


Management Options

Session 1 :Issues and Options

Module 6 Session 1

The background of the slide features several faint, light-colored water ripples. These ripples are centered in the lower half of the slide, with one large ripple on the left, a smaller one in the middle, and another large one on the right. There is also a small, isolated ripple in the upper right corner.

This session considers

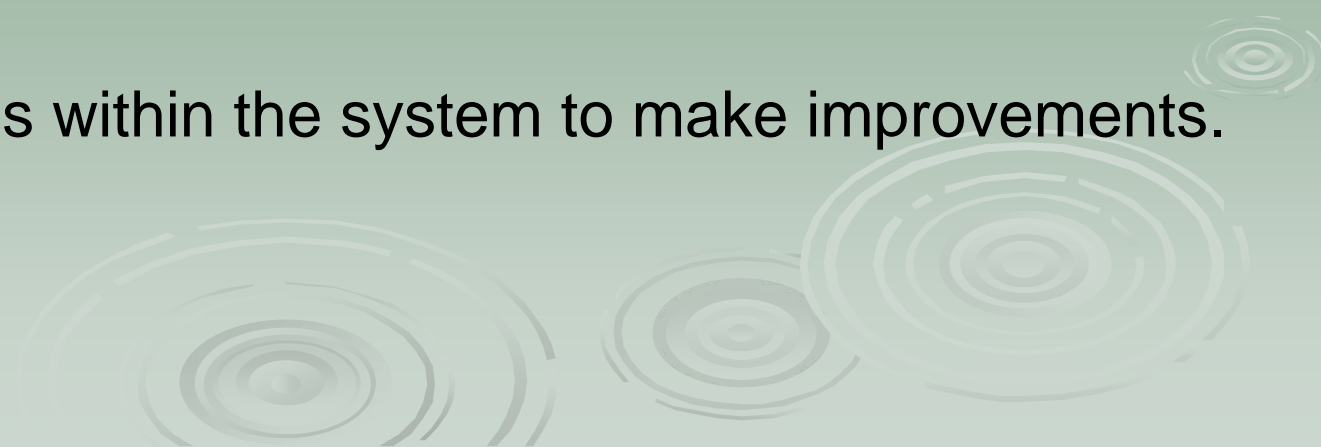
- Key Management Issues
 - Common management weaknesses
 - Importance of operation and maintenance
 - Scale of management
 - Strategies and Management Options
 - Management by Municipalities
 - Community Participation
 - Community Management
 - Role for NGO Programmes
 - Role for Private Sector
 - Partnerships
- 

Some Common Management Weaknesses I

- Fragmented and overlapping responsibilities between organisations and stakeholders.
- Lack of clear direction and vision
- Lack of capable trained staff – particularly in decentralised agencies
- Inadequate management information systems
- Limited O and M procedures



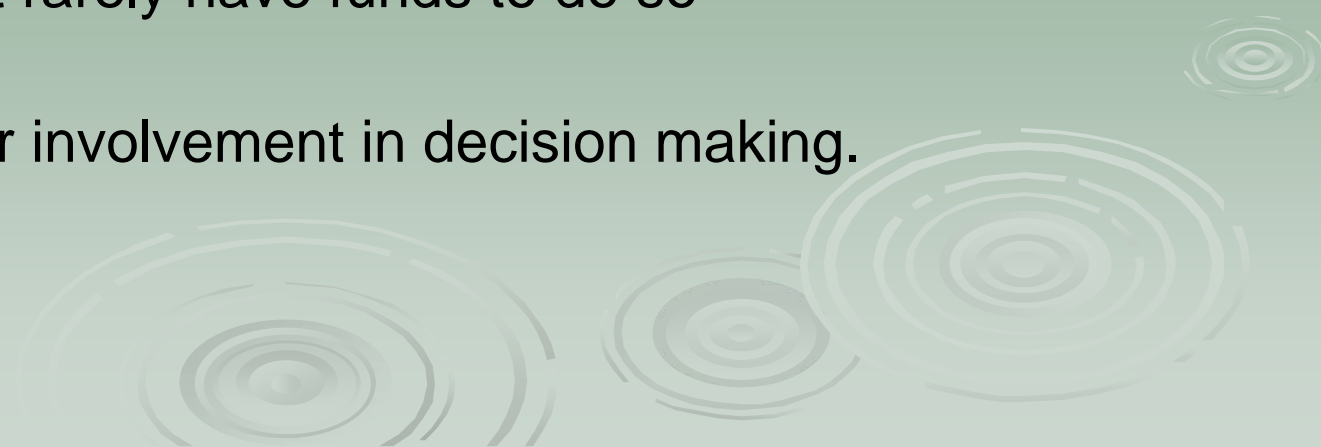
Common Management Weaknesses II

- Unnecessary bureaucratic controls
 - Ineffective staffing policy and job definition
 - Management inability to withstand political pressures
 - Lack of resources
 - Political management and interferences
 - Lack of willingness to charge for water and wastewater management
 - Few incentives within the system to make improvements.
- 

