



Environment

Water & Environmental Sanitation Network
(WES-Net India)



Solution Exchange for WES-Net India Consolidated Reply

Query: State and Non-State Actors in WSS Service Delivery, from Independent Consultant, Lucknow (Experiences).

Compiled by Jyotsna Bapat, Resource Person and Moderator; additional research provided by Ramya Gopalan, Research Associate
13 May 2006

Original Query: Padmaja Nair, Independent Consultant, Lucknow

Posted: 07 April 2006

As an independent consultant involved in water supply and sanitation (WSS) service delivery, I frequently am asked to design projects that involve collaboration between State and Non-State actors (NGOs, PRIs, CBOs, FBOs, Private sector, etc.) in the delivery of drinking water and sanitation services to the poor communities in both the rural and urban areas.

I am sure there are a lot of initiatives in WSS sector out there, where collaboration between the State and the Non-State service providers has been successfully implemented.

I would like members to share their experience, knowledge, information, related to successful partnership between State and Non-State actors, on the following lines, where these actors are engaged in the delivery of water and sanitation services:

- Forms of organizational relationships or partnerships that were used operationally
- Nature of Formal or informal arrangement on partnership/ collaboration between them
- The factors within a state that promote such collaboration

Look forward to responses

Responses received with thanks from:

1. [R.K. Pandey](#), AFPRO, New Delhi
2. [Vinod Vyasulu](#), CBPS, Bangalore ([Response 1](#), [Response 2](#))
3. [Padmaja Nair](#), Independent Consultant, Lucknow
4. [Anil Dutt Vyas](#), Asian Development Bank, Ahmedabad
5. [Anuradha Saxena](#), UNDP, New Delhi
6. [Chetan Vaidya](#), Indo-USFIRE Project, New Delhi ([Response 1](#), [Response 2](#))

7. [Debasish Bhattacharjee](#), Asian Development Bank, New Delhi
8. [Diwakar Sinha](#), Environment & HRD, UARWSES, Dehradun
9. [Ashoke Chatterjee](#), WATSAN Resource Centre, Ahmedabad
10. [Prakasam Tata](#), Tata Associates International, Naperville, USA
11. Jasveen Jairath, Capnet SA, Hyderabad ([Response 1](#), [Response 2](#))
12. [Sharadbala Joshi](#), Loughborough University, Leicestershire, UK
13. [Anand Shekhar](#), WaterAid India-Regional Office East, New Delhi
14. [Jaishree Sisodiya](#), Gramin Vikas Trust, Rajasthan
15. [Premila Nazareth Satyanand](#), Consultant, Water and Sanitation Programme, New Delhi
16. [Smita Mishra Panda](#), IRMA, Ahmedabad
17. [Bhawna Vajpai](#), Water and Sanitation Consultant, New Delhi
18. [Adil Ali](#), The Hunger Project (THP), New Delhi

Further contributions are welcome!

Summary of Responses

The responses to the query addressed the vast canvas of Public Private Partnerships (PPP) existing in India's urban and rural water sanitation sector (WSS). The members discussed the larger issue of sector reform, including debates on the origin of the reforms leading to these partnerships and the merits and demerits of PPP. They also provided their experiences, shared as case studies.

Members alluded to one possible reason for the **promotion of PPP**, as the public sector's failure to deliver services; in this historically public sector dominated service delivery area. On the other hand, members felt relying on the private sector for critical functions (like water and sanitation) sacrifices transparency and accountability. At the same time, members felt that the level of professionalism and transparency in the private sector is superior to the public sector. The key issues arising from this discussion highlighted that transparency stems from competition, regulation and enforcement rather than forms of ownership.

Respondents also mentioned partnerships might be developing, because of the sector reforms. Additional research suggests that the public sector is responding to sector reforms by adopting changes in their [organizational structure](#) and [institutional culture](#). Within these partnerships, members opined, citizens need sufficient social space to play a participatory role as consumers in order to strengthen the partnerships.

In the context of sector reforms, members cited several factors, which promote private sector partnerships. The points mentioned by members included:

- No financing for water supply and sanitation projects
- Lack of service delivery and problem solving skills by the bureaucratic state level public sector service providers
- Insufficient regulatory framework to address consumer grievances
- Weak civil society pressure in the form of a social movement to demand the necessary regulatory framework

Moreover, the members pointed out the issues of governance and accountability to the consumers are the **necessary supporting structures for PPP**.

The responses reflected the different ways the concept of 'private partnerships' are understood. Members broadly referred to "private partners" as anyone from an individual private provider (like a petrol pump owner) to a community-based organization (CBOs) to more organized private companies.

The arrangement between partners, members explained can be [formal or informal](#). Formal collaborations have a specific project timeline and management structure. The informal type of relationship is primarily trust based, with the public sector provider monitoring the private partner's functioning.

Members provided **several experiences**, which illustrate the components of a successful PPP. One member mentioned the strong partnership project in [Gujarat](#) as an example. The partnership developed by the project provided communities with the opportunity to design their own financing arrangements, while maintaining a formal relationship with the municipal corporation. It emphasized the role of individuals forming an important basis for partnerships between local governments and other non-state actors. Projects in [Uttaranchal](#), cited by a member, indicated that factors at the state level are instrumental in carrying out community lead projects/programs. Those factors are political will, appropriate government policies, devolution of funds, functions and functionaries to the PRIs, and a change management unit at the state and district levels with dedicated personnel attached to the units.

