Box 6.3: Evaluation of the participatory strategic planning approach by LPA1 and LPA2**

During the inter-rayonal workshop LPA1 representatives and the SEDS team received questionnaires to evaluate the participatory strategic planning approach of the SLE team. LPA1 and LPA2 were asked about their willingness to cooperate with each other in the future. Also they examined the present strategic planning structures, respective capacities and the need for their improvement in the rayon administrations. They ranked each question from 1 (not at all) through 5 (more or less) up to 10 (fully).



The results show a high willingness from LPA2 to involve LPA1 more in the planning process and from LPA1 to become more involved in the process. Nevertheless, LPA1 felt its needs and opinions on SWM still were not considered enough in the working results of the SEDS chapter.



**Table 4: The service system matrix. “●” indicates that the actor stated it has the primary responsibility for achieving this measure and is able to accomplish this. “○” indicates that the actor stated it has the primary responsibility for achieving this measure but cannot currently accomplish this measure. “»” indicates that the actor stated it is interested in supporting this measure. “no” indicates that the actor cannot contribute to this measure.**

Measures	Actors					
	MoE, MRDC, SC	SEL, NCPH	LPAI	Waste Generators	Service Providers	Civil Society, NGOs
<i>1. A solid waste service system exists</i>						
1a) Separation of waste	»	»	»	○	○	»
1b) Regular collection of waste	Framework	Awareness	Investments, Regulations	Separation, Awareness	Service provision	Awareness
1c) Transfer of waste to controlled treatment and disposal facilities	»	»	»	Cleaning	Service provision	Awareness
1d) Establishment of a monitoring and evaluation system for waste collection, transport, recycling and disposal	»	»	»	»	Service provision	»
»	»	●	○	no	○	»
»	Framework	Control	Decision making	Local control	Service provision	Awareness
<i>2. Waste disposal is controlled</i>						
2a) Closure and liquidation of illegal and uncontrolled (ecologically not acceptable) dumpsites	no	●	»	»	no	»
»	»	Closing and control	Planning responsibility	Cleaning	»	Awareness
2b) Avoidance of the creation of new uncontrolled waste disposal sites that are not ecologically acceptable	»	●/»	»	»	no	»
»	Sanctioning and awareness	Sanctioning and awareness	Awareness	Self control	»	Awareness
2c) Operation of the remaining waste disposal sites in a controlled and secure manner	»	»	»	no	no	»
»	Authorization	Control	Planning, Can delegate	»	»	Awareness
2d) Construction and operation of new waste disposal sites according to international standards	»	»	»	no	no	»
»	Legislative standards	Technical consultation	Planning, Financing	»	»	Awareness
2e) Regular inspections of disposal sites to ensure environmental and public health	»	●	»	no	●	»
»	MoE, MoH	Inspection	Staff support	»	Inspection	Awareness





### 6.3. Conclusions of the Participatory Strategic Planning Approach



Conclusions of the workshops are predominantly made on a qualitative basis. Participants' evaluations and observation sheets filled out by GIZ, SLE, RDA and CALM were used for the evaluation of the workshops as well as the personal impressions of the SLE team when talking to participants.

The main findings of the whole participatory strategic planning approach can be divided into the objectives of strengthening participatory strategic planning (transferring participatory planning methods) and developing content for SEDS. In general the combination of these two components was considered successful.

#### Findings: Strengthening Participatory Strategic Planning

- **Informing and including the opinions and needs of LPA1** (bottom-up) mobilized and prepared them for the implementation phase of the SWM service system.
- The approach of broad-based participation helped to **improve cooperation and communication between LPA1, LPA2 and other stakeholders** as the workshop provided ample space for interaction and cooperation. It should be assessed within one year if this cooperation and communication lead to permanent improved structures and if transparency and participation have been institutionalized in the planning process.
- Most **stakeholders were motivated and committed to participate** in the workshops and actively took part - stating that they even had fun together.
- The whole process served as a **platform for learning strategic planning on the job** (participants now know the important steps of developing a strategy) in order to strengthen participatory strategic planning in the RoM.
- Through capacity development measures and active participation in the workshops, the **moderators from the regional level (RDA)** were not only **strengthened** personally, but their institutions benefitted as well. The newly-created RDAs gained public visibility. Still, interaction between the SEDS team and the RDAs were too few to ensure autonomous continuation and replication of the process.
- The **training of the SEDS team** about the steps of strategic planning was **too basic** and roles and responsibilities for developing the strategy content were still not sufficiently clear among them. The SEDS team will have to take over

the process and thus their capacity development still requires various interventions in the future.

- The level of commitment of appointed **RDA moderators and SEDS focal points** cannot be guaranteed. Still, those who **voluntarily chose** to partake had a high level of commitment and should be encouraged in the future.

### **Findings: Informing Participants and Developing SEDS Content**

- **Data** on the SWM situation in the pilot rayons is still **scarce** and needs to be collected as soon as possible.
- **Questionnaires and interviews** guaranteed the **broad-based bottom-up approach** and were important tools to consult as many **mayors** as possible - including those who did not participate in the workshops. Above all, in the waste sector, which is not the first priority for most mayors, this work model was adequate for stimulating participation and creating acceptance of our approach.
- **Interviews with inhabitants**, businessmen and service provider in the rayons generated **useful information** both for the SLE team and the inhabitants themselves.
- **Awareness** about the waste problem was raised (in a basic way) at the public and administrative levels through the interviews, information sheets and an exhibition at the Rayon Council of Soldanesti.
- The provided **information on SWM and SEDS** was valued by all participants. However they wished to be informed more in detail. The overall **limited time for the joint development of SEDS content** and the **absence of waste experts was criticized**.
- Most LPA2 found the **methods and planning tools useful** and want to apply them to their work.
- The service system matrix helped to detect **responsibility and communication gaps** between relevant stakeholders in a future solid waste service system. It showed the need for legal clarification and clear attribution of roles.
- **Draft content of the SEDS**, such as the vision, objectives and measures could be **developed further**.
- The working groups on measures and vision were not supported by a **SWM expert**, hence the results still needed to be adjusted by SWM experts and facilitators.
- The **revision** and possible adaption of the results **by a SWM expert needs to be clearly communicated** to the SEDS team to avoid confusion concerning

the transparency of the procedure: The SEDS team contributes needs and priorities and the SWM experts revise them according to their feasibility.

- **Considering alternative options** for how to achieve the objectives was **not a priority**. On one hand, a SWM service system with the proposed sanitary landfill for disposal was already planned, but on the other hand, the number of alternative sustainable solutions is limited. Given other circumstances (e.g. choice of the inter-municipal model to finance this system), considering different options should be integrated into the approach.
- Participants were confused as **three parallel processes** were supported by GIZ at the same time: SEDS updating, physical investment and inter-municipal cooperation. A stronger effort should have been made, explaining the exact purpose of each of them as well as their synergies in order to avoid confusion.

### **Water Supply and Solid Waste: Similarities and Differences in the Sector-specific Content Development of SEDS Chapters**

Last year's SLE team worked on updating the water and sanitation chapter of the SEDS for Cahul and Riscani. Chosen methods and approaches show similarities and differences. Some approaches are valid for strategic planning of LPS in general, but sector-specific conditions need to also be taken into account. Thus, the similarities and differences can be summarized as follows:

#### Similarities

- Both SLE assignments 2011 and 2012 stressed the participatory approach, as this is most appropriate when it comes to strategic planning of service systems. In both assignments, multi-stakeholder dialogues were conducted.
- IMC is a cross-cutting issue for LPS and was integrated into both assignments. However, in this year's assignment it was elevated from an intra-rayonal to a regional level, thus creating "inter-regional" cooperation.

#### Differences

- In the first 2012 workshops, all mayors were involved as the topic of SWM required a bottom-up approach due to a lack of awareness about the problems of waste at the local level.
- The 2011 assignment focused on prioritization of investment options in the WSS sector. In this case it was clear that a sanitary landfill was needed and options could be assessed with regard to the design of the SWM service system.
- This year focused on the discussion of different actors' roles and responsibilities in SWM.

## 6.4 Lessons Learned from the Approach and Recommendations for Replicability



The step-by-step **approach** of workshops aiming at content development of the SEDS chapter and strengthening participatory strategic planning **can be repeated - after adapting it** according to the lessons learned and recommendations - in other sectors or rayons.

The **participatory bottom-up approach** as well as the **step-by-step widening of participation** and stakeholder attendance worked out well and should be maintained. However, there is room for improvement in the following areas:

- Ensure the **availability of data** or set up an in-depth baseline study before starting the process. Do not overwhelm the mayors with too many questionnaires at one time as their workload is huge.
- Use the **appropriate level of participation**. Throughout the process, broad-based information should be given. Consulting stakeholders is important in the beginning, when needs as well as opportunities and capacities need to be identified. Cooperative participation should be used sparingly as the subject is highly technical and experts need to develop options and present them to the SWM service system users.
- Conduct **awareness campaigns** in advance in order to put waste on people's agendas.
- Conduct a broad stakeholder analysis in advance and clarify **roles and responsibilities** of each actor in a future solid waste service system as soon as possible. Potential gaps between self-attributed and legally-attributed roles need to be closed in order to guarantee a functioning system.
- Maintain the **training of local moderators and facilitators** (in this case carried out by RDA) and involve them more in workshop planning. The intensity of interaction with the SEDS team should be high to maintain a close knowledge exchange. This increases the probability that the SEDS team takes over autonomously after the facilitator's intervention.
- Make sure that **political leaders and administrative staff are willing, available and capable** to work on the strategy and that their roles in this process are clear. Internal communication structures between the rayonal president and the departments need to be improved. Close cooperation between the facilitators (RDA) and the rayonal level is indispensable.
- There should be at least one workshop focusing on the **training of administrative staff (LPA2)** in regard to strategic planning and coordination, as well

as clarification of roles. Sound training in the beginning can simplify the subsequent development of the strategy.

- Ensure the availability of SWM and legal **experts** during the process. The expert should closely cooperate with the SEDS team and give detailed sector-specific information.
- Conduct the formulation of vision, objectives and measures in a **transparent** way and **reflect results** to the stakeholder. **More time** should be given for making discussions fruitful.
- LPA1 representatives should be supported in their task to transmit the information gathered during the workshops to colleagues and local councils by providing **information sheets**.
- If several interconnected processes (physical investment, IMC, SEDS updating) take place at the same time, **communicate** the character and goals of each of them clearly to partners.

