
AID STRATEGY AND PROGRAMME DESIGN: SELECT ASSIGNMENTS

COUNTRY, STATE AND SECTOR STRATEGY DEVELOPMENT

Our review of the GBP 14 million **DFID-AsDB partnership for India Trust Fund** which aims at increasing the impact of AsDB loans in India's poorest States through increased effectiveness and efficiency of AsDB operations. This involved review of the Cluster Technical Assistance (TA) Component to: (a) enable AsDB build capacities in State and local administrations to implement programmes for poverty reduction; and, (b) support AsDB in strengthening its project design and implementation in poor States. As part of this it also involved review of ongoing AsDB TAs for (a) Capacity Development for Sustainable Coastal Protection and Management, (b) Capacity Development Bihar Power Sector Entities, (c) Land Transport Management and Master Plan for Sikkim, (d) MP State Roads III, (e) Support for JNNURM Phase II, and (f) WUA Empowerment- Irrigation Mgmt. in Chhattisgarh.

TARU is currently working on the next (third) edition of **Status of Panchayat Report (SoPR) 2010-11** commissioned by the Ministry of Panchayati Raj (MoPR), Govt of India, to be released in the year 2011-12. MoPR oversees the implementation of Part IX of the Constitution, relating to the Panchayati Raj Institutions (PRIs) and works as a facilitator to enable States to promote efficient, accountable and transparent functioning of the PRIs. With a view to promote appropriate policies and programmes to strengthen PRIs and respond to their emerging needs. includes providing a comprehensive status of Panchayats in India, comparing States and Union Territories in terms of devolution, policies and programmes and the functioning of Panchayats, dissemination of best practices and areas of concern and, making policy and other recommendations to fulfil the Constitutional mandate.

The **Environmental and Social Safeguards, and Planning in Panchayati Raj Institutions in West Bengal: Capacity Assessment and Management Plans** for the World Bank proposed project on **Institutional Strengthening of Gram Panchayats (ISGP) in West Bengal** required conducting Social Assessment, Environmental Assessment, an analysis of the policies, processes and capacities with respect to environmental and social safeguards pertaining to local planning activities of GPs, review of Safeguard policies including National and State Acts, legislation and policies with specific reference to GP activities and the assessment of the existing capacities of the Panchayati Raj Institutions. It also included applicability and procedures for the World Bank's Operational Policies on Social and Environmental safeguards and designed the **Environmental and Social Management Framework (ESMF)** along with Vulnerable Group Development Framework (VGDF) for GPs. This was further accepted as the state policy in West Bengal.

The **Review of Government of India's (GoI) Centrally Sponsored Schemes (CSSs)**, an USD 65 billion annual Centre-State transfer (at the time of Review), examined their

relevance to State finances and poverty reduction and identified opportunities to improve their effectiveness, efficiency and impact. Undertaken for DFID India, this was the first independent review of CSSs in India. It was followed by a Study on the **Prospects to Reach the Poor in India through CSSs** during the Eleventh and Twelfth Five Year Plan periods. This reviewed ongoing CSSs by type, Millennium Development Goal (MDG) marker and institutional arrangements at Central and State-level and comprehensively mapped Centre-State transfers to provide strategic input on DFID India engagement with the GoI.

The **AusAID India Country Strategy (2002-07)** targeted Australia's development assistance to India. We prepared Strategy Papers on India's Development Status, Environment and Natural Resources, Gender and Social Development, Governance, Health, Human Resource Development (HRD), Promoting Private Sector and Community Participation, Reforming Public Sector Institutions and Water and Sanitation. State Strategy Papers were also prepared.

Our **Support to the Asian Development Bank's (ADB) India Country Partnership Strategy (CPS) (2007-12)** involved facilitation and synthesis of a series of national and State-level Consultations in **Karnataka, Madhya Pradesh (MP) and Rajasthan** and Sector-level engagements around the Agriculture, Energy, Tourism, Transport, Urban Development and Water Resource Sectors.

