Transfer and Adaptation of Innovative Practices for Public Service Delivery in LDCs: Collaborative Governance and the Role of Leadership: Case Studies in the Transfer and Adaptation of Innovative Practices for Improved Public Service Delivery in LDCs

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Executive Summary

This paper focuses on the transfer and adaptation of select innovative practices through the application of collaborative governance. We view success to be the culmination of preparation and opportunity. “Collaborative Governance,” used in this paper to describe public, private, and non-profit sectors coming together to achieve shared goals, is a function of these two factors. In the exploration of these three sectors, we highlight how they have all evolved to a point of singularity where shared efforts on similar goals are mutually beneficial. We seek collaboration to promote better public administration, and more importantly to encourage “governance” as opposed to “government.”

We note that much has been written on innovation and innovation transfer in UN publications and in particular in the Guide for the Transfer and Adaptation of Innovations in Governance. We encourage the review of that guide for practical tools and steps for adaptation. While any public administration model needs to be culturally and legally adaptive to the government organization in which it is practiced, the theory, practice and lessons learned are quite instructive in any setting. We write this paper with the greatest respect for all government organizations and public servants engaged in public administration. Finally, we present our findings with the greatest humility to suggest that collaborative governance and facilitative leadership are powerful tools to accomplish innovation transfer for LDCs.

We selected four case studies to highlight these applications in the fields of education, waste removal, mental health, and e-governance. Our case study selections have the greatest application to a majority if not all of the Millennium Development Goals (MDG’s), however they are notable for other important features in that they are all locally developed but easily replicated elsewhere, they provide simple, elegant and ingenious solutions, and they place minimal demands on infrastructure or financial resources of government.

1. The Price Charities, San Diego, California, United States of America, case study highlights how community building and cultivating leadership in the private sector can result in better access to education and reduced criminal activity.
2. The Advanced Locality Management, Mumbai, India, case study illustrates how collaborative governance engages all stakeholders and can help both reduce environmental harms caused through excessive refuse accumulation, while providing better labor outcomes for the poorest in society.
3. The Gateway to Success Initiative, Alhambra, California, United States of America, case study illustrates how private funding combined with involving community leaders and citizens can result in improved educational and mental health access in a community with rapidly changing cultural norms.
4. The Code for America, CitySourced and Adopt-a-Hydrant Apps, San Francisco, California, United States of America and Worldwide, case study demonstrates how non-profit organizations can connect local governments with communities and citizens, and help promote e-governance to save time and money while improving accountability, transparency, and collaboration.

History and Context for Innovation

The Millennium Declaration made at the 2000 World Summit elevated the urgency in seeking innovative solutions in the public sector as a way to combat challenges in governance. A global consensus continues to emerge that to achieve and sustain the Millennium Development Goals the public sector must be made more efficient, transparent and citizen-oriented. This resulted in a call to

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1 A United Nations Publication, 2007
2 United Nations Department of Economic and Social Affairs 2007, 5
hasten adapting innovations that have been effective around the world in order to meet the developments needed in the public sector to achieve development goals. Resolution 2005/55 recognized that all UN Member States, especially developing countries, would benefit from peer learning, sharing innovation experiences and sharing public sector. Institutions designed to help connect countries with the innovations to countries that can utilize them were created and promoted by the United Nations.

In the most recent Expert Group Meeting (EGM) organized by the United Nations (UN) Division for Public Administration and Development Management-Department of Economic and Social Affairs (DPADM/UNDESA), experts were requested to identify specific UN Millennium Development Goals (MDG) related to areas of service delivery and discuss the best ways to bring innovative solutions to all levels of governments of the Least Developed Countries (LDC’s). The meeting intended to tap the expertise and knowledge of experts to refine a new Project to build capacity of the public sector in LDC’s to deliver quality services equitably through the transfer and adaptation of innovative public administration practices. Discussion canvassed service delivery areas defined in the UN Istanbul Declaration identifying collaborative governance as an umbrella concept for promoting better public service delivery that could also help to select innovations for transfer. While the EGM may have been focused on LDC’s, the topic of “collaborative governance” can and will have a role in responsive, efficient and accountable delivery of public goods in achieving the MDG’s and UN’s post 2015 Development Agenda.

The Need for Innovation in Least Developed Countries

Least Developed Countries (LDCs) are particularly in need of innovations in the public sector to aid development and create better prospects for citizens. LDC’s face special circumstances that result in the standard transfer of innovation recommendations not being fully applicable or implementable. Specifically, according to various UN reports, LDCs lack financial resources, technological and human capacities and in many cases are challenged with security and rule of law issues that are well established in developed nations. While most LDC’s use the central form of government to administer public services, decentralization and local-level initiatives have shown promising outcomes throughout the world. More importantly local collaborations between sectors (Public-Private and NGO/NFP) have demonstrated the efficiency and effectiveness of “governance” over “government.” Therefore, best practices at the most local levels that involve inter-sectoral support as well as cases that increase government transparency and accountability are particularly remarkable.

The need for public sector innovation in LDCs continues to be an ongoing theme underlying the pursuit of the Millennium Development Goals. Generally, the movement toward the MDGs is characterized by uneven progress across the various goals, indicators, regions, countries, and localities. Recently, Secretary-General Ban Ki Moon stated that the MDGs have been “the most successful global anti-poverty push in history,” but at present only three out of the eight millennium development goals – on poverty, slums and water – have been met – and the progress has not been distributed equitably. MDG gaps in LDCs directly correlate to shortcomings in other areas of development, including financial resources, human capacities, and institutions. The inability to access innovative public service practices in LDCs restricts development potential, leading to a wide array of harms, including starvation, poor economic growth, and governmental instability. Achievement on MDG indicators and MDG’s in the post-2015 environment must rely on innovative strategies in public administration and governance.

3 United Nations, 2013
Innovation Transfer Challenges and Opportunities

For local-level transfer of innovation, the UN identifies eight approaches and methodologies. They are as follows:

- Information sharing
- Networks
- Capacity-building/knowledge based-training
- Databases and other portals on the internet
- Study tours
- Hiring experts
- Awards
- Recognition systems and practitioner to practitioner (peer to peer) transfers.

For LDCs, accomplishing some of these necessary steps, such as study tours and hiring experts, typically require financial resources, which remain quite limited. Put generally, a major question that needs to be answered in relation to LDCs is, “What will enable LDCs to implement all eight approaches and methodologies, as appropriate for their needs?” “Who are the necessary stakeholders to participate in the process?” “Are there methodologies that implement innovative best practices to reach desired goals?”

The objective of our study in this paper is to help identify innovations best suited for transfer to LDCs and to also develop inter-sectoral relationships that strengthen LDCs abilities to utilize all eight approaches to transfer and implement innovative best practices. Four case studies are highlighted in this paper with particularly relevant take-away lessons for LDCs through the context of cross-sectoral collaboration as a gateway to innovation transfer.

The Context for Innovation: Cross-Sectoral Collaboration

Cross-sectoral collaboration and facilitative leadership enable innovation and the transfer of innovative techniques. The start of the 21st century has ushered in circumstances that create higher levels of interdependence and predisposition for all three sectors. The private sector, the public sector, and the not-for-profit/non-governmental (NFP/CSO/NGO) sector complement each other with increasing complexity and contain high levels of foundational overlap. The distinctions between sectors are increasingly without difference. This creates new and complicated challenges, but it also creates unprecedented opportunities for inter-sectoral relationships in delivering important government functions, public goods or infrastructures and to solve socioeconomic problems.

Cross-sectoral arrangements address public policy and administration problems that cannot be easily [or efficiently] addressed by a single organization. Ansell and Gash (2008) provide a useful working definition for “collaborative governance,” defined as “a governing arrangement where one or more public agencies among themselves or directly engaging non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets.”

Inter-sectoral collaboration specifically presents a new way to organize over traditional hierarchical organizations, which often attribute the role of public administration direction to governments. Groups practicing inter-sectoral collaboration, work to redistribute power and control from a central

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4 United Nations Department of Economic and Social Affairs 2007, p 15
5 Ansell and Gash, 2008, p 544
authority to many vested actors who are individuals and groups. This sharing of power leads to innovation, cooperation, coordination and partnership on a higher level than is possible in typical hierarchical or bureaucratic systems. These collaborations address issues as diverse as HIV/AIDS, labor standards, obesity, corruption, delivery of public services from education, water, planning, engineering, trash hauling, development and construction of public infrastructures.