Members provided three examples of organizations with good PPP. [AFPRO](#) is collaborating with a few state governments (**Andhra Pradesh, Maharashtra and Rajasthan**) on water sector reforms through a variety of projects. Their focus is on creating awareness, motivating, and building the capacity of the community to own and manage their natural resources. Another organizational example is the Asian Development Bank's pilot project in an [Ahmedabad](#) slum. In Ahmedabad, the Municipal Corporation (the public sector) played an instrumental role helping the project to select an appropriate slum and in granting, the slum dwellers limited land rights over their houses. Two NGOs (the private sector) are implementing the water and sanitation infrastructure aspect of the project. The third example respondents gave is the [Bangalore Water Supply and Sewerage Board \(BWSSB\)](#). BWSSB adopted a pro-poor approach, successfully implemented in about 45 slums.

Members recommended several **steps**, which the private and public sector could take, **to improve** the process and efficiency of **PPP**, including the following:

- Accept and internalize the decentralized governance concept in regulation and funding
- Enhance the role of consumers in the initiation and continuation of partnerships between public and private sector providers of WSS service
- Use public pressure through civil society on service providers for better performance of WSS
- Promote convergence and inter-departmental coordination within service providers
- Improve communication and credibility between providers and consumers
- Develop unique parameters to address the differences between urban and rural areas
- Taking individuals into confidence and establishing lines of communication to share information
- Creating participatory decision making process involving the consumers and the community leaders they trust

Finally, members pointed out that at the policy level the basis for partnerships needs to be efficient communication between different stakeholders. Members' responses thus provided key inputs towards creating successful and sustainable partnerships between public and private sectors both conceptually and on the ground.

Comparative Experiences

Gujarat

Parivartan Project, Ahmedabad (from [Debasish Bhattacharjee](#), Asian Development Bank, New Delhi, [Jasveen Jairath](#), Capnet SA, Hyderabad and [Sharadbala Joshi](#), Loughborough University, Leicestershire, UK and)

A project designed to provide basic infrastructure services (including water and sanitation) to the slums and chawls of Ahmedabad. It aims to make services affordable and sustainable. Led by the Ahmedabad Municipal Corporation (AMC), the project motivates and facilitates the target communities, NGOs and the private sector to work together in a unique partnership. For details see [Parivartan](#)

Small Piped Water Network (SPWN) project, Ahmedabad (from [Anil Dutt Vyas](#), Asian Development Bank, Ahmedabad)

SPWN is a pilot project that will create a 'pooled fund' as seed money for providing a small-piped water network to other slums in the area. Two NGO's will implement the required infrastructure and the AMC assisted in the selection of slums in the process of establishing individual water connections and sanitation facilities. Read [more](#)

Uttaranchal (from [Diwakar Sinha](#), Environment & HRD, UARWSES, Dehradun)

The Swajal Project (community participation)

It is a joint venture by the State Government, the Government of India, and the World Bank, collaborating with several key non-state actors (NGOs, CBOs, PRIs, Village Water and Sanitation Committees (VWSC) and the community). The main tenet is community participation in the design, implementation, financing, operation and maintenance of the project. Project activities are occurring in nearly 860 villages. For [details](#)

Sector Reform Project (Govt. of India funded)

Initiated by the Rajiv Gandhi National Drinking Water Mission in rural areas of Haridwar district, the project constructs water supply schemes. The principles of demand driven, community participation and capital cost contribution approach, are the basis for the project. Implementation is taking place in 89 Gram Panchayats and 2 Van Panchayats, with a total 103 water supply schemes. Completion of most of the schemes occurred in less time than projected and under-budget. For [details](#)

Total Sanitation Campaign (60% Funding-Govt. of India)

The campaign constructs household latrines, aiming to achieve environmental sanitation especially in rural areas. The dissemination of sanitation related messages to communities is an on-going effort. Messages are disturbed using information, education and communication activities at the Gram Panchayat, Block Panchayat and Zilla Panchayat level. These activities are increasing the community's level of awareness and their motivation to participate in the scheme. For [details](#)

Swajaldhara (Centrally Assisted Scheme-Govt. of India)

Swajaldhara is another on going rural water supply construction scheme. The basic tenets of the program are same as that of the Swajal Project; however, this project focuses on increasing the involvement of the PRIs in a big way (i.e. the complete process is under their control including procurement of goods and services). The NGOs/CBOs involved provide technical support and the PRIs control disbursement of funds. For [details](#)

Maharashtra

Community Led Toilet Project, Sangli (from [Chetan Vaidya](#), USAID, New Delhi)

Jointly funded by the State Government, this citywide project will provide toilets to about 3,600 poor households. Based on mapping and household surveys of low-income communities, the implementing NGO (Shelter Associates) and the Sangli Municipal Corporation took the policy decision to provide individual toilets (preferred) in selected slums with access to the water-borne sewage system and community toilets in the remaining communities where this is not feasible.

Related Resources

Recommended Contacts

Dr. Anil Dutt Vyas, Asian Development Bank, Ahmedabad (from [Debasish Bhattacharjee](#), Asian Development Bank, New Delhi)

Email: anilduttvyas@gmail.com

Recommended for information regarding SPWN initiative to be launched in Ahmedabad by ADB along with NGO partners and Ahmedabad Municipal Corporation (AMC).

Recommended Organizations

AFPRO, New Delhi (from [R.K. Pandey](#), AFPRO, New Delhi)

<http://www.afpro.org/default.aspx>

Recommended for its collaboration with few State Governments (Andhra Pradesh, Maharashtra & Rajasthan) in water sector reform through a variety of Projects

The Bangalore Water Supply and Sewerage Board (BWSSB) (from [Chetan Vaidya](#), Indo-USFIRE Project, New Delhi)

<http://www.bwssb.org/>

Recommended for their adoption of a pro-poor approach to the delivery of water and sanitation services over the past five years by introducing major policy changes

From [Premila Nazareth Satyanand](#), Consultant, Water and Sanitation Programme, New Delhi

American Water Works Association, Denver

<http://www.awwa.org/>

and

Water Service Association of Australia, Melbourne

<https://www.wsaa.asn.au/frameset2.html>

and

Australian Water Association, Melbourne

<http://www.awa.asn.au/AM/Template.cfm>

International water associations recommended for their transparency and responsibility towards consumers

Recommended Websites

Privatizing Water and Sanitation Services (from [Ramya Gopalan](#), Research Associate)

Papers and Links, Sector Specific Issues, World Bank

<http://rru.worldbank.org/PapersLinks/Privatizing-Water-Sanitation-Services/>

Resources focus on details of contract design; market structure; access & service targets; tariffs, subsidies & financing; & benchmarking for ongoing regulation.