Sida's Country Strategy for the Water and Natural Resource Management (NRM) Sector identified strategic areas for India-Sweden partnership and provided detailed programme options with a focus on poverty, rural decentralization and livelihoods. It was informed by a national-level situation analysis and interactions with government and Development Partner representatives at various levels, including the States of **Chhattisgarh, MP, Orissa, Rajasthan, Tamil Nadu (TN) and Uttarakhand**.

Among the first of its kind to be undertaken in India, our **Study of India's Difficult Environment (DE) States** involved systematic identification of such States and rendering strategic advice on the way forward in these States for DFID India based on a review of the development experience in these States and international best practice in engaging with DEs. This informed DFID India's initial engagement with **Bihar and Uttar Pradesh (UP)**. Our review of the **Context, Approaches, Aid Instruments and Risks in Orissa** went on to assess whether Orissa qualified as a DE State and provided recommendations on the most appropriate mix of instruments and approaches to maximize DFID India's contribution to MDGs and poverty reduction in Orissa.

The **External Review of the DFID India Country Strategy** included an analysis of the significant and relevant changes in the external environment and a detailed review of the (then) GBP 970 million DFID India portfolio to assess its relevance, effectiveness, efficiency and impact. Recommendations were made for DFID India's Country Assistance Plan (CAP). Later, a **Strategic Review of DFID India's Governance Portfolio** across four States (**Andhra Pradesh (AP), MP, Orissa and West Bengal**) documented lessons learnt and outlined strategic options and future focal areas. A review of international and national governance trends provided context to this review.

The **Scoping Study to Develop a Strategy for DFID India to Support Pro-poor Growth in Orissa** involved analysis of the sources and constituents of current growth, the role of the informal sector, livelihood options available to the poor and identification of priority interventions and policy and institutional reform measures that would ensure positive impact

on the poor, bring about sustainable large-scale change, create strong investment incentives and improve access to services and markets. Our earlier appraisal of the **Urban Sector Policies and Priorities in Orissa** involved an examination of the relevant policy and legislative framework, institutional arrangements and the state of environmental services and the poor in urban Orissa. It drew upon a **Fundamental Review of the Cuttack Urban Services Improvement Project (CUSIP)** to assess the potential for future DFID India-Government of Orissa (GoO) partnership.

Prepared for DFID India, the **State Strategies for Water and Environmental Sanitation for AP, MP, Orissa and West Bengal** identified key sector challenges and priority intervention areas with special reference to the situation of the poor.

CARE-India's **Strategy for Urban Poverty Reduction in India** examined the various dimensions of urban poverty in India and identified select towns from the neglected secondary centers that presented an opportunity for intervention. Later, we assisted CARE with the **Urban Poverty Reduction Strategy for AP**.

We coordinated the DFID UK-supported multi-country **Study on Key Stakeholder Perceptions of Multilateral Organization (MO) Effectiveness** in India. Implemented with the Overseas Development Institute (ODI, UK) and partners in five other countries (Bangladesh, Ghana, South Africa, Tanzania and Zambia), the assignment involved assessing perceptions of five key stakeholder groups (government ministers, parliamentarians, civil servants, business leaders and civil society) about six major MOs working in India- the ADB, European Commission (EC), Global Fund to Fight AIDS, TB and Malaria (GFATM), United Nations Development Program (UNDP), UNICEF and the World Bank.

Our analysis of **Development Trends in Asia** involved an analysis of broad regional trends and government and Development Partner priorities with a view to inform the strategic positioning of SNV Asia, particularly in **Bangladesh, Bhutan and Nepal** on themes such as adult literacy, pro-poor tourism and rural water supply and sanitation.

Our Situation Analysis of **Extension Services for Rural Poor Women in MP** was to inform AusAID's proposed intervention on this theme in the State. It analyzed the situation of women in India and MP, the relevant development programmes and their effectiveness and, the role of women in agriculture and extension services available to them.

The **Options for Inclusion of Civil Society Initiatives for a Urban Poverty Reduction and Municipal Reform Project in Northern Kolkata** generated for DFID India were based on a social, economic and political analysis of the project area and delineation of formations and groupings, especially outside the government and NGO sectors that could form potential stakeholders. This included an assessment of capacities available within these formations and identified the key focus areas for future capacity building and institutional development.