Undertaking collaborative governance undeniably creates challenges and necessities from all three sectors. A number of challenges are common to all three sectors, and must be tackled to enable effective collaborations. First, all three sectors need a comprehensive understanding of collaboration and a sufficient level of buy-in. Second, the challenge of capacity building, though it often manifests itself in very different ways for each sector, is pervasive and must be undertaken by all three sectors. Lack of capacity remains a challenge for LDCs when implementing techniques from other, often more developed countries. A third challenge is development, which must be viewed through a collective lens of governance, not solely public sector responsibility. Lastly, effective and strong leadership is necessary from all sectors.

### Table 1. Challenges of Cross-Sectoral Leadership

<table>
<thead>
<tr>
<th>General Challenges</th>
<th>Public Sector’s Challenge</th>
<th>Private Sector’s Challenge</th>
<th>NFP/CSO/NGO’s Challenge</th>
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<tr>
<td>Understand Collaboration</td>
<td>Establish policy predictability, stability and continuity</td>
<td>Develop an understanding of the other sector(s) motivations/intentions</td>
<td>Clear mission</td>
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<td>Capacity Building</td>
<td>Ongoing de-bureaucratization of the state</td>
<td>Implement, business with a “heart”; not charity but good business</td>
<td>Narrow focus taking reasonable risks</td>
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<tr>
<td>Development</td>
<td>Improve quality of public expenditures (eliminate waste)</td>
<td>Corporate Social Responsibility</td>
<td>Implement efficiencies</td>
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<tr>
<td>Leadership</td>
<td>Improve social insurance and the safety net</td>
<td>Acknowledge Complex Priorities: Customer, Employees and Shareholders</td>
<td>Stewardship of investments; both financial and social returns</td>
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<td></td>
<td>Fair and balanced tax policy</td>
<td>Resist dominance; it is short sighted</td>
<td>Leadership: Morally, ethically, persuasively</td>
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<tr>
<td></td>
<td>Promote investment and employment</td>
<td>Leadership: Learn to lead responsibly</td>
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In order to successfully tackle these challenges, organizations need structures in which they can operate safely and according to the requirements of the law. The rule of law and the available legal framework are a key to encourage productive inclusion of the private and NFP/CSO/NGO sectors into governance. Second, efficiencies in policy implementation, including transparency and accountability mechanisms lower the participation burden. Third, it is necessary to increase human capital through capacity building and educational interventions. Fourth, is the need to improve financial resources and management.

In a meta-analytical survey of the existing literature on collaborative governance, Ansell and Gash (2008) identified critical variables that will influence whether or not successful collaboration will be achieved. These variables include the prior history of conflict or cooperation, the incentives for stakeholders to participate, power and resources imbalances, leadership, and institutional design. Similarly, there are a number of factors within the collaborative process itself that are helpful, including face-to-face dialogue, trust building (social capital), and the development of commitment and shared understanding. Virtuous cycles of collaboration tend to develop when forums, networks, or organizations focus on “small wins” that deepen trust, commitment, and shared understanding.

Collaboration, however, requires more than just working together. A commitment to shared resources, power, and talent with no single individual or organization’s point of view dominating are absolute necessities. This is a particularly important aspect to define in the relationship between developed countries and LDCs, and in governance systems across cultural, ethnic, and political boundaries. Dominance undermines collaboration. Success can be defined as efficiency, quality, price and/or delivery. Assessing success of the collaborative efforts on a regular and methodic basis can build trust and shared commitment. Building upon positive feedback, trust and commitment can be a powerful driving force. Directly, there are certain elements of collaborative efforts that have been shown to be more effective:

- A common mission
- Interdependence of resources
- The use of facilitative leadership among equal partners, and
- The ability to respond to change

**The Role of Leadership**

Collaborative governance can only succeed in the context of strong leadership. Leaders empower, influence, compel, and propel the innovations that stem from collaboration. Due to its importance and primacy, it is worthwhile to outline and underscore what makes for successful leadership in driving transfer of innovation.

Superior leaders have a number of characteristics, including an understanding of mission, a vision for where the organization is going, and goals and values to achieve the mission and vision. Leaders embody a number of qualities, including humility, self-confidence, self-awareness, authenticity, and a commitment to teamwork. Table 2 outlines further the comportment and notable aspects of superior cross-sectoral leaders.

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6 Ansell and Gash, 2008, p 543
7 Ibid, p 543 and p 558-560
8 Ibid, p 561
Collaborative governance and strong inter-sectoral leadership are key components to facilitating the transfer of innovation in the context of LDCs. To illustrate these concepts in action and outline examples of the effective application of new approaches to enhance equitable delivery of citizen-oriented public services in LDCs, this paper now turns to the presentation of four illustrative case studies. While these cases may not factually or directly be applicable to various LDC’s, we hope that the analysis we provide and the lessons learned from them become a road map for various LDC projects.

**Case Study Selection Process and Case Studies**

All case studies focus on collaborative projects between sectors. Case studies are selected based on the criteria that they (1) involve community stakeholders, (2) have components that can be adaptable, (3) are based on private-public inter-sectoral relationships, (4) have benefited the
community in which they are implemented and (5) have a potential impact on the implementation of Millennium Development Goals.

The Price Charities case study highlights how community building combined with targeted private funding can result in better access to education, which in turn reduces crime. Advanced Locality Management case illustrates how collaborative governance that engages all stakeholders can help reduce environmental harms caused through excessive refuse accumulation, and at the same time increase job opportunities for the underserved. The Gateway to Success initiative illustrates how private funding combined with community stakeholders can result in improved educational and mental health access in a community with rapidly changing cultural norms. Finally, Code for America promotes e-governance innovations for citizen engagement and participation.

<table>
<thead>
<tr>
<th>Summary of Case Studies</th>
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<tr>
<td>City, State</td>
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<tr>
<td>San Diego, California</td>
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<td>Mumbai</td>
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<td>Alhambra, California</td>
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<td>Code for America</td>
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Case Study 1: Price Charities City Heights Initiative

Description

Founded in 1994 by Sol Price, the founder of Price Club (Costco), the Price Charities initiative in City Heights is an inter-sectoral approach to community development, including educational initiatives in a high-risk, multi-ethnic U.S. community near San Diego, California. Price Charities is “…a 501(c) 3 non-profit that focuses on real estate development and employing resources to improve the quality of life for residents in the City Heights neighborhood of San Diego.”

Summary

The Price Charities City Heights Initiative illustrates how an inter-sectoral partnership can result in successful transfer of innovation for educational and crime reduction achievements through community building initiatives. The City Heights neighborhood consists of sixteen sub-

9 Price Charities. Welcome.
neighborhoods. Within these neighborhoods, Price Charities provides private funding for projects, supports community engagement, and promotes technical assistance to build sustainable infrastructures that improve the quality of life within the community. Price Charities works with local government, non-profits and local businesses to help fund and implement community initiatives to improve living conditions for all community members.

The Problem

City Heights, which is approximately 6.4 km², has approximately 74,000 inhabitants, which makes it one of the densest communities in San Diego. Immigrants from Asia, Africa and Latin America account for nearly half of the population. Lack of educational resources and no community engagement of minority groups negatively impacted the community and created a vicious cycle that led to poor social mobility. One of the direct impacts was that children would choose gangs and crime over education and jobs.

The San Diego Unified School District, which is responsible for the City Heights community as well as the rest of San Diego, serves a total of 58,961 students in 94 schools. In large systems like this, it is difficult to create a narrow enough focus to help meet the needs of a community facing high poverty and illiteracy. School districts of this size can lack the resources needed to address the highly specialized problems they face.

Studies show that educational improvement and gang reduction requires parental and community engagement. School districts that are highly successful have very active parental and community involvement. Parent participation and engagement is not only crucial in helping form a partnership with the schools to better meet the needs of students, but parents are also responsible for ensuring their children are receiving what they need after school. This includes not becoming involved in criminal activity.

