

SM SHAFIQL ALAM

Strategic Institutional Capacity in Solid Waste Management

The cases of Dhaka North and
South City Corporations in Bangladesh





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ACADEMIC DISSERTATION

To be presented, with the permission of
the Board of the School of Management of the University of Tampere,
for public discussion in the auditorium Pinni B 1096,
Kanslerinrinne 1, Tampere,
on 3 November 2016, at 12 o'clock.

UNIVERSITY OF TAMPERE

SM SHAFIQUL ALAM

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Acta Universitatis Tamperensis 2216
Tampere University Press
Tampere 2016

ACADEMIC DISSERTATION
University of Tampere
School of Management
Finland

The originality of this thesis has been checked using the Turnitin OriginalityCheck service in accordance with the quality management system of the University of Tampere.

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Cover design by
Mikko Reinikka

Acta Universitatis Tamperensis 2216
ISBN 978-952-03-0239-9 (print)
ISSN-L 1455-1616
ISSN 1455-1616

Acta Electronica Universitatis Tamperensis 1716
ISBN 978-952-03-0240-5 (pdf)
ISSN 1456-954X
<http://tampub.uta.fi>

Suomen Yliopistopaino Oy – Juvenes Print
Tampere 2016



To My Parents

Md. Ayub Ali Sarkar and Mrs. Fazilatunnahar

ABSTRACT

The study analyses strategic institutional capacity related to solid waste management in Dhaka, Bangladesh. It finds that Dhaka city lacks institutional capacity regarding solid waste management and governance is in a state of crisis. It investigates these institutional and governance failures and proposes measures to overcome them.

Strategic capacity is fundamental for any organization. The success, effectiveness and efficiency of management and governance depends on strategic capacity. The concept refers to the ability to make and institutionalise long-term strategic decisions and trajectories. In the Dhaka case, a lack of proper organizational capacity is notably apparent regarding solid waste management. The study argues that strategic capacity should be increased to deploy available resources, while governance processes and systems should be designed in a more appropriate manner. The scientific objective of the study is to contribute descriptive and interpretative knowledge to the theory and literature of strategic capacity and solid waste-management policy analysis. The practical objective is to understand and analyze strategic institutional capacity building in the Bangladeshi context.

The study does not follow any particular theory. It is nevertheless grounded on relevant concepts and theories that conceptualize the research phenomena and develop the conceptual framework. It uses qualitative research methods utilizing a constructivist approach. For data collection, the study interviewed 32 respondents from multiple levels of the Bangladeshi bureaucracy. These were broken down into categories: the strategic apex, middle-line and techno-structure. Findings were analysed thematically using an inductive approach.

The study found that strategic institutional capacity and governance in general in the corporations of Dhaka City is weak. This is particularly true in the case solid waste management. A key finding is that City Corporations in Dhaka lack a proper understanding of the role of strategic capacity in improving governance and institutional capacity. The major thematic analysis concludes; (i) The predominant strategic perspective is inappropriate relative to policy goals; (ii) Current practices are not based on local needs, but on central government influence and bureaucratic guidance; (iii) Good governance practices and institutional capacity-building is not sufficiently emphasized; as a result, (iv) Solid waste management is ineffective. The

study recommended that an appropriate strategic perspective should be encouraged in DCCs for effective governance and better solid waste services. Democratic governance practices, sectoral specific strategies, governance coordination policy, resource based plan and cooperative working relation with central government may expedite the appropriate strategic perspective in DCCs. In the long-run, a realistic strategic perspective will increase strategic capacity as a whole and improve institutional capacity as well.

While the study specifically focuses on Dhaka city, it nevertheless has important implications for understanding solid-waste management governance practices in the developing world in general.

Key words: Strategic Institutional Capacity, Solid Waste Management, Dhaka City Corporations, Bangladesh

TIIVISTELMÄ

Tutkimus analysoi jätehuollon strategista ja institutionaalista kapasiteettia Bangladeshin pääkaupungissa Dhakassa. Tämä aihe on siitä tehtyjen tutkimusten mukaan lähes kaikissa kehittyvissä maissa vakavissa ongelmissa. Dhaka tarjoaa hedelmällisen maaperän tutkia jätehuollon hallinnollisia ja johtamistaidollisia ongelmia.

Jokaisessa organisaatiossa tarvitaan strategista johtamista, pitkää aikatahtaintä ja päätöksentekokykyä järjestää toimivat palvelut. Näin on myös jätehuollossa suurissa urbanisoituneissa kaupungeissa. Strategisella johtamisella on oltava institutionaalista kapasiteettia, jotta sen avulla varmistetaan jätehuollon menestys tehokkuutena ja vaikuttavuutena.

Strategisen johtamisen kapasiteettiin luetaan kuuluviksi tehokkaat prosessit, toimivat järjestelmät ja riittävät resurssit. Näitä kapasiteetteja tulisi ehdottomasti lisätä Dhakan jätehuollossa. Tämä tutkimus keskittyy analysoimaan näiden tekijöiden merkitystä Dhakan jätehuollon strategisessa johtamisessa. Se avaa samalla näkökulman muihin kehitysmaihin, jotka kamppailevat jätehuollon strategisen johtamisen ongelmien kanssa.

Tutkimus on luonteeltaan laadullinen. Se tarkastelee jätehuollosta vastaavien käsityksiä alansa strategisesta kapasiteetista ja sen eri ulottuvuuksista. Tätä varten haastateltiin 32 strategisesta johdosta vastaavaa jätehuollon ammattilaista Dhakassa. Haastattelut osoittivat, että jätehuollon strategisessa kapasiteetissa on vakavia puutteita.

Päätäjät eivät riittävästi ymmärrä strategisen johtamisen asemaa ja roolia jätehuollon kehittämisessä. Strategisten tavoitteiden muotoilu ja toteuttaminen ovat vaikeasti hallittavia prosesseja. Dhakan keskushallinto vaikeuttaa valinnoillaan jätehuollon strategista ajattelua ja hyvien käytäntöjen hyödyntäminen on sattumanvaraista.

Tutkimus osoittaa, että Dhakassa, ja myös muiden kehitysmaiden suurissa kaupungeissa, tarvitaan vahvaa strategista kapasiteettia; suhteellisen itsenäistä hallinnollista asemaa, ennakkoluulotonta ajattelua ja johdonmukaista toimintaa. Tutkimuksen mukaan mm. nämä tekijät takaavat toimivat jätehuollon palvelut.

ACKNOWLEDGEMENTS

The writing of this dissertation has been one of the most significant academic challenges, I have ever faced. I am grateful to Almighty Allah for enabling me to complete this dissertation, which is a milestone in my academic career. The most rewarding aspect of this journey was engaging with the details of scientific research, clarifying relevant concepts, theories and their contextualization.

I would like to convey sincere gratitude and warmest thanks to my supervisor, the great Professor Emeritus Risto Harisalo for his precise structural guidance, scholarly inputs and consistent encouragement. I would not have been able to complete this project without his all-out support. I appreciate both his method of supervising and the patience he exhibited that enabled me to finish the dissertation. I would also thank Professor Jari Stanvell for his valuable suggestions and cooperation regarding the official process of finalizing the degree. I sincerely appreciate the cooperation from other faculty members of Administrative Science, University of Tampere; specifically, Professor Emiretus Juha Vartola, Klaus F Ursin and Dr. Elias Pekkola.

I am grateful to the honorable reviewers Mrs. Kaija Maionen, Doctor of Administrative Science and Chair of the Finnish Municipal Association and Dr. Shahjahan Bhuiyan, Associate Professor of the American University of Cairo, Egypt for their patience in reading and providing valuable comments on my dissertation. I would extend my sincere thanks to Professor Timo Aarrevaara, University of Lapland for his kind consent to be my opponent for public defense.

I would also take the opportunity to thank those who have been behind me all the time. Among them, I owe my deepest gratitude and thanks to my teachers Professor Dr. Mohammad Asaduzzaman, Department of Public Administration, Islamic University, Kushtia, Bangladesh who encouraged me to believe in my abilities throughout my academic life and career. His encouragement, support and guidance has kept me on the right track. I also thank all my teachers, colleagues and friends of the department of politics and Public Administration, Islamic University Kushtia, Bangladesh for their enthusiastic cooperation and well wishes: Professor Dr. Makhlukur Rahman, Professor Dr. Nasim Banu, Professor Dr. Roksana Mili, Professor Dr. Rakiba Yesmin, Professor Dr. AKM Motinur Rahman, Professor Md. Gias Uddin, Professor Dr. Zulfiqur Hossain, Professor Mohammad Selim, Associate Professors Dr. Lutfor Rahman, Mr. Munshi Murtoja Ali and Dr. Fakhrul Islam. I would also express my sincere gratitude to the Islamic University, Kushtia Bangladesh for granting me study leave.

Thanks also go to Mrs. Sari Saastamoinen, Head of Administration, Mrs. Nina Majamaki, Human Resource Specialist of the School of Management, Mrs. Sirpa Rämö, Secretary of Administrative Science and Mrs. Sirpa Randell. I am indebted to them for their assistance. I am so grateful to Mrs. Terhi Harisalo for her Finnish translation service on my English abstract. I would like to thank my colleagues and researchers of the School of Management in the University of Tampere. Among them, Rediet Abebe, Yohannes Mehari, Kari Kuoppala, Michael Oshi, Gaoming Zheng, Muhammad Azizuddin, Nasrin Jahan Jinia, Md. Abir Hasan Khan, Agbebi Matolani, Michael Herman, Pallavi Pal, M Asif Zaman and Md Zakir Hossain. All have helped and encouraged me in different stages of the writing process. My sincere thanks to Mr. Kawser Ahmed Badhan and Ms. Mitali Sikder for assisting me in conducting field interviews in Dhaka. I am also thankful to my research informants and participants for extending their cooperation and giving qualitative opinions and suggestions to the questions asked.

I am extending my very special thanks to the School of management for offering me the doctoral research position in 2015 for finalizing my dissertation. I am also grateful to the Hans Bang Stiftelsen foundation, Helsinki, Finland for funding my Ph.D studies from 2012 to 2013. It would have been almost impossible for me to continue this research without financial support from these sources.

I am deeply thankful to all of my family members for supporting me by giving the encouragement and emotional support I needed to complete this dissertation. I especially dedicate this dissertation to my parents Mr. Md. Ayub Ali Sarkar and Mrs. Fazilatunnahar who gave me the chance to work in this beautiful world. Special thanks also to my parents- in-law, Professor Dr. Md. Moksuder Rahman and Mrs. Hosne Ara Begum for their inspiration and constant support.

My heartfelt thanks to my dear wife Dr. Shamima Sultana, who has been with me all these years and made this possible. Her support, encouragement and pure love over the years are the reasons I was able to do this. I share this accomplishment with her. Last but most important that my lovely son SARHAN ALAM who was born on 1st July 2015. He is my greatest inspiration and provides me with extra strength to move forward with my work. I love you, my son – by now you know my dissertation is almost ready. Fingers crossed!

Tampere

SM Shafiqul Alam

LIST OF ACRONYMS

APA	American Psychological Association
CBOs	Community Based Organizations
CCO	Chief Conservancy Officer
CEO	Chief Executive Officer
CUS	Center for Urban Studies
DCC	Dhaka City Corporation
DNCC	Dhaka North City Corporation
DSCC	Dhaka South City Corporation
ECC	Environmental Clearance Certificate
GoB	Government of Bangladesh
ISWA	International Solid Waste Association
LGED	Local government Engineering and Development
ZEO	Zonal Executive Officer
MPs	Member of Parliament
MSW	Municipal Solid Waste
MoEF	Ministry of Environment and Forest
NGOs	Non-government Organizations
OECD	Organization for Economic and Cooperation Development
PRSP	Poverty Reduction Strategy Paper
RAJUK	Rajdhani Unnoyon Kortipokhyo (Capital Development Authority)
SAARC	South Asian Association for Regional Cooperation
SWM	Solid Waste Management
UN	United Nations
UNDP	United Nations Development Programs
UNCED	The United Nations Conference on Environment and Development
UNEP	United Nations Environmental Programs
UNESCO	The United Nations Educational, Scientific and Cultural Organization
WB	World Bank

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I INTRODUCTION

Solid waste management is an emerging issue as the world's municipalities become increasingly affected by the huge generation of waste. According to the UNEP (2010), an estimated 1.7–1.9 billion metric tons of waste generated in the municipal areas worldwide. Rapid urbanization, industrialization and economic development are responsible for increased volumes of municipal solid waste. As a result, municipalities responsible for waste management in cities - must provide effective and efficient solid waste services to their inhabitants. However, municipal authorities face problems sometimes beyond their ability to tackle the problem (Sujauddin et al., 2008). This has been attributed lacking organizational financial resources and system complexity (Burntley, 2007). Cities of developing countries have been placed in increasingly difficult situations regarding waste management. Increasing population, urbanization and increase of the community living standards accelerated solid waste generation in developing countries at the municipal level (Minghua et al., 2009). According to ISWA and UNEP, (2002) “with ... limited resources, only basic technologies for treatment and disposal, and deficient enforcement of relevant regulations, serious problems remain for municipal solid waste management of developing countries” (cited in Chen et al., 2010, p. 716). The rapid urbanization growth is the main causes of capacity crisis in the cities of developing to provide adequate services to their citizens (Bhuiyan, 2005 in Bhuiyan 2010, p. 126). Specially, the institutional capacity of developing countries at municipal level is lagging in relation to waste generation trends. As a result, cities of developing countries are environmentally polluted and public health is under threat from widespread waste hazards.

Bangladesh, as a developing country, faces considerable waste management problems due to rapid urbanization growth and a generation of large volumes of waste in urban areas. Solid waste generation in the country during the last decades has increased enormously at an average annual rate of 8.96 percent. Meanwhile, the solid waste management and hygienic disposal capacity of municipal authorities is lagging miserably behind (Hasan, 2005). In the capital city of Dhaka, municipal authorities have the capacity to collect and landfill less than half of the waste produced by residents

(MoEF, 2010b cited in Matter et al., 2015). Uncollected waste poses serious health hazards, block drainage systems and causes for environmental pollution in the city. The existing system of solid waste management can be characterized as inadequate, inefficient and weak in organizational capacity. There is a high demand for capacity building of solid waste management in Bangladesh.

Capacity building in developing countries is a challenging task, given the lack of adequate resources and frequent financial crises. Bangladesh is no exception. It is recognized that political, socio-cultural, environmental, economic and technical factors have strong influence on solid waste management. These factors are interrelated and affect each other in waste management systems. As a result, solid waste management should be addressed and analyzed from holistic perspective. Failing to integrate these factors to the solution of waste management problems may not bring fruitful results in practice. Bangladeshi authorities should set policies and strategically direct resources aiming to produce efficient, clean and healthy urban environments for its citizens.

Previous studies available on solid waste management in developing countries have concluded that waste management authorities lack organizational capacity and professional knowledge (Chung & Lo, 2008). Studies have also identified that how an appropriate legal provisions contributes to the development of waste management systems (Asase et al., 2009) in the absence of satisfactory policies (Mrayyan & Hamdi, 2006) and weak regulations (Seng et al., 2010). Steps towards capacity building would enhance the ability and address crucial issues of policy choices and modes of policy implementation (UNCED, 1992.).

Bangladeshi authorities have been developing and implementing policy guidelines on waste disposal and recycling since the 1990s (MoEF, 2010b). Over the years, several policies have been formed by different agents and government ministries to reduce environmental pollution and to promote the management of solid waste in Dhaka. The situation of solid waste and the urban environment is yet to improve. There is conventional solid waste management in Dhaka for collection, recycling and disposal of waste. Solid Waste Management in Dhaka has nevertheless been unable to maintain a clean and healthy urban environment. The city faces a serious capacity crisis in the collection, recycling and disposal of waste. However, there is technological provisions to handle solid waste such as disposition in a landfill, incineration for energy production, composting for organic wastes, and material recovery through recycling (Oliveira & Rosa, 2003). The question is how municipal authorities in developing countries such as Bangladesh could manage its waste using these available means. These require a huge volume of investment, and a review of policy issues and management decisions. City Corporations – responsible for municipal services in Dhaka city – are not yet capable in

terms of implementing the required policies, strategies and resources. Immediate attention towards developing appropriate policy and strategic choices is needed to improve institutional capacity and Solid Waste Management systems.

This study broadly analyses strategic institutional capacity related to solid waste management in developing countries, focusing on the city of Dhaka, Bangladesh. It is grounded in two approaches to urban governance; (i) institutional capacity building and (ii) strategic points of view. For the first approach, the study draws on institutional and urban governance theories and institutional capacity building phenomena. The concepts of organizational structure, strategy and strategic capacity are the focus of second approach. The study does not test and contextualize any particular theory. Instead, it conceptualizes the phenomena under study by utilizing the ideas of particular theories of organizations and governance.

There is a dearth of policy analysis on the research issue by contemporary researchers in developing countries; and no studies of the Bangladeshi case. The available research focuses on nature, the extents, causes of problems and, in some cases, challenges to governance performance. Likewise, there are few studies of solid waste management from policy analysis and strategic institutional capacity perspectives in the Bangladeshi context. This study contributes scientific value by adding a new analysis of solid waste policy and strategic governance literature. This analysis contributes to understanding existing policy options and requirements for strategic capacity building in solid waste management of developing countries. Practically, this study finds there are policy and strategic gaps in solid waste management practices in Bangladesh. The study provides a useful analysis to policy makers and governance practitioners for contextual policy choices and strategies for improving their waste management systems.

The dissertation contains ten chapters. The first chapter introduces the main research issues and problems, research approaches and solid waste policies. The second chapter establishes the research question, objective and main point of view. The third chapter discusses the details of theoretical framework. The fourth chapter describes the research object – Dhaka City Corporations (DCCs) and its waste management policies. The fifth chapter explains the methodological details of the study – how qualitative research materials was collected, organized, presented and analyzed. Sixth, Seventh, Eighth and Ninth chapters draw up the main findings and thematic analysis of interview data, using a qualitative analysis of waste management policy. Each theme of the study findings has been presented and analyzed in each separate chapter using dimensional analysis. Finally, the Tenth chapter provides the main conclusions, evaluation of theoretical relevance's, policy recommendations and concentration on the issues for further research in the field.

II

MAIN CHOICES OF THE STUDY

1 Setting up the main research question

Solid waste is one of the serious problems in the city of Dhaka, Bangladesh. City Corporations (CCs), as a municipal urban agent, are responsible for solid waste management in the city. The present system of solid waste management (SWM) is regarded as inadequate and insufficient, having failed to keep pace with the gigantic amounts of solid waste produced (Mohit, 2000, pp. 1–3). Solid waste generation in Bangladesh during the last decade has increased at an average annual rate of 8.96 percent while the solid waste management and hygienic disposal capacity of the municipal authorities lags miserably behind (Hasan, 2005, p. 921). About 50 percent of daily-generated waste remains uncollected in Bangladeshi cities (Bhuiyan, 2005, p. 6). Uncollected garbage seriously pollutes the urban environment. It is considered a primary source of health problems to residents. Collection efficiency is at 40–50 percent, 10–15 percent of collected waste are recycled, there are no composting plants, waste is dumping by crude methods into city nearby areas, and waste management costs between 5–20 percent of the total annual budget of the corporation (3Rs forum, Tokyo, 2009).

Studies such as Ahsan et al. (1992), Ahmed (1999), Ashraf (1994), Asaduzzaman and Hye (1998), Bhuiyan H. (2005), Hasan and Mulamootill (1994), Hoq and Lechner [1994] (eds.), Islam, Khan, and Nazem (2000), Khandaker (1995), Hasan (1998), Paul (1991) and Bhuiyan, (2010) have found that Dhaka City Corporation suffers too much control from the central government. Bureaucratic difficulties persist in the coordination with other central government agents. In addition, the studies characterized City Corporations (CCs) in Dhaka as having weak administrative capacity and institutional limitations, poor human resources, a shortage of financial resources, little public participation and widespread corruption. Solid waste management systems has been confronted with multiple operational challenges.

Bangladeshi authorities have been developing and implementing policy guidelines on waste disposal and recycling since the 990s (MoEF, 2010b). In addition, lacking resources and organizational capacity, Dhaka City Corporation (DCC) has also been welcoming community-based organizations and local NGOs to organize community

waste management for house-to-house collection and disposal (Memon, 2002, p. 5). Besides, over the years, policies have been formulated by different agencies and ministries to reduce environmental pollution and to promote the management of solid waste in Dhaka. The implementation of these policies have been in most cases unsatisfactory. The growth of civil society organizations and NGOs for community solid waste management are mushrooming in the city. However, the solid waste situation has not yet improved in practice.

The situation on the ground and academic research suggests (i) the magnitude of the waste issue has not yet been fully realized and (ii) there is a lack of organizational capacity in solid waste management systems. Thus, understanding of magnitude of waste issue and organizational capacities should be a central goal of policy-makers in the Dhaka. These would help to improve social, environmental and health conditions of the city. The study aims to describe how to promote solid waste management through increasing the strategic institutional capacity of responsible authorities in Dhaka.

Strategic capacity is a fundamental factor of organization which refers “to ability to make decisions about what to focus on in urban economic development in long run, and thus to set the strategic direction for many development efforts” (Sotarauta 2004, p. 46). The success, effectiveness and efficiency of governance depends on the strategic capacity for organization. For proper organizational capacity building in solid waste management in Dhaka, strategic capacity should be increased. Such capacity determines the configuration of resources, process and systems (Sotarauta, 2004). If strategic capacity increases, waste management authorities in Dhaka would be able to deploy the available resources, processes and systems in a more appropriate manner. Existing studies have found that strategic institutional capacity in solid waste management is still unexplored in Bangladesh, and is less focused in developed and developing countries alike.

Very few studies from the perspective of strategic institutional capacity building are available. These mostly concentrate on overall urban governance of developed countries; John Pierre (1999) – ‘Models of urban governance: the institutional dimensions of urban politics’, Markku Sotarauta (2004) – ‘Strategy development in learning cities’, Leibovitz et al. (2001) – ‘strategic capacity in Fragmented Urban Governance: How Real a Policy Innovation?’ Reinhard (2007) – ‘From Government strategies to strategic public management: An exploratory outlook on pursuit of cross-sectoral policy integration,’ Mintzberg (1979 and 1987) -‘organizational capacity building and strategy as five Ps, Eade (1997) – community capacity building Kaplan (1997) – strategic organizational capacity building, Cavaye (1999) – explores the governmental role in capacity building. Lownandes and Wilson (2001) examine

institutional design and in local government and its relationship to capacity-building. Lyones et al. (2001) – examine the operational aspects of capacity building and Jackson (2001) describes contemporary approaches to strategic public involvement.

From the theoretical perspective of urban governance, this research is a significant scientific contribution to promoting effective solid waste management through policy and strategic recommendations. The study critically analyses solid waste management in Bangladesh to demonstrate why strategic capacity matters for improving inefficient and inadequate waste management governance. The study identifies the required policy options and necessary steps for increasing strategic capacity of solid waste management authorities in Dhaka. Practically, this study seeks to address the solid waste management problem and improve the waste situation, city environment and health of city inhabitants.

2 Scientific and practical objectives of the study

2.1 Scientific objective

This study adopts a social constructionist worldview of social research. This study is guided by constructionist epistemology to follow specific methodological approaches towards producing scientific knowledge on a research issue. The basic idea of social constructivism is that reality is socially constructed (Berger & Luckman, 1967). Social constructionists argue that reality is shaped through the processes like social, cultural and interpersonal. Knowledge is constructed by social interpretations and the inter-subjective influences. According to them, language, culture and other social institutions are the factors of intersubjective influence (Hoffman, 1990). The major focus of social constructionism is to discover the process in which individuals and groups take part in the creation of social reality. It takes into account the ways in which a particular social phenomenon is developed, formalized and transformed into tradition. Social constructionists argue that socially constructed reality should be seen as an on-going process (Berger & Luckmann, 1967). Based on this epistemology, the study employs a case-study design for strategy, uses qualitative interviews for data collection and inductive approaches for data analysis. Through these methodological processes, the study produces descriptive (Robson, 2012) and interpretative (Maxwell, 1996) knowledge for understanding socially constructed research phenomena.

Robson (2002) mentioned about three types of study: (i) exploratory, (ii) descriptive and (iii) explanatory. Maxwell (1996) adds another form as fourth that is interpretive studies. According to Punch (2005), descriptive study is adequate for relatively new or unexplored area. Hedrick et al. (1993) stated that the purpose of a descriptive study is to provide a picture of a naturally occurring phenomenon. Descriptive studies generally draw a picture of a situation and show how things are interrelated. On the other hand, interpretative research, which is another dominant theory of knowledge, emerged as a critique of positivism. Interpretative research focus on contextual meanings (Myers 2009). Green and Thorogood (2004) argue the goal of interpretative research is to understand the world from the perspectives of people involved in it rather than provide an explanation of the world. Patton (2002, p. 115) argued that interpretative theory interprets the meaning something from a particular perspective, standpoint, or situational context. There are quite a number of studies on urban governance issues and solid waste management, but strategic institutional capacity in solid waste management is still unexplored in the Bangladeshi context. The analysis of strategic capacity in solid waste management is also less focused on developing countries. Available studies on strategic institutional capacity on urban governance and solid waste management are mostly of developed country context. The study produces descriptive knowledge for understanding a research problem that is still underexplored. The scientific objective of the study is to contribute descriptive interpretative knowledge to the theory and literature of strategic capacity and solid waste management policies analysis.

2.2 Practical objective

From an academic point of view, this study intends to constitute a doctoral dissertation in the debate of policy discourse with particular focus on strategic capacity building of solid waste management systems. The background of this research is derived from studies on solid waste management of developing countries. City Corporations (CCs) of Dhaka were selected as cases for the study. City Corporations (CCs) in Dhaka city are mainly responsible for maintaining basic service deliveries including solid waste management. Available studies have found that the City Corporations in Dhaka as institutions are weak in organizational capacity, inefficient and inadequate for service deliveries. The Solid Waste Management (SWM) of DCCs is institutionally incapable in handling its huge volumes of garbage. The basic motivation leading to this research is that policies of solid waste management in developing country should be analyzed, taking into account the special feature of strategic capacity in institutional capacity

building. This may improve the prevailing solid waste situation and the prevailing city environment and public health.

The practical objective of the study is to understand and analyze the policies for strategic institutional capacity building in solid waste management in developing countries, specifically in Bangladesh. Intended perspective of research would shed more light on research area that is largely uncovered by previous research. From the policy analysis perspective, this study would specially contribute in the institutional capacity building in developing countries through describing the strategic practices in institutional process. Thus, this study would be a point of departure for academic research on institutional capacity building in solid waste management from strategic perspective of developing countries. From a practical point of view, this study can be a conceptual guideline to policy makers, decision makers and urban governance practitioners to initiate, implement and evaluate strategies and relevant waste management policies.

2.3 Setting out the main point of view

Based on the constructivist approach, this empirical research can be characterized by a qualitative research method. According to Stake (1996), to study social and cultural phenomena in social science research, the qualitative method has emerged. Qualitative method emphasizes the holistic treatment of social phenomena or research issues. This study is concerned with institutional capacity building from the strategic perspective of solid waste management in a developing country. By nature this study is a social science research. In addition, nature of the research problems and questions of this study are contextual and require a qualitative investigation instead of quantitative inquiry. Consequently, the study chooses a ‘case study’ design for completing the research process. Case studies are prime examples of qualitative research for interpretive approach to collect data and conduct study or things within their context and considers the subjective meanings people bring to their situation (www.nyu.edu). The Solid Waste Management (SWM) of City Corporations (CCs) in Dhaka is the case in this study. To collect data, this study follows ‘interview’ technique as one of the dominant tools of case study design. To Kvale (1996), “the main task in interviewing is to understand the meaning of what the interviewees say”. The study chooses purposive interview tool for data collection in a research context.

Using these data collection tools, the study interviewed respondents from three categories of case organization: strategic apex, middle line and techno-structures.

According to Mintzberg (1979), the strategic apex is charged with overall responsibility of organization, including the development of the organization's strategy. The strategic apex includes executive officers and any other top-level managers-their secretaries, assistants and so on. The strategic apex has direct connection to the operating core by the chain of middle-line managers. Middle line managers are senior managers just below the strategic apex to the first line supervisor. They have authority over the operators. Middle line managers perform all the managerial roles of the chief executive in their own unit (Mintzberg, 1973a). On the other, techno-structures, who are analysts and highly trained specialists, serve the organization by affecting the work of others.

In Dhaka City Corporations, the strategic apex is a combination of elected people's representatives-political leaders and top-level executive officials. Middle line managers are charged with the implementation of departmental affairs. Techno-structures are the specialist's senior level managers, or town planners. The study interviewed 32 respondents from these categories. The selection of the appropriate number of interviewee was difficult. This is really a problem when research requires to justify numbers of interviewees towards successful mythological process in qualitative research. There are different opinions among scholars. Bryman (2012) stated that specify the exact number of qualitative interviews to complete a project is not possible. It depends (Bryman, 2012). Adler and Adler (1987 and 1998) advised 12–60 for graduate students as sample for research. Ragin (1992) suggests 20 interviewees for an M.A. thesis and 50 for Ph.D dissertation. Julia Brannen (1982) argued a single case is enough if it is unique and not comparable to other cases. Denzin et al. (1999) also viewed that single interview can be sufficient for in depth analysis. Thus, considering the contextual organizational hierarchy and research objective, 32 interviewees may be representative for analyzing and concluding the research findings.

The above-mentioned three levels of respondents in Dhaka City Corporations are directly involved in policies and strategic formulation, implementation and evaluation. The strategic apex is responsible for strategic formulation; middle line managers make decisions and implement strategies, and techno-structure category is responsible for analyses and urban planning. The data and information are thematically analyzed from the combined points of view of these three categories. They involve, experience and manage their responsibility in context. Based on the theoretical framework, the study has selected boarder four themes; i.e., democratic practices, strategic practices and institutional capacity building and solid waste management problems. Under these broad themes, various sub-themes have been used for analyzing the findings following an inductive approach (Strauss & Corbin, 1998). There are two approaches available to analyze the findings of qualitative research (Burnard, 2004, pp. 174–179). The first one

is to report key findings under each main theme or category. Illustrating findings requires the use of appropriate quotes of respondents. Discussion and analysis in a separate chapter in relation to existing research. The second approach is the same and incorporating the discussion into the findings chapters instead of separate chapter (Burnard et al., 2008, p. 432). This study follows the second approach for analysis thematically under the grouped dimensions using the respondents' opinions in quotes and then discussion. For referencing the verbatim quotes and paraphrasing the ideas, the study followed the specific style of American Psychological Association (APA) sixth edition.

