# Inputs from the Civil Society Consultations on Rural Water and Sanitation for the Approach Paper to Planning Commission's 12<sup>th</sup> Five Year Plan

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Facilitated by
Arghyam
WaterAid
UN SolutionExchange - Water Community







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- Arghyam and WaterAid

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#### **Preface**

At the request of the Planning Commission, Arghyam and WaterAid agreed to co-ordinate and support a process of civil society consultation for inputs on rural and urban drinking water and sanitation for generating recommendations for the Approach Paper to the 12th Five Year Plan of the Government of India. In the case of the rural consultations the consultations took the form of a series of 6 regional consultations culminating 1 in a national consultation in New Delhi on 13th and 14th December 2010. A local organisation in each region organised the consultation there, with WaterAid and Arghyam sharing the costs. The Water Community of UN-Solution Exchange provided documentation support for all the regional consultations as well as the national consultation. A wide range of participants was sought, covering organisations working on different thematic and geographical areas. The participants were primarily NGOs, Gram Panchayat members and people from academia or media with strong experience. The regional consultations were in the form of a 1.5 day workshop where participants were divided into groups focusing on particular thematic areas in rural water and sanitation. The thematic groups came up with a prioritized list of issues in their area, and identified solutions for those issues, and recommendations to the Commission that would be appropriate to take the solutions to a policy level. A list of thematic areas with some indicative issues was presented to the participants initially in order to provide a structure for the discussions and these are reproduced below.

About the regional consultations:

**South Consultation** (AP, Karnataka, Tamil Nadu, Kerala, Puducherry), 16-17 December at Bengaluru organised by MYRADA

**East Consultation** (Bihar, Jharkhand, Orissa, West Bengal), 19-20 November at Ranchi organised by Nav Bharat Jagriti Kendra

**West Consultation** (Gujarat, Rajasthan, Maharashtra), 23-24 November at Ahmedabad organised by Pravah Network

**North Consultation** (Uttarakhand, Himachal Pradesh, Punjab, Haryana, UP, J&K), 25-26 November at Nainital organised by Uttarakhand Academy of Administration

**Central Consultation** (Madhya Pradesh, Chhatisgarh, Uttar Pradesh), 29-30 November at Bhopal organised by Samarthan

**Northeast Consultation** (Assam, Arunachal, Manipur, Tripura, Meghalaya, Mizoram, Nagaland, Sikkim), 1-2 December at Guwahati, organised by Center for Microfinance and Livelihoods.

The attendee composition at the regional consultations was as follows:

	South	North	Northeast	East	Central	West	Total
NGOs	36	27	48	21	37	36	205
Panchayats	18	25	2	0	16	4	65
Academics	3	13	0	0	3	2	21

Others	5	14	0	2	8	6	35
Total	62	79	50	23	64	48	326

A list of attendees from the regional consultations is to be found later in this document, and a summary of the proceedings of the regional consultations is attached as an annexure.

National Consultation: Representatives from each of the regional consultations attended the national consultation as also some more renowned people in the water sector with strong knowledge of particular issues. The regional groups made a presentation of the discussions that happened in their regional workshop. This was followed by a breakout into thematic groups again where the group attempted to synthesize the thematic outputs of all the regions into one set of recommendations for the Planning Commission. These recommendations are the core content of this document.

The thematic areas and indicative issues that were used to structure the consultations:

#### I. Water supply

- a. Quantity: For example: Insufficient water at some periods of the year, or for some people. Lack of a clear definition of adequacy. Unreliable supply system.
- b. Accessibility: Poor access for certain groups in the community. No clear system or benchmarks for measuring access.
- c. Quality: Poor quality water in the area. Lack of knowledge and awareness in community on water quality and health linkages. Increasing incidences of waterborne diseases. Not enough demand or interest in addressing water quality issues. No easy or simple mechanisms for testing water quality on a regular basis. Test kits are cumbersome to use. Refills difficult. No easy or simple ways to treat water to make it safe. No supply chain to replace, replenish filters.
- d. Sustainability: Sources drying up during summer. Problems in operation and maintenance of water supply systems (pumps breaking down; time taken to repair). Absence of skilled manpower, finances etc. Recovering costs for maintaining the system.

#### II. Sanitation

- a. Access/Usage of toilets: Open defecation. Demand creation for toilets. Not adequate stress on behaviour change. Lack of skills, resources for behaviour change. Need to dedicate more time. Financial constraints, lack of space etc. Addressing concerns of aged, differently abled and pregnant women. Sustaining usage
- b. Liquid waste: All household waste let out into drains. Poor maintenance of drainage system. Absence of systems for treatment and disposal. Limited know-how on technology options, its costs etc. No supply chain. Lack of skills, manpower to plan, operate and maintain. Inadequate financial resources
- c. Solid waste management: No proper system for segregation, collection and disposal of solid waste. No affordable, simple technology for solid waste management. Solid waste piling up near the water sources. Financial and space constraints.

d. Hygiene: Not enough emphasis on hygiene promotion and education. Safe handling of water. Hand washing. No understanding of linkages between hygiene and health. Awareness on menstrual hygiene. Health impact on women due to poor hygiene. Issues of affordability, disposal.

#### III. Governance

- a. Institutional design: Absence of effective engagement with PRIs. Insufficient representation of all classes/communities in GP. Not much role or little role for all people/community to play. Bottom up planning and governance only on paper. Inadequate skills, capacity and absence of sufficient functionaries at all levels-village, block and district. Financial constraints.
- b. Public service delivery: Government schemes and plans unable not effective. Last mile connectivity. Lack of accountability and transparency. Absence of benchmarks. No citizen/social audits.
  - c. Rights: No legal right to safe drinking water and sustainable sanitation.
- d. Info and data availability: Absence of relevant, usable information and knowledge in public domain; Unusable data formats; Huge gap between research and practical solutions; Absence of platform to share best practices and innovation.