The high immigrant population in City Heights makes this an especially challenging problem. In general, immigrant populations have minimal trust for government officials and agencies, making community engagement complicated. Increasing this complication is the lack of participatory capacity. Only 63% of the population in City Heights has a high school diploma and nearly 1 out of 3 resident is not fluent in English. Finally, nearly 27% of the residents in City Heights lived below U.S. poverty standards. Increasing law enforcement presence alone is costly and also does not address the underlying problem.

The Solution

Sol Price, in conjunction with William Jones (two well-meaning philanthropists as well as business innovators), decided that they would invest in City Heights and bring development and build partnerships that were beneficial to the community as a whole. According to the Price Charities’ website, the City Heights Initiative is a holistic approach to the revitalization of all the neighborhoods in City Heights. The initiative focuses on using private resources and bringing all community stakeholders together to improve housing, retail, healthcare, education, social services,
public safety, job opportunities, and other quality of life issues and services. To date, the initiative has resulted in the building of a community center, an educational collaborative, and crime-reduction measures that include graffiti removal and neighborhood accountability for the greater good.

The Price Charities City Heights initiative has improved the community through building collaborations for all aspects of community development, but with an especially heavy focus on educational initiatives. Price Charities operates as a conduit for specifically oriented initiatives, which it funds and provides technical support to. Through a combination of skilled management as well as private funding, Price Charities has been able to build strong collaborative efforts between the public, private and non-profit sectors.

Utilizing the model of interagency and inter-sectoral collaboration, one of Price Charities’ most recent and highly successful initiatives at combating educational deficiencies in the community has been the City Heights Educational Collaborative (CHEC). The innovative educational initiative partners three City Heights San Diego Unified School District schools with San Diego State University School of Education, San Diego Education Association and Price Charities. The program has four collaborative corner stones: 1. Improve K-16 student achievement, 2. Provide solutions to school community problems through an active research agenda, 3. Develop 21st century life skills and 4. Promote business and community partnerships that provide resources and opportunities to educational attainment, wellness, college and career prospects, community and service learning, youth development, and mentoring programs.

This innovative model combines resources to fit within Price Charities’ holistic model of treating the problem as a whole.

By combining resources from local universities, multiple schools and Price Charities, the CHEC initiative improves school performance while also providing social services that may be lacking, such as providing counseling services for students as well as a parenting center to help parents better understand their children’s educational transitions. Price Charities also recently entered into another holistic educational collaboration that is designed to help children from “cradle to college or career” that also involves the San Diego Police Department to better focus on crime avoidance. Through these collaborative relationships, Price Charities and the government work together to significantly improve student achievement, better prepare educators and other professionals to serve in inner-city schools and enlist research skills of the San Diego State University to improve urban educational practices. Price Charities and the organizations also have built the educational collaboration models to be transferable to other locations.

In addition to educational initiatives, the Price Charities City Heights initiative has also helped to reduce gang and criminal opportunities for children within the community. Viewing crime as a community problem, Price Charities helps bring community members together to address issues together. Two of its large initiatives include the “Safety Initiative” and the “Clean and Safe Program.” The Safety Initiative relies on the same model of providing incentive based funding, helping to create collaboration between a lead organization and other organizations. The Safety Initiative provides a two-year grant to the Consensus Organizing Center at San Diego State University aimed at crime reduction. The Consensus Organizing Center focuses on teaching community residents to organize themselves as well as empowering citizens to access community

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18 ibid.
19 City Heights Educational Collaborative 2014
20 ibid.
21 Magee 2011
22 Price Charities. City Heights Initiative - Background, 2014
23 Magee 2011
resources and partner with policymakers to make their voices heard.\textsuperscript{25} The Clean and Safe Program provides funding and partnership with a different organization, the Urban Corps of San Diego County, to bring volunteers together that work on removing litter, graffiti and other public blights that could attract or support criminal activity.\textsuperscript{26}

\begin{quote}
Lessons Learned
\end{quote}

The key lesson learned from the Price Charities City Heights Initiative is how to implement a strong public-private administrative model. Price Charities’ model operates on two principles: 1. Provide funding to non-profits and public agency initiatives that holistically aide the community and 2. Bring agencies and organizations together to achieve a common mission. Prior to the Price Charities initiative, each entity, including separate government agencies, were individually responsible for only their mandates. Price Charities uses its financial capital to fund smaller projects that both public and private sector stakeholders have interests in. By forming more narrowly focused initiatives, Price Charities also creates a community-approach where all stakeholders are now responsible to contribute to the whole for success. Combining stakeholders in various sectors and then providing funding to enable them towards their common mission increases efficiency since everyone collaborates towards their common mission instead of funding multiple and disjointed projects independently.

Another lesson learned is how to adapt solutions to the special needs of a community. The partnerships Price Charities forms allow for focus on the problems of a specific community. City Heights needs solutions and interventions that are distinct from the rest of San Diego due to the density, diversity and poverty of the community. The largest need of the community is developing open communication and partnerships between an extremely diverse ethnic and socioeconomic population. One of City Heights’ problems was that citizens were not engaged to address problems common to all. Price Charities, in nearly all of its initiatives, works towards creating communication between all citizens and public leaders. Opening communication both helps empower the ordinarily disadvantaged citizens and also makes them partners in the public policy process.

This initiative’s approach also enables each collaborative partner to overcome problems collaborative governance models often face. From the private-citizen sector point of view, more open channels to government are created through a mission driven non-profit organization. In the public sector, the willingness to reduce bureaucracy between agencies increases efficiency through a sharing of power amongst government institutions. For example, multiple schools and other public agencies now work together to meet the needs of the community. Finally, Price Charities helps the promotion of responsible development from the private sector by illustrating to the private sector that their interests are best met through corporate responsibility. The financial needs of real estate developers and businesses in the community are now met while improving property values for residents and creating job opportunities for all through responsible mixed-use development.

Finally, Price Charities as a non-profit actor sets out with a clear mission and narrow focus on all initiatives it participates and manages. Price Charities strategically funds multiple mini-initiatives that are all a part of healing the whole. By breaking a large problem into smaller initiatives, the charity is better able to create collaboration between organizations with similar focuses and initiatives. The result is multiple organizations working towards a common goal, making collaboration possible.

\textsuperscript{25} Ibid
\textsuperscript{26} Ibid
Adaptability and Transfers

Price Charities’ collaborative governance model is highly adaptable to a variety of urban areas and societies. The model is especially useful to LDCs because it helps share the burden of costs associated with development and also focuses on efficient use of resources. The Price Charities’ model has already been shown to be adaptable to various cultures in a given community. Most recently, using the same model that was used in City Heights, Price Charities has begun smaller local-level initiatives in South America and Israel. In South America, Price Charities provides school supplies as well as training materials for local teachers. In Israel, educational initiatives are also being used as a bridge between the Arab population and Israeli government.

Key aspects that allow the Price Charities model to be adaptable and transferable include:

- Shared responsibility across sectors reduces strain on government systems
- Private funding helps support projects the government cannot afford alone (Price Charities as a private organization donates millions into projects)
- Willingness of new governance structure within projects (Education Collaborative allowed multiple separate entities to work together but retain their individual influence and credibility)
- Low cost because of participatory governance
- Cooperation, technical and financial support from the private, public and non-profit sectors
- Open communication and flow of information from the bottom (citizens) to the top (government) and vice versa.

Sustainability

The program’s sustainability is primarily based on its focus on building programs that treat a problem as a whole to reduce overall costs in the long run. By combining resources that already exist and getting agencies to cooperate with each other, the agencies are able to combat problems efficiently. Additionally, the success of the programs gains buy-in from community members and makes citizens partners in creating a better community. All stakeholders are expected to take ownership of the problem and help treat it together. This governance and engagement model creates joint responsibility and shared ownership. Since better communities help all stakeholders involved, all stakeholders (public, private and non-profit) want to ensure the progress made is kept and therefore sustain the programs once they are in place.

Case Study 2: Advanced Locality Management

Description

The Advanced Locality Management (ALM) initiative illustrates a collaborative case in which the Municipal Corporation of Greater Mumbai (MCGM) invites and empowers citizens to discuss and address environmental sustainability issues involving waste management.

