

Indo-Dutch Cooperation Programme on
Rural Water Supply and Sanitation
in Uttar Pradesh

INDIA

Indo-Dutch Review Mission 1 to Uttar Pradesh
IDRM-1 (UP-37)



R822-13696

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Cover photograph:

Individual household latrines embellished with murals, showing health-oriented messages, Chhitauni village, District Varanasi, Project V

TABLE OF CONTENTS**PAGE**

Table of Contents	i
List of Rural Water Supply Reports, Uttar Pradesh	vi
List of Abbreviations and Acronyms	viii
Status of Projects in Uttar Pradesh (December 1996)	xi
Maps	xii

EXECUTIVE SUMMARY**SECTION I INTRODUCTION**

1	INTRODUCTION	1
1.1	About IDRM-1	1
1.2	Sub-Projects now Projects	1
1.3	Arrangement of the report	2

SECTION II PROJECTS

2	COMPLETED PROJECTS	3
2.1	Project I	3
2.2	Project III	5
2.2.1	Formal closure of the Project	5
2.2.2	Project cost	6

ONGOING PROJECTS

3	PROJECT IV	7
3.1	Project status	8
3.1.1	Status of water supply in the area of Project IV	8
3.1.2	Completion of the Project	9
3.2	Functioning of schemes and preparation of the Pilot Project	9
3.2.1	Progress of the new approach	9
3.2.2	Increase in numbers of house connections	10
3.2.3	Revenue projections	11
3.2.4	Coordination of the works	13
3.2.5	Staffing at scheme level	13
3.2.6	Electricity supply	13
3.2.7	Preparation of formal proposal for the Pilot Project	13
3.2.8	Financial administration	14
3.3	Observations during the mission's visit	15
3.4	Finalization of the Project	16
3.4.1	Completion of the regular Project	16
3.4.2	Pilot project on O&M	16
3.5	Project cost	16
3.5.1	Total project cost	16
3.5.2	Status of expenditures	17

TABLE OF CONTENTS		PAGE
4	PROJECT V	19
4.1	Project status	20
4.1.1	Previous phases	20
4.1.2	Phase B	20
4.2	Physical implementation	21
4.2.1	Household sanitary latrines	21
4.2.2	School sanitation and water points	23
4.3	Project duration	24
4.3.1	Formal closure of Phase A and Interim Phase	24
4.3.2	Phase B	24
4.3.3	Formulation of Project XI, as follow-up of Project V	24
4.4	Project cost	25
4.4.1	Phase A and Interim Phase	25
4.4.2	Phase B	28
4.4.3	Utilization of funds contributed by beneficiaries	29
5	PROJECT VI	31
5.1	Project status	33
5.2	Physical progress	33
5.2.1	Handpumps	33
5.2.2	Buildings	33
5.2.3	Project duration	33
5.2.4	Additional handpumps in Siddharthnagar District (II Addendum)	34
5.3	Community participation	36
5.3.1	Decentralized operation and maintenance (O&M)	36
5.3.2	Observations during mission visits	37
5.4	Project cost	39
5.4.1	Cost estimates	39
5.4.2	Status of expenditures by Jal Nigam	41
5.4.3	Status of receipts and expenditures by PSU/PSU Foundation	43
6	PROJECT VIII	45
6.1	Project status	47
6.2	Physical progress	47
6.3	Community participation	50
6.3.1	Introduction	50
6.3.2	Decentralized operation and maintenance	53
6.4	Project duration	55
6.5	Project cost	55
6.5.1	Revised cost estimate	55
6.5.2	Status of expenditures	56
7	PROJECT IX	59
7.1	Project status	59
7.2	Organizational development	60

TABLE OF CONTENTS		PAGE
7.2.1	Capacity building and professionalization	60
7.2.2	Documentation	61
7.2.3	Housing of the PSU Foundation	61
7.3	Financial aspects	61
7.3.1	Progress and financial reporting	61
7.3.2	Corpus amounts	62
7.3.3	Status of receipts and expenditures	62
 <i>PROPOSED PROJECTS</i>		
8	PROJECT I-A	63
8.1	Project status	63
8.2	Project duration	64
8.3	Project cost	64
9	PROJECT VII	65
9.1	Project status	65
9.2	Project cost	66
 <i>PIPELINE PROJECTS</i>		
10	PROJECT X	67
10.1	Project status	67
11	PROJECT XI	69
11.1	Project status	69
11.2	Other proposals received	70
11.2.1	O&M of rural water supply in Unnao District	70
11.2.2	Solar energy for water pumping	71
 <i>FINANCIAL ASPECTS</i>		
12	FINANCIAL PLANNING OF ONGOING AND PROPOSED PROJECTS	73
12.1	Anticipated disbursements by Indian agencies	73
12.2	Anticipated disbursements by the Netherlands Government	74
12.2.1	General aspects	74
12.2.2	Future disbursement levels	78
 SECTION III ISSUES		
13	POLICY PERSPECTIVES AND PRIORITIES	79
13.1	Policy perspectives	79
13.2	Priorities	80
13.2.1	Priorities in approach	80

TABLE OF CONTENTS	PAGE
13.2.2 Priorities in project selection	82
14 DECENTRALISED O&M	85
14.1 Handpump programmes	85
14.1.1 Evolving O&M approaches	85
14.1.2 Dissemination of experience	89
14.2 Piped water schemes	90
15 ENVIRONMENT	93
15.1 Environmental sanitation	93
15.2 Solar energy for water supply	94
15.2.1 Present policy in the power sector	94
15.2.2 Options for renewable energy in rural water supply	95
16 CAPACITY BUILDING AND ORGANISATIONAL DEVELOPMENT	99
16.1 UP Jal Nigam	99
16.2 PSU Foundation	99
17 COMMUNITY PARTICIPATION AND COMMUNICATION	101
17.1 Gender focus	101
17.2 Communication	101
18 DISSEMINATION AND ADVOCACY	105
19 NEW APPROACH TO REVENUE MOBILISATION AND MANAGEMENT ..	107
19.1 Revenue collection in handpump projects (VI and VIII)	107
19.2 Revenue collection in piped supply schemes (Project IV)	107

ANNEXES

- A. Itinerary of Mission IDRM-1 (UP-37)
 - B. List of authorities visited/senior staff involved in implementation of the Indo-Dutch Cooperation Programme (IDC)
 - C. Conclusions and recommendations of the Indo-Dutch Review Mission IDRM-1 (UP-37) of November/December 1996 to Uttar Pradesh
 - D. Indo-Dutch Mission (U.P.-36) Compliance Report (UP Jal Nigam)
 - E. Quarterly Progress Report Project IV (July - September 1996)
 - F. Major policy decision taken by PSU Foundation and UP Jal Nigam during the period January-November 1996 (Project IV)
 - G. Financial statements Project V-A/Interim
 - H. Quarterly Progress Report Project V-B (July - September 1996)
 - I. Quarterly Progress Report Project VI (July - September 1996)
 - J. Maps of training areas, Project VI
 - K. Quarterly Progress Report Project VIII (July - September 1996)
 - L. Revised estimate Project VIII
 - M. Standard forms for financial reporting
 - N. Project X: Details of population projections and numbers of handpumps proposed
 - O. Projected quarterly disbursements
-

LIST OF RURAL WATER SUPPLY REPORTS, UTTAR PRADESH

Report No.	Dated	Subject	Sub-Project
UP-1	November 1978	Appraisal	East-I
UP-2	March 1979	Appraisal	West-I
UP-3	November 1979	Reappraisal	East-I
UP-4	April 1981	Progress evaluation Reappraisal	East-I West-I
UP-5	December 1981	Progress evaluation Reappraisal	East-I East-II
UP-6	March 1982	Hydro-geological appraisal 2, Preliminary Report	West-I
UP-7	May 1982	Progress evaluation	East-I, -II
UP-8	February 1983	Comprehensive review and appraisal	East-I, -II West-I, -II
UP-9	October 1983	Progress evaluation	East-I
UP-10	October 1984	Progress evaluation	East-I, -II, III; West
UP-11	March 1985	Work plan for sanitation, drainage and health activities	East-I, III, IV
UP-12	May 1985	Progress evaluation Appraisal	East-I III, IV
UP-13	October 1985	Progress evaluation Reappraisal	East-I, III IV
UP-14	April 1986	Progress evaluation Reappraisal	East-I, III, V IV
UP-15	November 1986	Progress evaluation Reappraisal	East-I, III, IV V
UP-16	April 1987	Appraisal of institutional set-up	V
UP-17	April 1987	Progress evaluation Reappraisal Appraisal	East-I, III, IV V VI
UP-18	December 1987	Progress evaluation Reappraisal	East-I, III, IV V
UP-19	March 1988	Starting-up Project V	V
UP-20	May 1988	Progress evaluation	East-I, III, IV, V, (VI)
UP-21	December 1988	Progress evaluation	East-I, III, IV, V, (VI)
UP-22	June 1989	Progress evaluation	East-I, III, IV, V, VI

LIST OF RURAL WATER SUPPLY REPORTS, UTTAR PRADESH

Report No.	Dated	Subject	Sub-Project
UP-23	November 1989	Progress evaluation	III, IV, V, (VI)
UP-24	April/May 1990	Progress evaluation Pre-appraisal	III, IV, V, VI VII
UP-25	November 1990	Progress evaluation Pre-appraisal	III, IV, V, VI VII, VIII
UP-26	April/May 1991	Progress evaluation Pre-appraisal	III, IV, V, VI I-A, VII, VIII
UP-27	April/May 1991	MIS for Jal Nigam	-
UP-28	December 1991	Progress evaluation Pre-appraisal	III, IV, V, VI I-A, VII, VIII
UP-29	May 1992	Progress evaluation Pre-appraisal	III, IV, V, VI I-A, VII, VIII
UP-30	November 1992	Progress evaluation Pre-appraisal	III, IV, V, VI I-A, VII, VIII
UP-31	May 1993	Progress evaluation Pre-appraisal	III, IV, V, VI I-A, VII, VIII
UP-32	December 1993	Progress evaluation Pre-appraisal	III, IV, VI, VI, VIII I-A
UP-33	June 1994	Progress evaluation Pre-appraisal	III, IV, VI, VI, VII, VIII I-A
UP-34	December 1994	Progress evaluation Pre-appraisal	III, IV, V, VI, VII, VIII, IX I-A
UP-35	May 1995	Progress evaluation Pre-appraisal	III, IV, V, VI, VII, VIII, IX I-A
UP-36	December 1995	Progress evaluation	I-A, III, IV, V, VI, VII, VIII, IX
UP-37	December 1996	Progress evaluation Pre-appraisal	IV, V, VI, VIII, IX X

LIST OF ABBREVIATIONS AND ACRONYMS

AC	asbestos cement
ADM	Additional District Magistrate
ADO	Assistant Development Officer
ADO(W)	Assistant Development Officer (Women)
ADPRO	Assistant District Panchayati Raj Officer
AE	Assistant Engineer
ANM	Auxiliary Nurse Midwife
ANP	Applied Nutrition Programme
APC	Agricultural Production Commissioner
APO	Assistant Programme Officer
ARP	Accelerated Rural Programme
ARWSP	Accelerated Rural Water Supply Programme
BCC	Block Coordination Committee
BDO	Block Development Officer
BHO	Block Health Officer
BHP	brake horse power (power at pump shaft)
BHW	Basic Health Worker
BSA	Basic Shiksha Adikhari (Basic Education Officer)
CAPART	Council for Advancement of People Action and Rural Technology
CDO	Chief Development Officer
CE	Chief Engineer
CHC	Community Health Centre
CHETNA	Centre for Health Education, Training and Nutrition Awareness
CHG	Community Health Guide
CI, ci	cast iron
CMO	Chief Medical Officer
CPC	community participation component
CRISP	Computerised Rural Information Systems Project
CRSP	Central Rural Sanitation Programme
DCO	District Coordinating Officer
DIOS	District Inspector of Schools
DO	District Officer
DUD	Department of Urban Development
DM	District Magistrate
DPRO	District Panchayati Raj Officer
DRDA	District Rural Development Agency
DWCRA	Development of Women and Children in Rural Areas
ECP	Extended (base of) Community Participation
EE	Executive Engineer
E&M	electrical and mechanical
ERW	electrical resistance welded (pipe)
ETC	Extension Training Centre
GI, gi	galvanized iron
GOI	Government of India
GON	Government of The Netherlands
GPA	Gram Panchayat Adhikari
HC, hc	house connection
HDPE, hdpe	high-density polyethylene

LIST OF ABBREVIATIONS AND ACRONYMS (continued)

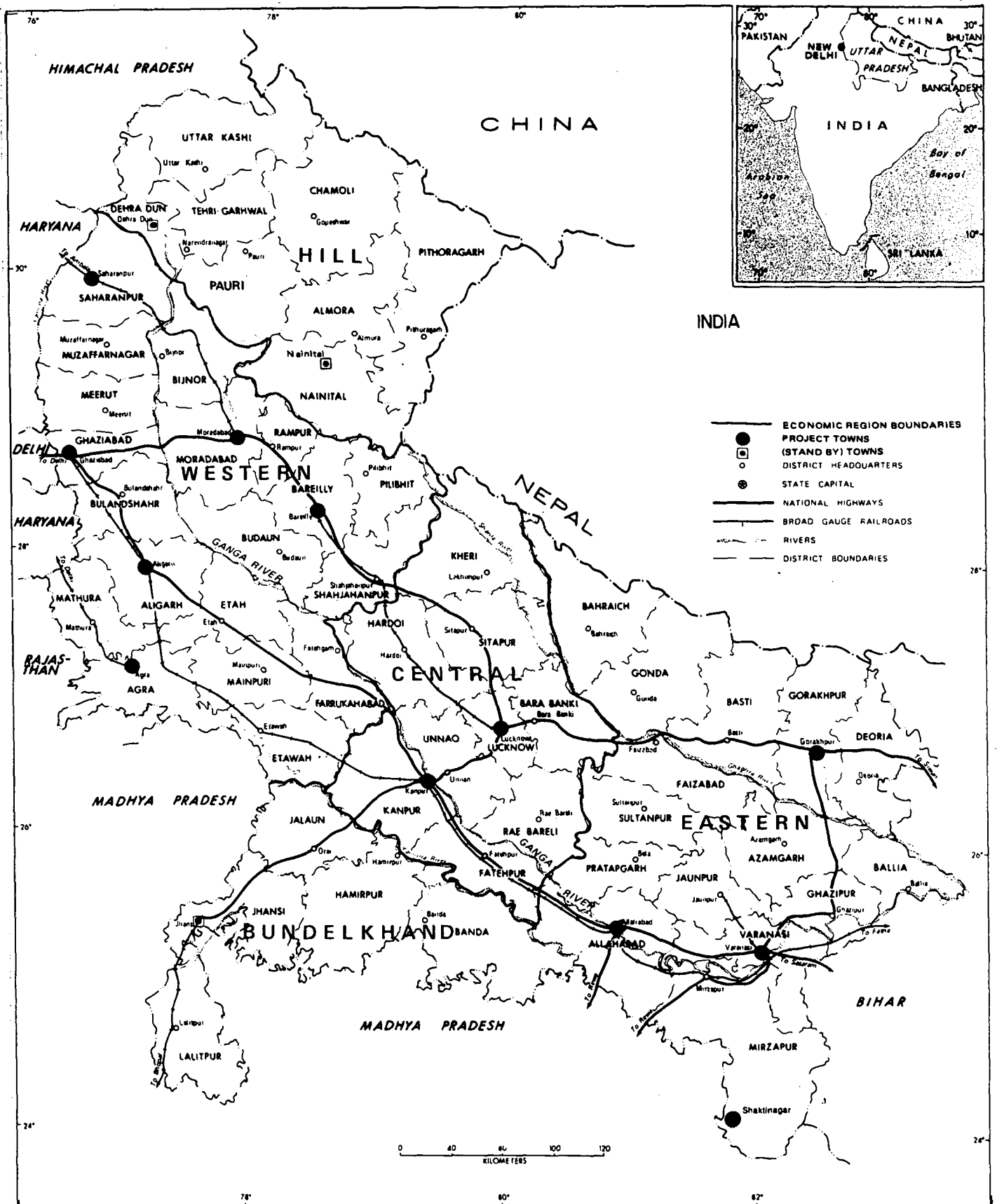
HP	handpump
HSL	household sanitary latrine
ICDS	Integrated Child Development Scheme
ICMR	Indian Council of Medical Research
IDC	Indo-Dutch Cooperation (Programme)
IEC	Information, education and communication
IRDP	Integrated Rural Development Programme
JRY	Jawahar Rogyar Yojna (Jawahar Employment Scheme)
LCU	Leprosy Control Unit
LHV	Lady Health Visitor
lpcd	litres per capita and per day
lpm/m	litres per minute, per metre draw-down
MCH	Mother and Child Health
MES	Military Engineering Service
MNP	Minimum Needs Programme
MS, ms	mild steel
NAP	Netherlands Assisted Programme
NAPSU	Netherlands Assistance Project Support Unit
NGO	non-government organization
NIC	National Informatics Centre
NIDC	National Industrial Development Corporation
NIO	Netherlands Investment Bank for Developing Countries
NLG	Netherlands guilders
NREP	National Rural Employment Programme
NSB	National Sanitation Board
NYK	Nehru Yuvak Kendra (Nehru Youth Centre)
O&M	operation and maintenance
OECD	Organization for Economic Cooperation and Development
OTC	open-top-cylinder (handpump)
PA	Personal Assistant
PHC	Primary Health Centre
PPRD	Project Preparation, Research and Development
PR	Panchayati Raj
PRD	Prantiya Raksha Dal (literally: Provincial Defense Group; see also PVD)
PSC	Policy Support Committee
PSU	Programme Support Unit
PSUF	PSU Foundation
PVC, pvc	polyvinyl chloride
PVD	Prantiya Vikash Dal (Provincial Development Group)
QPR	Quarterly Progress Report
RCC	reinforced (cement) concrete
RLEGP	Rural Landless Employment Guarantee Programme
RWS	rural water supply
RSAC	Remote Sensing Applications Centre, U.P., Lucknow
SCERT	State Council for Educational Research & Training
SC/ST	scheduled castes/scheduled tribes
SDI	Sub-Divisional Inspector
SE	Superintending Engineer

LIST OF ABBREVIATIONS AND ACRONYMS (continued)

SEB	State Electricity Board
SIAD	Social Input Area Development
SIE	State Institute of Education
SP	(public) standpost
SPA	Social Planning Adviser
SSB	State Sanitation Board
TAC	Town Area Committee
TAG	Technology Advisory Group (World Bank)
TRYSEM	Training of Rural Youth for Self-Employment
TW	tubewell
UP	Uttar Pradesh
UPDESCO	U.P. Development Systems Corporation Ltd., Lucknow
UPIL	U.P. Instruments Ltd., Lucknow
UPJN	Uttar Pradesh Jal Nigam
UPVHA	Uttar Pradesh Voluntary Health Association
VCR	video cassette recorder
VDO	Village Development Officer
VDO(W)	Village Development Officer (Women)
VHAI	Voluntary Health Association of India
VLW	village-level worker
VP	'vandal-proof'
VPO	Village Panchayat Officer
VT	vertical turbine
wc	water column
YMD	Yuvak Mangal Dal (Youth Welfare Group)

Status of Projects in Uttar Pradesh (December 1996)

SUB-PROJECT	TYPE OF WORKS	DISTRICTS	VILLAGES	PERSONS	SCHEMES	HAND-PUMPS	LATRINES	SCHOOL LARINES	STATUS
I	Piped supply construction	Rae Bareli	241	318,600	10	-	-	-	Completed
		Allahabad	100	140,100	4	-	-	-	Completed
		Varanasi	383	453,400	8	-	-	-	Completed
		TOTAL	724	912,100	22	-	-	-	Completed
I-A	Rehabilitation piped supplies	Rae Bareli	241	305,196	-	2,058	-	-	Proposed
		Allahabad	100	166,109	-	980	-	-	Proposed
		Varanasi	356	468,305	-	2,047	-	-	Proposed
		TOTAL	697	939,610	-	5,085	-	-	Proposed
III	Handpumps	Allahabad	199	161,100	-	1,074	-	-	Completed
		Agra	59	58,800	-	392	-	-	Completed
		Mathura	55	56,550	-	377	-	-	Completed
		Etawah	457	437,550	-	2,917	-	-	Completed
		Firozabad (Mainpuri)	98	75,000	-	500	-	-	Completed
		Farrukhabad	99	94,200	-	628	-	-	Completed
		TOTAL	967	883,200	-	5,888	-	-	Completed
IV	Piped supply construction	Allahabad	23	64,470	2	-	-	-	Completed
		Varanasi	241	384,090	12	-	-	-	Completed
		TOTAL	264	448,560	14	-	-	-	Completed
V - Phase A	Latrines	Rae Bareli	6	-	-	-	1,442	6	Completed
		Varanasi	7	-	-	-	1,987	20	Completed
		TOTAL	13	-	-	-	3,429	26	Completed
V - Interim	Latrines	Rae Bareli	8	-	-	-	1,317	0	Completed
		Varanasi	15	-	-	-	2,057	0	Completed
		TOTAL	23	-	-	-	3,374	0	Completed
V - Phase B	Latrines	Rae Bareli	7	-	-	-	1,714	15	Ongoing
		Varanasi	16	-	-	-	5,202	7	Ongoing
		TOTAL	23	-	-	-	6,916	22	Ongoing
VI	Handpumps	Lakhimpur-Kheri	1,181	1,135,050	-	7,567	-	-	Ongoing
		Ballia	225	300,750	-	2,005	-	-	Ongoing
		Basti	189	102,450	-	683	-	-	Ongoing
		Gonda	308	484,500	-	3,230	-	-	Ongoing
		Bahraich	286	550,500	-	3,670	-	-	Ongoing
		Siddharthnagar	147	95,550	-	637	-	-	Ongoing
		TOTAL	2,336	2,668,800	-	17,792	-	-	Ongoing
	Decentralized training	Lakhimpur-Kheri	149	1,288	-	-	-	-	Ongoing
		Ballia	82	896	-	-	-	-	Ongoing
		Basti	101	716	-	-	-	-	Ongoing
		Gonda	118	1,625	-	-	-	-	Ongoing
		Bahraich	63	873	-	-	-	-	Ongoing
		Siddharthnagar	45	394	-	-	-	-	Ongoing
		TOTAL	558	5,792	-	-	-	-	Ongoing
VI - II Addendum	Handpumps	Siddharthnagar	816	644,381	-	1,840	-	-	Proposed
		TOTAL	816	644,381	-	1,840	-	-	Varying
VII	Mixed schemes/HP/latrines	Almora	48	16,075	28	29	900	-	Proposed
		Meerut	437	1,226,166	-	4,525	12,590	-	Proposed
		TOTAL	485	1,242,241	28	4,554	13,490	-	Proposed
VIII	Handpumps	Aligarh	579	1,024,386	-	2,549	-	-	Ongoing
		Badaun	591	727,128	-	2,228	-	-	Ongoing
		Moradabad	440	792,641	-	3,085	-	-	Ongoing
		Unnao	405	568,948	-	1,982	-	-	Ongoing
		Kanpur-Dehat	775	1,031,391	-	3,194	-	-	Ongoing
		Ballia	461	748,838	-	2,293	-	-	Ongoing
		TOTAL	3,251	4,893,332	-	15,331	-	-	Ongoing
IX	Comm. Particip. Support	Uttar Pradesh	-	-	-	-	-	-	Ongoing
X	Handpumps	Siddharthnagar	-	-	-	-	-	-	Proposed
		Lakhimpur-Kheri	-	-	-	-	-	-	Proposed
		Basti	-	-	-	-	-	-	Proposed
		Gonda	-	-	-	-	-	-	Proposed
		Bahraich	-	-	-	-	-	-	Proposed
		TOTAL	-	-	-	-	-	-	Proposed
GRAND TOTAL			10,157	12,638,016	64	50,490	27,209	48	Varying





EXECUTIVE SUMMARY

A. INTRODUCTION

Mission IDRМ-1 was the first mission in a new set-up, replacing the earlier Dutch review and support missions (RSM), and being of mixed Indian and Dutch composition. The new set-up is one of the results of a new direction in the policy of the Netherlands Government on the bilateral rural water and sanitation programmes in India, whereby the review and support components are being addressed separately. Because of ongoing developments in Uttar Pradesh, the composition of this first IDRМ mission was of a preliminary nature, likely to be adapted in the future.

With the introduction of the new mission type, also the nomenclature for the activities under the so-called IDC (Indo-Dutch Collaboration) programme has been changed: henceforth the so-called Sub-Projects (as they were called before) will be called Projects.

B. MAJOR DEVELOPMENTS UNDER THE IDC PROGRAMME

Policy perspectives and priorities

The Government of The Netherlands has been engaged in the rural water supply and sanitation sector in Uttar Pradesh since 1978. During that period the volume and nature of cooperation changed continually. Whereas originally the emphasis was on poverty alleviation, sustainability and hygiene as well as environmental sanitation, and later environmental issues and autonomy and self-determination of the poorest sections of the community — especially the women — have played an increasingly important role, as have institutional development and capacity building of the implementing agencies.

Recently, the Netherlands authorities indicated that since the investments made by the Government of The Netherlands to Uttar Pradesh are not of particular significance when compared to UP's own investments in the sector, the Netherlands support should have an *"added value to development rather than being merely complementary to UP's investment funds"*. The *"added value"* should be realised through financing innovative programmes such as rehabilitation of schemes, improved O&M techniques, community mobilisation and hygiene promotion, institutional and human resource development, improvements in the quality of programme planning, management information systems and any other field which is supportive to UP's rural water supply and sanitation development programmes. Further, the financial assistance to all the bilateral programme states would stabilise with Uttar Pradesh receiving an annual allocation of approximately 5 million Netherlands guilders (Rs. 10 crores).

In line with this policy, the priority areas that have been addressed in recent years largely relate to an integrated approach in terms of institution development, sustainable operations and maintenance, and overall improvements in the process of project planning and implementation. The integrated approach was realized through intensive collaboration between the two implementing agencies: the UP Jal Nigam and the PSU Foundation, with a Task Force at the State level, consisting of representatives of both organizations, providing directions and policy support. At the — crucial — district level, the District Coordination Committee (DCC) has continued to grow as an integrating platform, being instrumental in facilitating the establishment of a decentralized system of maintenance within the Panchayati Raj framework.

Sustainability of both handpump and piped water schemes has been a priority area. The handpump projects have responded well, with water and sanitation charges being generated from the community under the provisions of the Panchayati Raj Act, accounts being opened at

the village level and specified expenditures also incurred within the community. The piped water schemes have been upgraded sufficiently well for the community to pay back the arrears and regularise the large number of unauthorised connections. In the near future it is expected that these schemes too would become self sustaining.

A policy framework, agreed upon by the implementing agencies, should ensure consistency of new ideas promoted, and effective and efficient use of efforts and energy involved in project preparation. It should also guarantee optimal benefits from lessons learned in the past, for future activities and finetuning of coordination between implementing agencies. To formulate such a framework, in the first week of April 1997 a 2-days top-level seminar will be organized at Lucknow, which will focus on discussing the priorities in the development of rural water supply and sanitation in the State.

Decentralised Operation and Maintenance

The community based institutional structure for rural water supply in Uttar Pradesh, which originated with the concept of *Jal Samitis*, a handpump based committee of users without formal legal status, has now evolved into ward and village level committees formed within the framework of the provisions of the Panchayati Raj Act. The initiatives taken in Project VI, to mobilise the community for undertaking the cleanliness and upkeep of its own handpumps, have been reinforced with the training of caretakers and cluster level mechanics in selected blocks of Project VI districts. These experiments have been further refined and consolidated in Project VIII, where the ward committees are formed prior to the selection of sites and installation of handpumps. The model that has evolved is being favourably reviewed by the Government of Uttar Pradesh, for application in the entire State.

The piped water supply schemes, on the other hand, have constantly been a cause for concern, with the Dutch Appraisal Mission of 1992 finally recommending to limit the Dutch investments in future rural piped water schemes. However, in 1991-92, in an effort to salvage the schemes which were already completed or under execution, community participation was introduced in the ongoing Project IV. From early 1995 the efforts have been intensified and the modalities for optimising the O&M functions with community based institutions are being finalised. Meanwhile, the IDRM asserts, with renewed vigour, the need to create a separate O&M division within the UP Jal Nigam, with corresponding funds for streamlining the O&M functions in the piped water schemes. The creation of such a division, which has been repeatedly emphasised, is likely to be a pre-condition for the approval of the pilot programme under Project IV.

C. OUTSTANDING ISSUES

Shortage of funds

Progress of works under all Projects continued to suffer from a shortage of funds. In view of the difficulties faced by the UP Jal Nigam in receiving funds from the State Government, the mission recommends the Governments of India and The Netherlands to reassess their funding policy to Uttar Pradesh and to investigate the possibility of using other options for channelling the funds to the implementing agencies.

Water quality laboratories and their staffing

The appointment of chemists for the laboratories that have been set up under the IDC programme still did not take place, in spite of repeated promises. The mission therefore feels that no further works on laboratories under the IDC programme (notably under Project VIII) should be taken up until the Government of Uttar Pradesh has effectively sanctioned the

appointment of qualified chemists for all IDC laboratories, the equipment of these laboratories has been restored in good order, and the labs have started functioning in their intended role of quality control mechanisms for rural water supply in the IDC-covered districts of Uttar Pradesh.

D. STATUS OF PROJECTS

Ongoing and completed projects

Project III was formally completed with the submission of the Completion Report Sub-Project III in July 1996, followed by an audit by the Accountant General (UP).

In preparation for the pilot project on decentralised O&M under **Project IV**, the field staff of the Jal Nigam and PSU Foundation have jointly achieved a remarkable improvement in the running, and acceptance by the villagers, of various schemes under the Project.

The formal proposal for completion of the Project and a draft proposal for a three-year pilot project on optimizing O&M will be rewritten, following guidelines that have been prepared in extensive consultation with management and field staff of the Jal Nigam and PSU Foundation.

The mission has given several recommendations on these proposals, the most important of which are:

- a. creating a single Jal Nigam Maintenance Division for O&M of all 14 IDC schemes under Project IV, in accordance with a decision taken already on 29 July 1996;
- b. elaborating clear tasks for the Scheme-Level Committees as well as legalizing Scheme-Level Water and Sanitation Committees under the provisions of the Panchayat Act;
- d. integrating the present double administration on scheme-wise revenues and expenditures, done by both PSUF and Jal Nigam, into a single, transparent system, and opening separate bank accounts for each scheme, in order to facilitate the future transfer of these accounts to legal bodies at the scheme level.

With the submission of a '*Closing Report of Sub-Project V*' of December 1995, Phase A and the Interim Phase of **Project V** were formally closed. Because the financial data on these phases could not be reconciled between the Netherlands authorities and the Indian implementing agencies, the Annual Plan for 1996/1997 was not approved by the Royal Netherlands Embassy. The mission feels, however, that there is no rationale in linking the activities under Sub-Project V-B and those under Phase A/Interim Phase, and urges the Netherlands authorities to clear the Annual Plan 1996/1997 after all.

Per 25 November 1996, on a target of 6,916 household sanitary latrines, 6,120 latrines had been completed, with another 354 units under construction. The remaining latrines are expected to be completed by January 1997, provided that the required funds are released in time. In addition, requests for at least 140 additional latrines have been received in the villages covered under the programme. The mission learned that the Government of The Netherlands will allow the balance funds under the rupee allocation to be used for the construction of additional latrines, at the recommendation of the Task Force.

Once more, the original works under **Project VI** could not be completed due to non-availability of funds at the field level. The mission urges both the Secretary, DUD, and the Jal Nigam management to make sufficient funds available in time, so that the original component of Sub-Project VI can be completed before the end of February 1997.

The so-called II Addendum to Project VI, for the installation of 1,915 additional handpumps in Siddharthnagar, was cleared by the Royal Netherlands Embassy on 29 August 1996.

A revised cost estimate for *Project VIII*, with a technical component of Rs. 516.0534 million and a training component of Rs. 20.7369 million, was cleared by the Netherlands authorities on 16 August 1996.

In practice, for several reasons, delays occur between the various stages of the programme: site selection, handpump installation and construction of platform and drains, as a result of which sites that had originally been agreed upon, have meanwhile become disputed. Also the delays in constructing the platforms impair the community participation activities, as the installed handpump remains unusable or its surroundings become waterlogged. The field staff involved will, therefore, need to be instructed to implement the technical activities with as little delay as is possible, while sufficient funds must be released timely so as not to impede the progress of the works.

The mission reiterates its earlier statements that, in accordance with agreed procedures, sites for handpump installation need to be identified by Jal Nigam and PSUF staff jointly. Handpumps installed without site selection according to these procedures shall not be considered a part of the IDC programme and shall not be included in reimbursement claims to the Netherlands authorities.

The current contract on *Project IX* expires in the course of 1997. The Netherlands Government will need to take a decision on the modalities under which the basic support for community participation by the PSU Foundation will be funded afterwards, either by extending the current contract, or by allowing the PSUF to charge a certain overhead on all its activities.

