COMMUNITY MANAGED DEVELOPMENT OF

WATER AND SANITATION IN

EARTHQUAKE AFFECTED VILLAGES

OF GUJARAT

Programme Proposal

for

WATER AND SANITATION MANAGEMENT ORGANISATION
GOVERNMENT OF GUJARAT

and

ROYAL NETHERLANDS EMBASSY
GOVERNMENT OF THE NETHERLANDS

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Appraisal and Formulation Mission for Earthquake Reconstruction
In the Rural Water Supply and Sanitation Sector in Gujarat
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Abbreviations

ADB	Asian Development Bank
CMSU	Coordination, Monitoring and Support Unit
EAS	External Advisory Support Services
ESC	Engineering Support Cell
GOG	Government of Gujarat
GOI	Government of India
GON	Government of Netherlands
GWSSB	Gujarat Water Supply and Sanitation Board
IEC	Information, Education and Communication
MIS	Management Information System
NGO	Non-Government Organisation
RNE	Royal Netherlands Embassy
WASMO	Water and Sanitation Management Organisation

1. INTRODUCTION

1.1 Background

The northeast of the State of Gujarat was subjected to a severe earthquake of magnitude 6.9 on the Richter scale on the 26th of January 2001. There was substantial loss of life and damage to property and infrastructure in the district of Kutch and to a lesser extent in the adjoining districts of Jamnagar, Rajhot, Surendranagar and Patan. Some 1340 rural villages received some damage, with housing in some villages largely destroyed. There was also considerable damage to pipe water supply systems including in-village pipe and some traditional water supply systems. The need for a substantial overall reconstruction was evident.

This event coincided with the recent introduction (1999) of a sector reform programme for Rural Water Supply by the Government of India with Guidelines for community based demand-driven implementation of rural water supply programmes issued by the Rajiv Gandhi National Drinking Water Mission in August 2000. The Government of Gujarat is participating in this programme, with three districts nominated in which to start the programme. It also coincided with the decision in March 2001 to establish a Water and Sanitation Management Organisation (WASMO) to facilitate decentralisation in the Gujarat water and sanitation sector (Government Resolution No. VWS/2096/2390/Kh-3). WASMO will focus on the setting up and management of local water supply systems. It will function in a largely autonomous manner, operationally independent of the Gujarat Water Supply and Sanitation Board (GWSSB). These events have influenced the approach to water supply reconstruction in earthquake affected villages.

Reconstruction (and augmentation) of regional bulk water supply works has been organised and is to be implemented by GWSSB with Asian Development Bank loan funding in the affected area. It is intended also that local communities, with the facilitating guidance of WASMO, will implement in-village water supply (and sanitation) reconstruction. The Netherlands Government has been requested by the Government of Gujarat to support and finance in-village reconstruction through WASMO.

A short-term Appraisal and Formulation Mission was fielded to appraise available information about the extent of earthquake damage to village water supplies and formulate a Programme to be implemented by WASMO for in-village reconstruction. This proposal is the product of that Mission.

1.2 Programme Purpose

The purpose of this Proposal is to provide the framework of a Programme that can be further developed and implemented for the reconstruction and development of water and sanitation facilities in earthquake affected rural villages of Gujarat. A specific requirement is how to get the Programme underway quickly.

1.3 Programme Objectives

The proposed Programme objectives reflect both reconstruction and recent sector reform expectations:

Primary Objectives
- Reinstatement of water supply to earthquake affected villages
- Provide for seasonal security and conservation of water supplies with an integrated combination of pipe and local traditional water sources.

- Provide for more hygienic household and community environments with sanitation improvements and increased hygiene awareness in communities.
- Community managed implementation of water supply and sanitation improvements with supporting community capacity building and empowerment.
- Provide institutional facilitating support for the community management of improvements through independent support agencies such as NGOs (with WASMO assistance).
- Ensure that all community groups including Women, are able to participate in decision-making processes and benefit from programme improvements.

Secondary Objectives
- To demonstrate and establish an effective facilitated community managed implementation model for water and sanitation improvements in rural villages in Gujarat.
- To establish a supporting streamlined largely autonomous organisational model with relatively simple but effective administration and operational systems.
- To demonstrate the benefits of multiple sources for water supply security using integrated community managed solutions.
- To encourage and assist communities with the conservation and best use of local water resources including the effect of irrigation abstraction on ground water levels.
- To build on existing local experience and practice to the extent this supports the primary objectives of the Programme.

1.4 Programme Focus

The scope of the Programme was originally foreseen to be the reconstruction of damaged water supplies with judicious augmentation of capacity in earthquake affected villages of Gujarat. From review of the extent of damage reported and reconstruction works proposed, the Appraisal and Formulation Mission concluded that reconstruction was a secondary component. Improvement and augmentation of undamaged facilities was the greater proportion of the work proposed by Government of Gujarat (GOG). For this reason, the Mission recommended that the focus of the Programme be changed to the "Augmentation and Development of Water and Sanitation in Earthquake Affected Villages in Gujarat". The title of the Proposed Programme incorporates this change of focus.

1.5 Programme Scope

The Programme has been formulated to ultimately cover all 1340 earthquake affected villages in Gujarat. However, the formulated Programme is subject to significant timeframe and capacity uncertainties by virtue of the very nature of the Programme. This situation is met by proposing a clearly defined first phase – a 'learning phase'.

The Programme has a specific in-village focus for improvements. This involves the integrated combination of pipe and local water resources for water supply together with sanitation improvements considered necessary by village communities. The scope of the programme will also include village capacity building and empowerment with institutional strengthening of organisations providing facilitating support to the Programme.

1.6 Status of WASMO

The Government Resolution for the establishment of WASMO is dated 23 March 2001. Since then, approval for WASMO has been in process. The Memorandum of Association for WASMO is presently with the Government of Gujarat's department of Finance awaiting final approval. This will be followed by registration of WASMO as a society to enable its autonomous function. This is expected by 31 December 2001.

2. SECTOR OBJECTIVES

There is compatibility between the sector objectives of the key institutions involved in or supporting the Programme. The Programme has been formulated with reference to these.

2.1 Government of India

The national implementation guidelines for rural water supply programmes include the following elements:

- Demand-driven empowerment of villagers for their full involvement in water supply (and sanitation) improvements with a focus on village level capacity building
- Streamline the functions of agencies involved in project facilitation and implementation
- At least 10% capital and 100% operational cost sharing by users
- Use of conservation measures to sustain the supply of water.

2.2 Government of Gujarat

The Government of Gujarat supports the central sector reforms emphasising the importance of:

- Maximal conservation and utilisation of local water resources
- Improved water use efficiency, particularly in the agricultural sector
- Appropriate pricing and recovery mechanisms for all users
- Responsiveness to people's involvement in planning and implementation of water supply
- Participation of people, particularly women, in the management of water supplies and in decisions about water use and allocation.

These features reflect the movement of responsibility for rural water supply and sanitation from the State to the Panchayat Raj Institutions and in particular the Gram Panchayat and its functional sub-committees.

2.3 WASMO's Mission

The mission for WASMO is presented in the preamble and resolutions of Government Resolution (No. VWS/2096/2390/Kh-3) providing for the establishment of WASMO and further elaborated on, with the objects of the Memorandum of Association for WASMO (in the process of being finally approved). WASMO's mission incorporates the recent sector reform changes and in particular in relation to this Programme proposal, provides for:

- The facilitation of decentralised community managed implementation of in-village water supply and sanitation improvements
- The provision of capacity building for stakeholder groups in water supply and sanitation activities and encourage communities to become involved

These activities are additional to the more general object of supporting and encouraging sector reform and development within the State.

2.4 Netherlands Government Assistance

The Government of Netherlands (GON) has recently made a policy shift from project orientated assistance to a programme sectoral approach with a view to improved quality, effectiveness and sustainability of assistance provided. Netherlands support for WASMO with its sectoral development objective is directly compatible with the policy redirection of GON. This

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Programme proposal reflects this with its intended alignment under WASMO and its programme structure in accordance with the decentralised intent of WASMO.

The Programme proposes an implementation methodology specifically based on community management with facilitating institutional support. This is a new sectoral approach to rural water supply and sanitation development on a programme scale and as such, represents a significant opportunity to 'learn' for sector benefit. It is essential also that the lessons of other Netherlands Assisted Projects and the Ghogha project in particular, are recognised and problems of the past avoided[1].

3.   PROGRAMME AREA

3.1   Description

The Programme is proposed to cover all villages affected by the earthquake in the nine talukas of the district of Kutch and those affected in selected talukas of adjoining districts of Jamnagar, Rajkot and Surendranagar to the south and Patan to the east of Kutch. The Government of Gujarat has identified a total of 1340 villages in the affected are of which 1260 are inhabited. This is the number (1260) is the number of villages adopted for the proposed Programme. Table 3.1 shows the distribution of Programme villages between districts and talukas.

Table 3.1
Numbers of Earthquake Affected Villages

District	Taluka	Number of Villages		
		Total	**Uninhabited**	**Program**
Kutch	Bhuj	158	14	144
,	Anjar	75	6	69
:	Bhachau	71	3	68
	Rapar	97	-	97
	Mundra	60	2	58
	Mandvi	90	2	88
	Lakhpat	100	15	85
	Abdasa	165	18	147
	Nakhatrana	132	13	119
Rajkot	Malia	47	-	47
	Morbi	121	6	115
Jamnagar	Jodia	51	1	50
Surendranagar	Halvad	24	-	24
	Dhragandhra	16	-	16
	Patdi	3	-	3
	Sayala	6	-	6
	Wadhawan	14	-	14
	Muli	7	-	7
Patan	Santalpur	103	-	·03
Total All Villages		**1340**	**80**	**1260**

Land use in the Programme area is a mix of irrigated crop farming, especially in the south, dry land grazing over much of the semi-arid Kutch district together with saline coastal areas.

3.2   Water Resources

The water resource situation is described in detail elsewhere[2]. In summary, the Programme area is characterised as semi-arid with the availability of renewable freshwater being rated as 'absolutely water scarce' with an average of only 370 m^3 per capita per annum. Rainfall is characterised by a low number of days (around 25 per year) of high intensity rain resulting in high runoff rates, especially in Kutch with its rocky terrain. Annual rainfall varies greatly with droughts common and typically once each decade, in consecutive years.

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[2]   Report on Assessment of Damage and Reconstruction of the In-village Drinking Water and Sanitation Systems in the Earthquake Affected Areas of Gujarat, Institute of Rural Management, October 2001

Ground water is now scarce in the area due to low water table levels, primarily due to excessive irrigation withdrawal. In coastal areas, saline water intrusion is common. Open wells and tube wells are frequently seasonal, either running dry or becoming saline during the driest months.

3.3 Village Structure

Villages in the Programme area typically involve compact housing with less advantaged groups living toward the periphery of villages. In Kutch district, villages often comprise several scattered clusters of house with the occupants of each cluster belonging to the same social group. Village sizes typically range between 1000 and 3000 population.

The village social structure is based on caste/class hierarchies, which frequently leads to the exclusion of disadvantaged groups (Muslims Kolis, and Harijans) and women also in decision making and in accessing and controlling water resources and facilities. Influential men with the means and voice typically take up the leadership in villages. They are typically members of the Panchayats, managers of the Pani Samitis and regulators of the norms and traditions in the village. They are the opinion leaders, managers and financial controllers of the money and information flow in the villages.

Where NGOs are working, particularly with women's groups, such as SEWA and Mahila Samakhya in Surendranagar and Rajkot districts, the informal leadership of community women has emerged. There are groups constituted by women from marginalised castes/groups – Kolis, Harijans, and Muslims. The women's groups from these communities have formed collectives and gained increased self-reliance and access to water. This reflects their concern and responsibility for fetching, storing and managing household water. The social structure even determines which caste of women is able to fetch water or not. This makes it very difficult for some women to be in a Pani Samiti or as a Sarpanch.

3.4 Administration

Villages are part of the Panchayat Raj Institution with the Gram Panchayat at village level, the Block Panchayat at taluka level and the District Panchayat. The administrative panchayat system is not presently supported by elected panchayat members due to the extended delay in carrying out panchayat elections. Panchayat elections are now due to be held in December 2001.

Pani Samiti will provide the primary focus for the Programme for which an elected and functional Gram Panchayat will be necessary.

3.5 Environmental Risks

A feature of the Programme area is its susceptibility to earthquakes and drought. There have been earlier severe earthquakes. There is need for implementing strategies to reduce susceptibility to earthquake damage with appropriate structural design and/or by the use of multiple facilities to spread the risk and provide functional security. In a similar way, drought resistance can be provided by establishment of a single reliable water supply or more desirably, with the establishment and integrated use of multiple sources.

4. NEED FOR SECTOR IMPROVEMENTS

4.1 Pipe Water Supply

Most villages in Kutch and many in other Programme areas are presently connected to regional pipe supply or have a local single village/panchayat pipe supply, typically from a local tubewell. There are a few cases of three, four or five villages having a common tubewell source. With the advent of the ADB funded earthquake reconstruction water supply programme using Narmada Dam water, a greater number of villages will be connected to regional schemes. The existing status of water supply in Programme villages is summarised by Table 4.1.

Table 4.1
Water Supply Status in Programme Villages

District	Taluka	No. of Villages	Regional Pipe WS	Village Pipe WS	Local Non Pipe WS	Uninhabited Villages .
Kutch	Bhuj	158	116	26	2	14
	,Anjar	75	64	5	-	6
	: Bhachau	71	62	6	-	3
	Rapar	97	77	17	3	-
	Mundra	60	25	31	2	2
	Mandvi	90	43	45	-	2
	Lakpat	100	77	2	6	15
	Abdasa ·	165	125	21	1	18
	Nakhatrana	132	74	42	3	13
Rajkot	Maliya	47	47	-	-	-
	Morbi	121	79	36	-	6
Jamanagar	Jodiya	51	34	16	-	1
Surendra-	Halvad	24	-	24	-	-
nagar	Dhragandhra	16	5	11	-	-
	Patadi	3	1	2	-	-
	Sayala	6	-	6	-	-
	Wadhawan	14	-	14	-	-
	Muli	7	-	7	-	-
Patan	Santalpur	103	103	-	-	-
Totals		1340	932	311	17	80
Inhabited Totals		**1260**	**932**	**311**	**17**	

A survey of earthquake damage to village water supplies done by GWSSB and verified by selected NGOs[3] established that some in-village water supply structures and pipelines had been seriously damaged and would need reconstruction. However, the Mission noted that many facilities were reported to be less severely damaged and concluded from field observations that a significant proportion of these facilities may be temporarily repairable (one to two years) enabling some pipe water supply to these villages during the coming dry season. A quick 'kick start' repair programme has been formulated with this objective in mind.

Villages in Kutch are more dependent on regional water supplies provided by GWSSB. However, these supplies have been and continue to be irregular (up to 3 days wait), especially for tail-end villages. Service is typically worst during the driest months before the monsoon and

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[3] Report on Assessment of Damage and Reconstruction of the In-village Drinking Water and Sanitation Systems in the Earthquake Affected Areas of Gujarat, Institute of Rural Management, October 2001

droughts when demand and need are greatest. At these critical times many villages rely on costly tanker supply provided by the Government. Due to difficulties of power supply and other operating and institutional factors, there is no certainty that the problems of inconsistent supply will not continue in future years, even after the ADB funded augmentation of regional pipe systems is complete. The target for this is the end of 2003.

The NGO survey also reported that in many villages the people identified the need for greater storage (partly a function of the irregular supply) and the need for additional, more conveniently located standposts. The need for alternative water supply sources to supplement the irregular pipe supply and provide for greater security of supply was also recognised.

4.2   Local Water Resources

Local sources of water are actively used in villages when these are physically and seasonally available. In some villages, 'sweet' open well water is preferred for drinking because of its taste, although this often dries up later in the season. In other villages, tank water is used for washing and cattle watering. Similarly, when available, riverbed water is accessed. Village people are concerned to protect and conserve these traditional sources as supplementary supplies. Several NGOs are already working in Programme villages with the rehabilitation of traditional sources and the development of rainwater harvesting and other water conservation measures. It is noted however, that the potential for such measures varies considerably within the Programme area with less opportunity in the driest parts of Kutch and those coastal areas with saline groundwater.

4.3   Sanitation and Hygiene

Sanitation was found to not be a particular concern of villages. There are presently very few sanitation facilities in villages. The dry semi-arid conditions for much of the year does help to limit the adverse effects of lack of sanitation. Although the lack of regular pipe supply helps to reduce household wastewater drainage problems, the lack of drainage around standposts and cattle troughs is a particular problem. It is important to recognise however, that improved pipe water supplies do result in greater quantities of wastewater with the potential to generate significant additional household and village drainage problems. There is a reported need for improvement in the general hygiene of households and the village environment together with increase of overall hygiene awareness and the health significance of this. May be experiences in Ghogha (Mr Himanshu Parikh) on wastewater disposal and treatment can be part of the approach in this programme also.

4.4   Social Structure

Improvements to both in-village water supply and sanitation are needed to enable all social and cultural groups in villages to have adequate access to and use of facilities. That some groups are presently disadvantaged was earlier noted. Appropriate community organisation and design and layout of facilities are required.

5. PROGRAMME APPROACH

5.1 The WASMO Model

The primary reference for Programme formulation has been the 'Mission Statement' for WASMO together with the government sector reforms that the model originates from. The two key features that have been incorporated into the Programme design are:

* Community managed implementation of in-village water and sanitation improvements with village communities fully involved in and responsible for all stages of this process.
* Institutional Facilitating Support for the development of management capacity within communities receiving Programme support.

Application of these features will enable decentralisation of the water and sanitation sector to be achieved within the context of the Programme involving the transfer of 'ownership' and management to the village/panchayat community. The Programme has been formulated in accordance with this objective.

The WASMO Model was derived on the basis of experience with the Netherlands Assisted Project in Ghogha, Gujarat[4]. This project is striving hard to achieve its objectives. The lessons learnt lead directly to the formulation of the approach of the WASMO Model. However, notwithstanding the adverse experience with Ghogha, this Programme has the potential to beneficially refer to the positive aspects of the project and selectively 'borrow' from some of the sub-systems and processes developed.

5.2 Water Supply Security

The need for the security of village water supplies and facilities is emphasised. This involves continuity and security of supply with built-in drought resistance for villages from the integrated use of multiple sources (when available) and to a lesser extent, with choice and design of structures and facilities for earthquake resistance. For both, flexible planning and design is required. Provision of a minimum secure supply of drinking quality will be supplemented with other sources of lesser quality for alternative uses.

5.3 Village Hygiene

The need for an acceptable level of overall hygiene for household and village environments will be supported with community managed sanitation improvements. This will be coupled to hygiene awareness promotion within villages and hygiene education for improved management of household water and waste management hygiene. The underlying requirement will be to stimulate better understanding of the significance of improved village hygiene with a fundamental shift in attitudes to better sanitation and improved hygiene practices within communities. The development of community based enterprise for the provision and implementation of sanitation improvements is to be encouraged and fostered.

5.4 Community Involvement

The Programme will target the whole village community involving all groups and both genders. With the existing limitations of village social structure, it is necessary that there be truly democratic involvement of all, without the exclusion of peripheral and/or marginalised groups. This means including the 'voices' and needs of the 'voiceless' while ensuring room for their

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[4] The Ghogha Experience, Water and Sanitation Management Organisation, Government of Gujarat, June 2001

unequivocal participation during all stages of the in-village community management process. The needs and priorities of community women as the most affected target groups, will be given special focus. This will include their active involvement in the organisation and activities of village level institutions like the Pani Samiti.

5.5 Community Managed Development

The Programme aims to build on the existing inherent capacity of community members to manage their private businesses (largely agricultural) and personal affairs. It will assist village communities with the development of a more structured panchayat related organisation where required. It will also guide them with the development of additional expertise and capacity to enable them to develop, implement and manage their own integrated water and sanitation improvements. For this the Programme will need to gain the confidence of village communities and establish a supportive "partnership" based on mutual trust.

The establishment of community managed development capacity within villages will involve the following features:

- Understanding existing local perceptions of water and sanitation as the starting point for a consultative process for change and improvement within villages.
- Sharing information about existing and alternate systems and the respective advantages and disadvantages of each in the village context.
- Supporting communities with the planning and design of water and sanitation improvements proposed by them.
- Development of capacity within communities for the organisation and management of the construction and subsequent operation and maintenance of water and sanitation improvements.
- For these roles, communities will need to develop and enhance existing management abilities involving simple but appropriate operational and financial procedures, together with meeting, documentation, reporting and monitoring skills.
- Enhance the capacity for communities to initiate village level development initiatives and follow them through without future support.
- Encourage the sharing and management of water supply systems and local water resources between village clusters, between villages where appropriate and with the agriculture and irrigation sector. This could involve the development of autonomous federations of villages for water conservation and management.

5.6 Programme Facilitating Support

The establishment of effective community management capacity within villages will involve facilitating Programme support. The WASMO concept provides for this. It is proposed that the demonstrated capacity of NGOs be used to provide facilitating support to communities. The NGOs will have no direct implementation responsibility – that being with each village community. For this, NGOs would be required to:

- Ensure that village communities understand the community management concept and Programme methodology,
- Organise themselves appropriately to enable their involvement in the Programme, and
- Support the community managed implementation of village water and sanitation improvements and the subsequent functional operation and management of improvements.

The provision of facilitating support will involve NGOs in assisting community groups and Pani Samitis to:

- Be aware and understand the principles, perspective, approach and methodology of the Programme
- Ensure they have a good understanding of the concept, benefits and requirements for the integrated management of water resources and sanitation
- Develop the capacity and skills needed by communities, including women, for the planning, implementation, operation and financial management of water and sanitation systems and structures.
- Be able to review, supervise and monitor all Programme activities in villages using tools and methods developed for the Programme.
- To network with other Pani Samitis and groups and liase with other development related organisations on issues concerning water and sanitation management.
- To become involved in local water issues, lobby for the interests of water conservation and promote policy reforms from the village/panchayat perspective.

5.7   Coordination of Facilitation Support

Facilitation support to communities will involve a number of NGOs in the Programme. For this it will be essential that a common overall Programme approach and methodology be accepted and applied by all NGOs. In practice however, variations in application detail between NGOs will occur and will be accepted as an important part of the Programme learning process – feedback of experiences and lessons.

WASMO Head Office will be responsible for this coordination through development of Programme facilitation guidelines, appropriate operational procedures and monitoring systems. WASMO would mostly exercise their coordination responsibilities through district level Coordination, Monitoring and Support Units (CMSU) established for the Programme.

5.8   Sector Policy and Development

The Programme will be implemented as only one of WASMO's wider sector responsibilities and activities. In this respect however, the Programme's application of the innovative concept of decentralised facilitated community managed development of community water and sanitation will be a valuable source of experience and lessons for the sector. It will be important that the Programme is not implemented in isolation. This will be an essential responsibility for WASMO.

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6. DEVELOPMENT PROGRAMME

6.1 Village Water Supply

The Programme addresses the full range of possible water sources for each village. This can involve pipe supply from a GWSSB regional scheme, a local panchayat managed pipe supply, open village wells, village tanks and other lesser sources. An integrated solution involving all relevant sources is sought.

6.1.1 Improvement Objectives

Specific objectives for improvement of in-village water supplies have been formulated with consideration for the difficulty of maintaining a consistent pipe supply to programme villages, the overall scarcity of water in northern Gujarat, the availability of local traditional sources for at least part of the year and the ongoing risk of future earthquakes. The objectives proposed are to:

- Re-establish a minimum supply of water to earthquake affected villages where possible for the coming dry season (i.e.: minimise dependence on tankers)
- Provide a minimum secure all year ('drought resistant') in-village pipe supply of good quality water for essential needs (ie: drinking, cooking, basic health)
- To the extent possible, provide additional supplementary all year in-village water supply from pipe and/or local traditional sources for all other needs
- Ensure equality of access for all social groups to in-village pipe supplies and local sources.
- Provide for the conservation of energy, control and conservation of water use, avoidance of drainage problems from excess wastewater and optimise operation and maintenance costs to be met by village communities.

