Extending Service Delivery through Community Engagement and Mobilization

Preliminary Findings from Interdisciplinary Policy Research across Dhaka, Karachi and Mumbai

Institutional and organizational case studies are components of an interdisciplinary policy research study, Lead Researcher: Faisal Haq Shaheen, PhD Candidate, Ryerson University – fshaheen@ryerson.ca
• The Inevitable Service Delivery Context in South Asia’s Cities
• Policies and Service Delivery Program Complexities
  – The Value of Process Tracing for Comparative Policy Research
• Methodology: Process Tracing
  – Assessment of State and Non-State Actors and Service Delivery efforts in Water and Sanitation
  – Process Mapping low income areas in Dhaka, Karachi and Mumbai
• Cross Municipal Findings and Themes in Service Delivery Extension
• Maturation of State/Non-State Arrangements
• *Informing a Municipal Policy and Program Research Agenda*
Service Delivery in South Asia’s Mega Cities

• Urban growth is surging in South Asia
  – Large segments of society live in low income, unplanned settlements and struggle with scarcity in growing cities
  – Rising prices and unaffordable housing will perpetuate the growth of ‘informal’ communities, who in turn will press formal and informal ‘providers’ for services

• Historical challenges constrict the equitable distribution of services
  – Colonial imprint remains on a ‘tiered’, center facing bureaucracy
  – Politicized institutions operate without due process or oversight by upper tiers
  – Weak municipal institutions are drowned out by upper tier policies/decisions
    • Duplication of ‘legacy’ departments, through politicized functionaries

• Basic services are delivered across cities by upper and lower tier actors
  – Upper Tier (health, education)
  – Lower Tier (solid waste, electricity, water and sanitation, shelter)

• *Uncoordinated and weak frameworks exist in an atmosphere of ‘anti poor policies’, which directly perpetuate urban migration*
Difficulties in Establishing Causality in Policy

• State and Non State Upper/Lower Actors influence Service Delivery
  – State Actors
    • Upper Tier (Central/Federal)
    • Lower Tier (Provincial/State and Municipal/Local)
  – Non-State Actors
    • Upper Tier (Donors, Funding Agencies, Private sector, NGOs)
    • Lower Tier (Technical Donors, NGOs, CBOs)

• Different Periods characterized by different Policy and Program Priorities
  – Shifts from State to Non-State Activity
    • Donor funded state planning and programs are giving way to community ‘policy activism’
  – Different outcomes emerge from different tiers of the state
    • Prioritization of Policy Attention at the Upper Tiers of the State
    • ‘Service Delivery Events’ or ‘Community Milestones’ at the Lower Tiers of the State

• Trending policy outcomes and establishing causality and inferences for analysis is challenging
Methodology: Process Tracing

• Value of Comparing state and non-state actors between Mega Cities
  – How do the post colonial WATSAN service delivery contexts in Dhaka, Karachi
    and Mumbai compare in terms of extension to the informal sector?
• I attempt to integrate process tracing with causal-process observations,
  that are nested within the case study and non state actor experience. This
  brings out the causal sequence in which process-tracing observations are
  then situated (Collier et al, 2011).
  – Period based review in 5 year increments
  – Describe key service delivery extension events
  – Identify the Policy Stage (Lasswell, deLeon, Anderson et al.) at
    • Dhaka (Dhaka and DWASA), Karachi (OPP and KWSB/KMC), Mumbai (SI and MCGM)
  – Outline the level of State/Non-State Engagement (Sansom et al.)
    • Summarize relationship between state and non-state service providers
• Method draws out the instruments linked to positive service delivery
  outcomes
Indicators of Municipal WATSAN Actors

Established 1963
- Low Income Areas identified as a strategic priority along with non revenue water
- Low Income Wing
- Audited and Annual Reports
  - 1997 to 2013

Established 1996
- KMC delegated for engaging ‘katchi abadis’. Collections improving by 30%
- No separate KA wing
- Audit Reports
  - 2005

Established 1882
- City - Citizen Services includes slum stand post connection applications
- No dedicated slum wing
- Audited Reports
  - None
Indicators of Municipal Non-State Actors

Established 1980s
- Water and Sanitation – Education, Hygiene and Infrastructure facilitation
- Audit Reports
  - 2009 - 2013
- Kalyanpur Pora Basti
  - Engaged in 1992

Established 1980
- Water and Sanitation – Community mobilization and Infrastructure facilitation
- Audit Reports
  - Quarterly since 1980
- Sabzi Mandi
  - Engaged in 2000

Established 190
- Sanitation solution - The revolutionary twin flush toilet, liberating night soil scavengers
- Audit Reports
  - NGO proforma
- Dadar TT toilet block
  - Initiated in 1988
Methodology of Process Tracing

|------|------|------|------|------|------|------|------|

*Policy Stage (Agenda Setting, Formulation, Decision Making, Implementation and Evaluation)*

*Level of State Non-State Engagement (Recognition, Dialogue, Facilitation/Cooperate, Contractual, Regulation)*
# DSK and DWASA

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Plotting state/non state relationships

Typology of Service Delivery Arrangement

Karachi
Dhaka
Mumbai
G20
Comparative Insights for WATSAN extension

Local Community Engagement central to design success
- Design must be developed in cooperation with local actors (non-state)
- Local revenue generation, key to service delivery design, made at project inception
- Driver is community, State is sponsor for local service delivery solutions

Establishing Shared Interests will sustain momentum
- Lower tier actors sustain momentum of most relevance for service delivery
- Effectively move from Agenda to Implementation and Recognition to Contracting
- Institutional strengthening and revenue recovery (reduce non revenue water)

Momentum must push Documentation to Formalized Relationships
- Documentation is central, with Reporting and Advocacy facilitating engagement
- Memoranda of understanding and Letters of Intent require recognition.
- Absence of securing shared efforts, leaves non state actors vulnerable
Non-State Actors - Whither State Response

• OPP RTI
  – Exposed water pilferage and water revenue losses as part of reporting efforts
  – *Absence of broad, formalized state facilitation and collaboration, securing the relationship with this NGO, has left the organization and staff vulnerable*

• DSK
  – Exemplary service delivery within Mirpur, along with the opening of water supply to Karail slum, has now led to the expansion of service delivery extension to other parts of Dhaka
  – *State pushed to realize its inability to service all stakeholders, and engage more NGOs like DSK. DWASA has recognized this and established MOUs.*

• SI
  – Details the nuances of local entrepreneurial design and sustenance, exposing the limitations of the privatized ‘one size fits all’ model
  – *Absence of state appreciation for the local nuances of design, has led to unnecessary experimentation with subsidizing private sector operation and millions of rupees in outlays through JNNURM.*
Informing the Service Delivery Agenda

• Leverage Technology and Sustain Momentum in Monitoring
  – Increase Transparency at lower tiers by employing GIS applications for billing and monitoring of service delivery such as water services, solid waste routes

• Formalizing Engagement between Lower Tier Actors
  – Increase Effectiveness at lower tiers through facilitated engagement between CBOs and Municipal officers from implementation and evaluation of current policies and programs. Requisite timelines are beyond the terms of office of elected officials.

• Sustaining Momentum through Reporting and Funding
  – Increase Accountability at lower tiers where the state is compelled to face its limitations in service delivery, and that community capability can buttress lower tier service delivery as locally developed solutions are required for service delivery sustainment.