III

THEORETICAL FRAMEWORK: CONCEPTS, THEORIES AND RELEVANCE

1 Introduction

A theoretical framework is important in leading any scientific researcher to guide and analyze the research issues. Yin (2003) argues that a solid theoretical foundation is essential for a case study approach. This chapter provides an overview of relevant concepts and approaches, and provides a conceptual framework for the research. This study is multidimensional in nature from both conceptual and theoretical perspectives. Multiple concepts such as ‘governance and urban governance’, ‘institutional capacity building’ ‘solid waste management’ and ‘strategic capacity’ are relevant as key concepts to this research. Therefore, the chapter has discussed and analyzed these key concepts with a view to exploring relevance’s and operationalization in context. Thus, the chapter is divided into three parts. The chapter describes conceptual definitions in first part. Second part summarizes the theoretical notes and the chapter identifies the contextual relevance of the concepts and theories in third part.

2 Conceptual definitions

2.1 Governance

‘Governance’ refers generally to the process of governing. The word ‘governance’ has been commonly used after the 18th century, particularly after the French revolution (Caiden, 2006, p. 12). The concept of governance was highlighted first in a long term perspective study of World Bank in 1989. Over the years, the concept of governance has become a central focus for analyzing the economic and social development of any country.

According to the World Bank (1993, p. 2) “governance is the manner in which power is exercised in the management of the economic and social resources for development”. The UNDP (1997, pp. 2–3) explained the governance is concerned with economic, political and administrative aspects. The economic aspect relates to decision-making processes and it affects economic activities of country. The political aspect refers to the process of decision-making and formulating policy. The administrative aspect is concerned with the system of policy implementation. Andrews, (2008) defines the governance as a comprehensive, complex and multi-faceted idea. The Institute of Governance Studies defines governance as “the institutions, processes and traditions which determine how power is exercised, how decisions are taken and how the citizens have their say” (IOG, 1997, p. 5).

Broadly, governance relates to the political process. However, Political philosophy, governmental objectives, economic policies, internal and external security and relations with other nations all fall under the governance rubric (Gunapala, 2000). According to Caiden (2006, p. 13), there is an emerging consensus in public administrations about the meaning of governance as a process aiming at producing results for society. This meaning transcends conventional boundaries of public administration theory. Governance specially links between values and civic interests, executive and organizational structures and legislative choice and judicial oversight. As a result governance has significant consequences in economic performance.

In public administration studies, governance is further broken down into seven sectors. These are, corporate governance; new public management; good governance; international interdependence; socio-cybernetic systems; and the new political economy and policy networks (Rhodes, 2000, p. 55). According to Stoker (1998), governance is concerned mainly in creating conditions for ordered rule and collective action. According to Pierre (2000) governance refers to empirical outcomes of governmental policies and indicates conceptual representation for coordinating social systems and the role of the state. However, governance is an umbrella concept due to its multiple meanings (Pierre, 2005). In broader sense, governance relates to the performance of the government in global and local arrangements. Governance refers the formal structures, informal norms, practices, and spontaneous and intentional system of control (Roy, 2006, p. 5). More specifically, governance is a system of government. Governance concentrates on: [...] effective and accountable institutions, democratic principles and electoral process, representation, and responsible structures of government, in order to ensure an open and legitimate relationship between civil society and the state (Halfani et al., 1994, p. 4).

As a conceptual framework, governance raises few important questions about society (Stoker, 1998; Le Galès, 2003); governance as a theory constitutes an analytical framework or set of criteria for study (Stoker, 1998; Pierre & Peters, 2000; Pierre, 2000 and 2005). From a normative standpoint, governance is an instrument of public utility. Governance is the analysis of public policy to ensure effectiveness and efficiency of public actions. The perception of governance as a tool for increasing participation in decision-making processes (Pierre, 2005). From an analytical perspective, governance refers to discourses and insights into transforming public action, and the institutionalization of public policy through focusing the participation of its actors to resolve collective problems (Leresche, 2002).

2.2 Urban governance

According to McCarney (1996, pp. 4–6), urban governance stems from a definition of governance itself, though good and workable definitions of governance have been difficult to find. However, the scholars have identified the differences between governance and government. They argue that governance mostly concerns with relationship between civil society and the state, between the rulers and the ruled; government and governed (McCarney et al., 1995, p. 95). Porio (2000, p. 88) argues that conventional definitions of governance concentrate on the structure of government and institutional processes. Urban governance concentrates on the political relationship between the state and its stakeholders of society. Banachowicz and Danielewicz (2004, pp. 10–12) argue that urban governance pay attention the organizational efficiency relating to the local and regional development policy process and their implementation. UN-HABITAT (2002, pp. 12–14) described urban governance as the process of managing the common affairs of individuals, institutions and public and private resources in the city. It is also ongoing process for accommodating diverse interests and cooperative action. Therefore urban governance values both formal institutions, informal arrangements and social capital.

McCarney, Halfani and Rodriquez (1996, pp. 45–47) define governance as “the relationship between civil society and the state, between rulers and ruled, the government and the governed”. They argued that much broader operations and complex context of local governments lead to the emergence of urban governance. To Robinovich (2005, p. 1) urban governance implies with localized development concerns and handles as a means of specific opportunities and challenges in urban areas. UNESCO (2000) defines the urban governance as the processes to steer and linking

between stakeholders, authorities and citizens in local areas. To UNESCO, urban governance also involves with bottom-up and top-down strategies towards ensuring community participation, negotiating among actors, making transparent decisions and innovating the appropriate urban management policies. Stone (1997) explained urban governance as the collective policy and strategy formation in the city areas. It focuses on the relationship and interaction with stakeholders, the participation of urban government and other organizations (in Khammer et al., 2013, p. 34).

The above concepts demonstrate that governance in urban areas is concerned with a greater diversity of services, a greater flexibility and transformation of local democracy. However, the concentration of urban is on the power relationship among various actors including business sector and civil society exist in urban areas.

2.3 Institutional capacity building

Institutional capacity building is a leading issue regarding the development of efficient and effective operations of institutions and organizations. Institutional capacity is generally built by strengthening individual organizations, providing technical and resource support, ensuring integrated planning and effective decision-making processes within institutions. However, the institutional capacity is broadly concerns with empowerment, social capital, and an enabling environment including organizational culture, values and power relations among the actors (Segnestam et al., 2002). Available literatures also described the concept of institutional capacity broadly focuses on empowerment, social capital, and fostering an enabling environment in organizations (OECD, 2000; Fukuda-Parr, 2002; GEF-UNDP, 2000). Understanding its importance, research on public management in OECD countries increasingly focuses on the relationship between public governance and institutional capacity.

Multilateral and bilateral development agencies have developed capacity building framework instead of defining the concept (Lafontaine, 2002). The capacity-building framework of OECD countries has also identified three levels of institutional capacity instead of defining the phenomena (Forss & Venson, 2002). These are: (i) the micro level that comprises individual skills and performance; (ii) the meso level includes the organization and management capacity and (iii) the macro level indicates the broad institutional context including society, public governance and network governance. According to Agenda 21 (UNCED, 1992), institutional capacity building comprises the human, scientific, technological and organizational resource capabilities. UNCED explained that the capacity building leads to enhance the ability towards evaluating and

addressing the critical issues of policy choices and implementation modes. Contemporary thinking on institutional capacity emphasizes the webs of relationship in urban governance. This web of relations interlink between government organizations, the private sector, voluntary organizations and actors involved in governance for collective action (Healey, Magalhaes, & Madanipour, 1999, p. 119). According to UNDP-IIHEE (1991), the main goal of capacity building is a long term process is : (i) the creation of an enabling environment with appropriate policy; (ii) institutional development, and (iii) human resources development and strengthening of management systems. They treated capacity building as a long-term and continuing process to ensure the participation of all stakeholders including ministries, local authorities, non-governmental organizations, professional associations, academics and others.

Institutional capacity building is thought of as a comprehensive approach to improving governance performance. This is achieved in three ways: i) human resource development – through equipping individuals with knowledge, skills, information and training to perform effectively; ii) organizational development – through ensuring appropriate management structures, processes and procedures and management relationships; and iii) institutional development – through legal and regulatory changes at all levels in organizations, institutions and agencies. Brown (2004) considers intra organization development a key factor for institutional capacity building. According to this view, the relationships within organizations determine institutional practice.

Institutional capacity can therefore be seen as a board concept encompassing three main aspects in organizations: (i) skills and performance, (ii) procedural improvements and (iii) organizational strengthening. Taking into account of these three aspects, institutional capacity as a whole refers to the resources (structural, financial and technical) capacity, policy capacity and learning capacity of an organization. The study operationalized this perspective in regards to the institutional capacity of the Dhaka City Corporation.

2.4 Strategic capacity

The word ‘strategy’ is widely used in the military and business worlds. To Kalpic (2002), ‘strategy’ is ambiguous because of the huge literature associated with it. Strategy is treated as the calculation of objectives, concepts, and overall resources at all levels in organization to ensure more outcomes within organizational boundary (Yarger, 2006, p. 1). The concept of strategy implies with long-range planning, an organization system, objectives and goals, and the particular way for the interaction between the external

environment and internal resources capabilities. Strategy has also been defined as “the art and science of developing and employing instruments of national power in a synchronized and integrated fashion to achieve national and multinational objectives (Joint Staff, 2004, p. 509)”. Strategy is also considered a tools of determining the configuration of resources, processes and systems (Sotarauta, 2004). Mintzberg (1996) defines strategy in terms of planning, ploys, patterns, positions and perspective (Leibovitz et al., 2001, p. 4). There are still few ambiguity in understanding the concepts of strategy. The concept is also used as the terms of strategic planning, strategic management, strategic behavior, and strategic capacity. These concepts frequently appear in the literature of urban planning, strategic management and public policy analysis (see Anderson, 2000; Bryson et al., 1986; Kaufman & Jacobs, 1996; Kupreanas et al., 2000; Pittman, 2000; So, 1984; Volbeda & Elfring, 2000; Wit & Meyer, 1998). However, the term ‘strategy’ is widely known in public governance as ‘strategic governance’ and ‘strategic capacity’.

Strategic governance can be understood as a dynamic process of policy creation. Politics and administration is influenced by multifarious factors like social and economic factors with a variety of interests. In addition, strategic governance searches for a sustainable social contract to counter balance in governance in a way of compatible with long-term social interests (Potucek et al., 2004). Strategic capacity has been defined by Sotarauta (2004, p. 46) as a ‘strategic capability,’ which refers the ability in governnace to make long-term decisions pertaining to urban economic development. For Sotarauta (2004), strategic capability is concerned with: (i) The ability to define strategies and visions for collaborative urban governance. (ii) Envisioning futures and the ability to transformed visions into focused strategies and actions. (iii) Constructively transforming crises. (iv) Effectively launching initiatives and maintaining their momentum over time. (v) Correctly timing development work and; (vi) Making ambitious objectives credible and attractive for other agents. A study on urban governance in Britain identifies the following elements of strategic capacity: (i) The process by which individual organizations learn. (ii) The shared understanding and common conception of problems. (iii) The process for agenda setting through mobilizing the common conceptions and understanding (iv) Engaging in action consistent with evidence-based policy goals: and (v) Engaging in strategic learning by monitoring and evaluating the policy outcomes (Leibovitz et al., 2001, p. 10).

Strategic capacity an integral part of institutional capacity building in organization. The study therefore defines strategic capacity as the ability of organization to formulate appropriate strategies, make strategic decisions and engage in organizational learning.

2.5 Solid Waste Management (SWM)

The available waste management literature considered the waste as discarded product of human consumption. It is closely related to development, population and economic growth. According to Zurbrugg (2003), solid waste is useless, unwanted and discarded materials. 'Solid waste' can also be defined as non-liquid waste materials those are produced for domestic, trade, commercial, industrial, agriculture and mining activities and from the public services. Solid waste particularly includes vegetable waste, papers, glass, plastics, wood, yard clippings, food waste, radioactive wastes and hazardous waste (Rao, 1991). The Framework Directive on Waste in the United Kingdom treated waste as a substance and object discarded by its owners (Porteous, 2000). According to the Mexican definition, waste is discarded solid, semisolid, liquid, gas materials and products. These can be revalued, treated or disposed by specific regulations (Mexican Waste Management Act, 2003).

Most scientists, environmentalists and waste management practitioners agree the solid waste disposal still poses a major environmental pollution in the world (Bidlingmaier, 1990). Without effective and efficient waste management, generated waste from human activities can cause for serious health hazards and have a negative impact on the environment and climate. By definition, waste management is the handling of discarded materials. The main objective of waste management is to manage its waste and protect people and environment from harmful effects of waste (World of Earth Science, 2003). In broad, Solid-Waste Management (SWM) can be defined as controlling the generation of waste, storage, collection, transfer and transport of waste, processing and disposal of solid waste in consideration with health, economics, engineering, environmental conservation and other factors (Hwa, 2007). Particularly, SWM includes activities to minimize the health, environmental and aesthetic impacts of solid wastes (Zurbrugg, 2003). Fiona Nunan (2000, p. 384) refers to SWM as "the collection, treatment, and disposal of municipal solid waste (MSW)". According to OECD, Solid waste management refers the handling of waste material from source through the waste recovery processes to disposal (UN, 1997).

Based on the above understanding this study considers solid waste management the process of handling its waste in efficient and effective manner. Handling processes include collection, transportation and waste-disposal to reduce environmental pollution and health hazards.

3 Theories of urban governance: institutional and strategic dimensions

The current literature of urban governance is dominated by political, social and economic perspectives (Razaghi, 2013; Finger, 2012). However, theories on urban political economy (see Peterson, 1981; Hill, 1984; Vogel, 1992), urban democratic theory (see Hill, 1974 and 1994) and the urban regime theory are mostly derived from the study of American cities. These theories particularly represent urban governance of American context. As a result conceptualization of these theories on urban politics in other contexts of the world is difficult (see, e.g., DiGaetano & Klemanski, 1993b, pp. 57–58; DiGaetano & Lawless, 1999, 547; Harding, 1994 and 1995).

Over the years, urban governance theories concentrated much on urban politics, especially in Western European academic context (Dowding, 1996; Goldsmith, 1997; Le Galès, 1997; Stoker, 1998). The scholars have also been rethinking about theories of urban governance focusing on urban public policy (Dowding, 1996; Goldsmith, 1997; Le Galès, 1997; Stoker, 1998, cited by Pierre, 1999, p. 373).

Emerging urban governance theories are primarily concerned about the relationship between central and local authorities, coordination and combining the public and private resources. These theories have widely been adopted in Western Europe by local authorities (Pierre, 1999, p. 373). Governance theories aggregate the totality of theoretical concepts around governing for effective means to orient and structuring a society (Kooiman, 2003; Peters & Pierre, 2003). Governance theories also refer to regulatory processes, policy coordination and control. The main concern of these theories is the role of the government in the governance process (Kooiman, 1993; Rhodes, 1996 and 1997). Urban governance theories also incorporate mechanisms related to public policy processes (Kickert et al., 1997). There are various formal and informal institutional mechanisms for public policy formulation and implementation process. These processes are commonly referred to as governance (Pierre, 2000; Pierre & Peters, 2000).

In recent years, new configurations in the relationship between the state and local power have emerged in urban areas (Crespo & Cabral, 2010). Consequently, urban development theories and policies have been emphasizing local capacity-building and institutional strengthening. At the operational level, establishing effective relationships between state and local authority through institutional capacity building has become an important policy objective in urban governance.

The institutionalization of good governance is an essential component of public-private resource mobilization. While governance theories conceptualize the processes

of public-private resource mobilization, institutional theory emphasize in understanding and meaning of values and objectives of these resource mobilization processes (Pierre, 1999, p. 273). The institutional dimension of urban politics is also conceptualized as institutional or new institutional theory (March & Olsen, 1984, 1989 and 1995; Peters, 1996a). According to the institutional theories, institution particularly refers to the norms, values, traditions and practices that affect the political behavior. Institutions and organizations have differences identified by the existing institutional theorists (North, 1990; Scott, 1995). However, there is also a dynamic relationship exists between institutions and organizations (see Pierre & Park, 1997). Institutions have organizational logics (Clarke, 1995). At the state level, institutions of urban governance are constrained by the provisions of constitution, various legal options and defined responsibilities of public organizations. On the other hand, organizations are considered as instruments for for ensuring the democratic accountability and implanting political authority and decisions into the governing process. The question is to what extent do organizational arrangement shape urban politics and relationship between institutions and organizations in urban politics (Pierre 1999, p. 374)? However, the urban governance should be understood and analyzed as (i) a process for integrating and coordinating public and private interests; (ii) the capability in local government organizations; and (iii) institutional models of urban governance (1999, pp. 374–376).

In recent years, mainstream political science has witnessed and concentrated in political institutions to analyze (March & Olsen, 1984, 1989 and 1995; see Peters, 1996a; Rothstein, 1996). They perceived institutions as overarching societal values, norms, and practices. Institutions tend to make public policy path dependent. In addition, theorists of new institutionalisms consider institutions as political actors. These actors to them respond to external changes and dominate institutional environments (March & Olsen, 1989). There has also been rapid growth in the studies on governance concepts at different institutional levels. Governance refers to a process of regulation, coordination, and control in government activities (Rhodes, 1997). Analysis of the process of coordination and regulations are treated a main concerns of governance by governance theorists. The role of government in governance process is treated as an empirical question (Campbell, Hollingsworth, & Lindberg, 1991; Hollingsworth, Schmitter, & Streek, 1994; Hyden, 1992; Kooiman, 1993; Rhodes, 1996 and 1997).

Based on the national context, there are four models of urban governance identified a scholar. The models are; managerial, corporatist, pro-growth and welfare governance (see model 1).

Model 1. Urban governance Models

Characteristics	Managerial	Corporatist	Pro-growth	Welfare
Policy objectives	Efficiency	Distribution	Growth	Redistribution
Policy style	Pragmatic	Ideological	Pragmatic	Ideological
Nature of political exchange	Consensus	Conflict	Consensus	Conflict
Nature of public-private exchange	Competitive	Concerted	Interactive	Restrictive
Local state citizen relationship	Exclusive	Inclusive	Exclusive	Inclusive
Primary contingency	Professionals	Civic leaders	Business	The state
Key instruments	Contracts	Deliberations	Partnerships	Networks
Pattern of subordination	Positive	Negative	Positive	Negative
Key evaluative criterion	Efficiency	Participation	Growth	Equity

Source: (Pierre, 1999, p. 388).

The above model demonstrated that governance models have its particular organizational logic, context and constituency based on its characteristics. As a result, within local government, different sectors tend to advocate different models of urban governance (Pierre, 1999, p. 389). According to Savitch, local states are multidimensional phenomena. These dimensions have different agendas, different problems, respond to different pressures, and reflect different constituencies (Savitch, 1990, p. 152). Such models depend on the nature of government and the particular local context. Consequently, institutional models of urban governance represent different systems of values, norms, beliefs, and practices. Based on these different value systems, norms, different urban policy choices and outcomes practiced in different contexts (March & Olsen, 1989 and 1995).

Especially the theories of urban governance are concerned with outcomes over formal political processes, public-private interaction and policy implementation. Public-private interaction is considered as essential in governing task (Pierre, 1999, p. 377). However, the problems in urban governance are explained by differences in priorities, objectives, and strategies between different levels of the local state (Pierce, 1993, p. 39). The urban governance problem is also called ‘governance gaps’ caused for organizational insufficiency and a lack of inter organizational coordination (see Warren, Rosentraub, & Wechler, 1992, cited by Pierre, 1999, p. 390). Institutional theory provides an analytical understanding on local government from normative and organizational perspectives. To traditional local government analyst, local government of state derived from fundamental norms of local democracy and organizational arrangements (see, e.g., Norton, 1994, cited by Pierre, 1999, p. 390). Urban governance, according to this view reflects economic, social, political and historical factors and

establishes mutual relations between the state, local authority and local civil society in the cities.

4 Theoretical relevance

4.1 Urban governance context

Theories of urban governance provide a new approach for analyzing and explaining the urban politics in general. However, conceptualize the national contexts of urban governance is significant on which governance is embedded. Urban governance theories and models justify the importance of national context. The models of urban governance provided that the most relevant factors are nature of national politics and state traditions. These factors are important in explaining perspectives of urban politics on context. In addition, political economy, urban political conflict, and strategies of local resource mobilization have also significant affects in analyzing urban governance (Gurr & King, 1987; Keatin, 1993; Pickvance & Preteceille, 1991, cited by Pierre, 1999, p. 375). Furthermore, according to Harding, (1997) the nation state still determines how municipal councils and regions respond to the challenges of globalization. The analysis of local organizational capacities is essential to any understanding of urban management as core participants in governance processes. From a governance perspective, the role of local power in urban management is a central problem (Pierre, 1999).

This study prioritizes the practical context of the research field in the formulating theoretical framework. It considers social, political, economic and cultural factors in urban areas in Dhaka, Bangladesh and contextualizes the relevant concepts and theoretical phenomena. The theoretical discussions demonstrated that urban governance requires greater diversity, greater flexibility, a vibrant local democracy, a variety of actors, and new forms of civic engagement. More specifically, urban governance deals with power relationships among the different stakeholders in cities (Porio, 1997, p. 2). Particularly, urban governance emphasizes governance outcomes, political processes, public-private interaction and formal policy implementation. The discussion on emergent urban governance models outline the cluster of public policy objectives, cultural values, norms, practices, and patterns of recurrent political behavior or different institutions in urban politics (March & Olsen, 1989). Urban governance model also displays, how they have external dependencies. However, governance is

organized in such a way to reduce or contain these contingencies while increasing the city's 'capacity to act' (Stone 1989). Problems in urban governance are explained as 'governance gaps'. These gaps mainly lead to insufficiency in organizational and coordination crisis within organization (see Warren, Rosentraub, & Wechler, 1992 cited by Pierre, 1999, p. 390).

To analyse the solid waste management of urban Bangladesh, available urban governance theories are taken into consideration from institutional perspective. For contextual differences, no particular theory is conceptualized in the research context. However, urban governance is therefore considered as a process that steers and establishes links between state and local authorities including stakeholders and the community for efficient and effective governance in urban areas.

4.2 Strategy as theory

Theoretical discussion on strategy indicated that strategy is made in advance of the actions to which they apply, and developed in conscious and purposeful manner. Mintzberg defines strategy in five different ways such as planning, ploy, pattern, position and perspective (in Leibovitz et al., 2001). Strategy as a plan deals with the establishment of direction for organizations. As a ploy, strategy schemes the direct competition. Strategy, as a pattern, focuses on action. As a position, strategy encourages to look at organizations in context for specific competitive environment and finally as a perspective strategy raises intriguing questions about intentions and behavior in collective action in particular context (Mintzberg, 2001, pp. 20–21).

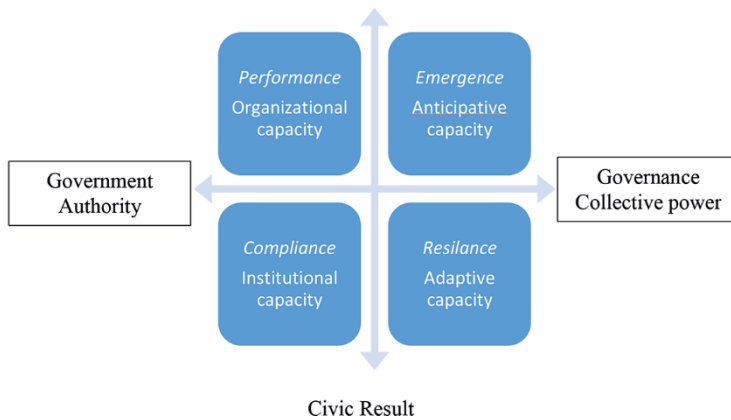
In broader sense, strategy as a perspective puts its thrust on understanding practices, cultures, routines, beliefs ingrained in organizations. It is assumed that different organizations have distinctive characters. Strategy emanates from a shared perspective among all members of the organization (Leibovitz et al., 2001, p. 5). However, all policy failures are attributed to the lack of strategic capacity and instances of apparent consensus between policy makers are interpreted as outcome of the presence of strategic capacity. The concept of strategic capacity need to be carefully situated within the research context (Leibovitz, 2001, p. 3). Conversely, Sotarauta (2004, p. 46–47), identified six elements of strategic capability: (i) the ability to define strategies and visions for the urban development in collaborative process. (ii) The ability to bring to the fore a vision of a different future and the ability to transform these visions into focused strategies and action. (iii) The ability to transform crises into something constructive. (iv) The ability to launch processes correctly and manage and lead them

persistently over time. (v) The ability to correctly time development work; and (vi) the ability to delineate ambitious objectives in a way which is credible and attractive for other agents. Mintzberg's strategy as a perspective and Sotarauta's elements of strategic capability are directly relevant to this study.

4.3 Institutional capacity context

In developing countries like Bangladesh, a weak institutional environment reduces efficiency and renders urban governance ineffective. Institutional context in which organizations and individuals operate is therefore important. 'Institutional capacity' is thought of in line with the UNDP (1991 and 2000) and OECD (2000) definitions: "[it] focuses on the webs of relations involved in urban governance, which interlinks government organizations, those in private sectors and voluntary organizations and those who in any way get involved in governance that is in collective action" (Healey, Magalhaes, & Madanipour, 1999, p. 119). The UNDP and IIHEE's (1991) definition of capacity building is also considered. In these terms the concept relates to (i) the creation of an enabling environment with appropriate policy and legal frameworks; (ii) institutional development, including community participation (of women in particular); and (iii) human resources development and strengthening of managerial systems.

The study focuses on identifying 'institutional capacity' and the ways in which transformations in this capacity are taking place. There are three specific attributes of institutional capacity. (i) The extent to which place, territory and locality displace sector and function as foci of governance activity; (ii) the extent to which the range of stakeholders are involved in governance activity and (iii) the extent to which changes in institutional capacity increase this capacity. Building collective capacity to achieve public results begins by valuing past developments and preserving existing capacities (Healey, Magalhaes, & Madanipou, 1999, p. 118). Central among these, is the focus on 'compliance,' which is, according to Bourgon, the hallmark of good government (2010, p. 205). This includes: (i) a respect for the rule of law and public institutions, (ii) due process, (iii) public sector values. Together these factors contribute to building the institutional capacity of state apparatus and provides a solid foundation for public organization.



Graph 1. Capacity Building Model-1

Source: International Review of Administrative Sciences, Vol. 76, Number.2, June 2010, pp. 197–218.

4.4 Operationalization of concepts and theories in research context

By prioritizing the practical context of urban governance and solid waste management in Bangladesh, the study does not follow any particular theory. The study is nevertheless grounded on relevant concepts and theories. Within the Bangladeshi context, this study considers ‘urban governance’ as the process of administration and management responsibilities in urban areas. Especially urban governance concerned with local government organizations and its stakeholders including private sector institutions, NGOs and civil society working in urban areas. However, the Ministry of Local Government and Rural Development at the central level acts as controlling authority over urban local government (Osman, 2009, p. 32). For solid waste management this study operationalized the idea of Zurbrugg (2003) and Nunan (2000). ‘Solid waste’ is useless, unwanted, and discarded non-liquid waste materials arising from domestic, trade, commercial, industrial, agriculture, as well as public services” (Zurbrugg, 2003). Solid waste management (SWM) is defined as the collection, treatment, and disposal of municipal solid waste” (Nunan, 2000, p. 384).

Theories of ‘institutional capacity building’ (Bourgon, 2010); ‘organizational structure and strategy as five Ps’ (Mintzberg, 1979 and 1987) and ‘strategic capability’ (Sotarauta, 2004) were useful in conceptualizing the research phenomena and drew a particular conceptual framework for the research context. Beyond these theoretical conceptions, the study has developed a conceptual framework for exploring and

analyzing strategic institutional capacity building Bangladeshi context such as (i) strategy as perspective, (ii) strategy in practice and (iii) strategy for institutional capacity building.

(i) Strategy as perspective: Strategic perspective is important in institutional capacity building. In theory, strategic perspectives determine how an organization views and solves important issues. It helps to understand the proper context and puts information towards achieving organizational objectives. Minzberg (2001) described strategy as a perspective. He raises intriguing questions about intentions and behavior in collective context. The proper strategic perspective encourages diverse inputs and directs strategic decision makers towards appropriate strategic formulations. The study assumes that strategy, as a perspective in the research context, is dependent on and interconnected to particular factors which impacts how an organization exercises its governance procedures, maintains inter-governmental relations, inter-departmental behavior and how it interact and respond with community (Diagram 1).



Diagram 1. Strategic perspective

This study explores how these factors affect strategic perspectives. Perspective determine the appropriate strategies required on for efficient and effective governance in context. Under this thematic diagram, contextual strategic perspective is analyzed with a view towards institutional capacity building of solid waste management systems in Bangladesh.

(ii) Strategy in practice: Strategy in practice endeavors to explain how managerial actors act strategically, both through their social interactions and specific practices

present within specific context (Hendry, 2000; Whittington, 1996 and 2002). Strategic practices mainly reflect nature and patterns of strategic activity on context (Cyert & March, 1963; Nelson & Winter, 1982). Such practices determine how organizations act in terms of strategy formulation, implementation and evaluation related to achieving policy objectives. The idea of strategic practices are for the purposes of this study regarded as follows: (i) the process of strategic formulation, implementation and evaluation; (ii) leadership in strategic decision making; and (iii) strategic decision makers relation (Diagram 2):



Diagram 2. Strategic practice

The study assumes strategic practice depends on strategy formulation, implementation, evaluation and the relationship between decision makers. The study examines how strategies work in practice. Appropriate strategic practice expedites the governance process and institutional capacity as a whole. The analysis on strategic practice seeks to identify the existing gaps and required strategies for solid waste management in Bangladesh.

(iii) Institutional capacity building in practice: Institutional capacity has broadly been defined as the focus of empowerment, social capital, and an enabling organizational environment. This includes culture, values and power relations (OECD, 2000; Fukuda-Parr, 2002; GEF-UNDP, 2000). According to the (1992) UNCED definition, institutional capacity building encompasses human, scientific, technological, organizational, and institutional and resource capabilities. This study understood and operationalized the idea of institutional capacity as organizational capacity, policy or strategic capacity and learning capacity to assess existing institutional capacity in the

Dhaka City Corporation. The study assumes that institutional capacity is dependent on how organizations learn, renews learning, and manages and evaluates governance performance. The study examines these factors in practice with a view towards institutional capacity building (Diagram 3).

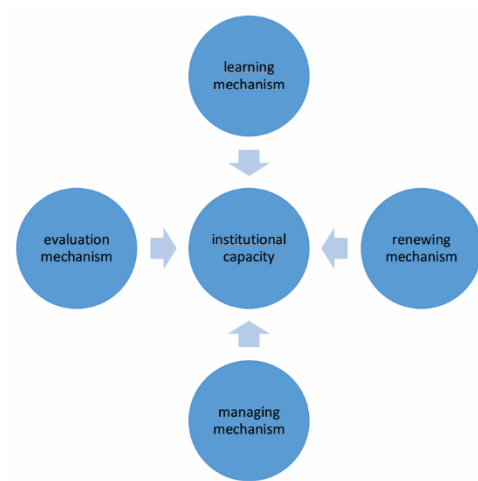


Diagram 3. Institutional capacity building

The study explores how the Dhaka city corporations learn, renew and evaluate existing solid waste management capacities. The analysis of institutional capacity in practice identifies existing capacities, gaps and required steps in building institutional capacity. Based on the above-operationalized conceptual framework, this study identified its thematic questions and designed data collection tools for conducting qualitative interview field-research. The findings are analyzed based on the thematic categories described in the conceptual framework.