27 Price Charities. Aprender y Crecer (Learning and Growing), 2014
28 Price Charities. Israel, 2014
Summary

The ALM initiative encourages collaboration between citizens and the local government to discuss waste management issues. It focuses on creating environmental awareness and promoting sustainable development. A number of organizations such as the World Bank and UNEP have acknowledged the achievements of ALMs; according to the Municipal Corporation of Greater Mumbai’s own reporting. In addition to encouraging participatory governance in a way that promotes environmental sustainability, which has been designated a Millennium Development Goal by the United Nations; ALMs have been recognized as a relative low-cost option.

The Problem

Mumbai’s large-scale urbanization and expansion of its human population have given rise to a large increase in waste generation within the city. Over 5000 tons of solid waste is generated per day in Mumbai, making it the second-highest solid-waste generating city in the world. Without appropriate disposal management, undisposed waste adversely impacts the environment, harms public health and curbs sustainable development. All of these harms are challenges to MCGM.

Waste management in Mumbai previously did not involve community participation or any joint community partnerships between the government and citizens. The Mumbai government is responsible for the waste management system for the entire city. MCGM is mainly involved in the street sweeping and waste collection. MCGM currently has 35,000 personnel employed. The Mumbai government is responsible to obtain vehicles for waste collection and transportation. The Mumbai government operates forty-five percent (45%) of waste transportation and the remaining 55% by contractors. Waste sorting and disposal is also under the responsibility of MCGM and largely operated by the private sector. Each Mumbai ward office organizes the daily functions.

Individual households are critical to efficient solid waste management since they produce substantial amounts of the solid waste. Inappropriate ways of waste disposal by each individual household not only leads to problems such as dirty street and overfilled bins, but also adds to the workload and the costs of waste management lowering Mumbai’s waste management efficiency. MCMG unsuccessfully tried frequently to instruct citizens on how to collect, store and dry their garbage through television and other advertising means.

Adding to the problem, the context of the local culture and Indian administrative style of governance. Prior to ALMs, there was no effective platform for citizens in Mumbai to jointly discuss and establish any partnership with MCMG to better deal with solid waste management. Citizens were completely dependent on the government to resolve local waste-management and cleaning issues. Citizens lacked mobilization and empowerment to change the methods or responsiveness of MCMG. Collectively, all of these problems resulted in low compliance of Municipal Solid Waste (MSW) rules 2000.

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30 Rathi, 2006
31 ENVIS Centre, 2010
32 The Bombay Community Public Trust, n.d.
33 Mahadevia, Pharate, & Mistry, 2005
34 Kenya, 2001
35 Zhu, Asnani, Zurbrugg, Anapolsky, & Mani, 2008
The Solution

Having realized the significance of community support in addressing solid waste as well as for the better service delivery, MCGM officials and six street committees initiated Advanced Locality Management at the end of 1997. ALM was established to build a partnership between MCGM and Mumbai citizens to deal with the municipal waste issue. Ultimately, 658 ALMs have been launched in all 24 wards of Mumbai.

ALMs have been a solution because they create a collaborative governance structures for waste management by empowering citizens to engage their government officials. The formation of ALM committees is based on the large population of Mumbai so all residents can be represented. First, representatives of residents in each building form a Local Committee (LC) or a housing society. The LC then hosts a weekly meeting to notify residents of problems occurring in a locality. If the problem is significant enough, the LC may request the Ward Office to form an ALM. Accordingly, an ALM consists of members from a single housing society or with a group of housing societies. In addition, shopkeepers can be included in an ALM committee. The ALM partnership includes residents, local business owners and the Ward Office (representative of the Mumbai government). The ALM is required by law to register in the local Ward Office. To ensure communication between the government and citizens, an appointed “Nodal Officer” has a monthly meeting with ALMs and joins the discussions about waste management.

The major responsibility of the appointed Nodal Officer, also known as the Officer on Special Duty (OSD), is to provide technical support and resolve waste management issues by following up on all actions required by citizens. The first meeting with a local ALM is to aim at identifying the major and minor waste management problems of the locality. Responding to people’s requests, the OSD coordinates with different departments of the MCGM at the ward level. The Additional Municipal Commissioner (AMC) reviews the performance of an ALM. In the case of non-resolved problems, the OSD is responsible to pass those issues to the AMC. In addition to the meeting with OSD, a representative of an ALM also has a monthly meeting with the AMC at the ward office that the AMC is registered in. The main theme is to address the unresolved local waste problems, which have been screened by AMC. Finally, there is a monthly or quarterly meeting for the entire region, providing a chance for further discussions among ALMs and other residents. Minutes of the meetings are circulated in ALMs. All and all, this represents very citizen engaged model of governance to address a very important waste management issue in an urban environment.

Apart from attending various meetings both at a registered Ward Office and their ALM, local residents are also responsible for waste segregation and littering prevention. Residents separate their waste into two kinds: dry (recyclable) and wet (bio-degradable) waste. People known as “rag-pickers,” are organized by NGOs and the MCGM to conduct door-to-door dry waste collection. Wet waste is composted at composting pits established by the MCGM at either the individual or community level. The MCGM helps collect and transports waste that cannot be disposed by individuals such as non-recyclable waste. Furthermore, each apartment or dwelling unit contributes Re 1 (or approximately $.01 US) per day to the common fund to maintain the operation.

NGOs and the private sector are also given a large role in the initiative. NGOs help facilitate cooperation between government and private companies. NGOs also train and organize rag pickers, who are essential to the entire process in the sense that they collect recyclable waste (dry) and

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36 Mahadevia Pharate & Mistry, 2005
38 Mahadevia Pharate & Mistry, 2005
39 Ibid
40 Ibid
substantially contribute to the cleanness of the streets. In return, the MCGM supports rag pickers with shelters and housing. The private sector’s major role resides in the technical and financial supports in waste collection, segregation and disposal like landfills.

The establishment of ALMs has resulted in several positive changes in Mumbai. First and foremost, the direct change of the ALM scheme can clearly be observed: streets are cleaner and awareness of environmental protection is popular. In addition, problems such as overflowing bins and street littering are landscapes of the past.

Lessons Learned

Overall, ALMs are innovative in two particular aspects. The first aspect is an innovation in public administration. Innovation in the public sector can be interpreted as a new way of implementation to deliver public service and/or achieve results. It could also be understood as a form of governance.41 Prior to the ALM initiative, the Mumbai government took full responsibility for waste management with average results. The ALM initiative is an innovative mechanism that alters the responsibility and makes citizens a valued asset in improving public service. The other innovation that the ALM initiative presents is environmental stewardship by RRR: Reduce, Reuse, and Recycle, which is initiated by residents.42 The waste is segregated and may be reused at where it is generated or the household level. Rag pickers, who earn an income from selling recycled waste they collect, contribute positively to waste management as a whole and to economic development.

The more understated but equally important change is that the ALM initiative creates an increasing trend in civic engagement and collaborative governance. In the past, cultural impacts as well as the administrative styles created a system where people depended on the government to deliver public service as well as to resolve all civic issues. The large size of Mumbai’s population limits the government’s ability to address each issue in a timely and effective manner when the government is the sole responsible sector. Without any input or citizen engagement, resolution limitations are inevitable since it is hard for policy makers to know what really happens on the ground with only a top-down governance approach. ALMs provide a conduit for a dual input that makes collaborative governance possible. OSD from the Mumbai government attend citizen-run ALM meetings and ALM representatives go to the Mumbai ward office to hear opinions from authorities. Community participation is reinforced after complaints are heard and problems are solved, creating a flow of information and accountability from the bottom-up and top-down. The ALM movement has created a culture of civic engagement that appears to be moving outside of waste management alone. The trends in Mumbai show that after the effective solid waste management initiative, local residents, using the same networks, have self-organized to solve other civic problems.

The collaboration between citizens and the government also creates an opportunity for the government to build trust amongst its citizens. Interaction between government officials and citizens to work towards a common goal provides a great opportunity to build people’s trust in the government and enhance mutual understandings between people and public administration. The establishment of ALMs ensures dialogues between government officials and citizen representatives. The relationship between the government and the people is transforming from an adversarial one to a cooperative one. Within this scheme, problems are clearly identified and solutions are created through iterative discussions.