## 6.5 Recommended Next Steps for the Content Development of the SEDS Chapter on SWM



In order to finalize the SWM chapter of the SEDS for Soldanesti, Floresti and Rezina further steps have to be taken into consideration. First, a **profound baseline study** that helps to collect waste-relevant data in the three rayons should be conducted. The process will start with the IMC working groups.

This data is important for a detailed situation analysis, but will probably not lead to in-depth changes of the already defined objectives and measures because they were developed according to minimum international standards - a requirement for every waste management service system. Furthermore, **experts on SWM should check the vision, objectives and measures** in order to align the wording with international best practices, principles and standards. The **measures should then again be reflected back to the SEDS team**. Afterward, an **action plan should be designed cooperatively** defining each stakeholder's tasks according to each measure. Here, the service system matrix can serve as an important reference. A **system of monitoring and evaluation**, that facilitates the permanent improvement of the strategy and helps to verify if goals have been achieved, also needs to be developed.

When the strategy text is ready to be completed, solid waste experts and the SEDS team should closely work together. One key person from each rayon should have the main responsibility of developing the content of the respective SEDS chapter (SEDS focal point).

The practiced bottom-up approach should be maintained, however it would be advisable to involve the national level (State Chancellery, MoE, MRDC) more in the future in order to create wider acceptance for the process and the final SEDS chapter.

An **agreement about how to design cooperation** between the three rayons in the waste sector should be found (see chapter 2.3 and 2.5). Communities of the three rayons will jointly use the planned sanitary landfill as well as a transport and recycling system in order to create mutually beneficial results.<sup>32</sup> Different forms of managing this waste management area are possible. The appropriate design for this area will be defined by two working groups supported by CALM and GIZ.<sup>33</sup> Several participants of the working groups are part of the SEDS teams as well. One working group will engage in legal and institutional aspects regarding inter-municipal cooperation in the region and actively support the SEDS development (GIZ/GOPA, 2012: 16). The second working group will develop the financial and technical details that are required for the establishment of an IMC structure in the SWM area.

It is of utmost importance to maintain a **transparent and participatory process**:

- The SEDS team should always be informed and consulted by experts. They should be aware of the next steps. Also, their roles and contributions during the development of the SEDS chapter content should be stressed.
- Reliable communication channels with the rayon council should be ensured, as they will have to approve the strategy.
- As soon as a draft of the SEDS chapter is available, it needs to be placed at the public's disposal. Stakeholders of the three rayons should have the opportunity to comment on the document.
- The difference between the processes of physical investment, IMC and SEDS updating should be clarified and clearly communicated to the stakeholders. Possible synergies between the processes should be used - above all between the IMC working groups and the SEDS team.

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<sup>32</sup> UNDP & Council of Europe (2010: 11) recommend these areas to be highly suitable for IMC initiatives.

<sup>33</sup> The Congress of Local Authorities (CALM) is supposed to advise the local level regarding the provision of LPS in the RoM. During mayoral meetings in the three rayons attended by the SLE team in August 2012 a memorandum of agreement (MoA) regarding IMC in the field of SWM was presented by CALM. Only communities signing the MoA will become part of the waste management area. However, not all mayors are members of CALM. It should be ensured that non-members benefit as much as members.





## 7 Recommendations

The following recommendations provide ideas of how to improve the current strategic planning in Moldova with its focus on the SEDS process. Furthermore, sector-specific recommendations for SWM are given. Although the recommendations address various stakeholders, they focus on the local administrative levels (LPA1 and LPA2) as well as the RDAs, because they were the main partners involved in the SLE assignment.

### 7.1 Recommendations for Strategic Planning and Transferability of the SLE Approach

#### Legal Framework

- The **national government should pass a framework** for sector-specific and development strategies **that prioritizes local needs**. The National Strategy on SWM has been a draft for several years thus slowing planning at lower governmental levels.
- National and local governments in the RoM as well as RDAs should make available their **strategies and plans** to everybody (e.g. via internet) to guarantee transparency and accountability.

#### Role of the Regional Development Agencies

- **RDAs**, with their responsibility for strategic planning at the regional level, have to bridge the gap between the local and national levels. However, **MRDC and development partners should also support RDAs in terms of personnel and staff development** (e.g. moderator training for planning workshops, data gathering, and providing planning tools) in order to efficiently fulfill their role. **RDAs can assist LPA2s in planning** in a neutral way (e.g. moderation, legal advice) and train them to be able to plan autonomously. However, LPA2s should be given the capacity to develop SEDS and other planning documents on their own.

#### SEDS

- The national government should create a **legal framework that regulates which kind of plans should exist at the local level** (e.g. SEDS should exist in each rayon).
- The national government should create and make available **guidelines for how to develop SEDS and strategic plans in general**. In addition, tools for

their development should be available to local administrations. RDAs should train responsible individuals of LPA2 involved in planning processes in how to develop local development strategies.

- LPA2s should be informed about the legal basis for planning, and
- LPA2s should have the opportunity to clarify questions and exchange ideas with other representatives about how to fulfill their role (e.g. at the regional level various LPA2s should come together in order to learn from each other with experts invited for sector-specific issues).
- RDA or LPA2 should **train LPA1 on how to write project proposals and inform LPA1 about existing funds** (e.g. from NFRD or NEF). In this effort, SEDS can be very helpful documents to refer to in proposals. In order to have higher chances of approval, LPAs should negotiate proposals with other LPAs and include opportunities to benefit from inter-municipal cooperation in their proposals.
- **LPA2 should document the content development process of SEDS clearly.** This will make it easier for new staff members to update a strategy and to understand and improve the development process in the future.
- **LPA2** should have its own **planning department** (similar to that of RDA) that is responsible for all processes related to planning (data collection, planning development, monitoring and evaluation). Thus, SEDS updating and planning in general ought to be institutionalized.
- **LPA2 and RDA** should each appoint one responsible staff member who is willing, capable and available to coordinate and facilitate the SEDS updating process.
- All parties involved in creating development strategies **must take ecological aspects into consideration.**
- **Socioeconomic and sector-specific data should be collected and regularly updated** as a basis for planning, monitoring and evaluating actions. Socio-economic data of each community (LPA1 level) should be available on LPA2 level for strategic development planning.

## 7.2 Recommendations for the SWM Sector

### Benefit from Experiences

- **Build on existing best practices in Moldova.** Rayons of the entire country should exchange experiences and establish networking structures to discuss:
  - models such as for inter-municipal cooperation in the SWM sector (the pilot region could be an example), and

- private-public partnerships or similar models (e.g. the joint venture AVE Ungheni), lessons learned and successes of such partnerships.
- **Foster knowledge sharing of best practices in Romania or other eastern European countries** in rural areas with a functioning SWM system for all stakeholders (e.g. MoE, LPA2, LPA1, service providers, NGOs, among others) in order to understand:
  - how a SWM service system is developed,
  - how documents are created (waste strategies and plans),
  - which activities are done by civil society,
  - how actors in SWM cooperate,
  - which roles and responsibilities each stakeholder has, and
  - what are lessons learned.
- **Provide internships or apprenticeships for managers of Moldovan service providers** at well-functioning service providers abroad for various positions (e.g. management, accountant, waste collection and transport) at various locations (e.g. recycling yard, landfill and others). This would help managers get a better understanding of their roles and responsibilities.

### The SWM Technical Dimension

- **Support reuse, recycling and recovering of waste.** Besides awareness measures, lawmakers should give incentives for enterprises for resource-saving usage of materials. The utilization of waste as a source for energy should be closely considered by the industrial sector.
- Provide **occasional advisors** at the local level **to help restructure** and reorganize the service provider and to advise LPA1 and LPA2 on how to foster inter-rayonal cooperation. **Internal or external experts** should train staff on how the new structure works.
- Inform **service providers** about their rights and responsibilities, especially as a community service provider.

### Awareness and Participation

- **NGOs and other actors of SWM** (e.g. service providers, SEI, NCPH, among others) should **organize campaigns and other awareness activities** jointly and with agreement or cooperation of local governments. NGOs should be encouraged to increase activities in this sector going beyond annual activities, such as cleaning days. Furthermore, LPA1 can support awareness in its locality in order to reduce littering and to increase the willingness to pay for adequate SWM services.

- **Further clarify roles and responsibilities of all actors in the SWM sector.** This creates transparency and accountability of each actor, avoids parallel structures and fosters cooperation.
- **SWM services should be better positioned at the LPA2 level, with close cooperation from LPA1.** Due to the extensive fragmentation of first-level administrative-territorial units, giving responsibility to the LPA2 level is more practical.
- **Encourage inter-municipal cooperation as a model to help to overcome the limited capacities of LPA1.** IMC requires an administrative structure, such as a waste management board, on the rayonal or inter-rayonal level.
- **LPA2 should consider the population's willingness and ability to pay** as well as how to support vulnerable groups in the creation of a financial model for this service system (and others).



**Image 7.1: Visit to the location of the future sanitary landfill with representatives of the national, regional and local level (own image)**

## 8 Conclusions

The last chapter draws conclusions, first, on the achievements of the assignment; therefore, the four assignment outcomes will be reviewed and evaluated. Second, it will analyze the experiences of the assignment and draw conclusions on its central aspects, such as decentralization, solid waste management and participation.

### 8.1 Assignment Conclusions

After the substantial discussion of the assignment approach in chapter 6, this part evaluates to what extent the four central outcomes of the assignment outlined in chapter 1.2 were achieved. The four outcomes are:

- Analyzing the situation and sharing needs on SWM,
- Initiating inter-municipal cooperation,
- Supporting the updating of the SEDS chapter on SWM, and
- Enabling the replicability of the strategic planning process.

Regarding **outcome 1**, the team agreed to conduct a rapid appraisal comprising the collection of basic data on the region and its **current waste management situation**.

Questionnaires, expert interviews with identified stakeholders in the SWM sector, and LPA1 and LPA2 workshop working groups allowed the team to gain a sustainable insight into the waste situation and the landscape of actors in the pilot rayons. The results were as follows:

- In all three rayons the situation in the SWM sector is similar.
- The different actors in the pilot rayons appreciated the exchange of information regarding their SWM situation in general and the newly planned physical investments between them. Aside from being well received, the information was crucial for the assignment.
- Communication between the actors was improved by overcoming different levels of information and understanding. This formed a necessary foundation for further steps of (strategic) planning, inter-municipal cooperation and implementation.

Despite the usefulness of the rapid appraisal, it will be necessary to conduct an in-depth analysis - including technical data on quantity and composition of waste, analysis of the households' willingness to pay, and detailed focus group discussions - in order to design a customized strategy.