Pipeline and proposed projects

Project I-A continues to have a high priority under the prevailing policy guidelines, but needs to be rephrased in line with — at least preliminary — experience gained under the pilot project on O&M in Project IV. For that reason, the reformulation of the project cannot start before the year 1998.

To fully saturate the districts covered under Project VI, 41,083 handpumps would have to be installed. The mission explored several other options and recommends that the final project proposal be based on saturating both Siddharthnagar and Lakhimpur Kheri districts in total, and in the remaining districts only those blocks where decentralised maintenance training has been carried out; this would imply that a total of 10,980 new handpumps are required. The UP Jal Nigam and PSUF will jointly prepare a project proposal for this *Project X*.

The Jal Nigam's Rural Sanitation Division, jointly with PSUF staff, will carry out a survey in the Sub-Project IV area on priorities for environmental sanitation, possibly involving a cafeteria-style approach with a considerably higher contribution by the beneficiary, aimed at obtaining insight into the need for latrines and rural drainage, and the willingness of the potential beneficiaries to contribute to the costs involved. The survey should be completed before the end of the financial year 1996-97, and preferably result in the proposal of a new *Project XI*.

Under the current policy guidelines, *Project VII* is not likely to be taken up in the foreseeable future.

Other proposals

Several proposals and suggestions for new projects have been brought forward, such as:

- a. further development of decentralised operation and maintenance of rural water supply handpump and piped supply schemes;
- b. support in training, capacity building and organisational development;
- c. use of renewable energy, instead of conventional energy sources, for water pumping;
- d. support for water supply and sanitation in recently urbanized rural centres, which are not yet competitive enough to compete for project financing aimed at urban centres, and which are no longer eligible for funding for rural development either;
- e. Scrutiny of possibilities for support to areas which have problems with groundwater quality, either salinity or fluoride. One Jal Nigam prepared proposal on optimizing O&M of Unnao schemes have been submitted to the mission for review. Provision of water supply in salinity affected areas in the districts of Mathura and Agra was mentioned.

The mission discussed the merits of the various proposals, and reviewed their costs. Guidelines for the formulation of Project XI, as a follow-up for Project V have been provided by the Mission and agreed upon by the implementing agencies. These will also, probably in cooperation with NEDA and TERI, formulate more detailed and practical proposals for the application of solar energy in rural water supply.

E. SUMMARY OF PLANNED AND REQUESTED SHORT-TERM ACTIONS¹

The *Government of The Netherlands / Royal Netherlands Embassy* is requested to:

1. Approve the Work Plan for Project V-B (September 1996 - March 1997);
2. Extend Project IX upon expiry of the current contract, or allow the PSU Foundation to retroactively charge an additional overhead over its activities in the various Projects, to build up the required financial reserve.

The *Government of Uttar Pradesh* has undertaken to:

1. Make available the full annual budgets required for implementation of the IDC programme, in time.

The *Government of Uttar Pradesh* is requested to:

1. Endorse, as promised repeatedly, the creation of 12 posts for chemists at the IDC water testing laboratories.

The *Uttar Pradesh Jal Nigam* has undertaken to:

1. Reformulate, jointly with the PSU Foundation, the proposal for completing the works under Project IV, as agreed with the mission;
2. Reformulate, jointly with the PSU Foundation, the proposal for a Pilot Project on operation and maintenance of piped supply schemes under Project IV, as agreed with the mission;
3. Survey, jointly with the PSU Foundation, the possibilities for a sanitation component in the area covered by Project IV, and present a potential project proposal as a new Project XI;

¹ This list includes issues that were raised during earlier missions, but were still pending at the time of mission IDRM-1 (UP-37).

4. Submit, jointly with the PSU Foundation, a proposal for the installation of additional handpumps in the Project VI districts, in accordance with the recommendations of the mission.

The *Uttar Pradesh Jal Nigam* is requested to:

1. Abstain from taking up work on new laboratories under the IDC programme until well-qualified staff for the existing laboratories has effectively become available, the equipment of those laboratories has been restored in good order and the labs have started functioning as intended;
2. Submit cost estimates for implementation works in time to the State Government, so as to ensure the timely availability of funds to the field staff, thereby preventing further delays in implementation of the works under the IDC programme;
3. Create a single maintenance division for maintaining the IDC piped supply schemes under Project IV. Such creation is likely to be a precondition for the clearance of the pilot project on operation and maintenance of those schemes;
4. Formally close the original Project VI, including the I Addendum for additional handpumps in Lakhimpur Kheri, preferably by the end of the financial year 1996-97, but not later than mid-1997.

The *PSU Foundation* has undertaken to:

1. Reformulate, jointly with the UP Jal Nigam, the proposal for completing the works under Project IV, as agreed with the mission;
2. Reformulate, jointly with the UP Jal Nigam, the proposal for the Pilot Project on operation and maintenance of piped supply schemes under Project IV, as agreed with the mission;
3. Survey, jointly with the UP Jal Nigam, the possibilities for a sanitation component in the area covered by Project IV, and present a potential project proposal as a new Project XI;
4. Submit, jointly with the UP Jal Nigam, a proposal for the installation of additional handpumps in the Project VI districts, in accordance with the recommendations of the mission.

The *PSU Foundation* is requested to:

1. Timely submit quarterly progress reports on its activities, Project-wise;
2. Adjust its financial reporting, to fully comply with the guidelines provided by the Royal Netherlands Embassy in New Delhi

SECTION I

INTRODUCTION

1 INTRODUCTION

1.1 ABOUT IDRM-1

For some time already the Netherlands authorities had entertained the idea of changing the character of the Review and Support Missions that had been fielded by them in Uttar Pradesh since 1978. Especially enhancing the involvement of the various Indian parties in these missions was aimed at, while also separating the components *review* and *support*. The Royal Netherlands Embassy in New Delhi, in several letters to the Department of Urban Development of Uttar Pradesh therefore proposed to amend the routine bilateral programme review and support structure. In that context, in March 1996 the former mission leader of the RSM carried out a so-called "Pathfinding Mission" in which the various Indian authorities involved were consulted about their views on the new type of missions. This resulted in an Aide Memoire "*Progress review of Netherlands funded RWSS schemes in Uttar Pradesh*" of 31 March 1996, with Terms of Reference for the new missions, which was signed by the Managing Director of the UP Jal Nigam, the Chairman of the Task Force, and the Director of the PSU Foundation.

In the new set-up, the Indo-Dutch Review Mission would comprise a minimum of three experts, in addition to the Mission Leader, the experts being designated — for the Indian members by name — by the UP Jal Nigam and PSU Foundation, on the advice of the Task Force for the Indo-Dutch Cooperation programme, which was established on 27 July 1989. The Mission Leader should be a qualified independent person of Indian nationality, to be appointed by the Department of Urban Development, Government of Uttar Pradesh, on the advice of the UP Jal Nigam, at the recommendation of the Task Force.

At least one of the mission members should have the Netherlands nationality, while having acquaintance with the Indian situation and a professional qualification in water supply/sanitation. To ensure a smooth transformation from RSM to IDRM, the Dutch members of the former RSM would be members of the new IDRM at least for the first year.

The first mission according to this new set-up, Indo-Dutch Review Mission IDRM-1 (UP-37), was carried out from 24 November to 13 December 1996. Because of the absence of an elected Government in Uttar Pradesh and delays in the appointments of new top management staff for the UP Jal Nigam, the composition of the mission was of a temporary nature only, not yet fully in accordance with the guidelines laid down in the Aide Memoire and Terms of Reference referred to above. It had the following composition:

Eng. D.C. Garg, Chief Engineer (Kumaun) UP Jal Nigam	-	Mission Leader
Eng. R.K. Khanna, Manager (Monitoring) UP Jal Nigam	-	Mission Member
Dr. J. Dé, Director PSU Foundation	-	Mission Member
Ms. P. Nair, Coordinator Training, PSU Foundation	-	Mission Member
Drs. (Mrs.) A.M.A. Hoogenboom	-	Mission Member
Ir. R. Trietsch	-	Mission Member / Rapporteur

The mission's time schedule and a list of persons met or involved in the programme, are given in Annexes A and B, respectively. The mission's "*Conclusions and Recommendations*", as agreed during the final discussions in Lucknow, are given in Annex C to this report.

1.2 SUB-PROJECTS NOW PROJECTS

With the start of the Indo-Dutch Review Missions, it was decided to adapt the nomenclature for the components within the Indo-Dutch Cooperation (IDC) programme. Whereas originally the

IDC programme had been called a 'Project' (e.g. the Dutch Project), and its parts 'Sub-Projects', that terminology was increasingly found to be confusing. Since each of the 'Sub-Projects' is of a size that is fully comparable with what elsewhere is called a project, it was agreed that henceforth the 'Sub-Projects' under the IDC programme will be called 'Projects'. In this mission report the nomenclature 'Project' has thus been used throughout, except where — as in certain Annexes — the original text had already been prepared well before mission IDRM-1.

1.3 ARRANGEMENT OF THE REPORT

During the discussions on the new mission structure, the UP authorities stressed the fact that they wished to retain the format of the RSM mission reports as much as possible. During mission IDRM-1 it was decided, however, to introduce a few changes to further improve the readability of the report. These are:

- the chapter 'Introduction and Summary' will be split in an 'Introduction' part, and a separate Executive Summary which will be put at the very beginning of the report;
- the report will be divided into 3 sections: one containing the introduction, one referring to the various Projects (formerly Sub-Projects), and one referring to issues that are not related to individual projects only;
- within Section II the projects are no longer dealt with in numerical order, but grouped under Completed Projects, Ongoing Projects, Proposed Projects and Pipeline Projects. The difference between the latter two is that Pipeline Projects are projects that have been proposed and are likely to be started within the foreseeable future, whereas for Proposed Projects the status is less definitive.

According to the Terms of Reference that are attached to the Aide Memoire of 31 March 1996, for the first mission(s) reporting would continue to be done by the former mission leader of the RSM. The mission leader of the IDRM would then visit the Netherlands for a final check of the draft report text, before this would become final. Because of the temporary nature of mission IDRM-1, this procedure was not yet introduced, and the report was entirely compiled by the Mission Member/Rapporteur. All other parties did contribute to the report, however. The PSUF mission members, in close interaction with Mrs. Hoogenboom, prepared most of the components of Section III, as well as several other parts, in January 1997. Final editing of all texts was done by Mr. Trietsch.

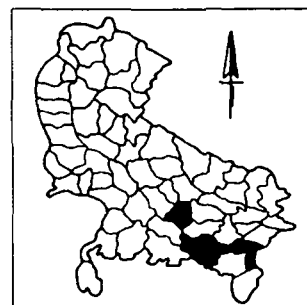
For the UP Jal Nigam reactions on the actions requested by mission UP-36 are given in the *"Indo-Dutch (U.P.-36) Compliance Report"* (see Annex D). Reactions by the PSU Foundation are included in several notes and reports, e.g. *"Sub-Project IV: A Profile"*, *"Sub-Project V: A Profile"*, *"Sub-Project VIII: District Profile"*, *"Sub-Project VIII: Progress"*, as well as well-prepared information material for the areas that were visited by the mission. While the size of these documents precludes their integral incorporation in this mission report, wherever applicable parts of them have been included.

SECTION II
PROJECTS

2 COMPLETED PROJECTS

2.1 PROJECT I

(Piped water supply schemes, UP East)
 (DGIS Code Nos. IN/00/165 and IN/00/168)
 (DGIS Code No. IN/88/026 for Final Evaluation)



CONCISE SUMMARY OF PROJECT HISTORY

A Project Profile Report by Jal Nigam, dated June 1978 and comprising 22 piped water supply schemes in the districts Rae Bareilly, Allahabad and Varanasi, was first evaluated in November 1978. The "Dutch Credit Programme Appraisal report on Project I (April 1979)" was submitted on 31 July 1979 and showed a project cost of Rs. 107.068 million, excluding price contingencies.

In the course of execution of the Project a number of modifications were incorporated, including: increased number of public standposts (4411 standposts, in stead of the original 1420); enhanced quality of public standposts, resulting in higher unit costs; exempted power feeders for all headworks; spare pump units to be available at all headworks; district and mobile water laboratories in each of the Districts. Inclusion of voltage stabilizers in all schemes in Rae Bareilly and Allahabad and problems with the contracts for the construction of the overhead tanks and with finding suitable tubewells in Rae Bareilly further raised project costs, in a number of stages, to Rs. 165.277 million. The Netherlands Government funded these expenditures to the extent of the available Dutch guilders allocation, resulting in a total reimbursement of Rs. 164,217,169.24.

Against an originally estimated completion by March 1982, which was soon modified to April 1983, most of the schemes were operational by March 1985, with so-called direct pumping to supply water in those cases where the overhead tanks were not yet ready. By May 1987 all activities for the Project had been completed. Compared with a target population of 912,100 (in the year 2011), by 1986 about 713,000 people had been provided with an improved water supply.

The Project was terminated, and a Final Evaluation completed by the end of May 1989.

Area covered:	724 villages: 241 in Rae Bareilly, 100 in Allahabad, 383 in Varanasi
Target:	22 piped water supply schemes, supplying 912,100 persons, through house connections and 1420 public standposts
Completed:	22 schemes as mentioned above, with 4411 public standposts
Planned duration:	July 1979 - March 1982
Actual duration:	December 1979 - May 1987; Final evaluation: May 1989
Implementing agencies:	UP Jal Nigam
Cost estimate:	Rs. 165.277 million

2.2 PROJECT III
(Handpump schemes)
(DGIS Code Nos. IN 00 013 and IN 00 169)



CONCISE SUMMARY OF PROJECT HISTORY

The first proposal for Project III comprised the installation of 3806 handpumps in 665 villages in the Districts Allahabad, Agra, Mathura and Etawah, with a total cost of Rs. 77.682 million. The total population to be served (year 1991) amounted to about 670,000.

Based on recommendations made by the Comprehensive Review and Appraisal Mission UP-8, the Project was modified, to include 3172 handpumps in 537 villages, in the same Districts, at a cost of Rs. 65.367 million. The side letter for this modified project was exchanged around October 1985. Work started in January 1986, and would be completed by December 1987.

After the side letter had been exchanged, 22 "new" villages were included in Allahabad District and 7 in Etawah District, to compensate for handpumps that had meanwhile been constructed under other programmes, while 75 so-called "open top cylinder" handpumps were also included in the Project. As a result also of the later start of the Project, the project cost thus became Rs. 76.051 million (April 1986).

Further cost increases were caused by the inclusion of zonal and mobile laboratories, inspection bungalows, a larger number of handpumps because of updated population data, and the inclusion of the Farha area that was originally included in Project VII (Firozabad). The final budget, using the balance under the guilders allocation, was cleared on 10 March 1993, raising the over-all project cost to Rs. 127.354 million. The total number of handpumps to be installed under the Project thus became 5,888.

The Project was formally terminated, including finalization of all accounts, by May 1995. The Completion Report for the Project was submitted in July 1996.

Area covered:	967 villages: 199 in Allahabad, 59 in Agra, 55 in Mathura, 457 in Etawah, 98 in Firozabad (Mainpuri) and 99 in Farrukhabad
Target:	5,888 handpumps: 1074 in Allahabad, 392 in Agra, 377 in Mathura, 2917 in Etawah, 500 in Firozabad (Mainpuri) and 628 in Farrukhabad
Completed:	5,999 handpumps, as indicated above
Planned duration:	January 1986 - December 1987
Actual duration:	January 1986 - June 1994; Completion Report: July 1996
Implementing agencies:	Jal Nigam
Cost estimate:	Rs. 127.354 million

2.2.1 Formal closure of the Project

Physical implementation of the Project was completed around June 1994. A formal "Completion Report Sub-Project III", indicating a completion cost of Rs. 126,865,792.29 for a total of 5,888 installed handpumps, was submitted in July 1996. In accordance with mission UP-36's proposal, the cost of additional equipment for the borehole logger, earlier budgeted under Project VI, had indeed been booked against the budget for Project III (see Table 2.1).

The mission was informed by the UP Jal Nigam that a final inspection by the Accountant General (UP) had already taken place, but that the relevant report had not yet been received.

2.2.2 Project cost

The formally cleared final cost estimate for the project amounts to Rs. 127.354. Against this, total expenditures amount to Rs. 126,865,792.29 as shown in Table 2.1:

Table 2.1 Final expenditures, Project III

District	Project cost (Rs.)		Handpumps installed		
	Estimated	Actual	SWS ¹	Others	Total
Allahabad	20,878,900.00	21,057,058.21	290	784	1,074
Agra	14,839,700.00	15,399,831.44	57	335	392
Mathura	12,654,400.00	13,496,718.20	151	226	377
Etawah	60,742,100.00	57,845,000.00	896	2,021	2,917
Farrukhabad	7,812,200.00	7,812,200.00	116	384	500
Firozabad / Mainpuri	10,166,400.00	9,443,313.46	150	478	628
Lucknow (computer)	260,400.00	231,670.98	-	-	-
Lucknow (logger)	-	1,580,000.00	-	-	-
TOTAL	127,354,100.00	126,865,792.29	1,660	4,228	5,888

The final project cost is thus around Rs. 488,000 lower than the latest cleared cost estimate for the Project. According to information received earlier from DGIS and the Royal Netherlands Embassy in New Delhi, 85% of the finally approved Project budget, being the maximum reimbursable amount, had already been reimbursed to the Indian authorities through NIO. In fact an amount of 85% of the surplus of Rs. 488,000, or around Rs. 415,000, should thus be returned to the Netherlands authorities.

According to information from the Ministry of Finance in New Delhi, Department of Economic Affairs, the excess balance amounted to Rs. 7,139,601 before the final reimbursement claim (Claim 27, for an amount of Rs. 3,417,134) was submitted. Taking into account claim 27, the final surplus amount would be Rs. 3,722,467. This amount would be returned to the NIO in The Hague.

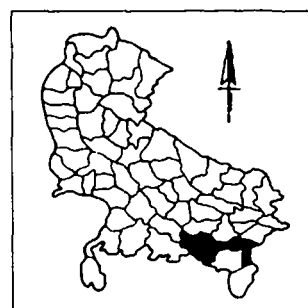
The mission is not in a position to reconcile the information from the Ministry of Finance with the data received earlier, according to which the balance amount would be considerably lower, as indicated above.

¹ socially weaker sections

ONGOING PROJECTS

3 PROJECT IV

(Piped water supply schemes)
(DGIS Code Nos. IN 84 004 and IN 92 014)



CONCISE SUMMARY OF PROJECT HISTORY

Project IV was conceived as a replacement for schemes that had originally been proposed for Project II, but whose implementation within the NAP was cancelled as the result of non-acceptance by the Netherlands Government of their set-up.

The first proposal, for 9 schemes in Varanasi District and 2 in Allahabad, was informally submitted in April 1985 ("Report for Pre-appraisal of Project II (East)(revised), Instalment I for Varanasi and Allahabad Districts"). Additional information was given in an Addendum to the Appraisal Report, which was cleared by mission UP-14. This showed a total project cost of Rs. 106.237 million, which, because of further requests from the Netherlands side, finally became Rs. 119.30 million, as mentioned in the side letter of 13 August 1987.

The official start of the Project was fixed on 1 December 1987, resulting in expected completion of the Varanasi schemes by December 1989 and of the Allahabad schemes by March 1990. A revised addendum to Project IV, covering additional drainage requirements and cost escalation based on the later start, was received by mission UP-18 in December 1987. It mentions a total project cost of Rs. 112.564 million.

Project IV was the first project within the IDC programme with pre-financing of a part of the Dutch cost component. It covers 199 villages, with a design population (year 2019) of 384,130.

On 30 April 1991 the Jal Nigam submitted a "Second Revised Addendum to Dutch Project IV", including extensions and community participation, with a total cost of Rs. 125.715 million. The technical component of this addendum (Rs. 123.099 million, including technical training) was cleared on 27 November 1991; a revised proposal for the community participation component with a total cost of Rs. 6.549 million was cleared by the Netherlands Government in June 1992.

Following recommendations to use the balance of funds under the guilders allocation for the Project, a Fifth Revised Addendum to Project IV was cleared on 10 March 1993, raising the total cost of the Project to Rs. 165.4665 million, inclusive of a community participation component of Rs. 6.549 million.

During mission UP-36 it transpired that additional works would be required to complete the Project. A proposal for such completion works, and for an O&M pilot project in the area would be submitted to mission UP-37.

Area covered:	262 villages: 23 in Allahabad, 118 in Bhadohi and 121 in Varanasi District
Target:	14 piped supply schemes: 2 in Allahabad, and 6 each in Bhadohi and Varanasi Districts
Completed:	all schemes in advanced stage of completion
Planned duration:	December 1987 - March 1990
Actual duration:	December 1987 - ?
Implementing agencies:	Jal Nigam and PSU Foundation
Cost estimate:	Rs. 172.9245 million (including VI Addendum): Rs. 158.9175 million for physical implementation Rs. 6.549 million for community participation

3.1 PROJECT STATUS

3.1.1 Status of water supply in the area of Project IV

Although reportedly almost 100% of the works had been completed by September 1995, about 18% of the target villages did not receive water, while a number of others received irregular and insufficient supply. In preparation for the Pilot Project, which started without extra funds in January 1996, a number of problems have been addressed and remarkable improvements in scheme performance and acceptability by the villagers have been achieved. A joint inventory was carried out by field staff of the UP Jal Nigam and the PSU Foundation, during which all pipelines were traced, handpumps and public standposts counted, etc. The results are shown in Table 3.1. UP Jal Nigam's quarterly progress report on Project IV for the period ending September 1996 is given in Annex E.

Because of some confusion regarding the status of Tikri (originally proposed under Project I-A, but subsequently included in Project IV) this scheme had not been incorporated in the inventory, so that the data in Table 3.1 for Tikri will have to be updated. It was decided that an inventory for Tikri will be undertaken at short notice.

Table 3.1 Status of water supply (November 1996)

Scheme name	Distribution system: km laid	No. of villages		Installed Nos. of		No. of handpumps installed	Daily hours of water availability
		included in scheme	receiving water	public standposts	house conn.		
ALLAHABAD							
Kausam Khiraj	55.01	12	11	12	97	77	2.30
Chhekawa	39.01	11	10	15	180	68	5.00
BHADOHI							
Rohi	46.91	35	25	38	126	33	2.30
Birampur	53.94	17	17	67	173	68	4.45
Kasidaha I	39.39	14	8	24	126	60	4.30
Inargaon	36.50	20	10	63	65	13	3.15
Bairibisa	54.05	20	12	65	341	36	3.30
Kasidaha Extension	33.58	15	8	4	161	25	3.30
VARANASI							
Hathibarni	51.71	26	25	59	432	0	4.06
Jansa	48.90	22	22	51	481	11	5.40
Awajapur	50.09	17	16	30	299	4	5.06
Mahadapur	44.27	13	10	27	129	10	5.40
Tendui	41.69	17	13	33	226	23	4.06
Tikri	16.00	27	10	?	1,650	172	N.A.
Total:	611.05	266	167	368	4,486	590	

Details of the situation per November 1996 are laid down in the PSUF report "Sub-Project IV: A profile" of November 1996, which also gives scheme-wise information on salient features and status of operation and maintenance, including revenue mobilization.

The number of handpumps shown in Table 3.1 is more or less the same as one year earlier. This is due mainly to the policy of the implementing agencies, as reflected in a decision of the Task Force, not to install additional handpumps during the period when efforts would be geared to increasing the numbers of private connections (see Annex F "Major policy decisions taken by PSU Foundation and UP Jal Nigam during the period January-December 1996"). The mission also learned that several schools were switching over from standposts to private connections.

3.1.2 Completion of the Project

The mission received two Appraisal Reports, one for completing the schemes and one for a two years' Pilot Project on optimizing O&M, titled:

- a. *"Proposed extension of Sub-Project IV (V Addendum) with VI Addendum (IN 84004)"*, submitted to the Royal Netherlands Embassy by letter of 03.09.96 (ref. Letter 179-49 anu.)
- b. *"Pilot Project, A proposal for Operation & Maintenance of Sub Project IV Schemes"*, November 1996, Uttar Pradesh Jal Nigam. Cost estimate Rs. 1250.427 lacs, excluding CPC.

Since both proposals were overlapping, showed discrepancies between field data — derived from a joint inventory undertaken Jal Nigam and PSU field staff in the months of February — May 1996 and data presented in the appraisal, were not jointly prepared by Jal Nigam and PSU Foundation, and showed that there was a lack of circulation of results of the inventory amongst Jal Nigam officers, rewriting is necessary.

Although certain corrections to appendices in the VI Addendum report were received in the course of the mission itself, it was decided that both reports would be adapted in accordance with guidelines that the mission prepared in extensive consultation with management and field staff (see Appendix A to the mission's *"Conclusions and Recommendations"*, Annex C to this report). Especially the mission's recommendations regarding the institutional set-up for the O&M pilot project are expected to result in a substantial reduction in cost, from around Rs. 125 million to Rs. 90 million.

Both the UP Jal Nigam and PSU Foundation undertook to have the revised reports — which will be integrated into one physical volume — prepared well in time for the next mission, i.e. not later than February 1997. The mission was informed that the Royal Netherlands Embassy will in principle favourably consider both proposals.

3.2 FUNCTIONING OF SCHEMES AND PREPARATION OF THE PILOT PROJECT

3.2.1 Progress of the new approach

In December 1995 a new approach was proposed for achieving a sustainable operation and maintenance of the schemes. The PSU Foundation and Jal Nigam committed themselves to undertake an intensive pilot study of 4 selected schemes under the title *"Optimization of Operation and Maintenance in four piped supply schemes"*. The intention was to explore the actual state of affairs in these schemes with participatory research and in continuous discussion with the communities concerned.

Four institutions are involved in realising a sustainable set up of decentralised scheme level O&M:

- a. District Administration
- b. Jal Nigam
- c. PSU Foundation
- d. Scheme Level Committees representing Gram Panchayats.

Based on the Terms of Reference formulated during mission UP-36, in the months of February - May 1996 a joint inventory of the status and requirements for rehabilitation of the schemes was undertaken by Jal Nigam and PSU field staff. The very detailed inventory included verification of functionality and availability of physical assets, including distribution system, proposed pipelines and water points, inventory of status of headworks, status of private connections,

public water points, requirements for repairs, building works, electrical transmission lines up to physical and financial variation in the workforce. During 1996 the implementing agencies took a number of major joint decisions to operationalise the joint approach. (See Annex F). Based upon this a *UP Jal Nigam - PSU Foundation joint action plan for October-December 1996* was prepared.

The results of the first 11 months of concentrated efforts by PSUF and Jal Nigam have been recorded in the document *Indicative Achievements* of November 1996.

Without extra financial input from the Dutch side, but with concentrated efforts on institution building and leakage repairs during the past year a number of schemes have shown remarkable progress in terms of promotion of private connections, revenue realisation, reduction of water losses and reliable water supply to the customers. Leakage repair has increased with over 1000% in Varanasi schemes and therewith the performance of the schemes has been greatly improved. Community facilitation has improved the water supply by mobilisation of labour for leakage repairs, preventing vandalism, by revenue generation, and promotion of private connections. Formal institutional structures at scheme level are evolving to look after O&M and in the future to manage the financing of O&M.

The Jal Nigam made relatively small investments to the tune of Rs. 30,000 for one scheme, but due to a revenue increase of 69% in the five schemes in Varanasi, with the exception of Tikri, it earned its investments amply back. With the performance improvements, coupled with a decision to fix the private connection uniformly at Rs. 590, the number of applications for new connections has increased at a fast rate.

3.2.2 Increase in numbers of house connections

The best result of the past year has been the increase in applications for house connections, to more than 38% over-all.

Table 3.2 Growth of house connections in 1996

Scheme name	Number of villages	Number of households	Number of house connections		Growth in % per year
			1995	1996	
Allahabad					
1 Kausam Khiraj	12	2,628	75	97	29.33%
2 Chekawa	11	2,361	156	180	15.38%
Bhadohi					
3 Rohi	35	5,593	115	126	9.57%
4 Birampur	17	3,745	121	173	42.98%
5 Kasidaha I	14	3,408	105	126	20.00%
6 Inargaon	20	5,049	26	65	150.00%
7 Bairibisa	20	4,133	248	341	37.50%
8 Kasidaha Extension	15	2,578	70	161	130.00%
Varanasi					
9 Hathi Barni	26	2,765	368	441	19.84%
10 Jansa	22	2,206	355	497	40.00%
11 Awajapur	17	2,753	164	305	85.98%
12 Mahadapur	13	2,060	88	129	46.59%
13 Tendui	17	3,179	160	226	41.25%
14 Tikri	27	??	1,183	1,609	39.01%
TOTAL:	266	42,458	3,234	4,476	38.40%

By the end of November 1995 the number of house connections stood at 3,234 (viz. 231 in Allahabad, 685 in Bhadohi and 2,318 in Varanasi), against 4,476 at the end of November 1996 (277 in Allahabad, 922 in Bhadohi and 3,207 in Varanasi), as shown in Table 3.2 above.

Even one month after the first discussion on a new approach, by the end of December 1995, the number of house connections had already increased to 3,668: 2,727 in Varanasi, 708 in Bhadohi and 233 in Allahabad.

The primary reason that a large number of households did not opt for house connections earlier was the poor supply of water and the very high (and varying) connection charges. In market terms, the consumers reacted rationally, by not buying a poor-quality product. People have been convinced of the fact that water tariffs *are not a political issue, but a consumer payment necessary for ensuring the regular provision of a basic necessity*. After harmonizing the connection charges and addressing the main causes of the irregular and unreliable supply service (namely leakages and irregular pumping hours) the demand steeply increased. Because the PSUF has effected a dialogue through the Pradhans' Forums at scheme level the main problems and gaps in the schemes could be addressed and corrected with contributions of the people.

The demand for new connections has increased so much that the available fitters (one per scheme) can no longer handle these. By the end of November 1996 618 applicants were waitlisted in the District of Varanasi alone. To cater for the backlog in installation extra pipe fitters are urgently needed. Training more pipe fitters would deal with the backlog problem.

3.2.3 Revenue projections

Clear contractual agreements are now concluded with each customer. Through revenue drives and camps most of the arrears have been collected in the Varanasi schemes, while the other schemes will be addressed soon. The general policy has been to wave 50% for arrears older than two years, while the other 50% should be paid. For more recent arrears the full 100% should be paid.

The mission made some revenue projections, based on data provided by the field staff. A moderate scenario has the following assumptions:

- the increase in connections at the present rate of 40% per year can be sustained in 1997 (due to demand catching up), while after that it falls back to an annual increase of about 25%;
- the tariff per month will gradually increase from the present Rs. 20.5 per month, to Rs. 22.5 in 1997, Rs. 30 in 1998 and Rs. 32 in 1999;
- the collection efficiency will be at least 85%.

In this scenario the revenues will be over Rs. 30 lacs in the year 1999, as compared to Rs. 6.45 lacs over the year 1996, which as such already showed a trebling over 1995. The projected revenues are shown, per scheme, in Table 3.3 on the next page.

The speed with which individual schemes can recover O&M costs will differ. In Varanasi projections have been made for each scheme on the time that will be required before the scheme level O&M costs are likely to be fully recovered. While, according to the projections, some schemes will recover already more than half of these costs within 6 months (Jansa nearly 62.5%, Awajapur over 50%) other schemes need more concerted efforts.

Table 3.3 Revenue projections for Project IV schemes

Scheme name	No. of HCs (projected from 1997 onwards)					Tariff in Rs. Per month					Revenues realised (Rs.)					
	1995	1996	1997	1998	1999	1995	1996	1997	1998	1999	1995	1996	1997	1998	1999	
Allahabad																
1	Kausam Khiraj	75	97	197	297	347	10	20	22.5	30	32	n.a.	23,370	45,212	90,882	113,261
2	Chhekawa	156	180	280	340	400	10	20	22.5	30	32	n.a.	1,360	64,260	104,040	130,560
Bhadohi																
3	Rohi	115	126	276	426	576	10	20	22.5	30	32	n.a.	19,110	63,342	130,356	188,006
4	Birampur	121	180	273	373	473	10	20	22.5	30	32	n.a.	24,020	62,654	114,138	154,387
5	Kasidaha I	105	126	276	376	476	10	20	22.5	30	32	n.a.	21,610	63,342	115,056	155,366
6	Inargaon	26	65	165	265	365	10	20	22.5	30	32	n.a.	0	37,868	81,090	119,136
7	Bairibisa	248	341	441	541	641	10	20	22.5	30	32	n.a.	93,450	101,210	165,546	209,222
8	Kasidaha Extension	70	161	311	461	561	10	20	22.5	30	32	n.a.	13,620	71,375	141,066	183,110
Varanasi																
9	Hathi Barni	368	441	582	732	832	10	20	22.5	30	32	85,820	109,260	133,569	223,992	271,565
10	Jansa	355	497	622	750	850	10	20	22.5	30	32	77,900	181,760	142,749	229,500	277,440
11	Awajapur	164	305	405	500	600	10	20	22.5	30	32	11,710	66,170	92,948	153,000	195,840
12	Mahadapur	88	129	279	429	529	10	20	22.5	30	32	7,070	15,900	64,031	131,274	172,666
13	Tendui	160	226	326	426	501	10	20	22.5	30	32	43,190	75,860	74,817	130,356	162,526
14	Tikri	1,183	1,650	1,815	1,997	2,196	10	20	22.5	30	32	n.a.	n.a.	416,543	610,929	716,823
TOTAL		3,234	4,524	6,248	7,913	9,347						225,690	645,490	1,433,920	2,421,225	3,049,908

- 1 The number of house connections is based upon: 1995: UP-36 report
1996: PSUF report "SP IV, A profile, November 1996"
The estimates for Jansa and Awajapur have been taken from detailed scheme reports per December 1996.
The estimated increase in HCs is based on PSUF's estimate of potential Hcs, divided over 3 years (1997-1999).
For the Tikri scheme no data were available; an increase with 10% annually is assumed, provided that the scheme is split in two.
- 2 Revenue realisation: 1996 figures for 5 schemes in Varanasi except Tikri taken from Indicative Achievements, November 1996; The revenue collection in these 5 schemes improved with 69% in one year. Revenues for 1997 and later have been estimated on the basis of the increase in house connections, increase in tariffs, and a collection efficiency of 85%.