Another key lesson is that low-cost programs can be critical to innovation transfer. The ALM initiative is cost effective. When compared to other waste management solutions in Mumbai, the

41 Transfer of innovations in Governance: Conceptual tools
42 Mahadevia Pharate & Mistry, 2005
ALM initiative has been proven to be the most economical.\textsuperscript{43} The net cost of waste management under MCGM, community participation and private involvement is between $35 and $44 per ton of waste. The remarkable reduction in costs originates from citizen participation and the effective waste sorting at the household level.

Last but not least, conflicts are a common feature during implementation of collaborations. Some problems such as disputes over choosing composting pits remain unsettled in Mumbai, but these minor issues have not interfered with the success of the initiative. In time, these small issues will be resolved through face-to-face interactions and negotiations, just as some of the other obstacles have resulted in satisfactory results because of the institutional design already in place and the social capital built among the actors.

One large obstacle during the early implementation phase that both citizens and government officials encountered with the ALM format was lack of citizens’ awareness of participation and environmental protection. A number of citizens failed or refused to embrace or even understand the significance of participation in governance. Some citizens accepted littering as a way of life in a big city. Other citizens were reluctant to contribute money to the general fund because they did not necessarily understand the problem. Cultural barriers existed where some citizens thought that it was only the government’s responsibility to manage public affairs or public management. Through education, actual delivery of services and public relations, residents were able to see achievements and improvements in the ALM initiatives improving their quality of life.

Other considerations to think about when initiating programs like the ALM initiative is that economically low-cost does not necessarily mean the program is low-cost at all levels. Although ALMs are financially minuscule, the human resource requirements are relatively high. Appointed officials are required to attend meetings, engage in civic discussion about municipal waste management, provide technical support to 658-formed ALMs, and coordinate the relationships between the ward office and citizens. In addition, the success of the program requires time commitments from all citizens. Community participation and personnel from NGOs, rag pickers in particular, are the fundamental driving force of the entire mechanism. Therefore, commitment to the program by all actors is truly a necessity.

Through collaboration and community participation, MCGM not only achieve desirable outcomes but also more significantly establish a good relationship with people, which lay a foundation for further public service delivery. This bottom-up approach, on the other hand, ignites people’s awareness of participation and sense of belonging to a community where solutions to policy and administration reside with citizens as opposed to just government. Governance as opposed to government makes this particular case study relevant and highly desirable as a model.

Adaptability and Transfers

The ALM scheme is highly applicable to a variety of urban areas and societies. Most prominently, the ALM approach is especially useful to LDCs because of its low-cost and citizen centric method. The ALM approach is also adaptable to various cultural sensitivities and social structures. Ultimately, the ALMs yielded quantifiable results in Mumbai by effectively reducing waste, resulting in cleaner and healthier streets. Replications of ALMs have already occurred in cities such as Delhi, illustrating the transferable nature of the model.\textsuperscript{44}

\textsuperscript{43} Rathi, 2006
\textsuperscript{44} Municipal Corporation of Greater Mumbai, n.d.
Key aspects that allow the ALM model (and Case Studies 1, 3, and 4) to be adaptable and transferable include:

- Open communication and flow of information from the bottom (citizens) to the top (government) and vice versa.
- Private funding creates joint ownership of the project (each apartment contributes Re 1 per day to the common fund to maintain the operation).
- Government willingness to invite citizens’ opinion (appointed officer attends the local ALM meeting & invite ALM representatives to general meetings).
- Low cost because of participatory governance.
- High participation rates because of initial “buy-in”.
- Cooperation from NGOs and Technical and financial support from the private sector.

**Sustainability**

In addition to the low costs of this participatory approach, grass roots housing societies or street committees are another factor that ensures the sustainability of the project. The ALM model creates a joint responsibility and shared ownership to stimulate citizens’ willingness to solve the problem with the government and take actions to succeed together, which in turn keeps the ALMs in action.

The other critical aspect is the willingness of the Mumbai government to be responsive to its citizens that ensures the sustainability of this project. The MCGM has changed its way of governance in addressing municipal waste management problems. By inviting the citizens to participate as well as all other stakeholders, more feasible solutions that address the concerns of citizens were developed. What’s more, technical support and incentives provided by the MCGM warrant the sustainability and effectiveness of ALMs’ scheme.

Finally, the strong institutional settings or design in the Mumbai waste management system are crucial to allowing the expansion of the ALM initiative. The registration of ALMs assures government supervision and adds legitimacy to what may otherwise be viewed as an informal association of citizens. The MCGM provides technical support and assist in resolving solid waste management issues by bringing all the sectors together to address waste management as a policy and public administration issue. Government’s role as an anchor for this collaboration cannot be discounted and indeed is one of the most important factors for a sustainable project.

**Case Study 3: Gateway to Success Program**

**Description**

The Alhambra Unified School District (AUSD), which is located in Los Angeles County, established a sustainable system that utilizes various current resources and collaborates with community partners to provide better educational and school health administration services.

**Summary**

Gateway to Success (GTS) is a program funded by the US Department of Education and implemented by AUSD.

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45 Bear, 2010
46 CSBA, 2013
Schools/Healthy Student Grant, the ultimate goals of this program focus on 1) safe school environments, 2) alcohol, tobacco, and other drug (ATOD) prevention, 3) parental and social relationships of students, 4) accesses of mental health services, and 5) enhancement of identification and service delivery to early childhood. Through partnerships with the Alhambra Police Department and other community agencies, AUSD created a collaborative and cohesive service system for providing safety, mental health, and early education services to all students in the district.

**The Problem**

AUSD has faced a changing population demographic, which combined with the 2008 financial crisis, made reaching the five goals outlined by the Safe Schools/Healthy Student grant challenging. AUSD serves the cities of Alhambra and Monterey Park as well as parts of Rosemead and South San Gabriel. During the past two decades, this area has experienced a cultural and demographic shift. Asian is now the predominating community while in 1990, Hispanics and Asians were equally represented. In the context of complex cultural and ethnic background shifts, providing mental health services through school initiatives face the challenges of dealing vastly with different client needs. Cultural diversity acts as an obstacle through the whole service process, from training counselors to communicating with clients.

Financial constraints have also been an obstacle to the school district. School-based services are usually capacity-constrained and resource-limited to confront the increasing needs of mental health services. Combined with the recession, AUSD faced limited capacity. In addition, the recession increased the need for mental health services in all areas. According to National Bureau of Economic Research, the recession in 2007 caused economic downturns, increased unemployment, depleted savings and aggravating psychosocial repercussion. AUSD serves a total of nineteen schools, which include thirteen K-8, five high schools and one adult school. AUSD has a high minority population, with its largest high school, Alhambra High School, having a 96% ethnic minority student-body population as of 2013.

The recession further limited mental health access to these families that already had difficulties accessing such services prior to the recession. Shortage of mental health services have significant negative impacts on students, including lower academic performance and lower physical fitness levels. In addition, failure to address students’ mental health problems lead to school safety issues such as school bullying and drug abuse. Leaving students with untreated mental health issues also continues to impact society since psychological issues often get worse in adulthood.

**The Solution**

To address the insufficiency of mental health services, AUSD used the SS/HS grant for the creation of a collaborative program known as Gateway to Success to provide a safe school environment. The grant helped create violence prevention programs, mental health development, and social and emotional support for students and families. To achieve its ultimate goals, GTS implemented multi-tiered approaches based on the public health framework, which includes:

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47 SS/HS Initiative, 2011
48 AUSD, 1995
49 City of Alhambra, 2013
50 Isidore, C., 2008
51 AUSD, 2014
52 US News, 2014
53 LACOE, 2014
- General strategies of identifying risk factors and protective factors to prevent possible problems.
- Early intervention based on early identification.
- Intensive treatment aimed on existing problems.\(^{54}\)

To achieve the first tier of alcohol, tobacco, and other drug prevention, AUSD applies both general and school-based strategies. Through GTS “cross-training” was implemented universally in the district for ATOD prevention.\(^{55}\) Multiple-topic training promotes necessary skills to prevent risky behavior. The aim of the training is to encourage changes towards a healthier school culture throughout the district. On the school level, collaboration with school-based agencies allows for more specialists on campus who can further promote preventative measures while cutting down on costs for AUSD. For example, AUSD’s subcontract with Pacific Clinics allows AUSD to provide after school alternatives for students.\(^{56}\) Together these collaborating actors work, as a sustainable service delivery system to meet clients’ needs.