6.1.2 Improvement Components

The Programme's integrated approach to in-village water supply improvement involves both pipe supply and local traditional sources. Specific components are:

Pipe Supply
- Repair of less damaged in-village facilities as an interim solution
- Reconstruction of severely damaged facilities – same or alternative in-village sites
- Augment the capacity of reconstructed facilities
- Provision of additional new in-village facilities
- Provision of replacement sources/facilities for drought security

Local Traditional Supply
- Repair of damaged facilities used by villagers (e.g.; open wells for drinking water)
- Rehabilitation and augmentation of existing traditional water sources (e.g.: tanks)
- Development of alternative water resource sources (e.g.: covered wells, checkdams, groundwater recharge, surface water catchment developments, rainwater harvesting etc)

6.1.3 Planning Concepts

The following planning concepts are proposed to enable water supply objectives to be met and in particular, to secure village water supplies. The benefits of a flexible approach are emphasised.

- Avoid reliance on single sources of supply to the extent possible in each village
- Apply an integrated village level water resource management approach with multiple source development in each village

- Facilitate investigation of the capacity and security of supply from local traditional sources:
- Apply a two level design process for water supply capacity providing for:

  - Minimum all year supply (40 lpcd) - from most secure sources of good quality water for essential uses
  - Supplementary supply (+30 lpcd) - from less secure sources for other uses (if necessary, of lesser quality)
  - Total village supply - 70 lpcd.

- Design facilities for the benefit of whole village communities, with household connections given secondary priority
- Identify and adopt system and component designs that will minimise the risk of water supply disruption due to structural damage in the event of a future earthquake.

6.1.4 Design and Implementation Approaches

The design approaches proposed incorporate the above planning concepts while being mindful that implementation of improvements will be community managed with the need to avoid undue complexity.

Interim Repairs

It is proposed that partially damaged existing in-village pipe (and traditional) facilities be repaired to the extent possible to re-establish minimum supply for the coming dry season. More permanent solutions with connection to augmented regional pipe schemes and/or local pipe sources will follow in due course. The repair process would need to start as early as possible to maximise potential benefits for villages during the coming dry season.

It is proposed that up to six Repair Teams be organised to visit Programme villages that could immediately benefit from repair work. A value of 300 villages has been assumed. The extent of repair work possible still needs to be assessed, possibly from the original GWSSB reconstruction survey data. Each team is anticipated to have a working supervisor and two technicians. Between the team members they would have experience working with and repairing pipe systems and concrete and masonry structures. They would also need access to local expertise for pump and mechanical repairs. It is proposed that the Engineering Support Cell (ESC) required for the Programme (section 9.3.2) be set up in advance of Programme need to coordinate and supervise this repair work. It will be essential that each ESC engineer has a good general experience with the operation and maintenance of pipe systems (for both repair and Programme support work) and that at least one of the three has specific experience with the repair and rehabilitation of water retaining structures. If the latter is not available, then this expertise will need to be out sourced.

There would be active coordination with UNICEF, NGOs and other agencies working in/with earthquake affected villages. The opportunity will be taken to make a more detailed technical evaluation of the physical condition of in-village pipe supply facilities in villages visited together with the need for reconstruction work in the event that permanent repairs are not possible or appropriate.

Pipe Water Supply

In-village pipe water supply will be community managed and controlled with attention to the conservation and controlled use of water, energy and the money that will be required for system operation and maintenance. Specific design features proposed for pipe supplies are:

- Design transmission systems to villages for the full village water supply design capacity of 70 lpcd.
- Where the _seasonal reliability of supplementary traditional sources is reasonable_:

  - reduce the design level for _in-village_ pipe systems to 40 lpcd (rather than 70 lpcd) for _future_ design population to enable conservation of water during dry periods, and
  - design _in-village_ storage/pumping systems for 70 lpcd for _existing_ populations. Additional storage capacity can be added later when real need is established. This approach allows for the uncertainty of village population dynamics, the benefits of multiple sources, releases capital for other use, and provides for greater earthquake security with multiple units.

- Where traditional sources are _not_ reliable, design all in-village systems for 70 lpcd.
- Provisions for community tap supply to always have precedence over the provision of house connections with residual storage (50%) to be reserved for community tap supply with appropriate connection design.
- Where in village sumps are used, install handpumps to enable their contents to be hygienically accessed in emergencies.
- Ensure all structures are designed to withstand earthquakes through structural design and/or location.

The implementation of pipe supply improvements for villages whether connecting to a regional scheme, a local mini-scheme of 3 to 5 villages or a single village panchayat system is proposed to be by supported community management. There may be a few occasions where two or more villages will need to work together and share their resources and funds for implementation management. In all cases, implementation is proposed to be in accordance with approved village Action Plans.

Communities will however, require engineering design, and supervision assistance for the contract construction of in-village sumps and pumping machinery, storage structures and larger transmission pipelines to and between villages. Engineering support will be provided through Engineering Support Cells (ESC) to be set up by the Programme. Village communities will pay for the services of ESC engineers from their Programme development funds. Contracts for these village works would be arranged on a work and supply basis and be managed by village communities with the supervising assistance of ESC engineers. The function and operation of the ESC is described in more detail in Chapter 9.

The Netherlands funded School Programme in Gujarat provides sanitation facilities for schools. When schools in the School Programme are associated with Programme villages, pipe water supply with a standpost will be provided to the school when this is feasible to complement the sanitation initiative.

Local Traditional Water Supply

Village communities will assess the seasonal reliability and quality of local traditional water sources with Programme support for the following purposes:

- To preserve and enhance traditional sources of supply preferred for drinking and cooking by improving reliability and providing for hygienic with-drawl of water (e.g.: deepen and cover open wells and install handpumps)
- To rehabilitate, deepen (and develop) existing (and new) village tanks (ponds) to augment village pipe supply for uses other than drinking and cooking with reference to existing

experience in the Programme area, catchment management issues, and the investigation of ways of reducing percolation losses.

- To identify and establish alternative local water sources such as checkdams for riverbed retention of run-off water, ground water recharge ponds/conservation systems, rainwater harvesting for drinking water etc. to further augment existing pipe and traditional supplies.

This in-village traditional water source and resource work will be organised and supervised and/or undertaken by village communities.

Common Organisation

All water supply Programme improvement work, both pipe and traditional, will be managed by formally instituted village/Panchayat committees (Pani Samiti) with the full facilitating support of NGOs and when appropriate, ESC engineers. Similarly, the operation and maintenance of all in-village water supply and water resource facilities will be organised and managed by the 'Pani Samiti'. The Programme will provide necessary training, capacity building and management systems together with facilitating support to enable village committees to undertake and manage this work responsibly.

Ground Water Availability

Rural water supply programmes typically involve a substantial allowance for detailed hydrogeological investigations for the location of good quality ground water. (e.g.: the Ghogha project). This involves costly investigation work, often with considerable uncertainty. Such work is not proposed for this Programme. There are several reasons for this:

- The major effort by GWSSB to provide piped water to the majority of Programme villages,
- The Programme emphasis on village level water resource conservation,
- The continuing depletion of ground water resources by uncontrolled irrigation abstraction,
- The arid nature and shortage of ground water in much of Kutch district
- The Programme approach of multiple sources, village managed supply security.

While it is acknowledged that quality ground water is a good objective, for the circumstances of this Programme it is proposed that the need for and benefits of hydrogeological investigations be reviewed when rather more is known of Programme villages after the Programme has got under way. This could be an appropriate topic at the time of reviewing the proposed first phase of the Programme (section 1.5). Programme costs will allow for the development of some new local ground water sources

Operation and Maintenance

In future, Programme village communities will be responsibility for the operation and maintenance of all village water supply facilities. This will include organising operating staff, inspecting facilities and ensuring they are used properly, organising and attending to repairs, making all payments and collecting funds for repairs and also operating charges. Pani Samiti will have overall management responsibility. For major repair works they may have to call on the Panchayat system for assistance.

Water Quality

The conventional approach is to require and expect that all water supplies will be of potable quality and expect that testing will confirm this - the ideal situation. This Programme diverges from this ideal by actively supporting the development of multiple sources, typically of different

qualities reflecting the reality of Programme village circumstances. The Programme also acknowledges the difficulty of getting reliable water testing done and in particular, bacteriological testing.

The programme initial emphasises the provision and protection of sufficient good quality water for drinking, cooking and essential personal use. This will be supported by hygiene education on how to hygienically collect, manage and protect this water in the house. Improvements of water sources for other use will be addressed on a village by village basis.

6.1.5 Scope of Pipe Works

In summary, Programme pipe water supply works will cover the following:

- all in-village water supply facilities, pipe and storage, where regional schemes are the source of supply.
- all water supply facilities for villages with their own source, even if the source (e.g.: tubewell) is up to may be one to two kilometres outside the village
- shared water supply source/storage for small clusters of villages (maximum five) together with transmission lines to each village and all in-village facilities.

The regional augmentation schemes being funded by ADB are designed to provide enhanced pipe water supply of drinking quality in bulk pipelines. It has been agreed between ADB, GWSSB and WASMO that ADB will provide and meet the cost of all connecting pipelines greater than 150 mm diameter and associated structures (sumps, storage) serving two or more villages. This Programme will meet the costs and work for smaller pipelines and structures associated with single villages, even if located outside the village. The Programme will need to coordinate with ADB in this matter and keep up-to-date with ADB's implementation programme.

6.2   Environmental Sanitation and Hygiene Improvement

6.2.1   Existing Conditions

The sanitary conditions in Programme villages are inherently poor with very few 'improvements' to be found. General practice includes open defecation around the periphery of villages, open household wastewater drainage to lanes with drainage from around standposts and cattle troughs generally poor. Additionally, the coexistence of households with their animals and the heaps of animal waste and other solid waste about villages further contribute to their generally unsanitary condition. However, the formulation Mission did note a general tidiness and 'dusty' cleanliness in the more central areas of villages visited. It was also apparent that the limited availability of water and the dry seasonal conditions helped to limiting drainage problems,

6.2.2   Improvement Objectives

The level of sanitation and hygiene awareness and interest in programme villages is reported to be quite low. This will need to be developed if greater community support for improvement is to be achieved. Primary objectives for sanitation and hygiene improvement will be to:

- Raise the awareness of village communities and households to existing sanitation problems and deficiencies,
- Promote the development of a 'community conscience' for cleaner more hygienic conditions in the communal areas of villages,

- Work to improve personal and household hygiene practices in relation to household water use and storage, household cleanliness and personal hygiene and defecation practices,
- Support the introduction of practical solutions and sanitation improvements and facilities for both the community and households,
- Promote the conservation and recycling of personal wastes and reuse of household wastewater and wastes through gardens, composting and similar practices.

6.2.3 Physical Components

A range of physical components will be introduced to provide for community and household sanitation improvements. These are:

- Hygienic household drinking water (and other) storage systems,
- Soak pits for household wastewater disposal, especially for households with house connections,
- Most appropriate defecation practices and systems. This will include latrines of appropriate design for village circumstances (not just the standard pourflush double pit). The simple and hygienic cultural practice of earlier times involving defecation and burial in small freshly dug personal holes will be explored as an acceptable, environmentally beneficial and very affordable improvement on predominant existing rural practice of open space defecation.
- Village drainage will be included at all standposts and cattle troughs and for other specific wastewater problem areas in the village (storm water drainage will not be included unless demonstrated to be a very significant localised issue)
- Communal and school sanitation/latrine blocks will be provided when a specific need is identified, but only when a workable arrangement is set up by the community or school for the controlled use and care of the facility.
- Community composting pits for animal and other solid wastes will be provided on a demonstration basis with benefits of improved sanitation and recycling organic material and nutrients.

6.2.3 Planning Strategy

The Programme will aim to improve the sanitary conditions of communal areas and facilities throughout villages and support and demonstrate improvements in 10 to 15 percent of households. Proposed improvements will need to be built into village Action Plans. Communal sanitation and household hygiene promotion will be essential supporting requirements. Local schools will be incorporated as an active component for the promotion of improvements within village communities. The Programme will identify ways of rewarding particularly responsive communities, possibly with the release of additional development funds.

6.2.4 Design Approach

Technical designs and support would be kept to a minimum by adopting simple standard unit designs for supported sanitation structures emphasising appropriate simplicity of design and construction using locally available resources (and building techniques). Over design with excessive cost is to be avoided. Technical competence for implementation will centre on choice of unit design, installation location with adaptation for special circumstances and the supervision of the quality of installation and materials. Susceptibility to moderate earthquake damage would be an additional design consideration.

6.2.5 Implementation Organisation

Environmental sanitation improvements will be an entirely community managed activity in each programme villages. The investigation planning, selection of options and organisation and implementation of work would be arranged locally under community and household management. The work will be done using local tradesmen and/or community members. Householders would typically provide their labour in contribution. All improvement works will be in accordance with the overall village Action Plan and the general Programme implementation methodology.

The Programme will require that communities and households contribute to the cost of sanitation improvements establishing their 'ownership' of improvements - the balance cost being met by the Programme. The community contribution can be as cash or with contribution of time and labour. The level of contribution will need to be set by the Programme. It is proposed that households contribute 40 percent of the cost of household installations and 10 percent for communal facilities to benefit the overall community (contributions spread over benefiting households).

6.2.6 Use and Care of Facilities

The community and households will be fully responsible for the proper use, care and maintenance of all communal and household sanitation facilities respectively. Deciding on arrangements for this will be an essential planning requirement before work starts on improvements together with deciding how any costs associated will be met. This may involve employing someone from the community to look after communal facilities. The Programme will support the village with associated hygiene education and training for proper use and care.

6.3   Community Organisation

6.3.1 Existing Situation

The general nature of community organisation existing in Programme villages is known with the institutional framework for community involvement in village water and sanitation already in place in many villages. This is in the form of village Panchayats and in some cases, informal Pani Samitis and Trusts that manage village water supply affairs. Panchayats/Trusts are managing the operations and maintenance and cost recovery for many individual village water supply schemes. Their composition is mainly of the 6 to 7 village elders and influential persons of the village. At times there is a woman Sarpanch (as in Chakampar), but she does not have much say in the affairs and management of water resources.

6.3.2 Programme Objective and Strategy

The primary objective of the Programme is that the process of making in-village water and sanitation improvement is to be Community Managed. This requires that there be a fully functional community organisation. To achieve this, existing community organisation in villages will be strengthened and appropriately empowered with Programme facilitating support. The basis for this will be Pani Samitis provided for by Government Resolution (PRCH-1095-941/CH, dated 21-04-1995) as statutory bodies within Gram Panchayats with responsibility for water and sanitation within villages. Where necessary, Pani Samiti would be formed at the time of the Programme's initial involvement in support of villages.

The Panchayat/Pani Samiti needs to be representative of the whole community and in particular, included representatives from socially excluded groups. This is to ensure their interests are

allowed for. Their inclusion is critical when water supply and sanitation improvements for the village are being planned and designed and also during construction. In some situations, it may be useful for the community to initially establish two or more sub-groups with representation on the Pani Samiti to be responsible for their local concerns and requirements.

A basic underlying objective and strategy is for village communities to develop the organisational and management skills and capacity to not only work with the Programme, but ·o tc cnable them to continue in the future with development and improvement activities in ·:eir villages. Village communities will be required to formally join with the Programme to benefit. A Memorandum of Understanding will be used for this.

6.3.3 Community Management

The initial establishment and following capacity building of the Pani Samiti and community organisation to be responsible for the Programme in their village will be guided and supported by the supporting NGO working for the Programme in their area. The Pani Samiti/Panchayat (and the community) will need to learn about the Programme, how it is designed to assist them and what they will need to do to work with and benefit from the support of the Programme.

This will involve a learning and consolidation process with necessary training and guidance on the range of topics involved in community management. On-the-job training will provide the basis for capacity building. The existing abilities learnt and developed in the course of the commercial and private activities of village members will not be ignored.

Specific topics for additional capacity building, particularly for Pani Samiti and panchayat members, will include:

- Planning and identification of solutions,
- Work and resource organisation,
- Setting up work agreements and contracts,
- Supervising and guiding implementation work,
- Monitoring work performance and quality,
- Operation. care, maintenance and cost of community facilities.
- Managing funds received and collected,
- Expenditure on work done and basic accounting,
- Meeting processes and record keeping
- Reporting and documentation keeping

6.3.4 Involvement of Women and Disadvantaged Groups

This is a requirement that needs to be specifically provided for.

Disadvantaged Groups – They often reside at the periphery of the village, frequently at the tail end of the pipe water supplies. Their dependence on alternative water sources for all water needs is greater – *virdhas*, ponds, rivers etc. The time and effort required to collect water by the poor, men and women, has important social and economic implications for them. Both men and women lose income if they are not able to get to work and similarly, girls have to stay away from school in summer months to collect water. These groups typically live in very unsanitary conditions with few if any facilities available to them.

Involvement of Women – because women are the primary users and managers of water at the household level and for animal husbandry, the Programme will need to provide .for their involvement in all community organisations, in decision-making processes equally with men and

at all stages of the programme. For this, there will need to be a <u>supporting Programme gender strategy.</u> The requirements of women users need to be given particular attention when locating stand posts and sanitation facilities.

At village level, the following features for the support of women's involvement need to be provided for:

- Include active women as members of Pani Samitis,
- Involve women in all programme preparatory activities in the village,
- Have separate focus group discussions with women to bring them forward
- Arrange for men to give 'space' to enable women to participate,
- Design training and materials/formats for non literate groups and women,
- Include village women in all technical aspects and training for the Programme

6.4 Programme Development Process

The 'project cycle' for all development programmes and projects is similar, with stages of investigation, planning, design, organisation, implementation, operation and maintenance (use and care) and desirably final evaluation. For typical engineering projects, all stages are managed externally and the work contracted. With the facilitated community managed basis for this Programme however, a rather different process involving different participants is required.

The following stages and principle participants will be involved:

Programme
- Programme administrative establishment   GON, GOI, GOG, WASMO
- Programme organisational establishment   WASMO, NGOs (+EAS)

Village Programme
- Community mobilisation   Community, PS, NGO
- Community Action Plan   PS, NGO, CMSU
- Community managed implementation   PS, NGO, ESC, Contractors
- Community use and care of facilities   Community, PS, (NGO

Note: PS – Pani Samiti/Panchayat; ESC – Engineering Support Cell; EAS – External Advisory Services

The Programme will be geographically divided into logistically manageable groups of villages for each NGO to support. Each NGO will in turn establish sub-groups of villages with each supported by a Village Support Unit. For each Village Support Unit, the Programme will involve overlapping single village programmes starting in a phased manner according to the unit's capacity to support the villages in its group. In practice it may prove convenient to work with villages in clusters of 4 to 5.

The Programme will be very people/community orientated with requirements of institutional capacity building and the establishment of programme systems for both NGOs and Pani Samiti/communities as an integral part of the community managed implementation process. This will be ongoing for the duration of the Programme, not just as an establishment activity. For this Programme, engineering and technology requirements will be supportive activities rather than the determent activities. This shift in process approach originates from the WASMO sector concept that provides the fundamental basis for the Programme.

7. COMMUNITY MANAGED IMPLEMENTATION

7.1 Village Empowerment

To enable village communities to participate in the Programme it will be necessary for them to be suitably empowered. Communities will do this through a Pani Samiti as an extension of their Gram Panchayat. This will enable villages to assume responsibility for water and sanitation management and improvements in their village. Essential requirements for effective empowerment will be:

- A Memorandum of Understanding (MOU) with WASMO to establish the community/Panchayat's commitment to the Programme.
- The MOU will define the roles and responsibilities of all participants,
- The Pani Samiti/Panchayat will be responsible for village level management of all stages of the Programme from planning through implementation to subsequent operation and maintenance,
- A Programme approved Village Action Plan developed by the village community will provide the basis for implementation of improvements and ongoing Programme support,
- All Programme development funds for village improvements will be received and managed by the Pani Samiti,
- The village community will be kept fully informed by the Pani Samiti to enable them to monitor progress and performance at all times,

This empowerment, together with Programme assisted village capacity building will make each village and its Pani Samiti the primary focus of the Programme and place responsibility for water and sanitation improvements in their village squarely in their hands. It is in this respect that the Programme makes a fundamental shift in sector development support.

7.2 Partnership with the Community

For the effective involvement of village communities in partnership with the facilitating members of the Programme, a relationship needs to be established in every case based on principles of trust, transparency and equity. For the Programme, this applies equally to WASMO, the CMSUs and directly facilitating NGOs. The relationship problems of the Ghogha project are not to be repeated. The following processes are essential for this outcome:

- Listen for the concerns and constraints of the community
- Understand the community's perceptions and priorities
- Learn about their capacities, strengths and potentials
- Identify the social dynamics of caste, class and gender in the community
- Enable and guide them to take the lead in analysis, planning and implementation
- Give the community space to make and learn from their mistakes

This basis of partnership does however mean that there must be real commitment from both parties with promises and intended actions carried out and honoured. It means that the people based relationship is given full priority with the design and application of Programme procedures allowing for this. To do otherwise is to undermine the trust originally established. Unfortunately, projects and programmes abound where intent and promises have not been honoured, with failure of relationships and poor performance the inevitable result.

7.3 Community Management Methodology

This is the core feature of the Programme upon which all other activities will ultimately be dependent. If effective community management can not be realised, then the Programme can be expected to fail in that village. This does not of course mean the Programme will necessarily fail, as it comprises many individual village programmes.

The community management methodology proposed consists of the following six sequential main stages:

- Programme Introduction and Acceptance
- Community Mobilisation and Empowerment
- Village Action Plan preparation and approval
- Capacity Building and Work Organisation
- Community Managed Implementation
- Operation, Use and Care of Facilities

The detail of these stages are given in Appendix 1 showing sub-tasks, the outcome expected of sub-tasks, the main parties involved and an estimate of time typically required for each task. The time estimate will vary between villages in practice. Also shown are community management and implementation milestones to be achieved by villages. The significance of these is considered in section 7.4.

Following is an outline description of the salient features of the proposed methodology.

A: **Programme Introduction and Acceptance**   2 weeks duration   Weeks 1 to 2

> The Programme is initially introduced to the community leaders by the CMSU and the supporting NGO and then, to a community meeting. After a period for reflection, a second (or third) community meeting decides whether to accept or reject introduction of the Programme into their village. It is the community's choice.

Milestone 1 – Programme acceptance or rejection.

B: **Community Mobilisation and Empowerment**   8 weeks duration   Weeks 3 to 10

> With Programme acceptance, the whole village community is involved with the start of the Programme and the investigation and assessment of the village physical and social organisation and its water and sanitation circumstances and needs. The village will be involved in PRA and other similar participatory activities for this purpose. With NGO guidance, the community would review the findings of the exercise. During this process, potential members for a Pani Samiti would be expected to emerge together with groups, which should be represented. This stage is intended to conclude with the selection of Pani Samiti members by the community, followed by the formal establishment of the Pani Samiti, including setting up a bank account in association with the Gram Panchayat. During this establishment period, Pani Samiti (and Panchayat) members would be further orientated about the Programme and receive initial training.

Milestone 2 – Pani Samiti formally established (Yes or No)

C: Village Action Plan   10 weeks duration   Weeks 11 to 20

With the Pani Samiti established, it will, in continuing consultation with the community develop a village Action Plan for water and sanitation improvements for the village. This would be based on findings of the earlier survey and assessment of the village. Decisions would be made on technical solutions to adopt, related social considerations and operational and cost responsibilities. The Pani Samiti will be given substantial support by the supporting NGO and may call for ESC assistance during this planning period. A draft plan will be shared with the community and after a period for community review and discussion, accepted or returned for further consideration.

With community acceptance, the Pani Samiti will submit the Village Action Plan together with its accompanying budget, to the CMSU for review and approval. It is critical that this review is done without delay – a two-week period is considered sufficient unless it is found necessary to return the Plan to the community for further development. The CMSU needs to visit each village to convey its approval or concerns, if not approved. This will serve to strengthen the relationship with WASMO and demonstrate the commitment of WASMO to the village community and the Programme.

Milestone 3 – Village Action Plan approval or rejection

D: Capacity Building and Work Organisation   5 weeks duration   Weeks 21 to 25

The Pani Samiti with community help and NGO guidance would work out how best to implement improvements, plan the organisation of this, locate and cost materials and arrange for the work to be done. Financial arrangements would be set up, community monitoring systems organised and ways of keeping the community informed of activities and progress put in place. Throughout, this period, on-the-job training would be an essential ongoing activity organised by the supporting NGO. For larger works, primarily pipe water supply structures, engineering support would be provided on request by the Engineering Support Cell. At the conclusion of this period, the Pani Samiti should be ready to arrange the first improvement work. Prudently, they would be advised to start with smaller works initially. Larger pipe water supply works may still be under preparation.