It's not just about building .. but keeping facilities working

- Good wastewater management is not just about building the right technical solutions.
- Building a septic tank, a sewerage system or treatment facility is often the *easy part* ... keeping the infrastructure working over the years and to an adequate standard is the *main challenge*. This is called *operation and maintenance (or O and M)*.
- O and M is not attractive, often goes unnoticed when done well and rarely attracts the money or staff time required to undertake it properly.

Centralised Management of Operation and Maintenance

- Centralised management often contributes to the failure of O and M because there is often an:
 - Over-dependence on limited government resources
 - Decision makers are often remote from problems and have to work within rigid hierarchical structures.
 - Users expect government will provide everything and government rarely have funds to do so
 - Lack of user involvement in decision making.
- 
- A decorative graphic consisting of several sets of concentric circles, resembling ripples in water, located in the bottom right corner of the slide.

Dimensions of Maintenance

➤ Operation:

- Hiring the people and establishing the systems to run a facility or network

➤ Maintenance:

- Preventive or routine maintenance An important aspect of routine maintenance is the systematic inspection and replacement of parts.
- Reactive maintenance is needed where past routine maintenance has been insufficient after accidents and where plant is aging. All interventions need to be analyzed and the causes of malfunction or breakage recorded, so as to guide future procurement decisions and help in deciding whether part or all of a network or plant should be upgraded or replaced.

Opportunities of DWWM Approach

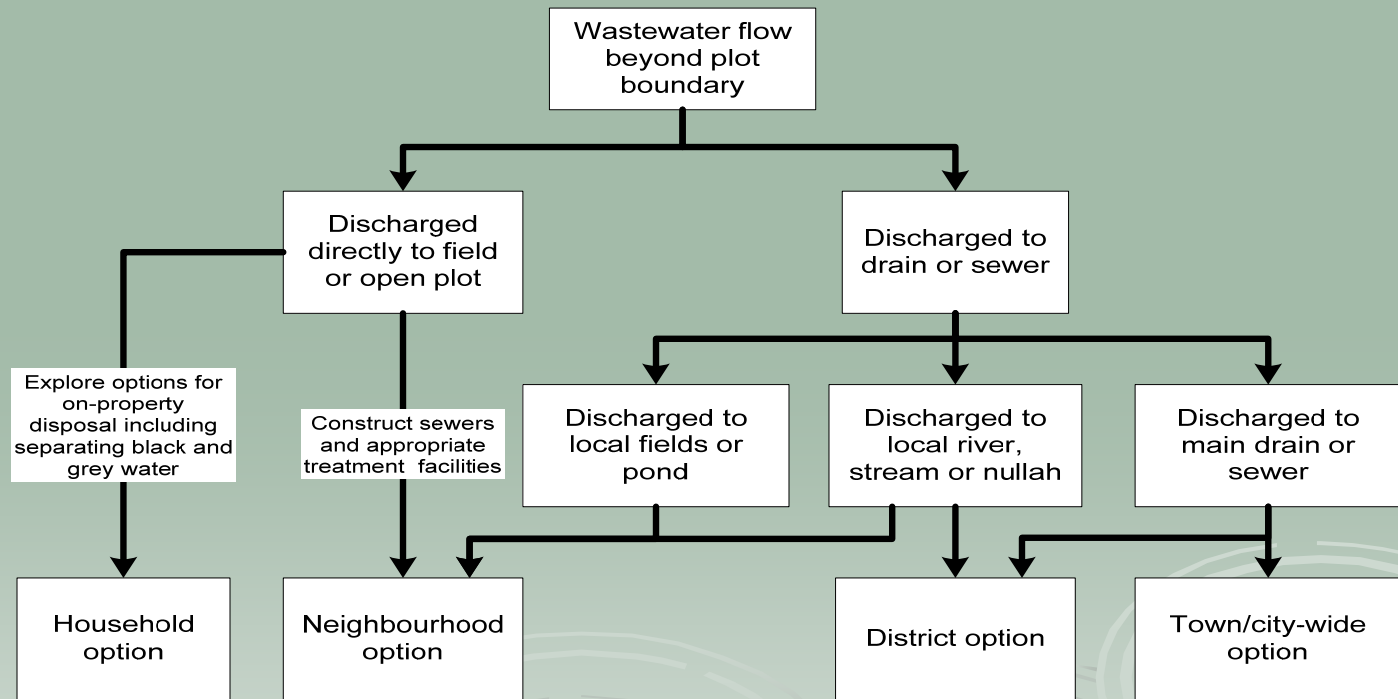
A Decentralised Wastewater Management approach - *local solutions to local wastewater management problems* -