**Outcome 2 was** to promote **inter-municipal cooperation in the field of solid waste management**. The actors in the villages and the pilot rayons made clear they had barely any former experiences with IMC, nor did they have communication structures between the pilot rayons. Coincidentally, CALM and GIZ launched and operated a parallel process of establishing IMC in the three rayons during the time of the assignment. Its aim was to find common solutions for the coordination and realization of the future waste management area. SLE supported this cooperation process indirectly through its activities for the development of the strategy on SWM as several of the involved actors and goals were identical. Some of the activities and findings of the assignment related to IMC were:

- Public and private actors from the pilot region met several times and exchanged ideas, needs and solutions.
- The actors widely agreed on the need to cooperate among each other in order to solve the waste challenge efficiently.
- The actors widely considered the problems and solutions similar throughout the pilot region - a good basis for further steps of cooperation.
- Actors clarified their preliminary roles and responsibilities in a possible cooperation and identified potential mutual benefits.
- No considerable obstacles like clashes of interests or deep political differences arose during the meetings.

The main achievements of the assignment - to **support the development of socio-economic development strategies in the area of SWM in the three rayons** - are located in **outcome 3**:

- The assignment sensitized the mayors and the responsible employees to solid waste management and familiarized them with basic information and knowledge regarding the SWM sector.
- The assignment introduced and applied participatory strategic planning tools to the pilot rayons.
- In the rayons of Soldanesti, Floresti and Rezina, the SLE team initiated the process of strategy development, including a basic situation analysis and the provisional formulation of a vision, objectives and measures.
- The three rayons took preliminary steps for harmonization between them in the SWM sector: They created a common vision and clarified possible roles and responsibilities among the actors.

Thus, the assignment laid the foundation for continuation of the strategy development process. The crucial issue now is to maintain the created communication structures and to decide who will take the lead in future planning steps. GIZ and GOPA will remain important actors in coordinating and supporting the next steps of the process in order to ensure the finalization of the SWM chapter of the SEDS in the following months in the pilot rayons.

**Outcome 4** is closely related to **capacity development measures** and the **institutionalization of knowledge and experience**. The aim was to make partners independent from external support by enabling them to continue and replicate the planning process autonomously. Several of the measures applied by the SLE team intended to transfer skills and knowledge to RDA, LPA1 and LPA2. As such, the SLE team:

- Provided information and basic concepts on solid waste management to the participants of the workshops,
- Shared participatory strategy planning methods and instruments (e.g. the problem and needs analysis, the identification of objectives or the service system matrix) with RDA, LPA1 and LPA2, and
- Carried out moderation and facilitation training with the RDA planning department staff that works in close cooperation with the rayon administrations in the pilot region.

The participants evaluated the used participative strategy planning methods and their applicability in a positive way.

However, it is hard to measure whether these methods will have sustainable impacts on the cooperation partners and whether they could be continued and replicated on other occasions. As the duration of the assignment was not sufficient to provoke sustainable changes in this time-intensive field, some of the recommendations aim at further strengthening planning and moderation skills. Apart from capacity development measures, planning processes should be designed in a way that allows partners to replicate them autonomously (using low costs, low technical requirements, external knowhow and advisory only where necessary, etc.).

## 8.2 Conclusions on Crucial Aspects of the Assignment

The following section reflects some findings on decentralization and democratization, solid waste management, and participation made during the assignment.

## **Decentralization and Democratization**

**1. Decentralization has awarded autonomy and democratic structures to the local level:** As a result of the decentralization process of the past two decades, the local administrations gained more autonomy concerning local development planning and budgeting. The existence of development strategies on the local and regional levels has broadened the influence of sub-national administrations in the political system. Local financial autonomy increased due to the possibility of accessing funds for development projects. Furthermore, democratic control mechanisms, like the local and rayonal councils, are charged with exercising control over their respective executive institutions.

In spite of the challenges local administrations face due to the decentralization process, most interlocutors from local public administrations agreed on their increased autonomy.

**2. Process not completed yet, new challenges and conflicts have surged:** The local administrations still need to find their roles in the reformed political system. As several interlocutors stated, the local and rayonal councils are up to now not executing their function as independent control organs. Little opposition to the executive authority can be expected by the council members as they depend politically on the mayor or the rayon president. Another challenge for the decentralization process is the lack of capacity and financial resources for professional development planning on the local level.

The relationship between the main local actors (LPA1 and LPA2) has demonstrated that new roles and competencies can lead to conflict. In the case of this assignment, disputes between them surged concerning their roles in a waste management system as both institutions consider themselves as competent to be in charge of the service provider and the management of the SWM system. Also budget concerns lead to continuous arguments between LPA1 and LPA2. LPA2 is responsible to distribute national contributions to the LPA1s. This has led to accusations made by mayors concerning the misappropriation of money by LPA2.

These examples illustrate that further efforts have to be made to consolidate the decentralized system.

**3. Identifying the right level of decentralization:** According to the statements of several village mayors, the current territorial division is too fragmented and small scale for the mayors to exercise their functions. The majority of the local budget is reserved for maintaining the public administrations. As a result, the administrations can barely invest resources to improve local infrastructure or provide basic services. According to them, the territorial political entities need to join to work more efficiently. Several LPA1s could for example merge into a bigger structure, public services could



be provided more efficiently if villages and municipalities shared their resources and infrastructure.

In this sense, the current territorial division may not be the last version and could eventually be rearranged until the country finds the most suitable form. IMC can be regarded as a good (interim) solution.

## **Solid Waste Management**

**1. Is not fully considered as a public service:** According to the opinion of the mayors expressed in the questionnaires, waste management is not as high a priority as other services like water supply or the construction of roads. Unlike these services, people can compensate for a lacking public waste service system by burning garbage or bringing it to unauthorized dumpsites. Citizens are less dependent on the government to provide a waste management system than they are for services that can only be provided by the state, such as roads and water supply. Thus, improvement of the water supply system will be much more appreciated by the population and will strengthen the reputation of a mayor more than efforts in the SWM sector would.

Moreover, the consequences of dealing with waste inadequately (e.g. soil and water pollution, climate implications or health problems) are not always directly visible and their relation to waste is not necessarily known by the population. As a result, the demand for a public waste service system by the population is not high. Solid waste management is not considered as a service that needs to be provided by public administrations.

More than in other services, thus, awareness raising activities are necessary to communicate the benefits of a waste service system to the population.

**2. High investment costs for developing countries:** Low priority and awareness go along with high investment costs for physical infrastructure like garbage trucks, transfer and recycling stations, platforms, sanitary landfills, and incinerators, among others. The incentives for political actors to face waste problems are therefore rather low because the expected political benefits are moderate. Though, a SWM system also creates jobs and can bring economic benefits if a considerable amount of recycled material can be redirected to the economic production cycle. According to a GOPA expert, however, the produced quantity of waste per capita in the pilot region is currently rather low (0.3 kg in rural areas of the RoM compared to 1.5 kg in Germany or one kg in the neighboring country of Romania (Statista, 2012)).

Due to the high investment costs, developing or transitioning countries like the Republic of Moldova need to find suitable technical solutions that are affordable and can be maintained by the countries themselves.

**3. SWM requires management and the connection of relevant actors:** More than other services like water supply (where, for example, geological and hydrological conditions need to be considered), the operation of a solid waste management system depends on the management and coordination of the participating actors. Apart from technical feasibility studies and the implementation of physical infrastructure, the different actors need to be convinced or incentivized to join the system. SWM can therefore be defined as a complex challenge where the whole society needs to be encouraged.

## Participation

**1. Participative approach well acknowledged by partners:** During the assignment, the local authorities expressed their appreciation for the participative strategy planning methods that were applied to develop content for SEDS on SWM. LPA1 and LPA2 stressed the importance of involving civil society and other stakeholders in the planning activities. According to the participants, the participatory methods are a model that they will apply in future planning activities.

Participation therefore seems to be attractive even if no participatory tradition exists in the country's political culture.

### **2. Participation can imply cooperation, ownership and transparency:**

Participatory interaction between local authorities, civil society and other social actors contributed to creating ownership for the SWM strategy as they were consulted during the planning process. The common planning experience also promoted cooperation between the participants of the planning workshops. The provision of information on SWM and the sanitary landfill project also ensured a transparent planning procedure. A participatory planning experience can therefore have a broad impact on different levels.

**3. Limits of participation:** The involvement of the mentioned actors is, however, limited to certain stages of strategic planning. Consultation with local administrations, citizens and NGOs is appropriate mainly in the beginning of the process when a development vision and objectives need to be identified. In later stages, the space for participation is reduced as technical expertise is required. However, the provision of information needs to be maintained during the entire implementation phase. The population's critical view on the project can be considered a public monitoring system.

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## Annex

The annex gives additional information and data for the preceding chapters. A schedule in Annex I provides the chronological order of the workshops and meetings conducted during the SLE assignment in Moldova. In addition, all relevant stakeholders and experts that were interviewed are listed in Annex II. Furthermore, impact, outcomes, outputs and activities of the SLE assignment are defined (see Annex III). A timeline (see Annex IV) highlights the development of the pilot project on SWM of the GIZ-MLPS in Moldova. Annex V includes the questionnaires conducted among mayors on the SWM situation of their localities. A description is delivered in Annex VI on how to plan a local public service and how to apply the service system matrix. Annex VII illustrates the clustered ideas for a rayonal and inter-rayonal vision as part of the pilot rayons' updated SEDS chapters on SWM. As an example of all conducted workshops, the moderation plan of the second rayonal workshop and the corresponding observation sheet are illustrated in Annex VIII and IX. An information sheet was created by the SLE team to inform the rayon administration and the population about the planned SWM service system and is found in Annex X. Organization charts are given for each rayon administration of the three pilot rayons (see Annex XI).