IV

SOLID WASTE MANAGEMENT IN THE DHAKA CITY CORPORATIONS (DCCs)

1 City Corporation in Dhaka: An agent of urban governance in Bangladesh

There are two categories of local government bodies operating in rural and urban areas in Bangladesh. The Ministry of Local Government coordinates the activities of these bodies at the national level. Local rural bodies are known as the Zilla Parishad and are found at the district level; Upazilla Parishads are found at the Upazilla level and Union Parishad at the Union level (Uddin, 1999, p. 4). Local urban bodies are the City Corporation at Divisional areas. District and Upazilas level urban local bodies are known as *Pourashavas* (municipalities) (Uddin, 1999). The seven largest divisional cities have City Corporation status in Bangladesh, while the rest are considered *Pourashavas*. There is another system of local government in for the three hill districts (Bandarban, Khagrachari and Rangamati). This local government is structured with two parallel sub-systems. One sub-system is headed by three Circle Chiefs (Rajahs) and a number of Headman/Karbari for each revenue village or mauja. The other sub-system includes Regional Parishad (1), Hill District Parishad (3), Upazilla Parishad (25), Union Parishad (118) and Gram Parishad (1062). The Ministry of Chittagang Hill Affairs controls Hill District Councils (Biswas, 2007, pp. 105–106).

Bangladesh inherited its urban government structure from the Pre-British, British, India and Pakistan colonial periods. The evolution of local government and urban governance in Bangladesh is similar to that undergone in India and Pakistan because of similar legacies of Pre-British and British rule. After independence in 1971, the Bangladeshi government introduced a new governance structure via The Bangladesh Local Government (Union Parishads and Paurasabhas) Order 1973 and revived the Municipal Administration Ordinance of 1960 through the Municipal Administration (Amendment) Order 1973. The 1973 municipal administration order was operationalized in 1977 with a view to creating the new municipal structure. By laws, the City Corporation and *Pourashava* are governed by directly elected people's

representatives. City Corporations and council at the ward level are being led by mayor and ward commissioner as heads of corporation and ward respectively. The creation of wards depends on the size of the city. The tenure of an elected urban local government is five years.

The City Corporations (CCs) in Dhaka are the largest units of urban governance in Bangladesh. Presently the urban governance structure works through the Dhaka City Corporation Act amended in 2011. In 1978, the 1977 Dhaka Municipal Act was amended to be known as the Dhaka City Corporation. The law has been amended in 1990, 1993, 1994, 2009 and 2011. With last amendment in 2011, Dhaka City Corporation has been divided into two parts; Dhaka North, and Dhaka South City Corporation. Thus, presently there is two City Corporations in Dhaka City. However, Dhaka City Corporation has a long history of development linked to Pre-British, British and Pakistan colonial institutions. The development of Dhaka City Corporation is briefly described below:

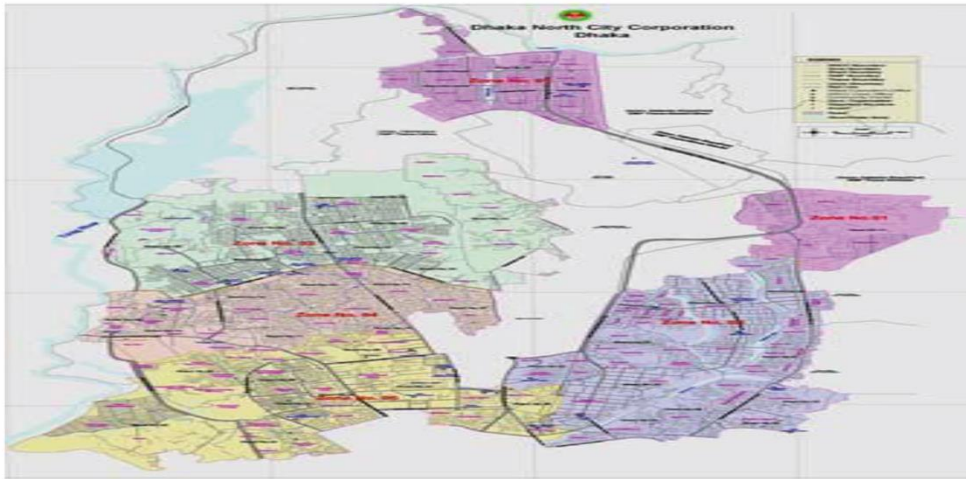
Table 1. Historical Development of Dhaka City Corporation (DCC)

Year	Development
1840	In 1840, the committee for Dhaka improvement was formed
1864	By the introduction of District Municipal Improvement Act (1864), Dhaka Municipality was established on the 1 st August, 1864. The Lt. Governor had power to appoint municipal Commissioners from among the inhabitants. Their number was never to be less than seven
1884	The Act of 1884 recognized for the first time the elective principle in unambiguous term. The first elected Chairman was Mr. Ananda Chandra Roy and the first elected Vice-Chairman was Mr. Khawaja Amirullah
1922	In 1922, the Bengal Municipal Act was formed with a view to extending franchising the women's right
1947	Dhaka became the provincial capital of East Pakistan in 1947. As a result, government superseded the Municipal Committee on 19th of November 1947 for collecting the taxes and development activities
1953	In December, 1953, the elected Chairman took office, and again in August, 1959, the municipality was superseded
1960	The Municipal Administration Ordinance of 1960 repealed all previous municipal laws. It provided the chairman would be an official member appointed by and holding office at the pleasure of the government. The government in 1960 divided the city area into 25 Unions, which were further broken down to 30 Unions in 1964
1977	The areas of Dhaka city has been divided into 50 wards. The Pourashava Ordinance 1977 was introduced for holding the election of Ward Commissioners
1978	In 1978, the government upgraded the status of Dhaka Municipality as corporation. The Chairman of the municipality was renamed as the mayor of the corporation
1982	By promulgating the martial law in March 1982, the municipal corporation was superseded. Two adjacent municipalities, Mirpur and Gulshan, were merged with Dhaka Municipality in 1982. The number of wards later increased to 75
1990	In 1990, Dhaka City Corporation introduced instead of the Dhaka Municipal Corporation
1993	The provision of direct election for mayor and commissioners introduced for democratizing the City Corporation activities
1994	The first city corporation election was held in January 1994. Mr. Mohammad Hanif became the first elected Mayor
2011	On 04.12.2011, the Local Govt. (City Corporation) Act again amended and dividing the city corporation into two parts: Dhaka South City Corporation (DSCC) and Dhaka North City Corporation (DNCC)

Source: Report of the Study of Proactive Disclosure of information by Dhaka South City Corporation, 2014

1.1 Dhaka North City Corporation (DNCC)

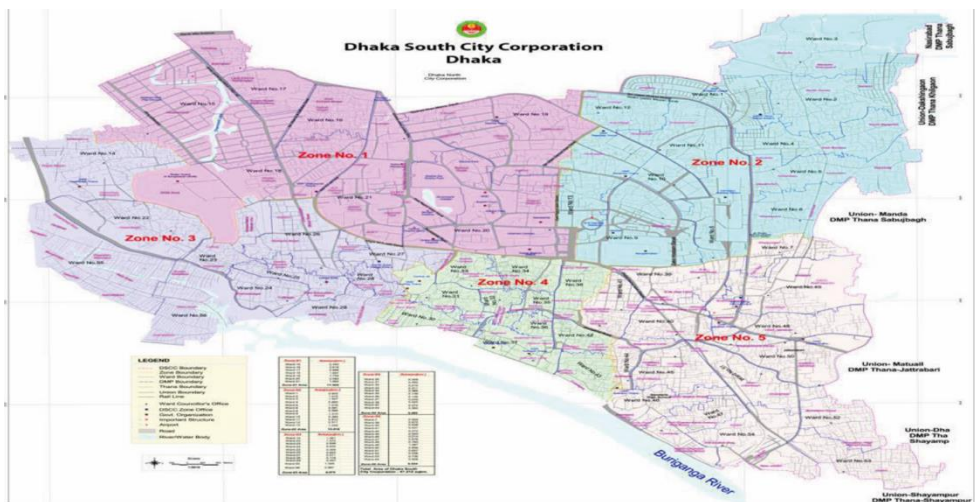
The DNCC is situated in the northern part of Dhaka City. It has total thirty-six (36) wards and five administrative zones. The DNCC has a mayor (presently a working administrator), thirty-six elected ward councilors; twelve of which are women.



Map 1. DNCC: (Geographical Location & Area: area 82.638 sq. km).

1.2 Dhaka South City Corporation (DSCC)

The DSCC is situated in the southern part of Dhaka City. It has total fifty four (54) wards and five administrative zones. The DSCC is comprised of a mayor (also presently a working administrator) and seventy-two elected ward councilors; eighteen of these are women.



Map 2. Dhaka South City Corporation (DSCC)

2 City Corporations in Dhaka: Organizational Structure

City Corporations (CCs) working in the capital of Bangladesh, Dhaka are divided into 90 wards under 10 administrative zones. Dhaka North City Corporation (DNCC) works for 36 wards under five (05) administrative zones. Dhaka South City Corporation (DSCC) works for 54 Wards under five (05) administrative zones. By laws, the CCs are composed of two mayors and 120 ward commissioners, 30 of which are female. The mayors and commissioners are directly elected by popular vote. Elected Commissioners represent their respective ward. Thirty reserved women commissioners are elected in a prescribed manner from a list of female candidates.

The institutional head of the City Corporation is the mayor. The mayor of City Corporation holds the status of a full cabinet minister in the country. The council of the corporation is comprised of the mayor and ward commissioners. The council lies at the apex of the corporation governance structure. The formulation of policies and strategies, approving the annual budget, undertaking development schemes and executing projects and programs are the main responsibilities of the council in City Corporation. The tenure of the council is also five years duration. The mayor chairs the council meeting. In case of his absence the senior member of the panel of mayor chairs the meeting. Adult taxpayers of the municipalities are eligible to vote.

The mayor as the chief executive of the corporation is assisted by the chief executive officer (CEO). Chief executive officer in turn is assisted by the Secretary and other departmental heads to perform day-to-day affairs (Islam et al., 2000, p. 143). The mayor reserves the right to access any records and if needed can request any information from the CEO. The mayor transacts all business of the corporation. Article 26 and part IV of the Dhaka CC Ordinance 1983 provides the legal base regarding the duties and functions of the corporations. Each corporation is governed by separate ordinances, but the characteristics of the responsibilities listed are the same.

It has been mentioned in previous section that DCC is governed through creating ten zones. Each zone is headed by a zonal executive officer (ZEO). The ZEO is assisted by an executive engineer, a transport officer, a social welfare officer, a community organizer and a slum development officer. The zonal office is responsible for the implementation of development projects within their jurisdiction. Apart from the democratic structure, (both mayor and ward commissioners are elected leaders), the DCCs have administrative setup comprising 17 departments, including a secretariat. The departments are charged with specific responsibilities such as public health, conservancy, estates, engineering, slum development, accounts, education, social welfare, revenue, law and so on.

The functions of ward commissioners are defined by convention instead of ordinance. Some functions are performed by executive order as well as by convention. Likewise, some functions depend on the initiatives taken by and the effectiveness of the ward commissioners. Ward commissioners play an active role in representing the interests of their wards in the council and standing committees. The mayor nominates the word commissioner to act as a members of the strategic apex of the corporation and standing committees. According to the DCC ordinance, word commissioners are responsible to formulate development plans relating to their wards and submit for inclusion in the DCC’s development program. For formulating development plans, they can ask assistance from the staff of the Zonal Executive Office. They are also authorized to sign the monthly salary bills of conservancy staff. Maintenance materials and spare parts required for street lighting in the ward are issued with their approval. Ward commissioners monitor the delivery of a number of ward level services and are involved in both the decision-making process and policy implementation.

Organogram 1. Dhaka City Corporation



Source: DCCs, 2014

Table 2. Executive departments and functions of the DCCs

Departments	Tasks or duties
Administration Establishment	Recruiting, appointment, transfer, posting, career planning and welfare of officials
Engineering	Responsible for a variety of maintenance work such as street lighting and electrical work, mechanical and construction projects and others.
Public Health	Hospital management, mosquito control, food supply regulations, birth and death registration, preventive health care, supervision of livestock and slaughterhouses.
Social Welfare	Graveyards management, providing education and library management, cultural and organizing recreational activities
Revenue Collection	Assessing and collecting the various tax, tolls, fees, rates and rents.
Accounts and Audit	Annual financial statements preparation, bills and salary payment, updating government documents for audits and ledgers and cashbooks maintenance.
Conservancy/solid waste management	Cleaning of streets, maintenance of drains, waste disposal, managing dumping and landfill sites, and maintenance of waste management vehicles.
Estate Management	Property management and administration, eviction of unauthorized occupants, procurement and disposal of immovable property
Store and Purchase	Responsible for purchase of all purchasable items except vehicles and heavy engineering equipment and supply of store materials as per requisition of the respective departments.
Transportation	Procuring, maintaining, fueling, and managing corporate vehicles.
Law	Responsible for all legal matters in the DCC.
Slum development	Initiates own projects or implements donor funded projects for improvement of environmental and socio-economic conditions of the slums.
Public Relations	Responsible for maintaining relations with press and media, information management and publishing reports of the DCC.

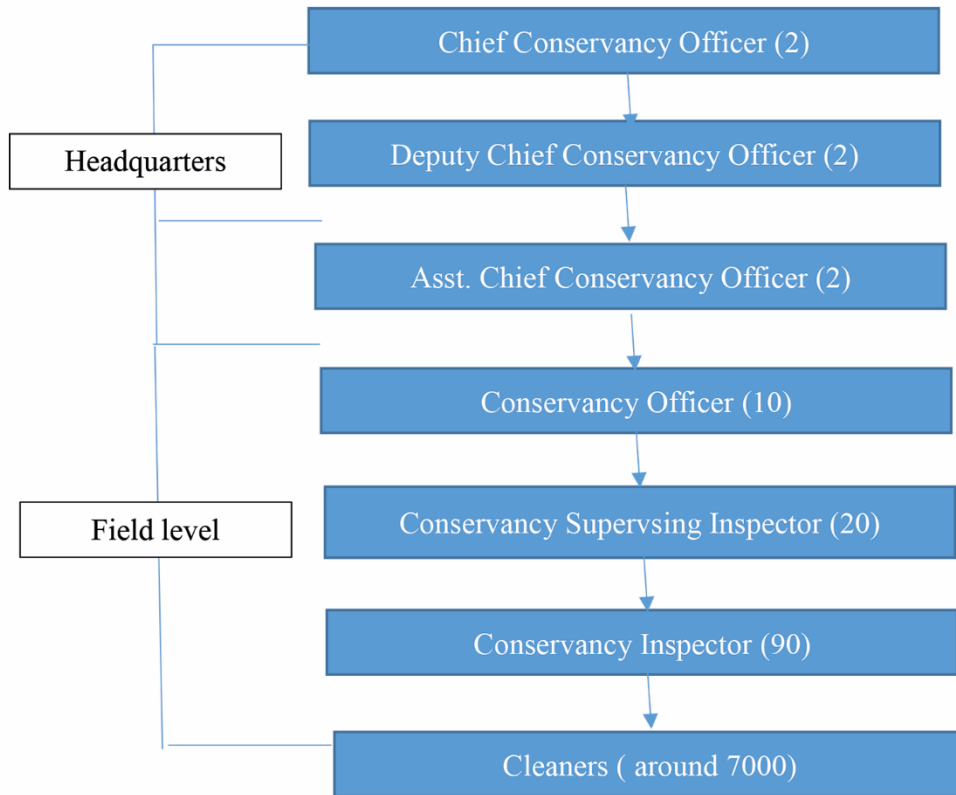
Sources: DCC, 2014, Islam et al., 2000, p. 145; Rahman, 1989, p. 155–178.

3 Solid Waste Management (SWM) of City Corporations in Dhaka

The conservancy department of the City Corporations in Dhaka is main department responsible for solid waste management. The major duties of conservancy departments are street and drain cleaning, waste collection from street, drain and dustbins or

containers. Transportation, loading and unloading the waste, and finally disposal of waste in land-field sites. The conservancy department is comprised of predominantly field workers and a few officers for planning and administration at headquarters:

Organogram 2. Conservancy department of City Corporations (CCs) in Dhaka



Source: Dhaka City Corporation (DCC), 2014

3.1 Waste collection system

Solid waste management (SWM) is a major responsibility of local government in Bangladesh. This includes: (i) collection and transportation of waste and (ii) processing and disposing of waste. In Dhaka, the conservancy department of City Corporations is responsible for handling, operating and managing solid waste. Waste collection system in Dhaka is composed of two ways; (i) waste collection from primary source and (ii) waste collection from secondary source (shown in figure 1). The conservancy department in City Corporation is mainly responsible for collecting waste from

secondary sources, where dustbins or containers are located in different areas in the city. Transportation and final disposition of waste from secondary waste point are also the responsibilities of City Corporation. Inhabitants themselves responsible for managing the waste at the source and bring their waste to waste collection points or dustbins/containers placed by DCCs (Figure 1).

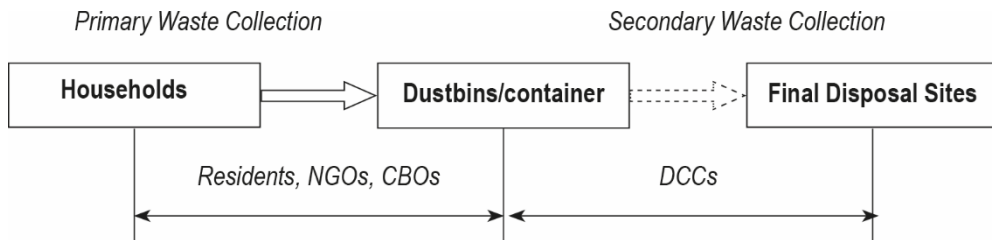


Figure 1. Waste Collection System in Dhaka City

Source: DCC, 2013

3.1.1 Primary Waste Collection

a) Placing dustbins or containers

The Dhaka City Corporation (DCC) Ordinance is fundamental law, based on which DCC handles street/drain cleaning, waste collection and transportation. The section 78 of the Ordinance clearly described about solid waste management. According the provision, The DCC provides dustbins or containers at suitable places in the city. Residents are responsible to bring their waste to the placed dustbins or receptacles in different parts of the city (DCC act, 2011). It is not clearly mentioned who is responsible for primary waste collection where such dustbins or receptacles are not provided. However, in practical situation, waste from household, commercial organization and industries is thrown themselves to the secondary waste collection bins located on the streets. In some areas, removable containers are used for onsite storage of municipal solid waste. Not all parts of the city are provided with these bins and there are no specific rules and criteria for dustbin placement. In cases where there are no bins, waste is simply dumped on the ground.

b) Waste thrown by resident themselves

Generally, residents themselves bring their households waste to nearby waste bins or containers located in street in the city. Waste from commercial institutions, industries

and hospitals are also deposited in the same waste collection bins provided by the DCC on the streets.

c) Waste collected by NGOs, CBOs and private initiatives

In some areas in Dhaka, communities have been organizing and handled waste with certain fees through house-to-house collection by their own initiatives and efforts. As a result, various local civil society groups or CBOs facilitate door-to-door waste collection. It is difficult accurately to account that how many organizations and persons are engaged at household level waste collection as private initiatives or the coverage of their services due to the absence of official data. However, there is an estimate that about 130 organizations are working to provide door-to-door waste collection services in the city. The CBOs or NGOs provide their service by charge service fees depending upon the area and income group. There is no unique service charge system. For example, high income group residential areas like Gulshan, Bonani, Baridhara or Dhanmondi normally service charge 100–300tk. For middle and low-income areas like Mirpur or Khilgoan, the fee is tk. 50–100.

d) Approval of NGOs, CBOs for primary collection

From 2002 and onwards, the DCC introduced an approval system for NGOs, CBOs and private organization for providing the services at house hold level waste collection ward-wide. At present, the chief conservancy officer (CCO) has authority to sign approvals. The DCC has aimed to systematize primary collection through re-organizing various types and size of organizations, involved in waste collection. The DCC approves only those who have the capacity to provide services for an entire ward, or in some exceptional cases, half or part of a ward. Organizations submit proposals that the DCC evaluates and approves or rejects. Until 2015, DCC has given approvals to 47 NGOs and CBOs to work in 57 areas under 52 Wards in the city.

e) Role of Ward Commissioners in primary collection

Ward commissioners are key in local activities. They play important roles in mediation and coordination among different organizations. Ward Commissioners support organizations to implement activities. In some wards, they themselves take initiatives to provide door-to-door waste collection services.

3.1.2 Secondary Waste Collection system

According to the ordinance, the DCC has the responsibility for secondary collection and proper disposal of waste. Through the conservancy department, the DCC collects and disposes its waste from secondary sources. The conservancy department has five sections to handle waste. The main duties of the conservancy department are composting or recycling waste, transportation of waste and the final disposal of waste;

a) Composting of Waste

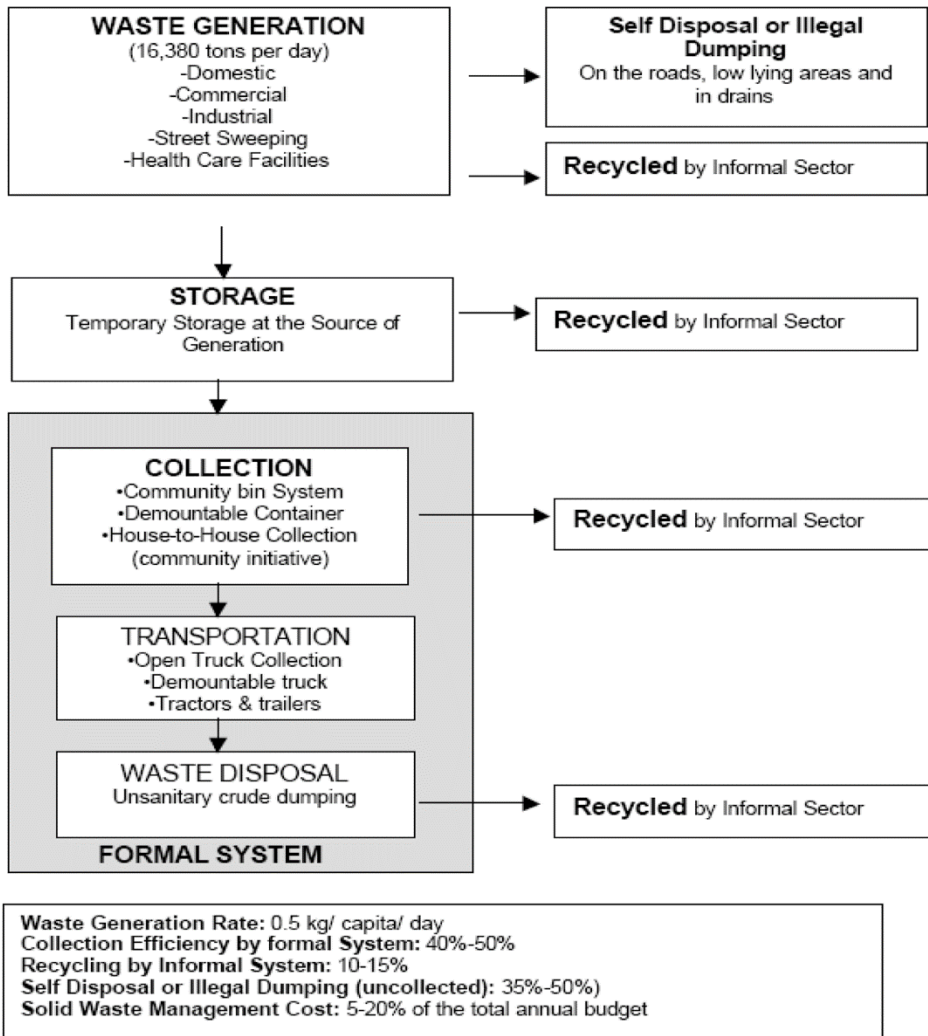
The Solid Waste Management of Dhaka City Corporations (DCCs) have no composting plant yet. At present there are five small-scale waste composting plants in the city operated by a private company named Waste Concern. Through a public-private partnership, the Dhaka City Corporations have given the contract to this private company for waste composting in 2 out of 90 wards. The total capacity of these five plants is 19 tons/day; but they can compost approximately 1.5 ton waste per day.

b) Waste transportation

Conservancy department collects waste from waste bins and then transports it to dumping sites for disposal. At present, the DCCs have 96 open trucks (with 3 and 5-ton capacities) and 100 dismountable container-carrying vehicles for waste transportation. The transport department, according to the requirement of the conservancy department, plans schedule and the number of vehicle trips.

c) Final disposal of Waste

The DCCs dispose of waste using crude dumping methods. The collected waste is presently being disposed in Lindfield sites located in low-lying area nearby the city. DCCs presently have three landfill sites such as Matuail, Gabtoli and Uttara for waste disposal. There are also six other minor sites which are operated in an uncontrolled and irregular manner without any proper earth cover or compaction. These sites are: (1) Kushi, (2) Chalkbari-Mirpur, (3) Gabtoli-Mirpur, (4) Lalbagh Shosan Ghat, (5) Mugdapara and (6) Jatrabari. These minor sites have already been overloaded with waste.



Cycle 1. Waste Management cycle

Source: Asian participants of Regional 3Rs forum emphasized on a statement in Tokyo, Japan, 11–12 November 2009

3.2 The solid waste situation

At present solid waste is one of the worst urban problems for residents of Dhaka. The generation of solid waste is increasing rapidly in the city. The reasons for this rapid

growth is an increase of the urban population. In 1999, 30 million people, around 20 percent of the total population of Bangladesh, live in urban areas. By 2015, it is estimated that 68 million; more than a third of total population, will live in urban areas (Pryer, 2003, cited in Bhuiyan, 2008, p. 3). The trend of urbanization and population growth have outstripped the capacity of the municipal authority in city to provide effective and efficient delivery of conservancy services in general and solid waste management in particular. Nearly 50 percent of garbage generated daily remains uncollected in Bangladeshi cities (Bhuiyan, 2005, in Bhuiyan 2010, p. 126). Uncollected garbage pollutes the urban environment and is responsible for various health problems. Solid waste generation in Bangladesh during the last decade of the twentieth century increased at an average annual rate of 8.96 percent per year. Solid waste management and hygienic disposal capacity of the municipal authorities is miserably lagging behind the demand for waste removal services (Hasan, 2005, p. 921).

The conservancy department of the City Corporations (CCs) is formally responsible for solid waste management in Dhaka. Since the colonial period of British-Bengal, especially from the reign of Lord Ripon, local government institutions have been responsible for conservancy services (Siddique, 1994, pp. 35–41; Tinker, 1954). More than 4000 metric tons solid waste is generated in Dhaka city daily. Of those, 200 metric tons originate from hospitals and clinics. Medical waste is a mixture of toxic chemicals, radioactive elements and pathological substances (Memon, 2002). Only 40–50 percent of this waste is collected efficiently and disposed in land-filled areas (CUS, 2005). The present system of solid waste management in Dhaka city is inadequate and insufficient (Mohit, 2000, pp. 1–3) due to various operational challenges. These includes the lack/misuse of resources, corruption, political interference, the central-local bureaucratic relationship, lack of inter-governmental coordination and lack of awareness etc. (Bhuiyan, 2010, p. 10). Owing to unsatisfactory conservancy services by the DCCs, a number of civil society organizations and NGOs have emerged in Dhaka to handle the city's waste. Lacking adequate resources and organizational capacity, the DCC has been encouraging community-based organizations and local NGOs to organize and carry out community-based waste management. This has taken the form mainly of house-to-house collection and disposal (Memon, 2002, p. 5). Approximately 150 community-based SWM organizations are working in Dhaka city. However, community-based initiatives do not provide relief from the adverse impacts of inadequate solid waste management. While waste is collected door to door, it is still dumped at the dustbin located on the main street. It is up to the DCCs to collect waste from the dustbin for final disposal.

Practical aspects of secondary waste collection system in the city are particularly problematic. Waste containers are inadequate, poorly maintained and supervised improperly. The DCC does not remove waste from the dustbins efficiently due to financial and institutional constraints (Momen, 2002). Owing to the lack of dustbins or containers, primary waste collectors throw waste on open streets in different areas in the city. City Corporations in Dhaka have not yet taken any initiatives to raise awareness of the need for waste segregation at source. All forms of waste are thrown together in single places or bins. These are now one of the main sources of pollution in the city.

4 Solid Waste Management (SWM): Legal options

Dhaka City Corporations still have no comprehensive policy guideline or specific strategy for solid waste management. The legal basis for solid waste management is the Dhaka City Corporation Ordinance 1978, last amended in 2011. There are a few other relevant acts and rules originating from other public agents working in the city relating to the environment and city development. These include the Environmental Conservation Act of 1995, Environmental Conservation Rules of 1997 and the Preservation Act of 2000. These are also abided by the Dhaka City Corporation for solid waste management. In 2010, the government of Bangladesh, with the help of European Union, drafted National 3R Strategy for Waste Management. The strategy is currently in a pilot program under the Ministry of Environment and is waiting to be finalized. The 3R strategy emphasizes the reduction, reuse and recycling of waste. It is a comprehensive strategy for capacity building relating to the handling of solid waste in an efficient and effective manner. The Dhaka City Corporation also has to follow other previously adopted national policies and strategies relevant to solid waste management and the environment of Dhaka. A brief discussion of these legal and policy options follows below:

4.1 DCC ordinance – Legal aspect

Dhaka City Corporation Ordinance 2011 is only law for operating solid waste management in Dhaka City. The section 78 of the Ordinance stipulates guidelines for the collection, removal and disposal of waste. Sections 150 -153 stipulates the penalties

for violating the guideline. The provisions of the ordinance says in section 78 and 150-153 as followings:

(a) Section 78 of the DCC ordinance

- (1) The Corporation shall make adequate arrangements for the removal of refuse from all public streets, public latrines, urinals, drains and all buildings and land vested in the Corporation, and for the collection and proper disposal of such refuse.
- (2) The occupiers of all other buildings and lands within the Corporation shall be responsible for the removal of refuse from such buildings and lands subject to the general control and supervision of the Corporation.
- (3) The Corporation may cause public dustbins or other suitable receptacles to be provided at suitable places and where such dustbins or receptacles are provided, the Corporation may, by public notice, require that all refuse accumulating in any premises or land shall be deposited by the owner or occupier of such premises or land in such dustbins or receptacles.
- (4) All refuse removed and collected by the staff of the Corporation or under their control, supervision, all refuse deposited in the dustbins, and other receptacles provided by the Corporation shall be property of the Corporation.