#### IV. Water sources sustainability

- a. Water scarcity: No round the year availability; scarcity during summer; drying up of sources; pollution leaving water sources unusable.
- b. Groundwater: No water budgeting and demand management. Extraction more than recharge. No community systems for managing groundwater.

#### V. Factors beyond WATSAN

- a. No closed loop approach (integrating drinking water, sanitation, solid waste and watershed).
- b. No coordination and convergence of drinking water schemes with other programmes total sanitation programme(TSC), MGNREGA, NRHM, Watershed programmes etc at the village/block level. No capacity and skills to prepare an integrated plan.
- c. No convergence with education schemes. Absence of school curriculum and platform to build awareness
  - d. Health: Poor linkages with health programmes.
- e. External factors affecting local water security: River stretches becoming dry because of hydropower dams. Unchecked extraction of water by industries, cities. Pollution of village water sources by industries, cities upstream.
- f. Extraction for agriculture (by few) leading to depletion of drinking water sources. Impact of agricultural waste runoff on water sources.

- g. Climate change: No credible and comprehensive data/information available to community to reduce vulnerability. Absence of adaption strategies and lack of capacities at all levels-village, block, district and state.
  - h. Issues due to lack of identity, land-rights in access to schemes.

#### **Executive Summary**

The Consultation process was a set of 6 regional consultations with a total of 300-odd participants including most of the states with representation primarily of ngos, civil society and gp representative.

We found broad issues recurring in all the consultations but also with a specificity arising out of local factors: geography, socio-economics etc. It will be one of the challenges for the Commission to be able to identify and tackle the most urgent high-level issues, at the same time giving scope for local solutions that are appropriate for the local condition. The discussions threw up local solutions to the problems that were raised; while these solutions are not all detailed in this paper, they are available to be tapped into through the documentation that was done at the consultations.

Water scarcity for domestic use and its poor quality was very high on the Issues list in all the consultations, but the reasons were very varied (groundwater mismanagement and depletion, drying up and inaccessibility of hill springs, arsenic/fluoride, industrial usage and pollution etc.). The solutions that came up were to manage water resources much more holistically, scientifically and sustainably. Protection of the water sources (indeed, moving it to a higher level of sanctity of the sources, rather than mere protection) will be a mantra, both to keep the sources sustainable in quantity as well as save the water from being polluted beyond usability. This will usually involve better watershed and natural resource management. A broad thread was to give the GP more power over the local water sources, so that industrial, urban and agricultural use could be regulated so as not to jeopardize the domestic water requirement. At the same time we have to start managing water resources at a basin or aquifer level, superseding the GP as appropriate (the subsidiarity principle). We have to be able to estimate the surface/groundwater resource in a particular area and figure out effective and scientific recharge programmes for groundwater where it is running out.

The normative standards for water supply should be taken seriously and also increased to a more reasonable level. The recommendation is for 75 lpcd potable water with an additional 100 liters per family for livelihood. Village water security can be ensured only through the use of conjunctive sources, which has not been central to thinking and implementation so far. Certainly local rainwater harvesting will be a part of the solution. Pricing is needed to attach value to a scarce resource and for providing finance for O&M of systems but is not to be at the cost of exclusion of the poor. It shouldn't deny lifeline water to those who cannot afford to pay.

In sanitation, effective linkages between various elements of sanitation (use of toilets, solid & liquid waste management & hygiene behaviour) and health have to be established through targeted IEC materials and training. Outcome indicators, ideally health indicators are better than the current indicators for toilet construction and ODF status. Village sanitation plan should be made mandatory and should consider all these elements along with focusing on the needs of various user groups (Women, Children, aged & disabled). TSC guidelines need to be revised. It should incorporate situation specific factors alongside higher IEC fund allocation (Rs 10,000-Rs 25,000 per year per village, for approximately 1000 households) & increasing subsidy for IHHL.

TSC should allocate funds for salary and incentivizing a village sanitation worker (following the Midnapore model). Further research on improving the range of available technology options will be essential. Implementation should be phased and focus on equity issues with a space for involving CSOs. In order to ensure effective implementation, measurable indicators need to be identified & participatory social audits and community monitoring need to be mainstreamed.

Water governance aspects came up. Timely fund transfer to GPs was mentioned multiple times, and the possibility of electronic transfer directly to GPs to speed things up. Overall, local governance institutions are weak and need strengthening in order to play their role. The GPs role as a true organ of governance, rather than just an implementing agency came up. Village Water and Sanitation Committees or Pani Samitis are not always in place and functioning well. We need to find out how to give strength and teeth to these sub-committees or standing committees of the Panchayat as they are the organ for water and sanitation planning and implementation. The Gram Sabha which should be much more vibrant and central in decisionmaking and monitoring. Social audits and community monitoring was universally mentioned, as ways towards transparency and accountability of the gram panchayat. A much better planning process (bottoms-up, or bottoms-up reconciling with top-down at the block level) is needed, and therefore fund allocation too for the planning process. Proper data for planning is also lacking. Exclusion of particular groups (caste, gender, geography) happens, and ways must be found around this, for eq. through mapping of exclusion. While the Gram Panchayat is the elected representative body of the people, some CSOs questioned their commitment to the broader good and suggested some parallel structures, while others wanted strengthening and focus on the GP in order to fulfill its goals.

Externalities or Issues beyond watsan covered primarily the effects of agriculture, industry, mining and urban activities on rural water and sanitation. Climate change often came up in the discussion. Undoing the distortions in power pricing that leads to unsustainable groundwater extraction, and better cropping practices to conserve water were frequently mentioned.