## Annex I: Time Schedule SLE Assignment

	Monday	Tuesday	Wednesday	Thursday	Friday
04.06 – 27.07	Development of the study concept in Berlin for the SLE assignment in Moldova				
30.07 – 03.08	Kickoff meeting with GIZ in Chisinau		Kickoff meeting with national and local partners in Chisinau	Kickoff meeting at the rayon council in Soldanesti with LPA1 and LPA2 representatives	
06.08 – 10.08				First rayonal work-shop in Soldanesti	
13.08 – 17.08		Kickoff meeting at the rayon council in Floresti with LPA1 and LPA2 representatives			
20.08 – 24.08		Kickoff meeting at the rayon council in Rezina with LPA1 and LPA2 representatives		First rayonal work-shop in Floresti	

<b>27.08 – 31.08</b>					
<b>03.09 – 07.09</b>		<b>First rayonal work-shop in Rezina</b>		<b>Second rayonal workshop in Soldanesti</b>	
<b>10.09 – 14.09</b>		<b>Second rayonal workshop in Floresti</b>		<b>Second rayonal workshop in Rezina</b>	
<b>17.09 – 21.09</b>					
<b>24.09 – 28.09</b>	<b>Excursion week</b>				
<b>01.10 – 05.10</b>				<b>Inter-rayonal work-shop in Soldanesti</b>	
<b>08.10 – 12.10</b>	<b>Report writing in the rayon Stefan Voda</b>				
<b>15.10 – 19.10</b>	<b>Report writing in the rayon Stefan Voda</b>				
<b>21.10 – 25.10</b>	<b>Wrap-up meeting with GIZ in Chisinou</b>			<b>Evaluation work-shop in Soldanesti</b>	
<b>28.10 – 22.12</b>	<b>Report writing and final presentation of the SLE assignment in Berlin</b>				

## Annex II: Expert Interviews

### International Organisations

Date	Place	Institution	Name	Function
17.08.2012	Chisinau	GOPA	Gabriele Janikowski	Teamleader of the GOPA-expert pool
17.08.2012	Chisinau	GIZ	Marian Szymanowicz	Senior Advisor
24.08.2012	Chisinau	GOPA	Tamara Guvir	Waste expert
25.08.2012	Chisinau	GOPA	Ewald Spitaler	Waste expert

### Academic institutions

03.08.2012	Chisinau	Academy of Economic Studies of Moldova	Petru Bacal	Teaching professor
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### National Level

06.08.2012	Chisinau	MoE / MRDC	Corneliu Marza	Head of the Department for Pollution Prevention and Waste Management
20.08.2012	Chisinau	MoE / Eptisa	Tatiana Tugui	Waste expert
20.08.2012	Chisinau	MoE / Eptisa	Marcela Vatamaniuc	Waste Expert

### Rayon Administrations

13.08.2012	Soldanesti	Rayon Administration of Soldanesti	Tudor Popa	Head of Land Cadastre Department
13.08.2012	Soldanesti	Rayon Administration of Soldanesti	Galina Nani	Head of Economic Department
14.08.2012	Soldanesti	Rayon Administration of Soldanesti	Svetlana Rotundu	Vice President of the Rayon Administration
24.08.2012	Rezina	Rayon Administration of Rezina	Eugen Postu	Head of Economic Department
30.08.2012	Rezina	Rayon Administration of Rezina	Lilian Rusu, Larisa Gradinari	Head/staff of the Department for Attracting Investment

**Deconcentrated Entities**

10.08.2012	Soldanesti	State Ecologic Inspectorate	Leonid Paierale	Head of the SEI Soldanesti
17.08.2012	Soldanesti	National Centre for Public Health	Vadim Grosu	Head of the NCPH Soldanesti
29.08.2012	Floresti	State Ecological Inspectorate	Vitali Ciorba	Head of the SEI Floresti
September 2012	Rezina	State Ecological Inspectorate	Ghenadie Efremov	Head of the SEI Rezina

**Village and municipal administration (primaria)**

14.08.2012	Climauti de Jos (Soldanesti)	Village Administration	Sergiu Melnic	Mayor of Climauti de Jos
14.08.2012	Parcani (Soldanesti)	Village Administration	Valeriu Lopaci	Mayor of Parcani
16.08.2012	Poharna (Soldanesti)	Village Administration	Victor Ous	Mayor of Pohoarna
16.08.2012	Sestatci (Soldanesti)	Village Administration	Iacob Guja	Mayor of Sestaci
24.08.2012	Mateuti (Rezina)	Village Administration	Mihai Mirzencu	Mayor of Mateuti
28.08.2012	Marculesti (Floresti)	Village Administration	Lilia Margina	Mayor of Marculesti
07.09.2012	Floresti	Municipal Administration	Grigore Cojocar	Mayor of Floresti
07.09.2012	Stefanesti (Floresti)	Village Administration	Semion Zdragus	Mayor of Stefanesti

**Non-governmental organisations**

03.08.2012	Chisinau	EcoContact	Iordanca-Rodica Iordanov	Project Coordinator
07.08.2012	Chisinau	HAI Moldova	Valeriu Istrati	National Coordinator (IT & Logistics)
14.08.2012	Soldanesti	HAI Moldova	Violeta Popa	Local representative
14.08.2012	Rezina	Habitat	Valeriu Rusu	Director
17.08.2012	Chisinau	Institute for Urban Development	Bulat Veaceslav	Director
20.08.2012	Chisinau	Regional Environmental Center	Victor Cotruta	Director

21.08.2012	Chisinau	CALM	Ion Beschieru	Coordinator, Legal Expert
07.09.2012	Floresti	Teachers and Parents Organisation, (Bahrinesti) Izvorasul (Rosietici) Inter Media (Marculesti)	Dina Plugaru  Iulian Taro  Sergiu Chetraru	Coordinator  Coordinator  Coordinator
20.09.12	Soldanesti	Asociatia de dezvoltare socio-economica a orasului Soldanesti	Aliona Tinica	Coordinator

### Service Providers

15.08.2012	Soldanesti	Apa Regia	Serafima Fosca	Director
22.08.2012	Soldanesti	Apa Regia	?	Waste worker
29.08.2012	Floresti	Service Provider of Floresti	Serghei Rusu	Director

### Private Companies

21.08.2012	Soldanesti	Recycling company	Victor Burete	Owner
21.08.2012	Soldanesti	Textile Factory	Lilian Meghea	Director
22.08.2012	Soldanesti	Market Selleres	?	Merchant
15.09.2012	Rezina	Lafarge Cement Factory	Sergiu Bobu, Oxana Ersov	Development and progress manager environmental and quality assurance engineer

## Annex III: Objectives of the SLE Assignment

### Impact

The SLE assignment helps to:

Create conditions for improved local public services in selected communities.

Strengthen the administrations' capacity to update their SEDS (Socioeconomic development strategies) in the pilot rayons in order to create and maintain a sustainable ISWM service.

Create awareness of the potential of inter-municipal cooperation (IMC) and identify potential models for its implementation.

### Outcome 1

LPA1 and LPA2 in the rayons of Soldanesti, Floresti and Rezina share information on needs and potential of the communities in relation to solid waste services and exchange their experiences of current SWM systems. They have a common understanding of the advantages of inter-municipal cooperation for SWM in order to use the planned sanitary landfill in a sustainable way.

#### Output 1.1

Socio-economic situation and requirements of citizens and administrations for a SWM system in the rayons of Floresti, Soldanesti and Rezina are analyzed.

##### Activities for Output 1.1

1.1.1 Develop a questionnaire and send to the focal point for distribution. Distribute questionnaire to LPA1 in each rayon.

1.1.2 Interview local experts based on analysis of questionnaires in the rayonal capitals of Floresti, Soldanesti and Rezina.

1.1.3 Assess secondary data about SWM in the three rayons.

1.1.4 Analyze, triangulate and evaluate assessed data about SWM in the three rayons.

#### Output 1.2

LPA1 and LPA2 are aware of the peculiarities of the planned sanitary landfill in Soldanesti and of the need for inter-municipal cooperation.

##### Activities for Output 1.2

1.2.1 Prepare moderators for the kickoff meetings in the three rayons.

1.2.2 In the workshop, inform LPA1 and LPA2 about the draft national strategy on SWM, the planned sanitary landfill in Soldanesti, the intended participatory strategic planning process and about IMC.

1.2.3 Present and share information from the situation analysis in the workshop with LPA1, LPA2, RDA, CALM and village councils.

1.2.4 Cluster needs, concerns and geographic information from the situation analysis to form thematic working groups during the workshop.

1.2.5 Identify and reassess important information gaps through additional expert interviews.

## **Outcome 2**

The planning authorities in the pilot rayons use a management mechanism that enables them to plan for investment needs, financing and responsibilities for the waste management region.

### **Outputs 2.1**

The moderators' capacities are strengthened.

#### Activity for Output 2.1

2.1.1 Select the moderators and train them before and on the job.

### **Outputs 2.2**

During a sequence of workshops a management mechanism for IMC in the three rayons is identified and launched through having created a common understanding of a waste management area.

#### Activities for Output 2.2

2.2.1 Confirm workshop results with SLE counterparts.

2.2.2 Design workshops to install a management mechanism and enable moderators to facilitate those workshops.

2.2.3 Conduct workshop with moderators and supported by SLE team.

2.2.4 Share results from previous workshops regarding IMC with LPA1 in the workshop.

2.2.5 Discuss possible management mechanism with a focus on necessary inter-municipal tasks and responsibilities in the workshop.

2.2.6 Set topics for inter-rayonal working groups in the workshop.

2.2.7 Define investment priorities in working groups.



2.2.8 Prepare action plan for IMC.

2.2.9 Evaluate workshop and working groups, and document the results.

### **Outcome 3**

The administrations of the rayons of Soldanesti, Floresti and Rezina are individually and in cooperation with each other able to update the SWM chapter of their socio-economic development strategies (SEDS). These chapters include the particular strategies of each rayon and are harmonized with joint strategies of an inter-municipal waste management area. This is done in coherence with the national strategy on SWM and taking into consideration local needs and potential.

#### **Output 3.1**

The content structure of the SEDS chapter on SWM is developed.

##### Activities for Output 3.1

3.1.1 Select and train a team of facilitators to moderate the SEDS updating process.

3.1.2 Identify major topics from national strategy and situation analysis in pilot rayons.

3.1.3 Clarify sequence of topics in SEDS chapter.

3.1.4 Prepare and agree on outline for SEDS chapter.

#### **Output 3.2**

Guidelines for how to develop a strategy on SWM are created.

##### Activities for Output 3.2

3.2.1 Identify the necessary elements the guideline should contain.

3.2.2 Outline the steps needed to collect the necessary information.

#### **Output 3.3**

Different needs and potential of LPA2 are identified (capacity assessment) and capacities are strengthened in order to update the SEDS chapter.

##### Activities for Output 3.3

3.3.1 Assess capacity needs of the team updating SEDS.

3.3.2 Develop capacity strengthening recommendations for the team.

#### **Output 3.4**

Outline for SEDS chapter can be transferred to future decentralization processes.

**Activity for Output 3.4**

3.4.1 Evaluate SEDS updating process and give recommendations.

**Outcome 4**

GIZ and the three rayon administrations have methods and recommendations at their disposal to continue the process of participatory inter-municipal planning and monitoring in the pilot region and beyond.

**Output 4.1**

A chapter on experiences from activities carried out by the SLE team, best practices and conclusions are drafted in an SLE study.