(b) Section 150–153: Offense and penalty

When residents do not follow the Ordinance; i.e., when they “[throw] or [place] any refuse on any public street or in any place not provided or appointed for the purpose by the”, it shall constitute an offense and punishment shall be meted out after conviction according to Sections 150–153 of the Ordinance.

4.2 Environment Conservation Act 1995 and Environmental Conservation Rules 1997

Environmental Conservation Act of 1995 and Environmental Conservation Rules of 1997 were mainly executed by the Ministry of Environment. However, the Dhaka City Corporation is the beneficiary of these provisions. Under these provisions, every industrial unit or project under the corporation’s jurisdiction require an Environmental Clearance Certificate (ECC). The Ministry of Environment classified the category of harmfulness of landfilled waste. Industrial, household and commercial wastes are classified as a “Red Category” by the them which includes most harmful or dangerous industrial units and projects.

4.3 Preservation Act 2000

The Preservation Act of 2000 implemented by the City Development Authority is also related to solid waste management by the Dhaka City Corporation. According to the act, changes in structure of specific lands for open spaces, playing field or natural reservoirs of water by filling land, building construction and any other construction that alters the original RAJUK Master require prior consent of the Government.

4.4 Other policy options for solid waste management

Other legal guidelines and policy options exist which have been adopted and drafted nationally by the government of Bangladesh through concerned ministries (Table 3). These are also relevant to the operation of solid waste management in Dhaka city.

Table 3. Legal guidelines and policy options

Year	Title
<i>Strategies</i>	
2009	Draft National 3R Strategy for Waste Management – emphasizes reducing, reusing and recycling of waste
2005	National CDM Strategy – promotes pro-poor CDM projects on waste sector by harnessing carbon financing
2005	Poverty Reduction Strategy Paper (PRSP) – seeks to improve the solid waste management situation, with a special focus given to segregation of waste at source along with the promotion of recycling, reducing, and reusing industrial and other solid waste
2005	National Sanitation Strategy – emphasis on resource recovery and recycling
<i>Policies</i>	
2008	National Renewable energy policy – production of biogas and other green energies from waste
2006	Draft national urban policy – emphasis on the recycling of waste
2005	National industrial policy – promotes the use of compost or organic fertilizer amongst farmers to improve soil productivity and food security
1998	National policy for water supply and sanitation – introduces measures for the recycling of waste as much as possible and promotes the use of organic waste materials for compost and biogas production
1998	Urban Management Policy Statement – recommends municipalities for the privatization of services as well as giving priority to facilities for slum dwellers, including water supply, sanitation and solid waste management

<i>Acts</i>	
2006	Fertilizer act – promotes the use of compost and compost standards
1995	Bangladesh Environmental Conservation Act (ECA) – recommends standards of disposal of different types of waste
<i>Rules</i>	
2008	Bio-medical waste management rules – recommends separation of hospital waste at source as well as separate collection, transportation, treatment and disposal
2006	Lead Acid Battery Recycling and Management Rules – for the collection and recycle of lead acid battery
2005	Draft National Solid Waste Management Handling Rule – for reducing, reusing and recycling of solid waste
1997	Bangladesh Environmental Conservation Rules (ECR) – recommends waste disposal standards mainly for industrial waste
<i>Action Plan</i>	
2005	Dhaka Environment Management Plan – waste recycling and less land filling emphasized
2005	Solid Waste Management Action Plan – emphasizes 4R principles; i.e., reduction, reuse, recycling and recovery
1995	National Environmental Management Action Plan (NEMAP)
<i>Others</i>	
2008	Circular to Promote Compost by Ministry of Agriculture (MoA) – recommends the use of compost among the farmers
2005	Private Sector Housing Development Guideline – recommendations for new housing areas for waste recycling, especially composting and bio-gas generation
2004	Private Sector Infrastructure Guideline – recommend private sector investment in waste management
2004	Dhaka Declaration on Waste Management by SAARC – encourages NGOs and private companies to establish community based composting, segregation of waste at source, separate collection and resource recovery from wastes

Source: Waste Concern (2008)

5 Conclusions

The above discussion clearly demonstrates that institutional capacity constraints regarding solid waste management have had a negative effect in Dhaka city. The city environment is considered a danger to the public health. Other capacity crises, policy and strategic guidelines also reflect constraints on effectively managing waste. Though there is no comprehensive policy guideline and strategy for the operation of solid waste

management in Dhaka, there are many acts, rules, policies and strategic options originating from other public agents. The problem is coordination and compilation of these options. Solid Waste Management of City Corporations in Dhaka still do not have any policy and strategic base for coordinating and compiling policy options of other public agents working in the city corporations areas.

V

COLLECTION OF DATA: APPROACHES AND METHODS

1 Introduction

Methodology is a general approach for research (Silverman, 2001, p. 3). This study follows a systematic methodological process those are relevant with social constructionist view. This chapter reviews the methodological process followed in conducting this research. Specifically, this chapter describes the research design, research approach, methods, data collection, organization and analysis techniques of research data. In addition, chapter discusses the experiences in conducting qualitative interview at the field, ethnical issues, credibility and limitations of the study.

2 Research design

Based on social constructionist theoretical grounds, this study is a qualitative brand of research. As a result, the study follows methodological process most relevant with qualitative study. The available literature on qualitative research methodology identified the “qualitative research is a well-known field of assorted research methodologies and practices covering a multitude of non-positivist research stances” (Arksey & Knight, 1999, p. 20). However, all research needs a specific research design or a structure before data collection to finalize data collection tools and analyzing the research findings. According to Tredoux (1999, p. 311), it is better think of a research design as a plan for research. Research plan particularly defines the elements related to the research. The most relevant elements of research are variables, participants and their relationship, methods for sampling and measurements. A research design is a framework containing research items. These have to be systematically conducted in order for the research project to achieve its goals, such as selection of data collection methods, data analysis and interpretation. The research design mainly guide to select particular method and develop data collection tools. In addition it enable the researcher to ensure the answer

on question and evidence based analyses as much as possible. Therefore, “research design deals with a logical problem and not a logistical problem (Yin 1989, p. 29)”. More specifically, research design is different from the method. Research design depends of the nature of types of the research and method by which data are to be collected depends on the research design. The following figure demonstrated as an example of overall methodological process in any social science research (Figure 2).

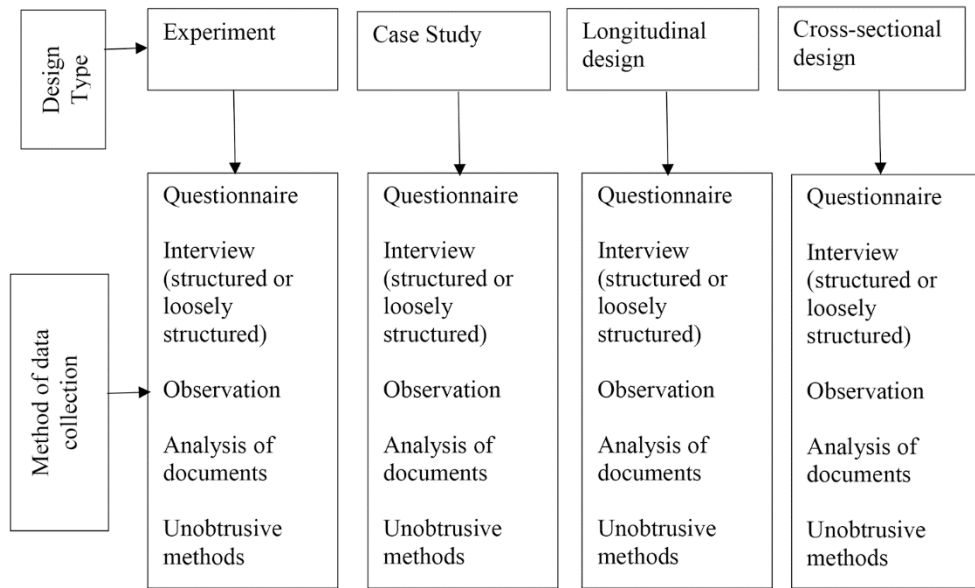


Figure 2. Relationship between research design and data collection methods

Source: www.nyu.edu

This qualitative study chooses a ‘case study’ design for completing its research process. The reason is, case studies are treated as a prime example of qualitative research. Case study type of research adopts the interpretive approach to analyze the data and research phenomena on context. The case study also emphasis the research context to exploring the subjective meanings of research issues and concerns of people to their situation (www.nyu.edu). The Solid Waste Management (SWM) of Dhaka City Corporation (DCC) is the particular case in this study. To collect data through qualitative data collection tools, interviews were utilized as the dominant tools of case study design.

2.1 Data collection methods

Robson (1993, p. 304) considers data collection to be “about using the selected methods of investigation. Doing it properly means using these methods in a systematic, professional fashion.” Data collection is the main process in every social science research because it is concerned with gathering information. Data has been collected here through conducting qualitative interviews.

2.1.1 Qualitative data

The data of this study received through interview is qualitative in nature. The qualitative approach is followed usually to for social research inquiry to make knowledge based on constructivist perspectives. The constructionist perspective presents the multiple meanings of individual experiences, socially and historically constructed meanings. The main intention of this qualitative approach to develop a theory, contribute to advocacy/participatory perspectives like political issue-oriented and collaborative or change oriented or both (Creswell, 2003, p. 18). Specifically “qualitative studies typically state research questions, not objectives (i.e. specific goals for the research) or hypotheses (i.e. predictions that involve variables and statistical tests) (Cresswell, 2003, p. 105)”. “Qualitative research focuses on interpretation of phenomena in their natural settings to make sense in terms of the meanings people bring to these settings” (Denzin et al., 1994, p. 3). According to Stake (1995), qualitative methodology has been emerged to enable researchers to study social and cultural phenomena in social sciences research. It concentrates more on holistic perspective of phenomena or research issues. The qualitative method usually follows interviews, focus group discussions (FGD), participant observation, case study videos, and text and image analysis as its data collection tools. This research used interview techniques for data collection considering the strategic base and practical context of the research phenomena.

2.1.2 Qualitative interviews

The discussion on research interview for conducting qualitative brand of social research evident that interviews are most appropriate in a study, if little is already known about the study phenomenon. The study requires detailed insights from individual participants. In addition, interview method is also appropriate for exploring the details on sensitive topics. Usually on what, participants are not interested to talk openly in a

group environment (Gill et al., 2008). However, the purpose of the interview is to explore the opinion, experiences, and motivations of individuals on social research phenomena. Kvale (1996) viewed that the qualitative research interview describes the meanings of central themes in the world of the subjects. The main task of interview to understand the meaning of the opinions of interviews. As a result, qualitative research interview covers both a factual and a meaning level of data. However, understanding on the meaning level is more difficult than factual data.

Above discussion summarizes the interview technique is particularly appropriate for establishing meaning, facts and to explore the story of participant's experiences related to the research phenomena. A purposively interview technique is used in this research. This highlighted the lived experiences of administrator and relevant higher officials of the Dhaka City Corporation (DCC) relating to the institutional capacity of Solid Waste Management (SWM).

2.1.3 Interview schedule

The researcher, along with two research assistants, conducted interviews through standardized, open-ended interview schedule. Open-ended questions are allowed the respondents "to answer in their own words, rather than being restricted to choosing from a list of pre-coded categories" (Clarke & Dawson, 1999, p. 70). Accordingly, this study uses the interview schedule to ensure the opinion of the respondents. The interview schedule was divided into three sections. These included the situation of Dhaka City Corporations (DCCs) governance and Solid Waste and Management (SWM), institutional capacity and the way forward. The same open-ended questions were asked to all interviewees. This facilitated faster interviews and easier comparative analysis. In total, 32 respondents were interviewed from different categories including the strategic apex, middle line and techno-structure of the DCCs and SWM. Interviewees were contacted by e-mail and telephone beforehand to inform them about the purpose and objectives of research and the interview questions. Interview schedules were structured in English, but the interviews and questionnaires were completed in Bangla. Their responses were then translated and transcribed into English.

3 Interview experiences

Fieldwork was completed in three phases. The contextual description and literature review was completed in 2011–2012. Data collection tools were developed and the relevant stakeholders were contacted from 2013–2014. Qualitative interviews were conducted and current official documents were collected in January and February 2015.

Conducting qualitative interview was a challenging task, especially in terms of getting access and motivating appropriately descriptive answers from respondents. Purposively selected respondents were mostly from the strategic apex and senior officials of Dhaka City Corporations (DCCs). They are highly busy given the nature of their office and the political culture in Bangladesh. On the other, the questions requested detailed and in-depth written opinions, which took time. In addition, the political situation of Bangladesh was highly unstable during the interview period for opposition party members, including countrywide protests for a new free and fair election under a caretaker government.

Considering the pattern of administrative-culture and the current situation, higher-level strategic personnel and officials were contacted through e-mail beforehand from Finland to inform them about research, the scheduled questions and possible interview times. No responses or replies were received from the contacted respondents beforehand. Nevertheless, respondent's offices were physically visited in order to maintain the research schedule from 12 January 2015 onwards to secure appointments. Particularly for DCCs administrators, the process was highly bureaucratic. Five working days were getting an appointment from the administrator's office of the DCCs, for a total of 30 minutes. During the half-hour they did not provide any written answers but discussed the overall situation of the DCCs regarding democracy, strategic formulation, evaluation and learning; and most importantly, the existing gaps they face in laws, rules, acts and strategies as well as possible measures in future. Notes were taken during the discussions, which were used to sum up points and confirm content. Other respondents from the middle line, technocrat and Ward Counselor (people's representation) categories of the strategic apex easier to reach. They provided on average 1–2 hours for their interviews.

In total, 32 respondents for interviews were contacted, with 26 interviews ultimately taking place. Most of the respondents from selected categories were anxious about the research intention and purposes. They were ensured the research was completely academic and their opinion and data provided will be kept as confidential. For this reason, the information and data used in this research does not mention interviewees

by name. Interviews took place over a period of thirty-four working days. It was completed on February 25, 2015.

4 Selection of case study unit

4.1 Selection of unit and sub-units

Solid Waste Management (SWM) of City Corporations (CCs) in Dhaka, Bangladesh was selected as the main case of study unit. With a view to effective and efficient governance in ensuring better services delivery, the DCCs was divided by the government in 2011. Since then the Dhaka City Corporations (DCCs) has two parts: the South DCC and the North DCC. The south DCC covers 36 wards governed by one mayor and forty nine (49) commissioners including 13 positions reserved for women. The North DCC covers 54 wards governed by one mayor, with 71 commissioners including 17 reserved position for women commissioners. Thus, City Corporations (CCs) in Dhaka are governed by two mayors or administrators and 120 ward commissioners (people's representatives). The study selected both the part of DCCs as its sub-unit

4.1.1 Reasons for selecting Dhaka City Corporations (DCCs) as cases

Dhaka is one of the fast growing mega-cities in the world. The Dhaka City Corporations (DCCs) act as the municipal or urban government in Dhaka, and are responsible for maintaining basic service delivery, such as solid waste management, public sanitation, plantation and maintenance of surface drainage systems (Hye, 2000, p. 280). Legally, the DCCs are autonomous body, but they suffers from a governance capacity crisis. According to Islam, Khan, and Nazem (2000), there is a persistent governance crisis in the city. One dimension of the crisis is the inherent weakness of the Dhaka City Corporation itself due to its institutional and management deficiencies, personnel and capacity deficiencies, and resource constraints. Ahmed (1999, p. 4) shows that the DCCs suffer from a huge number of problems such as weak administrative capacity, poor human resources quality, lack of commitment and integration, shortage of financial resources and little public participation, inefficiency and corruption.

The Dhaka metropolitan area generates a staggering 3500–4000 tons/day of household solid waste. Industrial waste produced by over 1000 small and large industries and Hospital waste (20% of which is infectious) is produced by over 500 clinics and hospitals. Due to the governance capacity crisis, nearly 50 percent of the generated solid waste remains uncollected (Bhuiyan, 2005; Kazi, 1998, p. 11; Hasan, 1998, p. 193). Previous studies also show that, in spite of utilizing public resources, the city authorities have apparently failed to provide satisfactory conservancy services to residents. Considering these facts, the study selected solid waste management in Dhaka City as its main case. It analyses the solid waste problem of Dhaka from a strategic perspective for institutional capacity building towards improving the existing situation. No previous studies on the issue have analyzed strategic institutional capacity in managing solid waste in Bangladesh as they relate to other developing countries. This study seeks to provide solutions to the local solid waste problem in Dhaka that would be applicable to megacities in other developing countries as well.

4.1.2 Sample size of the study

Henry Mintzberg suggests that organization can be differentiated along three basic dimensions. (i) The key part of the organization; (ii) the prime coordinating mechanism and (iii) the type of the decentralization (in Lunenburg, 2012, p. 1). The key parts of an organization are shown below (Figure 3):

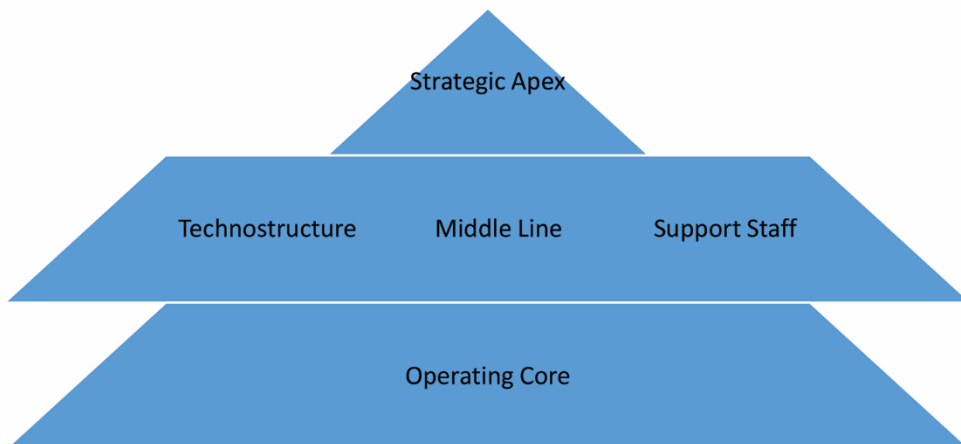
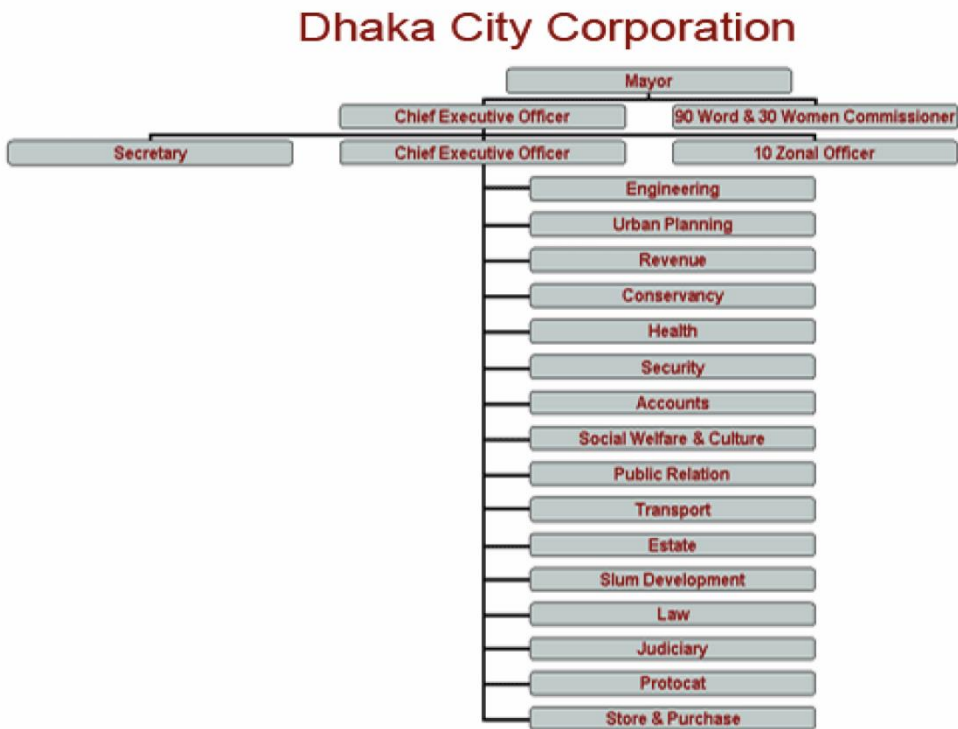


Figure 3. Level of organizational human resource

The *operating core* includes all employees who produce basic products and services. The *strategic apex* consists top general managers of the organization and their personal staff. The *middle line* comprises managers who sit in the direct line of formal authority between the strategic apex and the operating core. The *techno-structure* consists of analysts out of the formal 'line' structure who apply analytic techniques to the design and maintenance of the structure and the adaptation of the organization to its environment (Mintzberg, 1980, p.323). In terms of job duties, the *strategic apex* is charged with ensuring the organization serve its mission in an effective way, including developing the organization's strategy. *Middle line* manager performs all the managerial roles including the initiation of strategic changes and handling of exceptions and conflicts. The *techno-structure* as analysts are responsible for designing, planning, changing and training personnel (Mintzberg, 1979, pp. 24–30). In line with Mintzberg's concept, this study focuses at the level of *strategic apex*, *middle line* and *techno-structure level* of its case. The organizational structure of DCCs are shown below:

Organogram 3. Dhaka City Corporation



Source: DCC, 2014

The three levels (strategic apex, middle line and techno-structure) are central to developing the organization’s strategic and institutional capacity. The total number of respondents (N) of this study is 32. These respondents were selected purposively from strategic apex and techno-structure of DCCs and middle line categories of the conservancy department directly concerned with Solid Waste Management services. The respondents were interviewed using an open-ended qualitative interview schedule. Respondents from the strategic apex were the Mayor or Administrator, Ward Commissioners, Secretary and Chief Executive Officers. Respondents from the techno-structure includes chief town planner of the Urban Planning Department. Respondents from middle line categories included the head of the Conservancy Department, departmental heads of Engineering, Public Health, Estate-Management, Accounts and Administration and Establishment. The samples at a glance are as follows (Table 4):

Table 4. Sources of informants

SI No.	Description on sample	sample size
1	Strategic Apex Category	
	DCC Mayor (South and North)	2
2	Secretary (South and North)	2
3	Chief Executive Officer (south and north DCC)	2
4	Ward Commissioners (south 5 and North 5)	10
5	Middle Line Category	
	Interview of DCC executive head of dpt. (south north)	-
	Conservancy/Solid Waste Management	2
	Engineering	2
	Public health	2
	Estate Management	2
	Transport	2
	Accounts	2
	Administration & establishment	2
7	Techno-structure Category	
	Chief Town Planner of urban planning (south and north DCC)	2
	Total number of respondents covered by interview = N	32

5 Data entry and data processing

The data entry and processing is an important part of the research. Data derived from fieldwork was edited and coded manually, following an inductive approach. After ensuring consistency, data was processed for the presentation and qualitative analysis.

5.1 Data organization, presentation and analysis

5.1.1 Organizing and analyzing data

The two fundamental approaches are generally used in social science research to analyze the qualitative data: (i) deductive and (ii) inductive approaches. This study used an inductive approach arguing that qualitative analysis is led by an inductive approach (Strauss & Corbin, 1998). The scholarly view is “inductive analysis means that the patterns, themes, and categories of analysis come from the data; they emerge out of the data rather than being imposed on them prior to data collection and analysis” (Patton, 1980, p. 306). In addition, the inductive approach is concerned with analyzing data, where little has known or the research has no predetermined theory, structure or framework to apply. This analysis uses the actual data to drive the structure of analysis (Burnard et al., 2008, p. 429). However, this inductive approach is comprehensive and time-consuming. It is most suitable where little or nothing is known about the study phenomenon. Inductive analysis is the most common approach used to analyze qualitative data (Lathlean, 2006, p. 417). The inductive approach follows the five steps: (i) raw data preparation (data cleaning), (ii) reading of text closely (iii) identify the categories to analyze, (iv) reducing overlapping coding, and (v) continuing revision and refinement of category system. Therefore, this study follows these steps in organizing data before analysis. An overview of coding process is shown below:

Table 5. Coding process of qualitative data analysis

Initial read through text data	Identify specific segments of information	Level the segments of information to create categories	Reduce overlap and redundancy among the categories	Create a model incorporating most important categories
Many pages of text	Many segments of text	30-40 categories	15-20 categories	3-8 categories

Source; Adapted from Creswell, 2002, Figure 9.4, p. 266 cited in Thomas, 2003, p. 6

To ensure the analysis process in systematic and careful manner, the study utilizes a constant comparison'. The concept on constant comparison involves with reading and re-reading data in order to identify emerging themes in the constant search for understanding and meaning (Silverman, 2000; Polit & Beck, 2006).

5.1.2 Writing, presentation and analysis of data

The qualitative research follows two main approaches to writing up the findings and providing analysis (Burnard, 2004, pp. 174–179). The first approach is reporting the key findings under each main theme or category. To present and illustrate the findings, appropriate verbatim quotes are used. However, the separate discussion chapter is accompanied by a linking with findings in the first approach. The second approach for writing and presenting the data is to do the same. However, there is no separate chapter for discussion is required. The discussions or analysis continues into the findings chapters (Burnard et al., 2008, p. 432). This study writes, presents and analyze the data following the second approach. However, tabulation method was used for this research for identifying the theme and categories used in the analysis. Tabulation in this study refers to “the process of transferring data from the data gathering instruments to the tabular form in which they [were] systematically examined” (Biklen, 1992, p. 166). Following the inductive approach and tabulation, the data has been analyzed thematically. The analysis is presented under four themes. Each theme has been grouped into various sub-themes for details analysis on findings. The analysis has been divided into four chapters from VI–IX (sixth to ninth) based on the individual theme. Each chapter follows a similar style of presentation. They include theoretical discussion on theme; findings and analysis on various grouped dimensions and finally thematic conclusion. For referencing the study followed the style of American Psychological Association sixth edition.

6 Ethical issues

Ethical challenges are one of the important issues in every research. Ethical tensions are important part of the everyday practice research, and transcend disciplines. According to Ryan (2004), ethical challenges are constantly present in fieldwork. Ethical issues do not hinder the fieldwork. Instead, it refers to all stages in the research process (Kvale, 1996, cited from Ryen, 2004). Accordingly, this study followed normative ethical standard during fieldwork. Ethical issues and elements such as code and consent, confidentiality and trust were maintained systematically. The objective of the research and purposes of the study were clearly explained to the respondents of the study units. 'Informal consent' as an ethical principal of social research was also applied for an in-depth field study (O'Sullivan & Rassel, 1989). This study secured the consent of respondents through ensuring them that data and information would only be used for research purpose and research would not use any direct references. Two other major dimensions of ethics in qualitative research, such as procedural ethics and ethics in practice (Guillemin, 2004) were followed throughout the field study. For procedural ethics, this study follows a systematic methodological process. Selection of the epistemological basis, research design, selection of cases, selection of study units and sub-units, selection of data collection tools and methods, conducting interview for data collection from respondents, data organizing, coding and analysis were all finalized following the establishment of the theoretical framework. During interviews, the respondents were free to add their opinion to the questions. When using information and opinions in the analysis, neither names nor positions of respondents were mentioned.

7 The credibility or reliability of research data

Though the concept of 'reliability' is used to test or evaluate quantitative research, the idea is used in all kinds of research (Golafshani, 2003, p. 602). Credibility and reliability is relative to the quality of data, which should "[generate] understanding" (Stenbacka, 2001, p. 551). Generally, qualitative research uses a naturalistic approach that seeks to understand phenomena in context-specific settings, where the researcher "does not attempt to manipulate the phenomenon of interest" (Patton, 2001, p. 39). According to Patton, validity and reliability are two factors qualitative researchers should be

concerned about when designing a study, analyzing results and judging the quality of the study (cited in Golafshani, 2003). To ensure reliability in qualitative research, trustworthiness is crucial. Research trustworthiness lies “at the heart of issues conventionally discussed as validity and reliability” (Seale 1999, p. 266). Triangulation methods are used in qualitative research for ensuring reliability and credibility. Triangulation is a strategy for improving the validity and reliability of research or evaluation of findings. The research is concerned with understanding the situation, and the validity and reliability of the data. To ensure the creditability of data, this research utilizes triangulation to check and compare both the data gathered from interview and secondary sources, bias clarification to be free from dominance guiding, with interviews being conducted directly.

8 The limitations of research data

The aim of qualitative analysis is to provide a complete, detailed description of the research issue (Atieno, 2009, p. 17). This research paid attention to the particular context, particular respondent and relied on a single method to understand the situation for interpretative knowledge contribution in Bangladesh. This research is not without its limitations. The main limitation is that the conclusions of a case study conducted in Bangladesh for producing knowledge might not be generalizable to the strategic institutional capacity for solid waste management in other developing countries. Certainly, the study will expound on the ideas presented in the study in a descriptive nature but it would be difficult to make quantitative predictions on the research context. Another disadvantage of qualitative approaches is that findings cannot be extended to wider populations with the same degree of certainty that quantitative analyses can due to the lack of statistical significance. In addition, the analysis of this research was not checked, verified and validated by respondents (participants) due to time and financial constraints.

9 Conclusion

Methodology is a process of doing research. For maintaining this process, the study follows a specific worldview. It takes a specific epistemological stance, and the research design and method of data collection techniques is based on theoretical grounds. Organizing, presenting and analyzing data were also approached by following the relevant social research methodological process.

VI

QUALITATIVE ANALYSIS OF STRATEGIC PERSPECTIVE

1 Theoretical discussion of strategic perspective

Strategic perspective is one of the most important aspects of institutional capacity-building in an organization. Strategic perspective determines how an organization views and solves important issues. A strategic perspective helps to understand context and relays information towards achieving organizational objectives. According to Minzberg (2001), strategy, as a perspective, raises intriguing questions about intentions and behavior in a collective context. Proper strategic perspectives encourages diverse inputs and directs strategic decision-makers towards appropriate strategic formulations. Formulating a strategy without diverse input will result the failure of strategic vision. Strategic perspective depends on various interdependent factors. For example, how an organization exercise its governance procedures, maintains inter-governmental relations, inter-departmental behavior, interactions with and responses to the community. The study operationalizes Minzberg's (2001) conception of strategy. It asked respondents relevant questions for understanding existing strategic perspectives in context. The opinions of respondents were multidimensional and divergent. For analyzing these divergent opinions, the study identified four dimensions of existing strategic perspectives in Dhaka. The responses were analyzed accordingly. These dimensions include democratic governance, inter-governmental relations; inter departmental relations and community relations. These dimensions describe the existing strategic perspective of both the Dhaka City Corporations and Solid Waste Management.