Milestone 4 – Implementation organised and ready to start work

E: Community Managed Implementation   46 weeks duration   Weeks 26 to 71

With the start of this phase, planned works would be arranged and/or contracted out with the commencement of physical work following. The Pani Samiti would supervise and track the progress and quality of work, with the monitoring support of an informed community and assistance from the NGO. There would be periodic reporting of progress to the CMSU together with requests for further funds to be advanced, subject to acceptable accounting for earlier expenditure and conformity with the approved village Action Plan. The sole responsibility for management of implementation works would be with the Pani Samiti and its supporting community. On completion of works, they will be inspected and final completion statements and accounting of expenditure made to the CMSU.

Milestone 5 – Successful completion of planned works

F: Operation, Use and Care of Facilities   6 weeks duration   Weeks 72 to 77

> With the completion of facilities (and during the latter stages of implementation) the original planning arrangements providing for the responsible operation and care of facilities will be put into action and the concerned community members given appropriate on-the-job training. The regular collection of operational funds would start, where required.

> **Milestone 6** – Ongoing proper use of facilities

The above description and suggested timetable is for a responsive village and assumes continuing effective support from facilitating NGOs. There is also no allowance made for delays on the part of the Programme. There is no line-department role involved which should avoid the decision making difficulties which have plagued water and sanitation projects in the past, including the Ghogha project.

7.4   Performance Milestones

The community management methodology requires village communities to complete several key activities to enable the community to logically proceed to the following phase of the methodology. All Programme partners will have an interest in tracking the achievement of milestones by each village. The NGOs in their direct support role and the CMSU in their monitoring and approval role. The development interests of block and district panchayat system will also have an interest. The proposed milestones are summarised as:

- **Milestone 1** – Programme acceptance – if not, there is no basis for proceeding
- **Milestone 2** – Pani Samiti formally established – if not, have no organisation to be responsible for the community management of Programme supported improvements; the Programme does not have a village partner.
- **Milestone 3** – Village Action Plan acceptance – if not, have no basis for approving funds and monitoring implementation progress; the village has no development funds to work with.
- **Milestone 4** – Implementation organised ready to start work – if not, any work started is likely to be poorly implemented and managed
- **Milestone 5** – Successful completion of planned works – if ongoing after planned completion time indicates implementation and performance difficulties.
- **Milestone 6** – Ongoing proper use of facilities – if not, then have problems with sustainability of facility

The achievement of these milestones will mean that Programme activities are progressing well and most importantly, that the village has achieved an effective community management capacity. Failure or delays in achieving one or more milestones will indicate that the village is having difficulty with their management of programme activities in the village or worse still, the Pani Samiti is not functioning effectively. The milestones will be a very important component of the Programme monitoring system.

Inevitably, there will be some failures and attrition of villages from the Programme, human nature being what it is, notwithstanding the support efforts of the NGOs. The important issue will be to try to understand why villages drop out and to the extent possible without compromising overall Programme performance, adapt the Programme methodology to reduce the incidence of loss and failure. Although it is impossible to estimate what the dropout rate may be, 25 percent of villages would not be unexpected, with maybe a further 25 percent performing indifferently.

7.5 Circumstances for Withdrawal

Villages will formally withdraw from the Programme with the satisfactory completion of all components of their village Action Plan and provisions for the ongoing operational management of facilities and cost recovery in place.

Early withdrawal of the Programme from a village is an alternative with or without suspension of programme activities. This will occur if villages fail to achieve a key community management milestone after an acceptable number of attempts or due to lack of commitment to the Programme with unreasonable delays. Significant unapproved deviation from the approved village Action Plan with expenditure outside that provided for by the Action Plan budget, would be a further reason for Programme withdrawal.

It is important that reasonable performance limits and milestones be set and exercised from the outset. It is essential that an open-ended situation be avoided and that there is not undue latitude for the Programme to drift in time. The size of the Programme and its multi-village composition will not be able to accommodate undue delays without putting programme support to performing villages at risk. :

The Programme will need to for to be prepared to pull away from non-performing villages. An appropriate withdrawal procedure will need to be developed for this. It would be expected to involve a consultative process to enable the situation and the nature of problems being experienced to be discussed with the community. However, should problem communities not be prepared to make meaningful changes reasonably promptly, then the Programme needs to be prepared to move onto more responsive villages.

7.6 Ongoing Autonomy

An important outcome from the successful association of the Programme with village communities and Panchayats will be their strengthened capacity to manage their own affairs, operate and manage village facilities and undertake further village development on their own. Such functional autonomy for villages would be the ultimate achievement for the Programme. This needs to be seen and maintained as the ultimate Programme target.

8. PROGRAMME SUPPORT

8.1 Purpose

The provision of institutional facilitating support was earlier identified (section 5.6) as the key programme feature required to support the community managed implementation of the Programme at village level while the nature and extent of support required has been outlined as part of the description of community management methodology. In practice, there will be three levels of support – Programme support by WASMO, facilitating support by NGOs and implementation support by NGO field staff.

8.2 Programme Support

The WASMO Head Office will be responsible for supporting the Programme, in part working through its district level Coordination, Monitoring and Support Units. WASMO will be responsible for the initial planning, organising and setting up the Programme including identifying and contracting NGOs. WASMO will need also to prepare initial Programme guidelines and operating systems for the Programme.

Initially, WASMO will provide orientation and start up training for recruited NGOs. Later, when the Programme gets under way, WASMO will provide ongoing support to ensure that there is a common understanding and perspective among all parties involved in the Programme. This will involve awareness building, orientation, training and education to ensure that all involved are committed to the programme and its concept and objectives. At the same time, there will need to be a limited degree of flexibility and scope to enable response to field situations encountered.

8.3 Facilitating Support

NGOs will support the community managed development in villages with field staff teams to be set up for this purpose. They will take the Programme to village communities in accordance with the overall Programme implementation plan developed by WASMO. It will be the NGOs role to ensure the Programme is applied consistently, that Programme timeframes and performance targets are met and that Programme communities understand the purpose and scope of the Programme expectations and are able to perform to the best of their abilities. It will also be their role to bring WASMO and Programme communities together through their successful support to of the Programme.

In undertaking their facilitating role, some of the more important responsibilities NGOs and their field staff will have are to:

- Develop a working relationship with WASMO and CMSUs,
- Appoint suitably qualified and experienced field staff and coordinators for the work area
- Ensure that all staff receive appropriate orientation and training for their programme work
- Identify and recruit the services of specialist support personnel as required (e.g.: for PRA)
- Develop monthly plans for coordination, mobilisation, education, training and field visits.
- Supervise and monitor all programme activities supported by field staff,
- Assist Pani Samitis with the preparation of village Action Plans, budgets and proposals for submission to CMSUs and for informing the block/district panchayat system.
- Assist with the organisation of specialist technical and engineering support when this is required by communities
- Assist communities with the organisation, management, supervision and monitoring of implementation works and their subsequent operational management

- Participate in joint monthly review meetings at taluka/district level with CMSU (and WASMO) to assess progress and consider issues and problems.
- Provide monitoring information and reports required for programme management.
- Participate in quarterly reflection and review workshops at taluka/district level with WASMO, CMSUs, other Programme NGOs and Pani Samiti representatives.
- Provide Pani Samitis with all necessary information for their smooth functioning.
- Develop contacts and network with resource organisations, government departments and agencies to facilitate capacity building and skill development for community groups.
- Above all, ensure operational transparency and encourage free information flow.

NGOs would have one or more coordinators to support the programme and NGO field staff. The coordinator would be responsible for ensuring the above Programme responsibilities are met.

8.4 Implementation Support

This will be provided to village Pani Samitis and communities by competent NGO staff and field workers. NGOs will form three person Village Support Units with members having expertise and experience in community participatory management and gender, capacity building, training and education and rural technology. Each Village Support Unit would be responsible for assisting around 25 villages at a time and be in turn supported by field workers looking after 5 villages each. The NGO would provide a Coordinator for Programme planning, management and organisation of field staff. The responsibilities of NGO Programme staff are listed in Table 8.1.

The Programme will be very dependent on the commitment and competence of NGO field staff who as a team will need to be conversant with all aspects of the Programme. As the 'front line' workers for the Programme, they will need to be confident in their work and support of village communities and be able to convey this to village members they are working with. Communities may initially be very dependent on their support and guidance. It will be essential that field staff fully recognise the significance and pivotal role that will have in Programme implementation and that they receive all the support they are going to need.

8.5 NGO Selection Criteria

NGOs to work with and support the Programme will need to be selected with care to ensure they have the competence and potential capacity to effectively take part in the Programme. There are NGOs already working in the Programme area, especially in Kutch district where earthquake relief work has been a dominant activity. Three NGOs were involved in the village level surveys conducted for water supply damage assessment – SEWA in Surendranagar, Mahila Samakhya in Rajkot and COHESION in Rapar Taluka. These three have working experience in the water and sanitation sector. Other NGOs were part of an earlier consultative process on the issue of water.[5]

The selection of NGOs, including those mentioned, will need to be done objectively to ensure the best selections are made. This needs to be made with reference to appropriate selection criteria such as those used for the Ghogha Project[6]. NGOs will be sought who preferably have experience in or at least some understanding of the water and sanitation sector, are willing and have a demonstrated performance and accountability record. Specific selection criteria would include:

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[5] Consultative Workshop on Drinking Water and Sanitation in the Earthquake Affected Areas of Gujarat (Draft), Institute of Rural management Anand, Gujarat, October 2001.

[6] The Ghogha Experience, Volume 1, Water and Sanitation management Organisation, June 2001.

Table 8.1
Responsibilities of NGO Programme Staff

Personnel	Area of work	Tasks
Field worker (Karyakarta)	5 villages	**Stays in one of the villages.** - Visit villages to introduce self and the programme. Subsequently regular visits. - Village meetings, surveys, house to house contacts. - Organise mobilisation, education and PRA activities. **Formation and strengthening Pani Samitis** - Meetings and interactions with Pani Samitis/Panchayats, village women, groups and other village level government functionaries. - Organisation/facilitation of training/workshops at village level with assistance from the NGO Village Support Unit team/community. - Assist with Action Plan preparation - Follow up on the milestones and report on progress/problems. **Support Action Plan implementation** - Support implementation of Action Plan and resolution of problems - Participate in monthly /quarterly review meetings with reports.
Village Support Unit Coordinators (3) 1. Community Participation Management 2. Capacity building, Training, and Education/Gender 3. Rural Technology (Team members work as a unit to facilitate the community and Pani Samitis)	Up to 25 vill-ages in one Taluka,	**Community Participation Management Member** - Village visits and meetings. - Meet Panchayat members, Taluka level officials. - Creating awareness and collect technical and non-technical information. - Obtaining socio-economic environmental information. - Plan/conduct surveys, PRAs, mobilisation strategies, training, workshops, melas - Guide formation of Pani Samitis - Facilitate village groups to discuss issues and make designs and action plans - Support village Action Plan preparation and approval by WASMO - Participate in review meetings and present consolidated field reports - Follow up on milestones. **Capacity building, Training and Education/ Gender Member** - Village visits and meetings. - Meet Panchayat members, Taluka level officials. - Meet and hold discussions with women and men to plan training. - Develop ideas and materials for creating awareness and the of collection technical and non-technical information.

		- Involve local people in mobilisation activities. - Plan, organise and facilitate training and workshops at village level. - Develop training schedules and access resource persons for capacity building. - Identify a local resource group from the local community/ taluka and district for capacity building. - Identify capacity building needs for various groups and levels. - Access materials/accessories for training use. - Develop materials for information dissemination- posters, handbills, newsletters etc with katyakartas. **Rural Technology Member** - Develop an understanding of community social dynamics and project principles. - Work closely with the VSU team to understand the community. - Participate in the organisation and conducting of PRAs. - Assist the design, planning and budgeting of construction activities. - Dialogue with Pani Samiti, CMSU, WASMO, GWSSB, government functionaries to facilitate a common understanding of water resources management. - Participate in, organise and conduct training sessions with team members. - Work closely with the community to understand their needs, assess local capacities and skills for construction. - Assist and guide on-site supervision and monitoring to help the Pani Samiti and community to do improvement work within schedule. - Draw assistance from other sources for new ideas, innovative techniques, cost effective and sustainable methods of construction. - Assist Pani Samiti in their work with ESC engineers - Participate in monthly/quarterly meetings at Taluka/district levels.
NGO Coordinator (1)	District/s	- Coordinates all Programme work in villages the NGO supports - Coordinate with WASMO with Action Plans, funding, monitoring and reporting, internal reviews and overall Programme implementation. - Monitoring and reporting Programme and activities – monthly/quarterly - Responsible for the performance and continuity of field staff

- Registration as a Society or Trust.
- Principles of partnership, transparency, equity, trust and participation with communities.
- Expertise in community organisation and participatory management work and the water sector for 3 or more years
- Ability to work with at least 30 villages or at Taluka Level.
- A team of men and women with experience working closely with the community.
- Specialist expertise in-house or by access to consultants/specialists – civil engineering, community participation, gender, water resources management etc.
- Demonstrated ability to take up village level issues – health, water, sanitation, and education.
- Flexible attitude with capacity to take on new ideas, be adaptable, and accommodate change
- Existing network with local and state level departments, agencies, other NGOs, consultants and specialists in the development sector.
- Capacity to impart training and education on community managed programme implementation– human resource development.
- Ability to coordinate, liase and manage inputs for the operational area.
- Ability to interface and interact with WASMO, GWSSB, rural development and other departments as and where possible.
- Competencies to develop communication material in the local context.
- Ability to work with socially diverse groups.
- Capacity to develop monitoring and information systems.

A selection process of inviting interest with initial response to Programme expectations for NGOs leading to short-listing, invitations to quote for provision of services with negotiations would be anticipated. WASMO has a list of NGOs working in the Programme area and elsewhere in Gujarat.

8.6   Training Requirements

The effective orientation and training of all involved with the Programme will be essential to ensure their understanding of the Programme, capacity to carryout their responsibilities and reasonable uniformity of Programme perspective, understanding and implementation by all involved. That the Programme concept and approach is new emphases this need.

All partners in the programme will be trained on the social, technical and health aspects of water and sanitation, the fundamental Programme features of community management and institutional facilitation process and the objectives of the Programme. Other training will be specific to particular needs of the Programme and people involved.

Table 8.2 provides a preliminary indication of initial training requirements for the programme. Training would be an ongoing requirement as the Programme expands and the need to cover all aspects of the Programme. On-the-job training would be an essential feature for the reinforcement of more organised training sessions. This would particularly apply for Pani Samiti members and at community level.

Refresher and other follow up inputs would be necessary to strengthen concepts and consolidate new learning. Workshops could be held to develop IEC material and reporting formats for the community in simple every day language, maybe with pictures, so that Pani Samiti members/ villagers who are not literate, can follow and understand.

Table 8.2
Programme Training Requirements

Trainees	Facilitators	Subjects	Timeframe/ Method
Programme planners and managers –GOG	In house sensitive staff and CPM consultants	Integration of technical aspects of water supply to social realities and community needs.	3 days - Woikshop, participatory planning management and monitoring, films on people's initiatives in technical projects.
WASMO staff and NGO partners/coordinating teams	CPM consultants and project staff	Programme concept, structure, components and objectives. Concepts of facilitation support, community management, participatory methodologies and management practices	5days - About the project, technical and social components. CPM and new shifts, field visits, innovations that could be tried.
Field workers	NGO, WASMO, team of Coordinators	Perspective, goals and objectives of programme, community management concepts, Methodology for field work, PRA, tasks and responsibilities, reporting, monitoring and training. Rules and norms etc.	7 days - Participatory methodology, group discussions, role plays, exercises, writing skill development, communication, etc. Charts, films, posters field visits.
PRA and Social Mapping – for NGO Coordinators, field workers, some community members	PRA resource persons – AKRSP/IRMA/CDS others at district level	Local water resources, systems, users, problems, practices, sanitation, team work, mutual cooperation.	7days – Survey, village resource mapping, walk, prioritisation, seasonality and water. Participatory planning and action.
Community, Pani Samitis and Panchayats	NGOs/ other CPM resource persons	Perspective of the project, its implementation, their participation, roles and responsibilities, understanding of issues. Design of the scheme, pipe network, quality control, O& M, costing of construction works, monitoring.	4 days – for village groups; participatory methodologies for analysis of maps, designs and plans developed in the village. Group discussions on social dynamics, role plays, field visits, charts and drawings, films.
Village women & NGO field workers	NGOs/ other CPM resource persons	Leadership, critical water management issues, local resources, participation in meetings and committees, expressing their problems, working together for water.	3 days – for groups; workshop, discussions, field visits, maps, drawings, charts, role plays, songs, films.
Local support personnel of government Deptts	NGOs, WASMO, other CPM resource persons	Orientation to the project, support for community initiatives, facilitation to Pani Samitis	2days - Workshop, maps, charts, discussions drawings, role plays.
Contractors and other persons	WASMO, NGOs resource persons	Component design, materials, role of people and Pani Samitis, consruction and O&M.	2 days - Sensitisation discussions, maps, drawings, role plays films etc.

9. PROGRAMME ORGANISATION

9.1 The Programme

An organisational structure for the Programme has been formulated consistent with the concept and objectives of the Programme and in particular, facilitating support requirements. Organisational components earlier described are shown collectively in Figure 9.1. The Programme processes of operational activities, financial links, monitoring and advisory support are shown and discussed in following chapters. The involvement of the Panchayat Raj system is also shown.

9.2 Village Community

The Pani Samiti and supporting Gram Sabha are the focal point for the Programme together with the households and community groups they represent. The village Pani Samiti will be a subcommittee of the village Panchayat with composition including representation from each social group in the village, including women, SC/ST, minorities and other disadvantaged groups. Village level or other local specialists and stakeholders could also be included. The Samiti will be trained and supported by Village Support Unit members of supporting NGOs and additionally, draw support from the community and Taluka and district Panchayats. Panchayat political influence will also be a consideration.

The Pani Samiti will be authorised to receive Programme grants from WASMO. It will be accountable to the Panchayat, Gram Sabha/community and WASMO for the funds received and their proper utilisation in accordance with the Village Action Plan. Government will need to pass a Resolution to empower village Pani Samitis holding delegated authority from the Gram Panchayat to receiving government grants for undertaking water related improvements. This will be in consequence to the earlier 1995 GOG Resolution (PRCH 1095-941/ch) providing for the formation of Pani Samiti to attend to water and sanitation requirements at village level.

The Programme roles for the Pani Samiti will build on those already provided for in the above Government Resolution. More significant roles will be to:

- Ensure that issues of water supply, sanitation and water resources are taken up with the Gram Sabha.
- Ensure that a Village Action Plan is prepared and approved by the CMSU for all Programme supported activities.
- That the community is involved at all stages of planning, design, arranging, implementation, monitoring and management of water and sanitation improvements.
- It will organise and/or procure construction materials, labour and the services of contractors required for water and sanitation improvement works.
- Organise, supervise and monitor construction and other Programme activities.
- Ensure that the community makes contributions in cash, kind, materials etc.
- Open a Panchayat bank account to receive Programme grant funds, community contributions and for overall management of village Programme finances.
- Keep accounts of Programme and community money received and expenditures incurred.
- Report on the completion of all works and establish systems for the ongoing use and care of village water and sanitation systems.
- Spread awareness and consciousness about water usage and charges throughout the community.
- Consciously include women in day-to-day affairs and the use and care of systems and resources by encouraging them to become involved as members of the Samiti and in other village activities involving the programme.

- Supporting the regular monitoring and reporting Programme activities of the NGO and CSMU.

Pani Samiti members will be supported from the beginning of the Programme with intensive initial training for their establishment, action plan preparation and work organisation phases and receive further ongoing training during implementation. Apart from their ongoing Programme development activities, they would need to meet regularly (fortnightly/monthly), keep records and minutes of meetings, handle the village accounts and coordinate water users groups.

9.3 Community Support

The community support system, within the framework of the greater organisational relationships, is shown in Figure 9.2. This has two main components of NGO support to villages and engineering technical support from an Engineering Support Cell.

9.3.1 NGO Support

Operational support to the Pani Samiti (and community) will be the responsibility of supporting NGOs and their field staff – Village Support Units and Field Workers. This will be an essentially autonomous role in accordance with NGO performance contracts and under WASMO programme supervision. A preliminary assessment indicates that Field Workers will be expected to support up to five villages each and each Village Support Unit, 25 to 30 villages (and 5 Field Workers) at any one time. The number will vary as it is anticipated villages will start in an overlapping phased manner to enable the support workload to be spread in a manageable pattern. NGOs will also provide coordinators to be responsible for the NGO's Programme support activities. Each coordinator will manage between 2 to 3 Village Support Unit teams.

The number of NGOs required or involved, and Village Support Unit teams for each NGO, will depend on the coverage of villages by the Programme. The Programme Implementation Plan will recommend a two staged approach, with an initial 200 village 'learning phase' followed by the balance 1060 villages. With this staging and the above staffing assumptions, organisational and personnel numbers required for Programme community support are indicated to be:

Activity	Phase 1	........Phase 2..........		
% villages remaining in Programme	NA	(100%)	(75%)	(50%)
Number of villages	200	1060	795	530
Number of NGOs	4	9 (4 + 5)	7	5
Number of Village Support Units (VSU)	8 (4 x 2)	36 (9 x 4)	28	20
Number of NGO Coordinators	4	18	14	10
Numbers of VSU staff	24	108	84	60
Numbers of Field Workers	40	216	140	100

Numbers for Phase One are believed to be reasonably realistic. The numbers for Phase Two while substantial, are for planning and estimating use. Final requirements will depend on experience from Phase One identifying what is possible and manageable for Phase Two. It is also anticipated that numbers will be reduced due to village withdrawal and attrition from the Programme with possible effects indicated above. Taking these issues into account, it is concluded that the required number of suitable NGOs can be expected to be available, although probably some will have a greater operational capacity than others. It is also anticipated that the required personnel will be available, but with some requiring more intensive training.
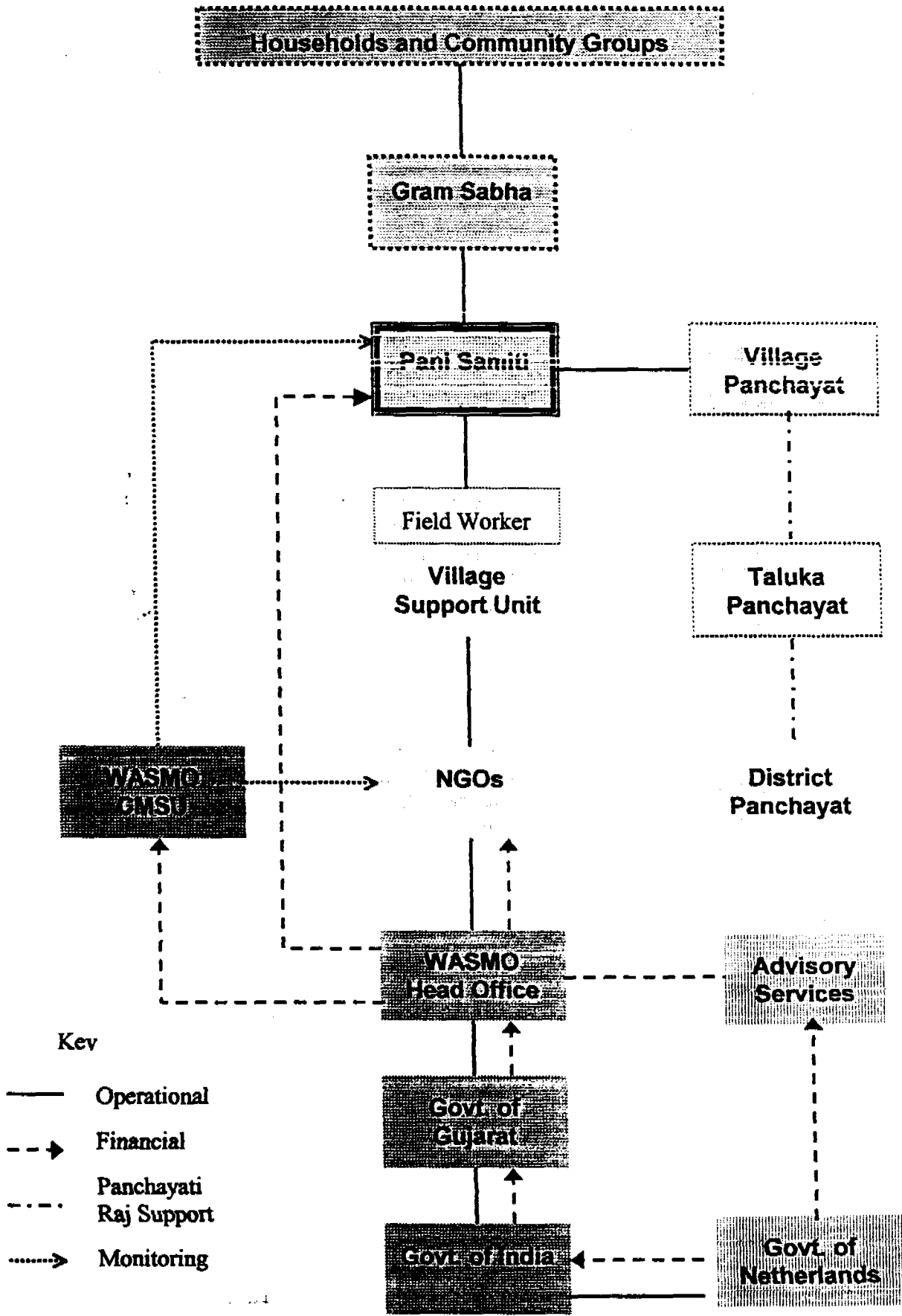
Figure : 9.1

Figure 9.2 shows NGOs drawing on external resource organisations and consultants. They will do this for additional expertise and supplementary staffing capacity for specific activities. For instance, support with village PRA work. Assistance with training for specific topics is another situation that will arise.