Some cross-cutting points that came up across themes were:

- the provision of water and sanitation facilities during floods and other emergencies, and droughts.
- the requirement of dedicated workers for different water and sanitation related jobs eg. a technically qualified person for the maintenance of the water infrastructure, a 'swacchtha bandhu' who would evangelize sanitation, and a jal mitra. The concept of 'barefoot engineers' came up often. It was noted that there is already a plan in the government to assign more functionaries to each GP; and this could significantly help to mitigate the technical capacity and manpower deficiencies.

# Thematic Discussion and Recommendations - Water Sources Compiled By: Himanshu Kulkarni, Eklavya Prasad

#### Part 1: Source protection: imperative

Some 90per cent of domestic rural water supply in India is groundwater-based. Most cities and towns also use a significant amount of groundwater to supplement civic supplies, often from a 'common' resource that they share with adjoining villages. Due to their open access characteristic and limited visibility, various stresses affect groundwater resources, leading to problems of availability, access and quality. In rural India, this has led to severe repercussions ranging from dependence on market (external) based solutions and tanker lobbies to forced migration and declining human and animal health. One of the key imperatives to ensure sustainable household water is that of *protecting* the source of such water supply. Household water security, including safe and reliable drinking water, in rural India implies that not only *sources* of water supply – mainly springs, borewells, dugwells tanks, rivers etc. – be protected, but the larger system of resources that feeds such sources be protected as well. In order to facilitate and sustain efforts of *protecting* the sources, the following aspects are to be accorded top priority in the design, planning and implementation of Rural Water Supply and Sanitation Programmes:

- 1. Demarcation of protection zones *from source to catchment.*
- 2. Developing and sharing knowledge about the potential and limitation of the drinking water resources.
- 3. Augmentation, with emphasis on RWH, surface storage and groundwater recharge. Traditional water sources to be studied for their potential to supplement water supply as well as groundwater recharge.
- 4. Developing micro-scale water protection plans.
- 5. Quality assurance and its sustainability.
- 6. Provision for local technological innovations.
- 7. Institutions.
- 8. Overarching legal framework with regard to externalities.
- 9. Data and databases.

Moreover, it is important to consider two factors while ensuring work and progress on the above aspects. First, a **participatory water management framework** be used as a basis for designing the programme itself. Considering that much of rural India depends on groundwater resource, which are in various degrees of exploitation, processes of participation be encouraged and mandated in *safe* and *semi-critical/critical/overexploited* units. Second, the entire process of designing, planning, implementation and monitoring be highly decentralized through a political, social and financial empowerment of appropriate institutions at the *panchayat* level.

#### Part 2: Key elements of 'protection'

Protecting sources and resources involves the protection of mechanisms of access (sources), distribution systems, water treatment systems and the larger water resource system that supports the sources. Protection related protocols that cater to the protection of source-to-catchment (recharge zones in the case of groundwater) ought to evolve through a well-informed, participatory, community-based process. This should also include a systematic process of creating a source, augmenting replenishment (catchment planning in the case of

surface water and aquifer management in the case of groundwater), defining zones of protection (both quantitative and quality-related) with at least two *buffer zones* – one for the source and the other for the catchment – demarcated through a participatory process. In doing so, enabling an entirely 'public' access protocol to drinking water sources must become a mandatory process, whether in the form of centralized or decentralized water supplies.

#### Part 3: Institutions and information

Rural drinking water security would require decentralisation of identification, planning, execution, operationalisation and maintenance down to the village-level. In this process, information gathering and use is crucial. Accessibility and availability of data, data-based decision support and collection of information are all very important. Today, emphasis is laid on meta-data, macro-scale information and geospatial information, all of which is not only difficult to interpret but often not representative enough of village-levels conditions. Therefore, decentralisation of *capacities* to collect and interpret data becomes a key factor wherein institutions must collaborate through partnerships, especially in order to move from *source-centric to resource-centric* approaches of managing drinking water supplies. The development of para-professionals at the village-level with such capacities would be a key objective in pursuit of the *water source-protection* goal. Such professionals would enable an improved *National Rural Drinking Water Quality Monitoring and Surveillance Programme* that the DDWS hugely banks upon, even now.

#### Part 4: Operationalisation

Village drinking water security will need a certain set of key *actions* on the ground. These actions are:

- Roles and responsibilities be given to village level groups (paraworkers, mostly youth groups) with due 'recognition' of such groups through 'incentives' and a linkage of reciprocity be developed between village level groups and the water and sanitation committee established at the panchayat level
- Mediatory mechanisms to prevent and resolve conflicts be institutionalized at the village and panchayat level
- It is difficult to quantify finances required for source protection; however, funding provisions or allocations for drinking water protection be made compulsory in programmes on forestry, MNREGA, watersheds and dedicated drinking water supply. In all of the above, a separate amount should be earmarked for the back and front ends of source creation, e.g. surveys & data collection, protection of key areas for recharge (incentives to land-owners, even additional budget to panchayats to ensure participation of various stakeholders), continuous monitoring and surveillance at the village-level.
- Multiple sources feeding the distribution system was a key recommendation by the water-supply thematic subgroup. This is a key recommendation for sustainable village water supply too; it is also significant in ensuring source sustainability and spreading thin the risk from poor water quality.

#### Part 5: Challenges

Location and situation specificities, traditional versus new technologies, rigid mindset in certain sectors – both government and non-government - information base being considered <u>not important</u>, the question of water as a *commons* versus the race to *individual* access are some of the challenges that will continue to crop up even through the process initiated by the DDWS through its new guidelines. Overcoming these challenges would require an improved interface

between the PHED (and other such parallel bodies that deal with drinking water supply) the panchayat and gram sabha. Building capacities of PHED has already begun in some States of India; however, unless this capacity-building is extended to preparing para-professionals at the village level, professionals who will be able to complement the work of PHED engineers, the current process of capacity building will remain only *emblematic* in the course of developing improved mechanisms of protecting sources and resources. These capacities will enable robust forms of data collection and management and will enable people to look beyond *engineering* solutions as part of the water-source sustainability.