**Activities for Output 4.1**

4.1.1 Document lessons learned from activities carried out by SLE team.

4.1.2 Document findings during assignment in a way that can easily be used to prepare a guide on SEDS planning in the SWM area, coherent to the existing guide in the WSS field.

4.1.3 Provide recommendations for scaling up the SWM sector.

### Annex IV: Timeline

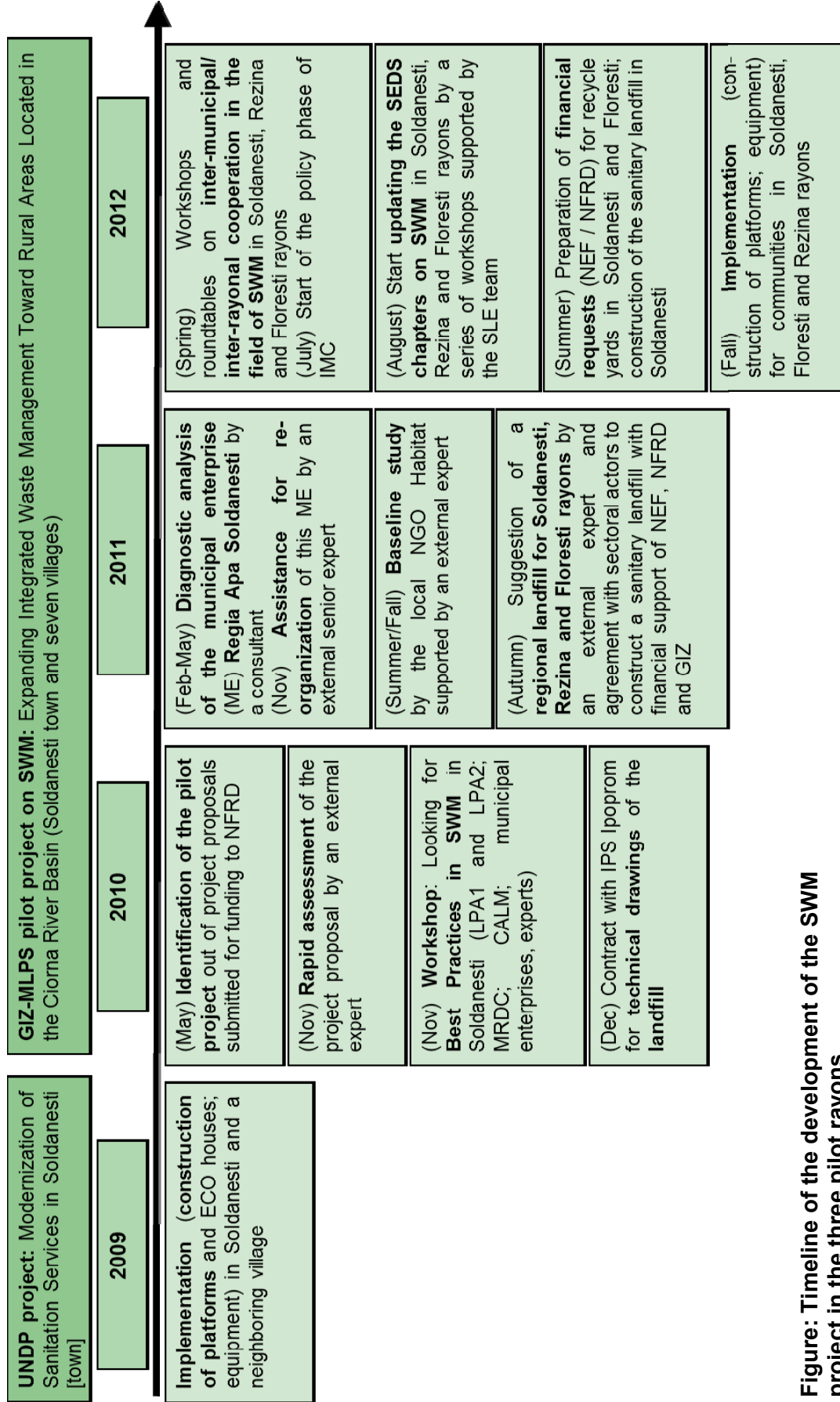


Figure: Timeline of the development of the SWM project in the three pilot rayons

## Annex V: Questionnaire

### Questionnaire for the Mayors of Soldanesti, Floresti and Rezina

Name of rayon:

Name of community:

Name of mayor:

Number of inhabitants:

a. What are the three main problems of your community currently? Please write them down according to their priority.

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

b. Is waste something you are concerned about?

○ No: \_\_\_\_\_

○ If yes, what are, in your opinion, the biggest problems concerning waste in your community? \_\_\_\_\_

c. Do inhabitants talk about these waste problems?

○ No: \_\_\_\_\_

○ If yes, please give some examples of what they talk about most: \_\_\_\_\_

d. What happens with the waste that is produced in your community (organic, glass, plastic, paper/cardboard, metals, etc.)?

1) Who is responsible for waste collection and disposal in your community? (multiple answers are possible)

○ The individual households: \_\_\_\_\_

○ Community members offering collection service: \_\_\_\_\_

○ Waste company: \_\_\_\_\_

○ Municipal enterprises: \_\_\_\_\_

○ Private enterprises: \_\_\_\_\_

○ Other: \_\_\_\_\_

2) How is waste usually disposed of in the community? (multiple answers are possible)

- 
- Burned: \_\_\_ if yes, indicate where: \_\_\_\_\_  
What percent of waste is disposed in this way? \_\_\_\_\_
  - Buried: \_\_\_ if yes, indicate where: \_\_\_\_\_  
What percent of waste is disposed in this way? \_\_\_\_\_
  - Dumped: \_\_\_ if yes, indicate where: \_\_\_\_\_
    - At a platform: \_\_\_\_\_
    - At an authorized dumpsite: \_\_\_\_\_
    - At an unauthorized dumpsite: \_\_\_\_\_
    - At other place: \_\_\_\_\_
  - Other (please specify): \_\_\_\_\_  
if yes, indicate where: \_\_\_\_\_  
What percent of waste is disposed in this way? \_\_\_\_\_
- e. Besides households, are there any enterprises, factories, institutions or other organizations in your community that produce a considerable amount of waste?
- No: \_\_\_\_\_
  - If yes, who: \_\_\_\_\_
  - If yes, what type of waste do they produce: \_\_\_\_\_
- f. Is there any kind of cooperation with neighboring communities regarding waste management?
- Using the same polygon: \_\_\_\_\_
  - Using the same dumpsite: \_\_\_\_\_
  - Using the same waste collection system: \_\_\_\_\_
  - Using the same recycling yard: \_\_\_\_\_
  - Other (please specify): \_\_\_\_\_
  - There is no cooperation: \_\_\_\_\_
  - If not, where do you see opportunities for cooperation: \_\_\_\_\_
- g. Does your community administration spend money for waste management?
- No: \_\_\_\_\_
  - If yes, how many lei per year: \_\_\_\_\_
  - If yes, for what purpose: \_\_\_\_\_
- h. Do you impose waste collection fees?

- No: \_\_\_\_\_
  - If yes, how much per household per month: \_\_\_\_\_
  - If yes, how much per enterprise per month: \_\_\_\_\_
- i. Do (nongovernmental) organizations, institutions, private enterprises or citizens' initiatives that deal with waste-related topics exist in your community (environmental education, waste campaigns, etc.)?
- No: \_\_\_\_\_
  - If yes, who and what do they do: \_\_\_\_\_
- j. If you have any additional comments, please write them here: \_\_\_\_\_

**Thank you very much for your contribution!**

## Annex VI: Service System Approach

### • Method of Planning Local Public Services

The following figure illustrates the procedure of planning local public services and is explained as the following: A set of steps makes it possible to first analyze the existing service system (A) and compare (C) this with the identified needs (B). Thus, service gaps will be identified. It then analyzes and identifies new service models (D and E). Finally, a newly established service system matrix (F) demonstrates the roles and responsibilities and defined actions of each relevant stakeholder to ensure a functioning service system (see Table 4; waste service system matrix) (Rauch, 2009: 308-309).

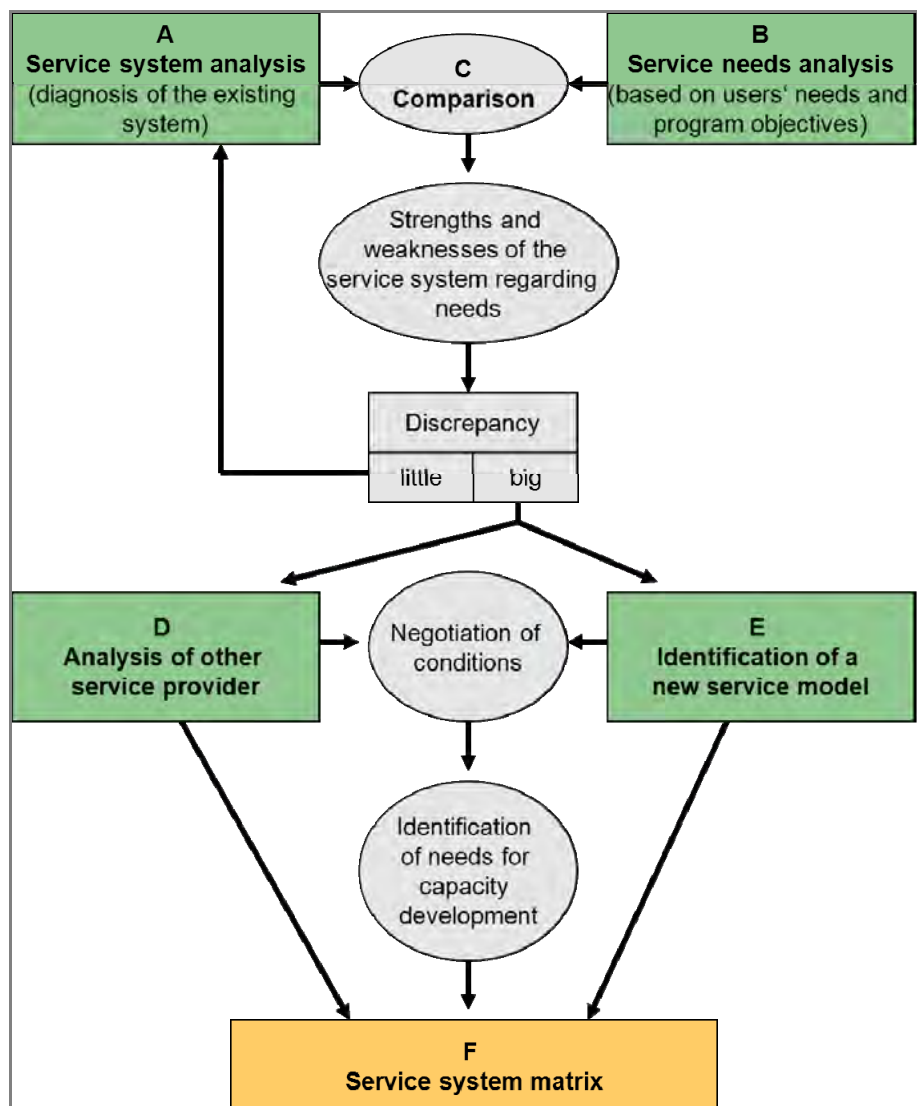


Figure: Method of planning local public services (Rauch, 2009: 305)