It recommends a strategy that focuses on people and organisations:

- Starts with the Household - looks for opportunities for sanitation and minimising wastewater problems by householders.
- Builds on indigenous management arrangements that exist without external support.
- Works Outwards - assesses the strength and capability of local institutions for local management
- Builds on Opportunities for Reuse – considers interests and scope to work with groups dependent on water for irrigation.

Decision tree for management scale

Planning Guide for DWWM recommends the following



Different Management Options

Identify which management options are likely to be possible in your local situation

	Household	Neighbourhood	Settlement	District/ Zone	Town/city- wide
Public	No	Possible	Possible	Possible (Current norm)	Possible (Current norm)
Community	No	Possible	Difficult	No	No
Private	Yes (Individual households)	Possible	Possible (If there is an incentive)	Possible (But rare at present)	Possible (But rare at present)

Management Options

- Public Utility
- Local Authority
- Private Sector Involvement
- Community Participation
- Community Management



Role for Public Utility

	Potential Roles	Strengths	Weaknesses	Partnership skills
Public Utility	<ul style="list-style-type: none">➤ Strategic planning and Management of WW systems➤ Regulation➤ Major O & M➤ Major Construction	<ul style="list-style-type: none">➤ Overall responsibility➤ Technical Capacity➤ Economies of Scale➤ Potential financial resources from public sector	<p>Monopoly (weak incentives to promote efficiency)</p> <p>Often unresponsive to local needs</p> <p>Often have poor cash flow</p>	Formal co-ordination mechanisms required

Role for Local Authority

	Potential Roles	Strengths	Weaknesses	Partnership skill requirements
Local Authority	Local Management (can include primary and secondary network) Construction O and M Monitoring and review Regulation	Electoral Accountability Potential for financial resources from public sector Possible technical capacity Social justice mandate – serve poor	Often unable to see full wastewater management picture Inefficient – weak incentives to promote efficiency Can be unresponsive to local needs	

Public/Private Partnerships

- Public /Private Partnerships (PPP): There is increasing interest bringing public and private sector together to deliver services. This often requires changes to regulations.
- Methods include changing regulations and ‘contracting out’ services to the private sector in order to bring investment and commercial discipline to government services.
- One approach – unbundling – has been explored by the World Bank see Session Note 3 : Some Relevant Concepts.

Private Sector Involvement

- **Can Increase efficiency and cost effectiveness .**
 - They are not subject to the rigid rules and regulations that bind the public sector.
 - More flexible in adjusting operations and responding to problems as they arise and to adjust their operations to a changing situation.
 - Can pursue a clearly defined goal rather than multiple goals of public sector
- **Improve access to capital.**
 - The involvement of private sector companies provides an option for overcoming financial constraints of public sector organisations.
- **Can provide access to specialist skills that may not be available within govt.** However, a history of government provision may mean some skills are concentrated in government sector.

Formal Private Sector

	Potential roles	Strengths	Weaknesses	Partnership skill requirements
Formal Private Sector	<ul style="list-style-type: none"> ➤ Larger scale lease and concession contracts for construction and management ➤ Small scale construction & management contracts <p>Eg vacuum truck operation, pumping operation, public toilet management</p>	<ul style="list-style-type: none"> ➤ Scope to promote efficiency improvements ➤ Leverage of additional resources ➤ Respond to local needs ➤ Potentially significant technical skills ➤ Better scope for cost recovery 	<ul style="list-style-type: none"> ➤ Few financial incentives to undertake WWM ➤ Few incentives to serve the poor ➤ National private sector often politically active /influenced by political pressures 	<p>Pre-requisites for PS involvement:</p> <ul style="list-style-type: none"> -Regulatory control -Transparent procurement procedures -Monitoring and enforcement