The other main challenge is in the form of *externalities* that impact upon a common resource that services not only multiple *users* but different types of *uses* as well. Protection from such externalities is possible only through a mechanism of empowering the gram-sabha on one hand and developing specific 'overarching', state-level legislation to protect drinking water sources, on the other.

#### Part 6: Key recommendations

Ensuring sustainability of a drinking water source in large parts of rural India necessitates mapping of aquifers to understand the resource, socio-economic profiles of the aquifers including the stage of groundwater development and the development of a protocol of actions to prevent, mitigate and protect as the case may be. Such an approach needs to consider both, the quantities and qualities of groundwater available in different seasons as well as under different scenarios (abnormal rainfall, droughts, floods and more recently as direct impacts of Climate Change) and lead to a protocol of village water security. Most significantly, however, the protocol must clearly include a prima-facie security to the drinking water provision in an area. Protecting drinking water provisions includes norms related to factors such as regulatory impositions on the depths of borewells, distances between them, regulation of the overall use under various scenarios and largely a move towards community managed systems combined with effective water conservation approaches.

Hence, an overall strategy of drinking water security ought to fall in place, given India's groundwater situation. Whether it is community managed systems of groundwater that include 'social fencing' type regulation or formal regulation through legislative instruments like State Groundwater Acts, drinking water protection remains the main focal point of any larger groundwater management strategy.

The components of a groundwater management strategy, especially one aimed with the mandate of protecting, conserving and regulating groundwater use with a view to ensuring drinking water security includes:

- 1. <u>Protection of "recharge" areas</u>: through crucial *gram sabha resolutions* and backed up by *panchayat decisions on "how" to implement these*. The decision support for such decisions could come from village-level surveys and surveillance.
- Efficient use of drinking water resources: Improve the interface between hydrogeologists
  of the respective State Departments and the engineers of PHED or any other
  implementing agency. Support for this interface could come through the paraprofessionals working at the village-level.
- 3. Regulation of groundwater abstraction for other uses: This is possible through appropriate resolutions of gram sabha with follow-up action by gram panchayats or other appropriate institutions / committees. Norms such as minimum distances of other sources from a drinking water source, depth limits in comparison to the depth of the village drinking water sources, regulation of other demands etc. should be decided at the village-level and ensured, preferably through a social regulation. Such a regulation will

- also include *protection* of the source and a surrounding zone where certain kinds of activities should not be allowed. These zones should be demarcated based on village-level information collected by para-professionals.
- 4. <u>Appropriate alternatives that ensure "safe" drinking water</u>: Identification of safe drinking water sources or else appropriate and contextual technologies to ensure safe drinking water at the household level must find a place, especially in areas that are outside the classical 'scarcity' arena.
- 5. Robust groundwater legislation: Develop legislation with rural drinking water security at the centre of such legislation. The legislation should target protecting drinking water sources and the resource base that supports the sources from all kinds of externalities. These externalities could be defined clearly, both within the Central Model Bill as well as within the State-wise legislative frameworks that exist in some States and are being developed in others.

Clearly, source protection is a challenging task. However, it requires an intensive, dedicated approach that looks to resource security before securing sources or mechanisms of drinking water supply; the list above implies that the area of rural development may offer the best opportunity of evolving groundwater management strategies in different parts of India, especially with regard to drinking water security. Programmes such as *National Rural Drinking Water Quality Monitoring and Surveillance Programme*, Watershed development, MGNREGS etc. would be forerunners and/or good carriers to implement a comprehensive strategy of protecting and securing drinking water provisions in India.

# Thematic Discussion and Recommendations - Domestic Water Supply Compiled By: Depinder Kapur, Nafisa Barot, Ravi Chopra

The civil society consultations identified the main challenge in water supply as relating to growing water scarcity for domestic water use. **Scarcity for safe domestic water now affects large parts** of not only the semi arid and arid regions of India but also the sub humid and humid regions. Water tankers in many rural areas and water trains in some parts of the country, highlight the precarious state of water availability and issues of inequity and injustice in securing claim on water, specially by women, and the socio politically and economically marginalised communities..

#### (1) Assuring adequate quantity of safe and reliable domestic water supply

Water stress as well as it not being available at a home connection level, is a major factor for the low construction and usage of toilets in rural areas. Water supply for domestic use is important not only for drinking water but also for sustainable sanitation. Unreliable and unsafe sources of water, domestic water scarcity in large parts of the country at increasing frequency and scale, are a major cause of concern for meeting basic needs of all sections of society and of water as a human right. Hence a commitment to assure adequate quantity of safe and reliable water supply for domestic use both at household and community level is required as a national policy as well as a legal entitlement.

In the light of the newly drafted National Drinking Water Guidelines, that does away with minimum per capita drinking water provisioning and calls for rural communities to establish their norms and for the state to provide for them, it is not clear how this will be provided. If WASMO model in Gujarat is being seen as a model for the rest of the country, where Narmada water is being supplied through a massive river basin water transfer costing huge capital outlays, there are questions on how this will materialize for other parts of the country and what role if any will local communities play in planning and securing this water supply. There is also the question of effectiveness of such huge projects apart from its huge cost for infrastructure and maintenance involved.

There is therefore a danger that in the absence of commitments for improving the current standard of minimum domestic water supply by fixing higher quantitative appropriate levels and quality of water supply to each household and individual, the state may abdicate its commitment to providing a basic assured level of rural domestic water supply or end up spending huge capital outlays for massive intra basin water transfers for domestic water requirement without paying attention to developing, improving the quality and protecting local water resources for domestic water supply. Closer availability of water resource would also have a better potential for active participation of the most vulnerable in decision making, implementation and management of both their resources and distribution.