- **Service System Matrix**

**Box 0.1: Description of the application of the service system matrix planning tool****How has the planning tool of the SSM been applied by the SLE team in order to support the clarification of roles and responsibilities for a waste service system?**







The SSM method theoretically contains a set of different steps for analysis. As this is a complex method, the SLE team did not complete all of the steps because of the limited time, but national and international waste experts and regional administrative staff will develop the method further. The following steps were completed (see Figure):

- The service system analysis (step A) was roughly done through interviews with different stakeholders (service providers, mayors, etc.), analysis of the questionnaires and field visits (see chapter 6.1: SWM situation in the pilot region). Waste services partially exist in cities and bigger communities, but elsewhere not at all.
- The service needs analysis (step B) was done through interviews with mayors, analysis of the questionnaires and during the mayors' workshops. Mayors stated their support for establishing a waste service system to regulate the chaotic waste situation.
- Comparing the users' needs with the (non)existent service system (step C) highlighted a big service gap. Most communities in the three pilot regions, except the towns and villages, do not have waste service systems. The analysis of other service providers (step D) and the identification of a new service model (step E) should to be done as a next step. The already launched IMC process will help in this process.
- The development of the service system matrix at the inter-regional workshop was a first step in the clarification of roles and responsibilities and supports the process of designing a new waste service system.



## Annex VII: Vision

**Table 5: Worked-out and clustered issues regarding a vision for the SWM sector in the three pilot rayons and formulation of a common vision**

<ul style="list-style-type: none"> <li>• The three rayons cooperate in order to have a common, effective and efficient SWM service system</li> <li>• The pricing system is adapted to the financial situation of the population</li> </ul> <p style="text-align: center;"><b>A functioning SWM system exists</b></p> <p style="text-align: center;"></p>	<ul style="list-style-type: none"> <li>• The local government enforces laws for solid waste management</li> <li>• The legislations/laws regarding solid waste management are followed by the local population</li> </ul> <p style="text-align: center;"><b>Local governments take over responsibility</b></p> <p style="text-align: center;"></p>	<ul style="list-style-type: none"> <li>• The communities are clean and the environment is unpolluted</li> <li>• Illegal dumpsites are removed</li> <li>• People do not suffer any more from diseases caused by pollution</li> </ul> <p style="text-align: center;"><b>A clean and healthy environment exists</b></p> <p style="text-align: center;"></p>
<p><b>Preliminary common vision</b> (developed by the SLE team and presented at the inter-rayonal workshop):</p> <p><i>“The common vision of the rayons Floresti, Rezina and Soldanesti is to jointly provide their population with an effective, efficient and affordable integrated solid waste management (ISWM) service system. The high level of awareness of the population, administration and the private sector contribute to it. By implementing the ISWM service system, the environmental situation and the health of the population improve, the rayons become more attractive and the regional economy benefits.”</i></p>		
<p style="text-align: center;"></p> <p style="text-align: center;"><b>People are aware</b></p> <ul style="list-style-type: none"> <li>• The population has a high level of awareness regarding SWM, and ecology</li> <li>• The population takes over responsibility for the adequate recycling and deposition of its waste</li> </ul>	<p style="text-align: center;"></p> <p style="text-align: center;"><b>Waste is reduced and re-covered</b></p> <ul style="list-style-type: none"> <li>• Quantity of waste has reduced significantly due to recycling and reuse</li> <li>• Waste is used as an alternative energy form</li> </ul>	<p style="text-align: center;"></p> <p style="text-align: center;"><b>The local economy is strengthened</b></p> <ul style="list-style-type: none"> <li>• The local economy has benefited from the appearance of a SWM service system</li> <li>• New working places exist</li> </ul>

## Annex VIII: Moderation Plan for Second Rayonal Workshop

<b>Subject</b>	Mayors' representatives and SEDS team develop measures and relevant stakeholders. Distribute info about SEDS.		
<b>Participants</b>	Participants: 3 representatives of LPA 1, SEDS team (6), Rayon President, Vice-president, GLZ focal point		
<b>Timeframe</b>	10:00 - 14:00		
<b>Moderator</b>	RDA		
<b>Goals of the session</b>	<p><b>Objective 1:</b> LPA1 and LPA2 develop measures and components for a vision for the strategy and represent the opinion of their entity. New actors in the field of SWM can be identified.</p> <p><b>Objective 2:</b> RDA and LPA2 (SEDS team) learn new participatory methods for knowledge transfer, improve their presentation and moderation skills and identify themselves more with their task to update the SEDS.</p> <p><b>Objective 3:</b> LPA1 representatives and LPA2 are well informed about important components and challenges of a SWM service system, understand the elements of strategic planning and know about international principles for SWM, thus are able to work on a vision and measures for the SEDS chapter on SWM.</p> <p><b>Objective 4:</b> Cooperation and communication between LPA1 and LPA2 are strengthened to jointly work on the strategy.</p>		
<b>Time</b>	<b>Activity</b>	<b>Objectives of the activity</b>	<b>Responsibility</b>
9:30-10:00	Registration: Welcome participants, Register participants		SLE, translator
10:00-	Welcome speech	Meeting is officially recognized by the rayon president	President, GLZ focal point

10:05				
10:05-10:15	<p><b>Introduction:</b></p> <p>Purpose of meeting and explain interactive character of workshop and introduce facilitators</p> <p>Emphasize tasks of mayors' representatives</p> <p>Explain "Piata de informatii"</p> <p>Division into mixed groups of five persons</p>		RDA, SLE	
10:15-10:45	<p><b>Piata de informatii:</b></p> <p><b>1<sup>st</sup> stand:</b> Introduction to international waste principles and their importance for SEDS</p> <p><b>2<sup>nd</sup> stand:</b> Introduction to structure of SEDS chapter, explain difference between vision, objective, measure, activity</p>	<p>Interactive information of participants</p> <p>Participants have opportunity to directly ask questions in small groups (done by representatives of the rayon administration)</p>	State Ecological Inspectorate, Department for Attracting Investments, SLE	
10:45-11:00	<p><b>Buzz groups</b></p> <p>Explain the method: Sitting neighbors discuss and answer the following question: "Imagine all waste problems are solved when you wake up. Where do you notice changes? Write three examples, one on each card."</p> <p>Moderator distributes cards and collects cards for vision</p> <p>Explain that results will be presented after coffee break</p>	<p>LPA1 and SEDS team discuss the desired waste situation in the villages and get to know each other's opinions</p> <p>Ideas for a common rayonal vision are collected that reflect the ideas of LPA1 and LPA2</p>	RDA	
11:00-11:10	<p><b>Film</b></p> <p>Example of SWM service system from Germany and Moldova (Ungheni) (emphasize context-specific adaptation)</p>	<p>Participants have an idea of a sanitary landfill according to international standards</p>	SLE, GIZ focal point	

	Present information on SWM including 10-minute question and answer session	Information serves as a basis for later discussion in working groups	GIZ focal point
11:10-11:25	<p><b>Introduce goals and content for working groups</b></p> <p>Build two working groups (WG):</p> <ul style="list-style-type: none"> <li>• WG1: Measures</li> <li>• WG2: SWM actors</li> </ul> <p>Group composition: same quantity of people per group, mix of mayors' representatives and SEDS team and one moderator. Go into working group rooms</p>	<p>Participants understand the purpose and content of the two working groups</p>	<p>RDA</p> <p>WG1 facilitated by RDA North</p> <p>WG2 facilitated by RDA Center</p>
11:25-11:30	<p><b>Working group on measures</b></p> <p>Explain difference of objectives, measures and actions in detail</p> <p>Present objectives derived from mayors' meeting and international waste principles</p> <p>Explain that measures for defined objectives will now be developed jointly (as far as possible)</p> <p>Explain that results will be checked by expert before integrating them into SEDS chapter</p>	<p>Participants understand the purpose of objectives and measures as strategic elements</p> <p>Participants refine the objectives and measures</p>	<p>WG1:</p> <p>Moderation: RDA North (and SLE)</p>
11:30-12:20	<p>Working group on SWM actors</p> <p>Explain why all relevant SWM actors need to be involved</p> <p>Explain method and actors matrix:</p> <p>Rows: private sector, civil society, state institutions, service provider, others</p> <p>Columns: actors, importance (high, middle, low), roles</p>	<p>Participants understand the need for involvement of all relevant actors</p> <p>Participants add new stakeholders</p> <p>Participants reflect on possible partners for cooperation in SWM</p>	<p>WG 2:</p> <p>Moderation: RDA Center (and SLE)</p>

	(legal and actual)			
12:20-12:40	<b>Coffee break</b> <b>Cluster ideas of buzz groups in thematic groups</b>	<b>Socializing</b>	All participants, moderator, SLE	
12:40-12:50	<b>Energizer</b> Participants form two equal-sized groups. Within the groups they decide together which character each person will play: Maria Cebutari, Stefan cel Mare, Ottoman	Get active after lunch Have fun	SLE, all participants	
12:50-13:05	<b>Sectoral vision</b> Present thematic clusters of ideas from buzz groups Explain that vision will be formulated by SEDS team/SLE team/expert. Draft will be reflected back to the participants. Discuss about vision	Take first steps toward developing the vision	RDA	
13:05-13:20	<b>WG1 (measures)</b> Presentation of final objectives Final discussion and tentative agreement	Participants of other group are informed about results	One WG1 participant, RDA North	
13:20-13:35	<b>WG2 (SWM actors)</b> Presentation of results Final discussion and tentative agreement	Participants of other group are informed about results	One WG2 participant, RDA Center	
13:35-14:00	<b>Outlook</b> Further steps to be taken Announce date of inter-rayonal WS Results need to be reflected back to mayors at next mayors' meeting <b>Evaluation with an interactive tool and evaluation</b>	Further proceeding is clear to participants	RDA	