Recommended Documentation

Technical Assistance Implementing Pilot Projects for Small Piped Water Networks (SPWN) (from [Anil Dutt Vyas](#), Asian Development Bank, Ahmedabad)

Technical Assistance Report, ADB, October 2005

<http://www.adb.org/Documents/TARs/REG/39124-REG-TAR.pdf> (Size: 71 KB)

Discusses technical assistance for implementing four SPWN pilot projects in Ahmedabad, Gujarat, India; Kabisig & Lupang Arenda, Philippines; & Ho Chi Minh City, Viet Nam.

Parivartan, Gujarat (from [Debasish Bhattacharjee](#), Asian Development Bank, New Delhi, [Jasveen Jairath](#), Capnet SA, Hyderabad and [Sharadbala Joshi](#), Loughborough University, Leicestershire, UK)

http://www.wsp.org/publications/sa_ap_folder.pdf (Size: 1278 KB)

Also known as Slum Networking Project led by Ahmedabad Municipal Corporation (AMC), the project is a partnership between target communities, local NGOs and private sector

Uttaranchal Projects (from [Diwakar Sinha](#), Environment & HRD, UARWSES, Dehradun)

Diwakar Sinha, Environment & HRD, Uttaranchal Rural Water Supply & Environmental Sanitation Program, Dehradun

<http://www.solutionexchange-un.net.in/environment/cr/res27040601.doc> (Size: 27 KB)

Provides details on The Swajal Project, Sector Reform Project (Centrally funded) Total Sanitation Campaign (60% Central Funding) & Swajaldhara (Centrally Assisted Scheme)

ADB (Asian Development Bank) JFPR (Japan Fund for Poverty Reduction) Project

Commissionerate of Rural Development, Gujarat State

<http://www.ruraldev.gujarat.gov.in/pdfs/adbjpr-guidelines.pdf> (Size: 17 KB)

Envisaged as one that will address the poverty reduction needs of the rural communities, document provides background, strategy and objectives of the project

(From [Adil Ali](#), The Hunger Project (THP), NewDelhi)

Water Privatization Case Study: Cochabamba, Bolivia

Public Citizen Critical Mass Energy and Environment Program, Washington D.C.

[http://www.citizen.org/documents/Bolivia_\(PDF\).PDF](http://www.citizen.org/documents/Bolivia_(PDF).PDF) (Size: 54 KB)

Discusses the poverty and water status in Bolivia and the subsequent drive to privatize and resulting resistance

Article - Sovereign decision for water in Uruguay: more than 60% said YES

<http://www.solutionexchange-un.net.in/environment/cr/res03050602.doc> (Size: 48 KB)

Article accounts Uruguay's Constitutional Reform adding water as a human right, setting the basis for its exclusive public, participatory & sustainable management.

From [Jyotsna Bapat](#), Resource Person

Experiences of People- Government Interaction, In Other Cities And Countries

Dr. Jyotsna Bapat, Consultant, Institute of Social Studies Trust, Delhi Paper written for Urban Governance Project for IDRC

<http://www.solutionexchange-un.net.in/environment/cr/res15050501.doc> (Size: 123 KB)

Presented are initiatives in providing urban infrastructure in cities & its slums, facilitated due to changes in attitude towards slums & role of government in developing countries

Democratisation of water management

Change Management Group, TWAD Board, Chennai

www.twadboard.com

Ongoing experience which initiated a process of critically reviewing its practices and values, work culture & performance, vision & achievements over the last few years

From [Ramya Gopalan](#), Research Associate

Urban Water and Sanitation Services: Guidelines for Public-Private Partnership

Urban Finance, Quarterly Newsletter, National Institute of Urban Affairs, Vol. 7, No. 2, June 2004

<http://www.niua.org/newniuaorg/june2004.pdf> (Size: 85 KB)

Summary of guidelines designed by Ministry of Urban Development and Poverty for state governments & urban local bodies to reform urban water & sewerage issues

Public - Private Partnerships in Urban Infrastructure

Dr. Sasi Kumar & C. Jayasankar Prasad, Kerala Calling, February 2004

<http://www.kerala.gov.in/keralacallfeb04/p36-37.pdf> (Size: 119 KB)

Examines the spectrum of public-private partnership options emphasizing the steps of project selection and appropriate partnership option

Public-Private Partnerships Can Help Solve India's Water and Sanitation Challenges

David C. Mulford, U.S. Ambassador to India, Opinion Editorial, USAID Press Release, March 22, 2006

http://www.usaid.gov/in/newsroom/press_releases/mar22_6_1.htm

Discusses status of the Water Sector in India, highlighting partnerships between public and private entities to accelerate solutions and enhance operations and service

Developing Inclusive Public-Private Partnerships: The role of small-scale independent providers in the delivery of water and sanitation services

Janelle Plummer, GHK International, London, October 2002, Prepared and Presented at the 'Making Services Work for Poor People', World Development Report (WDR) 2003/04 Workshop held at Eynsham Hall, Oxford, 4-5 November 2002

http://siteresources.worldbank.org/INTWDR2004/Resources/22487_plummerWDR.pdf (Size: 215KB)

Examines concept of PPP in WSS of developing countries suggesting its transformation to a more appropriate & practical vehicle for service delivery in poor contexts.