1.1 Dimension 1: Findings and analysis of democratic governance

To increase the democratic decision making process in governance, a new policy paradigm has emerged globally in the late 1960s. Over the years, the concept of democratic governance has emerged as central to this new paradigm. According to

Barten et al. (2002, p. 129), democratic governance could be considered a participatory approach that stresses the involvement of the state to render the sustainability in development. Held and Polit (1986) in Barten (2002, p. 130) argued that traditional bureaucratic forms of government are increasingly ineffective within modern political arena because of the (i) limited capacity of traditional bureaucratic government to establish network relationships and influence public agenda and (ii) quick flow of information in the modern management technology.

In urban policy and governance arena, democratic governance is considered as an umbrella concept for its diversified theories and conceptual frameworks. According to Marxist theories, democratic governance implies that participation and influence in political processes is possible for all social actors. Pluralist theories define democratic governance as the “instrumentalization of society in function of dominant interest represented in the state” (Judge, Stoker, & Wolman, 1995 in Barten, 2002, p. 132). Kooimans (1993) views democratic governance as a dynamic process to ensure the balance between needs and capacities in governance. According to Brinkerhoff (2000, p. 602), “democratic governance combines features of a political regime in which citizens hold the right to govern themselves with structures and mechanisms that are used to manage public affairs according to accepted rules and procedures”. Democratic governance provides the scope for citizen participation and the decentralization of authority to local levels. Democratic governance structures and processes seek to accommodate the views of different societal groups in formulating the public policies and public service deliveries. They limit the role of the state to less direct service provision, the creation of a level economic playing field and empowerment of non-state actors (Haggard & Webb, 1994, in Gordon, 1996, and in Goodwin & Nacht, 1995).

However, democratic governance creates a broad institutional framework by creating a legal environment conducive to the protection of property rights, enforcement of contracts, and predictability and stability of policies (Brinkerhoff, 2000, p. 603). Especially in application, democratic governance creates the institutional space for provisions and incentive structures to facilitate the effective and efficient implementation of sectoral reforms (Fox, 1996; Blair, 1998). According to Brinkerhoff (2002, pp. 602–605), democratic governance processes increases institutional capacity and influence sectoral reforms by creating a positive enabling environment and increasing efficiency and effectiveness of reform outcomes and results.

As a whole, democratic governance relates to how citizens exercise influence, oversight the state; how public leaders and agencies operate responsibility to carry out their mandates; and how social relations are managed (Charlick, 1992; Coston, 1995; Hyden, 1992). Understanding the concept of democratic governance, the study asked

respondents 'how the DCC practices democracy in its affairs' to understand the situation and impact of democratic governance in the strategic perspective of the organization. The respondents from the strategic apex, middle line and technocrats provided different and divergent views about the provisions and practices of democratic governance. Nevertheless, their responses reflected a common understanding that the existing strategic perspective is not favorable due to impeded democracy, bureaucratic dominance, the lack of civic participation and lack of leadership capacity.

For analyzing interviewee opinions, the study used a thematic analytical approach. Responses were coded under the categories of civic participation, leadership in governance, bureaucracy and government control, capacity in leadership and functional accountability. The analysis of these categories targeted responses related to the provisions and practices of democratic governance defined in the study. The analysis specifically examined the following contextual aspects of democratic governance:

1.1.1 Civic participation

Civic participation is a simple phenomenon from a conceptual perspective. In practice, it is more complicated (Cooper, 1983 cited in Asaduzzaman, 2008, p. 61). Civic participation is an integral precondition of democratic governance. For enhancing trust and confidence in public governance and institutions, formulating need based public policies and getting feedback on policies, civic participation is essential (Haque, 2003). How can civic participation in governance be measured? Westgaard (1986) described civic participation as a collective effort to increase and exercise control over resources and institutions. Norman Uphoff (1987) defined civic participation as a process of the involvement of persons in situations or actions that enhance their wellbeing. The scope and active involvement of citizens in decision-making, policy formulating and policy implementation speak to the progress of democratic governance in context of this study.

The opinions of respondents indicated the scope of civic participation in the overall governance of the Corporation and solid waste management is limited. The provisions of civic participation are; voting rights in the democratic election of mayors and councilors, and the scope for elected representatives to act as a part of the strategic apex and standing committee members in DCCs. However, for more than four years, voting right have been withheld for administrative reasons by the central government. Within this limited scope, the active participation of people's representatives in the strategic apex and standing committees are problematic owing to socio-cultural and political reasons. One strategic interviewee said "*Democratic practice is now limited. Right now there is no elected mayor because the corporation election has been withheld by government for unsettled*

administrative issues after dividing corporation (R.3)". The government amended in 2011 the DCC Act with a view to improving overall governance. Through this amendment, the DCC was divided into the North DCC and South DCC. As a result the elected mayoral position was dissolved. An additional Secretary – a senior bureaucrat – is deputed by government as Administrator to lead the corporation until the next mayoral election is held. Nevertheless, bureaucratic governance is dominant in the corporation. According to one of the middle line managers, *"Practically, bureaucrats have to run the government but people's representatives have scope to participate (R.20)"*.

On the other hand, the study found that at community level, elected representatives called ward councilors were important members of the strategic apex for strategic decision and policymaking. Some ward councilors also act as standing committees members to oversee departmental activities and ensuring functional accountability. Regarding ward level governance, strategic interviewee stated that *"Councilors leads wards and they are part of corporation decision making and standing committees are active (R.11)"*. However, the study revealed that the ward councilors could not play active roles in most cases due to the centralized administrative control and political culture. One of the strategic members from the councilor category stated *"I am an elected representative. I run my office. I do not know exactly how to practice more democracy. We cannot ignore the mayor or administrator proposals and decision. We honor them and sign the papers in meetings (R.5)"*.

It is evident from the above statement that the democratic aspect of local governance is ambiguous to the respondents. An established administrative and political culture that favors corporation leadership and administrators. Proposals are approved in meetings with no critical discussion or objections. This is partly due to the selection process of different committee members and political party interests. The selection process of members for various committees and strategic apex is not democratic. Instead, the administrator or mayor selects members of the standing committees or any other committee. By selecting members, DCC leaders can prioritize their personal preferences, favors and control the political orientation of members.

1.1.2 Leadership in governance

Leadership has an integral role in developing groups, societies, and nations (Choi, 2007, p. 244). Leadership can be defined as a process of directing the behavior of others and the ability to influence decisions. Bello-Imam and Obadan (2004, p. 2) defined leadership as "the exercise of state power with the consent of the people, either directly or indirectly through their elected representatives". In the discourse of democratic governance, leadership significantly influences state institutions regarding the

formulation of appropriate policies, strategies and management decisions. White and Lippitt (1960), explained the democratic leadership as involving group participation, discussion, and group decisions encouraged by the leader. According to Anderson (1959), democratic leaders share decision making with others.

Based on the above, the study concentrates on the role of peoples representative's in democratic governance in the DCCs. The opinions of respondents showed that the DCCs have provided for both administrative and democratic leadership in its governance. However, administrative leadership is dominant for overall governance, and for solid waste management particular. Central level governance is led by government administrators due to the absence of elected people's representatives. One strategic apex members said *"the present situation is different because we are going with the administrator (R.7)"*. According to a middle line manager *"Now there is an administrator. It's easy to guess that administrative practice is focused (R.16)"*. *"Democratic practice depends on the leadership of the mayor and standing committees. Right now the DCC has no mayor (R.18)"*.

Such statements suggest that democratic leadership in the overall DCC governance and solid waste management structures is insignificant. The DCCs as a whole is being governed by the senior bureaucrat, namely the additional secretary deputed by the government instead of N elected people's representative such as a mayor. DCC governance nevertheless has democratic provisions for leadership through an elected mayor, strategic apex; standing committees and community level ward governance.

The study found that at community level governance is still being led by directly elected people's representatives. After amending the DCC Ordinance in 2011, only the mayoral position was dissolved. Previously elected counselors are still working under the administrator. Regarding community level governance, one middle line manager stated *"Elected peoples representatives run ward level governance. They are also member in different committees including standing committees (R.19)"*. Ward councilors have to follow the directions and instructions of the administrator and the political party in power in governing their offices. One of the strategic apex members described community level democratic governance thusly, *"Certainly there is democratic governance here, because we work under the leadership of the people's representative; though present situation is different because it is a transitional period (R.14)"*. Under the present administrative leadership, it appears difficult to exercise democratic governance at the community level, despite the fact that people's representatives are responsible with their offices.

1.1.3 Central government control through the bureaucracy

The weakness of local democratic institutions has diminished governance at the local level. Governance has to rely on efficient mechanisms for running the state, formulating wise policies, implementing them in good order and providing services to citizens. For this reason, the bureaucracy has played a prominent role in governance at the local level. There have been many occasions where the bureaucracy has proved a barrier to the consolidation of local democratic institutions (Gadot et al., 2008). In the case of the Dhaka City Corporation, the found that central government, through bureaucracy, has full control over local governance. The capacity of local governance structures is limited in its decision-making power.

According to the respondents the Dhaka City Corporations and its solid waste management follows a traditional bureaucratic model. Though there is a provision that the mayor should be democratically elected, he has to depend heavily on the bureaucracy to govern. At present, the corporation is led by a senior administrator deputed by central government. Democracy has been suspended in the corporation through central government intervention. According to a techno-structure interviewee, *“Democracy is difficult because of government control and political interference by the ruling party. Bureaucracy dominates the corporation (R.25)”*. A middle line interviewee stated *“We are to carry out orders. Sorry! We cannot have any opinion about democracy. We follow administrative processes because we have to function (R.15)”*. Another strategic apex member who is a people’s representatives stated *“Look at the situation of democracy. From 2011, there is no elected mayor. The corporation is being governed by Administrators (R.10)”*.

During the elected mayoral regimes, democratic governance was restricted due to the central government control. In the name of financial control, administrative process was established by the central government established control in the DCCs. As techno-structure member said *“You can’t expect democracy from administrators. Even during the elected mayors regime I have seen they have to keep strong political link with government. Otherwise, governance of the corporation is difficult (R.26)”*. The present situation is that both DCCs are being governed by deputed administrators. After four years of act amendments to improve governance, the government has been still been unable to elect mayors and councilors. Based on interview responses, government control and political motives appear to be the primary reasons behind the amendment of the corporation act in 2011. The corporation had elected the mayor from the opposition party, with whom the central government was unwilling to work. A few of the respondent’s perceived that the government was unwilling to hold new elections because it could not win the election. As one interviewee explained *“If an elected mayor takes office, the situation will be changed I*

hope, now its bureaucracy dominance and the space for participation is narrow for practical reasons (R.9)". However, the respondents expect democratic governance would be in reestablished if the elected mayors take their offices.

1.1.4 Capacity in leadership

Leadership has been identified as the process of reciprocal learning and empower participants to create common meaning toward shared purpose (Lambert et al., 1995). Capacity in leadership is the ability of leadership to engage its participants. The study found that during the elected mayor and councilor's regime, holding democratic elections was indicative of democracy. However, the leadership quality of elected leaders was also in question due to capacity constraints. One middle line interviewee said "*I believe democracy depends on the elected mayor and councilors. Presently their participation is weak for their lack of leadership skills (R.21)*". "*I saw the administration is powerful even when there was an elected mayor. There is a lack of administrative knowledge and leadership expertise among people's representatives, so they depend on the administration (R.16)*". According to another, "*Democracy depends on the leadership capacity of the corporation. Now the administrator leads the corporation (R.24)*". The elected mayor and councilors appears to lack knowledge of administration and expertise to lead their office. Owing to the lack of administrative knowledge, they had to depend on administrative officials for governing, policymaking and policy implementation. As a result, the administration dominates the overall governance structure as well as that of solid waste management.

1.1.5 Functional accountability

Ensuring accountability in governance is one of the important roles of democratic governance. In terms of DCC governance, standing committees oversee departmental affairs to ensure functional accountability. The practice of forming standing committees (SCs) in corporation meetings is important to oversee departmental affairs and ensuring accountability and transparency in governance. These committees are composed of different members chaired by people's representatives such as the mayor (ex-officio) or counsellors (nominated by the mayor). According to a strategic apex interviewee, "*The election of mayors and councilors is democratic. Governance at ward level is fully democratic. In the corporation, the standing committee's work are democratic in practice (R.13)*". However, the existing formation and role of standing committees (SCs) were found to be a barrier in ensuring functional accountability in DCCs governance. The formation of standing

committees depends on the political and administrative intention of the corporation leadership. In effect, the committees themselves are wedded to government interests, and concerned political parties. In practice, they play a very weak role in the governance process.

Existing governance limitations within the DCCs relate primarily to practical instead of conceptual frames for democratic governance. From a conceptual point of view, there are several provisions for democratic governance in the DCC and its solid waste management system. However, practical limitations such as delays holding democratic election, government control and bureaucratic dominance, lacking administrative and leadership capacity and weak functional accountability have rendered democratic governance insignificant. In spite of these limitations, democratic governance in the organization and solid waste management are improving. According to one interviewee from the strategic apex, *“Certainly democratic governance is here, because we work under the leadership of the people’s representative, though the present situation is different for the transitional period (R.14)”*. A middle line manager said *“Ward governance and the formation of standing committees are democratic. Every department has to report to the concern standing committees (R.17)”*. However, the effectiveness and efficiency of democratic governance appeared weak. According to one strategic apex member, *“There needs to be more time for democratic governance, which is now progressing. People’s representatives need to be more skilled about administration and leadership (R.12)”*. Based on the opinions of respondents from the strategic, middle line and techno-structure, some measures are required to make the democratic governance more useful in the context of the corporation and solid waste management. The needed measures include: continuation the practice of holding democratic election for the corporation mayor and counsellors; educating people’s representatives to improve their administrative knowledge and leadership; reducing central government control in administrative affairs, minimizing political interference in the standing committees (SCs) and creating a space for stakeholder participation in governance.

1.2 Dimension 2: Findings and analysis of inter-governmental relationships

Intergovernmental relations are one of the important factors in creating appropriate strategic perspectives on governance. Intergovernmental relations commonly refers to relations among central, regional and local governments, as well as government agent working in any level for attaining common goals through co-operation (Opeskin, 1988,

in Bello, 2014, p. 66). According to Thornhill's (2002) intergovernmental relations consist of all the actions and transactions of politicians and officials in national, sub-national units of government and state. Adamolekun (1986) defines intergovernmental relations as the interactions that take place among levels of government within a state. Wright (1988) sees intergovernmental relations as an interacting network of institutions to enable the various parts of government to cooperate in an appropriate manner for institutional arrangements. Benovertz (1980) and Wright (1972) identifies three models of intergovernmental relationships in practice: (i) Partnership or Overlapping-Authority Model; (ii) the Principal/Agent or Inclusive-Authority Model; and (iii) the Dual or Coordinate-Authority Model.

In a partnership or overlapping-authority model, the constitution and parliament usually delineate and regulate the activities of all levels of government. While some services and functions constitutionally belong to the central government, they are usually performed by local authorities (Bello-Imam, 1996, p. 93). In the Principal/Agents or Inclusive-Authority Model, the state and local governments are seen as means for locally administering centrally determined services. The local government cannot be regarded as 'government' but as a form of local administration in all practical senses. Within this model, the central government sees the local authority as spending its own money (Ayoade, 1988, p. 12; Bello-Imam, 1996, pp. 93–94). In the functional dualism or Coordinate-Authority Model, functional autonomy is usually emphasized. This model aims at coordinating the activities of all governmental units (Wright, 1972, p. 2; Egomwan, 1984).

Based on the above-mentioned concepts, the study defines intergovernmental relations as complex patterns of interaction, co-operation and inter-dependence between two or more levels of government to achieve goals in an efficient and effective manner. The pattern of this relationship depends on the nature of the governmental, political, cultural and administrative contexts. To explore these relationships, respondents were asked, "How does the DCC maintain its relationship with the central government". In addition, they were asked 'how and why does government control the DCC'. Though the study received multidimensional responses to the questions, the respondents typically agreed that the DCC governance is controlled and subservient for various administrative and political reasons.

The study coded responses under different groups to analyze the theme of intergovernmental relationships. The groups are: (i) government control, (ii) political interference and (iii) party belongingness of leaders. From the conceptual grounds of intergovernmental relationships, the study observed the local – central relationship to be in line with the Principal/Agents or Inclusive-Authority Model. However, from

practical grounds, the study also found the intention of inclusive authority model to have political purpose instead of administrative check and control in public money spending. As a result, the existing pattern of relationships with central government is a barrier to democratic governance, institutional capacity building and effective solid waste governance. The more specific findings are as follows:

1.2.1 Government control

Dhaka City Corporations (DCCs) maintain relations with the central government. The existing relationship between the DCC and government is analyzed from three perspectives: procedural, administrative and financial. From procedural perspective, the study found DCCs maintain formal and cooperative relationship with central government. According to one strategic apex members, “*Relations are very good. When I need the ministry’s cooperation, they cooperate (R.1)*”. “*I think the relationship is formal and good (R.3)*”. The relationship is formal and good relation in the sense the DCC is by ordinance considered an administrative unit of the central government, though it is autonomous body. Consequently, the corporation has a procedural and cooperative relationship with the central government.

From an administrative point of view, the DCC is dominated and controlled by the central government through legal requirements and procedures. One strategic interviewee said, “*The DCC is part of government. We follow government instruction and government cooperates with us too. For example, we are in a huge budget deficit and government is funding us (R.4)*”. A middle-line manager stated, “*I think the relationship is formal and bureaucratic. Sometimes for political reasons, we face a lot of complexity in getting money in time. Politics matters for purchases and tendering (R.19)*”. A techno-structure interviewee stated, “*I think there is a good relation between the DCC and government. By law the DCC is bound to follow government instruction (R.26)*”. These statements provided practical scenarios of the relationship between government and DCCs. Through bureaucratic processes and legal provisions, the central government dominates and control the behavior of the DCCs. The study found that the Local Government Engineering and Development ministry (LGED) is the central authority to facilitate, communicate and coordinate with the corporation. Though the DCC has functional autonomy by ordinance, it has to go through the ministry to mobilize resources, finances and coordination with other central government agents.

The DCCs have huge financial deficits. It depends on central government funding to facilitate its services. Procuring requires financial support, the DCC has to face bureaucratic and administrative domination of finance ministry and LGED as a result.

According to one interviewee, “*Government controls the corporation because the DCC is not self-sufficient (R.9)*”. For getting the required funding, the DCCs have to follow instruction in undertaking projects, formulating strategies, policies and management decision for implementations.

1.2.2 Political interference from the central government

From a political point of view, the DCCs have to serve the central government’s purpose and follow its direction in governing affairs. According to a middle line respondent, “*Government control the DCC for political motives. Government favors its party members for tenders, public procurement, projects and development work (R.15)*”. The DCC is, as one of the main urban local government agents, responsible for all basic service deliveries to Dhaka residents. The city includes seven parliamentary constituencies and there are seven directly elected members of parliament (MPs). Although MPs are directly involved in formulating laws in the parliament, they are also concerned with development work within their constituencies. According to another middle line respondent, “*Government is committed to serve the community as per their election manifesto. Government dominates the DCC for the benefit of the community and party as well (R.16)*”. The study found the general practice for MP’s facing reelection is to declare election manifestos and make promises for development projects during the election period. However, for developmental work and basic service deliveries in specific constituencies, MPs concentrate on the DCC. The central government guides and influences the DCC towards favoring their political agenda. One strategic apex member explained, “*To me the relationship is like subordination. The mayor or administrator serve government purposes and political agendas. Government controls everything (R.8)*”. The central government appears to use political interference to act as a push factor in maintaining the relationship between the DCCs and central government.

1.2.3 Party affiliation of DCC leaders

The study observed that political affiliation of DCC leaders affect the relationship between the DCC and central government. The mayor and counselors belong to political parties. They are also committed to development work in their community and favor their political fellows. According to one strategic apex member, “*It’s difficult to explain. Relations depend on politics. I face administrative difficulties for my work. But the mayor or administrator have a good relationship because they are working for government purposes (R.10)*”. The

interviewee belongs to the opposition party. For that reason, he has faced difficulties in governing his office and personal relationships. For development work, public procurement and purchases, the DCC has large financial commitments. For tendering, selecting the projects and development plans, they have to be aware of political favors. A middle-line manager expressed *“Politics matters for purchase and tendering (R.19)”*. For another, *“Political people lead this organization though presently there is no elected mayor. But its reality administrators must work for government, if not, tomorrow he will be replaced (R.20)”*. Responses tended to reflect the political agendas of their parties and a desire to use their power and positions for personal interest as well. Party belongingness is an important factor in the DCC relationship with central government. For other middle-line respondents, *“The DCC maintains administrative and political relations (R.21)”*. *“If the mayor belongs to the same political party, relations are okay because he will follow the government. Otherwise he will be in trouble and interrupted (R.22)”*.

The study finds that the central government influences the DCC for political, administrative, financial and historical reasons. From a local government perspective, Dhaka City Corporations are the biggest agents of urban government in Bangladesh. More than 15 million peoples live in the city. According to the Urban Administrative Unit of the People’s Republic of Bangladesh, the DCCs includes seven parliamentary constituencies. Historically, the Dhaka megacity is the oldest and most important city in Bangladesh. From socio-political and administrative perspectives, Dhaka has a huge impact on governmental power changes. As a result, the DCC is only nominally autonomous. One of the respondents from the techno-structure provided the following revealing statement: *“The mayor or administrator themselves maintain a subservient posture for government satisfaction. There are many purposes for government, and political parties stand to gain from them (R.25)”*.

From a conceptual perspective, the local–central government relationship in Bangladesh may be considered within the Principal/Agents or Inclusive–Authority models. However, the study found that influence and domination by the central government was for political purposes, not for administrative checks or controlling public spending. This dynamic is also a barrier to improving the institutional capacity of the DCCs and Solid Waste Management. For building effective strategic capacity and efficient governance, the DCC requires a cooperative, coordinated and organizational relationship with central government. The study recommend that reducing administrative and bureaucratic dominance of central government; ensuring the regulatory, functional and financial autonomy of corporation; extending central government cooperation with partnership and coordinating approaches; reducing

political interests and central government interference and building the leadership capacity of corporate administrators would improve the situation.

1.3 Dimension 3: Findings and analysis of interdepartmental relationship

Inter-departmental relations is an important factor in ensuring the efficiency of governance and effective service delivery. For Okereka (2015), inter-departmental relations involve a pattern of cooperation among various units of the administrative structures. Contemporary systems theory (Bertalanffy, 1966; Schein, 1980; Wiener, 1967; Mattessich, 1978; Easton, 1965) assumes any system is greater than the sum of its parts. The output of the whole organization depends on the output of its parts. According to Schein (1980, p. 14), a system is composed of regularly interrelating or interacting groups of activities. He argues that complex social systems restricts the overall effectiveness of organizations. In the DCC case, the efficiency and success of the organization as a whole depends on the interdepartmental relationship of the units within it. Respondents were asked, 'how would you describe the interdepartmental relationship of the DCC?' Responses varied. While all interviewees acknowledged the need for formal relations, they believe it is complex in nature and trust between DCCs and central government is lacking. Higher-level strategic apex members in most cases viewed the relationship as satisfactory and cooperative. Middle line and techno-structure members on the other viewed the relationship in practice as complex and conflicted. Responses were coded into different groups, such as the nature and mode of the relationship, and factors determining said relationship. A detailed analysis follows below.

1.3.1 Nature and mode of relationships

Official inter-departmental relation is formal, good and cooperative. The relationship is complex and conflicting in practice, however. Relations between departments are only cooperative because of similar official intentions, political and personal purposes. Three of the strategic apex members confirmed: "*Relation are not so good, not so bad. Some departments over exercise their power due to corruption, by blocking files, for example (R.6)*". "*We face bureaucratic complexity. We have to deal them anyway (R.7)*". "*There are some conflicts and process complexity such as blocked files, not releasing finances timely from accounts. There are billing problems of public procurement issues. I had to handle them (R.10)*". Such statements indicate that factors like power exercising, conflicts, lack of trust regarding official duties and

corruption add layers of complexity to DCC governance processes. Regarding interdepartmental relationship, a techno-structure interviewee stated, “*Officially every department is cooperative. Sometimes it’s difficult but we managed anyway* (R.25)”. In practice, official files do not move normally from one department to other. Departments are unwilling to share information. Every department exercises their power independently and they are unwilling to push others to make progress. Customers always lobby to transfer files to their desired decision. A middle line interviewee stated that relations are “*Sometimes conflicting and complex. Sometimes good and cooperative but it depends the situation. They don’t want to trust each other* (R.14, 19, 20, 21)”.

Higher-level strategic personnel do not agree with the assessment. According to their opinion, interdepartmental relationship is formal, good and cooperative. They said “*Ami Shontushbo (I am satisfied). We work as family. I do not find any conflict. Everyone is working well* (R.1)”. “*Relations are good and cooperative. Everyone is working satisfactorily* (R.2)”. The reality appears to be different, however. Nevertheless, some of the members of strategic body agreed there is governance difficulties because of politics, administration and corruption. Middle-line managers and members of the techno-structure stated that interdepartmental conflicts exist among the departments for a number of reasons.

1.3.2 Factors determine the relationship

Interdepartmental relations in the Dhaka City Corporations depend on administrative and political factors. Two middle-line interviewees expressed that relations between departments may look good but there is a lack of trust. “*Relation are good. However, sometimes we see complaints against some departments. Relations depends on some factors; political identity and administrative favor* (R.15, 16)”. Though departments officially maintain cooperative and formal relations, administrative and political factors influence the relationship. Middle line interviewees explained, “*Relations are of course cooperative. Nevertheless, sometimes there are departmental conflicts. It may be administrative or political* (R.17, 18, 24)”. The political affiliations of officials and administrators appears to have a strong effect on the nature of departmental relations. Those who belongs to the same political party have cooperative relations and those who belongs other parties face additional challenges.

Interdepartmental relations in Dhaka City Corporations are conflicting and complex. This is because of a lack of trust, political interests, bureaucratic power, and corruption. Existing interdepartmental relations lead to inefficiency of the overall governance of the organization and ineffective service delivery of solid waste management. The Dhaka City Corporations need to ensure effective working relations among its

interdepartmental. This can improve the efficiency of governance and service delivery in solid waste management.

1.4 Dimension 4: Findings and analysis of community relationship

Community is a social construct. It is one of the core concepts of sociology (Speller, 2006; Laverack, 2004; Jewkes & Murcott, 1996; Konig, 1968). Different scholars have different understandings of community (Gatter, 1999). Laverack (2004) stated that community has four characteristics: (i) geographical dimension (place or locale); (ii) non-geographical dimension (interests or identities), (iii) social interactions that bind people into relationships and (iv) identification of shared needs and concerns. To him, the term 'community' applies to groups with shared geography, shared identity or shared aims. It is important to explore which of these boundaries people use to separate themselves from other communities. According to Korff (1996, p. 297) community is limited to a small cluster of neighbours who cooperate with each other. Bender suggests four characteristics of a community: (i) limited membership (ii) shared norms (iii) affective ties; and (iv) a sense of mutual obligation (Cited in Streeten, 2002, p. 21). The above definitions suggest that the community refers to an interacting section of population living within a particular territorial space that shares common interests.

In this study the term 'community' refers to people of a particular urban territory, who share not only common interests but are also bonded together through social, political, organizational and cultural ties. The scope for participation is important in building the relationship between the community and the DCC. Blair (2000, p. 23) has identified a consequential formula of participation; that is, participation leads representation, representation ensures empowerment and empowerment gives benefits for all. Norman Uphoff (1987) considered civic participation to be a process involving a significant number of persons in situations or actions that enhance their wellbeing. The idea of community participation is thus considered by this study as local autonomy, in which the community has scope to exercise their choice and to manage their own development.

The informants were asked two questions towards understanding the community relationship: 1) 'How does DCC contact and serve the community?', and 2) 'What gaps exist between strategies and service deliveries in the community?' They had different views on the existing relationship of DCCs with the community. However, they agreed that the DCCs would not be able to establish a strong relationship with the community because of a lack in community participation in deciding the scope, nature and approach

of service deliveries. In practice, the DCCs follow the traditional bureaucratic process and attitudes in implementing projects, programs, services and contacts at community. For analyzing the opinions of respondents, the study coded different groups such as (i) legal bases of contact; (ii) forms of community contact; and (iii) strategic gaps in community contact. The study explored the followings characteristics of community contact:

1.4.1 Legal basis for community contact

The study found that the DCCs mainly contact the community through the ward – community level office. The basis of community contacts are DCC acts or ordinances, policy guides, existing strategies and in some cases management decisions. Strategic level respondents stated, “*We base on actions, policies and management decisions. The DCC contacts the community through the ward for service (R.1, 3, 4)*”. A middle line manager explained, “*We follow policy guidelines, authority instructions and plans through official processes. The ward is main contact point in the community (R.15, 18)*”. The city is divided into 90 wards for community services. Each Ward has one elected ward counselor. Councilors contact the community and the community contacts the wards if they need any services. According to middle-line interviewees, “*Ward councilors look after community needs. The people also contact ward as they require (R.16, 19, 22)*”. From the service delivery perspective, the Dhaka City Corporation still has not established any mutual relationship with the community.

1.4.2 Forms of community contact

The most common forms of contact with the community in the wards are issuing public notices and formal letters for personal cases regarding community issues. Members of the community also contact wards to file complaints about community problems, although this is a complicated process. For community awareness building, the DCCs publishe citizen charters in national newspapers each year and telecasts various advertisements on issues of public importance to make the people aware on their rights and the services available in the DCCs. Strategic interviewee explained “*For awareness, the DCC issues public notices, makes media advertisements, sends personal letters and publishes citizen charters in newspapers (R.1, 3, 4)*”. From 2013, the DCCs have also provided digital contact systems such as email for emergency matters. The DCCs have also installed a web-based application system for birth registration certificates and tendering activities. A middle-line respondent stated, “*The DCC has now some e-services options but its use is in doubt because*

of a lack of awareness (R.16, 19, 22)". The DCCs have also published citizen charters, available services and rules in public websites. However, the study found that web-based contacts and the digital application system is not yet popular.

1.4.3 Strategic gaps in community service

Almost all of the respondents expressed that the DCCs have large policy and strategic gap. This includes finance, resources, logistics, as well as the required skills for effective service delivery. A strategic apex member confessed that "*We need more policies or strategies, we are working on them (R.1, 3, 4)*". Present acts and policies do not mention anything about the nature of community relationships and contacts. Instead, they facilitate various services such as solid waste management based on mostly management decisions. According to the middle-line managers, "*We follow policy guidelines, authority instructions and plans through official process (R.15, 18)*". Techno-structure respondents acknowledged the problem: "*Service is a dream for the community. However, there is resource crisis. Policy gaps are huge but politics is the barrier (R.25)*". "*Finance, resources and logistics are very limited regarding the needs of service delivery (R.26)*". From 2010 the Ministry of Environment has been working on drafting a national strategy for solid waste management. With the financial assistance of the European Union, the National 3R (Reduce, Reuse and Recycle) Strategy for waste management has already been drafted. It is now in a pilot program in DCC North and seeks to improve the capacity for solid waste management. This strategy paper has clear guidelines for community contact and service deliveries.