9.3.2 Engineering Support Cell

This is a Programme arrangement that will be established to provide village communities with design and supervision support for the construction of larger water supply structures, pumping facilities and longer pipelines connecting to regional schemes. There could also be local village pipe water supply and structures to be rehabilitated or newly developed and larger water resource rehabilitation and/or development work to be supported.

Each Engineering Support Cell will be set up initially with a core team of three deputed GWSSB engineers experienced in the rehabilitation and repair of works as well as the design and construction of new works. They would preferably, also be experienced with the design, construction and rehabilitation of water resource facilities. Should suitable engineers with the required breadth of experience are not readily available from GWSSB, then the Programme would need to recruit suitable engineers from the private sector. The Cell would be able source additional expertise from local private sector or GWSSB sources in response to specific timing and expertise requirements to supplement the capacity of the core team.

It is proposed that the Engineering Support Cell provide a commercial service with Programme established hourly and/or half day fee rates. Village Pani Samiti would request the services of the ESC directly and pay the ESC for services rendered from their Programme development funds. Provision for Pani Samiti to seek engineering services directly from the private sector can also be considered, subject to Programme acceptance of service proposals. Payments made by Pani Samiti will be used to meet the operational costs of the Engineering Support Cell with WASMO funding any operational deficit directly using Programme funds. This approach will help villages to appreciate the full value of village improvement works.

WASMO Head Office will set up the initial Engineering Support Cell. The Cell would be administratively attached to the initial district based Coordination, Monitoring and Support Unit. It would however, operate independently of the Coordination, Monitoring and Support Unit. The CMSU would be responsible for monitoring the operation and performance of the Engineering Support Cell and resolving any procedural problems that might arise. Supporting NGOs will assist Pani Samiti to access the engineering services of the ESC and together with the CMSU, the supervision and management of the engineering support provided by ESC engineers. As the Programme expands into the proposed Phase Two of implementation, up to three Engineering Support Cells would be set up along with additional Coordination, Monitoring and Support Units.

Specific services to be provided by the Engineering Support Cell will include:

- Engineering investigation, technical feasibility and identification of alternative solutions with preliminary costs for proposed water and sanitation works (reconstruction, rehabilitation and new works)
- Design, costing and preparation of engineering drawings for facilities chosen by village communities (to be done in full consultation with the Pani Samiti and village community to ensure community requirements are fully considered)
- Assistance with the preparation of contracts and sourcing of materials of acceptable quality
- Assisting Pani Samiti with the supervision of the timeliness and quality of contract work, commissioning of works and setting up of operation and maintenance requirements.

Pani Samiti

Pani Samiti

Pani Samiti

Consultancy / Supervision fees

Field Worker

Community Management/Gender

Capacity building/Training/Education

Rural Technology

Engg. Support
GWSSB Engineer

NGO

Resource Organisations / Consultants

Operational

Support

Fee Payments
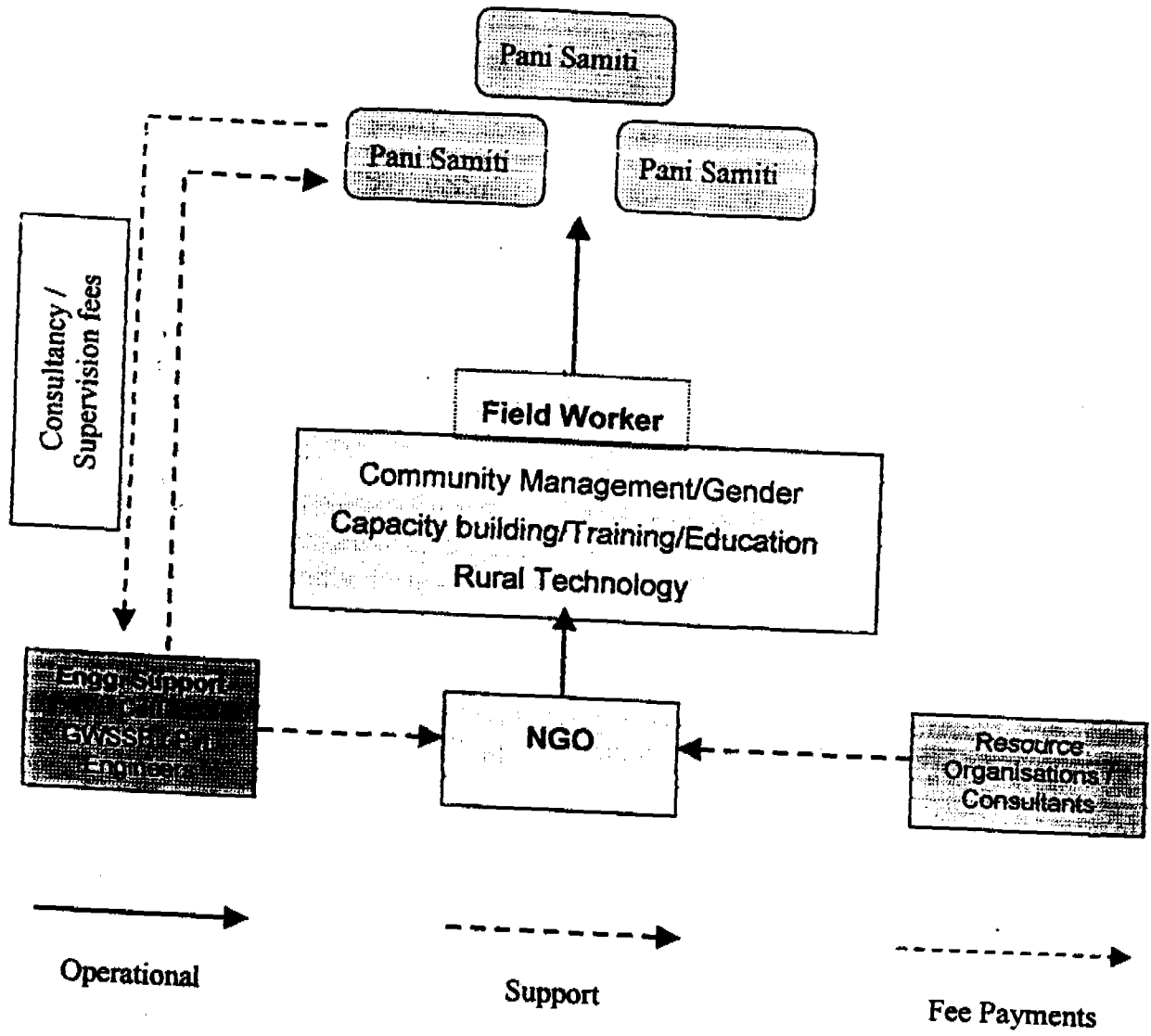
Figure 9.2

Community Support System

WASMO would simplify the design of village engineering water and sanitation works by establishing a system of unit designs and costs for alternative sizes supported by common design approaches for facilities to the extent possible. At the same time, flexibility would be incorporated allowing for the use of alternative local materials and approaches for the implementation of works and in particular, for sanitation and water resource works. This will be an initial task for the Engineering Support Cell.

9.3.3 Panchayat Raj Support

The Programme is also to be seen as part of the Panchayat Raj development process; not in isolation from this. The District Panchayat Development Committee is responsible for coordinating all Panchayat development activity in the district. There will need to be Programme liaison with the District Panchayat, through the Taluka Panchayat, since the village Pani Samiti as a sub-committee of the Gram Panchayat, is involved. It is assumed that Programme planned coverage for each village will need to be included as part of the District Panchayat annual development Plan. However, the relationship between the Programme and the Panchayat system is anticipated to be one of mutual benefit and planning information flow, rather than regulatory.

9.4 Implementation Coordination, Monitoring and Support

Coordination, monitoring and support for implementation of the Programme at village level together with the facilitating support of NGOs and Engineering Support Cells will be provided by the Coordination, Monitoring and Support Units (CMSU) shown in Figure 9.1. The Units will have no Programme implementation responsibility and hence be operationally independent from the NGOs and Engineering Support Cells. The Units would be established as district based Programme specific units of WASMO with initially, the wider sector objectives of WASMO peripheral to their Programme responsibilities. The latter may assume greater significance toward the end of Programme implementation when the benefits of Programme experience could be drawn on. Initially, it will be important to not divert the Programme focus of the CMSU with the risk of compromising its performance.

9.4.1 Roles

Coordination – this role will require the CMSU to ensure that the Programme in its area of responsibility is fully established with the required number of NGOs in place and functional together with supporting services and that these continue to be fully functional. If not, then corrective action by the CMSU will be required. The CMSU will additionally be responsible for coordinating with the district panchayat administration and as necessary, with relevant government departments. It will keep both informed of the Programme and its progress and attending to specific problems that might arise. In doing this, the CMSU would promote the Programme, its sector objectives and achievements. In this latter role, it would be representing WASMO and its wider sector role.

Monitoring – monitoring the physical and financial performance of the Programme will be a primary responsibility of district based Coordination, Monitoring and Support Units. This will involve NGO preparedness and facilitating performance effectiveness, the establishment and development of Pani Samiti and village communities, their progress achieving community management and implementation capacity and achievement of performance mileston and the establishment and performance of Engineering Support Cells. Programme monitoring requirements are considered in detail in Chapter 13.

Support – this essential function of CMSUs is designed to ensure that village level implementation receives all necessary and timely organisational and procedural support from the

Programme, thereby largely restricting implementation delays to village related factors. There are Programme and village level support components.

The establishment of NGO support to villages will involve Programme orientation for new NGOs, instruction and training on the Programme implementation concept and methodology in support of village communities and the monitoring, reporting and administrative responsibilities of NGOs and systems to be used. Ongoing training and guidance will be provided NGOs during Programme implementation on the basis of perceived requirements and performance monitoring results. This will include bringing NGOs together on a regular basis to share and compare experiences and results and analyse common problems and issues being experienced.

Village level support by the CMSU will be directly through prompt processing (and approval) of village Action Plans with supporting budgets and the achievement of community management milestones. Indirectly, village level support will be through ensuring NGOs are adequately set up with well trained and competent Village Support Unit staff and Field Workers and that the services of competent Engineering Support Cells are available to drawn on.

CMSU support to Engineering Support Cells will also involve Programme orientation for new Engineering Support Cell personnel (both core team and supplementary), instruction and training on the Programme implementation concept and methodology in support of village communities. Instruction and guidance on monitoring, reporting and administrative responsibilities and systems to be used for Cell operations will also be given.

WASMO Head Office will initiate much of the early establishment support activities with CMSU personnel initially involved as trainees. Subsequently, CMSU personnel will assume responsibility for most Programme coordination, monitoring and support requirements.

9.4.2 Organisation

The Programme will meet the operational costs of CMSU. They will have no involvement in or direct responsibility for implementation of the Programme.

Initially only the one CMSU will be required to support the proposed Phase One activity of 200 villages and four NGOs. For Phase Two of the Programme, two more units are envisaged. The staff structure proposed for each unit reflects its coordination monitoring and support role. That proposed is:

Unit Manager
(sector and monitoring experience)

Programme Monitoring and Support Group
- Community Management (1 person)
- Technical Support (1 to 2 persons)
- Training and Education (1 person)
- NGO Support (1 person)

Finance and Accounts Officer
(1 person)

The staffing disciplines are determined by Programme requirements. Staff of the CMSU will need to be mobile. To physically visiting villages and NGOs to verify progress and claims first hand will be an essential function for all staff. They will represent the 'face' of WASMO to Programme communities and as such will have an important promotional role. CMSU personnel need to visit villages with the results of village Action Plan and budget assessments and discuss these as necessary with the Pani Samiti (and community).

Personnel expertise and roles is proposed to involve the following:

Unit Manager – needs to be a person with wider sector experience (not just engineering), demonstrated management abilities, knowledge of monitoring processes and at least 10 years professional working experience. The Manager will be selected for his/her personal qualities and abilities as much as for his experience. The position needs to be advertised with applicants from the private sector, institutions and government to be considered on merit alone. Applicants from all sources need to be treated on the same financial basis. Particular responsibilities will include:

- Coordination of all Programme activities for the area covered by the Unit
- Management of the Programme Monitoring and Support Group activities
- Ensuring Village Action Plans and budgets are promptly processed and approvals reported
- Ensuring Programme fund flow to all parties and villages is not hindered
- Ensuring acceptable performance and financial accountability is achieved by all parties
- Monitoring the performance of the Engineering Support Cell
- Providing ongoing training and support to NGOs and the Engineering Support Cell
- Identifying and arranging specific training and support requirements for the Programme
- Preparation and presentation of CMSU annual Action Plans and Budgets to WASMO Head Office for approval
- Managing a Programme Management Information System up to CMSU level
- Reporting and accounting for Programme activities to WASMO Head Office

Programme Monitoring and Support Group – the Group will comprise four to five persons, depending on CMSU workload (number of villages to monitor). Common monitoring responsibilities of the Group will include:

- Introduce the Programme to each village together with the supporting NGO
- Assess and verify progress with establishment of community management capacity and
- achievement of progress milestones in each Programme village
- Appraise submitted Village Action Plans and budgets for concordance with Programme objectives, implementation approach, ability to be achieved, technical feasibility and proposed cost.
- Assess community management performance and verify progress with Programme implementation activities (technical and non-technical) in each village
- Assess and verify the completion of village implementation activities and preparedness for ongoing use, care and sustainability of facilities and practices established
- Assess Pani Samiti financial record keeping and verify financial accountability
- Routinely monitor the capacity and performance of NGOs and Village Support Units
- Appraise monitoring and progress reports of NGOs

It is anticipated that this work will involve visiting each village once every four to six weeks on average with mostly, only one or two members of The Group visiting villages at a time. Visits will be expected to be for a minimum of half a day including travel time. NGO staff together with the Pani Samiti need to be present when CMSU members visit villages by arrangement. On other occasions, they may also make unannounced monitoring visits.

Community Management Support – this person would have specific working experience with development project work involving community participation and preferably, community (participatory) management of community implemented improvements. The person needs a good understanding of participatory community development techniques and social and cultural understanding of rural communities and preferably, Gujarat rural villages. They need to have a good understanding of the requirements for effective community development work and the pitfalls to avoid. Specific support responsibilities will include:

- Provide guidance and support to NGOs for community management issues arising
- Assist and/or guide the development of community management systems and documentation
- Ensure reasonable concordance in community management understanding and approach between NGOs working in the Programme
- Provide orientation training for people entering the Programme on the significance and form of Programme community management
- Assist with the training of Programme personnel on all aspects of community management
- Liase with the Engineering Support Cell on the features, requirements and significance of the community managed implementation of water improvements
- Introduce people and organisations outside of the Programme to community management and its significance as applied within the Programme
- Assist WASMO Head Office with the development of documentation on community management for sector application

Training and Education Support – an important feature of the Programme will be the need for reasonably uniform training and orientation of all Programme personnel including NGO staff. This person would be responsible for ensuring that this is achieved by organising initial orientation sessions and training for all personnel working with the Programme. CMSU personnel will run these sessions with specialists recruited for specific topics. The person providing training and education support would additionally support and monitor NGOs for the subsequent training of their field staff. Specific support responsibilities would include:

- Provide guidance and support to NGOs for training and education issues arising
- Assist and/or guide the development of training and education systems and documentation
- Ensure reasonable concordance in training and education requirements and approach between NGOs working in the Programme
- Organise orientation training for people entering the Programme.
- Organise necessary training and education for Programme personnel on all aspects of the Programme
- Ensure that hygiene education is adequately organised and effectively delivered
- Assist WASMO Head Office with the development of documentation on training and education for sector application

Technical Support – two persons are proposed for this role. One would have experience organising and implementing village level water supplies, both pipe and traditional and the other experience with the development of traditional village level water resource and conservation systems. It is anticipated that between the two, they would have experience with environmental sanitation systems. For all topics, there would be opportunity to access supplementary specialist expertise. Emphasis will be placed on the recruitment of personnel with practical 'hand-on' technical experience. Theoretical engineering capacity will be a secondary consideration. Specific support responsibilities will include:

- Provide guidance and support to NGOs for technical issues arising
- Assist and/or guide the development of technical solutions and documentation
- Ensure reasonable concordance in the understanding and application of technical solutions between NGOs working in the Programme
- Provide orientation training for people entering the Programme on the technical significance, approach and relevance of applicable technologies for the Programme
- Assist with the training of Programme personnel on the technical features and requirements of the programme and in particular, technical members of Village Support Units and village Field Workers

- Liase with the Engineering Support Cell on Programme technology and approach, village technical issues arising and community management features and requirements involved
- Introduce people and organisations outside of the Programme to technical approach adopted and its significance within the Programme
- Assist WASMO Head Office with the development of documentation on Programme technology and approach for sector application

NGO Support – this person would have particular responsibility for supporting the overall operations of Programme NGOs in support of village communities. They would have expertise and direct experience in the operations of NGOs working in the water and sanitation sector. Specific support responsibilities will include:

- Provide guidance and support to NGOs for Programme issues arising
- Assist and/or guide the development of Programme systems and documentation of significance to NGO Programme operations
- Ensure reasonable concordance in all aspects of facilitation support to village communities between NGOs working in the Programme
- Assist with orientation training for NGO personnel entering the Programme
- Assist with the administrative management of NGO involvement in the Programme
- Assist WASMO Head Office with the development of documentation on NGO support to the Programme

Finance and Accounts – this person would be responsible for maintaining the internal accounts of the CMSU primarily concerning the receipt of Programme grant funds and recording of CMSU expenditure. They would also guide and assist with assessment of Village Action Plan annual budgets and the subsequent accounting for Pani Samiti grant funds received and expenditure made. They would be a qualified accountant from the private sector with knowledge and experience of both typical NGO and Panchayat accounting systems. The deputation of an accountant from the government sector would be considered inappropriate because of their anticipated limited experience of alternative accounting systems. Specific responsibilities will include:

- Provide guidance and support to NGOs for Programme financial issues arising
- Assist and/or guide the development of financial management systems and documentation
- Ensure concordance of financial management systems for NGO operations in support of the Programme
- Provide orientation training for NGOs entering the Programme on the nature and form of Programme financial management systems
- Assist with the training of Programme personnel for Programme financial management
- Liase with the Engineering Support Cell on the financial features of their support service to the Programme

9.5   Programme Coordination and Policy

9.5.1   Programme Establishment

Coordination of overall Programme activity and initial establishment of the Programme will be the responsibility of the WASMO Head Office. This will be as an extension of their wider responsibility for sector development in Gujarat. The initial ability and capacity of WASMO will be crucial for an early start to the Programme. The range of Programme related start-up tasks to be undertaken in a relatively short time will be considerable. This will be additional to establishing and setting up WASMO's internal operational systems. WASMO's capacity for this work is presently very limited.

Some of the establishment activities required to get the Programme under way will include:

- Programme approvals by Government and establishment formalities between governments (GOG, GOI and GON/RNE)
- Establishment of the first CMSU together with development of operational guidelines and requirements
- CMSU staff recruitment with roles and responsibilities detailed
- Identification and recruitment of first NGOs together with supporting processes and documentation
- Community management orientation documentation and process guidelines
- Programme training and education design and preparation
- Development of Memorandum Of Understanding for Pani Samiti agreements with WASMO, together with related guidelines
- Guidelines for village Action Plan and budget preparation
- Village Action Plan and budget approval procedures and guidelines
- Physical and financial monitoring systems and guidelines for the Programme
- Programme management and reporting processes and guidelines
- Design and preparation of a basic Programme MIS system with guidelines
- Programme funding procedures and guidelines
- Establishment of the Engineering Support Cell, operational guidelines and fee rates
- Guidelines for the use of ESC services

It will be essential that this preparation work is done in the context of the relative autonomy of WASMO and to ensure systems and procedures developed are appropriate for actual Programme needs. At the same time, these should not encroaching on the freedom of Pani Samitis and NGOs to use/develop systems for their own internal operations providing overall Programme objectives and standards are met. All systems and procedures need to be easy to apply and understand, be flexible in application and readily managed. Borrowing or adapting systems and procedures originally designed for other situations needs to be avoided.

9.5.2 Coordination

Programme coordination will be the principle role of the WASMO Head Office that will have overall responsibility for the Programme. Initially, this would be exercised through the first CMSU, but would later involve two or more CMSU to be coordinated within the Programme. There will be no implementation role for the WASMO Head Office. Programme related coordination roles for the Head Office would include:

- To have the Programme formalised by Government and for funding, with the Governments of India and the Netherlands.
- To initially set-up the Programme with required organisational arrangements put in place
- To identify and contract Programme NGOs as required
- To develop required operational documentation and systems
- To plan and organise Programme coverage and development
- To back-stop CMSU coordination, monitoring and support Programme operations
- To establish and maintain functional Programme fund flow systems
- To establish and operate Programme operational monitoring and reporting systems
- To be responsible for the use and function of an overall Programme MIS
- To actively liase with and guide available External Advisory Services
- To advise Government on Programme progress and issues requiring government support
- To prepare funding reimbursement progress reports and funding claims

Although having no direct implementation responsibility, the progress and success of the Programme will very largely depend on the coordinating lead and support provided by WASMO Head Office. A positive, creative and functional enabling environment will need to be fostered by Head Office to engender confidence in all parties participating in the Programme. The relative functional autonomy provided for WASMO must be fully utilised to avoid the problems of past programmes. In its coordinating role, WASMO needs to establish the Programme so as to minimise opportunity for bureaucratic procedural delays, indecisiveness and resource and fund flow restrictions while still ensuring simple but effective performance and financial accountability.

9.5.3 Head Office Personnel

The personnel composition of WASMO Head Office would normally be outside the scope of this Programme in that WASMO would be expected to be established and fully functional. However, as the establishment of WASMO will proceed in parallel with setting up the Programme, the disciplinary composition of WASMO Head Office personnel is considered with reference to the needs for Programme support. The following basic organisation is suggested:

Sector Manager

Sector Support	Operational Support
Development Strategies and Policy	Monitoring and Reporting
Community Managed Development	Financial Operations
Technological Development	Administrative Operations
Human Resources Development	Sector Communications

In that there would be district based support from the Coordination, Monitoring and Support Units, the Head Office organisation could initially be kept compact with a single person representing each disciplinary area. This could of course be expanded together with support staff when specific future need is identified. All positions, both sector and operational support, would be concerned with sectoral and Programme development activities with some initial emphasis on establishment requirements for this Programme. The experience and roles of each are briefly seen to include:

- **Sector Manager** – wide sector related management experience covering the full breadth of disciplines involved – not just engineering. A person able to develop the autonomous organisational operation foreseen for WASMO in a responsive and innovative manner. A good team manager and coordinator with ability to present and promote concepts and ideas.
- **Development Strategies and Policy** – a planner with an understanding of the sector and experience in policy, programme and institutional development. A good conceptualiser with a basis of real life practical experience.
- **Community Managed Development** – a person with in depth experience with the community management of and participation in development projects, with at least some experience of the sector. The person would be well-grounded in sociological techniques and be sensitive to development issues of gender, women and disadvantaged groups.
- **Technological Development** – a technologist/engineer with knowledge and practical experience of the full range of water supply, water resource and sanitation technologies.
- **Human Resource Development** – a person experienced in development programme training and education for all levels, the range of techniques available and preferably, with sector related experience.
- **Monitoring and Reporting** - a person with first-hand experience of Management Information Systems, other monitoring techniques, complementary progress reporting requirements with ultimate objectives of effective performance and financial accountability.