Non-State Actors and water resources development – An economic perspective

Perry C.J., Non-State Actors and International Law, Volume 3, Number 1, 2003, pp. 99-110(12), Martinus Nijhoff Publishers, (paid publication), abstract available at,

<http://www.ingentaconnect.com/content/mnp/nail/2003/00000003/00000001/art00003;jsessionid=mja109e8a6gp.alice>

Defines set of activities that must be undertaken if water resources management is to be productive and sustainable, discussing role of Non-State Actors through two case studies

Involvement of non-state actors in the development of water law in Thailand: A role that is ignored?

Pichyakorn B., Non-State Actors and International Law, Volume 3, Numbers 2-3, 2003, pp. 231-250(20), Martinus Nijhoff Publishers, (paid publication), abstract available at, <http://www.ingentaconnect.com/content/mnp/nail/2003/00000003/F0020002/art00005;jsessionid=ntta1d65qhdk.alice>

Investigates the establishment and roles of non-state actors (NSAs) under Thai laws; and whether, and if so, to what extent, they are recognised

Traditional Water Governance and South Africa's "National Water Act" – Tension or Cooperation?

Daniel Malzbender, Jaqui Goldin, Anthony Turton & Anton Earle, International workshop on 'African Water Laws: Plural Legislative Frameworks for Rural Water Management in Africa', 26-28 January 2005, Johannesburg, South Africa

<http://www.nri.org/waterlaw/AWLworkshop/MALZBENDER-DB.pdf> (Size: 200 KB)

Debates role for traditional leadership in water management in cross-over between traditional rural customs & new democratic governance & service delivery in South Africa

Public-Private Partnerships (PPPs) For Service Delivery: Water Supply and Sanitation

UNECA-Economic Commission for Africa, Third meeting of the Committee on Human Development and Civil Society 4-6 May 2005 Addis Ababa, Ethiopia, E/ECA/CHDCS.3/4, 13 April 2005

http://www.uneca.org/chdcs/chdcs3/ppps_chdcs_3.pdf (Size: 178 KB)

This paper provides guidelines for exploring the potential of private sector participation in service delivery, focused on the provision of water supply and sanitation services

Privatisation of Water Delivery in Ghana – Issues To Be Considered

Taylor, Raymond, Feature Article, Ghana Web, 2002-12-05

<http://www.ghanaweb.com/GhanaHomePage/features/artikel.php?ID=30229>

Article discusses the debate of whether or not to privatize water in Ghana - under pressure from the World Bank/IMF to privatise its water delivery system

Responses in Full

[R.K. Pandey](#), AFPRO, New Delhi

I agree with you that the "public private partnership" (PPP) is not a new concept on WSS. However, the trend of PPP has been highly fluctuating during past 30 years, depending on the political interest, lack of human resources and other infra-structural facilities with Government (State / Central). Lack of funds and pressure from international development support organizations like: UNICEF, DANIDA, World Bank, ADB etc. for agreeing to PPP, however, this is another issue that how far these development agencies have their own hidden agenda in doing so.

Fortunately, the introduction of "sector reforms" partly forced by International Development Agency (IDA) in various field has given a sustainable lease to PPP, where community and CBOs have also been considered as one of the equal stakeholders in the programme and this is an area where any Government - be it Central or State, found themselves incapable, because of the

traditional relationship of Bureaucrats with ordinary public which is defined as a “Master servant relationship” and vice versa. Most often in this situation, it is hard to change the mindset of the bureaucrats and this greatest weakness of Government attributes to the strength of private organizations (Corporates, NGOs, CBOs and other private entrepreneur), which stands on the equal footings that of community or ordinary citizens level.

This limitation on part of the governance at any level has forced them to involve private sector in these reform processes.

AFPRO is collaborating with few State Governments (Andhra Pradesh, Maharashtra & Rajasthan) in water sector reform through variety of Projects, where major role is in creating awareness, motivation and capacity building of community to own, adopt and manage the natural resources including drinking and irrigation water, which are the futuristic problem areas not only in the country but worldwide, as envisaged by the world leaders. As a matter of fact, the problem is already started especially in the tropical arid agro - climatic zones of the various Asian Countries and realizing this, the governance has come in action on war footing with the view that “a stitch in time saves nine”. However, in the process of solving this situation, some of the so-called saviors of community have created chaotic situation and taken advantage of the situation for their vested interest. As a consequence, the remedial measures have gone up to a level of “privatisation of river water” in the hands of some of the corporate. On the other hand, the highly ambitious scheme like “National River Water Linking Project” is also foreseen by the Government. We do not want to get into the arguments about what is good or bad for the nation. The issue is where is the scope / space for ordinary citizens of the country for their role to play in these dramas, except a mere salient spectator left in the perplexed situation.

However, the other side of the coin is not so distasteful. We still remember the days when AFPRO has operated on various Projects in close collaboration of National, State and even District level governance withholding more than equal stakes, when bureaucrats had full trust and confidence in the sincere and dedicated services to the community. The examples are numerous and we still carries that sense of pride and good taste of executing the joint venture in community based water resources and sanitation based renewable energy development programme during an era from 1975 till 1995.

In response to your queries on 3 specific lines as mentioned in your email, I will only say that at policy level the relationship (PPP) is of equal stakeholders, even if it is formal arrangement, it is highly conducive, if you have a strong hold and credibility with community. Such collaborations can easily be created, but when it comes to execution level, dealing with the lowest rung of governance, it becomes complex form of collective forum.

Vinod Vyasulu, CBPS, Bangalore

In the debate, it is important to remember that there is now a local government. It is this that must co-operate with the private sector. If this local government is kept out--as is often the case--there is no government or public in the PPP.