In sum, the present system of community contacts and service delivery follows traditional patterns, much like other public organization. However, appropriate strategies and policy guidelines would build a participatory community relationship and ensure effective service deliveries at the community level.

2 Conclusion: Blocked strategic perspective

The existing strategic perspective is a great hindrance for institutional capacity building in the DCCs as a whole. The specific dimensions; democratic governance, intergovernmental relation, interdepartmental relation and community relationship uncovered the character of existing strategic perspective in the governance of DCCs. From a strategic perspective, it is essential that the organization is able to formulate and

implement contextually suitable strategies, policies and management decisions. The meaning and role of the strategic perspective in DCCs is yet realized by the authorities. Through understanding the above findings and analysis on strategic perspective, the study concludes as follows:

The existing limitations of democratic governance in the DCCs are more practical than conceptual. From a theoretical perspective, there are democratic governance provisions. Civic participation in mayoral and councilor elections, democratic leadership in strategic apex to formulate policies and strategies and peoples representation in standing committees are designed to ensure departmental accountability. However, the practical scenarios is different. Central government have suspended democratic elections, which limits civic participation. Government control and bureaucratic dominance of the democratic leadership impedes the strategic apex, while a lack of administrative knowledge and leadership capacity among people's representative weakens the effectiveness of standing committees. In terms of promoting the strategic perspective, the practice of democratic governance needs to be useful.

The DCCs maintain a subservient relationship with the central government. For effective service deliveries and efficient governance, intergovernmental relations with local authorities should be cooperative and coordinative. However, the study found that central government controls and influences on governance of DCCs as one of its administrative units follows the inclusive authority model. There are political, administrative, financial and historical reasons behind this. The existing relationship between the DCCs and central government is a barrier to creating an appropriate strategic perspective for improving institutional capacity.

The Interdepartmental relationships of organization significantly impacts the efficiency of governance and service delivery. The findings and analysis of interdepartmental relationship concludes that interdepartmental relations in the DCCs is conflicting and complex in nature because of a lack of trust, political interests, bureaucratic dominance and corruption. Existing departmental relationship patterns affects the strategic perspective and limits performance in governance and service delivery. The Dhaka City Corporations need to ensure effective working relations among its interdepartmental, which will be beneficial for creating a strategic perspective in the DCCs in the long-run.

An appropriate strategic perspective should prioritize mutual and participatory community relationships for better service deliveries. The findings and analysis on the community relationship suggest that the DCCs lack the appropriate community relationship, which renders service deliveries ineffective. In practice, the DCC is more focused on maintaining its privileged position than improving service delivery. The

existing relationship with community negates an appropriate strategic perspective in DCC governance. The study identifies the absence of appropriate policies, strategic guidelines and a broad resource crisis as the major reasons for the existing relationship.

VII

QUALITATIVE ANALYSIS OF STRATEGIC PRACTICES

1 Theoretical discussion on strategic practices

Strategic practices are important in any organization. According to the Yarger (2006, p. 1), “strategy is the calculation of objectives, concepts, and resources within acceptable bounds of risk to create favorable outcomes”. Strategy assesses the configuration of resources, process and systems in organizations (Sotarauta, 2004). Mintzberg (1996) suggests that strategy relates to plans, ploys, patterns, positions and perspectives (Leibovitz et al., 2001, p. 4). Strategy has a significant role in achieving organizational missions and ensuring effective governance. Rumelt (1979, p. 196) treated strategy as a contextual concept which is concerns with the adjustment of specific policies to particular situations. According to Potucek et al. (2004), strategic governance can be understood as a dynamic process of the creation of policy, politics and administration.

Strategy in practice explains how managerial actors perform the work of strategy, both through their social interactions with other actors and with recourse to practices within a specific context (Hendry, 2000; Whittington, 1996 and 2002). Strategic practices are also seen as predicated on continuity in patterns of strategic activity (Cyert & March, 1963; Nelson & Winter, 1982). Strategic practices are those habits, artefacts, and socially defined modes of acting, through which the stream of strategic activity is constructed (Turner, 1994; Whittington, 2001). Strategic capacity determines how an organization acts for strategic practices for the success of its policies.

‘Strategic capacity’ has been defined as a ‘strategic capability.’ It refers to the ability to make decisions about on what to focus and setting the strategic direction for development efforts (Sotarauta 2004, p. 46). Sotarauta (2004) identified five strategic capability indicators. (i) Defining strategies and visions in collaborative processes. (ii) Bringing to the fore a vision of a different future and transforming these visions into focused strategies and actions. (iii) The ability to transform crises into something constructive. (iv) Launching the right processes, and managing and leading them persistently. (v) Correctly timing development work; and (vi) having ambitious objectives. A study of urban governance in Britain identifies the following elements of

strategic capacity in urban governance: (i) The process by which the individual organization learns. (ii) A shared understanding and common conceptions of problems. (iii) The mobilization of common conceptions and understanding in the process of agenda setting. (iv) The capacity to engage in action consistent with evidence-based policy goals; and (v) the ability to engage in strategic learning by monitoring and evaluating policy outcomes (Leibovitz et al., 2001, p. 10).

Based on the above conceptual understanding, this study perceives strategic practices as (i) the process of strategic formulation, implementation and evaluation; (ii) leadership in strategic decision-making; and (iii) the relationship between strategic decision makers. Respondents were asked three questions relating to strategic practice: “how does the DCC formulate, implement and evaluate its strategy”? “How are decisions made and implemented in the DCC”? “What is the relationship among decision makers?” The respondents provided diverse views about strategic practices, including the pattern of decision-making and their relationships. Their opinions were mostly superficial. The study finds that the issue of strategic capacity is not well understood owing to the traditional nature of the bureaucratic process.

1.1 Dimension 1: Findings and analysis of process of strategic activity

Understanding strategic activities is important to understanding strategic organizational capacity as a whole. Whittington (2001) describes the strategic process as, making organizational structures take rational strategic decisions. From the practitioners’ viewpoint, a strategy reflects the strategic planning process (Aaltonen et al., 2001; Näsi & Aunola, 2001). Strategic planning has also been described as the process which includes scanning the environment, assessing strengths and weaknesses, establishing the goals and objectives of the organization in relation to its strategy (Armstrong, 1982; Grant, 2003; Reid, 1989).

This study considers strategic processes in organizations as the process of strategy formulation, implementation and evaluation. In practice, these processes are interdependent and interrelated. Strategy formulation requires governance to be goal-oriented. According to Alexander (1991), strategy is formulated by one group and implemented by others. According to Nutt (1986) “strategy implementation is a procedure directed by a manager to install planned change in an organization”. Strategic evaluation is the process of evaluating inputs and feedback for new strategic planning, strategic appraisal, and development of the strategic management process through assessing the validity of existing strategic choices.

Mindful of these concepts, the study asked respondents “how does the DCC formulate, implement and evaluate strategy”? The respondents provided diverse views on strategic governance practices in the organization. Their opinions were found mostly superficial relative to the conceptual framing of the concept. The study finds that the issue of strategic capacity is poorly understood because of the traditional bureaucratic process. However, the study nevertheless identified common strategic perspectives among the respondents. Their responses clearly reflect the notion that the strategic perspective of DCC depends on factors such as democratic governance, inter-governmental relations, inter departmental relations and community relations.

When analyzing the opinions received from respondents, the study coded the theme of strategic governance under the groups (i) process of strategic decision and implementation, (ii) strategic evaluation process, (iii) participation and innovation in strategic decision, (iv) factors influencing strategic decisions and (v) strategic cohesion. Overall, responses were factual and illustrative of strategic practices in governance of DCCs. The specific findings are as follows:

1.1.1 Process of strategic formulation and implementation

The study found the process of strategic formulation and implementation in governance of DCCs is guided and dominated by the traditional bureaucratic structure. Per DCC ordinance, there is a provision for the democratic strategic apex to formulate strategy led by the corporation mayor or leader ex-officio. The strategic apex comprises of members from a category of higher officials (bureaucrats) and people’s representatives. Higher officials act as members of the strategic apex ex-officio. The chair of the strategic apex selects the councilors (people’s representatives). Formulated strategies are implemented through the concerned department. One strategic apex member stated, “*Strategy formulation and implementation follow set process. For donor-funded projects, we have an external evaluation system. Internally we review annual reports and audit reports (R.5)*”. From this statement it evident that for strategy formulation and implementation, the DCCs prioritize established bureaucratic processes.

According to the existing act and policies, DCCs provide both top-down and bottom-up approaches for strategic decision-making. One strategic interviewee said, “*Both bottom-up and top-down process are followed in strategy formulation. Normally the top-down practice is most frequent (R.11)*”. By using a top-down strategic approach, initiated strategies are guided and dominated by the top authority and central government. Formulated strategies in most cases do not reflect the needs of DCCs.

Regarding bottom-up strategic practice in the DCCs, a middle-line interviewee stated *“Normally I initiate or seek ideas from my team if a new strategy needed for our department. Later on, I personally discuss with higher authorities and they approve the strategy if it is considered appropriate. For broader strategies we are sometime asked, sometimes not if I am concerned (R.16)”*. The statement suggest that strategy is initiated at the bottom by the concerned department only in a specific context. Instances of bottom up strategy development are rare in the DCCs. A techno-structure interviewee stated *“Internally, the DCC follows official processes in strategy making. For example sometimes a top to bottom approach is used and sometimes bottom to top. The bottom to top process to me is representative for departmental needs (R.26)”*.

Formulated strategies are instructed by the mayor to be implemented through concerned departments. The relevant department then implements the strategy via an action plan. According to a middle line manager, *“We implement strategies as instructed by the authorities. There probably is evaluation criteria, but I do not know what it is (R.23)”*. Strategies are ineffectively implemented owing to both political and financial factors. A strategic member stated, *“Implementation depends on instruction and money. Program and audit reports are presented by the concerned department (R.13)”*. Due to financial constraints, a lack of institutional capacity, resources, skills and logistics, internal and external strategies often are not implemented effectively.

1.1.2 Process of strategic evaluation

From a theoretical standpoint, strategic evaluation is significant because it explores policy gaps and gets feedback for policy adjustment. Strategic evaluation helps to understand the success and impact of implemented strategies in governance. Regarding strategic evaluation, one interviewee said there was no set evaluation mechanism. *“Nevertheless, every department produces reports to authority; this may be constitute an evaluation system. But I have doubts as to how honestly reports are prepared (R.26)”*. It seems clear that there is no mechanism for strategic evaluation in DCC governance, despite the fact that they are responsible for formulating and implementing governance strategies. Many of the DCC’s policies, strategies and rules discussed in chapter IV have remained unutilized for a lack of resources and financial crises. Members of the strategic apex, techno-structure and middle-line explained respectively: *“The question of evaluation should come after strategy implementation. It’s true, we can’t implement all strategies because of budget crisis and other limitations including capacity constraints (R.12)”*. *“Off the record, no body care about evaluation. Implementation still a problem for various political reasons and corruption (R.25)”*. *“We try to implement strategies as best we can and make reports to the higher authority. The authorities are responsible for evaluation (R.24)”*. Strategic evaluation is clearly not an issue deemed

important for institutional capacity building in the corporation. Generally, the strategic apex understood the strategic implementation situation through projects and program reports. Only for donor funded projects, the DCC has a provision for external evaluation. However, in all cases appropriate strategy is essential for institutional capacity building. Strategic evaluation would improve strategy formulation as well as increase the likelihood of successful policy implementation.

1.1.3 Participation and innovation in strategic practice

Participation and innovation in existing strategic decision making is still insignificant in the governance of DCCs. Formulated strategies and decision-making typically follows a top-down approach, which does not encourage the effective participation of members. The established administrative culture in the apex is that placed strategies are not examined systematically, but approved on an ad hoc basis. For practical reasons, members of apex do not criticize the proposed strategy in meetings. One peoples' representative who acts as a strategic apex member said *"Yes, strategies are proposed in meeting and the mayor or administrator briefs us. We approve whatever they want. I have no experiences off seeing strategy proposals come back for changes after meetings (R.6)"*. A techno-structure respondent stated; *"Internally the DCC follows official processes in strategy making. Sometimes it is a top to bottom approach and sometimes bottom to top. The bottom to top process to me is representative for departmental needs (R.26)"*. Since the DCCs mostly follow the top-down approach in strategic decision-making, there is no scope for critical discussion and inputs from participating members. The top authority drafts strategies and proposes them in meetings for maintaining the procedural and legal approval of the apex.

The DCC does on occasion follow a bottom-up strategic approach if the situation demands. Two middle line managers stated, *"I have been involved in a few bottom up strategic processes, but mostly strategy depends on the higher authority (R.20)"*. *"Normally I initiate or seek ideas from my team if a new strategy needed for our department. Later on, I personally discuss with the higher authority and they approve it if they consider it appropriate. For broader strategy we are sometime asked, sometimes not if I am concerned. (R.16)"*. In a bottom-up approach, there is more scope for sectoral representation and expert opinions, though top of the apex is final to decide.

Interviews confirm that as urban government agent, DCCs still do not have particularly innovative processes regarding strategic practice to encourage the participation of stakeholders towards mobilizing the common understanding and conceptions on evidence based policy goals. The practice of bottom-up approach would encourage the participation and innovation in strategic practice. This will in turn benefit the institutional capacity building of DCCs.

1.1.4 Factor influencing strategic practices

Political, administrative and personal interests dominate the strategic practices of DCC governance. According to strategic respondents, *“Not everyone is the member of the apex. The mayor decides the members (R.12)”*. A middle-line interviewee stated, *“I am not eligible to participate in every strategic meeting. The authority decides whose concern is. If I am invited, I attend. Normally a meeting is for formal approval, not for discussion on the issue. Concerned people finalize strategy through the direction of the mayor and administrator (R.21)”*. The strategic apex is composed of different sections of group members, including people’s representatives and higher officials. The mayor or leader of the DCC is the sole authority to choose the members, especially from councilor category (people’s representatives). The mayor or administrator select members by considering mostly political and administrative factors. Consequently, selected member behave according to the desire of the chair of the apex. Strategies proposed in meetings are typically approved without any disputes.

In addition, DCC has to follow the instruction of central government or concerned ministries in strategic formulation. Another interviewee said, *“Political favors and corruption are also factors in strategic practices (R.25).”* Interviewed respondents did not have any experience in participation of critical discussion and inputs on placed strategies in the apex meeting. The established tradition is that the mayor of the DCC acts as a chair of the strategic apex places and briefs the meeting on the strategies, while the apex approves it.

1.1.5 Strategic cohesion with other external strategies

The DCCs have to follow strategies made by central government agents related to the environment, water, sewerage, health and so on. In chapter IV, the study provided a list of available strategies and policies for other agents with which the DCCs have to comply. A strategic apex interviewee explained, *“We follow internal strategies formulated by the DCC apex and external strategies formulated by Government through concerned ministries and specialist committees. Internal strategy formulation is participatory (R.4).”* Another strategic respondent stated, *“For solid waste management, we follow the strategy made by the Environmental Ministry (R.2).”* The DCC has been implementing a pilot project for capacity building in solid waste management. This project was initiated by the Ministry of Environment with European Union funding for assessing the draft National 3R Strategy for Waste Management. The strategy drafted was in 2010 by a specialist committee of the Department of Environment under the Ministry of Environment and Forests.

The DCCs as urban government agent are responsible for basic service delivery in Dhaka. For rendering and facilitating services, the DCCs must coordinate with central government agents. In addition, the DCCs have to comply with other relevant strategies for implementing and delivering its services. The DCCs do not have any strategy for coordination with other agents working in the DCC areas. Coordination problem is a big challenge for efficient governance and effective service delivery. In addition, DCCs lack the strategic cohesion to comply with other external strategies. This results in some cases of strategic conflict among working agencies.

Strategic practices in DCC governance is less emphasized regarding strategic capacity building. The existing strategic formulation process lacks focus, strategic implementation, strategic evaluation for policy learning, participation, innovation in strategic decision. Government control and political interference in strategic decisions contribute to the lack of strategic coherence. Institutional capacity building in any organization requires an appropriate strategic capacity. The DCCs are not an exception. The DCCs should concentrate on bottom-up strategic approaches towards mobilizing common understanding and concepts, and encourage innovative and participatory strategy formulation through democratic practice in the decision making process of strategic apex. Focusing on developing a strategy that the situation demands and creating the commensurate capacity in the strategic apex is critical.

1.2 Dimension 2: Findings and analysis of decision-maker relationships

Decision-making is one of the most important parts of management activities (Drucker, 2010; Mintzberg, 2008; Simon, 1997). For Drucker (2009, p. 27), “Most discussions assume that only senior executives make decisions... This is a dangerous mistake... Making sound decisions is a crucial skill at every level in the organization.” Employees in an organization have particular roles in decision-making at every level (Luenburg, 2011, p. 1). Every organization makes types of different decisions in governing its affairs. These include operational decisions, administrative decisions and strategic decisions (Mintzberg, 1979, p. 59). Strategic decisions by definitions have a significant impact on the organization (Mintzberg, 1979, p. 60). According to Mintzberg, strategic decisions set off waves of other decisions in the hierarchy.

The study of strategic decision-making has long been of interest to both scholars and executives (Ireland & Miller 2004). Strategic research literature describes strategic decisions from two perspectives; content and process. Dean and Sharfman (1996, pp. 379–380) highlights how a number of scholars have understood strategic decisions:

“Committing substantial resources, setting precedents, and creating waves of lesser decisions (Mintzberg et al., 1976), ill-structured, non-routine and complex (Schwenk, 1988); and substantial, unusual and all pervading (Hickson et al., 1986)’. According to the Pettigrew (1992), strategic decisions depends in both inner (psychological, structural, cultural and political factors) and the outer (competitive) context of the organization. Strategic decision-making is different from the routine or operating decisions of an organization. The main purpose of strategic decision-making is to deal with the configuration and utilization of organization’s resources towards the effective implementation of organizational policies.

Strategic decision-making has notable impacts in the performance of governance as well as expediting institutional capacity building. However, the question is, how contextually appropriate are strategic decision made by the top management? The answer depends on the relationship among decision makers. Strategic decisions reflect how top management interacts between the organization and its environment. They show how an organization manages this relationship (Ginsberg, 1988).

Based on the above conceptual grounds, this study explores the context of strategic decision-making and their relationship in the DCCs. Respondents were asked two questions: “How are decisions made and implemented in the DCC?” and “How would you describe the relationship between decision makers?” Responses were varied. The overall findings suggest that existing decision making processes do not prioritize contextual strategic facts due to the bureaucratically controlled process focus. DCCs practice in policy and strategic decision-making reflects operating and administrative decisions. The study categorized the respondent’s opinions and coded into three groups; (i) bureaucratic decision processes, (ii) controlled and guided strategic decisions and (iii) nature of decision maker’s relationships. The findings are as follows:

1.2.1 Bureaucratic decision processes

Strategic decisions are made by the strategic apex of DCCs following a set process. Strategic decisions are more process-focused. They typically do not consider the strategic context of the organization. One strategic apex member stated, “*We go through a formal process and discuss the best decision. Implementation has also process they follow (R.1)*”. According to one middle-line manager, “*There is an administrative process for decisions. Sometimes it is bottom-up and sometimes top-down. It depends on the authority (R.15)*”. Routine or operating decisions are taken following the bureaucratic process like other public organizations. “*For routine decisions, the file is initiated in the concerned department and goes to up. For strategic decisions, the top authority asks to initiate then goes to the mayor through the audit, finance*

and planning department. The chief executive officer's office checks the proposal. It is then signed by the CEO and sent to the mayor for a decision (R.16)".

Responses suggest that strategic decisions considered routine administrative decisions. However, decisions depend on the top management. For routine administrative decisions, the concerned department initiates the file following a bottom up approach. Initiated files go up through the process for approval and down for decision implementation. For strategic decisions, the top authority follows a top-to bottom approach.

In some cases, for issues of public importance, the mayor or authority requests the concerned department to initiate a strategic decision-making process. Initiated files follow the same bureaucratic decision making process for implementation. A techn-structures interviewee stated, "*The mayor or administrator is the main authority to make decision but the process is followed (R.26)*". The mayor or administrator is the sole authority to take decisions. The DCCs do not have a provision for participatory decision-making or decisions made by a group.

1.2.2 Guided and controlled strategic decision

Strategic decisions in the DCCs are generally guided and controlled by the central government and bureaucrats. Strategic practices in the DCCs are no different from routine operating practices. According to one strategic apex member, "*Decision making is done through top-down and bottom up process. The process depends on the situation (R.3)*". "*The top authority takes decisions based on the guidelines of higher officials and instructions of government. Sometimes, political commitments by the mayor and his party guide the decision (R.6)*".

These responses suggest that authority depends upon central government perceptions, desires and instructions, the political agenda; and in some cases internal organizational interests. As a result,, the purpose of strategic practice is ignored organizational demand is not actualized. According to another strategic interviewee, "*The higher authority takes decisions. Relations among them looks formal, but they are very informal. Decisions depend on purpose (R.9)*." For whatever decision is taken there appears to be a purpose. However, a purposive decision can neither ensure participation nor ensure efficiency in governance. Consequently, existing strategies have not been able to utilize those resources for successful governance.

1.2.3 Nature of decision maker relationships

The conceptual discussion examined how strategic decisions by decision makers are influenced by their organizational relationships. Existing practices in strategic decision making suggest that such relationships depend on various factors. A strategic apex interviewee stated, “*Decisions depends on their purpose (R.9)*”. For one middle-line respondent, “*Whatever the process does not matter. Decision depends on politics factors and government directions (R.24)*”. For one respondent from the techno-structure, “*Policy or strategy decision comes from top as they want (R.25)*.”

Strategic decision makers appear to maintain mostly informal and cooperative relationships with the central government. Middle line managers explained that decision process and decision makers’ relations depends on the situation. “*The situation depends on politics, governmental purpose and internal affairs (R.21)*”. An interviewee from the techno-structure said “*The relationship is administrative certainly but sometimes it may be political and informal (R.26)*”. Strategic decisions appear to be influenced and dominated by factors like political affiliation, government instruction and the purpose of the apex members. However, administrative and operational decision makers maintain an impersonal and formal relationship. They in some cases also maintain an informal relationship for political, administrative and personal reasons. As one respondents explained, “*Higher authority takes decision and relations among themselves. It looks formal but really it is informal. The decision depends on purpose (R.9)*”. The direct effect of this arrangement is that the DCCs cannot play an autonomous role in taking strategic decisions towards increasing its strategic capacity.

The above findings and analysis draws a conclusion that decision in strategic issues is practiced in DCCs like other practices of routine and managerial decisions. The major findings were; strategic decision-making is highly process-focused instead of context and content of the issues; decisions are guided and controlled by the central government through the strategic apex; decision maker relationships are influenced by factors like politics, power, favoritism and corruption. As a result, strategic practices are not considered important in the DCCs as a tool for increasing strategic capacity or institutional capacity as a whole. Decision makers maintain informal and purposive relations in taking strategic practices. Democratic decision-making processes are vital for institutional capacity building for creating innovative waves of organizational decisions. Strategic decision-making needs to be prioritized in this context.

2 Conclusion: Strategic practice is emphasized less for capacity building

The overall conclusion is that the Dhaka City Corporations do not properly understand the meaning and role of strategic practices or its potential to increase institutional capacity. From a theoretical perspective, strategy determines organizational resources. It affects policy formulation, implementation and organizational policy goals. Strategic practice is a continuous process of strategic formulation, strategic implementation and strategic evaluation. Strategic practices should prioritize democratic processes in order to foster innovative and appropriate strategic decisions. An appropriate strategy would increase strategic capacity and facilitate institutional capacity. Strategic practices in the overall governance of the DCCs is less emphasized for the followings reasons: (i) the practice in strategic decision making processes is based upon a traditional bureaucracy and focused on administrative processes; (ii) decisions are influenced by various factors and (iii) decision maker relationships are informal and purposive. Existing strategic practices result in inappropriate strategies and impractical decisions. This leads to inefficient and ineffective service delivery.

Existing strategic decision-making process de-emphasizes democratic participation of strategic apex members. Instead, the top-down approach for strategic formulation is favored. Strategic implementation depends on finance and central government instruction. Strategic formulation lacks strategic evaluation. Policy learning, government control and political consideration for strategic decision and lacking strategic lack coherence with other public agents. Findings suggest that a bottom-up strategic approach which encourages democratic strategy formulation, prioritizes participation for appropriate contextual strategic decisions and focuses the strategic evaluation to learn for new policy and strategies would increase the strategic and institutional capacity of the DCCs.

Strategic decision-making in the governance of DCCs is guided and controlled by the central government and bureaucrats. The DCCs do not acknowledge the importance of contextual strategy formulation and implementation in achieving policy goals. There is no strategic evaluation mechanism in the DCCs. Instead, the higher authority determines strategic decisions following a top-down approach. These decisions are legitimized in the strategic apex by a formal approval process, but they are typically approved without any inputs or critical discussion.

Strategic decision makers maintain an informal and purposive relationship among themselves. Factors like power, political identity, personal favors and corruption determine the relationship between decision makers in practice. The selection of the

strategic members depend on the corporation leader or mayor as ex-officio chair of strategic apex. In selecting the members, the chair prioritizes government expectations, and political and personal favors. Members of the strategic apex behave according to the expectations of the top authority of the strategic apex. Democratic selection of strategic apex members, the provision of participatory decision making and prioritizing the contents and context of strategic decisions would ensure an impersonal and effective working relation among decision makers in the DCCs. This would improve the DCC's institutional capacity in general and strategic capacity in particular.

VIII

QUALITATIVE ANALYSIS OF INSTITUTIONAL CAPACITY PERSPECTIVE

1 Theoretical discussion of institutional capacity

The available literature on institutional capacity described the institutional capacity is mainly concerned with empowerment, social capital, and an enabling environment in organization including culture, values and power relations (OECD, 2000; Fukuda-Parr, 2002; GEF-UNDP, 2000). According to Agenda 21 (UNCED, 1992), capacity building ‘encompasses... human, scientific, technological, organizational, and institutional and resource capabilities’. In this understanding of the concept, the fundamental goal of capacity building is to enhance the ability to evaluate and address crucial questions related to policy choices and modes of implementation among development options. New thinking about institutional capacity focuses on the webs of relations involved in urban governance. Such webs interlink government organizations, the private sector, voluntary organizations and those in any way involved in governance; that is, collective action (Healey, Magalhaes, & Madanipour, 1999, p. 119). Brown (2004) considers intra organization development a key factor for institutional capacity building. According to this understanding, the key determinant of the nature of institutional practice are the relationships within an organization.

Institutional capacity is clearly a broad concept. It relates to resource (structural, financial and technical) capacity, policy capacity and learning capacity in organizations. The study has understood and operationalized the idea of institutional capacity as organizational capacity, policy or strategic capacity and learning capacity.

1.1 Dimension 1: Findings and analysis of organizational capacity

Organizational capacity is the ability of organization to fulfill its goal (Eisinger, 2002, p. 117). Gargan (1980, p. 652) explained organizational capacity as the ability of an organization ‘to do what it wants to do’. Ingraham, Joyce et al. (2003) argue that organizational capacity is concerned with “the extent to which a government has the

right resources in the right place at the right time”. Still there is no consensus in the literature about the constitution of organizational capacity. The concept has been interpreted from three perspectives. (i) The resources perspective considers organizational capacity as inputs for production and attracting human, financial and technical resources (Honadle, 1981; Wernerfelt, 1984; Barney, 1991; Fredrickson & London, 2000; Ingraham et al., 2003; Christensen & Gazley, 2008). (ii) The capability perspective treats organizational capacity as the ability to absorb, mobilize resources, specify ways for capacity to be utilized and transform input for outputs (Honadle, 1981; Teece et al., 1997; Ingraham et al., 2003; Helfat & Fredrickson, 2007; Harvey et al., 2010). (iii) The competency perspective understands organizational capacity as organizational effectiveness and performance (Ingraham et al., 2003; Bryson, 2004; Sowa et al., 2004; O’Toole & Meire, 2010).

The concept of organizational capacity has been operationalized as organizational resources, the organizational capability to manage resources effectively and organizational competencies to fulfill organizational goals or mission. Accordingly, the study asked respondents ‘How do you see the present institutional capacity (organizational, technical and financial) of the DCC?’ The answers were diverse and descriptive, but generally shed light on the existing organizational capacity of the DCCs. Responses suggested that the existing organizational capacity - in terms of structure, process, human and technological resources – are insufficient and inadequate. Dhaka City Corporations appear unable to improve governance and its service delivery capacity. For a thematic analysis, responses were coded into different groups: organizational structure, financial dependency, technical and resources capacity and political interference and corruption. A detailed breakdown of findings follows below:

1.1.1 Bureaucratic organizational structure

The organizational structure reflects how governance efficiency effects service delivery. In addition, organization structure also determines the governance process as whole. However, organization structure also depends on organizational policies and strategies for achieving policy goals. From an organizational point of view, the study found the DCCs to be a highly bureaucratic organization, much like other public organizations in Bangladesh. Strategic respondents described the DCCs as follows “*It has a bureaucratic structure. It needs more resources. Financial problems really affect capacity building (R.5)*”. “*It has a good structure and good staff. But it’s true we have financial deficits and technical limitations as well (R.2)*”. According to a middle-line manager, “*The structure is okay. Skilled staff is needed.*

Recruitments of staff is highly political. Policies and strategies do not have any implementation. We need more money, new technology and logistics (R.21)”.

From bureaucratic point of view, according to the respondents, the Dhaka City Corporations have a good hierarchy to direct, command and govern its affairs through organizational process. The respondents identified a lack of skilled staff, technical resources and appropriate finances as challenges for improving organizational capacity. The existing bureaucratic organizational structure appears to hinder the effectiveness of the DCCs as an urban municipal government agent in general and organizational capacity for service delivery in particular.

The existing organizational structure also acts as a barrier from a governance perspective. One of the techno-structure interviewees explained, *“There is too much political and administrative control from the central government, which hinders performance (R.26)”*. As a result, governance efficiency and performance is subpar. From a structural perspective, it is clear that the DCCs have a limited capacity for effective governance and service delivery.

1.1.2 Financial dependency

Financial capacity is one of the most important factors in ensuring organizational capacity as a whole; particularly as regards the strengthening institutional capacity. Developing countries typically face financial constraints in this area. Bangladesh is not an exception. The crisis in financial capacity in the DCCs is a serious hindrance to its organizational capacity. A strategic apex interviewee has stated that *“It is a facts; we have financial deficits. The DCC’s income is very low and thus depends on government funding. Government cannot fund us as we want. With limited funds, we are cautious about programs and projects (R.1)”*. *“The process of securing government funding and political interference limit our financial capacity (R.12)”*. According to a middle line manager, *“If I say honestly, the DCC right now is not capable in all respects; money, resources, policy and required strategies. But proper utilization of existing financial resources is problematic for various reasons such as politics and corruption (R.20)”*.