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- <u>Financial Operations</u> – person to be responsible for directing the flow of development funds through WASMO and the development of flexible and simple financial accounting systems appropriate for the Programme and the autonomous status foreseen for WASMO.
- <u>Administrative Operations</u> – a person with experience of a range of administrative systems and the ability to support/develop simple and readily managed functional systems compatible with the autonomous status foreseen for WASMO.
- <u>Sector Communications</u> – a role not initially required but with time would assist WASMO to disseminate its sector reform advice and guidance to best effect.

The importance of recruiting staff of appropriate experience and demonstrated competence for these positions has to be emphasised. As a rule of thumb, 'good performers' are an order of magnitude more effective and productive than 'average performers' while 'average performers' are infinitely more effective and productive than 'poor performers'. It would be wise to target the total market when looking for the above people – government, institutions and private sector. WASMO is going to need the most productive and effective people it can find if it is to establish itself, set up this Programme and in turn, meet its wider sector objectives

9.5.4 <u>Policy</u>

The primary object of WASMO is to support and foster the sector reforms for India that GOG have accepted and intend to apply. This Programme provides opportunity for facilitated decentralisation and community management objectives of the intended sector reforms to be applied in practice, possibly for the first time on a Programme basis. It is an important opportunity to 'learn from first hand experience'. Experience and feedback from the Programme is anticipated to significantly benefit the sector and as such, contribute to the adaptation and consolidation of sector policy for Gujarat and thereby strengthen WASMO's future capacity to support the sector.

9.6 Programme Support

9.6.1 <u>Government of Gujarat</u>

Government, both GOI and GOG, will support the Programme through the sector reforms adopted and Programme fund flow. Government will be required to ensure that regulatory and procedural needs are provided for and to help resolve fundamental Programme problems and bottlenecks that WASMO can not resolve on its own. A critical area of support will be to ensure that the Programme can get underway promptly and that supporting Government resources and funds are made available.

9.6.2 <u>Task Force</u>

In view of the innovative nature of the Programme, the newness, alternative autonomous set up and objects of WASMO and the sector reforms recently adopted by Government, it is proposed that the establishment of a Task Force of senior personnel would provide the following Programme and WASMO/sector benefits:

<u>Programme</u>
- Initially support the Programme and advise Government of specific Programme requirements needing Government attention and/or to resolve procedural/funding bottlenecks
- To monitor Programme performance and advise Government of sectoral significance
- To recommend improvements and/or changes to the Programme concept/approach
- To provide advice and guidance for improved Programme operation

<u>WASMO and Sector Reforms</u>

- To monitor the establishment of WASMO, identify limitations and problem areas and recommend improvements to Government
- To monitor the performance of WASMO in support of sector development and advise Government
- To observe the application and progress of sector reforms in Gujarat and advise Government accordingly with beneficial recommendations when required
- To foster and support the process of sector reform and the incorporation of lessons learnt from sector experience (and this Programme)

The membership of a Task Force for this purpose should be representative of sector interests and include a mix of senior government personnel (with capacity for deputised representation), institutional representation with sectoral expertise and representation from sector users (community/panchayat and irrigation most notably). Initially, Task Force membership could be kept relatively small with a WASMO and Programme establishment focus (say 6 to 8 members), although still having representation from the three principle groups identified. Membership could be later expanded in accordance with sectoral need. The Government of Netherlands could be invited to attend as an observing member. The Task Force would typically meet six monthly. It would be a critical role of WASMO to effectively brief the Task Force, provide progress and monitoring information and provide general and secretarial support. The Task Force would be encouraged to additionally make its own field observations.

9.6.3 Government of the Netherlands

The proposal anticipates that the Government of the Netherlands will support the programme through grant-aid funding and the provision of External Advisory Service support. This latter is considered in Chapter 14. The particular attraction for the Netherlands Government is the adoption of sector reform by the Government of Gujarat and the establishment of WASMO to effect the decentralised sector reforms. That this Programme represents an opportunity for the sector reforms and WASMO objectives to be applied in practice is of interest to the Netherlands Government.

10. PROGRAMME OPERATIONS

10.1 Functional Simplicity

A dominant feature of Programme design will be its organisational and operational simplicity. The need for complicated operational procedures integrating the implementation and support activities of a multi-layered operationally interdependent organisation is avoided.

Organisationally, the Programme is made up of discrete groups, each independently responsible for part of the Programme's operation and their own internal administration while still working within an overall coordinated programme framework. This is exemplified in Table 10.1.

Table 10.1
Functional Independence of Programme Groups

Group	Number	Programme Role – Internal Operations
Operational		
WASMO Head Office	One	Programme coordination, planning and fund flow – own internal organisational management, administration and funding
NGOs and staff.	Several	Facilitating support to village communities – own internal organisational management, administration and funding
Pani Samiti/Panchayat	Many	Community managed implementation of improvements – own internal organisational management, administration and funding
Support		
Coordination, Monitoring and Support Unit (CMSU)	Few	Programme approvals, performance and financial monitoring – own internal organisational management and funding; administration linked to WASMO Head Office
Engineering Support Cell (ESC)	One	Programme support on request for engineering guidance – independent organisational management, funding from fees, minimal administration – linked to CMSU
External Advisory Services (EAS)	One	Programme assistance and development support through WASMO Head Office – own internal organisational management, administration and funding

10.2 Planning

The fundamental Programme planning and operational unit is each village Pani Samiti and community with their Programme Action Plan and budget. The greater Programme is made up of the many of these functional units that are all independent of each other. There is need for planning coordination for the provision of NGO facilitating support to villages and related supporting resources. The problems of detailed integration of resources and implementation activities are much reduced.

The principal planning requirement will be the sequencing of Programme coverage of villages throughout the Programme area by WASMO to allow for effective logistical operations. The rate of coverage will be determined by the time and effort required with each village and the ability to mobilise effective NGO supporting capacity. The recommendation that a 'learning phase' be built into the Programme was earlier identified.

10.3 Procurement

The design of the program is such that there is very little procurement (purchase) of materials to be done by WASMO, the CMSU or NGOs. For these organisations, procurement will be restricted to items required for their own internal operations and establishment. This reduces the complexity and formality of Programme procurement and storage. However, some procedures may be required at Pani Samiti level.

Pani Samitis: Pani Samitis will mostly enter into contracts with materials supplied. This will obviate the need for tracking material purchases and consumption. Where this is not feasible, procurement procedures have to be appropriate to the capacity and environment of the Pani Samitis. It is important that Pani Samitis are allowed space and time to develop their own basic but effective procedures, rather than have these imposed on them. In some cases, the Pani Samitis may entrust this to personal supervision and approval of a trusted person. This may appear to be heretical initially, but it is necessary to understand that complex procedures are required only for large organisations, where there is a gap between ownership and execution.

In view of this, it is suggested that Pani Samitis may consider designing their procedures along the following lines:

- Purchases decisions above a certain amount (say Rs.5,000) to be made only with the consent and involvement of three persons from the Pani Samiti.
- Such purchases are supported by a cash memo/bill and delivery slip/challan.
- The payment is made only by account payee cheques/draft.
- A stock register is kept to track items purchased and stocked on site.

For construction contracts, standard formalities and procedures would apply. However, there should not be any insistence on tendering. The Samitis should be allowed to exercise their judgement as to how they would like to go about this.

Both with procurement and construction contracts, Pani Samiti members need to avoid conflict of interest. Where any purchase/contracting is to involve a Pani Samiti member's business (or a relative), then this needs to be disclosed. The Pani Samiti member should also not participate in the decision-making related to this.

10.4 Financial

10.4.1 Flow of Funds

Both Government and Netherlands funds will pass from GOG to WASMO Head Office that will be the disbursement point for funds received. WASMO will disburse funds in three categories:

- Village development funds
- Programme facilitation funds
- WASMO operational funds

The flow of Programme funds is shown in Figure 10.1.

Fees

Pani Samiti

Village
Panchayat

Field Worker

Village
Support Unit

ESC

NGOs

WASMO
MSU

WASMO H.O.

Govt. of
Gujarat

Key

——— Operational

– – ▶ Financial

Govt. of India ◀ – – – – – Govt. of
Netherlands
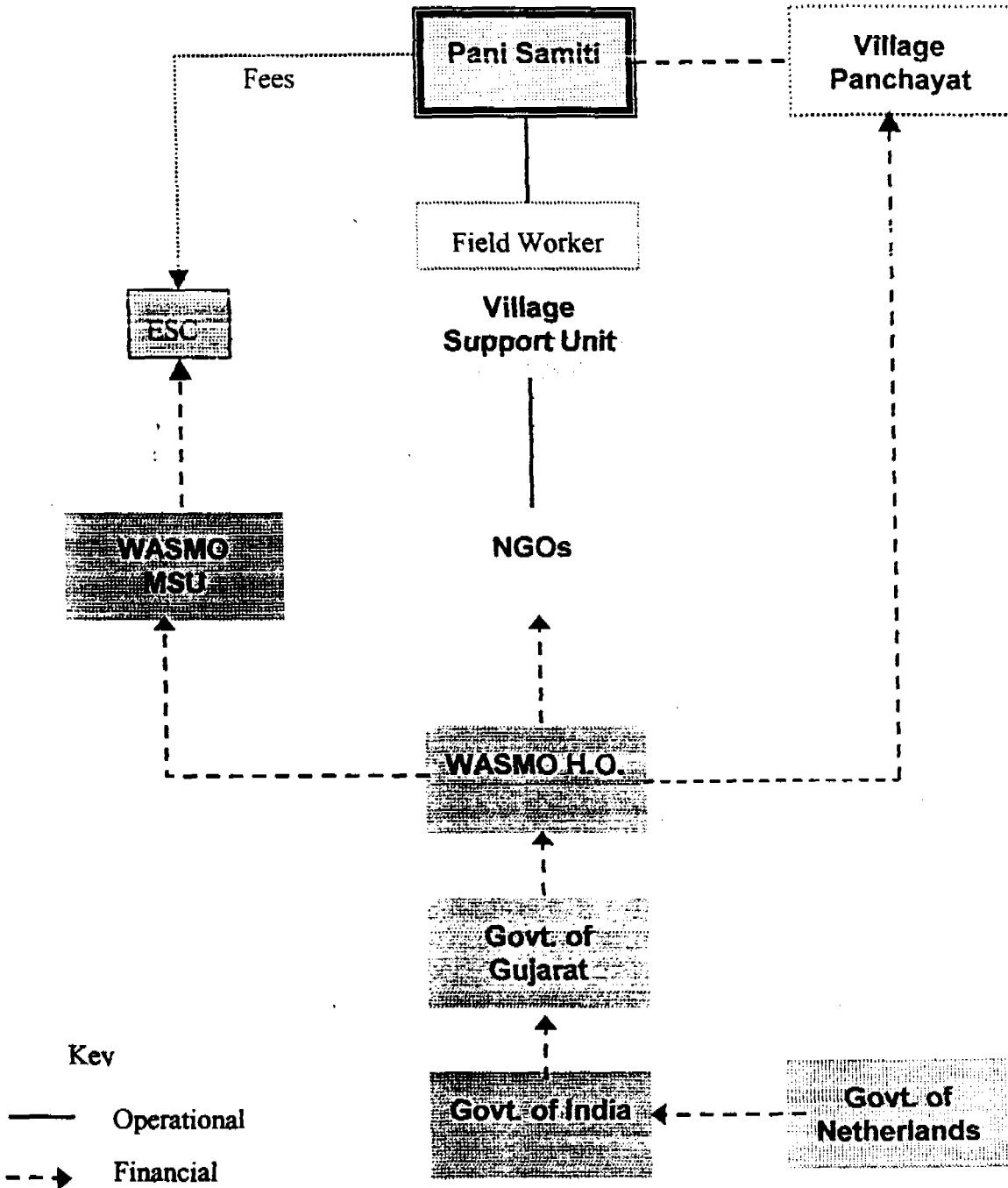
Figure 10.1

Flow of programme Funds

As these funds are coming through GOI, they will not be classified as foreign contribution in terms of exemption contained in Section 30 of the Foreign Contribution (Regulation) Act 1976. These funds can therefore be freely received and disbursed by WASMO, NGOs and Pani Samiti/Gram Panchayats without FCR permission.

There are several reasons for designing the flow of Programme funds in this way.

- Village communities need to execute work and make payments for them to develop a sense of ownership and control. For this, village bodies will receive funds directly for village development works and Pani Samiti overheads direct from WASMO.

- This avoids the complex logistics of centralised procurement and delivery of materials to village locations. It confines WASMO's direct contractual interface with suppliers, contractors and labour to its internal requirements only. Thus, it partially tackles the design constraint related to WASMO being treated as an extension of 'state' at some stage.

- The bulk of Programme funds will be available with Pani Samitis and NGOs. There will be reasonable choice in implementing accounting and control procedures to suit their organisational structure, capacity and operating environment. This is likely to help the project move forward at greater speed. Such flexibility would not be available if these funds were spent directly by WASMO with its genetic proximity to Government accounting systems.

WASMO would make an initial advance operational funds to NGOs and then six-monthly in accordance with the NGOs Programme Action plan and budget. Subsequent instalments would be based on funds spent, balance available and the amount required for the next half-year. A six-month period will help to avoid the possibility of frequent fund flow delays and reduce administrative work for WASMO.

WASMO would initially release funds to Pani Samitis for the first six months. The first instalment would be 10 percent (limited to Rs.25,000) and would be released after each village's decision to join the Programme. This would be by way of an incentive and expression of commitment from the Programme. Subsequent instalments would be optionally advanced quarterly or six monthly depending on the value of work to be implemented, funds spent and balance available. However, Pani Samiti will be required to account for expenditure and report progress quarterly. The release of funds will be linked to the physical progress of work for which the recommendation of the supporting NGO will need to support the Pani Samiti's request.

10.4.2 Pani Samiti

Villages will receive funds directly from WASMO Head Office as grants. However, there may initially be some difficulty handling funds at the village level, primarily because of lack of experience in handling large amounts of funds. Some may also need help and guidance in finalising contracts, where they decide to work through contractors. For the most part, Pani Samitis should with guidance, be allowed to develop their own financial procedures and controls.

Pani Samitis will need to understand that their procedures will have to meet minimum accounting and audit standards including proof/support for all expenses. In some cases, this could be cash memos/bills or hand-written slips. In others, it would be muster rolls or payment sheets. In all cases, the proof/support should be prepared or signed by the payee and there should be sufficient information to identify/locate him or her. It will be desirable that reviewers and auditors focus on the substance (rather than form) of Pani Samiti transaction/accounting documents.

The Pani Samitis will also work out procedures to keep and handle cash. In many cases, they would benefit from existing Panchayat procedures.

The following may help reduce the risk of financial mismanagement at village level:

- Funds to be handled by formally constituted Pani Samitis that function under the Village Panchayats. Where the Village Panchayat is not active or available, an alternative Pani Samiti for the village may be formed and registered as a society.

- The funds should be credited to a bank account in the name of the Pani Samiti. Where required, the bank account can be opened (by a resolution of the Village Panchayat) in the name of 'the Village Panchayat – account Pani Samiti'. This would mean that the Village Panchayat has nominal control over and accountability for the funds, while the Pani Samiti of the Village Panchayat will actually operate the account.

- Once the Pani Samiti has been formed and the bank account opened and this has been confirmed by the Coordination, Monitoring and Support Unit (WASMO) in consultation with the NGO, then the Coordination, Monitoring and Support Unit would advise WASMO Head Office which would then transfer 10% of the grant amount (but not exceeding Rs.25,000) to the Pani Samiti's bank account. This would act as a catalyst in galvanising the Pani Samiti and help get the planning of improvement works and preparation of the village Action Plan under way.

- The rest of the grant funds may be released in 2 to5 instalments, based on actual progress of the work and need for funds, as provided for in the Village Action Plan.

- Pani Samiti may retain a local person or someone from a nearby town to help in maintaining simple accounts for the funds handled by it.

10.4.3 NGOs

NGOs would treat funds received from WASMO as any other grant – no special procedures are required. However, it is suggested that WASMO may ensure that the NGOs do not open a separate bank account or separate cashbook for these funds. This can encourages overlap or dual accounting of same expenses in different project cashbooks. They may account for funds in the main cashbook, and use a separate sub-ledger to help track their use. NGO accounts will need to be independently audited and reported to WASMO.

10.4.4 WASMO

Financial operations for WASMO will be of two broad categories. The more specific needs of ESCs are considered separately.

WASMO Operational Expenses

Firstly, there are WASMO's operational expenses (Head Office and Coordination, Monitoring and Support Units) such as salaries to staff, event costs, overheads etc. These are routine and need no special comment. Those for CMSU can be handled directly from the bank account of each, with the exception that salaries will be paid by bank transfer from WASMO's Head Office.

Grant Approval and Disbursement

The second component of WASMO's financial operations is grant approval and disbursal by Head Office. It is expected that these funds will make up more than 90% of the total flow-through and may amount to Rs.50 crores each year.

WASMO Head Office will control these funds. The funds will be released to NGOs and Pani Samiti on advice of the Coordination, Monitoring and Support Unit. Where feasible, the funds can be transmitted by bank transfer to NGO/Pani Samiti bank accounts. Where this is not feasible, the funds can be remitted by bank drafts favouring the NGO or Pani Samiti. The feasibility of sending these directly to the NGO/Pani Samiti by registered post/courier can also be studied. Coordination, Monitoring and Support Units would be informed whenever funds are transmitted.

10.4.5 Engineering Support Cells

Repair and Reconstruction

Initially, there will be a sub-component for Earthquake Repairs and Reconstruction. Funds for this work can be managed by the first CMSU, taking advantage of the opportunity provided by the autonomous set up of WASMO to develop simpler, less restrictive and more appropriate procedures and systems.

For the repair work, simple procedures should be applied given the nature of this work and need for flexibility and speed. Several teams will handle the repair work. Each team can be given a cash imprest for purchasing materials and paying local labourers/workmen. This can be replenished each time the team reports back to the Monitoring and Support office and submits an account for the amount spent supported by a statement of expenses, cash memos for supplies and muster-roll sheets for labour payments. A sign-off by three prominent villagers (with their names) and the supervising engineer may be obtained as confirmation of the work done, along with photographs of the work. A separate voucher can be prepared for each village, and filed along with the above supporting documents.

For reconstruction work, some may be funded and organised as for repair work while bigger items may be organised with local contracts. For contract work, simple procedures should also be adopted given the need for flexibility and speed of implementation, but without compromising performance and quality.

Pani Samiti Support

ESCs will function on a commercial basis for the support of Pani Samiti in-village improvement works. The ESC will receive payment from Pani Samiti for services rendered. They will also have operational expenditure to be met for which there will always be a time-based deficit between income received and expenditure incurred. There may also be some deficit between collective income and expenditure. The CMSU to which each ESC is attached, will provide initial working capital and also make up any operational deficits from budgeted Programme funds.

10.5 Personnel and Administration

Personnel and office administration for WASMO is greatly reduced in that the bulk of expenditure and operations have been transferred to village level Pani Samitis. The organisation structure of WASMO Head Office and the Coordination, Monitoring and Support Units was

discussed in Chapter 9. WASMO should also invoke its relative autonomy and consider de-emphasising and simplifying formal personnel and administration procedures to allow more flexibility and initiative at the district level.

NGO personnel structure for the Programme was earlier detailed for which no specific or additional administration procedures are needed. This aspect would however, be reviewed at the time of NGO selection.

At the Pani Samiti level, a part-time accountant would be required to write-up account books. Other functions (cash handling, decision-making, and coordination) would be based on existing Panchayat procedures or developed according to need. It may be noted that the economic value of time contributed by the Pani Samiti towards administering the Programme forms a real and tangible contribution by villages.

11. PROGRAMME ACTION PLAN

11.1 Programme Approach

11.1.1 Repair and Reconstruction

A total of 1260 villages in 19 talukas of five districts have been allocated to the Programme on the basis that they were subject to some degree of earthquake damage (refer Table 3.1). Among the 1260 villages, a small number (may be 50 villages) are in need of urgent reconstruction to re-establish at least a basic pipe water supply. In a further unknown number of villages (may be 300 villages), it is anticipated that basic repairs could enable the temporary re-establishment of pipe water supply. In both situations. a general pre-requisite is that the source of pipe supply is functional or can be readily made so.

This work would be used to kick-start the Programme as soon in 2002 as establishment organisation, resources and funds permit. It would be undertaken with the participation of village communities, but not with the management of communities. There will not be time to establish this capacity. Subsequently, the Programme will return to the same communities to carry out the balance of the Programme's objectives.

11.1.2 Phase One Implementation

Application of the Programme methodology on a Programme scale is new and will hence involve an initial learning period when it is put to test. Additionally, WASMO is a new organisation with a new organisational concept yet to be tested. It will have its own establishment uncertainties and difficulties to contend with. Because of these basic limitations, it is proposed that the Programme be implemented in two phases. The first phase will be a 'learning period' for which it is proposed that implementation be restricted to 200 villages.

For logistical reasons, it is desirable that these 200 villages are chosen from a contiguous area with access to a functional district or taluka centre. They also need to provide a reasonable representation of Programme villages and village circumstances. It would be operationally difficult and undesirable during a learning phase, to have selected villages scattered throughout the Programme area.

While it would in principle be preferable to start implementation in all five districts of the Programme area, because the Programme is development orientated, rather than the original reconstruction orientation, there is not the same urgency for coverage. Another one or two years delay for most villages, while very undesirable, is manageable and not critical.

The provisional proposal is that the three contiguous talukas of Rapar (97 villages) and Bhachau (69 villages) in Kutch district and Malia (47 villages) in Rajkot district (total 213 villages) be taken into Phase One Implementation. It is suggested that Bhachau town be used for the first district level operational base for the first CMSU and attached ESC. This selection of villages includes representation from Kutch in the north and an area in the south with a full range of village earthquake damage. Housing in some villages in Rapar taluka were almost completely destroyed while those in Malia taluka suffered little damage. There also several NGOs known to be working in these areas with water and sanitation experience. The Programme may identify reasons for varying this selection.

11.1.3 Phase Two Implementation

It is proposed that Phase Two Implementation in the balance 1060 villages will proceed on the basis of Phase One Implementation experience. Two additional district bases with CMSUs and attached ESCs are envisaged with one logically located in Bhuj and the other in Morbi or an alternative suitable location for work in the affected talukas of the other four districts. As earlier discussed, the full extent of actual Programme coverage to be achieved will depend on the demonstrated performance capacity of the Programme. It will also depend on the number of villages that stay with the Programme and do not withdraw or fall out due to lack of performance.

11.2 The Action Plan

The proposed Programme Action Plan has four components with three representing the staged implementation programme. The components are:

- Programme Establishment (months 1 to 3; duration 3 months) – Programme establishment leading up to introduction of the Programme to the first Programme village.

- Phase One Implementation (months 4 to 21; duration 18 months) – Programme development and learning period with a working target of 200 villages.

- Phase Two Establishment (months 16 to 36?; duration 21? months) – Programme implementation with the balance 1060 villages.

- Repair and Reconstruction (months 1 to 12 maximum; duration 2002) – Special Programme activity to meet residual immediate needs associated with earthquake damage.

11.2.1 Planning Limitations

A number of variables make it difficult to be give the Action Plan a reliable calendar time reference. These are:

Time for formal approval – the earliest that formal approvals for the proposed Programme can be completed is the beginning of March 2001. The stages involved in achieving this time are:

- GOG formally receives Programme proposal from RNE   20 December 2001
- Agreement between GOG and RNE on issues   03 January 2001
- Time for GOG to process   02 February 2002
- Time for GOI to process   02 March 2002
- Sideletter and agreements GON/GOI   15 March 2002

This timetable does not allow for any significant processing delays associated with questions to be clarified and/or procedural matters to be resolved. A more conservative and possibly realistic estimate would be 31 March 2002.