Informal Private Sector

	Potential Role	Strengths	Weaknesses	LA Partnership
Informal Private Sector	<p>Can fill gaps in existing service provision</p> <ul style="list-style-type: none"> -Latrine cleaning -Drain cleaning -Pit/Septic tank emptying 	<p>Serve poor communities</p> <p>Local knowledge</p> <p>Innovative with local resources</p> <p>Profits retained locally</p>	<p>Limited technical capacity</p> <p>Often operate outside formal system</p> <p>May not meet legal standards</p> <p>Can be unreliable – no formal requirement to serve everyone consistently.</p>	<p>Partnership requires flexible systems and procedures (eg procurement rules)</p> <p>Political commitment</p>

Role for Community

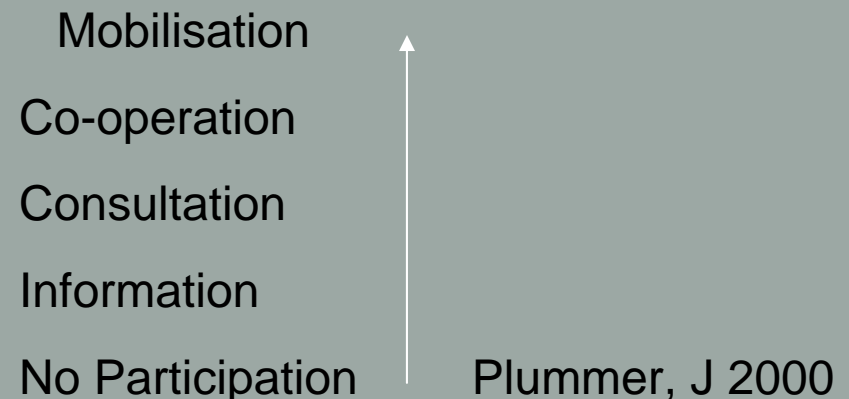
	Potential Roles	Strengths	Weaknesses	Partnership skills required
Community	<p>Small scale construction</p> <p>Some O & M</p> <p>Provision of on site sanitation</p> <p>Community my liaise with/employ formal or informal sector</p>	<p>Good local responsiveness</p> <p>Can produce appropriate solutions which meet local needs</p> <p>Scope to lever additional resources</p>	<p>Weak formal accountability</p> <p>Often produce localised piecemeal solutions – difficult to scale up</p> <p>Limited technical capacity</p>	<p>Networks and associations to build linkages</p> <p>Staff capacity and attitude</p> <p>Appropriate municipal attitude and systems.</p>

Community Participation

- What is Community Participation ?
It can mean a variety of things.
- Benefits of community participation
 - Financial benefits through community financing of tertiary services
 - Improved operational sustainability – services more responsive to local demands which results in greater sense of ‘ownership’
 - Empowerment of women and marginalised groups can result (if participation is not token)

Ladder of Citizen Participation

- Citizens' power (*partnerships, delegated power and citizen control*)
 - Tokenism (*informing, consultation, placation*)
 - Non Participation (*manipulation and therapy*)
- Arnstein, 1969



Community Management

- There are few examples of community managed wastewater schemes
- Orangi Pilot Project, Pakistan: The ongoing program facilitated a \$1.5million community investment programme in wastewater removal and drainage. Success factors were community mobilisation, affordable technical specifications and community managed installation of infrastructure. A constraint has been the lack of linkages to municipal/city level connections.
- Arif (1997) quoted in Mehta M and Knapp A (2004)



Community Management

- In community management capacity building should be a project output including development of skills in management, planning, analysis and decision making.



Capacity building for community representatives in micro-planning and community contracting.
Qutubullapur, Andhra Pradesh www.apusp.com

What needs to be done for improved Management?

- Institutional Appraisal to understand the stakeholders and their interests
- Management improvements through mechanisms such as human resource development, monitoring and evaluation systems.
- Demand responsive approaches including participatory methods and provision of appropriate marketing and customer service



References

- Arnstein, S R (1969) A ladder of citizen participation Journal of American Institute of Planners Vol XXXV p19
- Plummer, J (2000) Municipalities and Community Participation : A Sourcebook for Capacity Building
- Mehta M and Knapp A (2004) The challenge of financing sanitation for meeting the Millennium Development Goals Washington, DC, USA, Water and Sanitation