According to the respondents, the DCCs have huge financial gaps. Previous studies have found that its annual earning meet only 50% of its service requirements. The DCCs mostly depend on central government funding. The central government does not allocates the budget as the DCCs demand. It also dominates DCC governance through the fund releasing process. In order to access central government funding, the DCCs have to go through the ministry of local government engineering and development (LGED). It is through this ministry that the government dominates the governance of DCCs.

Political interference and corruption in the utilization existing financial resources are also present financial challenges for the DCCs. When implementing programs and development projects, DCCs must consider political factors. Corruption among people's representatives and DCCs officials places an additional strain on finances.

1.1.3 Technical and resource capacity constraints

Technological and resource capacity have immense affect in expediting organizational capacity as a whole. For efficient governance and effective service delivery, organizations demand the required and appropriate skills, technological supports, and logistics. On the subject of the technological and logistic capacity of the DCCs, one respondent from strategic apex stated, "*Human resources, technologies are not enough to face existing challenges (R.13)*". According to one middle-line respondent, "*In the present situation, we try not to be negligent, but we can't perform better owing to the resource crisis. We need more skilled personnel, resources, modern technology and a larger available budget (R.23)*".

Financial constraints are a key factor in the scarcity of technological, logistical, and resource capacity in the DCCs. However, there are also other factors involved. These include the absence of strategic plan for utilization of existing resources and weak leadership. The strategic plan of an organization has a significant impact on whether programs can be successfully implemented and organizational resources effectively utilized. One strategic reviewee explained, "*As an organization, the DCC need more specific policies and regulatory guidelines. There is a lack of skilled staff, technology and logistics but there is also a lack of proper planning to use available resources (R.11)*". According to one middle-line manager, "*Institutionally the DCC is not capable enough. But existing capacity is utilized effectively (R.24)*". A techno-structure interviewee stated, "*Practically, there are institutional barriers such as weak leadership, political interference and widespread corruption. I don't see the resource crisis as a big deal (R.25)*".

The lack of specific sectoral policies and strategies also restricts the procuring and installing necessary technologies and resources in due time. The absence of a strategic plan is a great drawback in the utilization of existing resources. The weak leadership of DCCs is also a product of the resource capacity crisis. According to one interviewee, leaders frequently do not undertake initiatives to increase technical and resources capacity due to lack of knowledges of advanced technologies.

1.1.4 Political interference and corruption

Political interference and corruption have had a strong effect on organizational capacity and governance performance. Strategic apex members stated, *“Politics and corruption are obstacles in capacity building. Everything is politicized. In addition the bureaucratic process restricts institutional capacity (R.7)”*. *“The DCC has capable staff. But politics and corruption are big problems in governance (R.14)”*. Middle line manager said, *“Huge problems here including a limited budget. But corruption and politics are important factors for governance failures (R.19)”*.

Poor performance in governance and service delivery have encouraged a culture of political interference and corruption. Central government interference in the DCC typically takes the form of political patronage. In addition, corruption in program implementation and spending allocated has also had a negative effect on governance and service delivery.

From an institutional capacity perspective, the DCCs are not yet fully capable of efficient governance and effective service delivery. According to one respondent, *“I can’t say it is fully capable, but it has capacity to some extent. It needs more political and administrative initiatives (R.8)”*. Bureaucratic structure, central government control, financial dependency, lacking proper plan for existing resource utilization, lacking technical and logistics resources, weak leadership, political interference and corruption are the major barriers to institutional capacity building in the DCCs. To reduce these barriers, the DCCs require proper administrative, political and legal initiatives. According to one strategic apex member *“We are working on new reforms, policy and strategy for institutional capacity building. Presently, we have some governance weakness (R.1)”*. The DCCs require policies and contextual strategies to identify its gaps and to make plans for effectively utilizing existing resources. Initiatives for increasing revenue sources and reducing financial dependency on the central government are also needed.

1.2 Dimension 2: Findings and analysis of strategic capacity

Strategic capacity is an integral part of institutional capacity building. Strategic capacity stands for the various ways in which governance institutions learn about their environment, through which learning and subsequent understandings are spread throughout the governance network and the network’s ability to translate into selection of strategic choices and importantly, action (Leibovits, Bailey, & Turok, 2001). The concept ‘strategic governance’ is described as a dynamic process of policy creation, political and administrative practices. This process reflects interactions between multiple social and economic groups with different interests. It specially search for a

sustainable orientation and social contract(s) that make counterbalance among long-term interests of the entire society even for the generations in future (Potucek et al., 2004).

Strategic capacity has also been defined as a ‘strategic capability’. This refers the ability to make decisions about on what to focus in urban economic development in the long term, and thus to set the strategic direction for development efforts (Sotarauta, 2004, p. 46). A study on British urban governance has identified several indicators of strategic capacity in urban governance. (i) The process by which an individual organization learns. (ii) The creation of shared understanding and common conceptions of problems. (iii) The mobilization of common conceptions and understanding in the process of agenda setting. (iv) The capacity to engage in action that is consistent with evidence-based policy goals; and (v) the ability to engage in strategic learning by monitoring and evaluating policy outcomes (Leibovitz et al., 2001, p. 10).

Mindful of this theoretical discussion, the study considers strategic capacity in the DCC pertaining to existing policies and strategies. The study posed to respondents ‘From the existing strategic point of view (acts, policies and strategies) how do you analyze DCC as an institution?’ Respondents indicated that there are many strategies and policies available in the DCC. The contextual usefulness and applicability of those are questionable due to the nature of policy creation and strategy formulation approaches. Interviewee responses were coded into groups for analyzing the strategic and policy capacity theme: (i) the existence of strategic and policy gaps; (ii) complex coordination in resource mobilization; and (iii) crisis in strategic and policy implementation. The detailed findings are as follows:

1.2.1 Strategic and policy gaps

Strategic capacity plays an enormous role in speeding up institutional capacity building in organizations. Through this capacity, organization identify gaps, configure overall resources and create appropriate strategies for achieving organizational policy objectives. The Dhaka City Corporations (DCCs) is not yet institutionally capable from a strategic capacity perspective, and suffers from huge strategic and policy gaps. According to strategic apex members, “*We have so many policies and strategies but still some gaps exist. We are working to minimize these. JICA and the EU have assisted us with the Clean Master Plan and strategy formation on Solid Waste Management (R.1)*”. One strategic apex member who is also a people’s representative stated, “*We have so many rules, policies and strategies but not all are appropriate. Most of these were formulated based on government desire and*

political agendas (R.7)”. One the middle-line interviewee stated, *“Sometimes we face strategic crisis for implementation than we depend on management decision (R.15)”*.

When implementing programs and plans, managers sometimes face this strategic crisis. In these situations, they implement policies through management decisions. The strategies and policies are formulated mostly based on government instruction and political agendas, not for contextual demands. As a result, current strategies and policies are frequently ineffective.

1.2.2 Coordination for resources mobilization and utilization is complex

At least 40 other public agents working in the DCC’s jurisdiction provide central government services. The DCCs abide by the law to coordinate and compile available rules, policies and strategies when formulating and implementing new policies and strategies. A list of the available policies, rules, acts and strategies have been provided in chapter IV. One strategic respondent explained, *“We are implementing pilot projects aiming at cluster coordination strategies and capacity building towards Zero Waste in South Asia funded by European Union (R.12)”*. A middle-line manager stated, *“There is a coordination and resource mobilization problem from other working agents (R.16)”*. A techno-structure respondent stated, *“There are so many rules, policies and strategies which are not in use. There needs to be a strategy to use existing internal resources (R.25)”*.

The DCCs face a multiplicity of problems in coordinating with central government agents. Strategic coordination problem has adverse effects in mobilizing other resources and the utilization of policies and strategies as well. The DCCs need a broader strategy for coordinating with other agents to mobilize resources and implement its internal policies and strategic decisions effectively. However, respondents indicated that DCCs have been working in formulating coordinating strategies with the assistance of international organizations.

1.2.3 Crisis in strategic and policy implementation

The study found that most existing strategies and policies are not implemented effectively because of administrative, political and financial reasons. As one strategic interviewee explained *“I don’t know what gaps exist. Most strategies and policies are not implemented because of financial and resource limitations (R.9)”*. A middle-line manager stated, *“Policy and strategy implementation is a big problem because of the financial crisis (R.17)”*. *“The DCC still needs more specific rules and policies, especially for coordination in implementation (R.20)”*.

A techno-structure respondent indicated, “*Policy and strategy gaps are not the problem. An absence of a proper plan for corruption and politics is a big problem (R.26)*”.

The failure to implement policy strategically weakens institutional capacity. The DCCs need a strategy to implement its existing policies and resources more effectively. Owing to its limited financial and organizational capacity, the DCCs still do not have a proper strategic plan to maximize existing resources, logistics and strategies.

The contextual usefulness and applicability of existing strategies and policies in the DCCs are questionable. Financial constraints, political interference and corruption have left many strategies un-implemented. For appropriate institutional capacity building, the DCCs should prioritize the increase of strategic capacity in its practices.

1.3 Dimension 3: Findings and analysis on organizational learning

Organizational learning is a significant factor in improving institutional capacity. Schechter (2008, p. 157) states “learning has utmost importance for organizations to achieve their professional mission”. According to Grant (1996), what an organization knows and how well an organization is able to use knowledge determines strategic successes and failures in governance. Scholars argue that an organization’s performance also depends on its ability to generate, combine, recombine and exploit what it has learned (Kogut & Zander, 1992). Learning can be perceived as dependent and independent variables for organization (Getz, 1997; Shpilberg, 1997). As an independent variable, learning affects the activities, structures and strategies performed by the organization. As a dependent variable, learning detects the outcomes in organizational process.

Organizational learning as a capacity within an organization is concerned with knowledge acquisition (the development or creation of skills, insights, relationships), knowledge sharing (the dissemination to others of what has been acquired by some), knowledge utilization (integration of the learning so that it is assimilated), and generalize the new situations (Huber, 1991 cited in Dibella et al., 1996, p. 363). The organizational learning model identifies learning as a multilevel phenomenon including four processes: intuiting, interpreting, integrating and institutionalizing (Crossan, Lane, & Whites, 1999).

Organizational learning plays significant role in institutional capacity building through contextually assimilating new learning for policy and strategic renewal. Respondents were asked ‘How does the DCC learn, renew and evaluate its learning?’ Responses reflected a diverse range of opinions. In some cases, interviewees were cases

mystified by the concept of organizational learning. Interviewee Responses were coded into three groups: (i) training for skill development; (ii) information exchange; and (iii) absence of evaluation mechanism. Responses suggest that the DCCs do not emphasize learning due to a lack of conceptual understanding of its importance. Nevertheless, the study has found that the DCCs have different types of learning processes for individual staff development, which are as follows:

1.3.1 Training for skill development

Dhaka City Corporations generally have provisions of training for skill development of staff. Interviewees from strategic apex explained “*We provide orientation training for new staff (R.1, 2, 3)*”. “*Newly appointed staff undergo a short orientation training to continue their office (R.11, 14)*”. A middle-line manager stated, “*Mainly staff learn their jobs through orientation training and on-the-job training (R.19, 20)*”. The DCCs organize orientation training for a short period – two to four days depending on the nature of the positions. Through this training, DCCs provide the basic idea of duties, responsibilities and organizational rules and regulations. After receiving orientation training, staff take their office and learn more on-the-job.

The Dhaka City Corporations (DCCs) prioritize on job-the-job training. Respondents from techno-structure stated, “*Mainly we learn by doing the job (R.25, 26)*”. After holding office, the staff is further trained by senior supervisors if necessary. Mostly, staff learn throughout their professional lives. The practice of on job training is not planned but if staff need assistance, they can ask their supervisor.

For professional skill development, the DCCs also organize training sometimes at home or abroad. Strategic respondents who are also people’s representative explained, “*We have no idea about learning, evaluation and renewing of learning in governance processes. Sometimes we see staff going to different training programs at home and abroad. Maybe they learn that way (R.8, 10)*”. Middle line managers stated, “*There are a few professional training programs in the DCC, but not for everyone. Staff are provided the scope for receiving foreign training by the central government (R.19, 20)*”. Techno-structures said, “*Every year DCC spends some money for staff development at home and abroad. Staff attend workshop and conferences (R.25, 26)*”.

The DCCs ensure professional training of staff at home and abroad. Besides, the central government also provides various training opportunities to the DCC staffs with other government staffs. However, professional training for skill development at home and abroad is inadequate relative to the demands placed on staff.

1.3.2 Information exchange

For common understanding, DCC officials exchange and disseminate information, ideas and personal experiences. Strategic respondents stated “*Staff share learning with other colleagues in staff meetings (R.4)*”. According to an interviewee from the middle line, “*There is no direction from the DCC but we share our training in short presentations or ideas in meetings; we sometimes discuss experiences when we meet outside of the office (R.22, 23)*”. The DCCs organize monthly, quarterly, half-yearly and yearly programs and projects meetings. During these meeting sessions, staffs have the opportunity to learn from each other through sharing ideas, experiences and challenges at work. Sometimes, staff with training from abroad share and shortly present what they learnt.

1.3.3 No mechanism for learning evaluation

The DCCs have no formal mechanism for learning evaluation and reviewing learning feedback. A strategic respondent confessed, “*It’s true, we have no provision for learning evaluation but the staff work well. Still, we don’t see learning a matter in organizational development (R.4)*”. A middle-line manager stated, “*The DCC has some budget for staff development. In 2014, 25 staff were trained at home and abroad. We think trained staff are more skilled. We don’t know about how DCC evaluates and renews learning (R. 15, 17, 18)*”. Learning evaluation is clearly still insignificant in DCC governance processes due to the lack of proper understanding the role of learning in improving organizational capacity.

The Dhaka City Corporations considers learning only as a tool for individual staff development. Learning does not receive much priority in the context of institutional capacity building. DCC officials are unaware that learning may effect strategic practices and ensure appropriate strategic choices. For institutional capacity building as a whole, the DCCs should prioritize organizational development by renewing its policies, strategies and management decisions.

2 Conclusion: Existing institutional capacity is limited

Practical organizational barriers have rendered the DCCs not yet fully capable of ensuring efficient governance and effective service delivery. Institutional capacity building is a continuous process. The organization should acknowledge and emphasize

the importance of institutional capacity in its policies. However, the evidence presented in this chapter suggest that the DCCs have yet to properly understand the importance of institutional capacity building in general and the role of organizational phenomena such as organizational capacity, policy capacity and learning capacity in particular.

From an organizational capacity perspective, the practical barriers in institutional capacity building in the DCCs are the highly bureaucratic organizational structure, central government control, financial dependence, a lack of proper planning for existing resource utilization, a technological and resource capacity crisis, weak leadership, political interference and widespread corruption. These factors negatively affect governance efficiency and service delivery. To reduce and minimize practical barriers to improving institutional capacity, the DCCs require effective administrative, political and legal initiatives.

The policy capacity in DCCs is limited and ignored. Existing strategies and policies are in most cases inappropriate and useless in context. Central government instruction, guidance and control of strategic decisions were found to be the reasons for strategic ineffectiveness. Most strategies have yet to be implemented due to financial constraints, political interference and corruption. In order to improve institutional capacity building, the DCCs should prioritize the improvement of its strategic capacity.

Organizational learning does not get priority in strategic practices and management decisions. The Dhaka City Corporations considers learning only as a tool for individual staff development. The DCCs do not have any learning evaluation mechanisms, nor does it properly understand the meaning of learning in an organizational context. DCC officials were found to be unaware of learning effects in strategic practices and choices. The DCCs should prioritize learning as a dependent variable for organizational development for improving institutional capacity. Organizational learning can play an important role in renewing policies, strategies and management decisions in an appropriate manner, which can have a positive effect on institutional capacity and service delivery.

IX

QUALITATIVE ANALYSIS OF MANAGEMENT PERSPECTIVE

1 Theoretical discussion of Solid Waste Management

The available literature considers 'waste' as unwanted and discarded goods stemming from human consumption. Specifically, the German Waste Act of August 1993 defined the waste as "a portable object" and an "orderly disposal of garbage" (Bilitewski et al., 1994, p. 21). The Framework Directive on Waste in the United Kingdom states that waste is a substance that is discarded by its owners (Porteous, 2000). According to Mexican Waste Management Act (2003), waste is a discarded material or product, which can be found in a solid or semisolid state, as well as liquid or gas in a container. Thus, by definition, waste is the discarded product of human consumption. It is closely related to development, population, and economic growth in every nation. Waste is classified in categories such as liquid and non-liquid or solid waste. 'Solid waste' is understood by the study as 'non-liquid waste materials arising from domestic, trade, commercial, industrial, agriculture and mining activities and the public services' Solid waste includes vegetable waste, papers, glass, plastics, wood, yard clippings, food waste, radioactive wastes and hazardous waste (Rao, 1991).

The problems of waste disposal has been present throughout the history of human life. Scientists, environmentalists and waste management practitioners agreed that disposal of waste poses a major environmental problem for the world (Biddingmaier, 1990). Without an effective and efficient waste management system, the waste can results serious health hazards and have a negative impact on the environment and climate. Understanding the nature of the waste generated, the availability of resources, and the environmental conditions of a particular society are important to developing an appropriate waste-management system for effective and efficient governance and to protect the environment and human life as well.

Waste management in general is the handling of discarded materials. The primary objective of waste management is to protect the public and the environment from the potentially harmful effects of waste (World of Earth Science, 2003). Solid-waste management has been defined as controlling the generation, storage, collection, transfer

and transport, processing, and disposal of solid waste with the best principles of health, economics and other environmental considerations (Hwa, 2007). According to Zurbrugg (2003), solid waste management is the activity to minimize health, environmental and aesthetic impacts of solid wastes (Zurbrugg, 2003). Fiona Nunan (2000, p. 384) defined solid waste management as the process of collection, treatment, and disposal of municipal solid waste.

The nature of solid waste management is relative to socio-economic context. Waste composition and waste management standards differ between developed and developing countries. For example, developed countries concentrate primarily on maximizing the recovery of waste resources, while developing countries typically struggle with adapting proper collection, treatment and disposal methods of solid waste (White et al., 1999). Solutions for sustainable solid waste management towards protecting environment and the public health strongly differ according to context. However, to understand the fundamental problems of solid waste management, it is important to the governance, organizational structure, policies and implementation strategies of those responsible for waste management (Onibokun et al., 1999).

This study, examines solid waste management in Dhaka City Corporations from a policy and strategic perspective. The issue is categorized into three dimensions: (i) The solid waste situation in Dhaka; (ii) Organizational capacity in SWM; and (iii) Strategic capacity in SWM.

1.1 Dimension 1: Findings and analysis on solid waste situation in Dhaka

Studies have shown that solid waste generation in Bangladesh during the last decades has increased at an average annual rate of 8.96 percent. Solid waste management and the hygienic disposal capacity of the municipal authorities is miserably lagging behind (Hasan, 2005). According to one study, nearly 50 percent of daily-generated garbage remains uncollected in the cities of Bangladesh (Bhuiyan, 2005, p. 6). Uncollected garbage seriously pollutes the city environments and has become the source of multiple health problems to urban dwellers. In the capital city of Dhaka, municipal authorities have the capacity to collect and landfill less than half of the waste produced by residents. Uncollected waste poses serious health hazards to residents, clogs drainage systems and causes environmental pollution. Existing studies have found the existing system of solid waste management to be inadequate, inefficient and weak from an organizational capacity perspective (MoEF, 2010b; cited in Matter et al., 2015). The present system of

solid waste management in Dhaka is regarded as inadequate and insufficient (Mohit, 2000, p. 1–3).

Civil society organizations and NGOs have emerged to fill the void left by the unsatisfactory conservancy services of the DCCs. The DCCs have encouraged community-based organizations and local NGOs to handle the waste management at the community level in the city mainly for house-to-house waste collection and disposal (Memon, 2002, p. 5). Community-based SWM initiatives are mushrooming in the city. However, the involvement of such initiative does not provide relief for the adverse impacts of inadequate solid waste management. Dustbins are still not maintained and supervised properly and the DCCs could not be able to removing the waste efficiently from the dustbins due to financial and institutional constraints (Momen, 2002).

The study asked respondents to analyze the present situation of solid waste in the city and the reasons for the situation. Most respondents considered the present situation in the city to be a threat to the public health and environment. They stated that poor governance is one of the main reasons for present situation. The theme of solid waste management was coded into different groups: (i) Sources of health hazards and environmental pollution; and (ii) Reasons for the situation. The specific findings are as follows:

1.1.1 Sources of health hazards and environment pollution

The study found existing solid waste management to be a primary source of environmental pollution and health hazards in the city. According to respondents from strategic apex, *“The present situation is acute that’s true, but it’s improving day by day. There is a huge amount of waste generated in the city each day because more than 16 million peoples live here. We have so many limitations to handle present the volume but we are trying to minimize them (R.1)”*. A Middle line category explained, *“The city environment is now toxic. There is a huge population and garbage is everywhere. The DCC has a resources crisis, in staff, logistics and transport (R.24)”*. A member of the techno-structure said, *“I don’t know how I can mark this problem. It is life threatening for the city environment. City authorities can manage only 1500–2000 tons if they function. We don’t know exactly know how much waste is produced; maybe more than 4000 tons per day (R.26)”*.

Huge volumes of waste remain uncollected in Dhaka due to organizational and other practical limitations. Waste is one of the main sources of environmental pollution and health problems to city dwellers. City authorities have been trying to improve the situation and have been working with the European Union (EU), Japan International

Cooperation Agency (JAICA) and Asian development Bank (ADB) since 2010 to improve the capacity of waste management and landfill development for waste disposal.

1.1.2 Reasons for Situation

Strategic apex members stated, *“Waste is a big problem - we know. Nevertheless, we cannot work only on this. We have other problems in the city and we have limited resources (R.2)”*. *“The city is now full of garbage and has a polluted environment. There are many reasons for this, but corruption, politics and existing poor governance are the major ones (R.6)”*. Middle-line respondents explained, *“The DCC has an institutional deficiency, poor human resources, a shortage of financial resources and no community involvement. Corruption also has a huge effect (R.21)”*. *“The waste situation is alarming now because we have weak capacity. Our finances are limited but requirements are high. Politics and corruption are also problems (R.23)”*. A techno-structure interviewee stated, *“There are multiple reasons. Resource crisis, politics, corruption, absence of planning and financial constraints are major ones (R.26)”*.

According to the respondents, major reasons behind the present waste situation include the huge volume of waste generation, poor governance, financial limitations, resource crisis, an absence of planning to utilize existing resources, political interference and the absence of community involvement and widespread corruption. The absence of proper planning to utilize existing resources and corruption in waste management have adversely effected the current solid waste situation. Strategic respondents emphasized the capacity crisis. The DCCs cannot concentrates only on the solid waste management units. With limited resources, authorities have to work to minimize all of the problems in the city. City dwellers face a myriad of problems. Water-logging, poor health and sanitation, huge traffic congestion, crisis of drinking water, electricity and gas scarcity, massive poverty, unplanned housing, slums and squatter settlements, and inadequate educational facilities are major problems those impedes the DCCs as incapable organization in the city.

1.2 Dimension 2: Findings and analysis on organizational capacity in SWM

In terms of the theoretical framework of the study presented in chapter III and theoretical discussion of VIII, organizational capacity refers to organizational resources, organizational capability to manage resources effectively and organizational competencies as the ability to fulfill organizational goals. Organizational capacity has an

immense role in efficient governance and effective service delivery. Gargan (1980, p. 652) described organizational capacity as the ability of an organization 'to do what it wants to do'. Based on this theoretical understanding, the study investigated the overall organizational capacity of the Dhaka City Corporations (DCCs). Chapter VIII analyzed institutional capacity building in the DCCs. Solid Waste Management is an organizational unit of the DCCs. The overall organizational capacity of Dhaka City Corporations affects governance in solid waste management.

The study examined the DCCs resources and capacity for effective solid waste management. The findings suggest that (i) the magnitude of the waste issue is not yet fully realized and (ii) the DCCs lack organizational capacity regarding solid waste management. In responding to the question, 'How do you analyze the present solid waste management problem and the reasons behind the situation?' respondents demonstrated indicated the lack of organizational capacity hinders effective solid waste management. Respondents indicated that the current waste management system is inadequate and resource capacity is limited in terms of the ability of SWM to collect, transport and dispose of waste generated in the city. For thematic analysis, the study was coded into different groups; waste management systems, resources capacity constraints, coordination with other public agents and community participation. The detailed findings are as follows:

1.2.1 Waste management systems

Respondents indicated that the present waste management system has limitations with prevent proper waste collection, transportation and final disposal. A strategic apex respondent stated, "*The current waste management system is not integrated. The DCC collects waste from secondary sources thrown in waste bins located in different places. Because of resource limitations, we cannot manage whole waste from secondary sources. Waste from primary sources is being handled by the community traditionally because the DCC has no guidelines (R.3)*". A middle-line manger explained "*Communities themselves collect and throw primary waste from source to the DCC bins. Bins at secondary sources are inadequate and maintained poorly. The DCC has a huge shortage of transports and cleaners to collect and dispose of waste from waste bins (R.16)*". A techno-structure interviewee stated, "*Both primary and secondary waste collection is problematic because waste is not being handled properly at both sources. There are no waste segregation provisions at primary sources. You find full garbage bins, because the DCC only has the capacity to collect, transport and dispose to landfill areas at best half of them, if full resources are active. In practice the DCC handles less than half of waste from secondary sources (R.25)*".

Existing solid waste management system is not directly integrated with waste sources or primary waste. The DCCs handle waste only from secondary sources. According to the respondents, communities handle primary waste collection themselves. This is taken to secondary waste collection points. Still, the DCCs do not have any guidelines or specific policy for handling primary waste. Community-based organizations (CBOs) collect waste from household by charging monthly fees. Though DCCs have no clear policy and strategy, presently the community office (Ward) controls primary waste collection in the community.

The DCCs handle secondary waste (collection, transportation and disposition) management. The DCCs put the waste bins or containers in different places in the city to dispose of the primary waste. In practice, waste disposal points and the number of containers or bins are insufficient relative to waste generation. As a result, every waste bin and surroundings areas are full of garbage. A lack of transport and cleaners means that they can only handle half or less than half of the waste generated when utilizing its full resources. The DCCs also have capacity constraints for final disposition, recycle and treatment of waste. Due to the financial crisis, still DCCs do not have any treatment plants for solid waste.

1.2.2 Resources capacity constraints

The study demonstrated that the Dhaka city corporations (DCCs) has capacity constraints in terms of required labor, logistics, modern technologies and financial resources. The limitations of resource capacity adversely affects solid waste management. Interviewee from strategic apex stated, *“Currently DCC is not capable enough to handle solid waste management successfully. Skilled Staff, vehicles, waste bins, landfill areas and technology are inadequate. Because of the financial crisis, we cannot increase our resource capacity (R.1)”*. A middle-line manager explained, *“There is a huge resource crisis DCC has. Specially, transports, logistics, skilled staffs and cleaners are inadequate. Besides, available resources are not functioning or not being utilized properly due to some other reasons like politics and corruption (R.18)”*. One techno-structure interviewee stated, *“The DCC lacks waste technologies, required resources, waste treatment and recycling plants. Owing to financial limitations, the maintenance of waste bins and land fill areas is poor (R.26)”*.

The lack of resources capacity in DCCs is a great barrier in the promotion of the governance of solid waste management and institutional capacity building. Financial limitations mean that the DCCs cannot procure required waste collection bins, vehicles for waste transportation, waste treatment and recycling technologies, or maintain existing waste bins and land fill areas. According to the respondents, the DCCs are not

able to utilize its existing resources effectively due to practical limitations like maintenance of waste logistics, political interference and corruption. Most logistics and vehicles are not functioning due to poor maintenance. Political interference and corruption in cleaner recruitment and purchasing of logistic and vehicles for solid waste management severely affect solid waste governance.

1.2.3 Coordination with other public agents

The DCCs face coordination problem with other central government agents in implementing solid waste management programs. A strategic apex member stated, *“Many times program implementations is delayed because of coordination complexity. We are working with the European Union to develop a coordination strategy (R.2)”*. A middle-line manager explained, *“There are other public agents working for water, sewerage, electricity, roads and construction, house building, telephone and so on. The DCC must coordinate with them. There are no systematic guidelines or established coordination provisions. Coordination is difficult and program implementation is normally delayed (R.17)”*. A techno-structure interviewee stated, *“There is a need for a comprehensive coordination strategy on waste management for primary and secondary collection. Then the situation may improve (R.26)”*.

There are many public agents working in the capital city Dhaka. The DCCs as responsible agents for basic service delivery, have to coordinate with these agents. By laws, DCCs are also compelled to coordinate with them. However, DCCs do not have coordination guidelines, strategy or policy. The DCCs typically are not able to implement its programs timeously due to the lack of coordination.

1.2.4 Community participation

The DCCs do not have any guidelines for community participation in solid waste management. However, community themselves participates especially primary waste collection system. One interviewee from the strategic apex stated, *“Recently, CBOs and NGOs are handling primary waste collection. We are also piloting one PPP. Now we are working to prepare a public-private-partnership strategy so that the community can be involved directly with waste management (R.1)”*. *“The community disposes of their waste in DCC waste bins. The DCC implements programs for community awareness building (R.9)”*. A Middle line manager stated, *“The DCC does not have any guideline for community participation. However, DCC ordinances indicate the community can handle their waste and dispose of it at secondary waste collection points managed by the DCC (R.19)”*. According to an interviewee from the techno-structure,

“Informally, CBOs and different political clubs working in primary waste collection charge per house. The DCC ward office looks after them and they get a percentage (R.25)”.

For community awareness building, the DCCs implemented programs such as the citizen charter publication and advertisement in television on waste issue and environmental pollution. Though there is no legal provision, community level ward offices of the DCCs select the CBOs and clubs interested to work for primary waste management. The DCCs have been piloting public-private-partnership programs towards preparing required policy and strategy for community participation. It has signed an agreement with a private company named Shell Bangladesh. The company has been implementing pilot projects in two wards, Dhanmondi and Kolabagan. It has set up small-scale recycling and waste treatment plants independently and has been operating these projects in the community with good success. The DCCs are currently developing new policies and strategies with a view towards replicating their ideas and projects in other areas of the DCCs with community involvement.

The organizational capacity crisis is one explanation for unsatisfactory solid waste management in the DCCs. An uncomprehensive approach to solid waste management, resources and financial crisis, coordination problems and the lack of community participation in the entire waste management system are particular reasons for its weak organizational capacity. However, proper organizational capacity building initiatives could improve this situation.

1.3 Dimension 3: Findings and analysis on strategic capacity of SWM

The discussion of theoretical framework in chapter III argued that strategic capacity concentrates on the ability to appropriate focus of decisions making and to prioritize the contextual strategic direction. The success, effectiveness and efficiency in governance depends on strategic capacity. Strategy determines the configuration of resources, processes and systems (Sotarauta, 2004). For proper organizational capacity building in solid waste management in Dhaka city, strategic capacity should be increased. If strategic capacity increased, waste management authorities in Dhaka would be able to configure their resources, processes and systems in a more effective manner.