PROGRAMME DESIGN

TARU supported the preparation of the Project Document for DFID India's **AP Governance Reform Programme- II**. The Programme, India's first comprehensive State-level sectoral reform programme, focused on establishing an institutional framework and building capacity for reform within eight departments of the Government of AP (GoAP)- Education, Finance, General Administration, Health, Rural Development and Urban Development and Municipal Affairs. The Project Document emphasized reduction of poverty, gender and social exclusion as central to governance reform.

The **Design of an Evaluation System for a Public Sector Capacity Building Project (PSCAP) in Ethiopia** was undertaken for the Super Ministry of Capacity Building, Federal Democratic Republic of Ethiopia. The PSCAP, a large multi-donor assisted project to be implemented at the federal level and eleven autonomous regions and city administrations of Ethiopia over 2004-09, involved capacity building and reform programs in six areas: Civil Service Reform; District-level Decentralization; Information and Communication Technology (ICT); Justice; Taxation; and, Urban Management.

TARU led the Institutional and Social Development Component in the **Design of the Maharashtra Water Supply and Environmental Sanitation Project**. Proposed to be implemented in four districts of the State with DFID India support, this ten-year project was based on demand-responsive sustainable systems, source protection, full recovery and robust Operation and Maintenance (O&M) arrangements. This project design provided the basis for institutional reforms in the Water and Environmental Sanitation Sector of Maharashtra.

We detailed the **Institutional Arrangements for Implementing a Reformed Approach for the Rural Water Supply and Sanitation (RWSS) Sector in Maharashtra** for the Water and Sanitation Program- South Asia (WSP-SA). This involved an assessment of key sectoral constraints and examination of current institutional arrangements and design of a transition path for institutions in order to facilitate the implementation of a demand-responsive and sustainable reformed approach. The findings fed into the design of the World Bank-assisted *Jalswarajya* programme currently being implemented in the State. An earlier **Institutional Reform Study for the RWSS Sector in Maharashtra** for DFID India had involved a review of key resource management and institutional issues in the water resources and water supply sectors; analysis of finances and allocation systems at the State and district levels; design of

participatory assessment mechanisms; development of a pragmatic and achievable vision; and, assistance in negotiation to further the reform process.

Our institutional development inputs to the WSP-SA Mission for the **Local Government Capacity Needs Assessment for the Bangladesh Arsenic Mitigation and Water Supply Project (BAMWSP)** informed the framework for implementation involving partnership between local government, communities, NGOs, private sector agencies and the project unit. Tasks involved consultations with Government of Bangladesh (GoB) at Dhaka; field visits and interactions with local government agencies and communities in select districts; assessment of institutional options for delivery of safe arsenic-free water in rural areas; and, a strengthening strategy for local government institutions implementing the World Bank-assisted BAMWSP.

The **Situation Analysis of the RWSS Sector in Himachal Pradesh (HP) and MP** was undertaken for AusAID. Aimed at developing the future RWSS Sector Strategy in these States and conceptualizing projects for potential Development Partner support, this involved a comprehensive assessment of the Sector in the two States, including water resource circumstances and use practices, institutional arrangements, constraints and capacities at the State, district and village levels, access and demand issues, especially among the poor and women, and the performance of ongoing government programs. This was followed by **Pre-feasibility Missions for Select RWSS Sector Projects** in the two States. A critical analysis of natural resource conditions and technical, institutional, social and programme parameters, followed by consultations and negotiations with institutional stakeholders, were carried out during these Missions.

The **Policy and Legislative Environment Review for the AP Water and Environmental Sanitation Sector Development Project** of DFID India was undertaken with WEDC and involved a review of relevant policy and legislation, stakeholder and risk analyses and support to the project design and preparation of project documents.