Padmaja Nair, Independent Consultant, Lucknow

The 'master- servant' relationship, as you rightly put it, or in terms of partnership literature the 'principal- agent' relationship, is I believe going through an identity crisis under the Sector Reforms process in many of the states!

And I suspect that unless the whole concept of decentralized local governance is fully understood, accepted, internalized and operationalized by all levels of stakeholders, especially the community- not just the poor communities but every citizen- the State- NSP relationships may be a relatively forced one and fraught with tensions.

Anil Dutt Vyas, Asian Development Bank, Ahmedabad

I am working for Asian Development Bank (ADB) in Ahmedabad where we are in the process of establishing a pilot project in one of the slums of Ahmedabad. The uniqueness of the project is, it will recover the capital cost from the slum households that benefit from this project and that will be used as seed money to start another project in another slum thus snowballing the initial investment to achieve coverage of slums for developing piped water networks.

This pilot project would be called SPWN (Small Piped Water Network) project. In this pilot we shall establish individual water connections and sanitation facilities. We are taking help of two NGO's to implement water and sanitation infrastructure. One lead NGO shall be doing infrastructure and survey work and other NGO/ institution shall be doing the analysis of survey work. Based on the results of survey work a workshop will be conducted for the stakeholders. ADB may think of doing upscaling in whole of the Ahmedabad based on the response of Government agencies and NGO's.

These are some of the reasons why we have selected a particular slum and what processes we adopted.

1. There are few land posts in the selected Slum where water comes for an hour or so. It is one of the biggest issue for the slum dwellers as they have very less water.
2. Similarly they have few community toilets and most of the dwellers they use open area for defecation around the slum. Hence it was also one of the main issue. Providing toilets would be certainly different from SPWN project. But it will be a part of our pilot project.
3. Infact the AMC (Ahmedabad Municipal Corporation) was also instrumental in selecting a slum. They prepare a list of Slums for whom No Objection Certificate (NOC) is issued. That means any agency including AMC can go for networking for NOC issued slums.
4. In this regard we got a list of around 500 slums for whom NOC was issued. Then with the help of NGO for whom the responsibility of developing infrastructure we selected a slum for whom there was less coverage of water & sanitation and where they(NGO's) have ease of working. We are taking only a small slum where total house holds are around 132.
5. We took an approval of selected slum again from AMC and now in the coming days we shall fix an MOU between NGO and ADB. Once this is over ADB will deposit certain amount in a local bank in the vicinity of the community. The amount with the help of NGO and community, would be spent on developing individual water connections and toilets.
6. **The community would pay a certain amount to bank again may be around Rs. 2000/- as a one time deposit or in EMI's and ADB wishes to use the same amount later on to other Slums.** Obviously NGO will be doing mobilisation work and we have given them a time frame of 3 months to develop every thing once all MOA's are signed.
7. AMC jurisdiction has increased in the last 2 months. That is more number of municipalities are coming under it and AUDA (Ahmedabad Urban Development Authority) is fast expanding its geographical coverage. Hence our survey will consist of 10 areas in which about 500 households from each pocket would be taken. Let us say 7 may be taken from old AMC area and 3 from new area. This will consist of Water quantity, quality, water providers and other things. We are in the process of finalizing this questionnaire .The results of this survey will be analysed by the University and which will be used by ADB/AMC for upscaling and other matters.

8. Infrastructure work in the proposed slum will be soon started once we got an NOC from Government of India (GOI) for this pilot project. The Gujarat Government has shown keen interest in this project hence they are helping in every way.

This is a pilot that aims at creating a 'pooled fund' that will be used as seed money for providing SPWM in other slums, in the area progressively over time. I shall be happy to respond any of your queries depending on availability of my time on internet. More information on the progress of the pilot, I shall certainly share when the real work will be started may be in next 10-15 days.

Anuradha Saxena, UNDP, New Delhi

Fits the query like a glove. Here is a quote from Mr. Kavin Watkins International Herald Tribune, Friday, 17 March 2006 titled "Save a little water for tomorrow" and I quote:

"One hundred years ago, William Mulholland introduced the citizens of California to a new concept in state politics: the water grab.

Charged with securing water supplies for a small, thirsty town in a desert, the baron of the Los Angeles Department of Water hit on an imaginative response. He quietly bought up water rights in the Owens Valley, 230 miles to the north, built an aquifer across the blistering Mojave Desert, and took the water to downtown Los Angeles. When local ranchers protested by dynamiting his aquifer, Mulholland declared war, responding with a massive show of armed force.

Nowadays southern Californians fight over water in courts of law. Angelenos have some of America's greenest lawns and biggest swimming pools, not to mention a desert that blooms with cotton and fruit. Keeping it that way means piping in water from hundreds of miles away and draining a Colorado River so depleted that it barely reaches the sea. And it means disputing every drop of the Colorado with Arizona.

The Mulholland model represents a brutish form of what has been a global approach to water management. Want to urbanize and industrialize at breakneck speed? Then dam and divert your rivers to meet the demand. Want to expand the agricultural frontier? Then mine your aquifers and ground-waters."

End of quote. Just kidding.

(Circulated by Kevin Watkins Director of the United Nations Development Program's Human Development Report Office)

Chetan Vaidya, Indo-USFIRE Project, New Delhi (Response 1)

Thanks for the update. We are working on a project in Bangalore city where individual water supply and sewerage connections will be extended to slum households, in slum areas. The proposed activity involves upgrading of existing sewage and sanitation in the slums and improving access by the poor to water supply and sewerage services in Bangalore. The Bangalore Water Supply and Sewerage Board (BWSSB) has taken a pro-poor approach to the delivery of water and sanitation services over the past five years.

BWSSB introduced the following major policy changes:

- Simplified tenure documentation required for new house connections;

- Reduced connection charges;
- Reduced minimum monthly water and sewerage charges;
- Group connections, as appropriate.