3.2.4 Coordination of the works

To better coordinate activities that in the current set-up involve Jal Nigam staff of different divisions in different districts, the creation of a single division for O&M covering all 14 IDC schemes is necessary. A decision to that effect was taken already on 29 July 1996 by the joint IDC Review Meeting, chaired by the Chief Engineer (Dutch), but not yet implemented.

3.2.5 Staffing at scheme level

It can be observed that the scheme level staff needs extra training and adaptation to the new approach. To contribute to the fitters' shortage the District authorities have agreed to sponsor a one-month course for 20 fitters under the TRYSEM programme, in which PSUF modules and trainers would be used. These fitters will also be trained as handpump mechanics, so that they can look after all water supply facilities not only for the IDC schemes but for adjacent schemes and handpumps as well.

3.2.6 Electricity supply

Another important result of the new approach is the enhanced reliability of electricity supply to several schemes. Present records show a positive progress with a steady supply of about 15 hrs to 17 hrs per day during at least 92% of the days throughout the year. Only the monsoon period forms an exception. Positive media attention and the facilitating role of the DCC are positively influencing this steady pattern. The District Administration, through the District Coordinating Committee, plays an essential role in coordinating with the UP State Electricity Board (UP SEB) to ensure uninterrupted power supply for pumping, as at district level no formal coordination exists between the Jal Nigam and UP SEB. In turn, the UP SEB now expects regular payments of its power bills, when piped supply schemes no longer run at a deficit.

As reported earlier, the Jal Nigam has reconciled part of its outstanding electricity bills at the state level, and has recently paid 14 crores of its total arrears of 50 crores to the UP SEB.

3.2.7 Preparation of formal proposal for the Pilot Project

The Mission has proposed guidelines for the preparation of a formal project proposal for the Pilot Project and enclosed these as Appendix A to its Conclusions and Recommendations (see Annex C to this report).



Pradhans' meeting at Awajapur headworks site, Project IV, Varanasi District

To enable the Scheme level organisations to play a substantial role in the decentralised set-up the following recommendations are given:

1. Clear tasks for the Scheme Level Committees — mainly consisting of the Pradhans of the villages covered under the scheme — will be elaborated, which aim at encouraging them to take up — after scheme improvements have been realised — additional water supply tasks related to environmental sanitation and drainage. Small sub-committees will be established and trained to manage revenue collection and expenditures. After they have evolved as viable institutions the Scheme Level Water and Sanitation Committees should be legalised under the Panchayati Raj Act;
2. To allow PSUF to arrive at realistic projections of the potential of schemes to recover scheme-level O&M costs it is recommended that a household economic survey is undertaken in all villages of the schemes, to assess the individual economic status of the households;
3. The Tikri scheme in the District of Varanasi should be split into two schemes. The existing headworks would then cater for 19 villages and the new scheme, for which new headworks and tubewells would have to be constructed at the village of Dafi, for the remaining 8 urbanized villages. An estimate of costs and projected revenues, after the split has been realised, should be enclosed in the revised Pilot Project proposal;
4. While the economics for extending the scheme distribution lines to some hamlets and villages are clear (e.g. Parmandur in Jansa scheme), for the extension to other villages (i.e. Kurauna in the same Jansa) they have to be worked out before such works may be taken up.

Criteria are:

- no additional O&M costs should be involved (net costs, after deduction of revenues from water sales);
- at least 25% of the capital costs has to be borne by the customers, through paying the one time connection charges upfront;
- the remaining capital costs should — at design population stage — not exceed the per capita costs of handpump installation (Rs. 200).

3.2.8 Financial administration

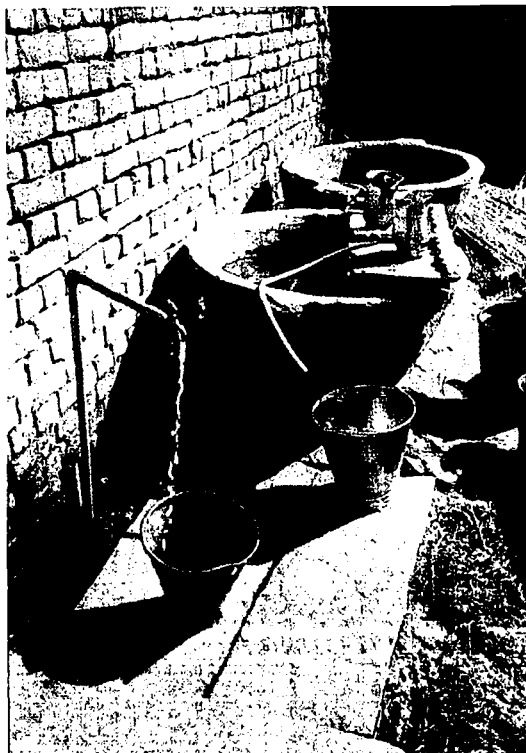
The present system of keeping records on scheme-wise revenues and expenditures has to be streamlined. The PSU Foundation is now feeding data to the Jal Nigam concerning scheme-level expenditures and keeps records of revenues in order to brief the Scheme Level Committees adequately.

The following recommendations are given:

1. The present double bookkeeping on scheme-wise revenues and expenditures done by PSUF and Jal Nigam has to be integrated into one system, which is transparent and made accessible to the Scheme Level Committees on a monthly basis.
2. The Jal Nigam is advised to open separate bank accounts for each scheme in order to facilitate the future transfer of these accounts to legal bodies at Scheme Level. The revenues collected on water charges should retroactively be transferred to these accounts from the start of this fiscal year 1996/97 onwards;
3. Also the one-time connection charges of Rs 590 must be transferred to the respective scheme accounts to serve as seed money for catching up with the back log in maintenance and repairs.



Water — at last — in the tail-end village Ramrepur, under the Awajapur scheme, Varanasi District



Private connection, Awajapur scheme, Project IV, Varanasi District.

3.3 OBSERVATIONS DURING THE MISSION'S VISIT

The mission visited three piped supply schemes in District Varanasi: Awajapur Scheme, Jansa and Tikri. In the five schemes apart from Tikri, 433 new house connections were registered in ten months. The report on *Indicative Achievements*, based on the guidelines provided in the ToR of mission UP-36, provides an overview of realised achievements in Varanasi.

Awajapur Scheme (population of 15,630 in 17 villages), being farthest from the City of Varanasi (56 km) has shown remarkable progress in terms of reliability of supply, extending supply from 13 to 16 villages and increasing the number of house connections from 161 to 305. With community labour 82 leaks were repaired (i.e. 67.2% of all leaks). It has a waiting list for 127 more house connections. Two more villages will be covered, including Gurehun. The Scheme Level Committee consisting of the Gram Pradhans has been crucial in extending support to scheme improvement at all levels.

Jansa scheme (population of 20,530 in 22 villages) has witnessed the building up of a strong Scheme Level Committee (in which 4 female Pradhans participate), the extension of pipelines, and the repair of over half the leakages with community labour. The scheme had not seen any revenue collection during 8 months, before community participation started, first with revenue camps and followed by bi-monthly collections after June 1996. The collection does not follow here, as in other schemes, a fixed pattern, but is adjusted to the paying capacity of the population, which fluctuates throughout the year. The number of private connections has grown this year with 40 %, from 355 to 497, while in a village such as Jalalpur for example the connections increased from 5 to 24.

Due to urbanization and population growth, the *Tikri scheme*, which covers 27 villages near the city of Varanasi, can no longer supply water to its tail end villages. The Jal Nigam has proposed to split the scheme into two, as mentioned above. The scheme at present has over 1600 house connections, 500 of which do not receive water.

Reportedly *Mahadapur* is the weakest scheme in Varanasi, with 129 house connections and 121 more waitlisted. Here two villages will be disconnected, because they will not be able to sustain the marginal costs of the distribution system, and handpumps will be installed instead.

3.4 FINALIZATION OF THE PROJECT

3.4.1 Completion of the regular Project

The Appraisal Report Sub-Project IV (VI Addendum) indicates that for completion of the project two more years would be required. Five quarters would be sufficient for completing the Jal Nigam activities, whereas the activities by PSU Foundation would apparently require another 3 quarters as a post-implementation period. No substantiation for this was given in the report, however, which — moreover — includes a disbursement schedule for the Jal Nigam component that has a duration of 4 quarters rather than 5. The mission expects that the revised VI Addendum report on the physical completion of Project IV will provide the required details.

3.4.2 Pilot Project on O&M

For the pilot project on O&M currently a period of 3 years is foreseen, up to the year 2000. Further details will be given in the new project document.

3.5 PROJECT COST

3.5.1 Total project cost

The latest agreed total project cost (cleared per 10 March 1993) amounts to Rs. 165.4665 million. This includes a community participation component of Rs. 6.549 million and a Jal Nigam component of Rs. 158.9175 million as shown in Table 3.4.

Table 3.4 Total project cost (Jal Nigam component)

Description	Total cost (Rs. millions)
Physical implementation	157.1175
Technical training	1.8000
TOTAL	158.9175
Revised cost estimate (first version of VI Addendum)	172.9245
Total value of submitted reimbursement claims	156.3843
Expenditure incurred up to March 1996	157.3302

The difference between the sum of the reimbursement claims and the cost estimate according to the first version of the VI Addendum is Rs. 16.54 million, which means that a further reimbursement of 85% of Rs. 16.54 million, or: Rs. 14.06 million (approximately NLG 675,000) may still be expected. This amount is considerably higher than the guilders balance for the project (about NLG 87,000 after settling outstanding payments), so that an additional allocation of funds will be necessary.

According to information from the PSU Foundation a total budget of Rs. 3.359 million is required for the remainder of the community participation activities, for the period October

1996 - December 1999. Taking into account a balance of Rs. 1.873 million per 30 September 1996, an additional amount of Rs. 1.486 million would be required for community participation. It is not clear to what extent this amount will be retained in the revised project document.

3.5.2 Status of expenditures

1. UP Jal Nigam

The reimbursement claims that have been submitted by the Jal Nigam to the Netherlands Government up to December 1996, are shown in Table 3.5. All claims have meanwhile been paid, albeit that the pattern of reimbursement or reconciliation against the pre-financed amount has been somewhat erratic: claim 1 was reconciled, claims 2-5 were reimbursed, claims 6-10 were again reconciled, claim 11 was reimbursed, claims 12-14 were reconciled, and the remainder reimbursed. Altogether the sum of the reconciled amounts was Rs. 66,020,955, which means a reimbursable amount of 85%, or Rs. 56,118,662. Against this the actual value of the pre-financing was only Rs. 51,799,465. As indicated in a letter by the Royal Netherlands Embassy of 6 November 1996, the reconciled amount was corrected and the difference of Rs. 4,319,197 transferred to the Indian authorities.

No expenditures have so far been incurred on the technical training component of Rs. 1.800 million.

Table 3.5 Reimbursement claims, Project IV (December 1996)

Claim No.	Dated	Amount (Rs)	Cumulative (Rs)	Period covered: up to
1	10 June 1988	40,867,573.08	40,867,573.00	18 March 1988
2	13 October 1989	47,836,235.30	88,703,808.30	June 1989
3	20 March 1990	11,487,296.90	100,191,105.20	3rd Quarter 1989
4	27 March 1990	4,115,766.75	104,306,871.95	4th Quarter 1989
5	27 March 1990	9,972,370.63	114,279,242.58	7 March 1990
6	28 Nov. 1990	489,008.45	114,768,251.03	30 June 1990
7	21 Feb. 1991	1,033,097.34	115,801,348.37	9 September 1990
8	10 April 1991	513,936.04	116,315,284.41	March 1991
9	18 March 1992	2,416,255.80	118,731,540.21	January 1992
10	23 April 1992	957,130.41	119,688,670.62	March 1992
11	24 August 1992	3,487,411.62	123,176,082.24	June 1992
12	17 March 1993	14,693,362.95	137,869,445.19	March 1993
13	2 April 1993	4,435,459.50	142,304,904.69	March 1993
14	19 April 1993	616,131.92	142,921,036.61	June 1993
15	19 April 1993	1,508,904.92	144,429,941.53	June 1993
16	12 October 1993	737,154.50	145,167,096.03	September 1993
17	22 December 1994	5,287,256.93	150,454,352.96	September 1994
18	10 February 1995	1,648,534.00	152,102,886.96	November 1994
19	3 July 1995	2,580,666.00	154,683,552.96	March 1995
20	19 December 1995	1,700,725.00	156,384,277.96	September 1995

2. PSU Foundation

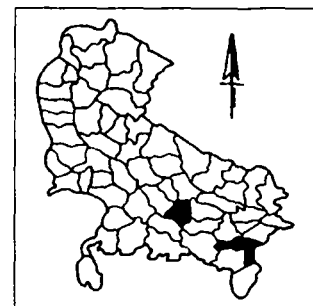
The entire budget for community participation activities under Project IV had already been transferred to the PSU/PSU Foundation. Utilization of these funds is summarized in Table 3.6:

Table 3.6 Status of funds received and utilized by PSU Foundation (rupees)

Organization	Period / Details	Received	Utilized
PSU	FY 1992 - 1993	2,355,000	527,504
	FY 1993 - 1994	1,250,000	636,371
	FY 1994 - 1995	2,944,000	833,988
	Staff benefit fund		540,938
	FY 1995 -1996 until May '95		690,600
	Total PSU:	6,549,000	3,229,401
PSU Foundation	Balance per 1 June 1995	3,319,599	
	FY 1995 - 1996 from June '95		930,136
	Corpus over FY 1995- 96	277,000	277,000
	FY 1996 - 1997 until Sep.'96		516,463
	Total PSU Foundation:	3,596,599	1,723,599
	Balance per 1 October 1996	1,873,000	

4 PROJECT V

(Sanitation, drainage and health education)
(DGIS Code No. IN 85 012)



CONCISE SUMMARY OF PROJECT HISTORY

The inclusion of a health education component in the bilateral rural water supply programme was first suggested by the Comprehensive Review and Appraisal Mission of January/February 1983 (UP-8), and later worked out by Mission UP-11 (January-March 1985) in a "Work Plan for Sanitation, Drainage and Health Education Activities in Six Districts in Uttar Pradesh". This comprised: construction of sanitary blocks for schools, construction of a limited number of latrines for individual beneficiaries, improving drainage, health and sanitation education, training, and an experiment for women involvement in health and sanitation. The proposed project had an estimated budget requirement of Rs. 20.985 million, for a period of 3 years.

In November 1986 mission UP-15 recommended a change in set-up of the Project: no community latrines, reducing the area to be covered, but aiming at 100% coverage of both school latrines and individual household latrines in that area, more emphasis on health education and community involvement, drainage aspects to be covered under the relevant water supply Projects, and a revision of the institutional set-up. The institutional aspects were covered by a separate mission, UP-16 (December 1986/January 1987).

The side letter on Project V was exchanged on 13 August 1987, indicating a provisional Dutch allocation of NLG 5.21 million (approximately Rs. 30 million at the time). The Project effectively started on 15 March 1988 with the appointment of a Social Planning Adviser (SPA). Details of the methodology to be used were discussed during a Planning Workshop in early 1988, followed by a State-level workshop in October 1988.

In November 1989 it was decided to make the PSU independent of UPDESCO, and shift the technical implementation of the household latrine programme back from the Panchayati Raj to the Jal Nigam. The PSU moved into its new offices officially on May 16, 1990. In May 1990, the Jal Nigam created a Rural Sanitation Division to implement the household latrine component.

Revised cost estimates were submitted in June 1990 (Rs. 138.25 million) and October 1991 (Rs. 38.081 million). In August 1992 a joint proposal by Jal Nigam and PSU for an Interim Phase, amounting to Rs. 31.167 million, was cleared. The Interim Phase effectively started by October 1992.

Phase B, with a cost of Rs. 71.843 million, was cleared by the Netherlands authorities in May 1994 and an amendment to the side letter effectuated on 4 July 1994. A contract between the Royal Netherlands Embassy in New Delhi and the PSU Foundation was signed on 20 September 1994. Phase B officially started per 1 October 1994, whereas Phase A and the Interim Phase were formally terminated per May 1995 only. To absorb the fund balance from Phase A/Interim Phase, a total of 816 latrines that had actually been constructed under Phase B, were administratively shifted to the Interim Phase.

Phase A

Area covered:	12 villages: 5 in Rae Bareli, 7 in Varanasi
Target:	3,662 household latrines, 26 school latrines and 32 tank-type standposts
Completed:	3,429 household latrines (94%), 26 school latrines, 32 tank-type standposts
Planned duration:	1 October 1984 - 30 September 1987
Actual duration:	Mid 1988 - December 1992
Implementing agencies:	PSU and Rural Sanitation Department of Jal Nigam
Cost estimate:	Rs. 40,622,000

Interim Phase

Area covered:	13 villages: 8 in Rae Bareli, 5 in Varanasi
Target:	3,523 household latrines
Completed:	3,453 household latrines (98%), plus 812 latrines out of balance funds available with Jal Nigam
Planned duration:	October 1992 - March 1994
Actual duration:	October 1992 - May 1995
Implementing agencies:	PSU Foundation and Rural Sanitation Department of Jal Nigam
Cost estimate:	Rs. 30,867,000

Phase B

Covered area:	23 villages: 7 in Rae Bareli and 16 in Varanasi
Target:	6,916 household latrines, 22 school latrines and 11 tank-type standposts
Completed:	3,104 household latrines (45%) and 13 school latrines
Planned duration:	1 October 1994 - 30 September 1997
Adapted duration:	1 January 1995 - 30 September 1997
Implementing agencies:	PSU Foundation and Rural Sanitation Department of Jal Nigam
Cost estimate:	Rs. 71,843,000 (original estimate) Rs. 66,512,200 (adjusted for balance funds Phase A / Interim Phase)

4.1 PROJECT STATUS**4.1.1 Previous phases**

A "Closing Report of Sub project V (Phase A & Interim Phase)" dated December 1995 was submitted to the Indian and Netherlands authorities about one year ago. It provides a comprehensive description of the rural sanitation activities carried out during those phases of the Project. It appeared that there was some confusion about the final expenditure statements as submitted by the major implementing agencies, the UP Jal Nigam and PSU Foundation. The mission discussed these issues with the parties involved as well as the Royal Netherlands Embassy in New Delhi, and was able to provide some clarity in this matter. Reference is made to paragraph 4.4.1 and Annex G.

Meanwhile also a formal audit of the Jal Nigam's financial statements on the Project by the UP Accountant General's Office has taken place, the official report of which is awaited.

4.1.2 Phase B

Phase B of the Project officially started per 1 October 1994, with a target of 6,916 household latrines, 22 school latrines and 11 school standposts. Construction is carried out with the help of community participation, and accompanied by hygiene promotion. Phase B is almost completed, the last household latrines being expected to be installed by January 1997, provided that the required funds are released in time.

In June 1996 a "Workplan for the period April 1996 - March 1997" was submitted, giving details for the activities planned for that period. The mission was informed that, because the financial data provided in the closing report on Phase A/Interim Phase did not tally with the data available with the Netherlands authorities, the work plan could not be cleared from the Netherlands' side. In the mission's opinion, however, there appears to be no rationale for linking these two issues, as Phase B is administered under a different FOS code number by the Netherlands authorities, and is therefore no more directly linked to Phase A/Interim Phase than to any other of the projects under the IDC programme. The mission therefore urges the Netherlands authorities to

clear the Annual Plan 1996/1997, so as not to incur delays — and cost increases — unnecessarily.

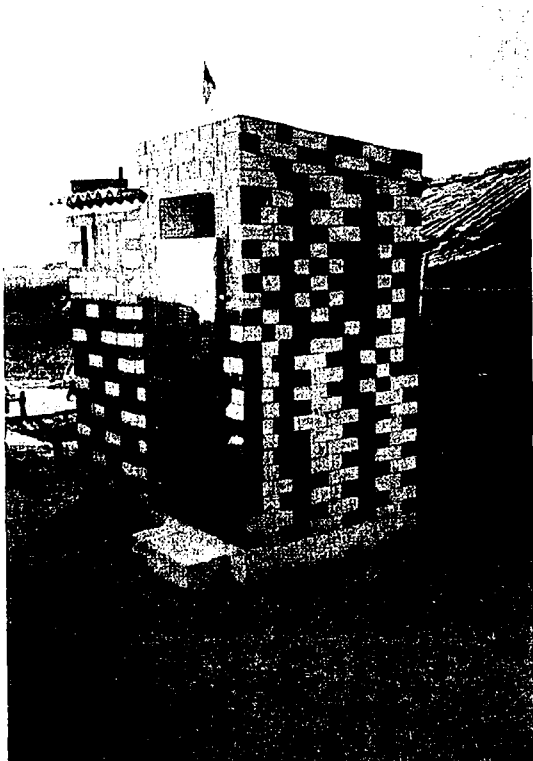
The mission was informed that — once again — budgeted funds were not released in time for the Jal Nigam field staff to implement the physical works without interruption. The issue was raised during several discussions with Jal Nigam staff and with the Secretary, DUD. It could not be established whether the lack of funds was due merely to a late release by the State authorities, or because of a failure of the Jal Nigam to submit the necessary financial statements to the State Government in time. The mission requested both parties to join efforts to prevent a shortage of project implementation funds once and for all.

4.2 PHYSICAL IMPLEMENTATION

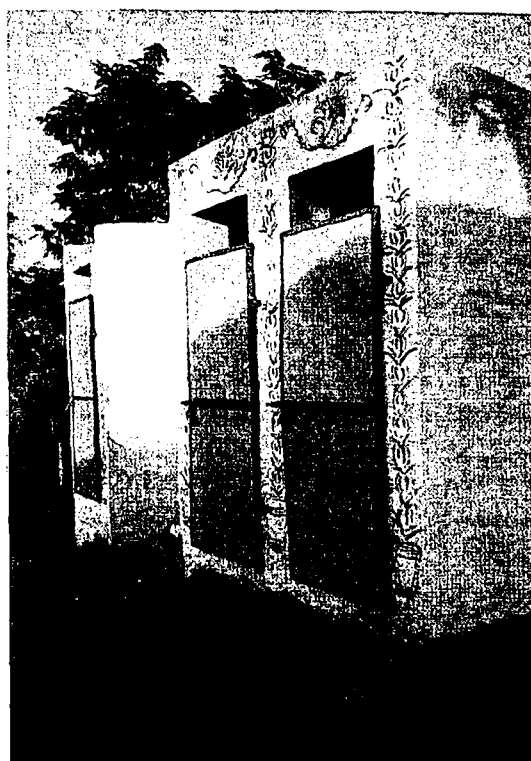
4.2.1 Household sanitary latrines

Table 4.1 Latrine construction under Phase B (as per 25 November 1996)

No.	Name of village	No. of households	Target No. of HSL (revised)	HSL completed	Target No. of SSL	SSL constructed or under construction (u.c.)
RAE BARELI						
1	Thulendi	802	-	-	1	-
2	Karanpur	330	-	-	2	2
3	Malpur	338	-	-	1	1
4	Devpuri-Gujarpur	232	-	-	2	1 + 1 u.c.
5	Umarpur	272	-	-	1	1
6	Hanswa	159	132	136	1	-
7	Pandira Khurd	139	126	126	-	-
8	Rampur Mohiuddinpur	118	-	-	1	1
9	Uchauri	237	237	162	1	1
10	Pahanasa	357	357	262	2	-
11	Pandira Kalan	192	181	173	1	1
12	Bhairampur	167	145	147	1	-
13	Ahsan Jagatpur	538	538	581	1	1
Sub-Total		3,881	1,716	1,587	15	9 + 1 u.c.
VARANASI						
1	Seer Govardhanpur	773	-	-	1	1
2	Dafi	366	366	255	1	1
3	Narottampur	361	361	379	-	-
4	Sarai Dangari Kalan	335	335	332	-	-
5	Kurahua	226	226	245	1	1
6	Ramna	938	938	1,049	3	2 + 1 u.c.
7	Khanaun	212	212	185	-	-
8	Bhuwalpur	41	41	54	-	-
9	Betawar	206	206	150	-	-
10	Bachhaon	788	788	521	-	-
11	Madhopur	105	105	93	-	-
12	Balipur	83	83	80	-	-
13	Karsara	345	345	347	-	-
14	Chhitaunikot	235	235	95	-	-
15	Akhari	273	-	-	1	1
16	Amra Khaira Chak	490	490	432	-	-
17	Rampur	304	304	298	-	-
18	Aureh	167	167	27	1	-
Sub-Total		6,248	5,202	4,533	9	6 + 1 u.c.
TOTAL		10,081	6,916	6,120	24	15 + 2 u.c.



Double latrines facing different sides; in harijan basti of Betawar village, Varanasi



Embellished double latrine in Kurmi basti of Bachhaon village, Varanasi District



Renovation of school sanitary latrine going on; Bachhaon village, Varanasi District



View of sanitary school latrine in Bachhaon village under renovation; India Mark II handpump in foreground

In Rae Bareli another 16 household latrines have been paid for but not yet constructed, while there are requests for some 40 additional latrines. All were expected to be completed before the end of 1996. In Varanasi some 428 latrines have been paid for, but construction had not yet started, while requests for about 100 additional latrines had been received. Altogether, construction of these latrines would take about 2 months.

The status of use and maintenance of a sample of household latrines in Rae Bareli and Varanasi is shown in Table 4.2. While a relatively high level of use and maintenance is being maintained, the earlier differences between Rae Bareli and Varanasi appear to be diminishing. The percentage of non-users and of poor maintenance is significantly low. Most unit owners continue to upgrade their units by painting doors, whitewashing walls and adding features like tiles, water storage facilities, electrification etc. School latrines are much better maintained now, due to physical corrections and maintenance taken up by school sanitation teams.

Table 4.2 Status of use and maintenance of Household Sanitary Latrines (October 1996)

PHASE & DISTRICT	Total No. HSL	No. HSL surveyed	No. of family members *)	Total % of users			Use pattern in %			Maintenance status in %		
				Female	Male	Child	Regular	Occas.	Not **)	Good	Satisf.	Poor
RAE BARELI Phase A	1,708	712	4,100	93.8	92.5	78.2	97.5	0.6	2.0	71.1	25.4	3.6
Interim Phase	1,084	342	1,896	82.2	80.5	62.9	88.3	8.5	3.2	79.2	19.0	1.8
Phase B	1,295	1,244	6,316	86.9	84.2	82.1	93.7	4.3	1.9	66.5	31.6	1.9
Total Rae Bareli	4,081	4,087	12,312	88.5	86.3	77.8	94.1	3.8	2.1	69.8	27.8	2.4
VARANASI Phase A	1,892	481	3,387	89.6	88.4	81.7	92.9	2.7	4.4	58.7	35.2	5.9
Interim Phase	2,149	547	3,664	107.2	94.1	89.6	93.4	4.4	2.2	59.6	31.4	9.0
Phase B	4,800	3,281	21,064	85.3	80.0	74.5	81.9	11.9	6.2	54.5	32.4	8.8
Total Varanasi	8,841	4,309	28,120	88.9	82.9	77.3	84.6	9.9	5.6	55.6	32.6	8.3

*) family members included in the survey

**) latrines that are not in use are not included in the percentages mentioned under maintenance status

4.2.2 School sanitation and water points

The status and use of school latrines in Varanasi district continues to improve, with several latrines being, or having been, rehabilitated. In Varanasi District, renovation of school latrines was completed in 10 schools, in the villages Naipura, Susuwahi (2 schools), Nuaon, Tarapur, Tikri, Karsara (2 schools), Chhitaunikot and Betawar. A tendency could be observed to abandon the concept of tank-type school standposts in favour of private connections or handpumps. Especially with the improved condition of piped water supply in the Project IV (Tikri) area, private connections, also for schools, appear to be gaining in popularity.

More detailed information on the achievements under the Project, including the school sanitation programme, is given in the quarterly progress report by the UP Jal Nigam (see Annex H) and the PSU report "Sub project V: A profile". As for the household sanitary latrine component, the school sanitation programme is expected to be completed by January 1997.

4.3 PROJECT DURATION

4.3.1 Formal closure of Phase A and Interim Phase

The "*Closing Report on Project V: Phase A and Interim Phase*", dated December 1995, had already been completed by the time of mission UP-36. Meanwhile it has been formally submitted to the Indian and Netherlands authorities. As mentioned above, an audit of the Jal Nigam's Project accounts by the UP Accountant General's Office has also been carried out. The formal report on that audit is still awaited.

An internal evaluation of both phases with the help of a team of external experts started in December 1995. This evaluation focusses on the project impact on health and hygiene behaviour, the improvements in the village environment, the extent of community participation and the crucial role of the project in strategy formulation and institutional capacity building in the State. The final evaluation report was not yet available for this mission, due to illness of two team members. It is now expected to be submitted before April 1997.

4.3.2 Phase B

In Rae Bareli (villages Ahsan Jagatpur and Uchauri) delays in construction were caused by the fact that the main road into the project area had been cut during the monsoon period, causing major problems in transferring materials to the villages. Completion of the targets for Phase B is expected to take no longer than two months, provided that the required project implementation funds are available in time. These works would also include the construction of about 40 additional latrines in Rae Bareli and 100 in Varanasi District.

Because of the administrative transfer of 816 latrines from Phase B to the Interim Phase, the corresponding funds are still available within Phase B. It was agreed that the Task Force will submit proposals for spending these funds in line with the aims of the Project. Already identified are Lathia village, located in between Rampur and Amra Khaira, in Varanasi, and Khairani village in Rae Bareli, for which a proposal will be framed before the end of December 1996.

The mission was informed by the Royal Netherlands Embassy that for utilizing the balance funds under the rupee allocation a simple informative statement from the Task Force to the Embassy will suffice; no formal clearance will be required.

4.3.3 Formulation of Project XI, as a follow-up of Project V

During the mission discussions were held with the implementing agencies and field staff on possible future activities in the field of rural sanitation. A total of 7 years with a successful on-site sanitation project resulted in experiences, knowledge of rural sanitation and policy decisions which are unique for the State of Uttar Pradesh. The programme has gained wide acclaim in policy circles. In the villages the felt need for latrines is only growing, while the ongoing rural institution building in the water supply projects helps to create local institutions, i.e. Scheme Level Water & Sanitation Committees, which in the future could be entrusted with the task of promoting on-site sanitation.

Mission IDRM-1 (UP-37) discussed various modalities for a follow-up project and provided guidelines for the preparation of such a project in Appendix B to its *Conclusions and Recommendations* (see Annex C to this report). The results of the project preparation will be reviewed by Mission UP-38 in April 1997.

4.4 PROJECT COST

4.4.1 Phase A and Interim Phase

The Jal Nigam and PSU Foundation provided comprehensive information on the funds received and spent for Phase A/Interim Phase, in the Closing Report on Project V, Phase A and Interim Phase. As was mentioned earlier, the financial statements indicated in this report and the data available at the Netherlands side do not tally. In the mission's opinion this is at least partly due to the complicated administrative and financial structure that had been decided upon at the beginning of the Project, as well as the fact that different parties have been involved at different stages.

During the initial years of the Project (up to the financial year 1990-1991) a part of the funds was distributed through the Department of Urban Development or the Jal Nigam (e.g. to UPDESCO, PSU, DWCRA, Panchayati Raj, BHU), with UPDESCO having a direct contract with the Royal Netherlands Embassy, as had Dr. Dé in his function of Social Planning Adviser. UPDESCO again redistributed certain funds, mainly to PSU and BHU. Because of the three parallel fund flows (Jal Nigam, UPDESCO, SPA) individual fund flows are sometimes difficult to trace, the more so since UPDESCO did not submit detailed accounts until very recently (see Annex G). Since the RSM was no party to these contracts, the mission was not informed on releases of funds either.