The **RWSS Sector Assessment for Bihar** was intended to inform the State's Sector Vision, Policy and Action Plan in line with reform principles enunciated by the GoI. Undertaken for UNICEF, it involved analysis of a range of secondary data, State, district and village level consultations and primary surveys. Critical areas for reforming service delivery, successful approaches and potential institutional arrangements for achieving desired results, were identified. This was followed by the **Development of the RWSS Sector Vision, Strategy, Policy and Action Plan for Bihar**.

TARU developed the **Programme for Delivery of Urban Environmental Services to the Urban Poor** in Lucknow as a part of the DFID-assisted Master Plan for Urban Environmental Services for the city. This was one of the first comprehensive attempts to link local infrastructure upgradation in poor neighbourhoods with citywide infrastructure development. Based on a phased area upgradation approach, linked to incremental standards, this demand-driven framework for participatory planning and monitoring, broke significant new ground.

TARU led the **Community Development and Alternate Approaches of Services Delivery to the Urban Poor Component** of the **Bangalore Water Supply and Environmental Sanitation Master Plan Project** of the Bangalore Water Supply and Sewerage Board (BWSSB). These sought to incorporate poverty focus and gender sensitivity into the structure

and operations of the BWSSB. A detailed assessment of extent and facets of poverty in the city, in terms of income, access to basic urban services and security of employment and tenure, was undertaken to develop options for the BWSSB to improve service delivery to the poor. Three pilot projects were then implemented to demonstrate alternative technologies and service delivery mechanisms for water and sanitation services to the vulnerable and poor households of Bangalore. The pilot projects were implemented in partnership with NGOs and slum communities in close collaboration with the BWSSB staff. In addition, we provided **Institutional Development, Human Resource Development and Economics Inputs** to the Project. Intended to build institutional capacities within the BWSSB, this included input to the strengthening of the planning function (including financial and economic, tariffs, etc.), skills training, development of future strategies for private sector participation in service provision for the city and introducing a gender and poverty focus in its operations.

Our work on the **New Institutional Arrangements for Water and Environmental Sanitation Services in Gangtok** involved secondary reviews, stakeholder consultations, organisation of National and international exposure visits- leading to agreement on the principles for new institutional arrangements. Options were developed and detailed based on these. We further assisted the Government of Sikkim (GoS) in implementing the initial steps of the transition process, including the creation and capacity building of two Transition Cells and delineation of roles and responsibilities for transition at the GoS level.

TARU's **Situation Analysis of Watershed Development in HP, MP and Rajasthan** was commissioned by AusAID. This involved analysis of natural resource conditions, their current usage pattern and performance of ongoing and past watershed development in the three States with a view to inform the design of future strategies in these sectors. Programme impacts on poor and women, current performance levels and constraints among various village level groups and training and their capacity building requirements were also examined during the course of the Situation Analysis. This was followed a **Pre-Feasibility Mission for Watershed Development Projects in HP, MP and Rajasthan**. The Mission analysed the viability of watershed projects in the three States. A critical analysis of natural resource conditions and technical, institutional, social and programme parameters, followed by consultations and negotiations with institutional stakeholders, were key Mission components.

The **Social Assessment, Stakeholder Analysis and Institutional Design for the UP Sodic Land Reclamation Project (UPSLRP; Phase II)** involved identification of key stakeholder groups, an assessment of potential positive and negative impacts of proposed interventions, analysis of social risks and development of appropriate institutional arrangements to inform project design. The project design was finalised on the basis of this work.

We participated in the **Development Partners' (European Commission, DFID and World Bank) Identification Mission** to support the second phase of support to the **Sarva Shiksha Abhiyan (SSA)**- the GoI flagship programme to universalize elementary education. The Mission, in consultation with Ministry of Human Resource Development (MoHRD), GoI worked on the Project Concept Note and design for further support to the SSA, taking into account emergent issues and concerns and identifying measures to address these along with clear timelines. This built on our support to the **Implementation Completion Review (ICR) Mission** for the first phase of the SSA, where the Mission undertook an assessment of the key achievements and their sustainability and issues affecting implementation outcome and systematically drew lessons for the proposed support to the next phase of the SSA.