#### (2) Enhancing the minimum norms for domestic water supply

A minimum norm for domestic water availability for rural areas was earlier the guiding norm for national drinking water supply (fixed at a minimum of assured all year round 40 lpcd), needs to be raised to reviewed and increased to 70 lpcd of potable water provided to each household at their home and not in a public place. In addition to this, it is desirable that 100litres water per day per family is also assured for other uses(this water quality may be lower than the potable drinking water quality at household level /community level)

#### (3) In times of extreme stress

Natural calamities of droughts and floods, and manmade disasters, the provisioning of minimum quantity of domestic water supply could be 55lpcd. In such times, claims over scarce private

and public water resources should come under the control of the Gram Sabha and Gram Panchayat at the village level. So that water supply provisioning can be done for all and water sources are not exploited for profit.

The Planning Commission must prepare a Perspective Plan to move towards a norm of 100lpcd safe water supply in the home in rural areas. State governments should be encouraged to implement such a norm from the Fourteenth Five Year Plan onward. This level of supply should also be accompanied by the installation of decentralized waste water treatment systems. The treated water can then be channeled into kitchen gardens and/or fields for irrigation purposes.

#### (4) Gram panchayat powers and sustainability of water sources and supply

Role and power of gram sabhas and gram panchayat for resource protection through stringent monitoring, preventing unsustainable extraction or pollution of ground or surface water by other users including industry, should be enshrined in Policy, Programmes and Laws at the national and state level.

Enhanced norms for equitable, safe and sustained domestic water supply are possible only when local level planning and multiple sources in place of single source water supply are employed. As a policy therefore, priority must be given for local water sources and to augment these from outside, only when the local resources are not able to meet the community requirements. Hence all local sources at the village, block and district level should be mapped and monitored to assess their sustainability over time. A water security plan (including gender sensitive equitable distribution system) be developed based on this mapping and approved by the Gram Sabha, in order to provision for capital investment in domestic water supply infrastructure. Infrastructure for water supply at village level should be based on active community involvement from all sections of the community assuring more than 50% of women's participation in the design of integrated water supply and sanitation. The Gram Sabha may take the assistance of a Civil Society Organisation for developing this water security plan. It is feared that if the government Utilities and civil contractors are engaged in developing village level water security plans, it is likely that the capital infrastructure demanded will be huge and the ability of the community to pay for its O&M later on will be in doubt. All water security plans at the village level should be approved at a sinle level, the block or the district, in a stipulated timeframe.

If water security plans are developed in the above mentioned process and framework, only then can the communities be expected to be responsible for all O&M expenses of the water supply systems. Water quality assurance as well as O&M operations management will be the responsibility of a sub-committee(could be the Village Water Supply & Sanitation Sub Committee) of the Gram Panchayat. The proposal of Panchayati Raj Ministry to provide functionaries to each GP will ensure a basic capacity within the Panchayat to do this. Monitoring and auditing the performance of the system will be done by the Gram Sabha if necessary assisted by CSOs.

#### (5) Pricing of domestic water

It should be seen purely from the perspective of valuing a scarce natural resource and not for profiting from it at the expense or exclusion of the poor. Water for meeting basic human right should not be charged, 100% Capital cost for water resource building and water supply infrastructure should come from external funding, (mainly the government) while O & M costs, to be borne by the users., except for the electricity charges, which should be paid by government Pricing to be left to the Gram Sabha, to take care of O&M. Pricing of water however should not be at the expense of denial of minimum human requirement to anyone in the village.

#### (6) Time limit for approval and implementation

Experiences show that applications from the communities remain unattended for a very long time. Hence, it is absolutely necessary to fix up the time limit for the approval s and release of funds. To ensure this, fine must be fixed as in case of RTI.

There are examples of village communities coming together and developing village an initial village capital fund as part of its joined up design and planning process. In the main however, capital infrastructure cost for water supply at village level should be secured from government or external funding and the O&M left to the village community to meet. All major replacements (new motors, new borewells, new pipelines) are capital costs. Electricity for operating water supply schemes should be provided by the government or other service providers at a subsidized rate, if not free. Electricity for a minimum domestic water supply norm as well as for a minimum level of household power needs, can be provided at lifeline base tariff in place of massive electricity provisioning for free to irrigation.

#### (7) Ensuring water quality

Once the infrastructure to provide safe drinking water is taken care of, ensuring water quality monitoring can be the responsibility of the community, through the VWSC (including women and men watsan volunteers) that functions as a sub-committee of the Panchayat. Training in water quality testing and treatment to be provided to the sub-committee (VWSC) and Panchayat functionaries by CSOs/Govt/research institutions/ universities. Every GP will be supplied with water-testing kit. Replacement of water testing chemicals is part of O&M responsibility.

The Department of Domestic (Drinking) Water Supply in collaboration with other experienced agencies including research institutions, voluntary organizations, universities and other experts should prepare comprehensive guidelines for Community-based Water Quality Monitoring and Treatment. The lessons from similar implementation of community-led watershed development programmes should be used in such an exercise.

#### (8) Empowering the Gram Sabha, panchayats and water sanitation committees

Appropriate fund allocation should be done for capacity building, gender sensitization, inclusive and participative processes for the village action plans, implementation, establishing redressal or conflict resolution mechanism at community and area level as well as for constant monitoring to prevent slip back.

# Thematic Discussion and Recommendations - Sanitation Compiled By: Chitralekha Chowdhary, Geetha Jegan

It has been over ten years since the Total Sanitation Campaign (TSC) was launched in India. The result has been mixed with some states progressing well and many other states lagging behind. The main criterion of assessing coverage has been on construction of toilets without any follow up to monitor their usage. The idea was to achieve sanitation coverage through demand generation. Despite substantial investments in IEC to generate demand, almost half of the population lacks access to sanitation. The message is clear- sanitation has not been accorded the priority unlike water or other basic services. Thus despite investments to promote sanitation, the results are not something to be proud of.