Originally the Panchayati Raj Department was involved as the implementing agency for rural sanitation; in 1989 also this activity was entrusted to the Jal Nigam. The current implementing agencies, Jal Nigam and PSU Foundation, were, therefore, not directly involved in financial project management in the early stages of the Project, which may be one of the reasons for the lack of financial clarity for part of Phase A. In addition, administrative project management by DWCRA and its related agencies has been extremely weak, resulting in an almost total absence of utilization statements from those sides.

Certain discrepancies between the funds reported as transferred by Jal Nigam to UPDESCO/PSU, and those reported as received by PSU further complicated the matter. These discrepancies could be solved, however, as it appeared that a total of Rs. 552,000 was released to PSU not for Project V, but for activities under Project VI². These funds are indeed accounted for in the PSU's accounts for Project VI.

After the funding modality for Project V was simplified (with a direct release of funds from the Embassy to the UP Jal Nigam and PSU/PSU Foundation) and also because per 1 April 1990 the PSU was administratively no longer under UPDESCO and the two contracts (UPDESCO and SPA) were merged into one new contract with PSU, from that time onwards the financial data is completely transparent. Any problems in reconciling the financial statements are therefore most likely related to the period before 1 April 1990 and with disbursements to, or financial statements from, agencies that are currently no longer involved in the project, such as DWCRA, BHU, UPDESCO, Panchayati Raj, etc. It is also for that reason that the mission recommends that the Netherlands authorities revise their stand on clearing the work plan for the period April 1996 - March 1997.

The over-all distribution of funds during the earlier years of Phase A, as reported by Jal Nigam, is shown in Table 4.4. The amounts mentioned by the Jal Nigam in its financial statements on Phase A/Interim Phase of Project V have been adjusted for two reasons:

² for details see the financial statements included in Annex G

- a correction of Rs. 552,000 has been made for payments to PSU which were reported as payments for Project V, but which were actually used for Project VI;
- the funds mentioned for the financial year 1988-1989 are not reported by the Jal Nigam as it was not involved in the Project at the time. The indicated funds were, however, released through the Department of Urban Development, as referred to in PSU's letter No. 54/12/Bud/RNE of 27 July 1989.

Table 4.4 Summary of fund flow in financial years 1988-89 through 1991-92

Financial Year	Distribution of funds through Jal Nigam/ DUD (Indian rupees)							
	Total funds received by Jal Nigam	Funds redistributed to other agencies:						Funds used by Jal Nigam
		PSU	UPDESCO	DWCRA	BHU	Panchayati Raj	TOTAL	
1988-89	556,400 ³	-	300,000	-	256,400	-	556,400	-
1989-90	7,406,500	1,003,600	650,100	565,020	620,820	800,000	3,639,540	3,766,960
1990-91	6,656,830	377,300	1,000,000	132,300	842,310	-	2,351,910	4,304,920
1991-92	23,518,000	-	-	-	-	-	-	23,518,000
TOTAL	38,137,730	1,380,900	1,650,100	697,320	1,463,130	800,000	6,547,850	31,589,880

UPDESCO received an amount of Rs. 520,000 directly from the Royal Netherlands Embassy, on 25 April 1988, bringing the total amount released to that organization to Rs. 2,170,100.

A utilization certificate was submitted by UPDESCO to the amount of Rs. 2,025,862.19, leaving a balance of Rs. 144,237.81 which was transferred to the Jal Nigam by cheque No. 170205 of 11 January 1995 (see also Table 4.5). Details are given in Annex G.

It appears that, in spite of repeated requests, no financial statements have been received from DWCRA or the other agencies/departments involved in its activities as mentioned in Jal Nigam's statement, e.g. RD&DR and AM(D).

For expenditures by BHU only a statement dated 17 July 1989 could be traced, which mentions the receipt of Rs. 256,400 by bank draft dated 30-11-1988, and a transfer of Rs. 150,000 from Jal Nigam on 13-4-1989. Against these total receipts of Rs. 406,400, expenditures to the amount of Rs. 128,559 are mentioned (see Annex G). No further information on BHU's expenditures prior to the creation of an independent PSU was available. Once the PSU was established as an independent organization, transfers of funds to BHU and later directly to the Varanasi field team (from June 1991 onwards) have been accounted for in the PSU's financial statements.

The Panchayati Raj Department earned an interest of Rs. 29,637.99 on the amount of Rs. 800,000 that had been released to it through Jal Nigam. An expenditure statement dated 26 May 1994 shows total expenditures of Rs. 89,950.96 (see Annex G). The balance funds of Rs. 739,7697.03 were transferred back to the Jal Nigam by 2 cheques, dated 6 May 1992 and 17 May 1994 (see also Table 4.5).

³ Jal Nigam not involved (Panchayati Raj was implementing agency)

Table 4.5 Utilization of Phase A/Interim Phase funds by Jal Nigam ⁴

Phase/Details	Financial Year	Receipts	Expenditures	Balance
PHASE A	1989 - 90	3,766,960	no	no
	1990 - 91	4,364,920	breakdown	breakdown
	1991 - 92	23,518,000	available	available
	TOTAL	31,589,880	27,347,960	4,241,920
INTERIM PHASE	1992 - 93	8,300,000	no	no
	1993 - 94	8,982,000	breakdown	breakdown
	1994 - 95	5,139,000	available	available
	TOTAL	22,421,000	22,216,340	204,660
Balance funds from:	Panchayati Raj	739,687	-	739,687
	UPDESCO	144,240	-	144,240
	TOTAL	883,927	-	883,927
GRAND TOTAL		54,894,807	49,564,300	5,330,507

Details of the utilization of the total amount of about Rs. 54,894,800 available to the Jal Nigam for Phase A and the Interim Phase, are given in Table 4.6. The small differences between the amounts shown in Table 4.6 as compared to Table 4.5 are due to rounding of individual figures.

Table 4.6 Expenditures by Jal Nigam during Phase A/Interim Phase

Phase / District	Varanasi	Rae Bareli	Establishment cost	Total
Phase A	11,982,270.06	8,955,063.41	6,410,628.15	27,347,961.62
Interim Phase	9,570,384.26	8,239,852.00	4,406,102.24	22,216,338.50
Balance funds	2,825,304.00	1,809,913.00	695,282.55	5,330,499.55
TOTAL	24,377,958.32	19,004,828.41	11,512,012.94	54,894,799.67

The utilization of funds received by the PSU/PSU Foundation is shown in Table 4.7. Details of the individual releases of funds, from November 1989 onwards, are shown in Annex G. The expenditures under 'Miscellaneous' refer to the following:

- adjustment of fixed assets: originally only depreciation on these assets was booked. As the assets are not owned by the PSU, the full amount should have been booked directly as expenditures, rather than booking annual depreciation only. This was rectified with the booking shown: Rs. 2,913,556.40 for assets at the PSU office in Lucknow, and Rs. 270,502.60 at the project office in Varanasi; total: Rs. 3,184,059;
- a transfer to the PSU Foundation's corpus consisting of two separate items:
 - staff benefit fund (April - May 1995);
 - general corpus (November 1993 - 31 May 1995).

⁴ Source: financial statements Jal Nigam (see Annex G)

Table 4.7 Utilization of Phase A/Interim Phase funds by PSU/PSU Foundation⁵

Phase/Details	Financial Year	Receipts	Expenditures	Balance
SUMMARY:	PRIOR TO PHASE A	7,730,900.00		
	PHASE A	14,298,390.00		
	INTERIM PHASE	8,446,000.00		
	TOTAL	30,475,290.00		
DETAILS:	1989 - 90	1,353,600.00	533,468.33	
	1990 - 91	6,377,300.00	3,365,042.90	
	1991 - 92	6,434,890.00	5,855,342.21	
	1992 - 93	6,209,500.00	6,021,877.03	
	1993 - 94	6,568,000.00	6,646,202.47	
	1994 - 95	3,532,000.00	3,526,672.87	
	1995 - 96	-	1,038,800.00	
	TOTAL	30,475,290.00	26,987,405.81	3,487,884.19
MISCELLANEOUS:	Adjustment of fixed assets:	-	3,184,059.00	
	Staff benefit fund	-	120,000.00	
	Corpus:	-	179,903.30	
	TOTAL	-	3,483,962.30	- 3,483,962.30
GRAND TOTAL		30,475,290.00	30,471,368.11	3,921.89

4.4.2 Phase B

The official cost estimate for Phase B amounts to Rs. 71,842,700 (Rs. 52,702,100 for the Jal Nigam component and Rs. 19,140,600 for PSU Foundation's component). Taking into account the administrative adjustment between Phase A / Interim Phase and Phase B, the cost estimate for Jal Nigam's component has been adjusted to Rs. 47,371,600.

The actual status of fund releases and expenditures for Phase B, as per December 1996, is shown in Table 4.8 for the Jal Nigam, and Tables 4.9 and 4.10 for the PSU Foundation.

Table 4.8 Fund releases and expenditures, UP Jal Nigam, up to December 1996 (rupees)

Description	Releases / Expenditures	Totals
Total budget Phase B		52,703,000
Released per:		
15 November 1994	12,741,040	
4 August 1995	11,074,000	
July 1996	16,851,000	
Total:		40,666,040
Expenditures in:		
FY 1995-1996	19,037,000	
FY 1996-1997 up to September	8,556,000	
Total:		27,593,000
Balance:		13,073,040

⁵ Source: Closing Report Project V: Phase A & Interim Phase, December 1995

Table 4.9 *Details of funds released to PSU / PSU Foundation (rupees)*

Date of receipt	Amount (Rs.)
22 August 1994	2,816,800
26 May 1995	1,230,000
10 January 1996	1,369,800
30 January 1996 (corpus)	638,300
3 June 1996	2,643,700
TOTAL:	8,698,600

Table 4.10 *Status of funds received and funds utilised by PSU Foundation (Dec. 1996)*

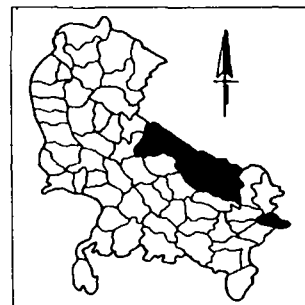
Organization	Period / Details	Received	Utilized
PSU Foundation	FY 1994 - 1995	2,816,800	1,036,440
	FY 1995 - 1996	2,599,800	3,576,128
	Corpus over FY 1995-96	638,300	638,300
	FY 1996 - 1997 until Sep.'96	2,643,700	1,185,000
	Total PSU Foundation:	8,698,600	6,435,868
	Balance per 1 October 1996	2,262,732	

4.4.3 Utilization of funds contributed by beneficiaries

Proposals for utilizing the beneficiary contribution remaining from Phase A/Interim Phase were submitted to mission UP-36 and cleared by the Royal Netherlands Embassy in New Delhi. The mission was informed that — except for an amount of Rs. 13,000 — all balance funds had been utilized in accordance with these proposals. Details are given in the PSU report *"Sub project V: A profile"* of November 1996.

As agreed earlier, under Phase B the beneficiary contribution will be adjusted directly against project expenditures.

5 PROJECT VI
(Handpump project)
(DGIS Code Nos. IN 89 080, IN 90 009
and IN 90 010)



CONCISE SUMMARY OF PROJECT HISTORY

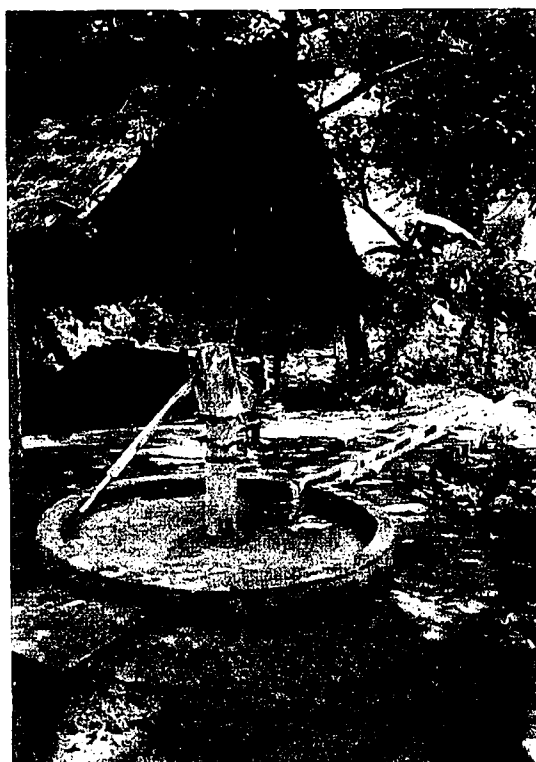
After a pre-notification for a Project VI for the construction of handpumps in the districts Lakhimpur Kheri, Bahraich, Gonda, Basti and Ballia was handed over to mission UP-15 in November 1986, an advance copy of the actual project document was received by mission UP-17 in April 1987. By then the project was to cover 10,000 handpumps in 1410 villages, as a so-called 'saturation' project, with a total cost of Rs. 224.3 million.

The project document had been formally submitted by the time of mission UP-20's visit, but contrary to an earlier agreement no 'social paragraph' had been included. This was later rectified, and the modified document submitted (22 June 1988). In December 1989 the Project was cleared in principle by the Netherlands Government; the side letter was exchanged on 16 October 1990.

On 27 November 1991 a revised project document was cleared, with a target of 13,599 handpumps in 1638 villages. A proposal for additional handpumps in Lakhimpur-Kheri District and for training local women in handpump maintenance was cleared on 17 May 1993. Inclusive of these works, the total project budget now amounts to Rs. 337.505 million.

A proposal for the installation of 3,311 additional handpumps in Siddharthnagar District was handed over to mission UP-32, and a similar proposal for 2,336 handpumps in Lakhimpur District submitted to mission UP-33. A formal proposal "Appraisal Report Project VI (II Addendum), District Siddharthnagar" was prepared jointly by the UP Jal Nigam and PSU Foundation and submitted for clearance in December 1994. It was cleared by the Indian Government in April 1996. The revised side letter, for including the II Addendum in the Project, was exchanged in November 1996.

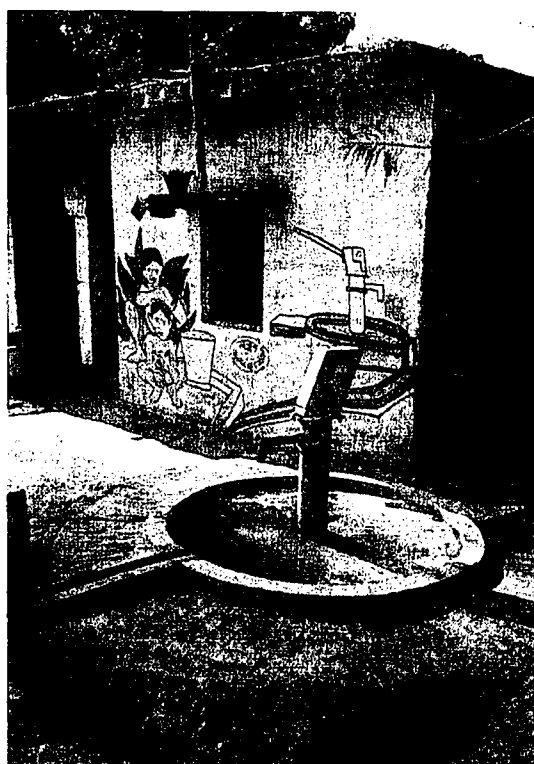
Area covered:	2,336 villages: 1181 in Lakhimpur-Kheri, 225 in Ballia, 189 in Basti, 308 in Gonda, 286 in Bahraich and 147 in Siddharthnagar
Target:	17,792 handpumps: 7567 in Lakhimpur-Kheri, 2005 in Ballia, 683 in Basti, 3230 in Gonda, 3670 in Bahraich and 637 in Siddharthnagar
Completed:	17,311 handpumps
Planned duration:	June 1988 - March 1991
Actual duration:	mid-1990 - June 1996
Implementing agencies:	Jal Nigam and PSU Foundation
Cost estimate:	Rs. 331.584 million (total): Rs. 305.852 million for physical implementation Rs. 7.436 million for training Rs. 19.296 million for community participation



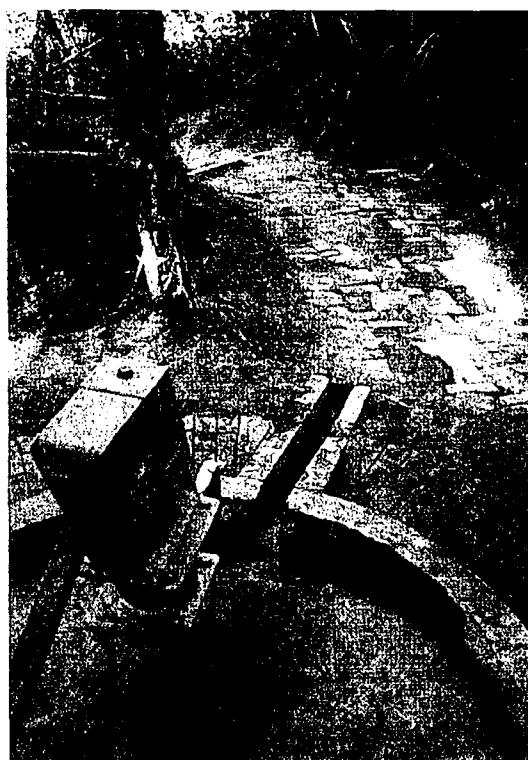
Gonda District: handpump in Ramvapur Naik village; Bairagi Jot hamlet



India Mark II handpump in Materiya hamlet of Paigapur village, Gonda District



Handpump in front of wall painting, Aawar hamlet of Paigapur village, Gonda District



Handpump drain connected to village pond by RCC drain; Mirthu Dihwa hamlet of Paigapur village

5.1 PROJECT STATUS

As before, the installation of handpumps under the original programme is continuing in Lakhimpur-Kheri District only. For the PSU Foundation staff activities are foreseen up to December 1996 (consolidation phase). The so-called II Addendum for additional handpumps in Siddharthnagar District was formally cleared in November 1996:

Area covered:	816 villages in Siddharthnagar District
Target:	1,915 handpumps
Completed:	-
Planned duration:	April 1996 - April 1998 (original planning) October 1996 - December 1999 (revised planning)
Actual duration:	October 1996 -
Implementing agencies:	Jal Nigam and PSU Foundation
Cost estimate:	Rs. 69,892,762 (total): Rs. 63,259,000 for physical implementation NLG 238,749 (Rs. 6,633,762) for community participation

5.2 PHYSICAL PROGRESS

5.2.1 Handpumps

The progress report for the quarter ending September 1996 is given in Annex I; a tehsil-wise break-down of achievements per October 1996 is shown in Table 5.1. In that month the number of handpumps installed in Lakhimpur Kheri was 7,463 or: 98.6% of the target.

Except for parts of Lakhimpur Kheri, handpump installation under the Project had already been completed for some time. In spite of the relatively small number of handpumps that remain to be installed and the fact that earlier missions have repeatedly requested the State Government and Jal Nigam management to ensure that sufficient funds would be available at the field level, handpump installation continues to be hampered by a shortage of funds. The mission therefore recommends that the Governments of India and The Netherlands explore alternative ways of ensuring the fund flow to the field divisions of the Jal Nigam. The establishment of personal ledger accounts or escrow accounts for the IDC programme might be among those options.

5.2.2 Buildings

Except for the tehsil office/godown at Utraula (Gonda District), all building works have been completed. The stay order for the tehsil office/godown at Utraula was vacated in October 1996, and the works are now expected to be completed by the end of January 1997.

5.2.3 Project duration

The installation of the remaining handpumps in Lakhimpur-Kheri can be realized within 2 months, once the required funds have become available. In principle it would thus be possible to have the physical component of the original Project completed before the end of the current financial year. As the training was expected to be completed before the end of 1996, the original Project might thus be formally closed early in the financial year 1997-1998.

Completion reports have been received from various Districts, but most needed to be adjusted. For Siddharthnagar the Jal Nigam management even made it a precondition for the start of the II Addendum works that a correct and full completion report on the original Project be submitted first. For Lakhimpur-Kheri the completion report may be expected one month after physical

completion of the works; one more month would be required for the Jal Nigam head office to integrate the various certificates.

Table 5.1 Detailed physical progress in Project VI (per October 1996)

District	Tehsil	Target Nos. of handpumps			Achieved Nos. of handpumps			
		S.W.S.	Others ⁶	TOTAL	S.W.S.	Others	TOTAL	%
Lakhimpur	Dhaurahra	349	1280	1,629	423	1,201	1,624	99.7%
	Lakhimpur	444	1965	2,409	653	1,731	2,384	99.0%
	Mohammadi	248	858	1,106	318	787	1,105	99.9%
	Nighasan	170	231	401	154	241	395	98.5%
	Gola	580	1,442	2,022	569	1,386	1,955	96.7%
	SUB-TOTAL	1,791	5,776	7,567	2,117	5,346	7,463	98.6%
Bahraich	Nanpara	268	936	1,204	303	874	1,177	97.8%
	Kaiserganj	228	865	1,093	197	966	1,163	106.4%
	Bahraich	153	711	864	225	607	832	96.3%
	Bhinga	149	360	509	148	350	498	97.8%
	SUB-TOTAL	798	2,872	3,670	873	2,797	3,670	100.0%
Gonda	Gonda	212	381	593	154	448	602	101.5%
	Tarabganj	350	668	1,018	335	683	1,018	100.0%
	Utraula	308	784	1,092	282	793	1,075	98.4%
	Balrampur	201	326	527	150	385	535	101.5%
	SUB-TOTAL	1,071	2,159	3,230	921	2,309	3,230	100.0%
Siddharthnagar	Naugarh	22	185	207	24	204	228	110.1%
	Bansi	34	160	194	33	158	191	98.5%
	Dumariyganj	24	209	233	23	195	218	93.6%
	SUB-TOTAL	80	554	634	80	557	637	100.5%
Basti	Hariya	47	257	304	47	257	304	100.0%
	Basti	46	214	260	46	214	260	100.0%
	Khalilbad	21	98	119	21	98	119	100.0%
	SUB-TOTAL	114	569	683	114	569	683	100.0%
Ballia	Ballia	117	746	863	117	746	863	100.0%
	Rasra	143	708	851	143	708	851	100.0%
	Bansdih	34	257	291	34	257	291	100.0%
	SUB-TOTAL	294	1,711	2,005	294	1,711	2,005	100.0%
GRAND TOTAL		4,148	13,641	17,789	4,399	13,289	17,688	99.4%

5.2.4 Additional handpumps in Siddharthnagar District (II Addendum)

a. Salient features

The II Addendum works comprise the installation of 1,915 handpumps in 816 villages in 2 tehsils: Itwa (431 villages) and Dumriyaganj (385 villages), supplying a projected 1997 population of 669,009 persons in total (331,044 in Itwa and 337,965 in Dumriyaganj tehsil), as summarized in Table 5.2.

b. Project duration

The project mentions a start of the Project per April 1995, with all physical works commissioned by the end of 1997. In fact, the activities under the II Addendum started only in October 1996. The tables given in this report have been adjusted accordingly by mission UP-37, assuming an average cost increase of 2.5% per quarter, in accordance with the budgeting method of Jal Nigam.

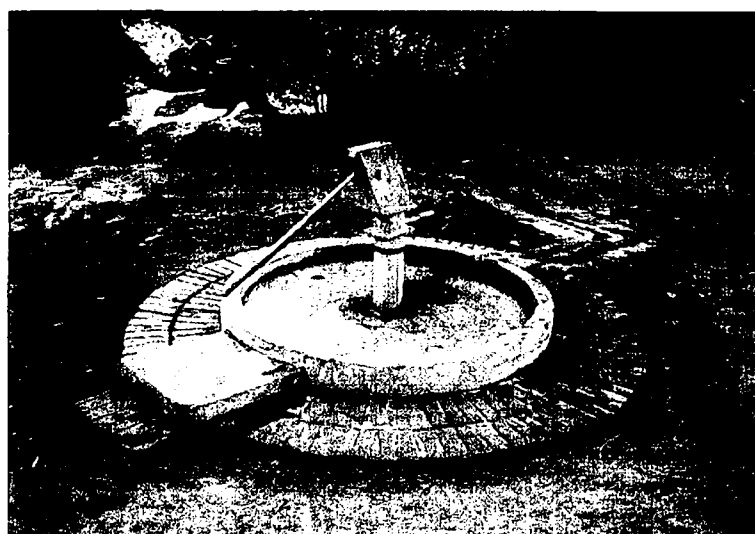
⁶ including handpumps installed at public places

Table 5.2 Numbers of handpumps required, per Block (II Addendum, Siddharthnagar)

TEHSIL	BLOCK	POPULATION 1997			Existing Hps	NEW HANDPUMPS				
		SWS	Others	TOTAL		SWS	Others	School/hospital	TOTAL	Incl. addtl. 10%
Itwa	Bhanwapur (part)	9,711	48,716	58,427	210	13	113	12	138	152
	Itwa	17,277	121,752	139,029	537	25	303	65	394	433
	Khunion (part)	17,462	116,126	133,588	471	37	332	45	415	457
	Total	44,450	286,594	331,044	1,218	75	748	122	947	1,042
Dumriyaganj	Bhanwapur (part)	18,044	76,970	95,014	401	16	153	40	209	230
	Khunion (part)	4,315	22,227	26,542	124	4	54	5	63	69
	Dumriyaganj	29,215	187,194	216,409	944	50	386	85	522	574
	Total	51,574	286,391	337,965	1,469	70	593	130	794	873
GRAND TOTAL		96,024	572,985	669,009	2,687	145	1,341	252	1,741	1,915



Handpump in front of wall painting, Aawar hamlet, Paigapur village, Gonda District



Handpump with brick-on-edge and drain, in main hamlet of Ramvapur Naik village, Gonda District

5.3 COMMUNITY PARTICIPATION

Project VI has been entrusted with a strong component of capacity building for decentralised maintenance. While in 1989 the PSU was basically entrusted with ensuring proper site selection for the then remaining 40% of handpumps to be installed, it gradually started local institution building for environmental cleanliness, conflict resolution about handpump use and training of Jal Samitis. The Extended Community Participation phase, aiming at the establishment of District and Block Level Coordination Committees, started in April 1993. In June 1994 the training of caretakers was introduced. Earlier in 1993 Addendum I catered for the installation of an additional 3,704 handpumps in Lakhimpur Kheri and for reviewing other handpumps in the target villages.

During the consolidation year 1996 much emphasis was given to revenue collection and management of funds at the community level. Various recording formats have been tried out to bring transparency into the system. A most important aspect is to inform and involve the intermediaries, such as the DPRO and ADO (Panchayat) at the district level, VDOs, BDOs and village Pradhans.

5.3.1 Decentralized operation and maintenance (O&M)

The latest details on the decentralized training programme are shown in Table 5.3:

Table 5.3 Numbers of blocks and handpumps taken up under the decentralized training programme

District	No. of Blocks to be covered	No. of villages to be covered	No. of training sessions to be held	No. of caretakers to be trained	Status as on 30 June 1996			
					villages covered	training sessions held	Caretakers trained	No. Of CLMs trained
Bahraich	3	63	30	873	63	30	873	20
Ballia	3	83	19	896	90	20	913	18
Basti	4	101	14	716	101	14	712	4
Gonda	4	118	43	1,625	81	39	917	10
Lakhimpur Kheri	1	149	24	1,288	149	24	1,156	30
Siddharth-nagar	3	45	7	394	42	7	336	6,602,133
TOTAL:	18	559	137	5,792	526	134	4,907	88

It appears that most trained caretakers are women, in District Lakhimpur even 89%. This is important as women in such a way can free themselves from social oppression, gain status and become key resources for mobilisation of their communities.

The two-phase training has brought the Gram Panchayats, the district administration and Jal Nigam to a common platform for developing the most feasible and practical system for maintenance. The training itself, given in module format, is quite suitable for replicating elsewhere.

The basis for the decentralised maintenance system was formed by creating Jal Samitis at a massive scale, to take the responsibility for upkeep and maintenance of handpumps.



Handpump caretaker in main hamlet of Ramvapour Naik village, Gonda District



Wall painting on handpump use and maintenance, Bairagi Jot hamlet of Ramvapour Naik village

They identified caretakers for training and cleaning of handpumps and platforms, and started fund raising for maintenance on a voluntary basis. Since the Panchayati Raj Act has become effective there is a legal basis for turning the voluntary contributions into regular water charges. Jal Samitis will now be reformed into ward-based Water & Sanitation Committees (see Chapter 14).

5.3.2 Observations during mission visits

In Gonda, the largest district in size and population (nearly 3.6 million), with one of the lowest literacy levels of the State (32.06% for men and 9.97% for women), the mission visited one Gram Panchayat which has adopted the system for maintenance evolved under Project VIII. This means adopting the principle of a ward- and Panchayat-level Water & Sanitation Committee for handpump maintenance and fund collection. It is intended that in the extension phase the PSUF will further promote the Project VIII system.

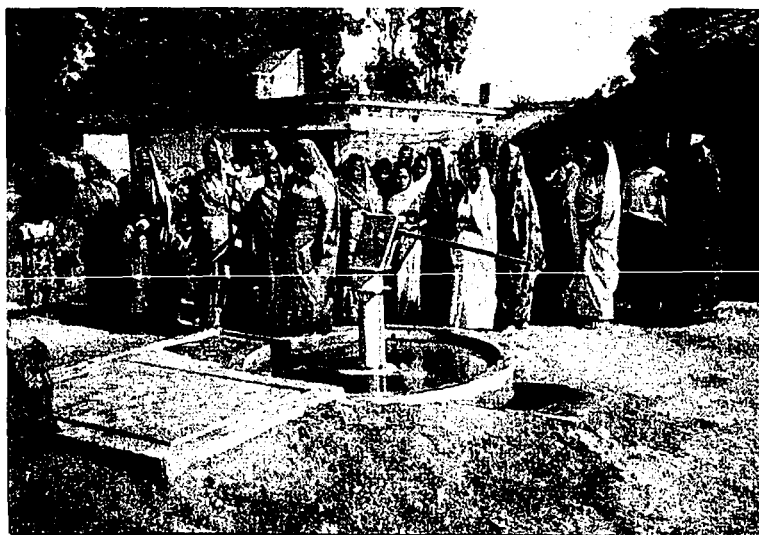
Ballia was visited as well. It is a unique district because it is the only district which combines two handpump projects, each of which started with a different approach. The handpump-based Water Committees (Jal Samitis) formed under Project VI will be reformed into ward-based Water & Sanitation Committees. To complete this process in 6 districts will take a substantial time, estimated at about one to one and a half year. This process is in progress in the village Umeda, Block Pandah, which was visited by the mission. In Block Pandah it could be seen how the patchy pattern of villages already saturated with drinking water facilities, those covered by Project VI and those covered by Project VIII complement each other. In the future the

decentralised handpump maintenance training will provide a fully self-reliant structure for the whole block.

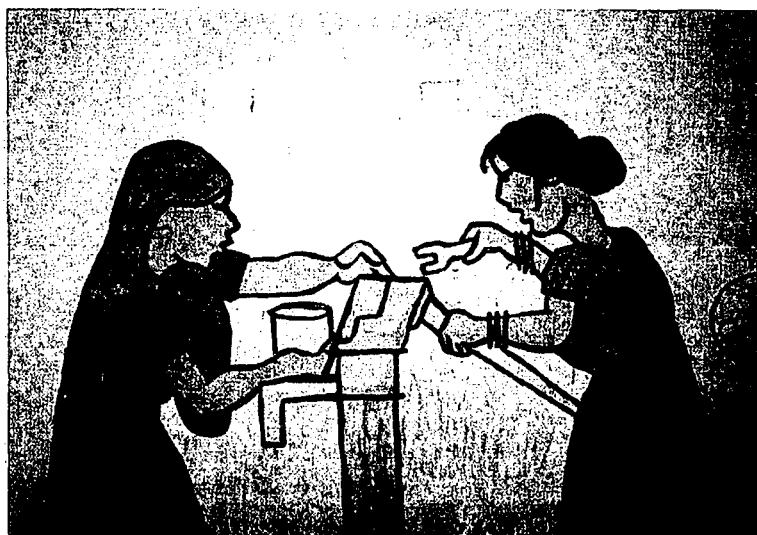
While 11 out of Ballia's 17 blocks have been partially covered under Project VI, 8 blocks are taken up for full saturation under Project VIII. The decentralised maintenance approach has concentrated on 3 blocks, to which the 8 Project VIII blocks will be added. Again it is clear that trained Cluster Level Mechanics here cannot earn a livelihood by repairing pumps only, but they have a recognized status now and are in demand for other repair jobs as well. The skewed distribution of existing handpumps - e.g. 25 handpumps (of which 15 IDC) in the model village of Bramhain with a population of 2712 - warrants placing 2 additional handpumps in poor areas. The *Jana Kalyan Sangathana* (environmental protection campaign movement) in Bramhain village has been very active in cleaning and improving the village.

The decentralized handpump maintenance training has been completed in all Districts except Gonda, where flash floods made the area inaccessible (Balrampur area).

The geographical areas where training under Project VI has been given, are shown in Annex J.