This strategy was successfully implemented in about 45 slums. BWSSB now plans to extend this approach to all 362 recognized slum settlements in Bangalore covering about 100,000 households through individual/group connections. This joint USAID/Cities Alliance activity will support this initiative in collaboration with the Japan Bank of International Cooperation (JBIC). This project will have converge support from USAID and Collaborative Assistance with different Government programs, other donor activities, and available citywide funding to improve access by the poor to urban services.

We look forward to views of our participants on this approach.

Debasish Bhattacharjee, Asian Development Bank, New Delhi

This is really an interesting question from Padmaja. Some of the well known examples such as Praivartan in Gujarat and Gram Vikas in Orissa may be already well known. I have heard of some small examples in Maharashtra (Sangli?). But in the field one comes across some tiny examples e.g. operation of pumping station in a municipality close to Kolkata. I would refer you to Dr Vyas at anilduttvyas@gmail.com who is expected to start an initiative in Ahmedabad on these lines for his experiences on this subject.

Diwakar Sinha, Environment & HRD, UARWSES, Dehradun

Designing projects that involve collaboration between State and Non-State actors (NGOs, PRIs, CBOs, FBOs, Private sector, etc.) in the delivery of drinking water and sanitation services to the poor communities in both the rural and urban areas are two very different fields which involve totally different parameters. The modus operandi for one cannot be applied to the other. I am providing some [information](#) regarding various projects/programs in Uttaranchal, relevant to the subject being discussed.

Biplab K. Paul, LOKVIKAS, Ahmedabad (In response to [Anil Dutt Vyas](#))

Just now I came to know about your innovative work in Ahmedabad Slums from Solution Exchange. Currently LOKVIKAS, our NGO is implementing an ADB JFPR project in north Gujarat. I am stationed in Ahmedabad and associated with the WATSAN sector in developmental field for last 10 years. Looking at the innovativeness of the programme, I will be very keen to extend my voluntary services in your effort at Ahmedabad Slums.

K.Y. Babu, UNICEF, Kanyakumari (In response to [Anil Dutt Vyas](#))

It is a successful participatory approach if the community would pay Rs. 2000. In future this project may be a model for TSC in Urban areas.

Chetan Vaidya, USAID, New Delhi (Response 2)

This is a small write up on the Community Led Toilet Project in Sangli. This citywide project in Sangli will provide toilets to about 3,600 poor households; it is jointly funded by the State Government of Maharashtra. Based on mapping and household surveys of low-income communities carried out by the project's lead partner, the NGO Shelter Associates, the Sangli Municipal Corporation took the policy decision to provide individual toilets (preferred) in selected slums with access to the water-borne sewage system and community toilets in the remainder. Shelter Associates has completed construction of about 160 individual toilets and the Municipal Corporation is in the process of finalizing contracts for construction by local NGOs of the remaining community toilets.

Ashoke Chatterjee, WATSAN Resource Centre, Ahmedabad

This dialogue may also be important in the context of the coverage on drinking water supply in the latest issue of Frontline. The authors of articles in this national weekly seem to find no merit or good news on public-private partnership experiences in India. The message seems to be that state-run systems are the only way (very little about non-state actors other than corporates), and the job is to make that way efficient. Just how do we do that, after all these years of trying?

Prakasam Tata, Tata Associates International, Naperville, USA

The age old wisdom of the sages of India has identified four techniques of progressive management to solve any problems that are encountered. These are (1) saama, (2) dhaana, (3) bedha, and (4) dhanda. In order to curb pollution and improve water supply in India, the first three obviously are not giving results with a speed that one would like to see. The fourth technique that was used by the Baron of LA has been working for LA, Southern California, even today. Unfortunately, due to the topography, meteorology of the region and the craving for the use of automobiles don't help the air quality of the region.

I think all of us agree that in order to sustain development, water is a significant factor. For sustaining the rate of economic progress that India is recently experiencing, do India's policy makers, government officials, and regulatory personnel have the selfless passion and work ethic to universally enforce environmental laws that are currently in vogue without succumbing to the pressures of lobby groups and voting blocks?

Having witnessed only deterioration and not an improvement in environmental quality in more than five decades after India's gaining independence, the time is perhaps ripe to use the last technique (Dhanda) perhaps not in the same spirit of LA. This technique seems to work in India, as exemplified by the results recently achieved by the intervention of the Supreme Court in some instances. But, will the Supreme Court be permitted to have the power in the future, as its actions threaten the power and greed of vested interests?

Jasveen Jairath, Capnet SA, Hyderabad (Response 1)

Apprehensions of using misgoverned public sector institutions as a justification for increased involvement of private sector - are well founded.

Rather than struggle to enhance the efficiency and good governance of public utilities - a hurried attempt to seek private sector as an avenue for overcoming all the flaws of public sector can be strategically misleading.

Strengthening of civil society and public sector linkages to realize better performance through public pressure can release tremendous synergies and also - most important ensure transparency - that is a big casualty in private sector involvement.

Sharadbala Joshi, Loughborough University, Leicestershire, UK

With the pros and cons of public-private partnerships, the lack of a grassroots movement for availing water supply and sanitation services in Ahmedabad where Ahmedabad Municipal Corporation's Slum Networking Project-SNP encourages individual access to services reflects on issues related to partnerships. To cite an example, the following aspects about partnerships throw light on role of individuals in the initiation and continuation of partnerships.

The factors that promote such collaboration.

In Gujarat, the basis of partnerships between local government and other actors is the presence of an active administrator (Government) who is willing to take risks - as is known from transformations achieved in Surat and Ahmedabad. Such administrators need support either from within the State Government or from citizens to stay in post for the full-term of about three years.