Some of the main problems/ issues identified during the regional and the national consultations were:

#### (1) Planning & implementation

While the strategy to promote sanitation through demand generation is useful, depending only on IEC did not meet the purpose. Furthermore IEC has been limited to posters and wall paintings. There is hardly any focus on effective inter-personal communication.

Absence of state level IEC strategies and lack of infrastructure support to promote effective IEC tools have also led to the ineffectiveness. Another reason for failure was identified as the lack of IEC funds allocated to the Gram Panchayats (GPs).

Lack of dedicated personnel to promote sanitation at the grass root level has also led to serious implementation problems.

#### (2) Incentives & the technological innovations

Targeted incentives only to BPL families have also proved to be a barrier for promoting sanitation. Furthermore, the incentives are uniform across the country and do not provide scope for technological innovations based on the geography or the regional context.

#### (3) Lack of effective fund utilisation in priority areas

Funds are available under the TSC for the various priority areas (IEC & physical construction of toilets) within the programme. However the use of funds and its effectiveness is questionable. There is also a need to explore convergence of TSC with other developmental programmes and seek possible funding opportunities for these priority areas (especially for the physical construction aspects)

#### (4) Absence of community monitoring mechanisms

It mainly led to leakage of funds that were supposed to be invested in hardware.

In light of these key cross-cutting issues, the thematic group on sanitation came up with a set of recommendations. The recommendations led to a set of non-negotiable principles. The recommendations & the non-negotiable principles are presented below -

#### (1) Planning & implementation

#### (A) Planning

- (i) State level sanitation plans should provide broad direction and guidelines to promote and achieve total sanitation. Current state plans are a collation of the district plans, which in turn are a collation of the GP plans. It is necessary that the state should outline the contours of the sanitation plan that should form the basis for the district and the GP level plans. The district level sanitation cell should be actively involved in preparation and implementation of district sanitation plan.
- (ii) Village level sanitation plans should be developed in a participatory manner and should include plans for IEC, construction & use of toilets, solid and liquid waste management, school sanitation and hygiene. The plan should allow for the time taken (by fixing a realistic time-frame for each process) by various processes under implementation. Working within the broader contours of the state sanitation plan, the village sanitation plan should form the basis for block, district and state sanitation plans (bottom-up planning approach). It should focus on the sustainability of interventions and meet the needs of the elderly, people with disability and children.
- (iii) Baseline indicators for the use of toilets need to be developed as part of the village sanitation plan, which can help monitor the post-project interventions. There is also a need to shift to outcome based indicators rather than output based indicators. Various elements under sanitation should be linked with health based outcomes.

#### (B) Implementation

- (i) A person, dedicated to sanitation, has to be appointed at the village level under the respective Gram Panchayat. The person can be selected by a committee comprising of Sarpanch, school teacher, SHG members etc. S/he shall be responsible for promoting sanitation while the GP can provide support through development of relevant IEC tools as per the context and social fabric of the community (The *Swachhata Bandhu* example from the Midnapore model in West Bengal). A fixed monthly remuneration should be paid to the person appointed to promote sanitation. S/he shall also be incentivized based on the installation of hardware.
- (ii) Provision of adequate water for (as close as possible) toilet usage has a critical bearing on the success of TSC. Because addressing the water issue will definitely lead to considerable increase in toilet usage.
- (iii) ECOSAN toilets should be promoted in waterlogged and high groundwater table areas. It should also be promoted in areas suffering from water scarcity. There is also a need to promote bio-gas linked toilets. In both cases, the incentive amount should be higher than leach pit toilets.

- (iv) Capacity building activities need to be undertaken for the PRIs, school teachers, Anganwadi workers, TSC co-ordinators, women self-help group members. It should involve training and exposure visits to understand how to build and maintain low-cost toilets.
- (v) The group also felt that convergence among various govt. line departments- health, rural development and education is a critical issue for TSC implementation. Deeper deliberations are required to understand the dynamics of this convergence and discuss the roles to be played by these various departments

#### (2) Incentives & the technological innovations

- (i) There is a need to universalise incentives. Simply put no sharp distinction between APL and BPL families in a habitation. But there should be some flexibility to vary incentives according to the economic condition of the families. About 3% of the TSC budget should be allocated for people with disability. There was however a section of CSOs that felt that subsidies were counter-productive in the first place.
- (ii) The amount for incentive should also consider the technology of toilet construction and the geographical terrain in a particular location. It should cover at least 50% of the cost of the hardware. This amount can be disbursed in two phases. Half of the amount can be disbursed after construction and the rest after reporting of use.

#### (3) Allocation of funds in priority areas

- (i) Fund needs to be allocated for intensive campaign on sanitation and hygiene promotion through television, radio and other mass media. IEC funds in the range of Rs. 10,000 to Rs. 25,000 per year should be allocated per village (considering about 1000 households in a village). Allocation of funds for IEC at the Gram Panchayat level, rather than only at the block level, can provide scope for more effective IEC tools to enhance demand.
- (ii) Menstrual hygiene management should also be integrated as part of sanitation and hygiene promotion. Funds can be allocated for training, preparation and provision of sanitary napkins at a subsidized rate to poor households and girls studying at middle and high schools. Funds should also be made available for incinerators in order to ensure proper disposal of the napkins.
- (iii) MGNREGS funds should be used for physical construction of sanitary latrines & compost pits, which will serve the dual purpose of improving rural livelihoods and environmental sanitation.
- (iv) Allocation of development funds at the GP level should be linked to its status of toilet usage (whether "open defecation free" or not)

#### (4) Social audits & community monitoring mechanisms

Social audit and community monitoring mechanisms at the Gram Panchayat, Block and District level should be integrated in the TSC to promote behaviour change, accountability and transparency.