*Mahila Mandal members in front of MNP handpump in Umedah village, Pandah Block, Ballia District
The bathing platform was constructed with community input, mid-1996*



Wall painting on handpump maintenance, Materiya hamlet of Paigapur village, Gonda District

Also in Gonda, however, the mechanics training has been completed, while the caretakers training was expected to be completed by December 1996.

Experience with decentralized handpump maintenance has shown the following:

- as an average, 35 - 40% of all handpumps require repairs in any given year;
- between January and November 1996 the actual cost of handpump repair was around Rs. 300 per repaired handpump, or: around Rs. 100-120 per installed handpump. At least in theory, the State Government is currently contributing Rs. 330 per year for every installed handpump to the Jal Nigam, an amount that is therefore considerably higher than the actual cost that has been experienced so far, even though it should be taken into consideration that the average age of handpumps maintained under the Project may be lower than the State average, and the need for repairs correspondingly less;
- of the expenditure for handpump repairs, two-thirds was for materials and one-third for labour.

The normal procedure is that spares for handpumps are kept with the Junior Engineer at the Block level. Jal Nigam staff provides materials to Block employees, and when necessary the handpump mechanics obtain their spares there. Basically, spares are issued twice per month, on the basis of the requirements indicated by the cluster-level mechanic (CLM). The CLM has a certain stock of fast moving spares; parts that are used are accounted for on special forms. As a general rule, the CLMs report to the Junior Engineer on the repairs carried out by them.

Thus far, handpump spare parts are provided free of charge, although it is intended to start charging a certain percentage of the actual cost to the CLMs (and onwards to the community). Eventually the percentage should be raised to the full 100%. It was decided that at least for the next 6 months, the spare parts would continue to be provided free of charge, however.

5.4 PROJECT COST

5.4.1 Cost estimates

a. Original Project

The latest revised cost estimate for the original Project — as cleared on 17 May 1993 — is given in Table 5.4.

b. II Addendum

The total cost mentioned in the project document for the II Addendum amounts to Rs. 72.628 million (Rs. 63.259 million Financial Assistance and Rs. 9.369 million Technical Assistance). This budget was subsequently revised, for several reasons:

- Project implementation started later than originally foreseen;
- only India Mark-II handpumps are used, whereas more expensive Mark-III handpumps had been budgeted for;
- earlier errors in calculating population growth for some villages were corrected.

Revised estimates were given earlier, in Annex E of RSM report UP-36. In the tables in this chapter these have been adjusted for the actual starting date of the activities.

The adjusted cost estimate for Jal Nigam's component thus became Rs. 60,940,719 as shown in Table 5.5, whereas for the PSUF's component a revised cost of Rs. 10,083,371 was calculated. It must be mentioned that these revised calculations are meant to provide an estimate of the most likely cost level; they are no formal cost estimates prepared by the implementing agencies.

Table 5.4 Break-down of cost, original Project VI (in Rs. millions)

Description	Lakhimpur Kheri	Bahraich	Gonda	Basti	Siddharth-nagar	Ballia	TOTAL
Handpump installation	90.015	29.276	28.248	6.393	5.762	17.021	176.715
Vehicles	2.520	1.494	1.436	1.380	1.268	0.615	8.713
Office/godowns	1.515	1.450	1.450	1.279	1.279	0.775	7.748
Drainage works	0.499	3.099	2.629	0.576	0.487	1.470	8.760
Mobile labs	1.180	1.180	1.180	1.180	-	1.180	5.900
District labs	1.345	1.320	1.070	-	1.462	-	5.197
Inspection houses	1.500	1.000	0.800	1.157	1.157	0.725	6.339
Provision for tools and plant	0.374	0.293	0.282	0.064	0.057	0.170	1.240
Logger, video inspection equipment, etc.	-	-	-	-	-	-	3.500
Sub-Total A	98.948	39.112	37.095	12.029	11.472	21.956	224.112
Physical contingencies (8%)							17.928
Sub-total B							242.040
Centage charges (20%)							48.408
Sub-total C							290.448
Price escalation							15.404
Jal Nigam part of training programme for handpump caretakers							4.933
Sub-total D							310.785
Community participation							18.296
PSU part of training programme for handpump caretakers							2.503
TOTAL							331.584

The correspondingly revised disbursement schedule is given in Table 5.6. It is based on 85% reimbursement on physical works, and 100% on computer configuration and PSU Foundation's activities.

The anticipated net Dutch contribution would be Rs. 51,863,098 for the Jal Nigam component. Using a rate of exchange of INR 1.00 = NLG 0.048 the corresponding guilders amount would be NLG 2,489,429. This is well below the expected balance under the guilders allocation (NLG 3.4048 million, as indicated in paragraph 5.4.2). The budget for the PSU Foundation will have to be raised; this is expected to be necessary anyhow as earlier requests to adapt the budget for the community participation component in line with the extension of the project volume had been kept pending by the Embassy.

Table 5.5 Cost of additional handpumps in Siddharthnagar (II Addendum, revised)

ITEM	Handpump Component	Computer Configuration	Total, Jal Nigam component	Total, PSU Foundation component	TOTAL (Rs.)
Base Cost as on 1 April 1994	32,612,800	300,000	32,912,800	8,517,000	41,429,800
Base Cost as on 1 April 1996	39,722,390	365,400	40,087,790	8,948,200	49,035,990
Physical Contingencies	3,177,791	18,270	3,196,061	0	3,196,061
SUB-TOTAL	42,900,181	383,670	43,283,851	8,948,200	52,232,051
Engineering Contingencies	8,580,036	0	8,580,036	0	8,580,036
Over-all Contingencies	0	0	0	447,400	447,400
SUB-TOTAL	51,480,217	383,670	51,863,887	9,395,600	61,259,487
Price Contingencies	9,037,255	39,578	9,076,833	687,771	9,764,604
TOTAL	60,517,472	423,248	60,940,720	10,083,371	71,024,091

Table 5.6 Quarterly disbursement schedule (II Addendum; revised)

YEAR	QUARTER	Jal Nigam component		PSU component	TOTAL	Net Dutch contribution	% Reimb.
		Water Supply	Computer				
1996-97	III	6,855,046	0	1,665,825	8,520,871	7,492,614	87.9%
	IV	4,242,839	423,248	511,151	5,177,238	4,540,812	87.7%
	TOTAL	11,097,885	423,248	2,176,976	13,698,109	12,033,426	87.8%
1997-98	I	8,964,263	0	904,050	9,868,313	8,523,674	86.4%
	II	9,122,084	0	759,780	9,881,864	8,513,551	86.2%
	III	8,346,672	0	1,239,840	9,586,512	8,334,511	86.9%
	IV	8,050,725	0	1,041,810	9,092,535	7,884,926	86.7%
	TOTAL	34,483,744	0	3,945,480	38,429,224	33,256,662	86.5%
1998-99	I	7,878,196	0	996,555	8,874,751	7,693,022	86.7%
	II	7,057,647	0	790,020	7,847,667	6,789,020	86.5%
	III	0	0	532,875	532,875	532,875	100.0%
	IV	0	0	539,280	539,280	539,280	100.0%
	TOTAL	14,935,843	0	2,858,730	17,794,573	15,554,197	87.4%
1999-2000	I	0	0	557,550	557,550	557,550	100.0%
	II	0	0	544,635	544,635	544,635	100.0%
	TOTAL	0	0	1,102,185	1,102,185	1,102,185	100.0%
GRAND TOTAL		60,517,472	423,248	10,083,371	71,024,091	61,946,470	87.2%

The funds allocated for the II Addendum by the Netherlands authorities deviate quite considerably from those required. On the one hand, the budget for the physical works is based on the original (higher) cost estimate: the side letter mentions an additional net allocation of Rs. 53,824,960, as against expected (revised) net costs of Rs. 51,863,098, whereas for the community participation component against an estimated requirement of Rs. 10,083,371 an amount of only NLG 319,084 (Rs. 6,633,762) was allocated, on the basis of incorrect information on actual releases to PSU Foundation. In calculating that amount the earlier paid corpus amount for PSU Foundation had not even been taken into consideration, so that the actual net allocation is still lower. This has been recognized by the Royal Netherlands Embassy, which undertook to have the CPC fund allocation revised in future.

5.4.2 Status of expenditures by Jal Nigam

Table 5.7 shows the reimbursement claims that have been submitted to the Royal Netherlands Embassy in New Delhi up to 12 December 1996.

From claim 23 onwards, the original reimbursement claims not only included physical works but also training activities. The latter are reimbursed for 100%, against 85% for physical works. In the table above, only physical works have been indicated for the individual claims; the cumulative total of the corresponding training claims is mentioned separately, at the bottom of the table.

All claims up to and including claim No. 20 have been reimbursed, whereas later claims were reconciled with the pre-financed amount. The amount actually paid so far is, therefore, Rs. 53,763,440 (pre-financed amount) plus Rs. 205,031,750 (being 85% of the total of claims 1 through 20), or: Rs. 258,795,190 in total. Against the pre-financed amount claims with a total net value equal to: $0.85 \times (\text{Rs. } 294,403,206.30 - \text{Rs. } 241,213,824.25) + \text{Rs. } 1,330,622 = \text{Rs. } 46,541,596.79$ have been reconciled; a total of Rs. 53,763,440 - Rs. 46,541,596.79 = Rs. 7,221,843.21 is thus still available from the original pre-financing.

Table 5.7 Reimbursement claims, Project VI (situation per 12 December 1996)

Claim No.	Dated	Amount (Rs)	Cumulative (Rs)	Period covered up to
1	19 October 1990	114,983,399.15	114,983,399.15	27 March 1990
2	24 January 1991	1,111,900.00	116,095,299.15	31 March 1990
3	24 January 1991	3,868,056.00	119,963,355.15	30 June 1990
4	21 February 1991	2,761,129.00	122,724,484.15	30 September 1990
5	19 March 1991	19,378,237.00	142,102,721.15	5 March 1991
6	10 April 1991	7,041,272.00	149,143,993.15	28 March 1991
7	25 September 1991	8,048,233.00	157,192,226.15	June 1991
8	30 December 1991	14,248,489.00	171,440,715.15	September 1991
9	12 February 1992	11,841,564.00	183,282,279.15	December 1991
10	17 March 1992	3,029,507.00	186,311,786.15	January 1992
11	6 April 1992	6,014,308.00	192,326,094.15	February 1992
12	23 April 1992	2,917,711.00	195,243,805.15	March 1992
13	24 August 1992	4,868,683.50	200,112,479.00	June 1992
14	31 December 1992	3,144,525.25	203,257,004.25	September 1992
15	11 March 1993	3,785,141.00	207,042,145.25	December 1992
16	17 March 1993	5,173,442.00	212,215,587.25	March 1993
17	2 April 1993	5,152,462.00	217,368,049.25	March 1993
18	19 April 1993	6,624,827.00	223,992,876.25	March 1993
19	30 July 1993	2,666,813.00	226,659,689.25	June 1993
20	12 October 1994	14,554,135.00	241,213,824.25	June 1994
21	12 October 1994	7,760,000.00	248,973,824.25	June 1994
22	23 December 1994	6,909,928.00	255,883,752.25	September 1994
23	10 February 1995	5,945,617.58	261,829,369.83	December 1994
24	3 July 1995	11,021,000.00	272,850,369.83	March 1995
25	7 August 1995	6,597,000.00	279,447,369.83	June 1995
26	19 December 1995	4,255,200.00	283,702,569.83	September 1995
27	4 April 1996	6,692,436.47	290,395,006.30	December 1995
28	22 August 1996	4,008,200.00	294,403,206.30	March 1996
Training	Cumulative		1,330,622.00	Dec. '94 - Mar. '96

The budget for Jal Nigam activities under the original Project amounts to Rs. 305.869 million for technical works, plus Rs. 4.934 million for training, against which Rs. 294.403 million physical works and Rs. 1.330 million for training have been booked. Gross expenditures that are still to be expected therefore amount to Rs. 305.869 million - Rs. 294.403 million = Rs. 11.466 million for physical works, and Rs. 4.934 million - Rs. 1.330 million = Rs. 3.604 million for training. The combined net value of these claims is 85% x Rs. 11.466 million plus Rs 3.604 million, or: Rs. 13.350 million. With Rs. 7.222 million still available from the pre-financing, additional net disbursements with a value of Rs. 13.350 million - Rs. 7.222 million = Rs. 6.128 million can thus still be expected under the original project. At an exchange rate of 1 rupee equal to NLG 0.048 this means an expected disbursement of NLG 294,144. With a reported guilders balance of NLG 3,698,956.19 per 12 December 1996, the ultimate balance after completion of the original Project VI would thus be around NLG 3,404,80, or well above the expected net cost of the II Addendum works.

5.4.3 Status of receipts and expenditures by PSU/PSU Foundation

Of the first budget for the community participation component under Project VI (for October 1989 - March 1992, totalling Rs. 17.530 million) only the budget for the first year (Rs. 6.603 million) was sanctioned. Thereafter the budget was revised, and per 16 June 1992 an additional allocation of Rs. 11.648 million was sanctioned (Rs. 5.783 million for 1992 and Rs. 5.865 million for 1993). Together with the PSU part of the training programme (Rs. 2.5025 million) the total budget allocation for the PSU Foundation thus became Rs. 20,753,500. In its letter Ref. 11090/rws/up of 7/3/94 the Royal Netherlands Embassy sanctioned a slightly different amount: Rs. 20,798,620.

Requests for an additional allocation of community participation funds in view of the extension of the Project with additional handpumps in Lakhimpur Kheri District were not immediately cleared: a proposal for an additional Rs. 6.597 million for community participation was kept pending by the Royal Netherlands Embassy in New Delhi until more detailed information about actual spending patterns would have become available. As a consequence, the PSU Foundation now reports an overspending of Rs. 840,541 under the Project, as per 1 October 1996.

The status of Project VI funds received and utilised by PSU Foundation, is shown in Table 5.8; a detailed list of funds received is given in Table 5.9.

Table 5.8 Status of funds received and funds utilised by PSU (Foundation) (December 1996)

Organization	Period / Details	Received	Utilized
PSU	FY 1989 - 1990	12,000	116,558
	FY 1990 - 1991	6,090,000	1,949,502
	FY 1991 - 1992	3,301,000	984,673
	FY 1992 - 1993	2,983,000	1,554,749
	FY 1993 - 1994	3,812,000	4,013,780
	FY 1994 - 1995	2,933,000	4,923,691
	Staff benefit fund		2,460,210
	FY 1995 - 1996 until May '95		528,576
	Total PSU:	19,131,000	16,531,739
PSU Foundation	Balance per 1 June 1995	2,599,261	
	FY 1995 - 1996 from June '95		2,516,537
	Corpus over FY 1995-96	720,000	720,000
	FY 1996 - 1997 until Sep.'96	983,500	1,906,765
	Total PSU Foundation:	4,302,761	5,143,302
	Balance per 1 October 1996	-840,541	

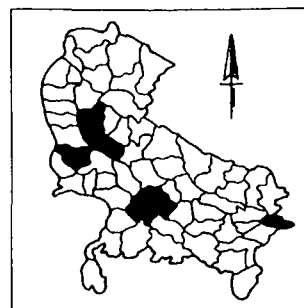
Table 5.9 Details of funds received by PSU Foundation

Date of receipt	Amount (Rs.)
4 November 1989	4,000
4 November 1989	4,000
4 November 1989	4,000
21 May 1990	540,000
17 July 1990	1,350,000
21 December 1990	3,200,000
15 March 1991	1,000,000
12 July 1991	501,000
24 March 1992	900,000
24 March 1992	900,000
24 March 1992	900,000
24 March 1992	100,000
30 November 1992	2,983,000
24 September 1993	880,000
24 September 1993	2,932,000
29 June 1994	2,933,000
31 January 1996 (Corpus)	720,000
12 October 1996 (balance funds)	983,500
TOTAL:	20,834,500

As can be deducted from Tables 5.8 and 5.9, the balance under the Project is already negative, even though all allocated funds have been transferred by the Embassy. It is hoped that now that more transparency has been provided in the fund flow and expenditures by the PSU Foundation, the allocation for the community participation component under Project VI will quickly be brought in line with actual and still expected expenditures.

6 PROJECT VIII

(Proposed handpump scheme)
(DGIS Code Nos. IN 025 001, IN 025 002)



CONCISE SUMMARY OF PROJECT HISTORY

In November 1989 mission UP-23 received the first information on a Project VIII, comprising 17,357 handpumps. At the request of the mission it was decided to re-arrange the Project in such a way that the Districts covered would be in a contiguous area, to facilitate community participation.

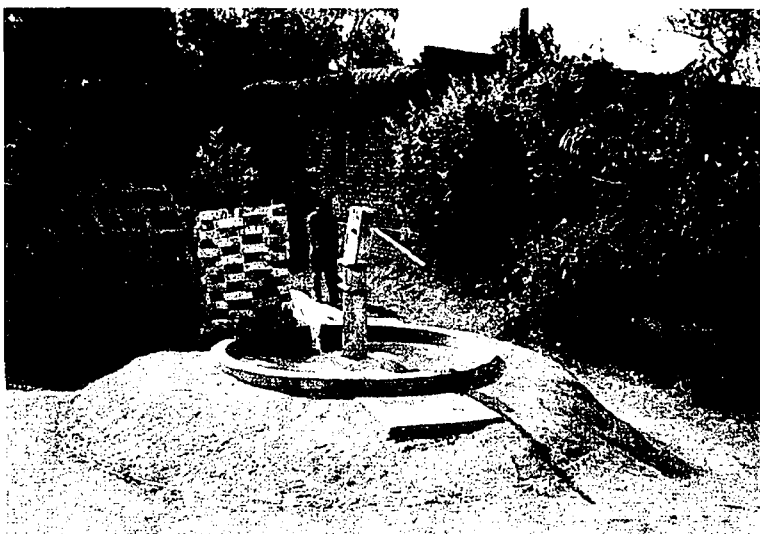
The Appraisal Report on the Project, for a total of 18,767 handpumps in 2505 villages, was formally submitted to the Government of Uttar Pradesh on January 8, 1991. The cost of the proposed Project amounts to Rs. 377.74 million, which includes a community participation component of Rs. 40.37 million.

An "Appraisal Report (Revised), Project VIII, Hand Pump Schemes in Districts Aligarh, Moradabad, Badaun, Kanpur-Dehat, Unnao, Ballia", dated September 1992, with an estimated cost of Rs. 4043.74 lacs, was cleared by the Government of Uttar Pradesh and subsequently submitted for clearance to the Government of India on 18 November 1992.

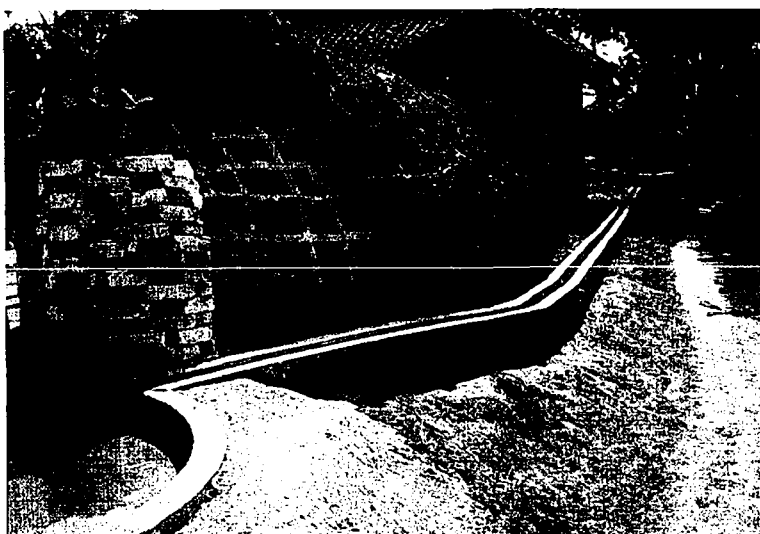
A modified "Appraisal Report (Rejoinder) Project VIII" dated December 1992 and indicating an estimated cost of Rs. 472.339 million, was cleared by the Government of The Netherlands in May 1994. The sideletter, exchanged on 24 August 1994, indicates a total agreed project budget of Rs. 400.9768 million, equivalent to NLG 25.480 million. It also modified the over-all duration of the Project from the originally proposed 3.5 years to 5 years, without raising the budget correspondingly, however. A contract with the PSU Foundation was signed on 1 November 1994.

Officially, the Project started in October 1994, with an expected completion by September 1999. It covers the installation of a total of 15,943 handpumps in 3,251 villages across 42 blocks in 6 districts, the training of 15,943 handpump caretakers, and corrective interventions on 10,763 existing handpump sites. Delays in transferred the pre-financing amount to the Jal Nigam severely hampered physical implementation, however, resulting in a delay of 6 months.

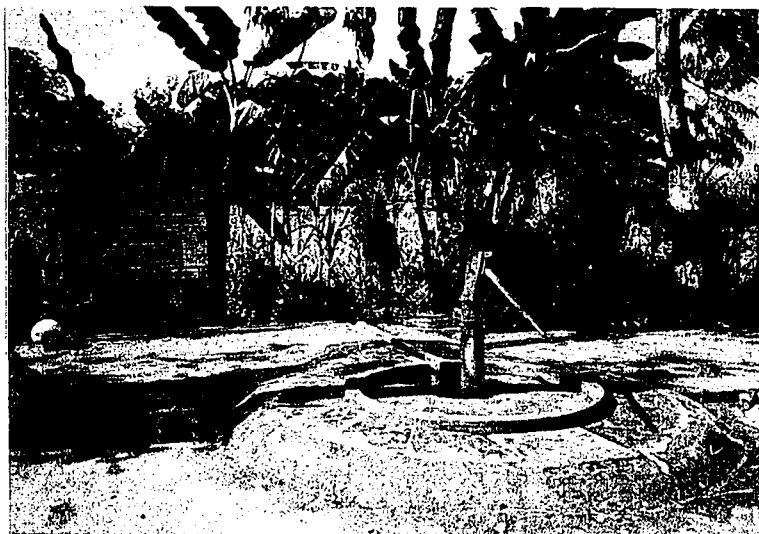
Area covered:	3,348 villages across 43 blocks in 6 districts, covering 4.9 million people
Target:	Installation of 15,426 handpumps; review of 10,763 handpumps (revised number: 15,486 handpumps) Training of 15,943 caretakers
Completed:	Physical implementation: 101 handpumps (0.6%)
Planned duration:	1 October 1994 - 30 September 1999
Actual duration:	1 October 1994 - December 1999?
Implementing agencies:	Jal Nigam and PSU Foundation
Cost estimate:	
- physical implementation:	Rs. 404.242 million (sanctioned); Rs. 532.522 million (revised)
- training (Jal Nigam + PSUF):	Rs. 17 million (sanctioned)
- community participation:	Rs. 40.371 million (sanctioned); Rs. 84.91 million (revised)



Handpump constructed under harijan programme, with drainage provided under IDC; Umedah village, Pandah Block, Ballia District



Long drain connected to handpump shown in top photograph



Handpump IDC-3 in Umedah village, constructed under the Indo-Dutch Cooperation programme

6.1 PROJECT STATUS

Originally the Project was cleared with an allocation of Rs. 404.242 million for physical implementation and Rs. 17 million for training by both the Jal Nigam and PSU Foundation. In addition an amount of Rs. 40.371 was allocated for the community participation component. Some confusion was caused by the side letter for the Project: whereas the Netherlands authorities decided — probably correctly — that the planned implementation period of 3.5 years was too optimistic, and should be changed to 5 years, no corresponding increase in budget allocation was taken into account. This has obviously a more direct impact on the activities of the PSU Foundation, as its costs will increase more than proportionally with the total duration of the project (time spent is proportional; inflation renders this more than proportional), whereas for the Jal Nigam the only impact is the inflation on the implementation cost, without which these costs would be independent of the implementation period. Revised cost estimated for the adjusted project period were submitted by the implementing agencies in the course of 1996.

A revised cost estimate for the Jal Nigam components of Sub-Project VIII was submitted on 13 May 1996 (see also Annex L). It reflects the consequences of:

- installation of (lower cost) India Mark-II handpumps rather than Mark-III handpumps;
- later start of the works, in Quarter III of the financial year 1995-96;
- a physical implementation period of 3½ years within a total of 5 years for the entire Project;
- installation of 15,426 new handpumps, against 15,486 installed handpumps;
- price escalation for the training component.

The total cost of the Jal Nigam component thus became Rs. 536,790,300, as follows:

- technical component: Rs. 516,053,400
- training component: Rs. 20,736,900

The budget increase was cleared by the Netherlands authorities in letter Ref. rws/up/spviii dated 16 August 1996, which mentions a net reimbursable amount of Rs. 438,645,390 for the physical component.

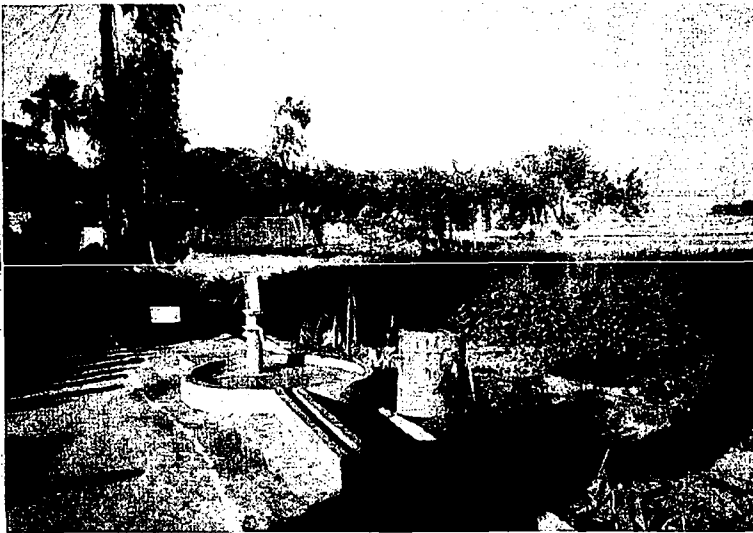
For the community participation component, a revised cost estimate for the period April 1996 - September 1999, amounting to Rs. 84,695,000, was submitted for approval to the Royal Netherlands Embassy on 10 January 1996. The Embassy undertook to favourably consider the request for a budget increase once the currently approved funds (at the time balance funds of NLG 2,204,836 or Rs. 45,177,089 at the applicable rate of exchange) would have been (almost) utilized by the PSU (letter ref. rws/up/psu dated 30 August 1996).

6.2 PHYSICAL PROGRESS

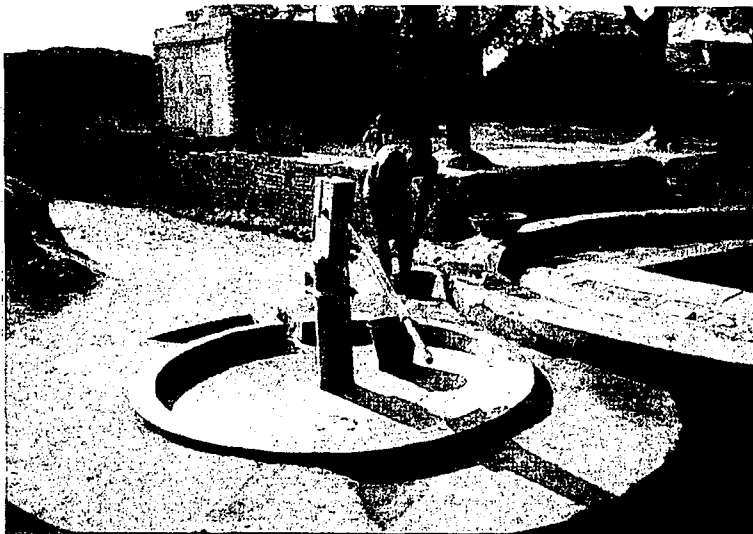
The targets according to the revised project document are given in Table 6.1. Achievements per October/November 1996 are shown in Table 6.2. The quarterly progress report by Jal Nigam is given in Annex K.



Jal Nigam godown in Atrauli Block, Aligarh District, constructed under the IDC programme



IDC handpump alongside roadside drain, Bramhain village, Hanumanganj Block, Ballia District



*Handpump near open well, Thakur basti, Kastalivaish village, Aligarh District.
Note small cattle trough adjacent to the platform, near the drain*

Table 6.1 Physical provisions in Project VIII

Description	Aligarh	Moradabad	Badaun	Kanpur-Dehat	Unnao	Ballia	TOTAL
Tehsils (Nos.)	2	2	2	3	2	2	13
Blocks (Nos.)	6	4	6	10	6	11	43
Handpumps (Nos.):							
existing before	2,209	975	1,307	3,029	958	2,285	10,764
existing now	3,529	1,315	2,358	4,280	1,371	2,633	15,486
to be added	2,625	3,085	2,228	3,213	1,982	2,293	15,426
installed	3	-	20	6	36	36	101
Brick pavement (Nos.)	2,625	3,085	2,228	3,213	1,982	2,293	15,426
Drainage works (m)	3,938	4,628	3,342	4,820	2,973	3,440	23,141
Soak pits (Nos.)	656	771	557	803	496	573	3,856
Office/Godowns (Nos.)	2	1	2	3	2	2	12
District Labs. (Nos.)	1	1	1	1	1	-	5
Inspection Houses	1	1	1	1	1	-	5

Table 6.2 Physical progress in Project VIII

District / Block	Target	Sites selected	Handpumps installed	Platforms constructed	
ALIGARH ⁷	Atrauli	361	130	95	50
	Bijauli	295	74	65	20
	Gangeri	551	120	85	41
	Jawan	566	169	138	61
	Lodha	390	139	139	71
	Dhanipur	462	152	132	55
	Total	2,625	784	654	298
	BADAUN ⁸	Rajpura	337	93	56
Gunnaur		315	64	53	32
Junawai		345	59	47	44
Dehgawan		423	98	84	20
Sahaswan		422	101	89	30
Ambiapur		386	114	81	45
Total:		2,228	529	410	190
BALLIA ⁹	Pandah	380	87	74	67
	Beruarbari	216	59	56	56
	Bansdih	242	0	0	0
	Nawanagar	322	66	51	42
	Maniyar	254	25	14	5
	Hanumanganj	241	72	49	30
	Sohaon	130	0	0	0
	Belhari	111	0	0	0
	Balria	91	0	0	0

⁷ status as per 20 November 1996

⁸ status as per 31 October 1996

⁹ status as per 27 November 1996

Table 6.2 Physical progress in Project VIII (continued)

District / Block	Target	Sites selected	Handpumps installed	Platforms constructed
Garwar	107	46	44	35
Dubhar	199	34	22	10
Total:	2,293	389	310	245
KANPUR DEHAT¹⁰				
Rasoolabad	680	155	103	12
Derapur	278	67	56	15
Sandalpur	264	51	50	18
Jhinhak	387	70	62	0
Patara	389	96	79	24
Ghatampur	241	52	32	12
Rajpur	148	52	38	10
Malasha	168	47	37	14
Amraudha	191	35	27	8
Bhitargaon	467	93	73	46
Total:	3,213	718	557	159
MORADABAD¹¹				
Moradabad	1,002	137	115	0
Moonda Pandey	651	241	210	88
Bilari	597	213	185	78
Dingarpur	835	171	100	0
Total:-	3,085	762	610	166
UNNAO¹²				
Nawabganj	290	110	96	51
Hasanganj	451	173	143	24
Auras	225	91	69	9
Miyaganj	255	92	46	10
Ganj Moradabad	286	107	83	40
Bangarmau	475	140	68	59
Total:	1,982	713	505	193
GRAND TOTAL	15,426	3,895	3,046	1,251

6.3 COMMUNITY PARTICIPATION

6.3.1 Introduction

Project VIII covers 3,348 selected "problem villages", in 43 blocks in 14 tehsils. Against 15,426 new handpumps to be installed an almost equal number will be reviewed in terms of their social acceptability, platform and grouting conditions, as well as the adequacy of drainage and of water discharge, both qualitatively and quantitatively.

¹⁰ status as per 21 November 1996

¹¹ status as per 31 October 1996

¹² status as per 31 October 1996



Detail of handpump platform in the brahmin basti of Kastalivaish village, Aligarh District. Note the small cattle front adjacent to the platform. Too close to prevent pollution?



Handpump with brick-on-edge pavement and drainage facilities with soak pit at roadside. Jakhera village, Atrauli Block, Aligarh District.

The involvement of village communities in the planning and implementation as well as in the maintenance of water supply facilities is ensured through:

- the selection of socially acceptable, and technically feasible, sites by users – particularly women – in consultation with *Gram Panchayat* members;
- promotion of hygiene consciousness, in order to reach an optimum use and maintenance of water supply facilities;
- the sharing of costs, by the users of the handpumps, for upgrading and maintenance of handpumps and sanitary facilities;
- the setting up of *Jal Samitis*, or handpump level committees. From mid-1996 onwards the emphasis has been on the establishment of ward committees and coordinating committees at a Panchayat level, which have a legal basis in the Panchayati Raj Act. The field staff extends the necessary support to them, to prepare them for the proper upkeep and maintenance of facilities;
- the creation of a resource base of trained caretakers and handpump mechanics;
- the involvement of relevant intermediates at *Nya Panchayat* and block level to facilitate environmental sanitation, and the integration of relevant public programmes in the field of literacy, forestry, sanitation etc. in the project.

