DEFINITIONS

In this study, reference is made to a number of terms and concepts, an understanding of which is essential. These terms have been explained on a preliminary basis exclusively in the context of this study only.

I.) Policy, Programs and Projects

The broad framework of a ‘policy’ on a particular subject and or on related subjects is generally taken at the political level. When an executive order is issued on this policy with the approval of the Union/State Government as the case may be, it becomes a policy of the government on that particular subject. Then ‘programs’ are evolved along with guidelines and financial allocations to give shapes to the policy adopted at the national or state level as the case may be. In the case of rural water supply and sanitation program the major policy decision and development of programs are evolved at the national level by the Department of Drinking Water Supply, Gol. Projects are considered to be discrete activities at the local level which are prepared under the broad guidelines of the program. When looking at projects generally, the interest is in the interrelationship of the activities and the goal(s) of the project, whereas when studying programs the process by which the program evolved, or is implemented and its policy impact is of primary interest.

II) Developing Country

In using this term, reference is made to the majority of Latin American, African and Asian countries that do not belong to the groups of western capitalist economies, the eastern communist states or the oil producing and exporting countries. While the term is a general one which obscures the reality of wide socioeconomic, political, cultural and environmental variation, it also underlines a common political and economic status which these nations share at the global level. They are equally referred to as ‘The Third World’, less-developed, underdeveloped or just poor nations. With the rise of more economically prosperous nations within this broad category, new methods of differentiation have, however, been adopted. The World Bank, for example, differentiates between low, medium and high income countries, while a special category of ‘Newly Industrialized Countries’ has been used to refer to the rapidly expanding economies of countries such as South Korea.

III) Community

According to the United Nations (1971), a developing country community is defined as an organic and physical entity. Members are in regular face to face contact with each other, share common values and objectives and share a basic harmony of interests and aspirations. In rural India
the spatial and social organization of society is such that the concept of a community can be used synonymously with the concept of village. The rural village is, therefore, a unit of differentiation often used to define a community. This is because it provides a defined geographical area within which a high level of social interaction occurs while village members share common tribal, language and cultural characteristics. Indeed, one finds that community institutions in India are organized on a village basis. However, there is evidence that community members do not necessarily share common interests and aspirations. This issue is discussed in chapter 2 and is considered an important factor in explaining some of the constraints to community participation in development.

IV) Community Participation

The concept of community participation is frequently associated with Third World development projects (particularly rural development), by governments and aid agencies. It is often associated with Primary Health Care Strategies and in projects associated with the Water Decade where it has assumed a central importance. The extremes in definitions commonly used by donor and governmental agencies range from community participation being seen as the recipient community making a labour or cash input into a specific development project, to participation being understood to mean a broader process of empowering the community to determine the development initiative themselves. In the former, community participation is restricted to implementation, while in the latter, it involves decision-making. The total involvement of beneficiaries in decision making is of special importance in rural water supply and sanitation services. The ultimate objective of community participation in development activities should be seen as a process of empowerment, promoting sense of ownership of the assets created and involvement of primary stakeholders with their living environment. This issue is discussed in detail in chapter 2.

V) The Organization for Economic Cooperation and Development (OECD)

This economic policy coordination ‘club’, originally composed of the non socialist European countries, was formed following World War II. In 1961, It was expanded to include Canada, The United States, Australia, New Zealand, and Japan. At the same time a special committee, The Development Assistance Committee (DAC), was created to promote and coordinate bi-lateral aid programs. Many global statistics on aid programs group the ‘DAC countries’ together. The OECD members are Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Iceland, Ireland, Italy, Japan, Luxembourg, The Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, Turkey, The United Kingdom’and
The United States. They are commonly also referred to as External Support Agencies (ESA) or External Donor Agencies.

VI) Bi-lateral Aid

Bi-lateral aid refers to transfer of goods or services from one government to another, as either grants or loans. Most member states in the OECD have provided strong support for developing countries in efforts to improve the water supply and sanitation sector. For OECD countries as a whole, the proportion of development assistance to water supply and sanitation increased steadily from 1986 to 1996, rising from 3.4% to 6.6% of total assistance. In terms of cash it rose from US$ 1.034 billion in 1986 to US$ 2.907 billion in 1996 (GWSS Assessment Report 2000).

VII) Multilateral Aid

Multilateral aid is a transfer of goods or services from one government to another through an intermediary organization (controlled at least nominally by more than one government, hence ‘multilateral’). The principal intermediary agencies involved in multilateral aid are the World Bank and the various regional International Financial Agencies (The Inter-American, African and Asian Development Banks), The International Monetary Fund and the various development organizations of the United Nations such as the United Nations Children’s Fund, United Nations Development Program and The World Food Program, as well as The International Fund for Agricultural Development established by the 1974 World Food Conference.