Completion of WASMO establishment formalities – This process started 23 March 2001 with the Government Resolution providing for the establishment of WASMO. Final approval from the Ministry of Finance, GOG is still required and then WASMO needs to be registered as a society. Calendar estimates given for these activities were end of November and end of December 2001 respectively.

Functional capacity of WASMO – the staff of the earlier Community Management Support Unit are nominally fulfilling the role of WASMO pending final establishment formalities. These staff have limited capacity and have been dependent on outside agencies and consultants for much of

the development work associated with the formation of WASMO. To set up this Programme will place additional demands on available personnel.

The ability of WASMO, once formalised, to rapidly build up staff numbers of appropriate disciplines and experience will have a significant bearing on WASMO's ability to get the Programme under way. Out sourcing Programme development components can be done, but experience demonstrates that the risk of product not meeting requirements and expectations may be significantly higher than if developed in house in a coordinated team environment. The exception is to have out sourced personnel work for the duration of their assignment in house alongside the development team.

To pre-empt Programme establishment to gain time with limited resources, key aspects of Programme establishment can be initiated in anticipation of need. For instance, the recruitment of first NGOs for Phase One of the Programme. This initiative is not unreasonable, provided it is kept in time context with complementary Programme development requirements also attended to.

Programme implementation rate – the rate of coverage of villages by the Programme can only be estimated at this stage. It is unlikely to be any faster, but could prove to be substantially slower.

With consideration for these observations, Figures 11.1 A&B shows a provisional Programme Action Plan assuming a mid March 2002 start date. The activities involved in each phase, requirements for their achievement and the possible range of performance for each are discussed in following sections.

11.2.2 Planning Systems

The need for well structured Programme planning with realistic time scales is also emphasised. This will only be realised when there is detailed understanding of the Programme with main task clearly identified and sufficient depth of sub-task analysis made. Only then can time and resources be matched up against task/sub-task requirements. Only by undertaking this level of planning can the full implications and requirements of the Programme be understood.

It would be beneficial to use a Project Management computer programme such as Microsoft Project for this. This of course then becomes an important management tool enabling Programme progress to be tracked in detail and adjustments recorded. The relatively independent discrete grouping structure of the Programme lends itself well to such planning. Consideration can also be given to the introduction of a Geographic Information System to complement this approach to Programme planning and directly support Programme monitoring and reporting systems (Chapter 13).

11.3 Programme Establishment (with milestones)

It is assumed that WASMO will be effectively functional (staff in place and working) by mid March 2002 to enable the three-month duration of this establishment stage to be achieved. It will involve the three primary tasks of Programme Preparation (22 weeks), Implementation Preparation (8 weeks) and NGO Contracting, Orientation and Training (12 weeks). These tasks will overlap as indicated in Figure 11.1A and include the assumption that Programme Preparation will be able to start at least some two months in advance of the Programme being formally established. The tasks are listed together with principle sub-tasks in Table 11.1.

ID		Task Name
1		**PROGRAMME APPROVALS**
2		WASMO Registered
3		WASMO Personnel Recruitment
4		WASMO H.O. Functional
5		Programme Approval/Start
6		**PROGRAMME ESTABLISHMENT**
7		Programme Preparation
8		Implementation Preparation
9		NGO Contracting & Set Up
10		Guidelines/Procedures Prepared
11		NGOs & CMSU Set Up
12		**PHASE ONE IMPLEMENTATION**
13		Community Mobilisation
14		Community Planning Organisation
15		Work Implementation
16		Performance Review
17		Phase Two Decision
18		**PHASE TWO IMPLEMENTATION**
19		Community Mobilisation
20		Community Planning Organisation
21		Work Implementation
22		**REPAIR & RECONSTRUCTION**
23		ESC Set Up & Work Planning
24		Work Teams Organised
25		Repair Work Implemented
26		Reconstruction Work

Timeline columns: Qtr 1, 2002 (Jan Feb Mar); Qtr 2, 2002 (Apr May Jun); Qtr 3, 2002 (Jul Aug Sep); Qtr 4, 2002 (Oct Nov Dec); Qtr 1, 2003 (Jan Feb Mar); Qtr 2, 2003 (Apr May Jun); Qtr 3, 2003 (Jul Aug Sep)

Figure 11.1A

Programme Action Plan

Qtr 3, 2003			Qtr 4, 2003			Qtr 1, 2004			Qtr 2, 2004			Qtr 3, 2004			Qtr 4, 2004			Qtr 1, 2005			Qtr 2, 2005			Q

ID	o	Task Name	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul
1		**PROGRAMME APPROVALS**																									
2		WASMO Registered																									
3		WASMO Personnel Recruitment																									
4		WASMO H.O. Functional																									
5		**Programme Approval/Start**																									
6		**PROGRAMME ESTABLISHMENT**																									
7		Programme Preparation																									
8		Implementation Preparation																									
9		NGO Contracting & Set Up																									
10		Guidelines/Procedures Prepared																									
11		NGOs & CMSU Set Up																									
12		**PHASE ONE IMPLEMENTATION**																									
13		Community Mobilisation																									
14		Community Planning Organisation																									
15		Work Implementation																									
16		Performance Review																									
17		**Phase Two Decision**	Yes																									
18		**PHASE TWO IMPLEMENTATION**																									
19		Community Mobilisation																									
20		Community Planning Organisation																									
21		Work Implementation																									
22		**REPAIR & RECONSTRUCTION**																									
23		EBC Set Up & Work Planning																									
24		Work Teams Organised																									
25		Repair Work Implemented																									
26		Reconstruction Work																									

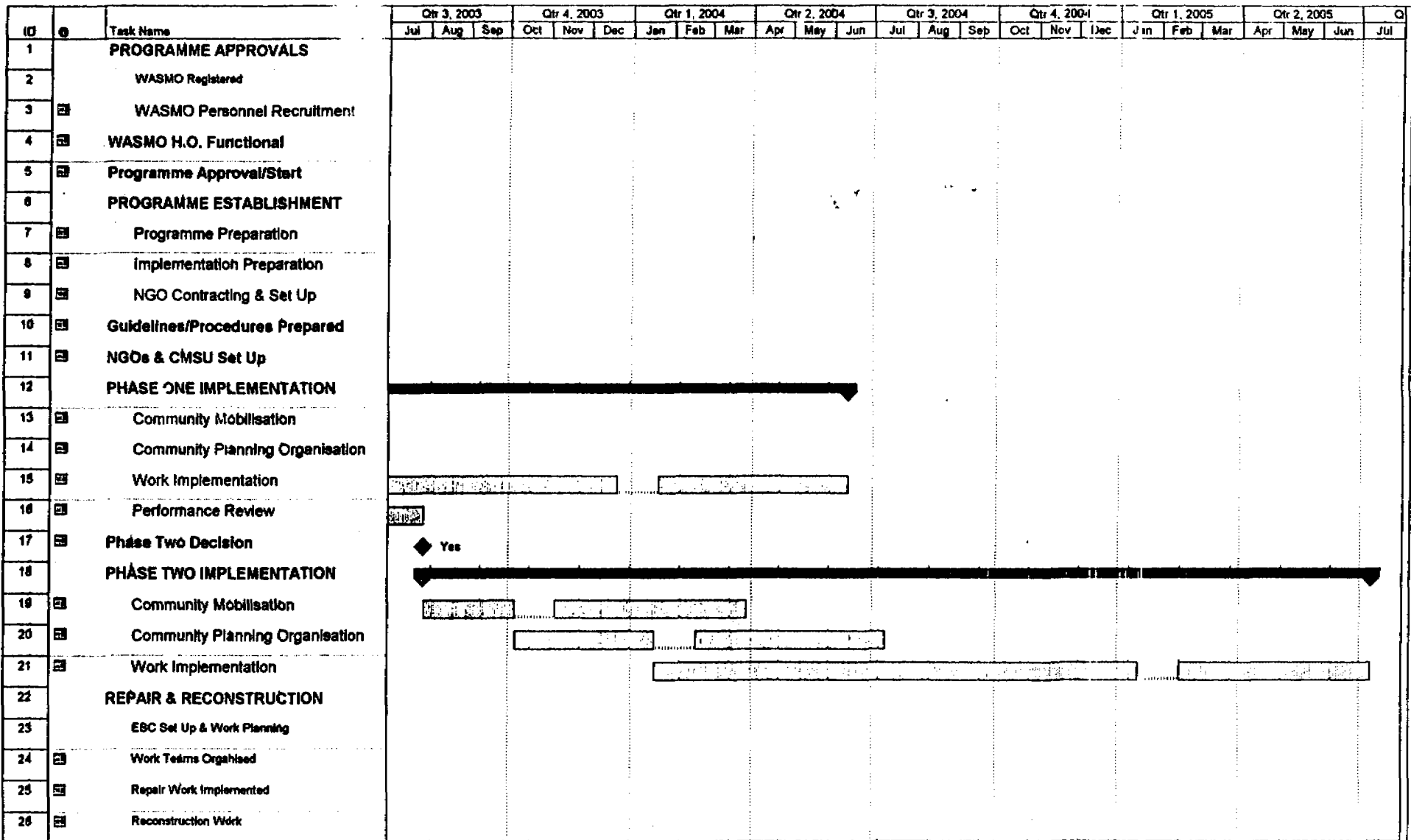## Figure 11.1B

Programme Action Plan

Table 11.1

Programme Establishment Activities

A: Programme Preparation (22 weeks duration)

• Establish detailed roles and responsibilities for all parties involved in the Programme	WASMO	office/district work	3
• Prepare information, documentation and organisation for all levels of Programme orientation	WASMO	office	2
• Prepare Programme orientation and administration documentation for village requirements	WASMO	field + reliable records	2
• Prepare implementation guidelines and administrative procedures for all NGO operations	WASMO	office/district work	6
• Prepare operational guidelines for community management, action plan and budget activities	WASMO	office	4
• Prepare operational guidelines for CMSU monitoring and support activities	WASMO	office	4
• Prepare an initial operational MIS designed for the specific requirements of the Programme	WASMO	office	3
• Prepare a Programme performance and financial accountability monitoring system with operational guidelines	WASMO	office	3
• Set up Programme funding procedures with operational guidelines	WASMO	office	1
• Prepare Programme management and reporting processes and guidelines	WASMO	office	2
• Set up CMSU, recruit personnel and establish administrative procedures and guidelines	WASMO	office	10
• Set up the ESC and prepare procedures and guidelines for use of their services	WASMO	office (+ field?)	8

B: Implementation Preparation (8 weeks duration)

Weeks 1 to 8

• Select working areas and phasing of areas	WASMO	office/district work	1	1	1
• Identify individual villages (concentrating on initial work areas)	WASMO	office/district work	1	1	1
• Identify basic characteristics of initial villages	WASMO	field + reliable records	3	4	4
• Categorise and group villages for NGO allocation in work areas	WASMO	office	1	5	5
• Prepare support action plans for each NGO work area	WASMO	office (+ field?)	3	8	8

C: NGO Contracting, Orientation and Training (12 weeks duration)

• Identify known NGOs (and institutions) with potential to support Programme – local and national	WASMO	office inquiry	1	1	3
• Prepare Programme documentation to support invitations to NGOs - Programme description, objectives outline methodology, NGO selection criteria, budget line items for guidance and work areas with village details	WASMO	office	3	4	
• Establish criteria for selection of NGOs	WASMO	office	1	4	7
• Invite NGOs to quote for work areas based on units of Village Support Teams - respond with information on experience, size and capacity, understanding of Programme, concerns and costs	WASMO	office/advertise	3	7	9
• Assess responses and make independent inquiries	WASMO	office + inquiry	1	8	6
• Assess quotes, negotiate and finalise selections	WASMO/NGOs	office		8	10
• Set-up annual contracts and operational/financial procedures with selected NGOs	WASMO/NGOs	office	1	9	11
• Group orientation and initial training sessions	WASMO	training	1	10	11
• NGOs prepare first year Work Plan for their work areas	NGOs	NGOs	2	11	13
• NGO Work Plans reviewed & approved by WASMO	WASMO	office	1	12	14

Programme establishment is dependent on quality preparation with the importance of well founded good quality preparation for effective Programme implementation to be emphasised. This of course requires functional resources to be in place or accessible, and in particular, personnel with the required expertise and experience. For this, the early functional establishment of WASMO Head Office will be critical. The concurrent establishment of the first Coordination, Monitoring and Support Unit and contracting the first NGOs must also be achieved to ensure the availability of district level support as Programme implementation gets under way. The advance establishment in January of the first Engineering Support Cell with core personnel is required for the repair and reconstruction component of the Programme.

Milestones to be achieved are:

- Programme Approval   to enable the Programme to formally start
- WASMO H.O. fully functional   to enable Programme establishment to proceed

- Guidelines/Procedures prepared   to enable Programme implementation to proceed
- CMSU and NGOs set up   for Programme implementation

If the work required for these milestones is only partly achieved, then implementation of subsequent activities will be compromised with consequent performance limitations Alternatively, the timescale of the programme can be extended while establishment activities are completed. Both are to be avoided.

11.4 Phase One Implementation

It is anticipated that four NGOs will be contracted on the basis of being allocated about 50 villages each. Each NGO will set up two Village Support Units responsible for at least 25 villages each and recruit five Village Workers to work with each Village Support Unit. Village Support Units will introduce villages into the Programme sequentially, although villages may be clustered to some extent for operational benefit. The Programme Action Plan (Figure 11.1A) shows the implementation time for the first village with the first part of each split sub-task with the balance of the sub-task bar indicating the time for the sub-task to be completed in all 25 villages. With each sub-task, six months is allowed for the 25 village overlap additional to the time required for the first village.

A total implementation time of two years is assumed for Phase One Implementation, with 12 months nominally allowed for the implementation of works in each village (refer Figures 11.1 A&B). For responsive villages, it is proposed that some latitude be exercised for works with the Programme prepared to extend this (and if appropriate funds) to enable approved works to be carried out. The concept of additional reward/incentive for productive performance should be encouraged.

The planned times are initial estimates only. During Programme Establishment, these time estimates should be kept under review and if necessary be adjusted to reflect the increasing appreciation of the implementation detail of the Programme. Importantly, time estimates should be reviewed with the NGOs contracted for Programme implementation support both at the start of implementation and through the course of the first twelve months 'learning' period.

One year after the start of implementation, it is proposed that an in-depth review be made of the Programme. On the basis of this review, a Phase Two Decision needs to be taken. This is whether to continue with the Programme into Phase Two Implementation and if so, whether any changes in organisation, procedures, implementation methodology or intended implementation

scale needs to be made. It is proposed that the one-year review time be retained, regardless of the rate of implementation progress achieved. The Programme should not be allowed to drift.

11.5 Phase Two Implementation

The implementation of Phase Two and how this proceeds, will entirely depend on the outcome of the Phase One Implementation performance review (after 1 years implementation). Figure 11.1B nominally indicates a two-year implementation period through to July 2005. On the basis of Phase One planning, nine NGOs and up to an additional 28 Village Support Units (total 36; 8 + 28) would be required. This assumes all of the balance 1060 villages would be covered. In reality, this is considered quite unlikely for the reasons discussed in section 9.3.1.

11.6 Repair and Reconstruction

Preparation for water supply repair and reconstruction work is anticipated to proceed as soon as WASMO has been formalised, with establishment of the core group of the first Engineering Support Cell. It is assumed this, together with organising repair teams and work planning, can be achieved in the first two months of 2002 while the Programme is being formalised. The objective would be to have work start by March 2002.

Repair work would start immediately and continue throughout the dry season attempting to maximise benefits for most needy villages (and save on tanker costs for the Government). Essential reconstruction work would take longer to investigate, design and organise. Provision is made for this to start by May and continue throughout the balance of 2002. This conclusion will coincide with the planned start of the first community managed implementation work. There would be some overlap for the ESC with design and organisational support for the first of the in-village work during the preceding three months.

As well as the direct benefits of the repair and reconstruction work, there would be additional benefit for the ESC in the experience gained form working in and with Programme villages. They would also be able to gather valuable technical observations from villages visited for later use.

12. PROGRAMME COSTS AND FUNDING

12.1 Programme Costs

Programme cost estimates total Rs 24.62 Crore for Phase I, Rs 137.79 Crore for phase II and together total Rs 162.41 Crore for the whole Programme. The make-up of these costs are summarised in Table 12.1 with supporting detail in Appendix 2A for Phase I and Appendix 2B for Phase II.

Table 12.1
Programme Costs
(Rs. Crore)

		Phase I	Phase II	Totals
A:	In-Village Capital Costs			
	Pipe Water Supply Improvements	7.70	· 40.81	48.51
	Less 10% Community Contribution	-0.77	-4.08	-4.85
	Less 5% Salvage Value	-0.39	-2.04	-2.43
	Traditional Water Sources ·	6.00	31.80	37.80
	Sanitation Improvements	4.00	21.20	25.20
	In-Village Running Costs			
	Pani Samiti Overheads	0.48	5.09	5.57
	Initial O&M Costs	0.77	8.16	8.93
	Total In-Village Costs	17.80	100.94	118.73
	Community Support Costs		·	
B:	NGO Facilitation Costs	1.88	17.60	19.48
C:	CMSU Operational Costs	0.91	3.96	4.87
D:	ESC Operational Costs	0.58	2.76	3.34
E:	Repair and Reconstruction #	1.21	0	1.21
	Sub-total	22.38	125.26	147.64
F:	Contingency, Inflation etc @ 10%	2.24	12.53	14.76
	Programme Totals	**24.62**	**137.79**	**162.41**

Note: # Reconstruction capital costs met from village pipe water supply costs.

Total in-village costs represent 73 percent of Programme costs with community support costs 17 percent and repair and reconstruction and contingency 10 percent. The ratio of in-village to support costs is 4.3 to 1.

12.1.1 In-Village Capital Costs

· Pipe water supply improvements (part item A) covers the full range of works involved: i.e. reconstruction (item E works), reconstruction augmentation, augmentation of existing systems and new development works. These estimates are based on the water supply reconstruction estimates made by GWSSB for the 1260 villages of the programme covering source works and all pipe system works including cattle troughs. In keeping with the sector reform objectives, a ten percent contribution form benefiting communities is assumed. A five percent allowance is also

made for the reuse and repair of undamaged parts of damaged pipe systems (salvage value) in the expectation that only damaged components (reconstruction) or components requiring to be enlarged (augmentation) will be replaced.

Estimates for traditional water resources assumes work in all villages with an average lump sum of three lakh provided for each village. Rehabilitation of village tanks has been demonstrated to cost around two lakhs. Sanitation estimates assume soakpits and latrines will be installed in ten percent of households, drainage works in six percent of villages and demonstration sanitation blocks (institutional) and compost pits in all villages.

An allowance is included for Pani Samiti community management running costs and initial assistance with the operation and maintenance cost for facilities while communities adjust to being responsible for all water and sanitation facilities in the village. Fees to be paid by Pani Samiti for the engineering services of ESCs will be met form estimates for capital expenditure of water and sanitation components.

12.1.2 Community Support Costs

For all three categories, namely NGOs, CMSUs and ESC services, there are common expenditure components of salaries and benefits, office overheads, travel costs and capital expenditure on transport (vehicles, motor cycles/mopeds and bicycles) and office equipment (computers, communication, copiers etc.) and furnishing. NGOs and CMSUs will have additional training and meeting costs associated with their work and responsibilities.

A critical component of the programme will be the need for all people working in the field with village communities or needing to visit villages to have reliable transport available to them. To limit this capacity will be to limit the capacity of the Programme to function, with consequent inevitable restriction of performance. However, all personnel will need to be able to demonstrate their effective care and use of Programme provided transport. Similarly, there needs to be functional communication capacity between all parties with the Programme making provision for this to be achieved. Computer equipment is also provided to enable efficient Programme management, MIS and reporting, and effective monitoring of Programme performance.

All three categories have a cost allowance for outsourcing specialists, supplementary engineering services and short-term personnel to meet specific needs. They will be sourced by and work alongside the staff of the concerned Programme organisation. Their inclusion will be provided for in each organisation's annual budget with recruitment under the control of the concerned organisation subject to complying with established criteria.

12.1.3 Repair and Reconstruction

Provision is made for a similar range of expenditure including the purchase of six vehicles, one for each repair team. The vehicles will be passed on to the Phase Two Engineering Support Units. Local labour will be hired to support repair teams with provision for included for purchase of repair materials. The cost of reconstruction work is included as part of the cost of in-village water supply improvements.

12.2 Programme Funding

Should the Government of Gujarat and the Government of The Netherlands jointly fund the Programme, it is assumed that this will be in the usual proportions of 10:90 respectively. For the estimated Programme costs, this would involve:

	Rs Crore
Total Programme costs (rounded up)	165.00
Government of Gujarat and Government of India 10% contribution	16.50
Government of The Netherlands 90% contribution	148.50
Programme Total (Rs Crore)	**165.00**
Programme Total (Million Guilders at 1:20)	**82.50**

In that all villages covered by the Programme are earthquake affected, it is proposed that the Government of The Netherlands seeks the agreement of the Government of India to waive the usual deduction made by Central Government. This would be in keeping with the dispensation that is understood to have been accorded other projects involved with earthquake damaged villages.

12.3   Advance of Funds:

The nature of the Programme necessitates the conditional advance of grant funds to NGOs and Pani Samiti in instalments. Neither party will have the resources to proceed with the Programme using their own resources. The Government of Gujarat will need to make government funds available to WASMO to enable Programme advance payments to be made. To ensure the flow of advance funds, it is suggested that the Government of The Netherlands consider a departure from past practice of reimbursement and initially release an advance to cover Phase One costs to the Government of India and replenish this quarterly on receiving suitably verified expense claims. This would involve adequate financial, physical and performance verification in support of replenishment claims. GON would reserve the right to hold back replenishment payments in the event of receiving unsatisfactory claims. The arrangement would be reviewed for Phase Two.

13. MONITORING AND REPORTING

13.1 Significance

The life force of community based programmes such as this proposed Programme, is the <u>quality and ease of communication and information flow between parties</u>. Further, the effectiveness and adequacy of <u>Programme management and performance accountability are totally dependent on the quality of information</u> available and only secondarily, the quantity.

Information required to be provided in a timely and organised manner with Programme monitoring and reporting systems. In doing so, it is important to differentiate between specific information necessary for monitoring and reporting management and information of a more general nature (data) but useful in providing further understanding and explanation. This latter information is best collected and processed on a survey basis.

Monitoring and reporting systems need to be well thought out, designed for the specific requirements of the Programme (not borrowed and adapted) and involve only necessary information. The temptation to use them to collect additional 'useful information' is to be avoided. They are a management tool.

There are several levels of information management proposed for the Programme:

- Community Managed Information – information generated within villages and processed for the benefit of their management of in-village Programme activities.
- Management Information System – the system to keep track of overall Programme operations and enable effective informed management by all parties at all levels.
- Performance Accountability – the process of verifying physical progress and acceptable expenditure within the Programme to enable continuing fund flow and Programme benefits
- Fund Flow Monitoring – to monitor and account to all Governments for the use of funds together with supporting evidence of planned progress and benefits achieved.
- Programme Reporting – a system of systematic reporting with supporting monitoring results to record Programme progress, problems and decisions and support management meetings.
- Programme Review – by both Government and independent Third Parties to identify issues, help resolve problems and provide objective policy and management guidance.

The Programme has a dispersed design with each village being an essentially independent operational unit within the Programme. The management linkage of a conventional hierarchical organisational structure is not provided. The Programme will use its monitoring and communication systems for this purpose. This emphasises the importance of these systems to the Programme. <u>They must be designed and put in place from the outset of the Programme</u> and not be a task to be done later when the programme gets under way, as has so often happened with past projects and programmes. WASMO Head Office with the support of the first Coordination, Monitoring and Support Unit, will be responsible for ensuring this is done.

13.2 Community Managed Information

Community management of in-village sector systems will result in communities being a primary focus for information flow and performance monitoring both externally from the programme and internally from community members. Internally, much of this will be unstructured through informal observation and discussion but also through community meetings. External monitoring will be structured with a Management Information System basis. The Pani Samiti will be responsible for a limited amount of routine formal monitoring and reporting as part of their management role and responsibility to the Programme.