To achieve tiers 2 and 3, GTS expanded its collaboration with other organizations even further. To implement early intervention, the AUSD collaborated with the Alhambra Police Department and implemented the Parent Project to provide parents with tips on how to effectively intervene in their children’s at-risk behavior. AUSD and the local police department also extended their collaboration by implementing a Juvenile Diversion Program, which consists of counseling services and courses about “non-violent and non-narcotic related offenses.”\(^{57}\) To increase access to both preventative and early-detection measures, GTS even set up counseling offices at local police departments within the district. Collaborating with the local police department is beneficial for GTS to establish sustainable relationship with clients and gain their trusts. Setting up offices in the already existing police department is a low-cost way of providing local level services.

In addition to law enforcement’s involvement in early detection and advanced intervention, GTS also developed partnerships with mental health providers. Partnerships with local universities allow graduate mental health students to deliver mental health services at individual schools within AUSD’s district. Under this partnership, over 100 clinical interns representing eight accredited universities participate in this program.\(^{58}\) The partnership allows families that were without medical care or that were unable to pay for services, to receive care and treatment. Local universities and GTS also started Special Education Preschool Program to provide services at preschool level. Graduate level students in this program provide services and consultation to preschool children and their families. This approach helps students in their daily school lives; therefore increase their adaption to transition of roles before and after compulsory education.

For social and emotional support of students, GTS includes the Parent/Student Advisory Boards in their management structure.\(^{59}\) The Parent/Student Advisory Boards include delegates from each school in the district. This approach ensures that unique needs of each school site and diversity of culture can be addressed. Meanwhile, as a result of strong engagement in the Parent/Student Advisory Boards, parents and students who had good experiences in this program become an important source of positive social promotion.

\(^{54}\) LACOE, 2014  
\(^{55}\) LACOE, 2014  
\(^{56}\) ECC, 2013  
\(^{57}\) Lopez, 2011  
\(^{58}\) Harris, 2013  
\(^{59}\) AUSD, 2010
Inter-sectoral collaboration and collaborative governance are the core element of GTS. After five year of implementation, partnerships with universities and local organizations have allowed development of a sustainable infrastructure and delivery system to ensure ongoing success.

Lessons Learned

Gateway to Success’s achievements can be traced to its collaboration with other organizations and its utilization of current resources to fulfill its ultimate goals. Reliance on project partners allows this program to minimize the financial and human resource inputs while at the same time it allows AUSD to maximize services. Collaboration is made stronger in this case due to a common mission to improve school safety that leads to an interdependence of resources. By collaborating with universities and local law enforcement, GTS is able to implement district-wide approaches on safety training and counseling services. GTS can provide appropriate services addressing different needs of each school through collaborative school-based associations. Great efforts on different dimensions make this program outstanding in school safety and student health area.

As a mental health program, training is an important part of its activities. GTS employs train-the-trainer models to support sustainability. Once service providers are trained, they become capable and certified as trainers. Combined with the sharing of resources, this model utilizes a practitioner-to-practitioner transfer of knowledge that is also used to build human capacity and knowledge. Collaborative governance in this case study allows for two of the eight critical elements to innovation transfer to be accomplished in an efficient way. The train-the-trainer model allows for knowledge transfer without additional burdens placed on the governmental organization.

Although no single leader is identified, leadership through GTS is critical to the success. The GTS initiative itself serves, as a leader by bringing all stakeholders together with an inspired vision, modeling a way for success, challenging the old process and encouraging all partners that change is possible. GTS enables means of communication and trust between all stakeholders at all levels. For example, at the resident stakeholder level, GTS accomplishes what is needed from an inter-sectoral leader. GTS gained great support from residents of the local cities it serves through good local activities and services. High engagement of local residents helps increase residents’ support for the initiative since they become a participating actor, not just observers. Parents and students can participate in project activities, learn more about this project, develop a network, build social capital, and feel part of the decisions to advance the project. Finally, the Parent/Student Advisory Boards results in a win-win situation that inspires the residents that change is happening for the better.

Adaptability and Transfers

Gateway to Success establishes a successful model of utilizing current resources and collaboration with community partners to provide services. Since this model is designed for conditions of economic decline, limited funding and has a primarily low-income target population, it shows that it is useful in cases where there are limited resources. What is particularly useful about the GTS model to LDCs is its multi-funding method that allows for adaptability to the current financial needs of a particular locality. Projects with limited funding like GTS can adapt the model of their choice in their financial planning. The core element is partnerships, which can reduce the stress put on government resources alone.

This program not only uses its grant on providing services, but also uses these funds to develop partnerships with other organizations, allowing it to rely on its partners to provide services that it cannot. This principle of funding and partnership can be applied to other service deficits in other sectors. After five years of implementation, GTS is now a sustainable service system. With
excellent services and trustworthy partnerships, this award winning program has gained its reputation and continues expanding without increasing the need for additional resources.

**Sustainability**

The critical elements to the sustainability of the GTS program are its common mission across resource providers as well as the resourceful use of grant funds. The GTS model creates a common mission for parents, service providers and the school. Together, the individual stakeholders contribute to the program and students’ success. This relieves the burden on the school district for being the only responsible agent for student success.

The second critical element is the fiscally responsible use of grant funds. AUSD used the funds towards building relationships and utilizing structures, such as the local police department or universities, to expand its reach. By focusing and training what already exists, the program becomes sustainable for long term.

**Case Study 4: Code for America Apps: CitySourced and Adopt-a-Hydrant**

**Description**

Code for America designs different smartphone apps to increase civil participation in governance, and to help solve civic problems. CitySourced, one of the apps, is used as a civic engagement platform to empower residents to identify civic issues and report to local government. Adopt-a-Hydrant, another app, is designed to forge collaborations through mapping locations of fire hydrants for volunteers to ensure public safety.

**Summary**

Code for America Labs, Inc. is a non-profit organization that envisions a government by the people, for the people, that works in the 21\textsuperscript{st} century. One major mission of Code for America is to use technology innovation to help connect citizens and governments to design better services. Based in San Francisco, Code for America takes advantage of nearby Silicon Valley technology innovations to help achieve its goal. It provides fellowships to encourage applications of information technology, especially smartphone apps to enhance e-governance.

In this case study, we focus on two apps that encourage citizens to participate in governance based on similar but not exactly the same model. Both CitySourced and Adopt-a-Hydrant use digital mapping systems and Geographic Information System to identify and address public administration concerns. However, CitySourced works more like a connection between local governments and citizens to increase information transition, while Adopt-a-Hydrant focuses more on encouraging local volunteers to ensure public safety.

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60 CitySourced, 2014
61 Adopt-a-Hydrant, 2014
62 Code of America, 2014
63 CitySourced, 2014
64 Adopt-a-Hydrant, 2014
The Problem

Local-level governments often face limited budgeting and human resource issues in public management. While they are closest to citizens for purposes of interactions, their lack of resources typically prevent them from addressing public safety concerns on an effective and timely manner. Even the most trivial civic infrastructure issues can be hazardous and can cause serious public safety concerns.

For example, during winter storms a crucial tool for fire fighters, a fire hydrant is buried under snow or debris making it impossible to find and use quickly. Once found, fire fighters spend precious minutes shoveling out hydrants before they can start fighting the primary reason for which they were called. With thousands of fire hydrants, most cities simply don't have the resources to keep them visible especially during snowstorms. Similarly, challenges of public works on public streets like potholes can quickly become hazardous and further deteriorate the quality of the roadway. Local governments have been challenged to address simple but yet important public administration issues such as the two mentioned above.

The Solution

To solve the local public administration issues quickly, the key is to reduce the transaction cost of communications between local governments and citizens. Recent technology innovations provide great opportunities. The mobile innovations in current years like smartphone apps provide an amazing platform for citizen engagement with real issues confronting their communities. Using various innovations in technology available in California, Code for America organized groups of innovators to address these and other public administration issues facing local governments.