However, for actual introduction of collaborative interventions (not only SNP) the following are significant factors:

- A facilitating individual at a significantly high decision-making level either within or from outside the organization whom the relevant administrators trust or consult, who is responsive to and can negotiate with all the stakeholders, and who can accelerate administrative processes to some extent. The role as well as the low profile of support agencies like USAID and FIRE-D to the administrators and/or professionals adds another factor to circumstances that facilitate initial collaborations.
- A professional or organization (private sector) that is willing to put in substantial efforts to introduce the concepts or approaches they believe in, and are willing to work with the Government despite the bureaucratic problems (especially when not willing to indulge in corrupt practices). The presence of the facilitating individual appears to be critical in the survival of partnerships with the private sector, and finally
- Individuals and organizations (civil society) who work in the field to both facilitate the process as well as empower residents to manage the improved areas. The need and role of such organizations is critical because they are accountable to the communities and residents about delivery of services and/or actions following their participation and contributions. This is irrespective of whether participation is only in decision-making or includes financial contributions for getting access to basic services.

Nature of Formal or informal arrangement on partnership/ collaboration between them

The partnerships between the private sector and local governments are formal and go into details of time and project management. This is an area of differences, especially when delays are caused because of internal procedures of government organizations and where participation of local residents is critical, especially if the participation/ decision processes are initiated at the same time as formalizing of the partnerships.

The partnership of local governments with NGOs is more informal and partially based on trust for participation but formal for 'infrastructure works'. The local body monitors functioning of the NGOs in terms of actual community contributions and negotiations for resolving disputes. However, when NGOs are given contracts (as under SNP) for implementation of infrastructure works, formal MoUs are signed and clauses related to timing and delays included. In this, the financial and technical support to NGOs from funding agencies for interventions that complement their 'partnership' related activities is rarely acknowledged. However, such support is important because it contributes to the independent functioning of the NGOs and building of trust and rapport between field workers and communities through the related interventions at the ground level.

The partnership between the communities and local governments is a formality in terms of residents first registering as an association followed by submission of a formal request for participation and willingness to pay the contributing amount.

Within the Government, the presence of individuals at the implementation level who can negotiate with the different stakeholders for resolving differences and disputes; make decisions that are responsive and appropriate for each local context; and (in the absence of required skills and capacities) have access to external support that enable them to do their jobs adequately.

There are a number of risks in continuation of such collaborations and partnerships. The first is administrators and support agencies who administer 'individual projects' and introduce new interventions in an urban area. While the experience, processes and community contribution components of AMC's Slum Networking Project have significantly influenced the content of the (Draft) Gujarat State Urban Slum Policy, there is a tendency to address interventions related to slums as different from a holistic approach for enabling individual and sustainable access of slum residents to water supply and sanitation.

The factors that destabilize such partnerships, and which need to be considered as significant risks, have to do with loss of earnings of those collaborating with contractors, as well as those who lose 'control' over what is provided in the under-served areas. Another factor that allows continuation of collaborations with existing partners and promotes other partnerships is presence of individuals and organizations in the urban area that are willing to keep a low profile when others involved in a partnership attempt exclusive ownership of partnership projects.

[Anand Shekhar](#), WaterAid India-Regional Office East, New Delhi

I found the [schematic depiction](#) given in a WB report (copied below) as a good basis for engagement of various stakeholders in management of water supply and sanitation services. This captures the shift in role of government in the sector and the emerging niche for other players. May turn out to be a basis for engagement for different actors.

At least in two programs (where I had association) I found this principle of engagement as viable. Under Royal Netherlands Embassy assisted Regional Water Supply and Sanitation Project, popularly called Ghogha Project in Gujarat a similar institutional arrangement was tried. A team of sector professionals /subject matter specialists hired from market were put together under a Project Support and Implementation Unit (PSIU) created specifically for the project to provide technical assistance on developing Strategies and Materials which provides for a major decision-making role for the communities in the identification, planning, design, construction, operations and maintenance of schemes; develop an innovative community participation approach; enhance

the role of women, the key stakeholders in the sector, by focusing the community development activities of the project on them; introduce partial capital cost recovery and full cost recovery for operation and maintenance; and integrate water supply service delivery with environmental sanitation by developing beneficiary awareness of the linkages between health and sanitation.

NGOs were involved to actually implement the above and from the state's side a set of engineers nominated from Gujarat Water Supply and Sewerage Board (GWSSG) was put together under a cell called "Netherlands Aided Project Unit (NAPU) was made responsible for hiring contractors in consultation with community groups for creation of assets based on above principles and approaches. In fact it was the communities who floated tenders and commissioned contractors and NAPU was expected to only support them in designing the calls and scrutinizing them based on agreed schedule of works and costs. This turned out to be a good arrangement as each stakeholder was performing tasks they were best suited for.

Under Swajal project as well a similar mix of representatives from State departments, consultants from Private Sector, NGOs, PRIs, Community groups and Service agencies were involved based on delineation of special functions for each group. Project Management Unit –the apex body for managing the program had representation both from Government and Private sector and was responsible mainly for designing strategies and approaches which could ensure sustainable health and hygiene benefits to the rural population through improvements in water supply and environmental sanitation services and to assist GOUP in identifying and implementing an appropriate policy framework and strategic plan.

The software and community development activities were given to NGOs on the basis of a TOR and Scope of Work and creation of assets to specialist technical agencies which could be state or non state. Service Agencies were roped in for technical supervision and third party review.

The third issue raised by Padmaja is important and the experience was that the state need to:

- commit to reliability of services to its communities as it necessitates the requirement of multi actor involvement
- devolve functions and ownership of schemes to communities so that they can hire the most responsive and suited agency for different functions
- Commit to financial sustainability of schemes and reorganize its state institutions

[Jaishree Sisodiya](#), Gramin Vikas Trust, Rajasthan

Thanks for your updates on WSS service delivery system tested and adopted in different areas. It is really a very crucial matter not only in metros but in the remote villages also where they don't have proper sewage and sanitation system that causes outbreak of water borne diseases among villagers.