Multilateral aid provides loans, usually on varied concessionary terms (other than the UN development agencies family programs), contrasts with bi-lateral aid, which is generally a mix of grants and loans. The term multilateral aid is not used to refer to government aid through private voluntary organizations.

VIII) Vertical Program

A vertical program can be described as an activity undertaken by a structured body or Institution within which the normative and prospective planning decisions are taken by either the highest authority and passed vertically downwards to the lower levels for implementation, or conversely where decisions are taken at the lowest level and passed vertically upwards for approval and funding. Typically, in developing countries the apex of this structure would be a central government body or ministry. The hierarchy would also have a decentralized administrative middle layer at regional or district level and at the bottom, the community. The term vertical program is often used in a derogatory sense and commonly used to mean a ‘top-down’ approach to planning which is thought by many to be inappropriate for community based development projects. It is in this sense that the term is used in this study. It should also be noted that many aid agencies feel that a ‘bottom-up’ approach should be the cornerstone to development project planning. However, it is
clear to others that planning is an iterative process with information flows that move both upwards and downwards and also laterally.

IX) Non Government Organizations (NGOs)

NGOs are independent, non profit making, tax exempt, non-governmental organisations, governed by private citizens whose purpose is to engage in voluntary, charitable relief and development assistance. NGOs can be found in both the developed and developing countries. Apart from the sector aid from Governments of Developed Countries, overseas or foreign aid from NGOs of developed countries also provide sector project support and technical assistance to both Third World Governments and non government recipients i.e., local NGOs. Over the past twenty years there has been a rapid expansion of the amounts of foreign and local aid channeled through the NGO to the community.

X) Sanitation

Throughout this study the term ‘sanitation’ or ‘low cost sanitation’ is used in a narrow sense to mean the provision of facilities for the safe and hygienic disposal of human excreta in order to isolate it from the physical environment, thereby, breaking the vectors of disease transmission.

XI) Sector

The term sector when used in the development aid context is taken to mean discrete areas of activity within, or components of, a donor aid program. The sector divisions commonly adopted by most bi-lateral and multilateral donors are population and health, water and sanitation, energy, agriculture, education, industry, and roads and transport. These divisions conveniently correspond to the administrative structure of most developing countries. A number of these sectors are divided into rural and urban sub sectors, for example water, road and transport. Throughout this study the term sector is loosely used to mean the rural water and sanitation sub sector, or is used in connection with the other aid/activity categories listed above. An exception to this is when the term is used to differentiate between activities undertaken by private entrepreneurs as opposed to government institutions, that is, the private sector and the public sector.

XII) Line Department

Until recently there were two basic models for implementing rural water supply programs at state-level; the Public Health Engineering Department (PHED) under the direct control of the state government, or an autonomous board. Most of the States have a separate state-level Public Health Engineering Department or Water Supply and Sanitation Board responsible for all aspects of project formulation and implementation of rural water supply and sanitation program generally referred to as ‘Line Department’. But the recent trend in case of environmental sanitation program
implementation has been to move this responsibility to the Stale Rural Development Department and/or the Panchayati Raj Institutions.

XIII) Checkland Soft System Analysis

In the context of the proposed study, government, donors and the community constitute three systems interfacing the rural water supply and sanitation (RWSS) program. The rural water supply and sanitation sector in general, and donor assisted RWSS projects in particular can be conceptualized as a complex reality comprising of a number of interacting organizations or systems having commonality and conflict in their goals.

System Thinking, System Practice developed by Checkland in 1981, looks at the system thinking as an attempt to avoid the reductionism of natural science. It provides a useful tool for understanding complex unstructured problems in human activity in which the goals are not clearly defined. Soft systems analysis is particularly appropriate to the issues addressed in this study. Checkland, who is one of the leaders in soft system analysis, has developed a seven-stage approach to the analysis of the problem. First, it provides a rich, but not necessarily structured description of the problem. Second, it expresses or defines the problem situation. Third, it provides root definitions of the system. Fourth, it develops a conceptual model of the system. Fifth, it compares the conceptual model (as in four), with the real situation (as in two). Sixth, it determines desirable and feasible changes to the situation, and seventh, it takes action to improve the way to deal with the problem. Soft System Methodology (SSM) aims to bring about improvement in areas of social concern by activating in the people involved in the situation a learning cycle which is ideally never-ending. The learning takes place through the iterative process of using systems concepts to reflect upon and debate perceptions of the real world, taking action in the real world, and again reflecting on the happening using systems concepts. The reflection and debate is structured by a number of systemic models. These are conceived as holistic ideal types of certain aspects of the problem situation rather than as accounts of it. It is taken as given that no objective and complete account of the problem situation can be provided. An outline of the process of soft system methodology is shown in Appendix 1.
ABSTRACT