Basic topics of significance for both informal and formal monitoring will include:

- Progress with Pani Samiti establishment and Programme organisation in villages
- Progress with work organisation and implementation in villages
- Quality of all aspects of community managed Programme activity
- Financial performance of Pani Samiti management
- Adequacy of water and sanitation planning within the community
- Representation of disadvantaged groups within communities

A key feature of the informal process will be the ready access of all the community to the community management process and the information associated. For instance community plans and village Programme financial information can be permanently displayed and regularly updated in the Gram Panchayat office together with regular community and as appropriate, sub-group meetings. These will be key responsibilities for Pani Samiti management. The adequacy of these processes will be monitored externally.

13.3 Management Information System

The Programme Management Information System (MIS) will provide information about Programme performance and provide the information for making Programme management decisions. The MIS uses 'information' that is used for decision making as compared to 'data' collected as historical records for uses other than decision making. The 'system' component is the process of linking Programme organisational components through information exchange between all components.

WASMO Head Office needs to be responsibility for the Programme MIS with district level CMSU having secondary responsibility for their Programme areas. This responsibility will include the evolving design of theMIS, its application and its operational management. It will be kept simple and functional and with design restricting the volume of management information to that required for each organisation group at an appropriate frequency. Too much information and inappropriate information will result in a tendency to not use the MIS beneficially. There must also be provision for effective feedback mechanisms to enable management decisions to promptly reach those concerned.

The MIS must be well planned with the ability to be responsive to Programme experience. The detail of the MIS will evolve and change as the MIS adapts. Someone must be responsible to ensure this can happen. Provision for a WASMO Head Office operational support position responsible for monitoring and reporting has been proposed (section 9.5.3). The MIS must have the following requirements clearly established:

- Statement of Mission and Purpose – a system of Programme information flow to enable informed, timely and integrated management of all aspects of the Programme.
- Objectives of the MIS – to monitor performance and enable management decisions to support and correct as required. Performance will include and relate to availability of resources and funds, quality of organisation and planning, quality of implementation and work, operational functionality of facilities, achievement of benefits and target groups, use of funds and accounting for expenditure, programme support provided and monitoring and reporting. Performance will concern progress achieved, problems arising and fundamental bottlenecks holding the Programme up.
- Strategic Plan for the MIS – needs to be developed as the basis for following conceptual and detail designing of the MIS

- Operating Plan for the MIS – is needed to guide its application, decision making use, maintenance, ongoing development and periodic evaluation.

The structure and initial detail of the MIS will be determined from these requirements with the operational detail further evolving from application experience. The MIS needs to be developed in-house and if external assistance is required, the personnel concerned need to work with WASMO in-house in direct contact with Programme personnel and circumstances. Training of all parties in the operation and management use of the MIS will be an important responsibility of WASMO staff.

13.4 Performance Accountability

13.4.1 Accountability

All parties involved in the Programme will need to be accountable and be seen to be accountable for their performance as organisations and within organisations, as individuals. The MIS system will support this process as an essential monitoring tool. However, an over-riding feature will be Programme accountability in both physical and financial terms. The primary focus of this will be the community managed Programme activity in each village and the need to account for funds advanced and verify that work claimed has been achieved, both in fact and quality. Monitoring this will be the responsibility of the Coordination, Monitoring and Support Units.

For this work, Unit staff will need to visit villages in person and by direct observation confirm claimed information, together with inspection of village records. Pani Samiti will be required to make claims on a quarterly basis reporting expenditure of funds earlier received and progress with the implementation of their Village Action Plan. Their visits will also be important for strengthening relationships at a personal level between the CMSU representing the Programme and village communities.

The significance of this is that it is proposed that each instalment of grant funds to villages be dependent on performance accountability being successful with reference to Village Action Plans.

13.4.1 Financial Monitoring

Coordination, Monitoring and Support Units will routinely monitor Programme funds spent by Pani Samiti in consultation with NGOs. However, NGOs would not be directly involved, as this would be in conflict with their facilitating role, although not affecting their capacity to review the physical progress and quality of community managed work. Similarly, both the WASMO Head Office and the CMSUs will monitor the funds spent by NGOs. Funds spent by CMSUs will be subject to review by WASMO Head Office in addition to internal control through WASMO procedures.

13.4.2 Audits

Funds spent by all Programme organisations (Pani Samitis, NGOs, CMSUs, ESCs and WASMO Head Office) will be subject to financial audit by approved audit firms. WASMO will also have its own internal audit system. WASMO will be able to commission independent audits for particular NGOs and/or Pani Samiti/Gram Panchayats on either random or need basis. Programme funds will also be subject to Comptroller and Auditor General audit. Additionally, the Netherlands Government may commission a financial audit/review by an independent firm, if so desires.

13.5 Fund Flow Monitoring

Continuity of fund flow and working funds held will be of concern to all Programme organisations. WASMO Head Office will need to monitor this routinely on a quarterly basis with all organisations reporting funding status and anticipated funding requirements for the next quarter. This may be done more frequently if found necessary. It would not be an accounting process.

WASMO Head Office would have the important responsibility of monitoring funds being received from Government and if delayed, in following up to assist with resolution of difficulties.

13.6 Programme Reporting

This involves the two complementary areas for reporting of firstly progress and performance and secondly, financial reporting. The organisational pathways for each are similar involving formal and informal processes with the supporting process of information dissemination. The latter is considered further in Chapter 15. The pattern of reporting and information for the Programme is indicated in Figure 13.1.

Figure 13.1

Programme Reporting Pattern

Government   of   Government   of
Netherlands   India

                                          Government   of
                                          Gujarat

        State Newspapers

                                          WASMO   Head
                                          Office

                                          Coordination,
NGOs   Monitoring   and
                                          Support Unit

        District Newspapers

        Pani Samiti

        Gram Sabha

Key:

Formal Reporting   Informal Reporting Information
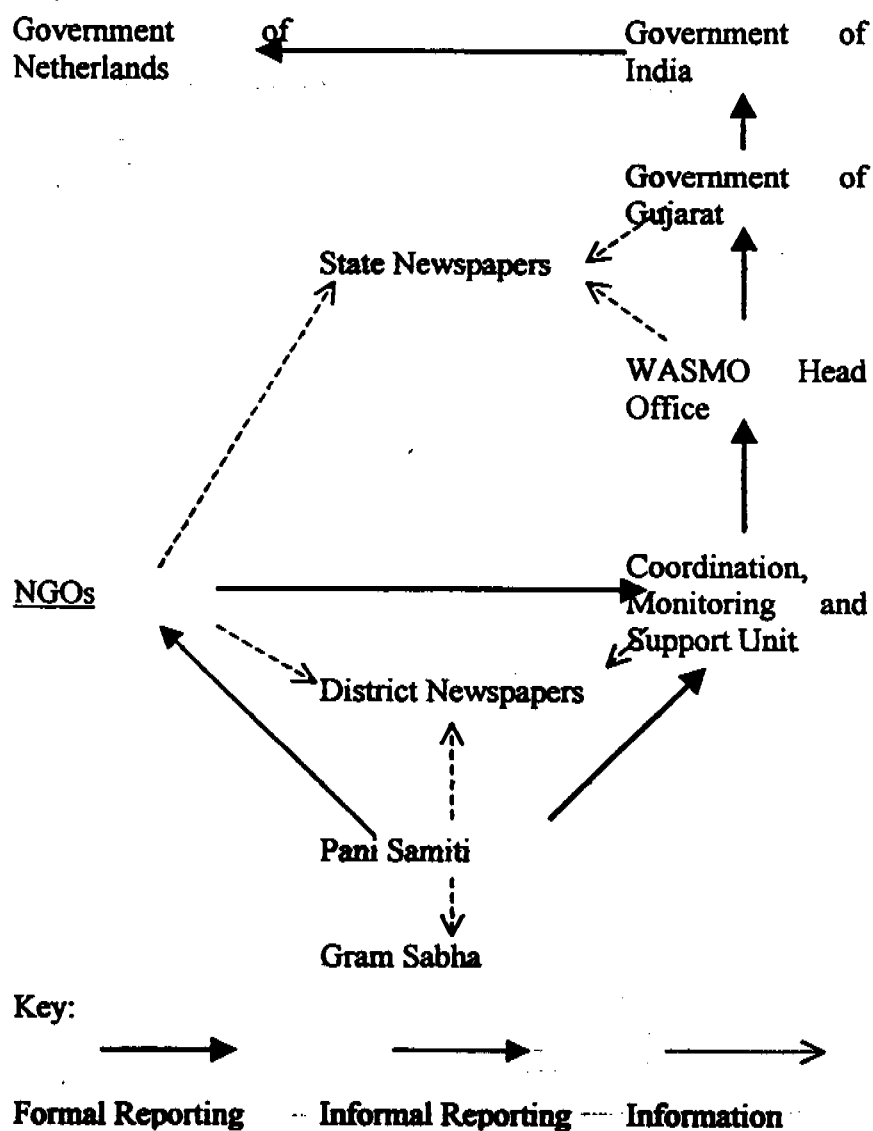
Financial reporting flows back to the source of funds. Progress and performance reporting follows the same path. It is also proposed that there be a strong element of public reporting, and particularly financial, through information paths to ensure Programme transparency and enhance credibility.

13.6.1 Financial Reporting

All Programme organisations will need to make three groups of financial reports:

Three or six monthly Financial	Expenditure Incurred
Status of Funds	
Funds Request (or claim)	
Annual Financial	Balance Sheet
Income and Expenditure Account	
Receipts and payments Account	
Annual Information	Summary Accounts
Summary Narrative	

And report to:

Pani Samiti	Coordination, Management & Support Unit
Copy to NGO supporting the Pani Samiti	
District Newspaper (annual information)	
NGOs	Coordination, Management & Support Unit
State Newspaper (annual information)	
WASMO	Government of Gujarat
State Newspaper (annual information)	

Coordination, Monitoring and Support Units and Engineering Support Cells will prepare similar reports for WASMO Head Office. Reports received by Government of Gujarat from WASMO will be forwarded to Royal Netherlands Embassy and Government of India in accordance with existing procedures.

13.6.2 Progress and Performance Reporting

The reporting of Programme progress and performance will be through a combination of meetings with minutes and the preparation of written reports. A fairly standard process is foreseen while keeping the frequency and purpose of reporting to manageable proportions sufficient to meet the management needs of the Programme. This process will need to be integrated with the schedule of the Programme Management Information System.

A Programme reporting schedule could include:

Organisation	Frequency	Held By/For	Visitors	Reporting	Report To
Pani Samiti	2 weekly	Committee	Field Worker	Minutes	none
	1 monthly	Committee/Panchayat	NGO	Minutes	none
	2 monthly	Community	NGO/CMSU?	Minutes	none
	3 monthly	Committee/Panchayat	NGO/CMSU	Report	CMSU
	Annual	Committee/Panchayat	NGO/CMSU	Report	WASMO/Paper
NGO	1 weekly	Programme Staff	none	Minutes	none
	1 monthly	Programme Staff	none	Report	CMSU
	3 monthly	Programme Staff	CMSU	Report	
	CMSU/WASMO				

Organisation	Frequency	Held By/For	Visitors	Reporting	Report To
CMSU/ESC	1 weekly	Programme Staff	none	Minutes	none
	1 monthly	Programme Staff	none	Report	WASMO
	3 monthly	Programme Staff	WASMO	Report	WASMO
WSMO H.O.	1 monthly	HO staff	CMSU Mgrs	Minutes	none
	3 monthly	Coordination	CMSU/NGO	Report	GOG/GON
	6 monthly	Programme	GOG/GON	Report	GOG/GON

13.7 Programme Review

13.7.1 Government

It has been proposed that a Government Task Force be set up to support the Programme (section 9.6.2). The Task Force should meet at least six monthly, and more frequently if requested by WASMO to help resolve problems and issues arising. WASMO Head Office would provide organisational and secretarial services for the Task Force.

13.7.2 Third Party

The Programme is an innovative one with a strong learning component coupled with the need for substantial establishment activity. It is considered desirable that the Programme adopt a regime of periodic independent Third Party review with the intent of providing objective guidance, assess progress and performance and pinpoint issues. This is additional to the anticipated support of External Advisory Services.

The advantage and potential benefits of objective Third Party review are that the reviewer(s) come in unencumbered by the detail of the Programme enabling them to more clearly see the 'reality' of programme circumstances. Reviews could target the Programme in total, or areas of specific concern to the Programme and its supporters.

A review frequency of every six months is initially suggested for the Phase One period with an in-depth review one year after starting Phase One Implementation (section 11.4). The need and frequency of review support into Phase Two would depend on the outcome of Phase One and lessons learnt.

14.   EXTERNAL ADVISORY SERVICES

There is a clear need for External Advisory Service (ESA) support to the Programme, primarily through support to WASMO Head Office. Terms of Reference for Institutional Support to WASMO for its sector reform support role has already been prepared in anticipation that this will be funded by the Netherlands Government. This proposes that an External Advisory Service team will <u>advise and support</u> WASMO to:

- Develop effective policies and strategies (for the sector reform process)
- Strengthen the organisational and institutional structure of WASMO
- Develop and facilitate community managed RWSS programmes

To provide this service, the Terms of Reference propose a five member team headed by a Senior Advisor with good knowledge of development issues, rural water supply and sanitation sector reforms and the multi-disciplinary nature of these. The other four members are identified as experts in sector related disciplines. These are compared with the basic organisation earlier suggested from this Programme's perspective for WASMO Head Office (section 9.5.3).

Suggested Organisation WASMO HO	Proposed EAS Disciplines
Sector Manager	Senior Advisor
Sector Support	
Development Strategies and Policy	Institutional, Organisational, Policy Expert
Community Managed Development	Institutional, Organisational, Policy Expert
Gender, Programme Management Expert	
Technological Development	Technical Process Expert
Human Resource Development	Gender, Programme Management Expert
Operational Support	
Sector Communications	Institutional, Organisational, Policy Expert
Gender, Programme Management Expert	
Monitoring and Reporting	Financial, Monitoring Process Expert
Financial Operations	Financial, Monitoring Process Expert
Administrative Procedures	Financial, Monitoring Process Expert

The match is both good and appropriate. Consideration could be given to strengthening community management expertise in view of the centrality of this discipline to the sector reform decentralisation objective, although this need may be mitigated with the existing experience of NGOs to be involved. The option of sourcing additional expertise for specific short-term objectives is presumed to be available.

The External Advisory Services proposal is supported and for this Programme to proceed, will be an important supporting component. <u>It would be desirable for this support to be available at the start of the Programme or as soon thereafter as practicable.</u>

The essential complementary input is of course for the WASMO Head Office to be staffed with necessary counterpart staff of adequate quality in advance of the support services being provided. They can only support if there are counterparts in place to support.

15. PROGRAMME COMMUNICATION

The need for formal communication systems between all parties with operational, management, monitoring and reporting purposes and objectives has emphasised by this proposal. Programme specific orientation, training and education are related activities.

The Programme will also benefit from more informal systems of communication. Such benefits would include:

- For the exchange of useful Programme related information
- Sharing of Programme experiences
- Sharing and discussion of Programme problems
- Programme unification and commonness of purpose
- Learning from others outside the Programme

with a variety of informal systems available for such information exchange including:

- Informal community meetings and discussions
- Programme (and other) workshops and seminars
- Field trips to observe programme activities of specific interest and benefit
- Visits between communities to share and learn from each other
- Programme newsletters sharing experiences and views
- Articles to newspapers keeping the greater community informed
- Visiting other projects or being visited by other projects

The Programme concept and sector objectives are new and will involve ongoing learning. WASMO needs to actively encourage and support free flowing communication within the Programme and beyond to the sector in general. This Programme represents an excellent opportunity for this, drawing on the Programme's 'real life' experiences, both good and bad. Done in an open manner, with the transparent involvement of all parties, can only benefit the Programme and the wider sector objective of WASMO.

Benefits to be expected by the different Programme groups would be:

- <u>Community</u> – clearer understanding of water and sanitation issues affecting their village, more confidence resolving these for themselves and improved understanding of how the Programme can benefit them.
- <u>NGOs, CMSUs and ESCs</u> – more competent field staff from sharing experiences and problems and hence better support to village communities; more consistent Programme operation within and between Programme parties with strengthened relationships
- <u>Panchayat System</u> – improved understanding of the Programme by the Panchayat organisation with resultant enhanced support anticipated; potential for Panchayats to take up aspects of the Programme.
- <u>The Sector</u> – ongoing learning about and improved understanding of sector reforms through discussion and exchange of experiences
- <u>The Public</u> – appreciation of what can be achieved through community managed self-help; raised awareness of the objectives and benefits of sector reform; potential of stimulating other communities to do similarly
- <u>Governments</u> – better appreciation of the benefits and issues of sector reform from the perspective of the community and Programme workers; topics needing their administrative attention and support emphasised.

While these observations are positive in nature, it is important remember that information sharing can also have negative outcomes. This can be constructive if factual. It can also be destructive if not factual or manipulated. To limit the latter, it is proposed that communications systems be open and transparent to the extent practicable, and especially within and between Programme partners.

16. ISSUES, CONSTRAINTS AND RISKS

16.1 Issues

The Programme is not conventional and has a number of issues associated and introduces others that it is important to be aware of. These are identified and their significance considered.

New Programme Approach and Methodology – the concept of decentralised community managed implementation of village level sector improvements (demand driven) with facilitating institutional support has been a concept under consideration for some years. However, this is one of the first opportunities to apply the concept on a programme or project scale. It is not proven at this scale, although there are small-scale examples of its success. Notwithstanding this, the alternative of centralised implementation (supply driven) has in so many instances, simply not produced results. The Ghogha project, from the lessons of which this Programme was conceived, is a classical example. 'Learning' will be a fundamental feature, with the phased Action Plan of the Programme providing for this.

Community Acceptance – will the community accept the concept and most particularly, the responsibility offered them? They can not be compelled to accept and it is assumed that at least some may not. The initial response is likely to vary substantially between villages. For many communities, the legacy of dependency on Government may hold them back, they may lack confidence, and they may not trust the novelty of the approach, while others may welcome and rise to the challenge. Community acceptance will very much depend on how the Programme is initially presented to them. This will need care on the part of the Programme, careful preparation and capacity to positively react to community responses. Can WASMO rise to this challenge?

Will Government Let Go? – it is one thing to put forward and support a new concept in principle and another to do so in fact, especially when this involves fundamental changes. Specifically in this case, the transfer of full implementation responsibility to communities, the direct transfer of development funds to the community and the restriction of Programme (WASMO) role to coordination, monitoring and support. In the past, government departments have been reluctant to let go. The transfer of traditional Programme roles and 'ownership' to Village Communities will need to take place. An important part of this will be that the autonomous operational role provided for WASMO is fully enabled with restrictive operational and administrative procedures avoided.

How will NGOs Respond? – the Programme provides a supported opportunity for NGOs to work with and facilitate in-village community managed development. They will need to work within a general Programme framework and follow general Programme guidelines to ensure reasonable conformity in methodology and approach, although this need not restrict their day to day style of operation so long as they produce results. Will they be prepared to adjust and if necessary, adapt their methods of working? Will they accept the accountability required – both performance and financial, and be able to transfer this to village community management? Will they have the experience and capacity for the work and be able and prepared to work to agreed Action Plans and budgets? NGOs wanting to work with the Programme will have to address these questions.

Viable Programme Size and Time Frame – there is no logic to the proposed size of the Programme, other than the number of villages which happen to have been affected by the earthquake. It is a people based programme; not engineering based with inherent technical determinants of design and contract implementation. Village communities as the fundamental operational components of the Programme, can not be manipulated and controlled in the same manner. Their response to the Programme will vary, with some choosing to not start or drop out and others failing to meet Programme requirements and expectations. This is a reflection of the

mix of normal human behaviour. A complementary feature will be the performance capacity of the Programmes facilitating organisational structure. There is little precedent experience to refer to.

For these reasons, the 1260 village size and three-year time frame for the Programme is indicative only. The ultimate size and duration of the Programme will evolve in the light of initial Programme experience – hence the phasing proposed, with Phase Two considered 'adjustable'. There will be particular need for good Programme preparation, quality monitoring systems from the beginning of implementation and performance reviews at key stages. To compromise on these requirements will inevitably lead to implementation delays, problems and most importantly, undermine confidence in the Programme and its objectives.

Who Will 'Own' the Programme? – the psychological ownership of the Programme, the group which becomes actively enthusiastic and emotional about the Programme, can and probably will determine the success (or failure) of the Programme. There are several contenders. The funders – the Netherland's Government; the facilitators – WASMO (and GCG) and supporting NGOs; the managers – the village communities and their Pani Samiti. At this formative stage, it is observed that there is more expression and intensity of 'ownership' by the funders than the facilitators. For the Programme (and WASMO) to proceed meaningfully, this will need to change fast.

Dominant psychological ownership must be rapidly exercised by WASMO for it to be able to undertake the major responsibility of physically setting up and preparing the Programmed. WASMO will need capacity and enthusiasm. Equally however, WASMO is going to later have to systematically transfer much of Programme 'ownership' to communities as each village comes into the Programme. The final dominant owners need to be with village communities. Can WASMO achieve this demanding process of 'ownership' transformation? Will village communities rise to the challenge of final Programme 'ownership'? Finally but importantly, will the funders and supporting EAS resist the temptation of the past, of assuming a share of 'ownership' by doing rather than advising what to do? These are critical questions.

16.2 Constraints

There are several actual and/or potential constraints that may adversely affect the ability to establish the Programme and its subsequent performance are observed.

Establishment and Capacity of WASMO –while waiting for WASMO to be formalised there has been uncertainty and an element of indifference apparent. This is in part understandable in the circumstances. Although initiatives have been taken using external institutions to establish organisational and procedural documentation for WASMO (and its sector role), this has only been partially successful with problems of quality and interpretation of WASMO's intended role and objects. The autonomy intended for WASMO is seen to be at risk. Internally, there has been little pre-emptive effort to work at the preparation of guidelines and operational documentation that will be necessary for WASMO's future functioning.

A specific expectation for this Programme was that it could be established and started as soon as possible in 2002. This will be entirely dependent on the capacity of WASMO to perform in coming months. This will in turn depend on the need for WASMO to be adequately staffed in terms of numbers and experience and abilities required for the work involved and their anticipated counterpart roles to anticipated EAS personnel. Existing staffing does not meet this requirement. The overall staffing requirements and circumstances of WASMO would benefit from in-depth review, including the future role of existing staff. It has been suggested that if this Programme is to go ahead, that an element of Programme focus, as the priority need would be appropriate at this stage.

Government Support for WASMO – this is clearly provided in principle with the Government Resolution providing for the establishment of WASMO and most importantly, the clarity and focus of the objectives stated in support of the new sector reforms. However, it is observed that there is some tendency for these objectives to be watered down, diluted with some loss of focus and clarity as they are interpreted for the purpose of subsequent controlling documents such as the Memorandum of Association for WASMO currently being finalised. There is need to guard against this tendency.

Performance of Pipe Water Supplies – regional pipe water supply schemes will be a dominant source of drinking water for a majority of Programme villages (in excess of 75 percent). However, the capacity of these schemes to provide a consistent and reliable supply has been indifferent, irrespective of earthquake disruption, due to some source limitations, a variety of operational reasons and it is understood, some design limitations. The substantial augmentation and development of this system, with ADB funded improvements about to get underway, is intended to improve the potential for supply. The availability of supply will however, still be very dependent on operational factors. The concern is not whether the constraints of supply will be resolved, but rather to what extent. It is anticipated that some degree of operational constraint will continue for the foreseeable future – hence the security of in-village supply with the use of multiple village sources.

Uncontrolled Irrigation Abstraction of Groundwater – this is a long standing water resource problem that in many areas has been directly responsible for the substantial and in some situations, massive expenditure on pipe water supplies. There are inter-sector economic arguments and related political factors. At the village level however, the reality is that neighbouring farmers have lowered ground water levels by irrigation extraction to the extent the local water sources have dried up and deeper and/or more distant sources have been sought, frequently at substantial cost. This has provided these farmers with an indirect subsidy at the expense of their own village communities and the considerable inconvenience of village women. The problem can not be readily reversed. However, the resource conservation objectives of the proposed Programme provides opportunity to limit further resource loss and even some gain, by encouraging village communities to address the issue themselves – local community management of their resources.