Aligarh was the first district where at district level a system was developed for the collection of water charges under the provisions of the Panchayat Act (*Gram Nidhi 3*). The decision to collect contributions at the rate of Rs. 40 per household per year was taken in joint discussions. In December 1995 the first Gram Panchayat accounts had been opened and a total of Rs. 88,717

was collected in 1995 in this District against a total of Rs. 106,597 in 1996. The other districts, each in their own way, are gradually adopting similar structures and systems.

Table 6.3 *Creation of Jal Samitis and fund collection*

No.	District	No. of Jal Samitis formed		Funds collected (Rs.)	
		1995	1996 (March)	1995	1996
1	Aligarh	97	1,083	88,717	106,597
2	Kanpur Dehat	17	71	11,000	35,500
3	Ballia	2	78	2,000	39,000
4	Badaun	67	26	200	2,000
5	Unnao	75	288	11,785	8,510
6	Moradabad	166	186	70	1,967

The chronological order of activities is different from those under Project VI. While Project VI focussed on handpump construction first, the order here is:

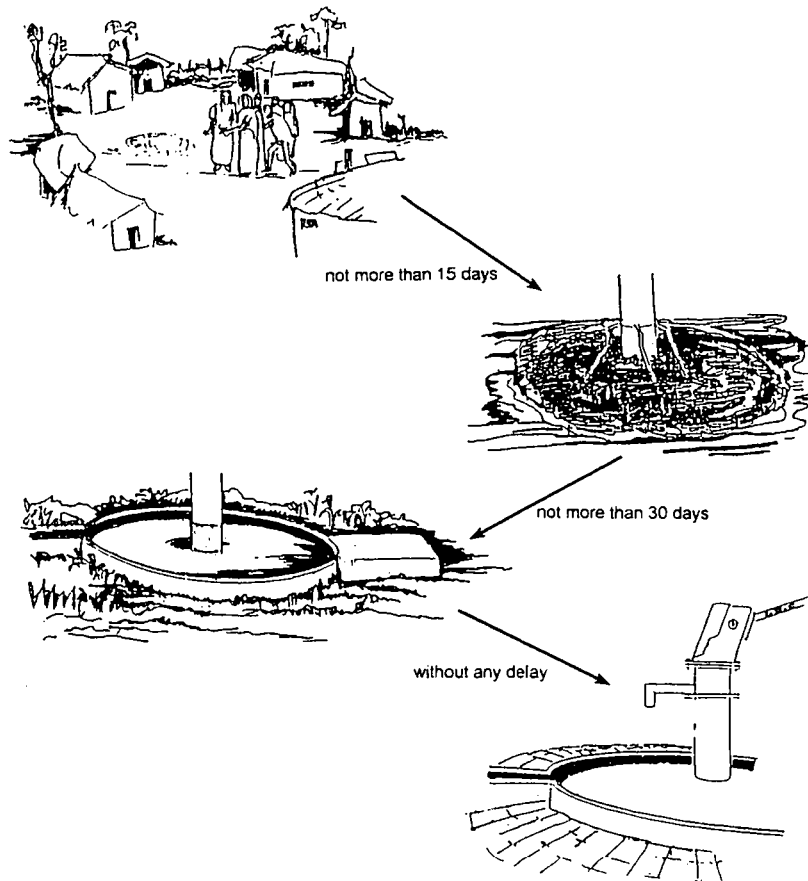
- starting with fund collection for maintenance;
- physical construction, consisting of (i) site selection; (ii) lowering of handpump; (iii) completion of platform; and (iv) commissioning. This process takes two months;
- training of caretakers and mechanics for decentralised maintenance;
- further support to Gram Panchayat institutions for fund management.

For the first activity a model is first developed with the district authorities. Bylaws of the Panchayati Raj Act are ratified. The Gram Panchayat Adhikaris, who play a crucial role, are nominated as joint account holder of the maintenance funds together with the Pradhans concerned. The villagers are subsequently informed about their legal obligation to pay a water charge of Rs. 40 per household per year, through Ward Committees (each covering about 200 families), which are formed around the elected ward representative in the Gram Panchayat.

The speed with which the physical construction activities follow each other has proven crucial for successful community involvement (see diagram on the next page): when too long a period lies between site selection and well drilling/handpump installation, disagreements may start on the earlier approved site, as has happened in several cases, notably in Kanpur Dehat District, where not less than 14 sites have become disputed exactly for this reason. In a similar way, too long a period in between handpump installation and full completion of platform and drain will hamper the collection of contributions from the intended users. For these very reasons the project document of Project VIII indicated the maximum interval between successive actions:

- a. Handpumps must be installed within 15 days after site selection;
- b. Construction of platforms and drains must be done within 30 days after lowering of the handpump;
- c. Commissioning of the handpump must follow immediately after the construction has been completed.

In several cases, however, the periods between the various steps have been considerably longer. For that reason the issue was brought forward in a series of meetings with the concerned Executive Engineers. The agreements as indicated above were formally laid down once more at a joint UP Jal Nigam/PSU Foundation meeting held on 25 July 1996.



The training of caretakers will start mid-1997. Hygiene promotion has started in a number of model villages and includes: promoting awareness on the adverse effects of unsafe water and sanitation on the health, promoting better sanitary practices in schools, protection or covering of wells, safe and hygienic disposal of domestic and human waste, options for improvement of personal hygiene, and prevention and cure of diarrhoeal and other water related diseases.

The progress of revenue collection for decentralised O&M is discussed below.

6.3.2 Decentralised operation & maintenance (O&M)

*It is the slogan of the people
that the handpump is our friend
(Jal Sena, Brahmain village, Ballia District)*

In this project the responsibilities for maintenance and upkeep of the handpumps rest with the Panchayats. Decisions on fund generation, fund utilisation and identification of caretakers and mechanics for training are taken by representatives of user households and Panchayats, in their capacity as members of ward or village level water committees.

During the field visits to Districts Gonda, Aligarh and Ballia the mission observed that the village level management of funds for sanitary improvements and handpump repairs is emerging. The approach to achieve a sustainable set-up for operation and maintenance in Project VIII differs from that under Project VI (see also Chapter 14):

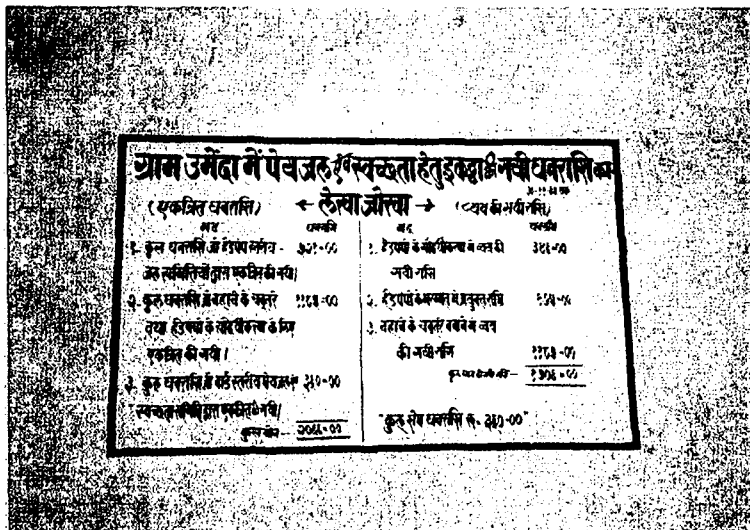


Wall painting on handpump maintenance, Kumbar basti of Kastalivaish village, Aligarh District

The chronological order is different. While under Project VI the installation of handpumps – with or without community participation – came first, followed by a massive handpump maintenance training programme, which in turn laid the basis for the gradual evolvement of a decentralised maintenance structure, the order of activities under Project VIII is usually reversed:

- in District Aligarh the collection of funds starts first, as an expression of commitment between the population (to maintain the existing and new water supply facilities) and the public water organisation, UP Jal Nigam (to deliver extra water infrastructure to meet full coverage);
- this fund collection is followed by the installation of new handpumps;
- the capacity building programme for the handpump caretakers and maintenance mechanics has yet to start. It is envisaged that the IDC training may complemented by the training activities of the HRD Cell of Jal Nigam in non-IDC blocks. To this end PSUF and Jal Nigam will jointly outline the optimum approach;

Whatever the chronological order of actions, in both projects a massive institution building process is required right throughout the village level up to the block and district level. Both elected people’s representatives as well as government functionaries and officials have to be involved at all levels.



Accounts of ward-level Water & Sanitation Committee as per 30 November 1996, displayed on wall; Umedah village, Pandah Block, Ballia District, Project VI area

Fund collection, accounts management and auditing, and decision making on expenses have not been usual village tasks in Uttar Pradesh. The recording of the fund management by wall scripts in IDC villages is therefore a truly educational and democracy enhancing tool. The mission observed how the fund collection and spending was painted on village walls in Umeda and Bramhain, in Ballia District (Project VI).

It will be advisable to compose a booklet in Hindi for Pradhans, Gram Panchayat Adhikaris, BDOs and others involved in the fund management activities, explaining the legal framework of responsibilities of the Gram Panchayat and its sub-committees for maintenance of community assets, collection of water charges and sanitation taxes, and management of local revenues.

Project communication per booklet

The PSUF published an attractive booklet *Community-based Management of Handpumps, Sub-Project VIII*. In 12 pages the full-colour illustrated booklet explains the background of the IDC programme on rural water supply and sanitation. A colourful geographical map highlights the six districts and the mentions the tehsils and blocks where Project VIII is undertaken. A breakdown of the number of new handpumps to be installed and existing ones to be reviewed is given per block.

Physical and social project components are described, while the critical steps of site selection and installation of handpumps are concisely explained. Also the government and implementing agencies are presented. The roles and responsibilities of institutions and officers involved at the District, Block and Gram Panchayat level are explained.

The brochure, which is in Hindi, is distributed in 3,000 copies.

6.4 PROJECT DURATION

The Project officially started per 1 October 1994 with a 6-months pre-implementation phase, to be followed by implementation from April 1995 onwards. Due to the lack of funds, however, implementation in fact started per October 1995, 6 months later than planned. The technical component will be completed by March 1999, with the community participation activities continuing until the end of 1999.

6.5 PROJECT COST

6.5.1 Revised cost estimate

The revised estimate of May 1996 mentions a total cost for the technical component equal to Rs. 516.0534 million, and a training component of Rs. 20.7369 million. For the community participation component the revised estimate comes at Rs. 84.695 million. The total revised cost thus amounts to Rs. 621.4853 million, as shown in Table 6.4. The amounts cleared by the Netherlands authorities are the same, except for the community participation component, for which an additional allocation is foreseen in the future.

An amount of Rs. 52.7 million (NLG 3.043 million) was provided as pre-financing for the Project per 1 December 1994.

Table 6.4 Cost breakdown (revised estimate; in millions of Rupees)

COMPONENT	Cost (Rs. millions)
Procurement of handpumps	122.0968
Installation of handpumps	63.0152
Drainage works	12.1859
Building works	17.1000
Vehicles	8.5000
Corrective measures on existing handpumps	18.5832
Base cost per 1-4 -1992	241.4810
BASE COST PER 1-10-1995	341.2127
Physical contingencies @ 8%	27.2970
Engineering contingencies @ 20%	73.7020
Price contingencies	73.8417
TOTAL COSTS, TECHNICAL COMPONENT	516.0534
Training component (Jal Nigam + PSU Foundation)	20.7369
Community participation component	84.6950
GRAND TOTAL	621.4853

The disbursement schedule for the Jal Nigam component according to the revised estimate is shown in Table 6.5:

Table 6.5 Revised disbursement schedule, Jal Nigam component only; in millions of rupees

Financial Year	Quarter	Base Cost per 1-10-95	Contingencies			TOTAL
			Physical	Engineering	Price	
1995-96	III	20.8502	1.6680	21.8032	1.1080	45.4294
	IV	39.7371	3.1790	6.4374	2.4985	51.8520
1996-97	I	32.7300	2.6184	5.3023	3.1257	43.7764
	II	39.6969	3.1758	6.4309	5.1183	54.4219
	III	33.0196	2.6416	5.3492	5.3891	46.3995
	IV	25.3078	2.0246	4.0999	5.0195	36.4518
1997-98	I	24.6361	1.9709	3.9910	5.7734	36.3714
	II	24.5136	1.9611	3.9712	6.6495	37.0954
	III	22.0546	1.7644	3.5728	6.8168	34.2086
	IV	21.4325	1.7146	3.4721	7.4556	34.0748
1998-99	I	18.9441	1.5155	3.0689	7.3429	30.8714
	II	17.8257	1.4261	2.8878	7.6357	29.7753
	III	13.7362	1.0989	2.2253	6.4575	23.5179
	IV	6.7285	0.5383	1.0900	3.4511	11.8079
TOTAL :		341.2129	27.2972	73.7020	73.8416	516.0537

6.5.2 Status of expenditures

So far only one reimbursement claim has been submitted by the Jal Nigam, in August 1996. This claim was reconciled against the pre-financed amount of Rs. 52,732,100 which was released by the Royal Netherlands Embassy on 1 December 1994.

Table 6.6 Reimbursement claims, Project VIII (situation per 12 December 1996)

Claim No.	Dated	Amount (Rs)	Cumulative (Rs)	Period covered up to
1	29 August 1996	35,736,444.70	35,736,444.70	March 1996
Training	Cumulative	-	-	-

A total of Rs. 19,720,700 has been transferred to the PSU Foundation, as follows:

Table 6.7 Details of funds received by PSU Foundation

Date of receipt	Amount (Rs.)
17 November 1994	2,231,700
26 May 1995	6,098,300
10 January 1996	3,008,000
16 January 1996 (corpus)	1,782,500
9 July 1996	6,600,200
TOTAL:	19,720,700

For the PSU Foundation a summary of income and expenditure per financial year is given in Table 6.8:

Table 6.8 Status of funds received and utilized by PSU / PSU Foundation (rupees)

Organization	Period / Details	Received	Utilized
PSU Foundation	FY 1994 - 1995	2,231,700	216,825
	FY 1995 -1996	9,106,300	8,622,383
	Corpus over FY 1995-96	1,782,500	1,782,500
	FY 1996 - 1997 until Sep.'96	6,600,200	4,061,000
	Total PSU Foundation:	19,720,700	14,682,708
	Balance per 1 October 1996	5,037,992	

7

PROJECT IX

**(Project for Basic Support of Community Participation Activities
under the Indo-Dutch Rural Water Supply and Sanitation Programme)
(DGIS Code No. IN 023 101)**

CONCISE SUMMARY OF PROJECT HISTORY

Review and Support Mission UP-23 (November 1989) recommended that a separate Project be created for the basic support structure for community participation that is provided by the PSU's Lucknow establishment. During mission UP-30 it was agreed that, starting with Phase B of Project V, a distinction would be made between the costs related to such basic support structure and those that are directly linked to the implementation of Project V. The former would be included in a proposal for a separate Project, Project IX. This proposal "Basic Support Structure for Community Participation Activities: Project IX, October 1993 - September 1994", showing a total cost of Rs. 15.627 million for a 3-year period, was submitted for clearance in March 1993.

In December 1993 the Project was submitted to the Netherlands authorities for clearance, with a revised cost estimate of Rs. 15.958 million. The Project was cleared in May 1994, with a budget of Rs. 15.066 million (equivalent guilders budget of NLG 956,691). The contract between PSU Foundation and the Royal Netherlands Embassy in New Delhi was signed on 20 July 1994.

7.1 PROJECT STATUS

According to the current contract, Project IX would be terminated per 30 June 1997. The Netherlands authorities contemplate the introduction of a different funding methodology for the basic support structure for the community participation component by that time, but no firm ideas have developed so far.

The reason for starting Project IX was that in the past the so-called Sub-Project V provided a financial basis which allowed community participation activities to be carried out for other Projects under the IDC Programme, utilizing a common base and facilities set up by the PSU under Project V. Since that situation was not considered desirable (it would in fact mean the termination of all community participation activities once Project V would be stopped), it was decided to fund the basic support structure from a separate project, Project IX.

As a project organization — the original nature of the PSU within the IDC Programme, and one that has actually hardly changed — all costs were covered by the programme, but no financial reserves could be created that would allow the organization to continue in case the IDC programme would be terminated. The creation of the PSU Foundation was a major step in achieving an independent status of the organization, but still no financial reserves were available.

An alternative option to creating Project IX would have been to allow the PSU to establish a financial reserve by charging a certain overhead. Such approach would have been possible, but also complicated as a result of the different starting dates of the individual Sub-Projects (now Projects), some of which started well before Project IX. It would have involved the adaptation of all contracts on community participation within the individual Projects, but still not solve the basic issue: the lack of a financial reserve with the PSU Foundation.

Meanwhile, the PSU Foundation has been allowed to create a special *corpus*, funded from the IDC funds, but the amount involved is to be used mainly for staff benefits, severance pay, etc., and it is not exactly of the nature foreseen for the earlier mentioned financial reserve. In case Project IX would not be extended, the PSU Foundation should be allowed to charge a certain

fee over its activities, to build up such financial reserve. A decision should be taken as to what extent such fee might be charged retroactively in case Project IX would not be extended.

7.2 ORGANIZATIONAL DEVELOPMENT

7.2.1 Capacity building and professionalization

In 1996 the PSUF participated in the following training sessions and exchanges:

- a. Workshop on communication in Kerala: a 2-days workshop on Traditional Media in Water and Sanitation Programmes (with special focus on women) in Thiruvananthapuram, 31 January and 1 February 1996. The workshop was organised jointly by the WID and the IDC programmes of the RNE, the Socio-Economic Unit Kerala, the Kerala Chapter of the International Union for Health Promotion and Education, and the PSU Foundation;
- b. Fortieth Session of the Commission on the Status of Women (CWS), organised by the Division for the Advancement of Women of the UN in New York, 11-22 March 1996, by Dr. Jatin Dé;
- c. National Conference on Environmental Sanitation and Water Supply in Nepal, organised by the Department of Water Supply and Sewerage, Ministry of Housing and Physical Planning of Nepal, and the Nepal Association of Engineers, 22-24 March 1996, by Dr. Jatin Dé;
- d. Study tour in The Netherlands, June 1997. A paper was presented titled *Realising the change..., emerging trends in the Indo Dutch rural water supply and sanitation programme in the State of Uttar Pradesh, India.*

The PSU Foundation has been active in a number of studies beyond the IDC Programme, such as the preparation of a Gender Profile of Uttar Pradesh (requested by the WID programme of the Royal Netherlands Embassy), the preparation of a model plan in the district of Aligarh for Diversified Agriculture Support (requested by the World Bank funded project of the UP Council of Agriculture Research), and planning for poverty alleviation. More agencies have acknowledged PSUF's professional qualities in bottom-up planning, and designing development strategies based upon PRA methods.

Section III of this report deals with future plans on staff training, human resources policy and organisation building of the Foundation.



*New office building for PSU
Foundation under renovation*

7.2.2 Documentation

The PSUF has undertaken to record its communication experiences in *Communicating development - An experience of Indo-Dutch Bilateral Programme on rural water supply and sanitation* to assess the people's perceptions of the programme in the IDC areas. Furthermore it intends to draft a status paper on *Community Health and Environmental Upgrading in the IDC Districts*. The latter was not available to the mission.

7.2.3 Housing of the PSU Foundation

The lease of one of the historic buildings in the Cantonment Area of Lucknow, as the new office for the PSU Foundation, was officially arranged at the time of Review and Support Mission UP-36. At the time of IDR-1 (UP-37) renovation activities were in full swing, and it was expected that the official inauguration of the new facilities would take place on 5 March 1997. These premises offer excellent possibilities for indoor and outdoor training and performance activities.

The Royal Netherlands Embassy in New Delhi supported the PSU Foundation by a one-time grant for rehabilitation works.

7.3 FINANCIAL ASPECTS

7.3.1 Progress and financial reporting

The Mission received the six monthly progress report on the period July-December 1995, and two consolidated quarterly progress reports of the quarters ending March 1996 and June 1996. It is laudable that the tradition of quarterly progress reports has been restored, though it is a pity that the last 6 months of 1996 were not yet reported.

The reports provide a brief overview of the progress of physical activities and indicate the extent of awareness creation, institution building and community participation in each of the projects. Also major policies and decisions on project implementation are presented, while finally trends in institutionalising community participation are analysed.

The formats of the quarterly progress reports of PSUF underwent a change. Major activities performed during the quarter are highlighted, but lacking is a presentation of the cumulative achievements during the quarter and total cumulative achievements. For reasons of comparison such a presentation would be required.

The quarterly (physical and financial) progress report over the period June-September 1996 was not available during the mission's visit, just as a similar report was not available in time one year earlier. While recognizing that the financial administration of the PSU is meticulously kept, the mission again recommends that the PSU Foundation give a higher priority to regular quarterly progress reporting, not in the least since quarterly (financial) progress reports are conditional for new disbursement requests.

In discussions with the accountant of PSU Foundation details of the financial statements per Project were obtained, and additional information — where applicable — provided per fax or e-mail. In New Delhi the mission discussed the financial statements at the Royal Netherlands Embassy and was thus able to take away most of the financial questions on the IDC programme.

The Netherlands authorities again stressed the importance that the financial statements by PSU Foundation adhere to the formats given (see also Annex M). In addition two important details were stressed:

- to allow easy reference to the Embassy's records the dates shown for the various receipts of funds by the PSU Foundation should reflect the date of issuing the cheque (as indicated on it) rather than the date of receipt of it (as is currently done). If required, both dates could be shown, if clearly indicated;
- since in the Embassy's records the corpus amounts are booked against the headings for the individual Projects, the PSU Foundation should also follow this practice (currently the corpus payments are not shown on the individual Project statements that the PSU Foundation submits; neither as income nor expenditure).

7.3.2 Corpus amounts

The Netherlands Embassy earlier approved the formation of a reserve fund, *corpus*, by the PSU Foundation. A combined payment of corpus amounts for the financial year 1995-1996, totalling Rs. 3,417,800, was made by the Royal Netherlands Embassy on 31 January 1996:

Table 7.1 *Corpus amounts paid in January 1996*

Project	Amount (Rs.)
IV	277,000
V-B	638,300
VI	720,000
VIII	1,782,500
TOTAL:	3,417,800

7.3.3 Status of receipts and expenditures

The status of funds received by PSU Foundation, and its expenditures under the Project, is as follows:

Table 7.2 *Status of funds received and utilized by PSU Foundation (rupees)*

Organization	Period / Details	Received	Utilized
PSU Foundation	Balance per 1 June 1995	0	
	FY 1995 - 1996 from June '95	8,842,600	8,445,000
	FY 1996 - 1997 until Sep. '96	2,636,400	2,840,000
	Total PSU Foundation:	11,479,000	11,285,000
	Balance per 1 October 1996	194,000	

Details of the releases to PSU Foundation are shown in Table 7.3:

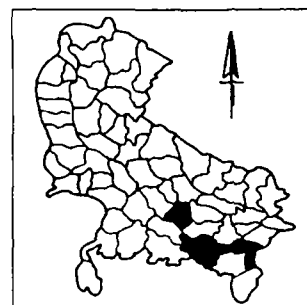
Table 7.3 *Details of releases to PSU Foundation (rupees, December 1996)*

Date of receipt	Amount (Rs.)
19 August 1995	2,511,000
4 July 1995	3,838,600
12 February 1996	2,493,000
9 July 1996	2,636,400
TOTAL:	11,479,000

PROPOSED PROJECTS

8 PROJECT I-A

(Proposed additional works for piped water supply schemes, UP East)
(DGIS Code No. IN 025 801)



CONCISE SUMMARY OF PROJECT HISTORY

Sub-Project I, the first project under the Indo-Dutch rural water supply and sanitation programme in Uttar Pradesh and comprising 22 piped water supply schemes in the districts Rae Bareli, Allahabad and Varanasi, was formally completed in May 1989.

During mission UP-25 a preliminary proposal was brought forward by the Jal Nigam, for additional works to extend the technical lifetime of the schemes until the year 2005. A final estimate was given in May 1992, amounting to Rs. 341 million, exclusive of a community participation component of Rs. 18.8 million.

On the basis of the recommendations given by the Evaluation Mission of March/April 1992 the schemes were recast so as to include a replacement of all public standposts by handpumps, thus also obviating the need for additional source, storage and distribution capacity. Meanwhile the additional works for the Tikri scheme have been included for execution under the balance of the guilders allocation for Sub-Project IV, and are thus no longer included in Sub-Project I-A.

An Appraisal Report Sub-Project I-A, indicating a total cost of Rs. 219.243 million, was submitted to the Government of Uttar Pradesh in December 1994, and to the Government of India in January 1995. It was cleared by the Rajiv Gandhi National Drinking Water Mission in December 1995.

Area covered:	21 piped supply schemes: 4 in Allahabad, 7 in Varanasi and 10 in Rae Bareli Districts
Target:	Rehabilitation of 21 schemes; installation of 5085 handpumps
Completed:	-
Planned duration:	October 1996 - October 1989
Actual duration:	-
Implementing agencies:	Jal Nigam and PSU Foundation
Cost estimate (revised):	Rs. 206,761,400 in total: Rs. 191,116,400 technical works Rs. 15,645,000 community participation component

8.1 PROJECT STATUS

The project document "Appraisal Report Sub-Project I-A", jointly prepared by UP Jal Nigam and PSU Foundation and dated November 1994, mentions a total cost of Rs. 219.243 million, inclusive of Rs. 15.074 million for community participation and hygiene promotion. Although the project was in principle cleared by the Indian authorities, it will require a major revision, to incorporate the findings of the Pilot Project on Operation & Maintenance under Project IV, once sufficient experience with community participation in O&M of piped supply schemes will have been obtained. As the revised project document on the pilot project still has to be submitted, it is not likely that a revised project document for Project I-A will be ready before the year 1998. In the opinion of the Netherlands authorities, the Project deserves a high priority, higher than for instance Project VII.

8.2 PROJECT DURATION

For lack of further details, the duration of the Project is currently estimated at 3 - 4 years.

8.3 PROJECT COST

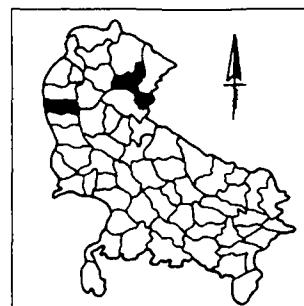
The cost estimate given in the project document will need to be revised, on the basis of the final set-up for the Project. A first revision by the UP Jal Nigam was given in December 1995. Both estimates are shown in Table 8.1, as an indication of the order of magnitude of the costs to be expected. A further revision will be required, however.

Table 8.1 Original and revised cost estimates

Component:	Cost estimate (rupees) according to:	
	Project document	Revision by Jal Nigam (Dec. 1995)
WATER SUPPLY COMPONENT:		
- Base cost per 1-4-1994	123,739,660	NA
- Base cost per start of implementation	136,585,432	126,260,766
- Ditto, including 8% physical contingencies and 20% engineering contingencies	177,014,720	163,633,953
- Price contingencies	19,430,433	18,527,447
Total	196,445,153	182,161,400
TRAINING COMPONENT, including 5% physical contingencies and price contingencies	6,627,400	7,684,200
COMPUTER CONFIGURATION, including 5% physical contingencies and price contingencies	1,096,200	1,270,500
Total Jal Nigam component (rounded)	204,168,700	191,116,400
Community participation (PSUF component)	15,075,000	15,645,000
TOTAL PROJECT COST	219,243,700	206,761,400

9 PROJECT VII

**(Proposed water supply and sanitation schemes
with semi-urban and rural areas)
(DGIS Code No. IN 075 401)**



CONCISE SUMMARY OF PROJECT HISTORY

In May 1989 an advance copy of the project document for Project VII, covering 15 schemes in 8 Districts was shown to the mission, mentioning a total cost of Rs. 241.4 million. In May 1990 the Review and Support Mission carried out a pre-appraisal of the 10 schemes in 6 Districts under the Project; an "Appraisal Report on Project VII" was submitted for clearance to the Government of Uttar Pradesh on 8 January 1991. It mentions a total cost of Rs. 362.4 million, which includes a community participation component of Rs. 34.5 million.

During mission UP-28 it was decided that an extended preparation (EPP) of the Project would be carried out. Mission UP-29 agreed with the Jal Nigam that, except the Meerut TACs, all other schemes in the plains would be re-cast as handpump schemes. The Pharha scheme in Firozabad, moreover, was taken out of the Project and covered under the guilders balance of Project IV. A demographic and socio-economic survey in Meerut and Almora Districts was carried out during the first quarter of 1993, as the first EPP phase. Based on the results of this survey and preliminary calculations of requirements in other districts, it was decided to reframe the Project, concentrating on two districts only: Almora and Meerut.

In March 1994 the second EPP phase resulted in the preparation of the draft project report. The final version, indicating a total cost of Rs. 553,044,522, was submitted to the Government of Uttar Pradesh on 29 October 1994 and cleared by the Rajiv Gandhi National Drinking Water Mission in New Delhi on 12 December 1995.

Area covered:	485 villages: 48 in Almora and 437 in Meerut District
Target:	Integrated rural water supply/environmental project in Riskan gadhera, Almora District (28 piped supply schemes, 29 handpumps, 900 latrines, reforestation, etc.); integrated water supply/sanitation/drainage project in Meerut District (2545 handpumps, 12590 latrines, roadside drainage)
Completed:	-
Planned duration:	October 1994 - October 1999
Actual duration:	-
Implementing agencies:	Jal Nigam, PSU Foundation, Himalaya Grassroots Foundation
Cost estimate (preliminary revision):	Rs. 553,044,522 (total): Rs. 451,811,875 for physical implementation Rs. 4,682,762 for training Rs. 46,835,885 for integrated Riskan gadhera development Rs. 49,714,000 for community participation

9.1 PROJECT STATUS

The project document was cleared by the Government of India early in 1996. The current policy of the Netherlands Government attributes a lower priority to the Project now, as explained in more detail in Chapter 13 of this report. The combination of revised priorities and other financial obligations under the IDC programme renders implementation of this project in the foreseeable future rather unlikely.

The Remote Sensing Applications Centre (RSAC) originally promised to complete its reporting on the geohydrological investigations in the Dronagiri area in 1996. However, because of a

change in management at RSAC, the work was delayed. It will now be completed before May 1997.

9.2 PROJECT COST

The total cost for the Project as mentioned in the project document is Rs. 553,044,522 in total, including Rs. 94,037,434 in matching funds and beneficiary contributions. Included also is a block vote component of Rs. 39,422,525, which is equivalent to 38.5% of the total Almora budget, or: 7.1% of the over-all budget.

A summary of Project costs, based on the project document and broken down per District, is given in Table 9.1:

Table 9.1 Summary of Project VII costs, according to project document

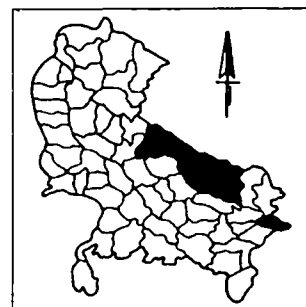
MEERUT DISTRICT						
Component	Total Costs	Matching Funds	Beneficiary Contribution	15% Tax Component	Net project contribution (GON)	Ditto, in % of total
Water supply	187,610,313	0	0	28,141,547	159,468,766	47.7%
Sanitation	82,914,243	0	17,746,928	-	65,167,315	19.5%
Drainage	140,726,797	61,104,558	9,258,840	-	70,363,399	21.0%
Community participation	34,300,500	0	0	-	34,300,500	10.3%
Training (Jal Nigam)	4,682,762	0	0	-	4,682,762	1.4%
Computer configuration	529,158	0	0	-	529,158	0.2%
TOTAL	450,763,773	61,104,558	27,005,768	28,141,547	334,511,900	100.0%
ALMORA DISTRICT						
Water supply block vote	39,422,525	0	0	5,913,379	33,509,146	37.1%
Computers/consultancies	608,839	0	0	-	608,839	0.7%
Integrated Riskan program	46,835,885	0	5,927,108	-	40,908,777	45.2%
Community participation	15,413,500	0	0	-	15,413,500	17.0%
TOTAL	102,280,749	0	5,927,108	5,913,379	90,440,262	100.0%
ENTIRE Project						
Water supply - block vote	39,422,525	0	0	5,913,379	33,509,146	7.9%
Water supply - remainder	187,610,313	0	0	28,141,547	159,468,766	37.5%
Training (Jal Nigam)	4,682,762	0	0	-	4,682,762	1.1%
Computers/Consultancies	1,137,997	0	0	0	1,137,997	0.3%
Sanitation (Meerut)	82,914,243	0	17,746,928	-	65,167,315	15.3%
Drainage (Meerut)	140,726,797	61,104,558	9,258,840	-	70,363,399	16.6%
Integrated Riskan program	46,835,885	0	5,927,108	-	40,908,777	9.6%
Community participation	49,714,000	0	0	0	49,714,000	11.7%
GRAND TOTAL	553,044,522	61,104,558	32,932,876	34,054,926	424,952,162	100.0%

PIPELINE PROJECTS

10

Project X

(Proposed project for 'saturation' of Project VI
Districts with handpumps)
(DGIS Code No. IN)



CONCISE SUMMARY OF PROJECT HISTORY

In the course of implementation of Project VI several proposals were submitted for taking up additional handpumps in these districts, to achieve so-called 'saturation' with handpumps there.