The International Drinking Water Supply and Sanitation Decade (IDWSSD) has generated great interest among the ‘Developing Countries’, ‘Foreign Aid Donors’ and the Sector Funding has increased manifolds. Although its impact in the Developing Countries in terms of coverage may be categorised as moderately satisfactory, but in terms of policy impact and sustainable development the ground realities are not very encouraging. These, have been explained by the UN Agencies in terms of inadequate funding, poor operations and maintenance, unacceptable technology, poor logistics, non-involvement of the beneficiaries etc. However, an alternative explanation revolves around factors contributing to unrealistic development of ‘Sector Master Plan’ in the context of IDWSSD, resulting in development of inappropriate sector programs and poor project design which are unsustainable in a given environment.

A review of the development and trends of contemporary sector aid philosophy and its translation into rural development and water and sanitation projects, which led to the launch of the IDWSSD, provides number of lessons that have been used to formulate a ‘Conceptual Supra Systems Model for Rural Water and Sanitation Sector’ for project design and the sector development process, that defines the roles of the donors, recipient governments and people themselves. The model is based on integrated coordinated development, community participation, and sector growth from pilot projects to large-scale programs.

The development in the rural water and sanitation sector that took place in India from 1981 to 2001 provides a unique opportunity to test this model using a system analysis approach. Since the IDWSS Decade (1981), India’s development funding grew many folds, and major commitments were made by the successive governments to rural sector development supplemented by assistance from the foreign donors to achieve the goals of the IDWSSD. However, the large investments in the RWSS Sector, including preparation of Master Plan in consultation with External Support Agencies (ESA) to achieve the ‘Decade Goals’, had both positive and negative impacts on the continuing development of the sector. This development process and the changing approach to project design are illustrated by a series of ten case studies projects supported by multilateral, bi-lateral donors, and non government organizations that were milestones during this period. Based on this, ‘Supra System Model for Rural Water Supply and Sanitation Sector as it existed in ESA supported projects in India’ has been developed.

Finally this model is modified based on the contemporary global sector approach, practical lessons learned from donor supported projects and experience gained from sector review in India. Thus ‘A Supra Systems Model for Rural Water Supply and Sanitation Sector Development for Donor Supported Projects in India’ are developed. The model is based on the objective of achieving improved health and economy through the provision of water, sanitation and hygiene education in a broad rural development framework and adopting integrated-holistic approach linking with health, education, income generation, irrigation and watershed projects in which provision of drinking water supply can be the entry point. The central philosophy of this proposed model is to put people in the centre, mobilize a grand alliance of all social forces, demystify techniques and technologies, generate and sustain political commitment and local leadership, institutionalized public monitoring and accountability to achieve better health and socio-economic development in terms of inspiring goals. Specific recommendations on the potential roles of the three systems involved i.e. the government, donor and the community have been made.

The evaluation methodologies adopted are as follows: ‘Checkland’s Soft System Methodology’ has been adopted to review the broad environment of the rural water supply and sanitation supra system based on contemporary sector approach adopted by donor in the ‘Developing Countries’ and particularly in India. ‘Goodman and Love Case Study Approach’ has been adopted for the analysis of External Support Agencies and NGOs supported individual sector projects in India.
Structure of the Study*

Evolution of Rural Development and Water and Sanitation Projects Design - At the Global Level

Evolution of Rural Development in India - Post Independence

Evolution of Rural Water Supply and Sanitation (Sector) Program in India

Development of Sector Donor Aid Philosophy

Origins of International Drinking Water Supply and Sanitation Decade (IDWSSD-1981-90)

Review of the Master Plan prepared for RWSS Sector in India in the context of IDWSSD

Review of RWSS Sector in India post IDWSSD

Analysis of Donor/NGO Supported RWSS Projects in India

Proposed ‘Supra System Model for RWSS Sector Development’ based on:
1. Contemporary Global Sector Approach
2. ESA/NGO Supported Sector Projects in India
3. Sector experience in India

Conclusion and Recommendations

* Not as per the sequence of the structure of the chapters

xviii