Panchayat Raj Institution – the Gram Panchayat represents the administration at village level with elected members and administrative staff and through it, the Block Panchayat at taluka level and above, the District Panchayat. In supporting village communities, the Programme will be working with the Panchayat system and in particular, the Gram Panchayats – both the elected members with their political leanings and administrative staff. The first constraint is real in that there are no currently elected Panchayats to work with due to extended delays in having panchayat elections in Gujarat. Elections are now planned for December 2001. The second constraint is that after elections, there is the potential for the personal and/or political agendas of elected panchayat members to influence the outcome of Programme activities in individual villages. Should such situations arise, they would have to be managed through Action Plan approval procedures and accountability monitoring systems.

Community Attitudes to Sanitation and Hygiene – these are deeply entrenched in day to day personal and communal practice and are not likely to change without persuasive reasoning on the part of Programme facilitators. This is a fundamental constraint that will not be resolved during the course of the Programme. It is for this reason that a demonstration and 10 percent household target approach is proposed. The objective will be to establish an initial core of improvement, both physical and behavioural, as the basis for a move for change within the community that can subsequently be encouraged to grow under the influence of social pressure.

16.3 Risks

These issues and constraints represent the basis of real risks that have the potential to adversely affect development of the Programme, its implementation progress and ability to achieve its objectives and benefit Programme villages. Foreseen risks together with comment on risk solution/management include:

- That past development lessons will be incompletely applied or even ignored in applying the new approach – regular review will need to monitor for this.
- That the community will only partially accept the Programme – in part dependent on the quality of Programme (WASMO) preparation and presentation.
- That Government will not 'let go' in practice or revert toward established systems and procedures – proposed Programme Task Force to monitor and advise on this.
- That NGOs will not be willing to adapt – reject or apply persuasion as appropriate.
- Programme 'ownership' – the issue must be recognised and worked at with the Programme performance at risk if there is inappropriate 'ownership'.
- That staff of the necessary experience and ability are not recruited for WASMO promptly – Programme (and WASMO) establishment will be seriously compromised with achievement of Programme establishment milestones at risk. In the worst case scenario, there would be grounds for not proceeding with the Programme.
- That regional pipe water supply delivery does not improve significantly or only partially so – this would emphasise the importance of establishing multiple source security with local source rehabilitation and establishment.
- That uncontrolled irrigation abstraction of ground water continues – would emphasise the need for communities to tackle this problem locally in that it is they who are directly suffering.
- Panchayat interference – this is possible, if not probable in some situations. Transparency with free information exchange throughout the community and accountable monitoring of performance and Programme finances need to be encouraged and applied.
- WASMO performance in support of Programme implementation is found wanting – for instance delays in fund flow from Head Office and lack of responsiveness by the Coordination, Monitoring and Support Units to Programme and especially community requirements and expectations and approvals for replenishment of community funds. Programme monitoring systems and reviews would need to address causes and solutions.
- That the Programme is allowed to drift due to limited community performance – need for firm adherence to village Action Plans, milestones and budgets and preparedness to drop villages in favour of others that want to perform.
- That the Programme is allowed to drift due to failure to adequately provide support and facilitation resources and services – need for adherence to agreed and approved organisational Action Plans and agreements. In the event of continued demonstration of poor performance and/or capacity, to make fundamental Programme adjustments including restricting village coverage.
- That the Programme timetable proves to be unrealistically tight even with good application of required resources – be prepared to extend the timetable and budget to cover extra cost of personnel time and/or reduce village coverage of the Programme to what can be realistically managed.
- That disadvantaged community groups and issues such as gender and women are not included – be established as a condition of Village written agreement with the Programme and if not honoured, be prepared for Programme withdrawal after full and open explanation to the community at large.

17. PROGRAMME JUSTIFICATION AND CONCLUSION

Notwithstanding the issues, constraints and risks identified, there is considered good grounds for proceeding with the proposed Programme with the proviso that the various safe guards included are exercised. The Programme must not be allowed to proceed in the open-ended manner of so many past programmes and projects under circumstances of perpetual hope and unfulfilled promises.

17.1   Justification

Specific reasons in support of Programme justification include:

- The Programme supports and incorporates the sector decentralisation objectives of the Governments of India and Gujarat.
- The programme sectoral approach of sustainable development assistance of the Netherlands Government is supported.
- The Programme provides opportunity to put the new decentralised approach to test on a programme scale, representing an important 'learning' opportunity for those involved and to the potential benefit of the wider sector profession.
- The two-phase implementation approach proposed for the Programme avoids unrealistic initial commitments and provides for adjustment of the Programme on the basis of Phase One experience.
- Inherent community capacity for development already exists within village communities and through association with Gram Panchayats – the Programme can build on this with encouragement and strengthening support.
- There is demonstrated need for improved and more secure (delivery and earthquake) water supply and sanitation systems in villages.
- Traditional water management practices and systems can be beneficially revived, rehabilitated and augmented with local demonstration of this existing.
- There is demonstrated NGO capacity in the Programme area with some NGOs actively working on sector topics – numbers and scope of NGO capacity is to be confirmed. ———
- The Programme is designed to benefit disadvantaged village groups, women and the environment.
- The WASMO operational concept adopted for the Programme transfers implementation decision making and responsibility to the community with direct funding from WASMO Head Office. The risk of serious procedural delays should be much reduced and possibly, eliminated.
- The Programme provides for the GAVIM objectives for Netherlands assisted development funding to be met.
  - There is opportunity to apply and demonstrate good decentralised governance (albeit a change of approach).
  - Poverty reduction is assisted by routing development funds directly to village communities with direct economic benefit. Additionally, household socio-economic potential can be improved with less time lost waiting for water and from hygiene and health improvements.
  - Gender equality is providing for by ensuring the involvement of village women in all aspects of the Programme.
  - Institutional building is provided for with the establishment of WASMO and the provision of External Advisory Support to WASMO and the other Programme supporting and facilitating organisations.
  - Improvement of the village environment is provided for with the range of in-village water and sanitation improvements supported by the Programme.

- Sustainable development is provided for and expected with village community management as the central focus of the Programme.
- There is already provisional commitment of External Advisory Services in support of WASMO with disciplines to be provided directly compatible with those required to support the establishment of the proposed Programme.

17.2 Conclusion

It is desirable that the development and learning opportunity provided by this Programme is taken up providing there is:

(1) demonstrated commitment from the Government of Gujarat and support for the early establishment of WASMO with provision of personnel and resources of the required quality, and

(2) the village level community management focus for the Programme is not compromised by undue attention to institutional components.

This is not to detract from the critical importance of initial concentrated effort on the establishment and preparation phase of the Programme.

18.   RECOMMENDATIONS

That the proposed Programme for the 'Community Managed Development of Water and Sanitation in Earthquake Affected Villages of Gujarat' be implemented on the following basis.

Programme Approach – that the proposed two phase Action Plan be adopted with Phase One Implementation limited to 200 villages to enable the viability and methodology of the Programme to be demonstrated. If to continue into Phase Two Implementation, let the scope, time-frame and cost of the balance Programme be based on the demonstrated experience and reality of Phase One - capacity planning. Let these decisions be based on the findings of an in-depth performance review one year into Phase One Implementation.

This approach is however qualified by the following requirements.

- That the Programme (and WASMO) establishment milestones are realised as factual achievements.
- That effective EAS support is made available to support the Programme (and WASMO) establishment phase and that there are suitably qualified counter part staff in place.
- That the autonomous operational status for WASMO and hence the Programme, is established without procedural interference from existing departments, including the GWSSB (do not repeat the Ghogha experience).
- That there is a real shift of 'ownership' and 'commitment' to the Programme in favour of GOG/WASMO.
- That there is demonstrated commitment by the Programme to in-village community managed implementation of water and sanitation improvements.

The sector reform initiatives of the Government of India and the Government of Gujarat deserve to be recognised to the benefit of village communities and the sector at large. This Programme has the potential to do that.

APPENDICES

Appendix 1
COMMUNITY MANAGEMENT IN-VILLAGE PROCESS

Activities and Tasks	Task OutcomeInvolved		Duration	Time (wks)		
A: Programme Introduction and Acceptance (2 weeks duration)				Weeks 1 to 2		
• Initial contact Gram Panchayat/Village Leaders	Invite to learn about program	WASMO/NGO	1 – 2 hours	s	s	s
• community meeting(s) – initial orientation/Program outline (what offering, general approach, requirements for community to meet)	Main cmty mtg (+ special groups)	NGO/Cmty	½-1 day	1d	1d	1d
• Internal discussion and reflection by community and groups	Informal support from NGO	Cmty/FW	1 – 2 wks	2	2	2
• Second community meeting – clarification, discussion, decision re Program	Cmty accept/reject Prog in village	NGO/Cmty	½ day	1d	2	2
• Possible further discussion and reflection period		Cmty/FW	1 wk			
• Third community meeting – decision re Program	Cmty has to decide	NGO/Cmty	½ day			

Milestone 1:   Community Accepts – Program proceeds   *NGO advises; WASMO confirms*
              Community Rejects – Program moves to next village

B: Community Mobilisation and Empowerment

Village Assesment of W&S Situation, Needs and Solutions (4 weeks duration)				Weeks 3 to 6		
• Community meeting to identify how to proceed with the Programme	NGO guides the Cmty	Cmty/NGO	½ day	1/2d	1/2d	2
• Planning meeting to organise a PRA based village assessment exercise (meeting with selected members of community – from all groups if possible)	Activity plan developed	Cmty/NGO	1 day	1d	1	3
• PRA exercise run throughout the village involving all groups	Range of PRA village outputs	Cmty/NGO	1 week	1	2	4
• Reflection and information analysis/review period	PRA conclusions and ideas collated	Cmty/NGO	1 week	1	3	5
• Community review and planning meeting to consider PRA findings (Combination of whole village and sub-group prioritised requirements)	Activities for Prog support prioritised	Cmty/NGO	1 day #	1d	4	6
Village Organisation and Formation of Pani Samiti (4 weeks duration)				Weeks 7 to 10		
• Village organisation of Pani Samiti discussed (with cmty and gram Panchayat)	Roles identified/members nominated	Cmty/FW	# same day	1d	4	6
• Period for community to reflect on and discuss membership of Pani Samiti	All community groups represented	Cmty/FW	2 weeks	1	5	7
• Community/Gram Sabha meeting to finalise Pani Samiti membership	Pani Samiti membership agreed	Cmty	½ day		5	7
• Pani Samiti set-up formally as sub-committee of Gram Panchayat	Official requirements actioned	Cmty/NGO	1 month?	2	7	9
• Orientation and initial training for Pani Samiti members	For positions and activities	Cmty/NGO	1 month (1/week)	2	7	9
• Pani Samiti/Gram Panchayat programme bank account set up	Local bank account opened	Cmty	1 week	1	8	10

Milestone 2:   Pani Samiti Formed – Program proceeds   *NGO advises; WASMO confirms*
              Pani Samiti not Formed – Program moves to next village

C: Village Action Plan Prepared

Preparation of Village W&S Action Plan (8 weeks duration) — Weeks 11 to 18

Activity	Outcome	Actors	Duration			
Prioritised activities further discussed; ideas/solutions considered in more depth (learning period – disadvantages/advantages, technology, implementation, costs)	Understanding of implications	Cnty/FW/NGO	4 weeks	2	2	12
Concentration on first 2 or 3 most important needs; more detail introduced	More understanding gained	Cnty/PS/NGO	2 weeks	2	4	14
Initial consideration as to who and how improvements will be implemented	Start of implementation planning	Cnty/PS/NGO	same 2 weeks	2	4	14
Initial decisions on operational and cost responsibilities for completed improvements	Outline operational management plan	Cnty/PS	same 2 weeks	2	4	14
Formal Pani Samiti starts to prepare a draft action plan for improvements	Form of a plan starts to emerge	PS/Cmty/NGO	2 weeks	2	6	16
Draft Village Action Plan (and budget) presented to community meeting	Draft Action Plan and budget	Cmty/PS	1 day		6	16
Draft Action Plan and budget reviewed/revised re community findings	Informal village discussion	PS Cmty/FW	2 weeks	2	8	18
Final Village Action Plan presented to community by Pani Samiti	Plan accepted/returned for changes	Cnty/PS/NGO	½ day		8	18
Possible further discussion of Plan with review and changes		PS/Cmty	1 week			
Third community meeting to consider Village Action Plan	Cmty needs to decide	Cmty/NGO	½ day			

Programme Approval of Village W&S Action Plan and Budget (2 weeks duration) — Weeks 19 to 20

Activity	Outcome	Actors	Duration			
Village Action Plan and Budget (to Prog format) presented to WASMO for approval	WASMO goes to village to receive/see	PS/WASMO/NGO	1 day	1d		19
Village Action Plan and Budget reviewed for approval	WASMO consults with NGO (and PS)	WASMO/NGO	1 week	1	1	19
Village Action Plan and Budget approved (or returned for further consideration)	Plan/Budget approved/to be reviewed	WASMO/PS	1 day			20
Possible further consideration of Action Plan/Budget by community		PS/Cmty/NGO	2 weeks			
Village Action Plan and Budget returned to WASMO for re-review and approval	WASMO receives	WASMO	1 week			
Village Action Plan and Budget approved (or not accepted)	Plan/Budget approved/returned again	WASMO/PS	1 day			
Initial Programme grant advance made to Pani Samiti bank account	Evidence of Programme commitment	WASMO/PS		1	2	20

Milestone 3: WASMO approves Village Action Plan/Budget – Program proceeds WASMO informs Community; advises NGO
WASMO does not Approve – Program can not proceed; moves to next village

D: Capacity Building and Work Organisation

Organisation for Implementation of W&S Improvements combined with Pani Samiti (and community) On-the-Job Capacity Building (5 wks duration)　　　Weeks 21-25

• Continue on from initial orientation with practical on-the-job training and guidance		PS/NGO/Cnty　6 weeks total	5　5　25
• Work out how and who will implement approved improvements	Approach worked out　·· _	PS/NGO/Cnty	
• Planning the organisation and timing of implementation activities	Implementation plan made	PS/NGO	
• Identify, locate, finally cost and arrange for required resources and materials	Supply of resources established	PS/NGO/Cnty	
• How to manage funds received, expenditure and keeping of financial records	Financial capacity established	PS/NGO	
• Methods for community to monitor the progress and quality of improvements	Open monitoring system set-up	PS/Crnty/NGO	
• Approach for displaying and reporting physical and financial progress of work	Open information system set-up	PS/Crnty/NGO/WASMO	
•			
• Capacity building extended for 50% of time already taken if required	Complete organisation for implem.	PS/NGO/Cnty　3 weeks extra	
• Organisation for implementation still not acceptable after additional training	Withdraw Prog support to village	WASMO/PS	
•			
• Community meeting to report and review result of organisation phase	Milestone decision reported	Cmty/PS/WASMO/NGO	5　25

Milestone 4:　Implementation Systems Organised and Capacity Building Successful – Implementation of Improvements Proceeds
*　　　　　　System only partly Organised; Capacity Building Incomplete –Implementation delayed; Further Capacity Building Required*
*　　　　　　Not able to Organise Systems Adequately; Capacity Building Incomplete – Programme can not proceed; withdraw from village*
*　　　　Note:　Balance of grant advance recovered from Pani Samiti*
*　　　　　　Community free to continue to do improvements with own resources should Programme support be withdrawn*

E: Community Managed Implementation and Monitoring In-Village Works (46 weeks duration)

(Ongoing with phased implementation of range of improvement works throughout village)

Activity	Outcome	Responsible	Timing			
Arrangements, agreements and contracts set-up in accordance Village Action Plan (work by community, trades people, contractors etc.; materials supply arranged)	Work able to start	PS/NGO	2 wks initially	2	2	27
Improvement work starts in accordance with Action Plan timetable	Work starts	Workers/PS	Time agreed			
Community members to be responsible for facilities actively involved	Understanding & familiarisation	Cmty membrs	Throughout			
Improvement work continues to planned conclusion	Work progresses	Workers/PS	Time agreed			
Progress and observed quality monitored semi-continuously	Feedback on progress/quality	Cmty/PS/NGO	Semi-continuously			
Report Programme performance, status, issues and expenditure and work progress	WASMO is kept informed	PS/NGO	Monthly			
Periodic verification of progress, quality, expenditure and solution to issues	Prog update and confirmation	WASMO/PS/NGO	6 weekly			
Advance request to Programme with accountability of performance and expenditure	Formal report of prog activities	PS/NGO/Crnty	3 monthly			
Advance approved OR request returned dependent on acceptance of accountability	Statement on Village performance	WASMO	2 wks after request			
Advance forwarded to bank account following approval	PS Funds topped-up	WASMO	1 wk after approval	44	46	71

Milestone 5: Implementation Proceeds According to Action Plan – Continues to meet need for duration of Programme and availability of funds
Performance Accountability Unacceptable over Two Successive Quarters – Programme Support Withdrawn
Note: Programme reserves the right to withdraw support if Village Action Plan not followed; can seek approval to adjust
Community free to continue to do improvements with own resources should Programme support be withdrawn

F: Operation, Care and Use of and Expenditure on Completed Facilities/Services (6 weeks duration)

Activity	Outcome	Responsible	Timing			
Training for those to be responsible for operation and care of facilities	Ready to take on responsibility	Cmty/NGO/PS	Before end of works			
Education on proper use of facilities and agreement on operational costs to collect	Provides for good use of facilities	PS/Cmty/NGO	Before end of works			
Work completed, inspected and accepted (after any corrections) by community	Work on facility completed	PS/NGO	Implementation finished			
Facility commissioned and/or community start to use	Facility functional	PS/Cmty	On completion			
Expenditure on works completed with final accountability	Implement. management complete	PS/NGO	Soon after completion			
Completion statement of implementation performance and expenditure accountability	Completion report to WASMO	PS/NGO/WASMO	Soon after completion			
Completion status and success confirmed by Programme	Completion report verified	WASMO	Next 6 weekly visit			
Continued acceptable use and care of completed facility	Continued good use of facility	Cmty/PS	Ongoing			
Regular collection of operational costs from users as originally agreed	Use of facility sustained	Cmty/PS	Ongoing	6	6	77

Milestone 6: Implementation Completed to Satisfaction of Community and Programme   NGO advises WASMO
Completion not to full satisfaction - Program viability in village reviewed

Community Managed Development of Water and Sanitation in Earthquake Affected Villages of Gujarat

Appendix 2A - Phase I Costs
(200 Villages)

		Rs Lakh	Rs Lakh	Rs Crore
A. In-Village Costs (Pani Samitis)				
1. Construction/enhancement of WS Village Works	200 Villages @ Rs. 3.85 Lacs av.	770.00		
Less 10% community contribution		-77.00		
Less 5% salvage value of damaged pipe system		-38.50		
2. Revival of traditional water sources	200 Villages @ Rs. 3 lacs av.	600.00		
3. Sanitation initiatives in villages	200 Villages @ Rs. 2.0 Lacs av.	400.00		
4. Pani Samiti overheads	200 Villages @ Rs. 24000 p.a. x 1 years	48.00		
5. Initial O&M costs (partial @ 10% capital cost)	200 Villages @ Rs. 38500 p.a. x 1 years	77.00	1779.50	17.80
B. Facilitation Costs (NGOs)	(4 NGOs; 1 year 7/02 to 6/03)			
1. Salaries / benefits	8 VSU teams	120.00		
2. Travel / Conveyance	Rs 1.5 lakh per VSU team	12.00		
3. Training / community events	Rs 1.5 lakh per VSU team	12.00		
4. Overheads	17.5% of salaries/benefits	21.00		
5. Specialists/short term personnel	12.5% of salaries/benefits	15.00		
6. Capital Items	Rs. 1 lac per VSU team	8.00	188.00	1.88
C. CMSU Operational Costs	(1 CMSU for 1.3 years, 4/02 to 7/03)			
1. Salaries / benefits	6 professional and 9 support staff	47.19		
2. Travel / conveyance	Rs 30000 per month	4.68		
3. Training / events	Rs 30000 per month	4.68		
4. Overheads	17.5% of salaries/benefits	7.17		
5. Specialists/short term personnel	17.5% of salaries/benefits	7.17		
6. Capital Items	Rs. 20 lakh per CMSU (vehicles & Office)	20.00	90.89	0.91
D. ESC Operational Costs	(1 ESC for 1.5 years, 2/02 to 7/03)			
1. Salaries / benefits	4 professional and 6 support staff	28.80		
2. Travel / conveyance	Rs 50000 per month	9.00		
4. Overheads	12.5% of salaries/benefits	3.60		
Outsourced Services	2 x Rs 40000 x 6 mths	4.80		
6. Capital Items	Rs.12 lakh per ESC (vehicles & Office)	12.00	58.20	0.58
E. Repair and Reconstruction	(6 Repair Teams; 300 villages)			
1. Salaries / benefits	4 professional and 6 support staff	19.80		
2. Travel / conveyance	Rs 25000 per month	9.00		
3. Overheads	10% of salaries/benefits	1.08		
4. Vehicles (HM - RTV)	6 x Rs 4 lakh (Phase II ESCs take over)	24.00		
7. Labour - hire locally	Rs.7500 x 300 villages	22.50		
8. Materials for repair	Rs.15,000 x 300 villages	45.00	121.38	1.21
Phase I Sub-total				22.38
F. Inflation, Contingency, Salary Revisions etc.	@ 10% p.a.			2.24
Phase I TOTAL				24.62

Community Managed Development of Water and Sanitation in
Earthquake Affected Villages of Gujarat

Appendix 2B - Phase II Costs
(1060 Villages)

		Rs Lakh	*Rs Lakh*	*s Crore*
A. In-Village Costs (Pani Samitis)				
1. Construction/enhancement of WS Village Works	1060 Villages @ Rs. 3.85 Lacs av.	4081.00		
Less 10% community contribution		-408.10		
Less 5% salvage value of damaged pipe system		-204.05		
2. Revival of traditional water sources	1060 Villages @ Rs. 3 lacs av.	3180.00		
3. Sanitation initiatives in villages	1060 Villages @ Rs. 2.0 Lacs av.	2120.00		
4. Pani Samiti overheads	1060 Villages @ Rs. 24000 p.a. x 2 years	508.80		
5. Initial O&M costs (partial @ 10% capital cost)	1000 Villages @ Rs. 38500 p.a. x 2 years	816.20	10093.9	100.94
B. Facilitation Costs (NGOs)	(9 NGOs; 2 years 8/03 to 7/05)			
1. Salaries / benefits	36 VSU teams	1166.40		
2. Overheads	17.5% of salaries/benefits	204.12		
3. Travel / Conveyance	Rs 1.5 lakh per VSU team	108.00		
4. Training / community events	Rs 1.5 lakh per VSU team	108.00		
5. Specialists/short term personnel	12.5% of salaries/benefits	145.80		
6. Capital Items	Rs. 1 lac per VSU team	28.00	1760.3	17.60
C. CMSU Operational Costs	(3 CMSU for 2 years, 8/03 to 7/05)			
1. Salaries / benefits	21 professional and 27 support staff	239.40		
2. Overheads	17.5% of salaries/benefits	36.86		
3. Travel / conveyance	Rs 30000 per month	21.60		
4. Training / events	Rs 30000 per month	21.60		
5. Specialists/short term personnel	17.5% of salaries/benefits	36.86		
6. Capital Items	Rs. 20 lakh per CMSU (vehicles & Office)	40.00	396.3	3.96
D. ESC Operational Costs	(3 ESC for 2 years, 8/03 to 7/05)			
1. Salaries / benefits	12 professional and 18 support staff	144.00		
2. Overheads	12.5% of salaries/benefits	14.40		
3. Travel / conveyance	Rs 50000 per month	36.00		
4. Outsourced Services	6 x Rs 40000 x 2 years	57.60		
5. Capital Items	Rs.12 lakh per ESC (vehicles & Office)	24.00	276.0	2.76
E. Repair and Reconstruction				
1. Salaries / benefits				
2. Overheads				
3. Travel / conveyance				
4. Vehicles (HM - RTV)				
5. Labour - hire locally				
6. Materials for repair			0.0	0.00
Phase II Sub-total				125.26
F. Inflation, Contingency, Salary Revisions etc.	@ 10% p.a.			12.53
Phase II TOTAL				137.79