	<b>sheets</b> Outlook on cooperation with CALM for inter-rayonal work-shop <b>Final words</b>		GIZ focal point, rayon president
14:00-14:50	<b>Have lunch together</b>		
14:50-15:20	<b>Internal team feedback</b>		GIZ, RDA, SLE, translators

## Annex IX: Observation Sheet (example from the second rayonal workshop)

	Description
<b>Date</b>	September 6, 2012
<b>Locality</b>	Soldanesti
<b>Time and duration</b>	9:00 – 13:00
<b>Participants</b>	3 mayors, rayon president, rayon vice-president, State Ecologic Inspectorate 1, SEDS team Soldanesti 4, GIZ-MLPS (3 members), SLE team, RDA North (1 representative), RDA Center (moderator)
<b>Moderator</b>	RDA Center
<b>Assistant/note-taking Translation (if needed)</b>	3 translators
<b>Scope</b>	<ul style="list-style-type: none"> <li>• To establish the objectives and measures</li> <li>• To discuss the strategy components</li> <li>• To determine key actors</li> <li>• To work on the strategy: vision, objectives, measures, actors</li> </ul>
<b>Meeting highlight</b>	<p>Structure of the strategy became clear, thought about actors, know the difference between measures and actions</p> <p>Mix of methods!</p> <p>We established the vision (in 15 years the problem of waste is solved)</p> <p>Established objectives, measures, activities.</p>

Criterion	Indicator	Observation
<b>1) Preparation</b> <b>a) Invitations</b>	1. Invitations were sent on time to all relevant stakeholders	Additional, supporting people should be invited (GIZ north office)
<b>b) Logistics</b>	2. Invitations were followed up 3. Room was properly prepared (clean, enough chairs, material, drinks, etc.)	The room was too large for a small number of participants. The rest was ok. The room was so large that people had to speak very loud. This created some difficulties during discussion.
	4. Meeting was easily reachable for all invitees	
	5. Translation was prepared (in case it was necessary)	
	6. Team was on time	Yes
	7. Roles and responsibilities of the participants were clear (who moderates, who takes minutes, who presents)	<ul style="list-style-type: none"> <li>• Yes, were established</li> <li>• Focal point: integrate all actors</li> </ul>
<b>2) Quality</b> <b>a) Scope/goal</b>	1. Were scope and purpose of the meeting clear?	<ul style="list-style-type: none"> <li>• Yes</li> <li>• Rayon president mentioned importance of qualitative SEDS</li> <li>• From the beginning money was the issue (rayon wants to use the available finances in a responsible way).</li> <li>• You should have done a short overview of the last</li> </ul>



Criterion	Indicator	Observation
		workshops to inform participants of previous discussions and decisions.
2.	Was goal of the meeting achieved?	The workshop corresponded to the proposed objectives. Yes, there was interaction.
3.	Was there a common understanding (a) In the beginning (b) During the meeting (c) At the end of the meeting	It was a friendly atmosphere from the beginning till the end of the workshop. WG1 (objectives): the group had difficulties in defining measures (not actions); give one example measure per objective; prepare questions for each proposed measure for the moderator to guide the discussion The next steps were clearly announced.
4.	Is the procedure after the meeting clearly communicated? (next meeting, next steps)	
5.	Were there any visual presentations? How were they presented?	The presentations were well-prepared bulletin boards. There was little time for the responsible persons to prepare it.
b) Participation	6. Did all participants pay attention?	All participants were active At market of information: yes, listened attentively and some even asked questions (what are measures/objectives) All participated in the energizer
	7. Did all participants have similar language levels (or support by translators)?	SLE had support from translators
	8. Was the discussion (a) Well balanced	There were some passive participants. Some participants dominated the discussion.

Criterion	Indicator	Observation
c) <b>Disturbances</b>	(b) Dominated by certain participants (c) Were there any passive participants?	The discussion was a balanced one with an atmosphere of cooperation.
	9. Were there any factors that disturbed the meeting (participants came late, side discussions, mobile phones, translation, too hot, etc.)	<ul style="list-style-type: none"> <li>• Some participants talked on the phone during the workshop</li> <li>• Too many observers, facilitators and translators- almost half of all participants</li> <li>• Workshop began with 10-minute delay</li> <li>• Conditions were optimal</li> </ul>
<b>3) Moderator</b>	1. Was well prepared	Ok
	2. Knows its role	Better than before
	3. Knows the goals of the workshops	Yes
	4. Facilitated the process, but was not involved in the discussions	Explained what buzz groups are, but didn't follow up (good to take the point of view of the participant) Nice explanation of market of ideas
	5. Time management	Yes
	6. Motivated others to participate in discussion	Moderated the process very well
		Wasn't respected during all stages of the workshop
		Yes, it was good

## Annex X: Information Sheet (own development)

### Information Sheet Designing an Integrated Solid Waste Management (ISWM) Service System for the Rayons Soldanesti, Floresti and Rezina

*What is an integrated solid waste management system?*

- ✓ Frequent **waste collection and transport** (including platforms and transfer stations)
- ✓ Controlled and efficient **waste transfer**
- ✓ Controlled **waste disposal** referring to international standards
- ✓ Waste minimization measures such as **waste separation** Waste treatment such as **recycling and composting**
- ✓ **Inform the population** and include them in helping to reduce the amount of waste
- ✓ Public service tariff system



*Why should we have a system for ISWM in Soldanesti, Floresti and Rezina?*

The population in the area has only limited access to waste collection systems and to controlled waste storage. In addition, there is only limited awareness about the detrimental impacts of waste. This results in waste being dumped in unsuitable places.

A system of ISWM can minimize

- Soil and groundwater pollution caused by the lack of a lining system
- Surface water pollution caused by the proximity of dumpsites to water sources
- Air pollution caused by burning waste and the lacking coverage at existing dumps
- Health problems (e.g. due to contaminated drinking water)
- Waste scattered in the landscape.

*Who will benefit from the system?*

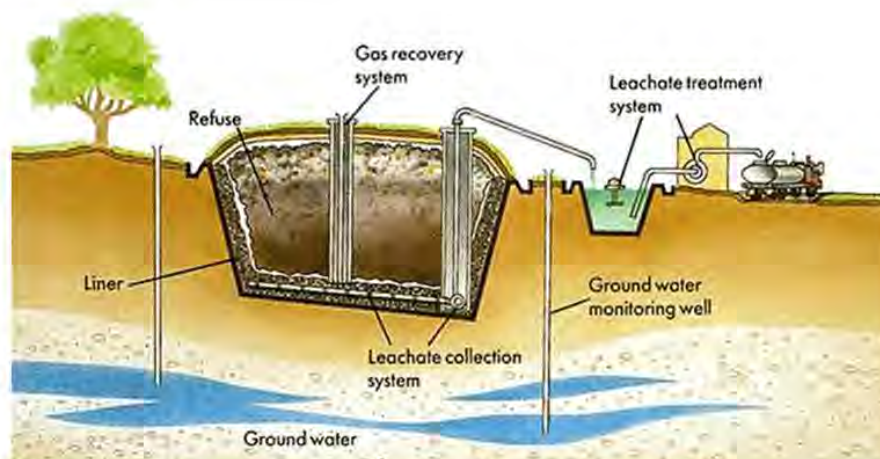
About 85 000 inhabitants will profit from the system in the first step.

Further localities can join the system in the following steps and as such increase the number of beneficiaries.

Jobs will be created in each locality and in the rayon capitals.







*What is a sanitary landfill and how can it help to solve these problems?*

- ✓ A **sanitary landfill**
- ✓ Provides **controlled waste disposal** referring to international standards
- ✓ Has a **lining** on the ground to protect groundwater and soil from pollution
- ✓ Has a **cover** on the top for protecting the environment from odor
- ✓ Is **fenced** in order to prevent illegal disposal
- ✓ Includes **recycling platforms, composting facilities** and a **gas collection system**

*What else do you need to know?*

- The **system** will start to work at the **end of 2012** and will gradually be extended
- The **sanitary landfill** will be built entering the town of Soldanesti on the road Chisinau – Rezina, in the former farmer complex of Parcani (size: 20 ha) and will receive waste for about 25 years
- Once the system works fully, the old **polygons will be removed** and the waste carried to the sanitary landfill
- **Jobs will be created** in every participating locality because sanitation workers are required to run the system
- The users will need to pay a **fee** - otherwise, the system will not be able to operate

*Who is responsible for the implementation of the ISWM system in the three rayons?*

- The project proposal was submitted by the Primaria of Soldanesti together with GIZ in 2010 to the National Fund for Regional Development. The system will gradually be extended to the rayons of Soldanesti, Floresti and Rezina.
- Main responsibility: mayors (implementation) and rayon administration (strategy formulation)
  - Facilitation support: Regional Development Agencies (RDA) North and Center and Congress of Local Authorities of Moldova (CALM)
  - Technical support: German Agency for International Cooperation (GIZ)
  - Financial support: ECOfund, National Fund for Regional Development and
  - German Ministry for Economic Cooperation and Development