Whereas a major part of the additional handpumps proposed for Siddharthnagar District could be accommodated under the so-called II Addendum of that Project, the remaining proposals would be integrated into a proposal for a new Project, Project X.

Area covered:	... villages in ... Districts, with a total population of ... million
Target:	installation of handpumps; corrective action on handpumps
Completed:	-
Planned duration:	-
Actual duration:	-
Implementing agencies:	Jal Nigam and PSU Foundation
Cost estimate:	
- physical implementation:	Rs. million
- training:	Rs. million
- community participation:	Rs. million

10.1 PROJECT STATUS

In the past several proposals have been submitted to the Review and Support Mission for additional handpumps in the districts covered under Project VI, with varying numbers being mentioned per District. A final estimate of numbers of handpumps required for full saturation of these Districts was handed over to mission IDRM-1 (see Annex N). The total number of handpumps to be installed varies with the option selected (see Table 10.1). For full saturation of all districts under Project VI not fewer than 42,954 handpumps would be required, which would represent a very substantial project indeed.

A minimum option would be to saturate only Siddharthnagar District (which was — after all — the original intention of Sub-Project VI II Addendum), plus for the other districts only those Blocks where training of handpump mechanics has taken place. This option would imply that a total of 6,762 handpumps should be included in Project X.

The scenario which is recommended by the mission also includes the full saturation of the remainder of Lakhimpur Kheri District, resulting in a total of 10,980 handpumps to be installed under Project X.

The various options, together with a very preliminary cost estimate, are indicated in Table 10.1. The cost estimate is based on an average of Rs. 35,000 per handpump, for all technical works, to which about 10 - 15% should be added for the community participation component.

Table 10.1 Alternative options for Project X

District	Tehsil	Maximum option		Minimum option		Proposed option	
		Bl.	Handpumps	Bl.	Handpumps	Bl.	Handpumps
BAHRAICH	Nanpara	5	4,505	-	-	-	-
	Bahraich	5	2,798	1	602	1	602
	Kaisar Ganj	6	4,211	1	635	1	635
	Bhinga	4	922	1	361	1	361
	TOTAL:	20	12,436	3	1,598	3	1,598
BASTI	Harraiya	5	1,401	2	630	2	630
	Bhanpur (Sonaha)	2	493	-	-	-	-
	Basti	6	1,504	1	230	1	230
	Khalilabad	6	2,254	1	490	1	490
	TOTAL:	19	5,652	4	1,350	4	1,350
GONDA	Balrampur	2	1,769	1	833	1	833
	Tulsipur	3	2,107	-	-	-	-
	Utraula	4	2,516	1	1,040	1	1,040
	Gonda	5	3,689	1	653	1	653
	Colonel Ganj	4	4,296	-	-	-	-
	Tarab Ganj	4	3,457	1	1,009	1	1,009
	Mankapur	3	2,535	-	-	-	-
	TOTAL:	25	20,369	4	3,535	4	3,535
SIDDHARTHANAGAR	Naugarh	6	1,922	-	-	6	1,922
	Bansi	4	968	1	279	4	968
	TOTAL:	10	2,890	1	279	10	2,890
LAKHIMPUR KHERI	Nighasan	3	989	-	-	3	989
	Mohammadi	3	618	-	-	3	618
	TOTAL:	6	1,607	0	0	6	1,607
GRAND TOTAL		80	42,954	12	6,762	27	10,980
PRELIMINARY COST:							
Technical works @ Rs 35,000 / handpump		1,503,390,000		236,670,000		384,300,000	
Community participation component (15%):		225,508,500		35,500,500		57,645,000	
Total cost:		1,728,898,500		272,170,500		441,945,000	

The Royal Netherlands Embassy indicated to favourably consider a formal proposal for a new Project X. The Jal Nigam and PSU Foundation undertook to prepare a full project document for the Project in time for the visit of the next mission, i.e. well before the end of the financial year 1996-1997.

11 Project XI

(Proposed rural sanitation project)
(DGIS Code No. IN)

CONCISE SUMMARY OF PROJECT HISTORY

In the course of implementation of Project V it was decided to experiment with other options of providing sanitary facilities to the rural population of Uttar Pradesh. Such options could include a 'cafeteria approach', with varying technical options as well as different levels of contribution by the beneficiaries.

In the course of mission IDRM-1 it was decided that the Jal Nigam and PSU Foundation would make an inventory of possible options and prepare a proposal for a new sanitation component, in (a part of) the area covered by Project IV in Varanasi / Bhadohi.

Area covered:	... villages in ... Districts, with a total population of ... million
Target:	installation of latrines
Completed:	-
Planned duration:	-
Actual duration:	-
Implementing agencies:	Jal Nigam and PSU Foundation
Cost estimate:	
- physical implementation:	Rs. million
- training:	Rs. million
- community participation:	Rs. million

11.1 PROJECT STATUS

Now that the physical targets for Project V have almost been reached, the mission recommends that an environmental sanitation component be introduced in selected areas under Project IV, especially in those areas where good progress has been achieved in involving the community in operation and maintenance of the piped water supply schemes under that Project (see Chapter 3). It was agreed, therefore, that the Jal Nigam's Rural Sanitation Division, jointly with staff of the PSU Foundation, be engaged in a survey in the Project IV area, to establish priorities for environmental sanitation. Apart from gauging the response of the local population towards sanitation in general, especially the possibility of — gradually — increasing the beneficiary contribution to the construction of household latrines will be investigated, possibly linked to the introduction of a 'cafeteria-style' approach. In such an approach the individual beneficiary would have a choice between various technical options, with different levels of contribution involved.

One of the reasons behind this approach is the desire that, already for some time, has been voiced by the Netherlands authorities, viz. to gradually reduce the subsidy level for household latrines, as a way to render rural sanitation more sustainable. In this context it should be mentioned, however, that various Government programmes in India — notably those for so-called Ambedkar villages — carry a 100% subsidy level. It is, at this stage, not clear to what extent these differences in policies might result in problems in the field. It would certainly not been inconceivable that inhabitants of a non-Ambedkar village would object to paying a substantially higher contribution than those in a neighbouring Ambedkar village.

The Jal Nigam and PSU Foundation have undertaken to complete the survey before the end of the financial year 1996-1997, and to come forward with a proposal for a specially adapted sanitation component in selected schemes in Varanasi and Bhadohi Districts.

11.2 OTHER PROPOSALS RECEIVED

Mission IDRM-1 received draft project documents for two new projects:

- a. "O&M of rural water supply in District Unnao with community participation and awareness", prepared by the UP Jal Nigam (projected cost: Rs. 140.57 million);
- b. "Piped water supply of a village with solar pump", prepared by the UP Jal Nigam (projected cost: Rs. 847,500).

In addition, several other ideas were voiced, including water supply to peri-urban areas, e.g. in the immediate neighbourhood of Lucknow itself, and water supply to problem areas near Agra.

As such, the mission welcomes the approach whereby the Jal Nigam is coming forward with new proposals, but regrets that in doing so the priorities communicated by the Netherlands authorities (in several letters from the Royal Netherlands Embassy to the Jal Nigam management, notably those of 17 January 1996¹³ and 28 May 1996) do not appear to have been fully taken into consideration. The fact that from the Netherlands side there is a ceiling to the funding available for the rural water and sanitation programme in India, renders it imperative that clear priorities are agreed upon by both sides¹⁴. Given the priorities already expressed by the Netherlands authorities in their correspondence, new proposals could either be expected to be taken up in the far future only, or should be of such an urgent nature as to warrant other, already planned, new Projects to be replaced. In that case reasons for such priority should be clearly stated.

The ideas about taking up peri-urban water supply or activities in fluoride-affected areas around Agra do not appear to qualify in that sense. At any rate, at this stage they appear to be mainly ideas, without having been elaborated or even put on paper, and can thus not be commented upon. The mission's reaction to the draft project documents that were presented to it is given in the next paragraphs.

11.2.1 O&M of rural water supply in Unnao District

The letter of 28 May 1996 by the Royal Netherlands Embassy to the then Managing Director of the Jal Nigam referred to the possibility that the Netherlands authorities "... *might be in a position to accommodate a request for assistance in the establishment of operation and maintenance routines for village water schemes where water sources are affected by chemical impurities ... in line with the principles of the O & M pilot project under SP VI*".

¹³ see page 3, item 6, of this letter, which reads: "A broad inventory of the Sub-Projects currently under implementation learns that the moneys committed leaves only limited financial room for the immediate incorporation of additional DWSS schemes in the near future. It is therefore unavoidable that a careful selection amongst the newly proposed schemes is made. To that effect, this Embassy favours to expedite the approval procedure for SP VI-Addendum and could possibly consider financing a newly formulated SP-X being an extension of SP VI-Addendum. Phasing-in the proposed SP's IA and VII may have to await the phasing-out of a number of current SP's as well as budgetary and policy developments on both donor and recipient sides."

¹⁴ see also Chapter 13: Policy perspectives in the IDC programme

In the mission's opinion the proposal for funding O&M of rural water supply and sanitation in Unnao does not qualify for such support, for a number of reasons:

1. Before sufficient experience from the proposed pilot project under Project IV is available, no full-scale rehabilitation/O&M project should be undertaken or even presented. Only after such experience has become available can proposals be worked out realistically;
2. The Unnao proposal does not contain any specific reason to give it a higher priority than, for instance, the proposed Project I-A, which — unlike the Unnao proposal — is aimed at the rehabilitation of works that were implemented under the IDC programme itself;
3. The proposal is not on *assistance to the establishment of O&M routines*, but on the two year long, full-scale, conventional O&M for *all* rural water supply (piped supply and handpumps) in an area where no IDC activities have been carried out before;
4. In spite of earlier agreements that new proposals would be framed jointly by the Jal Nigam and PSU Foundation, the current document, while addressing also community participation activities, was prepared by the Jal Nigam alone;
5. The scale of the proposed activities (100% of all rural water supply works in the District included) renders the required community-intensive approach logistically impossible;
6. There is no justification why the O&M of not less than 54(!) piped supply schemes that are still to be completed in Unnao should be accommodated under the Indo-Dutch programme. Also the scale of the proposed handpump maintenance component is of an order of a full IDC Project, while lacking the special attention for implementation quality and community participation that is currently the standard in the IDC programme;
7. The project proposes community latrines of the "*Sulabh Sauchalaya*" type, a type that after careful reflection was not considered suitable for introduction in the rural areas under Sub-Project V; so far this type of latrine has proven successful only in urban areas with a considerable floating population, such as near bus terminals or railway stations.

11.2.2 Solar energy for water pumping

The concept of introducing non-conventional energy sources for water pumping deserves further consideration. The mission considers the project report "*Piped water supply scheme of a village with solar pump*" a first step in that direction. A further elaboration of the concept, linking it to the practical conditions of piped water supply under the IDC programme, will be required, however. This is dealt with in more detail in Chapter 15, paragraph 15.2.

FINANCIAL ASPECTS

12 FINANCIAL PLANNING OF ONGOING AND PROPOSED PROJECTS

12.1 ANTICIPATED DISBURSEMENTS BY INDIAN AGENCIES

Table 12.1 presents an updated impression of the disbursements by Indian agencies up to the financial year 2002 - 2003. The table is based on information given by the Uttar Pradesh Jal Nigam and by the PSU Foundation, as well as on interpretation of projected disbursements by the mission. In case of differences between the various sources of information the mission's rapporteur selected the information that in his eyes was likely to be closest to the truth. The total released rupee amounts are based on information from the implementing agencies, cross-checked with information obtained from the Royal Netherlands Embassy in New Delhi.

For several of the Projects the disbursement pattern is of a tentative nature and may be expected to change once more definite information has become available. This is true, for instance, for the completion of Project IV, as well as the Pilot Project for operation and maintenance for this Project.

In contrast with earlier statements the column "Total released" in Table 12.1 not only includes the amounts that have been submitted for reimbursement, but also that part of the pre-financed amount that has not yet been offset by reimbursement claims. All figures shown are on the basis of actual expenditures, without deduction of 15% *in lieu of taxes*.

The column "Total project amount" refers to the rupee budgets mentioned in the sideletters, even though the cost estimate according to the original or revised project document may be different.

Wherever available, disbursement schedules have been used that are based on expected actual disbursements rather than on formally established budgets (see also Annex O).

Although the basis for some of the recalculations for Project disbursements has been provided either by the Jal Nigam or the PSU Foundation, the responsibility for some revised estimates rests solely with the mission, e.g. for the II Addendum to Project VI, where the mission re-adjusted the cost estimate on the basis of the later start of the activities.

For the rupee budget the following observations are made:

- for Project IV, PSUF component, the formal project amount has been exceeded by the amount paid for the PSUF's *corpus* for the financial year 1995-1996, at Rs. 277,000. In theory there would thus be a negative balance for this activity;
- the amounts indicated for the Jal Nigam's and PSUF's components for the O&M pilot project are based on earlier estimates; these are likely to change with the submission of the revised project document in March 1997;
- according to disbursement estimates submitted by the UP Jal Nigam, no further disbursements under Project V-B would be expected. It is not clear whether this means that the rupee balance currently available with the Jal Nigam (Rs. 13.073 million) is expected to be spent on ongoing activities under Phase-B. Neither is it clear to what extent the balance under the Project caused by the administrative reshuffling of latrines to the Interim Phase (estimated at about Rs 12 million for Jal Nigam and about Rs. 10 million for the PSU Foundation, will be used for additional latrines in either the Phase-B area, or adjacent areas, or that these funds will be utilized for Project XI. In Table 12.1 no disbursements against this balance have been mentioned under Project V-B;

- for the disbursements under Project VIII the mission applied its own estimates rather than those supplied by the Jal Nigam; the latter were based on the original, shorter, implementation period and not on the longer period mentioned in the sideletter;
- for Project IX the disbursements indicated in Table 12.1 are based on information supplied by the PSU Foundation; this does not take into account the possible termination of the Project in 1997. In that case it is likely that not only the projected disbursements for Project IX need to be adjusted (downwards) but other, Project-related, disbursements equally adjusted, upwards;
- the disbursements for pipeline Projects I-A and X are based on the implementation schedule assumed by the mission, as indicated in Fig. 12.1 on page 75. As can be deduced from Table 12.1, the latest cost estimate for the technical implementation part of Project I-A is considerably lower than the original one;
- for Project VII, apart from an over-all cost estimate, no disbursement schedule has been given, as it is no longer considered likely that this Project will be implemented under the IDC programme, and certainly not in the foreseeable future.

12.2 ANTICIPATED DISBURSEMENTS BY THE NETHERLANDS GOVERNMENT

12.2.1 General aspects

Anticipated future disbursements by the Netherlands Government are indicated in Table 12.2. Wherever appropriate, they are given against the relevant DGIS code numbers according to the so-called FOS list.

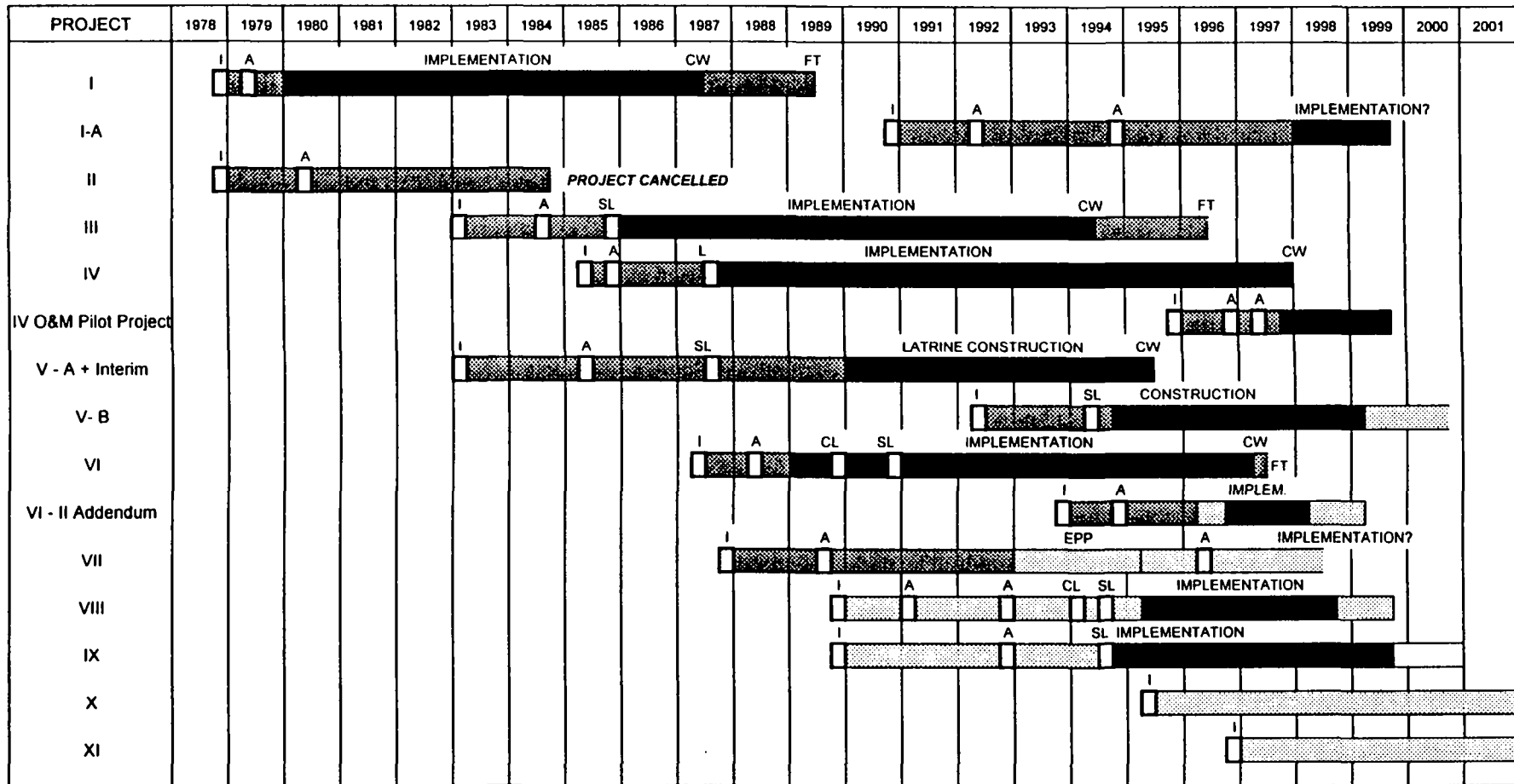
All Indian rupee amounts have been translated into Netherlands guilders, using a rate of exchange of INR 1.00 = NLG 0.05. As before, a six-months time lag has been assumed between costs being incurred and claims being reimbursed, except for those cases where so-called Technical Assistance funds are used (i.e. for Projects IV O&M Pilot Project, V-B and IX, and for the community participation components of Projects I-A, IV, VI, VII, VIII and X). In those cases no delay has been taken into consideration. The agreed reduction by 15 % in lieu of taxes has not been applied in those cases either, nor has it been for technical training to be carried out by the Jal Nigam, even though the funding modality in such cases remains Financial Assistance.

To all technical components of Projects I-A, III, IV, VI, VII, VIII and X the reduction of 15 % in lieu of taxes applies, however. This refers exclusively to activities by the Jal Nigam.

The following observations can be made:

- anticipated future disbursements under Project IV (FOS Code IN/84/004 and IN/92/014 are as preliminary as are the corresponding rupee disbursements mentioned in Table 12.1. For both the Jal Nigam and PSUF components an additional guilders allocation appears necessary;
- as was mentioned in paragraph 12.1, there still is a balance — also under the guilders budget — for Project V-B, of which it is not yet known, at least at this stage, whether it will be utilized for additional activities in the Project V-B area, or for the first activities under the proposed Project XI;
- the fund allocation for Project VI (inclusive of the II Addendum) is — as has been mentioned in Chapter 5 — clearly more than required for the Jal Nigam component, but far from sufficient for that of the PSUF. The Royal Netherlands Embassy in New Delhi has agreed to revise the allocation to the PSU Foundation when the need arises;
- for Project IX either an additional allocation will be required, or the PSUF should be allowed to levy an overhead over its activities under all Projects.

Fig. 12.1 Status of IDC Projects in Uttar Pradesh, December 1996



- LEGEND:**
- I First intimation of Sub-Project
 - A Appraisal Report
 - Pre-Implementation Phase
 - Physical Implementation Phase
 - Special situation (EPP or proposed extension)
 - CL Clearance of Sub-Project by Netherlands Government
 - SL Side Letter Exchanged
 - CW Completion of Works
 - FT Formal Termination of Sub-Project

Table 12.1 Budgets and anticipated disbursements by Indian agencies, in millions of rupees

PROJECT	Total project amount *)	Total claimed or requested	Total released	Rupee-value (net) of pre-financing	Claims booked (gross) against pre-financing	Balance under Rs.-budget	TOTAL FURTHER CLAIMS	FINANCIAL YEAR							
								96-97	97-98	98-99	99-00	00-01	01-02	02-03	03-04
Ongoing Projects															
IV Extended project															
JN - 85%	157.118	156.384	156.384	51.799	60.941	0.734	15.521	2.323	13.198	-	-	-	-	-	-
JN - 100%	1.800	-	-	-	-	1.800	-	-	-	-	-	-	-	-	-
PSUF	6.549	6.826	6.826	NA	NA	-	-	-	-	-	-	-	-	-	-
O&M Pilot Project															
JN - 100%	-	-	-	-	-	-	125.043	-	57.690	32.308	35.044	-	-	-	-
PSUF	-	-	-	NA	NA	-	10.150	0.133	3.160	3.498	3.359	-	-	-	-
V Phase B, Jal Nigam	52.703	40.666	40.666	NA	NA	12.037	-	-	-	-	-	-	-	-	-
Phase B, PSUF	19.140	8.699	8.699	NA	NA	10.441	5.882	1.490	4.392	-	-	-	-	-	-
VI Original project:															
JN - 85%	305.869	294.403	294.977	53.763	53.189	11.466	6.467	6.467	-	-	-	-	-	-	-
JN - 100%	4.933	1.331	1.331	-	1.331	3.602	1.504	1.504	-	-	-	-	-	-	-
PSUF	20.799	20.835	20.835	NA	NA	-	10.629	0.323	1.555	3.193	5.558	-	-	-	-
II Addendum:															
JN - 85%	62.894	-	-	-	-	62.894	60.941	11.521	34.484	14.936	-	-	-	-	-
JN - 100%	0.365	-	-	-	-	0.365	-	-	-	-	-	-	-	-	-
PSUF	6.634	-	-	NA	NA	6.634	10.924	3.018	3.945	2.859	1.102	-	-	-	-
VIII JN - 85%	516.053	35.736	52.732	52.732	-	463.321	553.154	134.381	181.050	141.750	95.973	-	-	-	-
JN - 100%	20.737	-	-	-	-	20.737	20.737	-	5.907	14.830	-	-	-	-	-
PSUF	40.371	19.721	19.721	NA	NA	20.651	52.182	3.088	19.484	19.467	10.143	-	-	-	-
IX PSUF	15.066	11.979	11.979	NA	NA	3.087	23.658	2.702	6.326	6.965	7.665	-	-	-	-
Pipeline Projects															
I-A JN - 85%	196.445	-	-	-	-	-	183.432	-	-	-	90.966	92.467	-	-	-
JN - 100%	7.724	-	-	-	-	-	7.684	-	-	-	1.068	6.617	-	-	-
CPC	15.075	-	-	NA	NA	-	15.645	-	-	-	5.999	4.704	4.942	-	-
X JN - 85%	-	-	-	-	-	-	384.300	-	-	80.063	120.094	120.094	64.050	-	-
JN - 100%	-	-	-	-	-	-	20.000	-	-	-	5.000	15.000	-	-	-
CPC	-	-	-	NA	NA	-	57.645	-	-	12.009	18.014	18.014	9.608	-	-
Proposed Projects															
VII JN	368.384	-	-	-	-	-	-	-	-	-	-	-	-	-	-
CPC+NGO	90.623	-	-	NA	NA	-	-	-	-	-	-	-	-	-	-
TOTAL CLEARED	1,231.030	596.579	614.149	158.295	115.461	617.768	896.791	166.950	331.191	239.806	158.844	-	-	-	-
IN PIPELINE	219.244	-	-	-	-	-	668.706	-	-	92.072	236.140	246.895	93.600	-	-
PROPOSED	459.007	-	-	-	-	-	-	-	-	-	-	-	-	-	-
GRAND TOTAL	1,909.281	596.579	614.149	158.295	115.461	-	1,565.497	166.950	331.191	331.878	394.984	246.895	93.600	-	-

NOTE: *) Indicated amounts are based on 100% of expenditures, irrespective of whether or not a deduction of 15% in lieu of taxes applies

Table 12.2 Budgets and anticipated disbursements by the Netherlands Government, in millions of guilders

DGIS Code No.	Type	Sub-Project	Total allocation	Pre-financed amount	Total paid thus far *)	Balance per 12 Dec. 1996	ANTICIPATED FUTURE DISBURSEMENTS IN THE YEARS							
							TOTAL	1996	1997	1998	1999	2000	2001	2002
Ongoing Projects														
IN/84/004	FA	IV, Jal Nigam	17.000	8.000	16.702	0.298	0.660	-	0.226	0.433	-	-	-	-
IN/92/014	TA	IV, PSUF	0.458	-	0.420	0.038	-	-	-	-	-	-	-	-
		Pilot, Jal Nigam	0.000	-	-	-	6.252	-	1.390	1.868	1.654	1.340	-	-
		Pilot, PSUF	0.000	-	-	-	0.508	-	0.120	0.174	0.213	-	-	-
IN001201	TA	V-B, Jal Nigam	3.347	-	2.079	1.268	-	-	-	-	-	-	-	-
	TA	V-B, PSUF	1.215	-	0.438	0.777	0.294	-	0.294	-	-	-	-	-
IN90010B	FA	VI, Jal Nigam	25.000	5.000	21.301	3.699	2.241	-	0.521	1.419	0.300	-	-	-
IN90009B	TA	VI, PSUF	1.155	-	0.825	0.330	1.078	0.151	0.274	0.271	0.298	0.083	-	-
IN025001	FA	VIII, Jal Nigam	22.630	-	3.043	19.587	23.850	-	6.876	7.806	6.401	2.767	-	-
IN025002	TA	VIII, PSUF	3.150	-	0.967	2.183	2.609	-	0.891	0.976	0.743	-	-	-
IN023101	TA	IX	0.957	-	0.672	0.284	1.183	0.063	0.306	0.340	0.374	0.101	-	-
Pipeline Projects														
IN025801	FA	I-A, Jal Nigam	0.000	-	-	-	5.603	-	-	-	0.884	4.602	0.118	-
	TA	I-A, PSUF	0.000	-	-	-	0.782	-	-	-	0.251	0.231	0.249	0.051
	FA	X, Jal Nigam	0.000	-	-	-	17.333	-	-	0.510	3.913	5.104	4.994	2.812
	TA	X, PSUF	0.000	-	-	-	2.882	-	-	0.450	0.841	0.901	0.570	0.120
Proposed Projects														
IN075401		VII, Jal Nigam	0.000	-	-	-								
		VII, others	0.000	-	-	-								
TOTALS:														
		Committed:	74.912	13.000	46.447	28.465	38.673	0.214	10.898	13.287	9.984	4.291	0.000	0.000
		Pipeline:	0.000	0.000	0.000	0.000	26.600	0.000	0.000	0.961	5.889	10.837	5.930	2.983
		Proposed:	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000

LEGEND: FA financial assistance modality
 TA technical assistance modality
 *) including pre-financing

December 1996

12.2.2 Future disbursement levels

The guilders disbursements following from Table 12.2 are illustrated in Fig. 12.2 below:

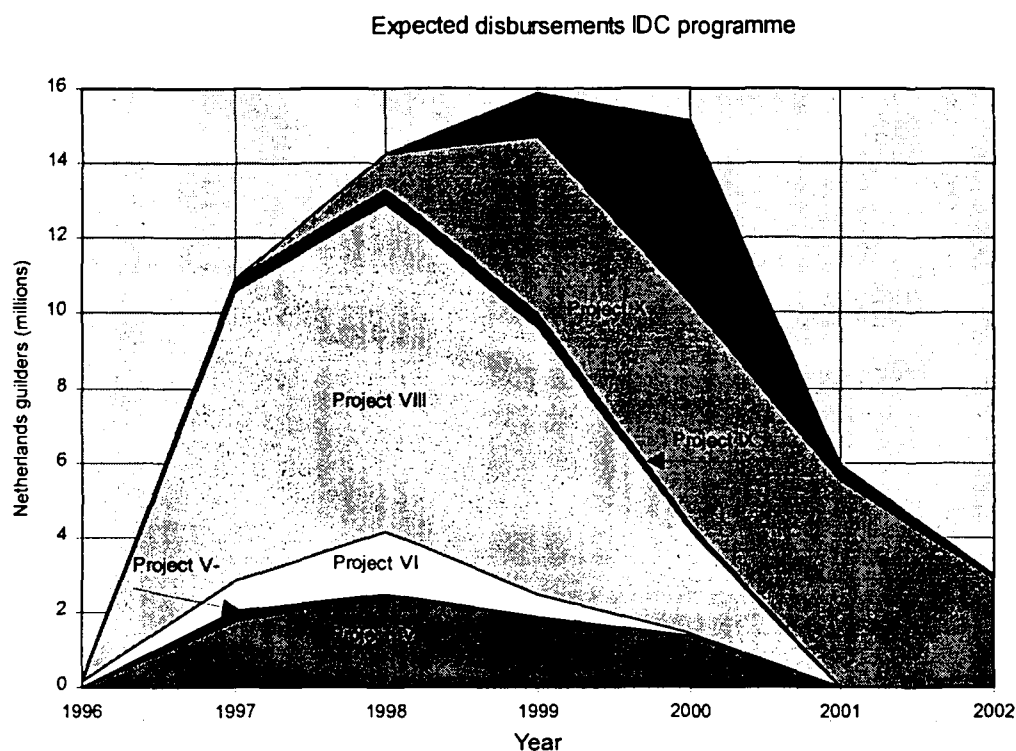


Fig. 12.2 *Expected guilders disbursements in the years 1996 - 2002*

From this figure it is clear that — even without Project VII or any new project such as those tentatively proposed by the Chairman Jal Nigam — already up to the year 2001 the annual disbursement level will be well above that mentioned as the target level for investments by the Netherlands Government in Uttar Pradesh, viz. About NLG 5 million per year. This picture underlines the importance to select any new Project very carefully, in line with the priorities set by the Governments involved, as these may be elaborated during the top-level policy workshop in April 1997.

SECTION III

ISSUES

13 POLICY PERSPECTIVES IN THE IDC PROGRAMME

13.1 POLICY PERSPECTIVES

a. From programme aid to sector activities and concentration states

The Government of The Netherlands has been engaged in a bilateral relationship with the Government of India in the field of development cooperation since the early 1960s. Over the years this relationship has been changing in terms of the volume and nature of cooperation, with two major consequences being a reduction in the loan component, which was offset by grants, and a shift in emphasis from programme aid to project activities. Subsequently, the number of states in which project was targeted was also limited and specific project sectors were selected in order to avoid aid being spread too thinly on the ground and to improve the quality of the bilateral co-operation. It is within this framework that the IDC programme in the rural water and sanitation sector was initiated in the state of Uttar Pradesh in the year 1978.

b. Poverty alleviation and sustainability

From the beginning poverty alleviation and sustainability have been the underlying policy of the IDC rural water supply and sanitation programme. Since then, although the basic policy has remained the same the parameters have been regularly adjusted in response to the changing socio-economic environment and requirements of the project states, as well as the policies and priorities of the participating Governments. Consequently, the implementation strategy, over a period of time, has constantly reflected the critical policy stances of the bilateral co-operation.

c. Hygiene and environmental sanitation

Thus, concern for improved hygiene and environmental sanitation was postulated early in the life of the programme and led to the formulation of an integrated sanitation project, Project V, in the two districts of Varanasi and Rae Bareilly. The IDC policy also advocated a reduction in the cost of the technology, and efforts to enhance the capacities of the local communities to implement the sanitation programme. It stresses on the optimisation of the use and maintenance of the water and sanitation facilities and a greater emphasis on hygiene awareness, rather than the technical facilities themselves.

d. Added value to development through enhancement in the quality of programme

The beginning of the 90s saw a re-orientation of the policy and a growing focus on environmental issues and "autonomy and self-determination" of the poorest sections of the community, specially the women, while planning and implementing the projects. Institutional development and capacity building of the implementing agencies for increasing their efficiencies and improving the quality of project management also began to assume greater importance. This policy has been further reinforced recently by the Royal Netherlands Embassy in New Delhi (May 1995) which clearly indicated that since the investments made by the Government of The Netherlands to Uttar Pradesh are not of particular significance when compared to UP's own investments in the sector, the Netherlands support should have an "added value to development rather than being merely complementary to UP's investment funds". The "added value" is proposed to be realised through financing innovative programmes such as rehabilitation of schemes, improved O&M techniques, community mobilisation and hygiene promotion, institutional and human resource development, improvements in the quality of programme

planning, management information systems and any other field which is supportive to UP's rural water supply and sanitation development programmes. Further, the financial assistance to all the bilateral programme states will stabilise with UP receiving an annual allocation of approximately Rs. 100 million (Rs. 10 crores).

e. Decentralisation of programme management and administration

Together with this significant change in the use of the bilateral funds the Government of The Netherlands has also effected a change in the management and administration of the programme. Under the new policy, to come into effect in January 1997, the tasks and responsibilities of project appraisal, management and administration have been decentralised to the local embassy level with the Ministry for Development Cooperation in The Hague managing the multi country programmes only, and the embassies the single country programmes. It is assumed that the decentralisation would expedite the appraisal and approval of projects and the process of decision making.

f. Indo-Dutch Review Mission

Along with this radical change an amended support structure is being developed in which the wholly Dutch based periodic Review and Support Mission is being modified and split into separate review tasks and support requirements. The programme review has been entrusted to a joint mission of Indian and Dutch experts to be fielded periodically whereas support missions are to be fielded at the request of the Indian Government or implementing agencies and for specific tasks only.