#### Non-negotiable principles

The group came up with the following set of non-negotiable principles for the various administrative levels of rural hierarchy-

At the household level:

Use of toilets at the household level should be linked with access to govt schemes (NREGA etc)
At the Village level:

Swatchata Bandhu has to be deputed to promote sanitation using inter-personal communication At the GP level:

Village sanitation plans have to be participatory with a strong IEC component

At the State level:

Participatory state sanitation plans should be developed based on the inputs from village, block & district sanitation plans.

Finally, social audits and community monitoring has to be mandatory all 3 tiers (at GP, block and district levels) of rural administrative hierarchy

#### Issues of contention/further reflections

- (i)The group debated the idea of allocating funds to the GPs for renovation of existing damaged school and anganwadi toilets. But due to lack of time and a clear verdict it could not reach a consensus.
- (ii) As mentioned earlier, the group was also unable to reach a consensus on the role of subsidies. A section of group members questioned subsidies on grounds that it creates a divide between APL and BPL families and hinders action of the community as a whole towards total sanitation. They cited the example of CLTS, which does not depend on the subsidy offered.

## Thematic Discussion and Recommendations - Governance Compiled by: Ayan Biswas, Gopi Pukhrel, Niraj Kumar

The regional & national civil society consultations identified several key challenges to governance issues related to rural domestic water & sanitation (WATSAN). They are as follows-lack of legal authority & institutional capacities at the Gram Panchayat (GP), lack of transparency and accountability of various govt. line departments including the GP, lack of reliable data thwarting the planning process, no clear definition of roles & responsibilities for GP and lack of community based monitoring/audit systems. Other key concerns that were brought to the table- lack of convergence & coordination among the three tiers of Panchayati Raj institutions (PRIs) and inability to engage all the stakeholders while addressing the equity issue. Recommendations addressing these key concerns can be broadly categorized under four major items- Structural adjustments, operational adjustments, policy initiatives & support measures and transparency & accountability issues. Some of the recommendations under these broad items have overlapping areas however the categorization helps to streamline the initiatives and possibly leads to better reading.

#### (1) Structural adjustments

- (i) In line with the 73<sup>rd</sup> constitutional amendment, the government should empower various institutions at the grassroots' level. Gram Sabhas and GPs need to be identified as centres of development. Further up the administrative hierarchy, the district water sanitation mission (DWSM) should act as a sub-committee under the Zilla Parishad and the devolution process should also be evolved as per the 73<sup>rd</sup> constitutional amendment.
- (ii) GPs need to have a clear mandate- with clearly delineated roles & responsibilities. They should be given more powers to plan and make independent decisions about spending/reallocating the funds allocated under various rural WATSAN programmes (according to the current practice, budget heads are fixed by the state departments and the GP has to abide by them). Devolution of functionaries (skilled manpower) and funds to the GPs and providing more legal teeth to its' various standing committees (e.g. legal standing for the village water & sanitation committee; VWSC¹) can help solve this problem.
- (iii) Gram Sabha should anchor bottom-up planning and decision making processes. Preparation of micro-plans and the subsidiarity principle should be used as important tools in this regard like the *Kudumbashree* example in Kerala. A GP level planning forum can also be constituted to facilitate this process. Civil Society Organisations (CSOs) can play a key role in facilitating this initiative by developing planning capabilities at the GP level. CSOs should also be involved in monitoring the implementation of plans and to check whether the funds were utilized optimally.
- (iv) Administratively, it was pointed out that, the GPs deal with a plethora of line departments which makes day to day management very difficult leading to dissipation of energy and resources. For instance, in Karnataka, a typical GP deals with 22 line departments. This calls for a better system of convergence and coordination between the three tiers of PRIs, schemes and departments.
- (v)The line departments and its officials are not accountable to the GPs. This again creates a lot of accountability issues at the GP level. Necessary amendments shall be enacted in the

<sup>&</sup>lt;sup>1</sup> Pl. refer to the issues of contention at the end of this note in order to understand the detailed debate on VWSC

Panchayati Raj Acts to ensure that the officials of the line departments are accountable to the GP. This is another important structural issue that needs to be addressed.

#### (2) Operational adjustments

- (i) Funds related to rural domestic water and sanitation projects should be transferred directly to the GPs. One successful example is the Sikkim model where funds, functions and functionaries have been transferred to the GP for all the 29 subjects under the 11<sup>th</sup> schedule.
- (ii) Further up the administrative hierarchy, Joint Monitoring Committees at the district, block, & GP levels need to be created and strengthened. The district water sanitation committee as part of district council should carry out the district level monitoring of rural domestic water & sanitation programmes. The target should be to achieve sustainability- 100% water supply (ensuring the quality aspect) and sanitation (should also include provision for drainage System with solid waste Management) coverage without any slippages.

#### (3) Policy initiatives & support measures

- (i) Village level water security plan should be mandatory for any financial allocation to the states. Every State needs to have its own State Water and Sanitation policy in conformance with the overarching national policy framework. The National Rural Drinking Water Programme (NRDWP) & Total Sanitation Campaign (TSC) guidelines need to be supplemented with a flexible operational framework by each State Govt. The operational framework should be explicit, practicable and suited to local conditions. An example in this case would be the drinking water security plan. We have a plan in place but lack of structural & operational frameworks (who will do it and how) reduce the efficacy of implementation considerably. There is also a need to reorganize, respect and operationalize V<sup>th</sup> and VI<sup>th</sup> schedule provisions.
- (ii) It will be important to inculcate a culture of good governance among the citizens. Various policies and its' support measures related to domestic water & sanitation should accord due importance to this. Support measures should include educating the schoolchildren on the various aspects of water & sanitation (e.g. water quality management, use of latrines & promotion of menstrual hygiene etc.). Training and capacity building of the PRI's on roles and responsibilities, participatory watsan planning, project management needs to be given adequate emphasis and allocations. Measures to ensure its effectiveness shall be incorporated.