***Do you want to know more about waste and the ISWM system?***

*An exhibition will be launched in the rayon council of Soldanesti soon.*

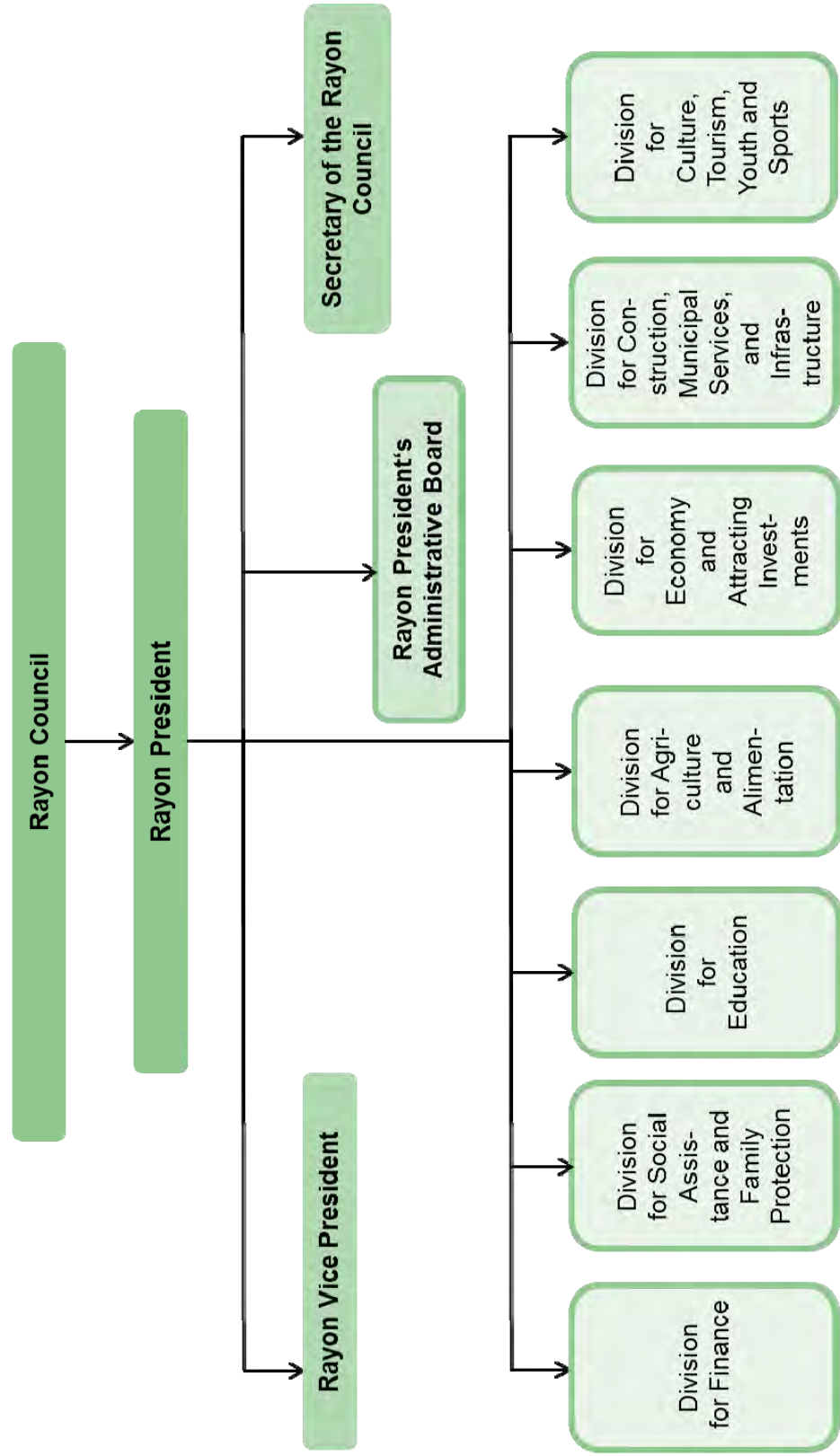
*You can also direct your questions to your rayon and mayor's office.*

*For questions related to ecological issues, ask the State Ecological Inspectorate.*

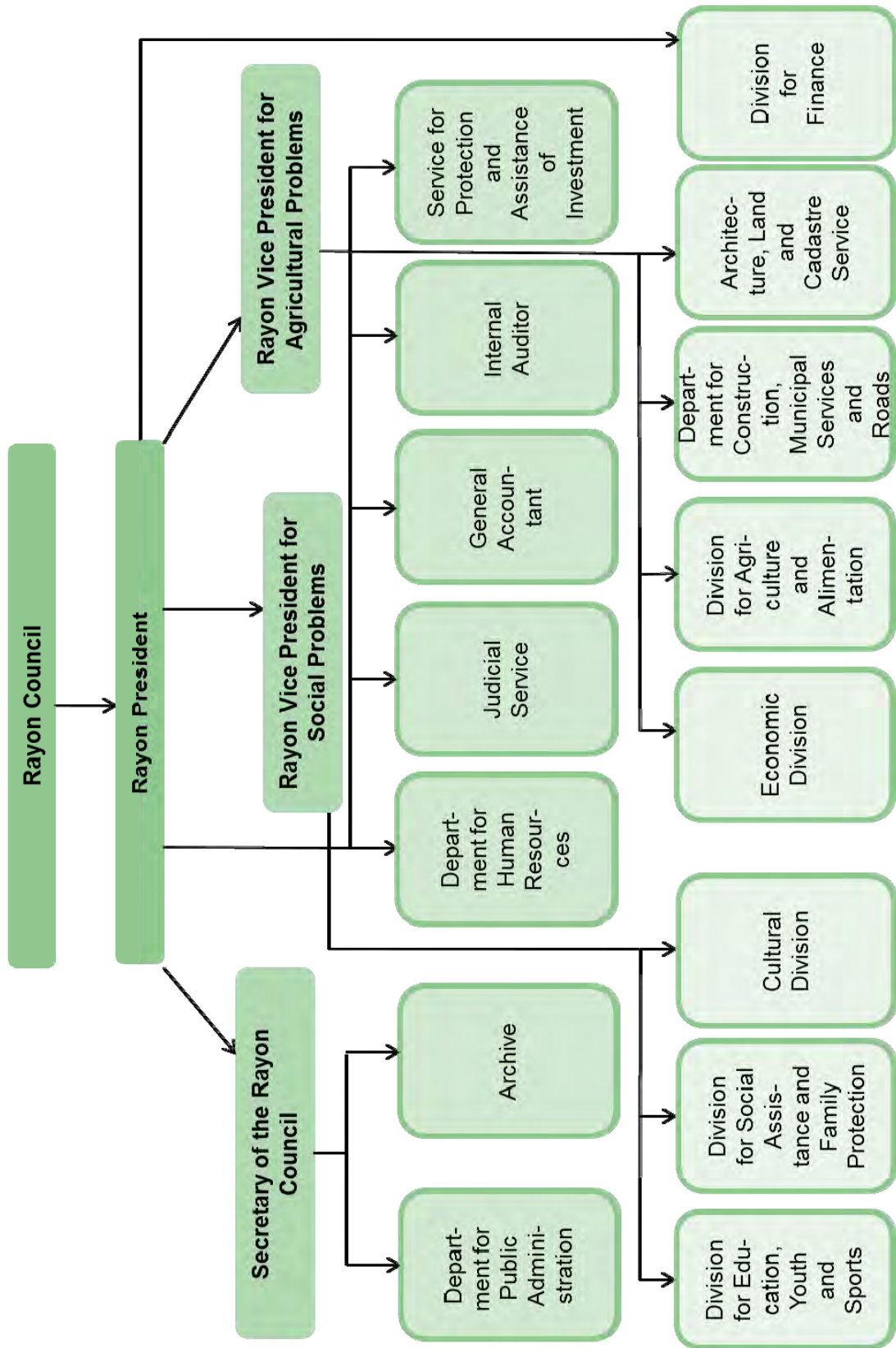
*For questions related to health risks, talk to the Center for Public Health.*

**Annex XI: Organization Charts of the Three Pilot Rayons' Administrations  
(source: charts given by the rayon administrations, Sept 2012)**

**Organization Chart: Rayon Administration of Florestl**

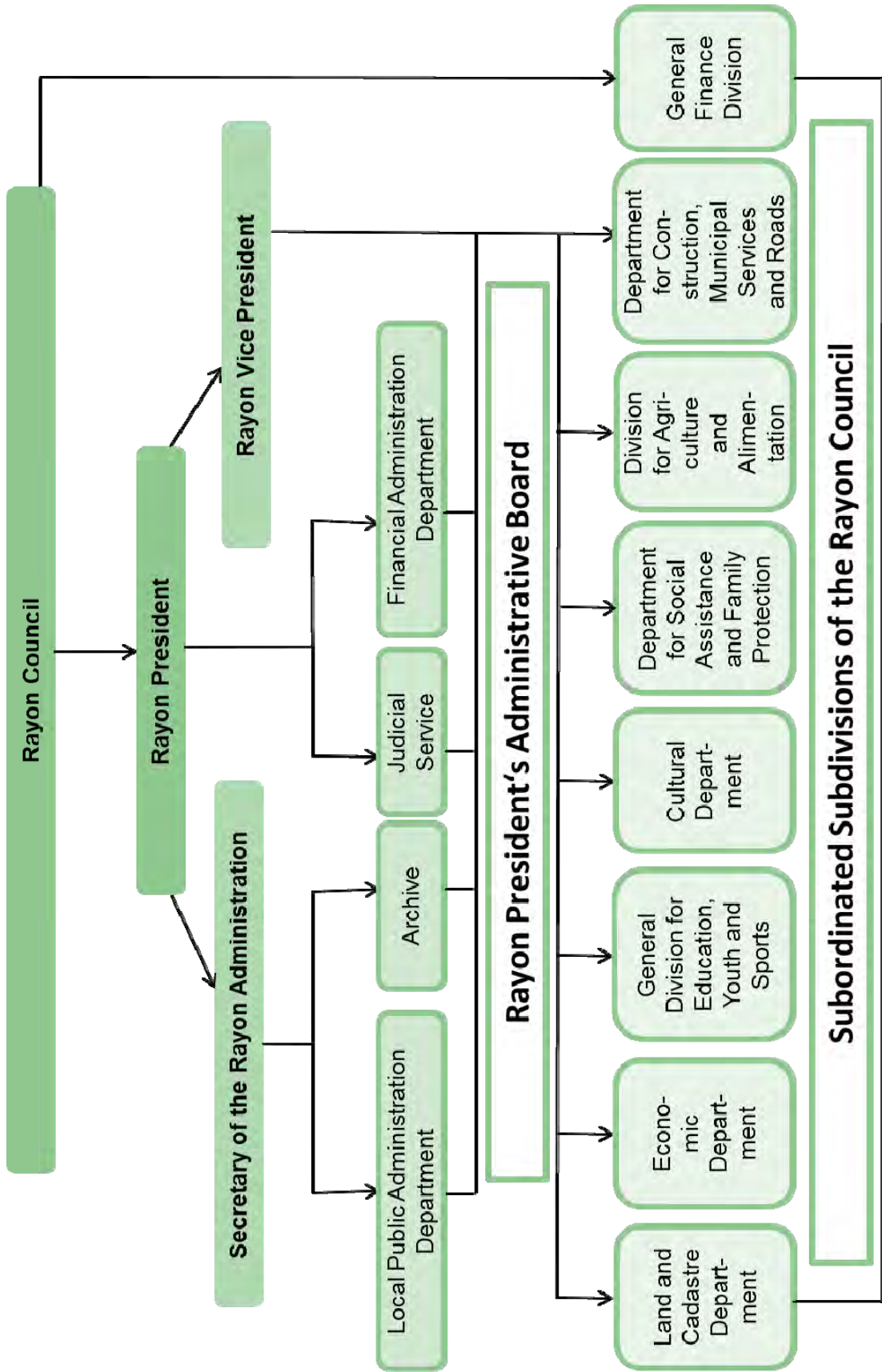


**Organization Chart: Rayon Administration of Rezina**





### Organization Chart: Rayon Administration of Soldanesti







## Liste der SLE Publikationen von 2000-2012

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