Strategic institutional capacity in solid waste management is still underexplored in Bangladesh and less focused in developed and developing countries in general. This study seeks to add to this gap in the literature. Bangladeshi authorities have been developing and implementing policy guidelines on waste disposal and recycling since the 1990s (MoEF, 2010b). Over the years, there have been several policies formulated

by different agents and ministries to reduce environmental pollution and to promote the effective management of solid waste in Dhaka. However, the solid waste situation has yet to improve in practice. This study suggests that (i) the magnitude of waste issue is not yet fully realized and (ii) there is a lack of organizational capacity in solid waste management.

Considering the present situation, respondents were asked how strategic capacity matters and how to improve the solid waste management situation. The most of the respondents expressed that the lack of strategic capacity has led to poor governance in solid waste management. The study has also found that weak administrative capacity, resource constraints, policy gaps and financial dependency on central government, have meant that the DCCs cannot devote sufficient resources to the problem. This theme was coded into three groups: (i) Existing strategic capacity; (ii) Gaps in strategic capacity and (iii) Strategic cohesion.

1.3.1 Existing strategic capacity

The respondents indicated that strategic capacity matters in solid waste management. Due to the lack of strategic and policy guidelines, solid waste is handled ineffectively. According to a strategic apex respondent described that *“From 2005 the DCC has had a particular plan for solid waste management named the ‘Clean Dhaka Master plan’. In implementation, the plan has not progressed because of financial limitations (R.2)”*. A middle-line manager explained, *“There are some external strategies related to solid waste management. Following one of those strategies, the DCC has been presently piloting a solid waste management capacity building project with funding from the European Union (R.15)”*. A techno-structure interviewee stated, *“For solid waste management basically we have no particular strategy, we depend on others and on management decisions. For example the national 3R strategy was drafted by the Ministry of Environment but the DCC has to with it (R.25)”*.

It is evident that DCCs have to comply with available strategies of the central government agents related to solid waste management and city environment. The national 3R strategy mentioned by the interviewee was strategy drafted in 2009 by the Ministry of Environment with the financial assistance of the European Union (EU). The DCCs have been implementing a pilot project for capacity building in solid waste management following 3R strategy. However, the study demonstrated that solid waste management is being governed based on external management decisions and strategies. Some of the strategies concerned have been described in chapter IV.

1.3.2 Strategic gaps

Strategic apex interviewees have stated that, *“For strategic and policy gaps, the DCC could not utilize properly CBOs and NGOs in primary waste collection. Now we are working to prepare a public private partnership strategy so that communities gets involve with solid waste management (R.1)”*. *“Strategy is very urgent for primary waste management. There is political conflict in the community to handle household waste. In every ward, particular political party members are favored for waste collection due to the absence of a legal strategy that is profitable. Parties out of power are deprived (R.10)”*. A Middle line manager stated; *“For primary waste collection, CBOs and community clubs are already working but DCC has no guidelines for them. Ward councilors handle their participation mostly by political consideration and in some cases by management decisions (R.21)”*. According to a techno structure interviewee, *“In a word, the DCC has no specific policy or strategy for handling solid waste. Waste from secondary sources has a waste management hierarchy to collect, transport and dispose of waste. Primary waste collection is haphazard because of an absence of guidelines - but DCC has political control (R.25)”*.

The DCCs have no particular policy and strategy for solid waste management. For secondary waste handling, DCCs have an established program like other public organizations. Following the waste hierarchy, the DCCs collect, transport and finally disposed in landfill areas. However, primary waste collection is the responsibility of community themselves according to DCC ordinances. No other operational guidelines are available for primary waste collection. A number of community based organizations (CBOs) and clubs have been handling primary waste collection by charging fees. CBOs and clubs are selected and permitted to operate according to political considerations. Practically all of them belong to the party in power. This results in political conflict. Specific policies and strategies for solid waste management integrating the primary waste collection system and community participation are required. This would minimize the existing strategic gaps in institutional waste management capacity.

1.3.3 Strategic cohesion with other public agents

The DCCs lack strategic cohesion due to the absence of a coordination strategy. A strategic apex member stated, *“Many times strategic implementations gets delayed because of coordination problems. The DCC lacks of coordination strategies with other agents (R.2)”*. A middle-line manager explained, *“Coordination strategy with other working agents is very important. In the DCC area so many public agents are working. They have some strategies with which the DCC has to comply. But there is guideline yet for strategic coordination (R.16)”*. According to a techno-

structure interviewee, “*There is a need a comprehensive strategy not only for waste management but also for DCC governance as a whole (R.26)*”.

The DCCs, as the agent responsible for basic service delivery, have to coordinate with public agents for governance. In addition, the DCC have to comply with the relevant development strategies. In most cases, the DCCs are unable to implement or delays the implementation of its programs due to the lack of coordination and strategic cohesion. Interviewees suggest that a comprehensive strategy for program and strategic coordination with other public agents and ministries would increase institutional capacity.

A lack of strategic capacity has resulted in poor governance of solid waste management. Due to a lack of organizational capacity, appropriate strategies, existing strategic gaps and the general problem of a lack of strategic cohesion, solid waste management cannot handle waste effectively. Interviewee responses suggest that the DCCs should prioritize institutional capacity building of solid waste management systems to improve the situation.

2 Conclusion: Worst solid waste management lacking intuitional capacity

The failure of solid waste management in the DCCs is the ultimate result of strategic institutional capacity constraints. The situation is unmanageable due to capacity constraints, political interference and corruption. Capacity crisis exists in DCCs in terms of organizational, strategic, financial and technical resources. Political interference and corruption have made it difficult to utilize existing resources effectively. Consequently, the residents of Dhaka face multiple problems along with worst waste management. The major problems are water-logging, poor health and sanitation, huge traffic jams, inadequate drinking water, crisis in electricity and gas supply, widespread poverty, unplanned housing and environmental problems for high degree of air and water pollution in the city. These multifarious problems made DCC difficult to utilize its resource capacity focusing on solid waste management particularly.

The DCCs do not have a coordination strategy or policy. Owing to this lack of strategy, the DCCs face coordination problems with other working central government agents. This also leads to weak and ineffective management of solid waste. A

comprehensive strategy for coordination and sectoral strategic focus can improve solid waste governance in the city.

To strengthen overall governance and solid waste management in particular, the DCCs should close existing strategic and policy gaps. The DCCs face multiple problems. These include coordination with other working central government, political interference and widespread corruption. Such problems have weakened DCC governance, delayed program implantation, and politicized waste management. However, a sectoral strategic focus can improve the situation through utilizing available resources. This will increase future resource capacity.

X

CONCLUSIONS, THEORETICAL EVALUATION AND POLICY RECOMMENDATIONS

1 Conclusions

The study broadly found that strategic institutional capacity in the City Corporations (CCs) in Dhaka are weak in terms of governance in general, and solid waste management in particular. The DCCs lack a proper understanding of the role of strategic capacity in improving governance and institutional capacity. The responses to the thematic questions on strategic institutional capacity provoked the following major findings. (i) The predominant strategic perspective is inappropriate relative to policy goals. (ii) Current practices are not based on strategic choices, but on central government influence and bureaucratic guidance; (iii) good governance practices and institutional capacity-building is not sufficiently emphasized; and as a result, (iv) solid waste management is ineffective. The specific thematic conclusions are as follows:

1.1 Strategic perspective is inappropriate for policy framing

First, the prevalent strategic perspective is not conducive to good governance or improving institutional capacity. While the DCCs provide for democratic governance, democratic elections have been interrupted, and the corporation is dominated by both the central government control the bureaucracy. It lack administrative and leadership expertise, and there is functional accountability, suggesting that democratic practices are restricted in practice. Democratic governance in solid waste management, via people's representatives, is weak but improving slowly. Respondents have indicated that that DCCs should emphasize democratic governance by allowing the corporation's mayor and counsellors to be selected through the democratic processes. It should further educate people's representatives to improve administrative knowledge and leadership, reduce central government control and influence in governance, minimize political consideration in forming the standing committees (SCs) and create space for stakeholders to participate in governance.

Second, the government influences DCC governance for political, administrative, financial and historical reasons. From a local government perspective, the City Corporations (CCs) in Dhaka are the biggest agents of urban government in Bangladesh. More than 15 million peoples live in the city. According to the Urban Administrative Unit of the People's Republic of Bangladesh, the DCCs are also the biggest administrative unit in the country, and includes total seven parliamentary constituencies. Dhaka is the oldest and most important city in Bangladesh. From socio-political and administrative perspectives, the city has a huge impact on the governmental power structure.

Third, local–central relations in Bangladesh may be considered within the Principal/Agents or Inclusive–Authority models. The study found the central government exercises inclusive authority in the DCCs for political purposes instead of administrative checks. It was also found that the exercises of inclusive authority by government controls public spending within the organization. The relationship with the central government limits progress in in improving institutional capacity and governance within the DCCs. The DCCs nevertheless have a cooperative and meaningful working relationship with the central government.

Fourth, interdepartmental relations of City Corporations (CCs) in Dhaka are conflicting and complex. There is a lack of trust, political intrigue, bureaucratic interference and corruption. Existing interdepartmental relations are dysfunctional. They have had a negative effect on governance and service delivery. The Dhaka City Corporations need to ensure effective working relations between the various departments. This will improve governance efficiency and service delivery effectiveness.

Fifth, the DCC's approach to service delivery in the community resembles the act of ruling instead of service facilitation. There is an absence of policy goals and strategic guidelines. As a result, there is no working relationship between the community and the Dhaka City Corporations. The DCCs have sought to improve community relations through advertising and publishing citizen charters on DCC services via electronic and print media.

1.2 Guided strategic practices

Existing strategic practices do not prioritize the appropriate context in strategic choices towards strategic capacity building. The study found that bureaucratic dominance and the DCC's process of strategy formulation and implementation are major barriers for the development of successful strategies. In addition, the absence of strategic evaluation

process makes the policy learning, participation and innovation insignificant in strategic decision-making. As a result, formulated inappropriate strategies and impractical decisions lead inefficient and ineffective service deliveries in DCCs. There is a strategic apex to formulate strategy comprised of senior officials and people's representatives. Peoples representative are selected by choice of heads of the DCCs. For interrupting democratic leader, DCCs are being directed by the bureaucrat. The DCCs have provisions for top-down and bottom-up strategic decision-making approaches. For existing administrative and political culture, the DCCs utilizes mostly a top-down approach in strategic decision and implementation. It also has to follows the instruction of central government or concerned ministries in strategic formulation and implementation.

The DCCs do not evaluate its policies and strategies for organizational learning. Instead, it depends on project and program reports for understanding the strategic implementation situation. For donor-funded projects, there are provisions for external program evaluation. The strategic apex has not considered the importance of policy learning insignificant for improving institutional capacity.

In most cases strategies and decisions are taken following traditional processes. The existing politico-administrative culture in the strategic apex does not encourage participation, criticism and discussion of policy decisions by the participants. Strategies and decisions are approved in meetings as the higher authority desires. The strategic apex is composed of different section of group members, including people's representatives. The mayor or administrator is the sole authority to initiate and finalize the strategy. The selection of members of the strategic apex also depends on the mayor or administrator. Members are mostly selected based on political or bureaucratic reasons. In bottom-up strategic approaches, there is little scope for sectoral representation and expert opinions. The decision of top of the apex is final. However the, DCCs seldom uses a bottom-up strategic approach. Interviewees did not have any experience in participation of critical discussion and inputs on proposed strategies in apex meetings.

Operating and strategic decisions follow set bureaucratic process. The mayor or administrator is the sole authority for decision-making. The mayor makes the final decision, but considers factors like central government perceptions, desires and instructions, the political agenda and in some cases internal organizational interests. Operating, administrative and strategic decisions are heavily influenced by political factors, government instruction and the purpose of apex members. Consequently, the corporation is unable to play its autonomous role in administrative and strategic decision-making. Though operating decision-makers claim an impersonal and formal

relationship, they in some cases maintain informal relationships for political, administrative and personal reasons. Strategic decision makers also maintain a mostly informal and cooperative relationship with central government and support their political agenda.

The DCCs are not yet fully capable of effective governance and improving service delivery. Bureaucratic structure, central government control, financial dependence, resource constraints, an absence of plans based on available resources, weak leadership, political interference, corruption and inappropriate policies and strategies were found to be major factors behind the institutional weakness of DCCs. Governance in the DCCs as a whole is poor and inefficient. Traditional bureaucratic processes are an impediment to effective governance, organizational change and reform. Democratic leadership is provided for at the top and bottom of the DCCs structure, but democracy has not been fully institutionalized and leadership is weak. Leaders typically depend on bureaucrats. The study found that the DCCs suffer from a chronic lack of resources. Inadequate staff, poor logistics, technology and technical support all negatively affect governance and service delivery. The DCCs still do not have any resource-based plan for the efficient utilization of existing resources. There are huge financial gaps in the DCC's budget and the DCCs depend on the central government for finance. The central government does not allocate and release the required budget. Nevertheless, it dominates DCC governance processes.

1.3 Institutional capacity building is less emphasized

The DCCs consider strategic capacity irrelevant to improving institutional capacity. The strategic and policy capacity of the DCCs is limited in terms of formulation, implementation and evaluation of governance processes. Available strategies and policies are not appropriate to the context. However, these strategies and policies are not in most cases implemented due to financial limitations, politics and corruption. Dhaka City Corporations (DCCs) operates according to the Municipality Act of 1978. The act was amended by the government in 1983, 1990, 2009 and 2011. Through this act, the DCCs are empowered to formulate regulations, sub-laws, policies and strategies for governing, coordinating and decision implementation. However, the DCCs require government permission for such initiatives. Strategies and policies are formulated mostly based on government instruction and political agendas, not as the situation demands. Existing strategies and policies frequently do not reflect the situation on the

ground. Furthermore, many policies and strategies have not been implemented due to a lack of financial resources and political will.

Coordination for resource mobilization and utilization is unnecessarily complex owing to a lack of strategic cohesion. At least 40 other public agents work under the DCC jurisdiction to provide central government services. The DCCs abide by the law to coordinate and compile these available rules, policies and strategies when formulating and implementing new policies and strategies. The DCCs face a multiplicity of problems in coordination with central government agents. As a result, the DCCs face difficulties in implementing its own policies and strategies.

The Dhaka City Corporations consider learning as only a tool for individual staff development. Not much priority is given to institutional learning. The DCCs do not appear to understand that effective organizational learning can positively affect strategies and policies and improve institutional capacity. The DCCs generally have provisions to provide short orientation training for newly appointed staff. The training provides the idea of duties, responsibilities and an organizational introduction. The DCCs prioritize on-the-job training. After initial training, staff are assisted by his or her senior supervisor if necessary. Mostly, staff learn by doing throughout their professional life. The practice of on-the-job-training is not planned. If a member of staff needs help, they can ask their supervisor. Generally, staff continue in their office after orientation and gather professional experience over time. The study found that DCCs also sometimes organize professional training at home and abroad. Every year the DCCs allocate a certain budget for skills development. The central government also provides various training opportunities to DCC staff, much like other government agents. Professional training is not adequate relative to the demands placed on staff. Due to the financial crisis, very few staff have the opportunity for professional training either in the country or abroad. Instead of formal training, the DCCs organize monthly, quarterly, half-yearly and yearly programs and projects meetings. During these meeting sessions, staffs have opportunity to learn from each other through the sharing of ideas, experiences and challenges at work. There is no formal mechanism for learning evaluation and reviewing learning feedback. The assumption is that trained staffs have a clear idea on their responsibilities. The study finds that learning has a small effect on strategic choices in the DCCs.

1.4 Solid waste management is incapable

The limited institutional capacity of Dhaka City Corporations have had a significant impact on solid waste management. There is a lack of proper policy goals, contextual strategies and adequate organizational capacity relative to resources, technologies and finances. Poor governance and ineffective service delivery is derived from an unstimulating strategic perspective, strategic practices which do not reflect the local context, and the limited institutional capacity of the DCCs as a whole.

The solid waste situation in Dhaka is a threat to the public health and city environment. The volume of waste generated in the city is now unmanageable due to a capacity crisis and other factors. Capacity constraints exist in terms of strategic, organizational, financial and technical resources. At present, solid waste management is only capable of meeting half (50%) of demand because of a lack of resources, logistics and financial resources. The approach of solid waste management lacks consistency, while coordination problems and the absence of community participation has weakened existing solid waste management organizational capacity.

The DCCs do not have a policy or strategy for solid waste management. For secondary waste handling, the DCCs have an established organogram like other public organizations. Following the waste hierarchy, the DCCs collect, transport and finally disposed of waste in landfill areas. The collection of primary waste is the responsibility of the community themselves according to DCC ordinances. No other operational guidelines are available for primary waste collection. The DCCs retain political control of primary waste collection through its community offices, but its management is inefficient there is political conflict at the community level.

The DCCs comply with other relevant strategies for solid waste management. In practice, there are many public agents including different ministries of central government working in the city. They have various policies and strategies related to DCC affairs. The DCCs do not have any plan for strategic coordination. The absence of strategic cohesion in most cases restricts the implementation of programs and negatively affects solid waste management capacity. In order to strengthen solid waste management the DCCs should seek to minimize existing strategic gaps and formulate a comprehensive strategy for coordination with a view towards improving solid waste governance in the city.

2 Theoretical evaluation

Chapter III indicated that this study would not evaluate any particular theories. Instead it operationalized the ideas that informed the research process and explored practical solutions to the problem of solid waste management in Dhaka. This section briefly discusses the theoretical understanding and contextual framework utilized for strategic analysis. Strategic capacity plays significant role in building institutional capacity. This can be done through formulating and implementing appropriate policies and strategies. For Minzberg (2001) strategy raises intriguing questions about intentions and behavior in a collective context. Sotarauta (2004) defined strategic capacity as the ability to make decisions about what to focus in the long-run and to set the strategic direction for development efforts. For evaluating the strategic capacity, Leibovitz et al., (2001) suggests five criteria with which to evaluate strategic capacity. (i) The process by which the individual organization learns. (ii) The creation of shared understanding and common conceptions of problems. (iii) The mobilization of common conceptions and understanding in the process of agenda setting. (iv) The capacity to engage in action that is consistent with evidence-based policy goals. (v) The ability to engage in strategic learning by monitoring and evaluating policy outcomes.

This study operationalized these ideas. The theoretical framework was mainly useful for methodological choices and the selection of themes for interview questions. When analyzing the findings, 'strategy' emerged as highly contextual concept that deals with a particular situation (Rumelt, 1979, p. 196). Contextual differences manifest in both strategic practices and the meaning of strategic capacity. While Mintzberg generalizes the idea of strategic perspective, Sotarauta and Leibovitz analyzed strategic capacity specifically with reference to the Finnish and British governance contexts. This study concentrates examined these themes in the Bangladeshi context. Given the contextual differences, the study did not evaluate theoretical appropriateness by analyzing the elements of strategic capacity. Instead, the study assessed the understanding of strategic perspectives and practices and their relationships to strategic institutional capacity building.

The study selected coding groups for analysis of findings by prioritizing the practical context rather than the theoretical framework. It found that DCCs personnel have a poor understanding of the role strategic capacity can play in developing effective and efficient governance processes. The existing strategic perspective in solid waste management has no relevance to the theoretical understanding. Moreover, strategic practices did not fit with the theoretical conceptualization of strategic capacity. The study concluded that having an appropriate strategic perspective on fostering effective

strategic practices is important. Strategic capacity can be used to improve institutional capacity and DCC governance in general and solid waste management in particular.

The study contributes to the scientific literature by adding a new perspective on strategic institutional capacity in urban governance and solid waste management. More specifically, the study enriches the solid waste management and strategic governance literature of developing countries. The analysis seeks to improve understanding of existing policy options that can build strategic capacity in solid waste management in a developing country context.

3 Policy recommendations

The findings and analysis suggest that effective governance, better solid waste services, and a strategic perspective should all be encouraged in the DCCs. This will facilitate institutional capacity building. The prioritization of a strategic perspective depends on how the relevant factors effectively work in an organization, however. Democratic practices should be exercised without central government interference and bureaucratic intervention. Holding democratic elections, establishing effective standing committees for functional accountability and a strong strategic apex to formulate policies and strategies would create an environment conducive to the fostering of a strategic perspective in the DCCs. In the long-run, a realistic strategic perspective will increase strategic capacity as a whole as well as improve institutional capacity.

The DCCs should set policy goals which enable it to cooperate and coordinate its working relations with the central government instead of the current inclusive–authoritative relations. The DCCs should emphasize institutional capacity building and increasing governance effectiveness and efficient solid waste service delivery. To reduce inefficiency in overall governance and solid waste management, the DCCs need impersonal interdepartmental relations within the organization. A specific working strategy is recommended to minimize existing conflicts and complex interdepartmental relations. This would improve work efficiency in governance and the effectiveness of solid waste management. At present, the community is ruled by the corporation due to the absence of appropriate policy and strategic guidelines. A specific policy and strategic guideline on community services and basic service delivery should be developed to encourage community participation.

The existing strategic practice is process focused. It ignores policy learning, lacks participation and innovation due to a number of practical barriers. The DCCs need a

more specific policy to encourage participatory and innovative strategic practices. The policy should encourage a bottom-up strategic approach and towards mobilize common understandings and concepts. Strategy formulation should be innovative and prioritize community participation and democratic practices in decision-making. It should focus on the emerging strategic situation instead of political considerations. It should improve the capacity of the strategic apex to learn and critically analyze policy and strategic issues.

Encouraging democratic decision-making processes related to strategic decision-making is vital for institutional capacity building. This creates innovative waves of organizational decisions. The study however recommends a working strategy to ensure participatory decision making for operating and administrative decisions. The DCCs should prioritize contextual demands instead of those of the central government or political parties. Decision maker's relations should be impersonal. To reduce institutional barriers, the DCCs need specific guidelines for proper administrative and legal initiatives on appropriate strategies and policies towards institutional capacity building. Existing strategies and policies are not in most cases implemented due to the financial limitations, lacking government instruction and political reasons. The DCCs should prioritize the implementation of available strategies and provisions for strategic evaluation.

The study found that the DCCs consider learning as a tool for individual staff development, but lacks understanding of organizational learning. The practice of learning should focus on organizational learning as whole, but it should focus on renewing organizational knowledge and expertise.

Gaps in policy and strategy have led to poor governance practices, weak leadership and political and bureaucratic interference. The DCCs do not presently have a resource-based plan to utilize effectively its solid waste management resources. A strategic sectoral focus can improve the situation by utilizing existing resources, which will increase resource capacity in the future.

There are a multiplicity of public agents working in Dhaka. The DCCs are responsible agent for basic service delivery and have to coordinate among other agents and comply with their strategies. Yet the DCCs do not have a coordination strategy or policy. Without such a policy in place, the DCCs will not be able to implement effectively its programs. A comprehensive strategy for coordination with other public agents would improve the situation in future.

4 Suggestion for further research

Central government intervention and bureaucratic influence had a negative effect on strategic urban governance and solid waste management capacity building in the Bangladeshi context. Seen through a strategic perspective theoretical theme, strategic capacity requires a stimulating environment for leadership in governance. The study found that the DCCs organization require a more appropriate contextual strategy to achieve its policy goals. Organizations demand proper systems, adequate resources, logistics and finance to ensure efficient governance and effective service delivery. Finally, through the solid waste management theme, the study found that overall strategic institutional capacity effects service delivery capacity.

This study looked at the Dhaka City Corporations (DCCs) through the eyes of 32 top and middle management representatives, using Minzberg's (1979) categorizations. It not only contributes to understanding the present role of top and middle management in strategic practices but also provides insights into organizational dilemmas related to strategic institutional capacity building. The challenges confronting the DCCs in improving strategic institutional capacity are relevant for any public organization. Studies using these ideas and theories in urban governance in Bangladesh typically do not reflect the local context. More research is needed in the area. Possible research themes include: how decisions are influenced and controlled in strategic practices in the DCCs; how cooperation between the central government and the DCCs can be accelerated; how institutional culture influences the DCC's organizational behavior.

To conclude, this research is of the few studies of developing countries in the field. It is the first study of the strategic institutional capacity of solid waste management in Bangladesh. Much more research could be done on the issues presented in this study to further analyze strategic institutional capacity in the urban governance and solid waste management. The situation in Bangladesh requires a great deal of research on macro and micro level effects to understand and improve institutional capacity in urban governance. This study serves as a contribution towards understanding this contextual theoretical framework.

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APPENDIX I

Details coding

Theme1	Democracy	Codes for analysis
Dimension1	Democratic practice in governance	Civic participation Leadership in governance Government control Capacity in leadership Functional accountability
Dimension2	Intergovernmental relationship	Government control Political interference Party belongingness
Dimension3	Interdepartmental relationship	Nature and mode of relationship Factors dominating relationship
Dimension4	Community Relationship	Legal bases of contact Forms of community contact Strategic gaps in community contact
Theme2	Strategic Practice	
Dimension1	Strategic Practices	Process of strategic decision and implementation Strategic evaluation Participation and innovation in strategic decision, Factors influencing strategic decisions Strategic cohesion
Dimension2	Decision making	Bureaucratic decision processes, Controlled and guided strategic decisions Nature of decision maker's relationships
Theme3	Strategic Institutional Capacity Context	
Dimension1	Institutional capacity building perspective	Strategic and policy gap exist Complex coordination in resource mobilization Crisis in strategic and policy implementation
Dimension2	Institutional learning	Training for skill development; Information exchange; and Absence of evaluation mechanism
Dimension3	Community relationship with corporation	Legal basis of contact Forms of community contact Strategic gaps in contact
Theme4	Solid Waste Management Perspective	
Dimension1	Solid Waste Situation in Dhaka	Sources of health hazards and environmental pollution Reasons behind.
Dimension2	Organizational capacity in SWM	Waste collection system, Resources capacity constraints, Coordination with other public agents, Community participation.
Dimension3	Strategic capacity of SWM	Existing strategic capacity Gaps in strategic capacity Strategic cohesion.

APENDIX II

Data sources and overview on interview

SI. No.	Name	Position in DCC	Education	Date Interview
<i>Strategic Apex</i>				
1	Dr. Shawkat Mostafa	Administrator, DSCC	Ph.D	15.01
2	Dr. Rakhai Chandra Barman	Administrator, DNCC	Ph.D	19.01
3	Mr. Md. Abu Sayed Sheikh	Secretary- DNCC	Masters	19.01
4	Khan Md. Rezaul Karim	Secretary- DSCC	Masters	15.01
5	Ward No.03	Counselor - DNCC	Graduate	16.01
6	Ward No.14	Counselor- DNCC	HSC	16.01
7	Ward No.19	Counselor- DNCC	SSC	20.02
8	Ward No.15	Counselor- DSCC	MA	20.02
9	Ward No.21	Counselor- DSCC	SSC	24.02
10	Ward No.22	Counselor- DSCC	HSC	24.02
11	Mr. BM Enamul Haque	Chief Executive Officer- DNCC	Masters	20.02
12	Mr. Md. Ansar Ali Khan	Chief Executive Officer- DSCC	Masters	22.01
13	Brig. Gen. Md. Gazi Firowz Rahman	Chief Engineer, DNCC	BSc. Eng.	26.01
14	Md. Habibur Rahaman	Chief Engineer, DSCC	BSc. Eng.	31.01
<i>Middle line</i>				
15	Captain Raquib Uddin	Chief Waste Management Officer-DSCC	Masters	22.01
16	Captain Bipon Shaha	Chief Waste Management Officer -DNCC	Masters	26.01
17	Md. Mahabubur Rahman	General Manager (Transport), DNCC	Masters	02.02
18	Khondokar Millatul Islam	General Manager (Transport), DSCC	Masters	06.02
19	Md. Aminul Islam	Chief Estate Officer, DNCC	Masters	18.02
20	Khalid Ahmed	Chief Estate Officer, DSCC	Masters	23.02
21	Brig. Gen. AKM Masud Ahsan	Chief Health Officer, DNCC	MBBS	12.02
22	Brig Gen. Md. Mahbubur Rahman	Chief Health Officer, DSCC	MBBS	10.02
23	Md. Amirul Islam	Chief Accounts Officer- DNCC	M.Com	04.02
24	Mohammad Mahmud Hossain	Chief Accounts Officer- DSCC	M.Com	05.02
<i>Technocrats</i>				
25	Dr. Tariq Bin Yusuf	Chief Town Planner-DNCC	Ph.D	23.02
26	Md. Sirajul Islam	Chief Town Planner-DSCC	MSc.	17.02
Total interviewees = N		26		

APPENDIX III

Questionnaire

DEPARTMENT OF MANAGEMENT STUDIES

THE SCHOOL OF MANAGEMENT, UNIVERSITY OF TAMPERE, FINLAND

Interview Schedule for Ph.D Research

Ph.D Title: Strategic Institutional Capacity (SIC) in Solid Waste Management (SWM):
The Case of Dhaka City Corporation (DCC) in Bangladesh

Researcher: SM Shafiqul Alam, smalamuta@gmail.com, The School of Management,
UTA

Supervisor: Professor Emeritus Risto Harisalo, The School of Management, UTA,
Finland

This study is an academic research into Strategic Institutional Capacity in Solid Waste Management: The Case of Dhaka City Corporation (DCC) in Bangladesh. To conduct the field study, the qualitative interview questionnaire is designed to collect data and opinion from most relevant respondents who are engaged in strategic positions at DCC. The potential respondents are hereby assured that information and opinion provided by them will be treated strictly confidential and used only for research purpose.

Identification of Interviewee

Name: Sex:
Current profession or position in DCC
Work Experience
Address: Contact No
Email

Basic Questions

About Democratic Practices:

1. How do you identify existing democratic practice in DCC governance?
2. Could you please tell about the existing relationship of DCC with central government agents?
3. Would you please tell us about the interdepartmental relationship of DCC?

4. How decisions are taken in DCC governance? How do you explain the existing relationship between decision makers?

About Strategic Practices:

5. How the strategies are formulated, implemented and evaluated in DCC governance?
6. What role do you play in initiating, formulating and implementing strategies and policies?

About Institutional Capacity building:

7. How do you see the present institutional capacity (organizational, technical and financial) of DCC?
8. From the existing strategic point of view (acts, policies and strategies) how do you analyze DCC as an institution?
9. How does DCC create learning mechanisms (training, education, sharing of information & experiences, interpersonal communication, and cultural adaptation) in its governance?
10. How does DCC evaluate and renewing its institutional capacities in managing its governance?

Solid Waste Management Problems:

11. How do you analyze the present solid waste problem in DCC? What are the main reasons behind this scenario?
12. Do you think that lacking strategic institutional capacities matter for Solid Waste Management (SWM)?
13. How and on what basis SWM serve its customers (community)? What are the gaps between strategic base and service delivery of SWM?
14. What are your suggestions for improving SWM in DCC?

APPENDIX IV

Picture of handling Solid Waste in Dhaka City