Gramin Vikas Trust was working with rural tribal in the rainfed area of India but with the Migration Labour Support Programme we have extended our area from Rural to urban also. In the destination, migrants also live in the slum condition therefore we had plans to support them with Mobile sanitation system and liaison of those with municipal corporation. It is at very initial condition now.

We look forward to views of our participants on this approach.

Premila Nazareth Satyanand, Consultant, Water and Sanitation Programme, New Delhi

I am writing to challenge your view that 'transparency is a big casualty in private sector involvement'.

I have spent the past two days researching public disclosure and right-to-know standards in the WATSAN sector internationally. For this purpose, I have looked thoroughly at the websites of private water companies and water associations world-wide. Their transparency - and consumer responsibility - is far, far, far superior to anything we can imagine from our responsible and transparent public sector water providers in India.

I was particularly impressed by the sites of the American Water Works Association, the Water Service Association of Australia, and the Australian Water Association. From all of them, it is apparent that their members (both private and public utilities) are forced to constantly 'stay ahead of the game' (by improving their responsibility to consumers, their treatment and delivery technologies, and community-mindedness), so as to win water supply and sanitation contracts from municipal authorities. Their level of professionalism, research, and public information is a striking contrast to what we in India consider 'best practice'.

...The key issue is that transparency stems not from forms of ownership, but from 1) competition and 2) regulation/enforcement. Unfortunately, we have poor regulation and enforcement, and no competition, in our water/ sanitation sector, as a result of which consumers have no method by which to penalise watsan utilities that fail them.

In conclusion, have you ever heard of a case of an Indian consumer taking a water utility to court for not providing water, or for providing water that fails to meet basic health standards, and being compensated?

It strikes me that this happens all the time in better regulated and more competitive markets.

Vinod Vyasulu, CBPS, Bangalore

I have been told that Uruguay has amended its constitution to insist that only state persons be involved in water supply. I would like to know more about this from the Group--or perhaps the UN system can get us such information?

Jasveen Jairath, Capnet SA, Hyderabad (Response 2)

Thanks for your very informative and stimulating response.

Your point is well taken and I accept what you say about the developed country experience - with a bit of skepticism as I am not that well informed about the situation.

However - as you acknowledge yourself - we do not have a situation of strong state machinery - neither a strong consumer/civil society movement. I agree that there is simply no culture or norms of institutional response to civic problems by the state (poor regulation) and citizens (legal actions) - with exceptions of course - Parivartan is a case in point.

This however this is not necessarily due to lack of ideas or the will or motivation. It springs more from a demoralized public state due to the overall state of poor governance. Our daily life is replete with experiences of consistent disappointments with attempts to seek justice. Jessica Lal's murder is a recent well known case in point, thousands we never get to hear of.

That's precisely the point - privatization in a situation of weak local governments and poorly evolved consumer/public resistance/rights movement - has proved to be a dangerous proposition given the might of the private sector and also its track record - many well known examples are available.

My second point was that the agenda of strengthening Civil Society – Public Sector linkages gets diluted in favor of options that have proven adverse consequences in many developing countries. Any institutional arrangement that contains the possibility that a poor consumers' water supply can be cut off for non-payment of water bills, cannot be justified in a state where there is no social security and people don not know where their next meal is coming from, no buffer to pass over life's contingencies. Such a milieu cannot be subjected to rationale of 'just pricing', which may be fine for better off classes.

Public sector - that is corrupt and inefficient no doubt - still has the possibility of responding to public pressure to stream line its service delivery. Privates sector – Under present scenario - can literally get away scot free.

I have no problems with functional and well regulated /accountable private sector and appreciate your examples in this context till I hear some counter evidence as I must confess ignorance about them.

[Bhawna Vajpai](#), Water and Sanitation Consultant, New Delhi

A number of examples have been put forth by the members in WATSAN initiatives across the country, upon the involvement of state and non-state actors. While observing all these examples I felt one more related problem that lack of strong initiatives in convergence efforts at different stakeholders' levels. This directly relates to successful partnership, organizational relationship, formal and non-formal arrangements and sustainability. Therefore, we can move forward to share our views about the successful convergence efforts within a sector or among the various sectors.

Hope to discuss further convergence/inter-departmental coordination issue.

[Smita Mishra Panda](#), IRMA, Ahmedabad

I would tend to agree with what Jasveen has to say about the private sector and its role in WSS service delivery. It is always nice to hear about how the private sector performs in comparison with the public sector. And we all feel somewhat inclined to use the services as it would ensure 24x7 delivery of services. But the question remains that if the entire country has to depend on the private sector for their basic needs like clean water, are we in a situation to apply a differential policy in terms of cost recovery/pricing for the different economic classes (equity concerns)? Even if there is a policy in place, how are we going to implement it given the public systems that we have?

It would be very educative for me to hear more on the questions that I have raised particularly from civil society organizations and their role in this providing/facilitating in WSS services.

Thanks for your attention.

Adil Ali, The Hunger Project (THP), NewDelhi

As you might know, Uruguay has had struggles against water privatization See for the [Cochabamba case study](#). Interestingly, Agua transferred its shares to its Dutch subsidiary once the contract was cancelled to be able to appeal for arbitrage as Bolivia and Holland have a treaty towards the same.

Here's an [article](#) I got in a news feed on the issue

Many thanks to all who contributed to this query!

If you have further information to share on this topic, please send it to Solution Exchange for WES-Net at se-wes@solutionexchange-un.net.in with the subject heading "Re: [se-wes] Query: State and Non-State Actors in WSS Service Delivery, from Independent Consultant, Lucknow (Experiences). Additional Response."

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