CitySourced is providing a free, simple, and intuitive platform empowering residents to participate in public works concerns of the community. Citizens identify a dangerous condition, take a picture with their smart phone and promptly communicate the condition to their local government without much effort or cost. It’s an opportunity for government to use technology to save time and money plus improve accountability to those they govern; and a positive, collaborative platform for real action. Also, the app provides different versions for different types of users. Government officials can easily integrate the CitySourced app with their own administration system, so they don’t need to spend long time to learn using the system or responding to the needs highlighted in the communication. The general version for citizens is much more user friendly for prompt action.

CitySourced focuses on communicating sourced information to responsible governments for prompt action. Adopt-a-Hydrant on the other hand encourages collaboration between the government and volunteer citizens to take initiatives for the benefit of all. The app is based on the system of Google maps. After the city government deploys the app, citizens and community organizations can download the app for free and locate a hydrant that they wish to adopt so that they are responsible in keeping the hydrant accessible at all times including during storms. This in turn saves firefighters precious time in fighting fires in the performance of their duties in the community they serve.

Both apps have achieved great success after several years since their launch. CitySourced has spread to about 30 cities around United States, with more and more local governments joining the group. Adopt-a-Hydrant is officially adopted in seven cities in the United States and Canada.

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66 Andrews, van de Walle, 2012
67 Code of America Commons, 2014
68 CitySourced, 2014
Lessons Learned

Both cases show the importance of collaboration between sectors and more particularly with local NGOs in the use of technology for the delivery of simple but effective innovations to reduce the burden on local government administration. By promoting the e-governance model, collaborating organizations undoubtedly increase accountability, transparency, and efficiency.

CitySourced is quite easy to use, but remains without a criterion to screen out the useful information from not useful information. That being said, citizen engagement is still more valuable than the alternative. The model of Adopt-a-Hydrant has great similarities to our case study number 2 (Mumbai) above. Through collaboration and community participation, adopting a hydrant not only achieves desirable outcomes but also more significantly establishes a good relationship with people, which lay a foundation for further public service delivery. This bottom-up and distributive approach, on the other hand, ignites people’s awareness of participation and sense of belonging to a community where solutions to policy and administration reside with citizens as opposed to just government. Governance as opposed to government again makes this particular case study relevant and highly desirable as a model.

Adaptability and Sustainability

Generally, the adaptability of technology innovations requires large enough coverage of technology and devices using technology at local levels of government, which can be an issue for LDC’s. That being said as technology is without boundaries, LDC’s are encouraged to reach out to various NGO’s and innovators around the world to help with these simple public administration concerns. We learned that similar technologies have been successfully implemented in several European countries, UAE, Kenya, and Australia. The platforms already exist; taking initiative and exploring the possibilities through sectoral collaborations is key for LDC’s.

Conclusion

Transfer and implementation of innovations in LDCs pose unique challenges as well as unique rewards. As we alluded to earlier, the objective of our study in this paper is to help identify innovations best suited for transfer for LDCs, and to also develop inter-sectoral relationships that strengthen LDCs abilities to utilize all approaches to transfer and implement innovative best practices. Our bottom up or local community driven examples illustrate the importance of information sharing, creation of networks, capacity building, knowledge-based training, nurturing collaborations between sectors, empowering citizens for action and leadership. Our focus on community building, civic engagement and inter-sectoral leadership models that engage the public, private and not for profit sectors are intentional. In our review of the scholarship, and innovations around the world, we find particularly interesting the take-away lessons for LDCs through the context of cross-sectoral collaboration as a gateway to innovation transfer. We have seen collaboration to promote innovation on various dimensions. Collaboration has the potential to cover multilevel partnerships such as between levels of governments as well as collaboration between the government, private sector, NGO’s, civil society CSO’s and not for profit organizations and stakeholders. The common characteristics we note among our case studies as well as other innovations we reviewed for this paper, are simple, effective, cost efficient, sustainable, responsive to the needs of citizens, consistent with policy and legal frameworks, highlight the leadership of
government officials or NGO’s, achieve short term goals by scoring “quick wins” and build capacity for long term impacts for sustainable development.

Last but not least, the UNPSA winners in 2010 most often reported that the pre-conditions they relied on for success in the transfer of innovations were:

1. Attitudinal—such as political will, public enthusiasm and stakeholder support
2. Technical—including technology, human capital with special skills and methods
3. Enabling Mechanisms—most often found in legal regulatory frameworks, administrative structures and participatory processes.

This paper, additional references provided and attachments for the workshop, capture some of the key issues surrounding collaborative governance as it relates to the effective transfer of innovation. More detailed discussion and guidance on the practical tools and steps for innovation transfer can be found in UN publications and resources.

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69 See Attachment 5 – Additional References
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The MDGs were developed out of the eight chapters of the Millennium Declaration, signed in September 2000. There are eight goals with 21 targets, and a series of measurable indicators for each target.

Goal 1: Eradicate extreme poverty and hunger

Target 1A: Halve the proportion of people living on less than $1 a day
- Proportion of population below $1 per day (PPP values)
- Poverty gap ratio [incidence x depth of poverty]
- Share of poorest quintile in national consumption

Target 1B: Achieve Decent Employment for Women, Men, and Young People
- GDP Growth per Employed Person
- Employment Rate
- Proportion of employed population below $1 per day (PPP values)
- Proportion of family-based workers in employed population

Target 1C: Halve the proportion of people who suffer from hunger
- Prevalence of underweight children under five years of age
- Proportion of population below minimum level of dietary energy consumption

Goal 2: Achieve universal primary education

Target 2A: By 2015, all children can complete a full course of primary schooling, girls and boys
- Enrollment in primary education
- Completion of primary education

Goal 3: Promote gender equality and empower women

Target 3A: Eliminate gender disparity in primary and secondary education preferably by 2005, and at all levels by 2015
- Ratios of girls to boys in primary, secondary and tertiary education
- Share of women in wage employment in the non-agricultural sector
- Proportion of seats held by women in national parliament
- For girls in some regions, education remains elusive
- Poverty is a major barrier to education, especially among older girls
- In every developing region except the CIS, men outnumber women in paid employment
- Women are largely relegated to more vulnerable forms of employment
- Women are over-represented in informal employment, with its lack of benefits and security
- Top-level jobs still go to men — to an overwhelming degree
- Women are slowly rising to political power, but mainly when boosted by quotas and other special measures

Goal 4: Reduce child mortality rates

Target 4A: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate
- Under-five mortality rate
- Infant (under 1) mortality rate
- Proportion of 1-year-old children immunized against measles

Goal 5: Improve maternal health

Target 5A: Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio
- Maternal mortality ratio
• Proportion of births attended by skilled health personnel

Target 5B: Achieve, by 2015, universal access to reproductive health
• Contraceptive prevalence rate
• Adolescent birth rate
• Antenatal care coverage
• Unmet need for family planning

Goal 6: Combat HIV/AIDS, malaria, and other diseases

Target 6A: Have halted by 2015 and begun to reverse the spread of HIV/AIDS
• HIV prevalence among population aged 15–24 years
• Condom use at last high-risk sex
• Proportion of population aged 15–24 years with comprehensive correct knowledge of HIV/AIDS

Target 6B: Achieve, by 2010, universal access to treatment for HIV/AIDS for all those who need it
• Proportion of population with advanced HIV infection with access to antiretroviral drugs

Target 6C: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases
• Prevalence and death rates associated with malaria
• Proportion of children under 5 sleeping under insecticide-treated bednets
• Proportion of children under 5 with fever who are treated with appropriate anti-malarial drugs
• Incidence, prevalence and death rates associated with tuberculosis
• Proportion of tuberculosis cases detected and cured under DOTS (Directly Observed Treatment Short Course)

Goal 7: Ensure environmental sustainability

Target 7A: Integrate the principles of sustainable development into country policies and programs; reverse loss of environmental resources

Target 7B: Reduce biodiversity loss, achieving, by 2010, a significant reduction in the rate of loss
• Proportion of land area covered by forest
• CO₂ emissions, total, per capita and per $1 GDP (PPP)
• Consumption of ozone-depleting substances
• Proportion of fish stocks within safe biological limits
• Proportion of total water resources used
• Proportion of terrestrial and marine areas protected
• Proportion of species threatened with extinction