#### (4) Transparency & accountability issues

- (i)Transparency and accountability are the keys to better governance. Social audits for various rural domestic water & sanitation programmes need to be mandatory at three key tiers of rural governance- GP, block & district level. Community based participatory monitoring of these programmes involving GPs, other relevant govt. line departments (PHED, P & RD etc.) and the villagers have to be commissioned.
- (ii) Proactive disclosure of plan, process and budget allocated under various programmes needs to be encouraged- various govt. line departments and the GP should take the lead in this case. The proactive disclosure should be done through website, wall paining on common-walls and display of hoardings. A provision for mandatory compliance should be made under article 4 of the RTI Act 2005 in the WATSAN Guidelines.
- (iii) Every state needs to engage with the community to prepare a community-led "Citizen's Charter". It should also ensure sufficient participation by various socially disadvantaged groups (including the women and the disabled) in this process.
- (iv) Lack of reliable data about these socially disadvantaged groups' hampers planning & execution of the various programmes and leads to inequity. Hence it will be important to map

(using GPS) the geographical & socio-economic exclusion to address the equity issue. A space should be created for the CSOs in order to effectively engage them in this process.

#### Issue(s) of contention

Some of these issues were discussed and debated during the regional consultation but the groups could not reach a consensus either due to lack of time or due to lack of a clear verdict. They require deeper analysis and further reflections. One of the key issues of contention, identified during these regional consultations is as follows-

There was a lack of consensus regarding the fact that whether the VWSC should be a part of the GP or they should remain as parallel entities. The debate hinged around the fact that the GPs are political entities and may not necessarily reflect community aspirations.

# Thematic Discussion and Recommendations - Beyond Water and Sanitation Compiled by: Indira Khurana, Ranjan Panda

India is on a high growth path. The world has praised the way the country tackled the recent recession and the International Monetary Fund has economic growth forecast for India indicates the country's economy will expand 9.7 per cent this year.

The growth story also includes massive industrialization, which exerts enormous pressure on the ecology and hence on water resources. Agriculture is another sector that is making huge demands on water, especially groundwater, a resource on which more than 85 per cent of rural drinking water schemes are based. The demand for freshwater is thus competitive, and is already affecting the provisioning of drinking water and water for domestic use (including sanitation and hygiene) for the people in general, and poor in specific.

There are various factors as indicated above that have a direct bearing on the availability of sustained access to safe drinking water and sanitation in rural areas. These include land use change, energy projects; mining and other extractive industries, market based growth, deforestation, lack of a legal framework for prioritizing domestic water, lack of implementation of water and environment related policies and laws and unsustainable urbanization.

Data suggests that there will be a four to five fold growth in the power sector and five manufacturing sectors (steel, cement, paper, fertilizer –only urea, and aluminum). The industries will also pollute the environment exerting further pressure on the water resources, reducing thereby the availability and quality further. It has been assessed that India will reach a state of water stress before 2025 when the freshwater withdrawal as percentage of total available is projected to exceed 50 per cent.

With the above background, the following may be considered as some of the key recommendations:

- 1. Water should always be considered as an ecological resource. Providing domestic water and maintaining minimum ecological characteristics of water for other dependents such as forests and wild life and biodiversity should be legally binding prioritization in the water policies both at state and national levels.
- 2. For all new projects that are planned, before going ahead with any progress with regard to investments, land acquisitions and other such activities, a regional ecological assessment to assess the carrying capacity of the ecology and the natural resources especially water resources must be done keeping in mind both present and future requirements. The above can only be possible if a regular and updated database is generated on the water resources of the country. Sincere efforts should be made to keep the water availability and quality data of the nation updated, which can be assessed by all even at grassroots levels (at least till the Gram Panchayat level).
- 3. When any project is envisaged by govt. or private entities there should be legally binding mechanisms for free, prior and informed consent of the user and affected communities. The proposed mechanism that can be adopted by the state could include: broadening the stakeholder base to include community water management organizations; intensive IEC campaigns about the project and public hearings; time bound decision-making by the government based on inputs from stakeholders; final consultations with the public groups; and, finalizing the decisions. These decisions may then only be challenged in a court of law.

Resources should be made available by the state for the above mentioned process at the appropriate level of governance.

- 4. Any project should clearly specify the impacts short and long term on drinking water and sanitation. The Department of Drinking Water and Sanitation, Ministry of Rural Development and relevant civil society organizations should to be represented in the decision making processes in relevant ministries to ensure that this sector remains unaffected by any activity.
- 5. A legal mechanism should be in place to ensure constant monitoring and review of projects and policies and ensuring accountability, safeguarding vulnerable communities against negative impacts. Such a monitoring group could include representatives of following stakeholders: government, technical and financial specialists (for audit, representatives from communities and NGOs, and social scientists). Through monitoring, a regular and updated situation should be made available about adherence of these projects to pollution control and other norms that affect the availability and quality of freshwater used and impacted by them.
- 6. A mediatory mechanism should be in place to prevent and resolve conflicts relating to water uses.
- 7. Keeping in mind the fact that community is not always homogeneous and may not be representative of the overall long term interests of all, there is a NEED to pre-invest in strengthening communities by developing and sharing knowledge (both by communities themselves and with external inputs) about existing scenarios that have affected drinking water availability and quality around the project level and larger levels.

## **Annexure:** List of Participants

### National Consultation, New Delhi, 13-14<sup>th</sup> December:

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Himanshu Kulkarni	ACWADAM
Subhash Bakhale	President, Village Watershed Committee/ Ex Sarpanch

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Janpad Panchayat

I	
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Rishikant Pandey	Panch Parmarth
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Bishnu Pukhrel	Pacific Club
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