Target 7C: Halve, by 2015, the proportion of the population without sustainable access to safe drinking water and basic sanitation (for more information see the entry on water supply)
• Proportion of population with sustainable access to an improved water source, urban and rural
• Proportion of urban population with access to improved sanitation

Target 7D: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum-dwellers
• Proportion of urban population living in slums

Goal 8: Develop a global partnership for development

Target 8A: Develop further an open, rule-based, predictable, non-discriminatory trading and financial system
• Includes a commitment to good governance, development, and poverty reduction – both nationally and internationally
Target 8B: Address the Special Needs of the Least Developed Countries (LDCs)
- Includes: tariff and quota free access for LDC exports; enhanced programme of debt relief for HIPC and cancellation of official bilateral debt; and more generous ODA (Official Development Assistance) for countries committed to poverty reduction

Target 8C: Address the special needs of landlocked developing countries and small island developing States
- Through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly

Target 8D: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term

Some of the indicators listed below are monitored separately for the least developed countries (LDCs), Africa, landlocked developing countries and small island developing States.
- Official development assistance (ODA):
  o Net ODA, total and to LDCs, as percentage of OECD/DAC donors’ GNI
  o Proportion of total sector-allocable ODA of OECD/DAC donors to basic social services (basic education, primary health care, nutrition, safe water and sanitation)
  o Proportion of bilateral ODA of OECD/DAC donors that is untied
  o ODA received in landlocked countries as proportion of their GNIs
  o ODA received in small island developing States as proportion of their GNIs
- Market access:
  o Proportion of total developed country imports (by value and excluding arms) from developing countries and from LDCs, admitted free of duty
  o Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries
  o Agricultural support estimate for OECD countries as percentage of their GDP
  o Proportion of ODA provided to help build trade capacity
- Debt sustainability:
  o Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative)
  o Debt relief committed under HIPC initiative, US$
  o Debt service as a percentage of exports of goods and services

Target 8E: In co-operation with pharmaceutical companies, provide access to affordable, essential drugs in developing countries
- Proportion of population with access to affordable essential drugs on a sustainable basis

Target 8F: In co-operation with the private sector, make available the benefits of new technologies, especially information and communications
- Telephone lines and cellular subscribers per 100 population
- Personal computers in use per 100 population
- Internet users per 100 Population
**ATTACHMENT 2: Transfer criteria**

*Source: UNDESA 2007:38*

<table>
<thead>
<tr>
<th>Criteria to Establish the Practice’s Transfer Potential</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Locally grown</strong></td>
</tr>
<tr>
<td>The exemplary practice should have been initiated by</td>
</tr>
<tr>
<td>the public organization itself. The initiative should</td>
</tr>
<tr>
<td>be socially accepted by its targeted beneficiaries.</td>
</tr>
<tr>
<td><strong>Simple and implementable in one year</strong></td>
</tr>
<tr>
<td>The initiative is easily replicable and can progress</td>
</tr>
<tr>
<td>to the “application stage” in a relatively short</td>
</tr>
<tr>
<td>timeframe.</td>
</tr>
<tr>
<td><strong>Proven and effective solutions to common or similar</strong></td>
</tr>
<tr>
<td>problems</td>
</tr>
<tr>
<td>The exemplary practice has operationally demonstrated</td>
</tr>
<tr>
<td>and proven over a reasonable period to be an effective</td>
</tr>
<tr>
<td>response to the identified needs of its target</td>
</tr>
<tr>
<td>beneficiaries. It also means that the initiative has</td>
</tr>
<tr>
<td>significantly contributed to improve the social and</td>
</tr>
<tr>
<td>material conditions of the beneficiaries.</td>
</tr>
<tr>
<td><strong>Documented exemplary practice</strong></td>
</tr>
<tr>
<td>Conceding other features of the exemplary practices</td>
</tr>
<tr>
<td>to be equal, preference should be given to initiatives</td>
</tr>
<tr>
<td>that have existing documentation of the benefits,</td>
</tr>
<tr>
<td>key milestone, success and hindering factors, results,</td>
</tr>
<tr>
<td>key stakeholders, processes and mechanisms.</td>
</tr>
<tr>
<td><strong>Demonstrated level of sustainability</strong></td>
</tr>
<tr>
<td>Including: it has been in place for a considerable</td>
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<tr>
<td>amount of time; it survived the arrival of a new</td>
</tr>
<tr>
<td>administration; it has become a permanent programme or</td>
</tr>
<tr>
<td>structure; the community as well as executive/legislative</td>
</tr>
<tr>
<td>bodies are involved in/supportive of it; related</td>
</tr>
<tr>
<td>legislation is in place;</td>
</tr>
<tr>
<td><strong>Least possible cost and effort to replicate</strong></td>
</tr>
<tr>
<td>The exemplary practice will not require huge amounts</td>
</tr>
<tr>
<td>of resources or funding to replicate and is easy to</td>
</tr>
<tr>
<td>implement. It is a “common sense idea” as opposed to a</td>
</tr>
<tr>
<td>capital intensive project.</td>
</tr>
<tr>
<td><strong>Potential for multiplier effect or further replication</strong></td>
</tr>
<tr>
<td>The exemplary practice has the potential to address</td>
</tr>
<tr>
<td>other needs or deliver services beyond those originally</td>
</tr>
<tr>
<td>targeted or intended (CityNet, UNDP and UNCHS, 1998).</td>
</tr>
<tr>
<td>Inputs required (Preconditions)</td>
</tr>
<tr>
<td>---------------------------------</td>
</tr>
<tr>
<td>Describe if possible</td>
</tr>
<tr>
<td>Infrastructure</td>
</tr>
<tr>
<td>Funding</td>
</tr>
<tr>
<td>Partners (who)</td>
</tr>
<tr>
<td>Political will / leadership</td>
</tr>
<tr>
<td>Support of the public or community</td>
</tr>
<tr>
<td>Support of public officials</td>
</tr>
<tr>
<td>Technical capacity / skills (e.g. IT)</td>
</tr>
<tr>
<td>External skills/ advice</td>
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<tr>
<td>Other common Pre-condition:</td>
</tr>
<tr>
<td>Other specific Pre-condition:</td>
</tr>
</tbody>
</table>
ATTACHMENT 4- CHECKLIST: Assessing innovations for transfer

WORKSHOP EXERCISE TBA

Adapted from UNDESA 2007: 37-38 Matching demand with supply; Table 6: Criteria to establish the practices transfer potential

Public Value

What problem will the innovation address? How will it make a difference to the problem, for example?

- What issue/problem (or condition) did the origin government want to address by implementing this innovation in the first place?
- What were the key results or benefits resulting from that practice?

How do we know this innovation is the right thing to do, for example?

- What are the objectives of the innovation?
- What are the key implementation steps?
- Who are the main stakeholders who need to be involved?
- What is the timeframe needed to replicate the innovation?

Authorising Environment

What kind of political and legal support is needed to implement the transfer, for example:

- Government approval or endorsement
- Legal framework
- Administrative rules
- Others.

Are resources and/or funding available, for example?

- Is resourcing adequate to realize and sustain the initiative?
- Are other funding sources available?

Who are the stakeholders, for example?

- Citizens – which groups
- Politicians – which levels of government
- Public officials – managers / staff / others
- Private businesses – which sectors
- Not-for-profit organisations / NGOs
- Media
- Research / academic / professional associations and networks
- Donors / cross-border support programs
- Others.
Operational Capacity

How would the transfer affect the organisation, for example?
  - Is the organisation willing to learn and change?
  - Would the organisation need to be restructured?
  - Is the innovation consistent with the organisation’s style of management?

What capacities and resources from inside and outside do we need, for example?
  - Infrastructure / Technology / Skills / Communication methods

What operational changes do we need to make to integrate the innovation, for example?
  - Location of the service / Delivery hours / Coordination with other services
ATTACHMENT 5- ADDITIONAL REFERENCES


Kyrili K and M Martin 2012 The Impact of the Global Economic Crisis on the Budgets of Low-Income Countries: A research report for Oxfam Development Finance International 2010


Economist Intelligence Unit 2012 Smart policies to close the digital divide: Best practices from around the world