13.2 PRIORITIES

13.2.1 Priorities in approach

In line with the IDC policies, the priority areas which have been addressed in recent years largely relate to *an integrated approach in terms of institution development, sustainable operations and maintenance, and overall improvements in the process of project planning and implementation.*

a. Integrated approach

With a view to develop sustainable projects an integrated approach was urged and a process of community involvement initiated in the IDC programme in Uttar Pradesh from 1988 onwards. As around this time the Government of India had begun to advocate the inclusion of non-technical aspects into rural water supply programmes for similar reasons, the IDC approach was readily accepted. The programme in Uttar Pradesh began to focus on greater involvement of the community in grassroot level institution building for participatory micro planning, monitoring and management of the project benefits with particular emphasis on women; ensuring access to safe water for the weaker sections of the community; improvements in operations and maintenance; and health education and hygiene promotion. The Programme Support Unit (PSU) was established to provide support and facilitate this approach, initially in the sanitation project (Project V) and soon after in the water supply project (Project VI). Thus, the PSU and the UP Jal Nigam became the two implementing agencies, with two distinct, but integrated, responsibilities of community participation and technical implementations of the project. A Task Force at the State level, consisting of representatives of both the organisations, was also set up to provide directions and policy support.

In the ensuing years the integration has been fortified with the strategy for community participation getting further structured and the growing interactions with the district

administration. In the year 1992-93 a major milestone was reached when the process of integration was extended beyond the water and sanitation sector into other development fields, and inter-sectoral linkages – specially with the health and education sector – were forged at the district level as a natural result of the approach adopted by the PSU Foundation. Under this “expanded base of community participation”, the District Co-ordination Committee (DCC)¹⁰, has played a pivotal role. The DCC as an integrating platform has continued to grow and it has been instrumental in facilitating the establishment of a decentralised system of maintenance within the Panchayati Raj framework.

b. Institutional development, capacity building and the decentralisation of O&M functions

As the policy has been on making the water and sanitation facilities accessible to all sections of the community and improving the use and maintenance assets created, the priority interventions have been focussing on awareness generation, institution development and capacity building, in order to enable the communities to operate and maintain the facilities themselves. Eventually, the responsibility for O&M is to be entrusted to the local institutions with the responsibility for the larger elements of the projects, such as water collection and purification, capital works, training and monitoring, vested with the implementing agencies (for back-up support to villages). Accordingly, a shift from an agency based programme to a community based one has been initiated in terms of operations and maintenance, with an institutional structure, including a system of decentralized maintenance and recovery of O&M costs, being central to the process.

The community based institutional structure in Uttar Pradesh, originating with the concept of Jal Samitis, a handpump based committee of users with no legal status, has now evolved into ward and village level committees formed within the framework of the provisions of the Panchayati Raj Act. The initiatives taken in Project VI, to mobilise the community for undertaking the cleanliness and upkeep of its own handpumps, have been reinforced with the training of caretakers and cluster level mechanics in selected blocks of Project VI districts. These experiments have been further refined and consolidated in Project VIII, where the ward committees are formed prior to the selection of sites and installation of handpumps (an approach that has been facilitated by the integrated project formulation strategy adopted for the first time in an handpump based project). *The model that has evolved is being favourably reviewed for application in the entire state by the Government of Uttar Pradesh.*

The piped water supply schemes, on the other hand, have constantly been a cause for concern, and the Dutch Appraisal Mission of 1992 had recommended limiting the Dutch investments in future rural piped water schemes. However, in 1991-92, in an effort to salvage the schemes which were already completed or under execution, community participation was introduced in the ongoing Project IV. From early 1995 the efforts have been intensified and the modalities for optimising the O&M functions with community based institutions are being finalised. Meanwhile, the IDRMs assert, with renewed vigour, the need to create a separate O&M division within the UP Jal Nigam, with corresponding funds for streamlining the O&M functions in the piped water schemes. The creation of such a division, which has been repeatedly emphasised, is a pre-condition to the approval of the pilot programme under Project IV.

In the case of both handpump and piped water schemes, their sustainability has been a priority area. The handpump projects have responded well, with water and sanitation charges being generated from the community under the provisions of the Panchayati Raj Act, accounts being

¹⁰ The DCCs in each of the IDC project districts are formed under the provisions of a GO issued by the Secretary DUD.

opened at the village level and specified expenditures also incurred within the community. The piped water schemes have been upgraded sufficiently well for the community to pay back the arrears and regularise the large number of unauthorised connections. In the near future, during the pilot project, it is expected that these schemes too would become self sustaining.

c. Improved project planning and management

Improvements in the quality of project planning and management are constantly supported by specific guidelines and the services of experts, if necessary. From mid-1993 onwards, the two implementing agencies, the Jal Nigam and PSU Foundation, have been addressing the project formulation and planning process jointly in line with the guidelines and checklist prepared by the Government of Netherlands. Accordingly, the project preparation is a more structured exercise and follows certain parameters relevant to determining the long and short term objectives of the project, expected results, indicators for measurement of success overall impact on the macro-economic situations and the more deprived sections of the community and the impact on the position of women as well as the environment. An integrated time line on a quarterly basis, as well as manpower resource planning for the project period, is also part of the project document. Project VII and Project VIII were the first two projects to be drafted on these lines, of which the latter is well into the implementation stage and the former is yet to be approved.

In the last one year the two agencies have taken the concept of an integrated strategy a step further with joint field surveys for determining the status of the ongoing Project IV, and formulating a proposal for the completion of the works as well as undertaking a pilot project on optimisation of the O&M situation. Then again both the agencies will be jointly undertaking a 3 month exercise to prepare a project proposal for initiating a sanitation programme on the lines of the soon-to-be-completed Project V, but with a much reduced subsidy component (see Chapter 11). The preparatory activities will include a survey to determine the socio-economic status of the households, the willingness and ability to pay for the facilities as well as certain preferred design options for the HSLs. This policy is to continue in all future projects and the IDRM recommends *that all new proposals should fit within the general policy frame work of the IDC programme and be prepared by the PSUF and Jal Nigam jointly.*

d. Organisational development, training and capacity building

To support the objective of improving the quality of project planning and management, organisational building of the implementing agencies is gaining significant importance. Hence priority is being given to the issue of training and capacity building within the UP Jal Nigam and PSU Foundation. The Jal Nigam, at the recommendation of the Royal Netherlands Embassy in New Delhi is preparing a "Capability Statement" to meet the challenges of the future, whereas the PSU Foundation has already prepared a comprehensive "Profile". The PSUF, exploring the possibilities of utilising experience gained, has also formulated a strategy for functioning as a regional Resource Centre.

13.2.2 Priorities in project selection

The Pilot Project for the optimization of the 14 piped water supply schemes of Project IV fits very well within the redefined collaboration policy.

The UP Jal Nigam prepared a number of new project proposals for discussion with mission IDRM-1/UP-37, in addition to which the Jal Nigam Chairman also suggested a number of priority areas and directions, such as:

- a. further development of decentralised Operation and Maintenance of rural water supply handpump and piped supply schemes;

- b. support in training, capacity building and organisational development;
- c. use of renewable energy, instead of conventional energy sources, for water pumping;
- d. support for water supply and sanitation in recently urbanized rural centres, which are not yet competitive enough to compete for project financing aimed at urban centres, and which are no longer eligible for funding for rural development either;
- e. Scrutiny of possibilities for support to areas which have problems with groundwater quality, either salinity or fluoride. One Jal Nigam prepared proposal on optimizing O&M of Unnao schemes have been submitted to the mission for review. Provision of water supply in salinity affected areas in the districts of Mathura and Agra was mentioned.

The mission discussed the merits of the various proposals, and reviewed their costs. Guidelines for finalising the two appraisal reports on Project IV and for the formulation of Project XI, as follow-up for Project V have been provided by the Mission and agreed upon by the implementing agencies.

To be better able to determine priorities for (new) projects in the Indo-Dutch programme for the years to come, however, new project proposals should fit within a general policy framework for the water and sanitation sector, from which guidelines can be derived for preparation of new projects.

Such policy framework will be determined in mutual consultation with the State Government of Uttar Pradesh, and the implementing agencies, UP Jal Nigam and PSU Foundation. The project staff involved in the ongoing projects will be consulted on their experiences, the outlook in the districts, feasibility of activities, both technically, socially and institutionally. Depending on the sectors involved, Indian expert agencies and Government departments have and will be consulted on recent developments and data concerning their respective areas, such as the Groundwater Board and Non-conventional Energy Development Agency.

A policy framework, agreed upon by the implementing agencies, should ensure consistency of new ideas promoted, and effective and efficient use of efforts and energy involved in project preparation. It should also guarantee optimal benefits from lessons learned in the past, for future activities and finetuning of coordination between implementing agencies.

Suggested aspects of such policy framework are:

- newly formulated or continued activities will be concentrated in the present 15 project districts, in line with the policy guidelines indicated from the Netherlands side, as well as to avoid spreading PSUF staff too thinly over too many areas. This means that adopting new districts cannot be considered for the moment;
- preparation of all project proposals requires a joint input and consensus of Jal Nigam and the PSU Foundation. Practically this will require a preamble or preface which has been signed by both organisations;
- the Indo-Dutch programme concentrates on rural water supply and sanitation. The problems of recently urbanized areas, such as Town Area Committees, are substantial and growing, in view of the decreasing public investments in the near future. However this is no reason for the IDC programme to spread its (thinner) resources over urban areas. Project VII, fully prepared in the past by Jal Nigam and PSU, has proposed to cover water supply, sanitation and drainage in three Town Area Committees - in the Districts of Meerut and Almora, and elements derived from this project merit priority over new project ideas;
- while branching out to new (content) areas or introducing innovative technologies such as use of renewable energy for water pumping is welcomed, professional agencies and expert departments should be consulted first. For the use of renewable energy the Non-

conventional Energy Development Agency (NEDA) and the Tata Energy Research Institute (TERI) should be consulted first before drafting proposals.

During the mission's visit it was agreed to organise a 2-days top-level policy seminar which will focus on discussing the priorities in the development of rural drinking water supply in the State. Participants in this top-level seminar would be the management and chief engineers of Jal Nigam, the management of PSU Foundation and the concerned Secretaries of the Department of Urban Development.

To be successful such seminar ought to have a highly participatory nature. Outstanding achievements could be highlighted, and failures not hidden. A sense of determination to achieve set priorities will grow if the main actors involved have a stake in the formulation of these priorities.

The goals of the seminar could be formulated as follows:

- to achieve consistency in policy formulation and priority setting in the Jal Nigam organisation, independent of the presence of any particular office bearer, but as priorities shared within the organisation;
- to circulate recent information on approaches, results gained and lessons learned amongst the management and sub-top of Jal Nigam;
- to enhance the image of Jal Nigam and the rural drinking water sector within the state, at the national level and with bi- and multilateral donor agencies.

A working group could be entrusted with the task to prepare a few discussion notes, to be circulated in advance.

14 DECENTRALISED O&M

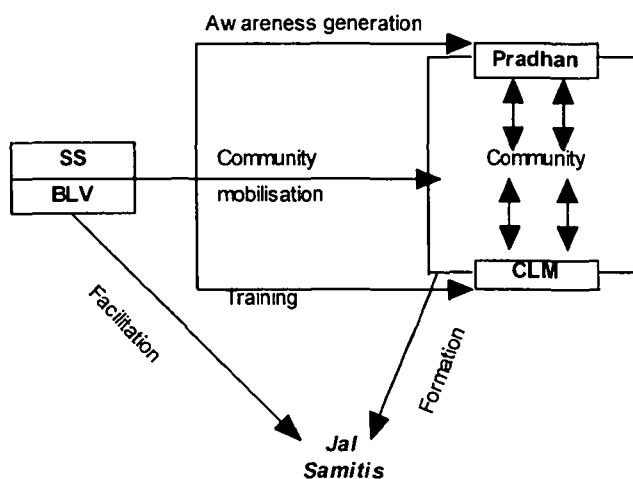
14.1 HANDPUMP PROGRAMMES

14.1.1 Evolving O&M approaches

The discussion sessions prior to the field visits clarified that handpump maintenance system in both the Project VI and Project VIII districts are being incorporated into the Panchayati Raj framework of institutional support. In Project VIII, since its inception, the process of physical implementation of handpumps and handpump maintenance has been carried out according to the stipulations of the Panchayati Raj system. Thus, apart from the community, the District Administration has been mobilised for support, and the Gram Pradhans vis-a-vis the representatives of the Gram Panchayats have been empowered to participate in the programme for decentralised maintenance of handpumps.

The community based maintenance model envisaged in Project VI has resulted in an integrated system within the village society, involving the community at large. The system gathered strength from the training component whereby the trained mechanics and the Gram Pradhans started playing pivotal roles in the maintenance and upkeep of the handpumps. The community participation/institution building process underway in the Project VI districts also produced a system of fund generation and management operated jointly by the *Cluster Level Mechanic* (CLM) and the Gram Pradhan. The community in all the Project VI districts has been adequately motivated to participate in the maintenance system, although sporadic events of irregularity on the part of the handpump caretaker or CLM were observed. In certain cases a lack of cooperation from the Gram Pradhan also hindered the functioning of the community based maintenance operations.

Community participation : linkages at the grassroots



The PSUF Social Scientist plans and implements social planning strategies with the help of the team of BLVs (Block Level Volunteers). In this process there is awareness generation of the Pradhans and training of CLMs (Cluster Level Mechanics). At a certain stage the Pradhan of the village or the CLMs who are essentially part of the community, help the PSUF Social Scientist in the process of community participation. The outcome of the process is the formation of Jal Samitis, fund generation and fund utilization.



Wall painting, with names of ward-level committee members, Umedah village, Pandah Block, Ballia District (Project VI)



Members of Jal Samiti, Ramvapur Naik village, Gonda District, (Project VI)



Cluster level mechanics (CLM) at Ramvapur Naik village, Block Itiyya Thok, District Gonda

The experience of Project VI thus suggested that the model of decentralised maintenance system lacked in elements of accountability in which the process of fund generation required a legal validation (in the context of public money being raised from the community), and utilisation of funds demanded a formal framework of community involvement. Moreover, it was also noticed that in many cases the degree of involvement of the community decreased with the process of withdrawal of facilitation activities. It was inferred that in the absence of formal institutional support the development models emerged lacking in sustainability.

The intervention strategy in Project VIII thus, as a matter of priority, addressed the issues of accountability and sustainability of the institutions built in the process of developing a community based maintenance system. Thus the provisions of the Panchayati Raj were explored to define a framework of institution development for community based handpump maintenance. With particular reference to the Panchayati Raj Act the institution development model envisaged in Project VIII had the following departure from the Project VI model :

- in Project VI the water committees are handpump based. A list of users of water from a specific handpump is generally prepared. Thereafter, fund is generated for any particular handpump from the users of that handpump; in Project VIII the water committees are *ward* based. Every person residing in any particular ward is legally liable to pay a water charge, irrespective of the existence of a handpump in that *ward*;
- in Project VI, the caretaker identified for the handpump generally gave leadership to the water committees by collecting money for the upkeep of the handpump and conducting meetings. In the case of Project VIII, the ward member of any particular ward gives leadership to the ward based water committee and, as per the provisions of the Panchayati Raj Act, the ward member has legal bindings to discharge the duties entrusted to him/her by the Gram Pradhan. In Project VI the fund used to be kept in the joint account of the Gram Pradhan and the CLM, while in Project VIII the fund is deposited in the joint account of the Gram Pradhan and the Panchayat Secretary.

The salient features of the functioning of the water committees in the VIII districts are :

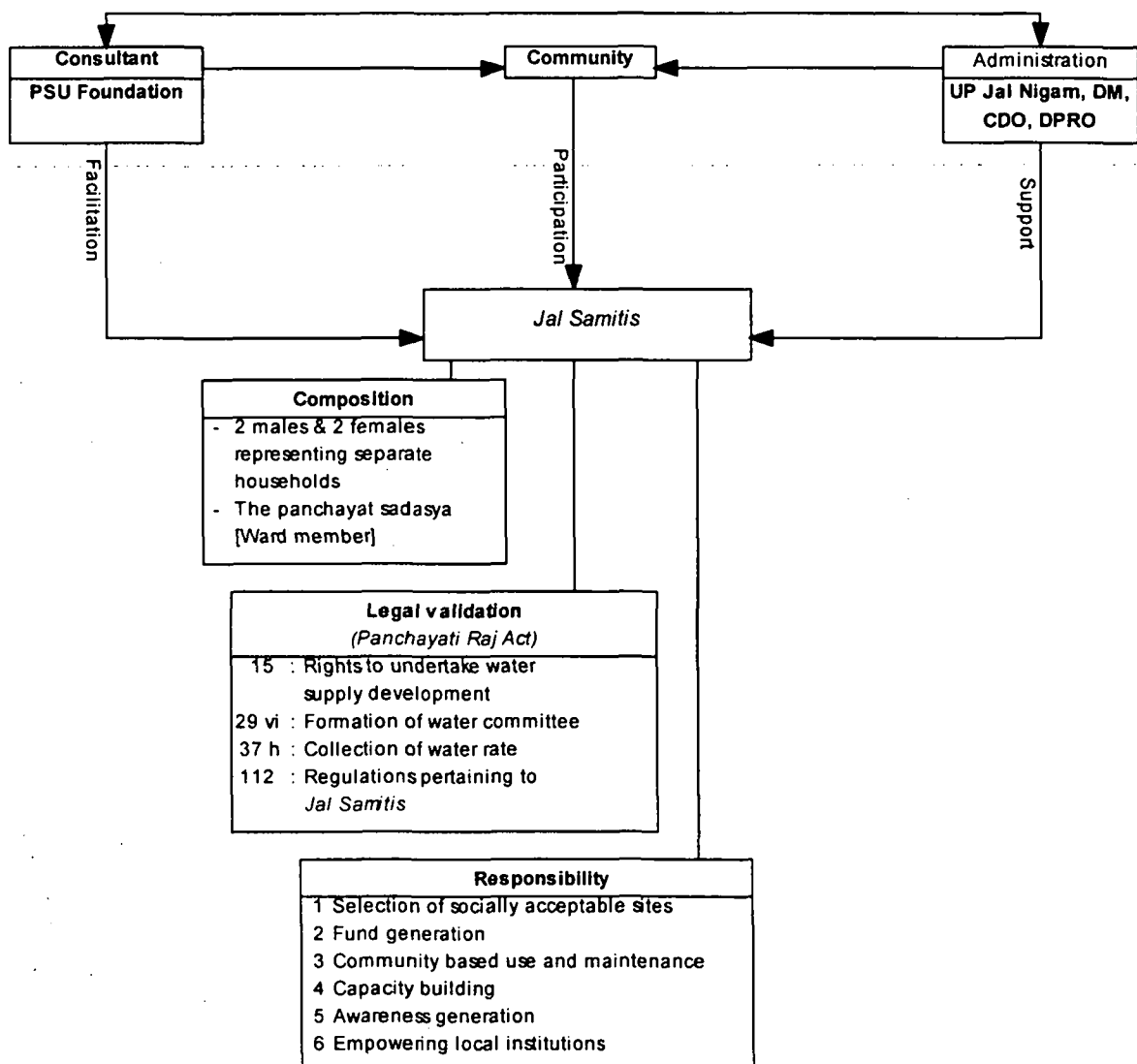
- the issuance of a formal receipt (*Roop Patra* 7) against the payment of water charges by the members of the community, and
- the fund generated as water charges is managed at the village level under the *Gram Nidhi Khata* 3.

In this entire effort to bring the institution building process under the purview of the Panchayati Raj system the intervention strategy is initiated at the District Coordination Committee comprising of the District Magistrate, Chief Development Officer, District Development Officer, District Panchayati Raj Officer and all other functionaries at the District level. The *modus operandi* of the Jal Samitis and the amount per household to be collected as water charge at the village level is discussed in this meeting. The water charge per household is established in this meeting and an Executive Order (EO) is issued by the District Magistrate, which is eventually carried to the community itself.

This model of community based handpump maintenance is being incorporated in the Project VI districts with the objective to consolidate the community participation activities by institutionalising the community level water committees within the framework of the Panchayati Raj system. This ensures the desired sustainability that was so far lacking in the Project VI model of community based maintenance system.

The process of formalisation of the community based water committees was very much evident in Gonda. The Gram Pradhan of village Ramvapur Naik had started collecting water charges against the issuance of *Roop Patra* 7, and maintaining the water based fund in the *Gram Nidhi Khata* 3. The community, particularly women, in both Ramvapur Naik and Paigapur were very much involved in the handpump maintenance programme initiated in the villages involved in the IDC programme. The handpumps in the villages visited were well maintained and almost uniformly characterised by encouraging community initiatives in terms of building drains to dispose off used water. The villages visited in the Project VIII districts of Aligarh and Ballia reflected an exemplary account of empowerment of the grassroot institutions on community mobilisation for decentralised maintenance of handpumps. The process of fund generation and utilisation, within the framework of a formal institution in the Project VIII districts is very much apparent. In Kasthalivaish (Aligarh) the community has constructed cattle troughs alongside the brick-on-edge around the handpumps. In Brahmain (Ballia) water based funds are also utilised in cleaning and developing the drainage system of the village. It was also noted that for the Project VIII villages the functionaries of the office of the District Administration and those in the office of the Block Development Officer have been mobilised and involved with concrete responsibilities in the rural water supply programmes.

Institution building at the grassroots



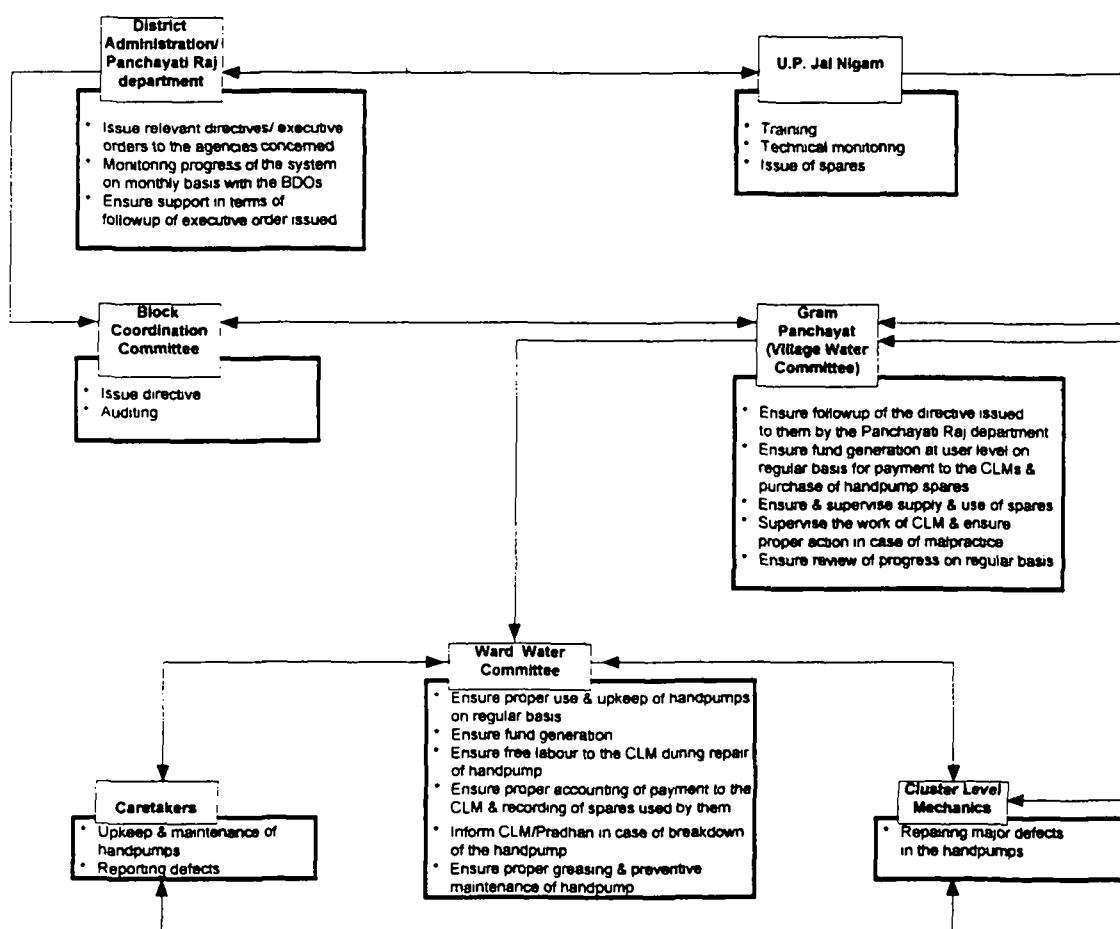
14.1.2 Dissemination of experience

Currently there is one relevant manual available: *Manual on site selection and construction of boreholes for India Mark-II and III handpumps*, 1995 (English and Hindi versions).

The mission recommends to:

- prepare a transparent, concise and illustrated "how to" booklet which outlines the critical success factors for and practical steps to be undertaken to arrive at a decentralised maintenance system for handpumps in a district. Such booklet should make the process accessible and understandable for district and block level workers and people's representatives, for Gram Pradhans and Adhikaris, and for field staff of Jal Nigam. The booklet could contain some testimonials of District Magistrates who have been involved in the process earlier. Illustrations may involve pictures of well-kept handpumps, wall paintings, the wall-painted overview of revenues and expenditures, a small part on the recording and bookkeeping of revenues raised. The relevant clauses of the Panchayat Act would be included;

Evolving Structure of Community Maintenance System for Handpumps



- undertake a Training of Trainers workshop on training of caretakers and handpump mechanics with the help of Jal Nigam engineers involved in the Project VI training;
- support streamlining of the bookkeeping procedures at the Gram Panchayat level, whereby both ward-wise household contributions are entered and expenditures are recorded by date.

14.2 PIPED WATER SCHEMES

Whereas the dynamics of community based maintenance of handpumps in the rural areas are comparatively less complicated, the piped water supply schemes, on the other hand, have posed a tougher challenge, primarily due to a combination of reasons, ranging from technical inadequacy, lack of funds and of a well defined system for O&M, to the lack of involvement of the community. The task becomes even more complex when dealing with schemes that are catering to a group of villages and hence cutting across the boundaries of more than a single Panchayat and in some cases even more than one Block. The IDC programme at a point of time had made a conscious policy decision to limit support to the piped water supply programmes for these very reasons. However, the activities initiated in January 1996 in a few selected schemes of Project IV, as a preparatory exercise for a proposed pilot programme, have shown encouraging results and potential for a community-agency partnership in operation and maintenance of piped supply schemes after all.

The inventory carried out in preparation for the proposed pilot programme has shown that certain bottlenecks adversely effected the implementation of an efficient O&M system. These bottleneck include:

- the inappropriate depth at which pipes have been laid and inappropriate distribution of pipelines in some areas resulted in increased probability of leakages and breakages;
- the lack of a quick method for registering and acting upon complaints results in delays in repair works;
- the misuse of piped water for the purpose of irrigation has lead to pipe ruptures, which in turn have resulted in a deterioration in the quality and quantity of water;
- the lack of an adequate system for realisation of revenue results in large revenue arrears and a consequent shortage of O&M funds;
- there is no adequate system of maintenance of revenue records;
- in the absence of adequate administrative authority, a large number of unauthorised connections going unchecked and hinder the promotion of new private connections and the consequent generation of revenue;
- inadequate funds and neglect lead to a deterioration of the over-all service level;
- uncertainty of power supply and frequent power breakdowns adversely effect the supply of water;
- during planning of the schemes, the community's needs are not always taken into consideration.

These bottlenecks having been the basis for interventions during the preceding months, during which the Jal Nigam - PSUF team has been initially focussing on four major thrust areas:

a. *Standardisation and regularisation of water supply*

At the institutional level efforts were undertaken to improve the quality and quantity of water supply. Priority attention was paid to the immediate repair of leakages and gaps, enhancement in duration of water supply, regular chlorination of water, and availability of spares for repair as well as chlorine. Although irregular supply of power remained a major bottleneck for enhancement of the water supply duration, especially in the district of Bhadohi, water supply duration registered an increase over the previous year and in most of the cases the consumers were found to be satisfied with enhanced duration of water supply. In fact, prevention of water

loss played the most important role in ensuring a regular supply of water. As a result, many tail end villages in Bhadohi and Varanasi have started receiving water. Water loss was prevented by undertaking repairs of leakages in the pipelines, resisting vandalism in the pipelines which was causing breakages and dismantling of public standposts. As far as dismantling public standposts is concerned, a decision was taken to replace them wherever possible by private connections, which helped to promote private connections and at the same time prevented water loss.

b. Revenue collection, promotion of private connection and legalisation of unauthorised connections:

Generation of revenue in these schemes was attempted through (i) organising revenue camps at the headworks site and also at the village level, (ii) village level contact drives to motivate local people to take private connections, (iii) identification of unauthorised connections and inducing the connection holders to regularise their connections by paying for them, (iv) evolving a simple system of revenue collection, and (v) issuing appeal to the consumers and involving Pradhans of the local Gram Panchayats in mobilising the community to pay for their water connection as well as water tariff regularly. In order to remove the prevailing disparity in water connection charges between the districts, a uniform rate of Rs. 590 has been fixed for all the districts. Moreover, to simplify the billing and revenue collection process a flat rate of Rs. 20 per month has been decided as water tariff in place of water meter system. In addition to this, to promote piped water reaching the households, payment of water connection charges in 3 instalments has also been introduced.

c. Community facilitation in O&M:

Optimisation of the O&M process of the rural piped water schemes warrants active involvement of the community so that gradually O&M of these schemes can be transferred to them. To initiate this process, community labour was mobilised to undertake the repair works. This reduced the cost of the repairs undertaken. Local Gram Panchayats and Pradhans played an important role in this regard.

d. Institutionalisation of the O&M process:

The institutionalisation process is reflected in Varanasi and Bhadohi in the Scheme Level Committees (SLCs) and the Village Level Committees (VLCs) which have been formed respectively. These committees are represented by the Pradhans of the local Gram Panchayats, Panchayat members and local consumers. They are now responsible for organising revenue collection camps, promotion of private connections, monitoring of the OHT functions, mobilisation of community labour for repair works, prevention of water loss including resisting vandalism and regularisation of unauthorised connections.

The approach that is visualised envisages eventual improvements at the institutional, scheme and community level within the Panchayati Raj structure .

15 ENVIRONMENT

15.1 ENVIRONMENTAL SANITATION

Environmental sanitation under the IDC programme has been defined as a package of proper wastewater disposal, human excreta disposal, home and food hygiene, and personal and environmental cleanliness.

Social mobilisation on water and sanitation issues is a crucial dimension of each singular IDC project, including awareness generation amongst the families in the villages – women paying house visits, discussing proper water storage, use of water avoiding contamination risks, promoting cleanliness of the environment of houses, village paths and drains, and promoting personal hygiene. School hygiene teams and youth clubs are also motivated to contribute their part. However, while the PSUF in all projects assists IDC villages to enhance their sanitary environment, only Project V is entirely assisting villagers with on-site sanitation. The need for household latrines in India is vast, considering the fact that in 1995 out of 150 million rural households about 130 million (or 86%) were without any elementary sanitary facility.

During the recent mission villagers pointed out time and again their need for sanitary latrines. The present handpump projects VI and VIII do not include technical assistance for household sanitary facilities, nor does the piped water supply Project IV.

In view of the demand, the unique expertise which has been built up under Project V, and the fact that the Jal Nigam Rural Sanitation Division and PSUF form a team of very motivated, experienced and skilful engineers and social scientists, a follow-up project of Project V will be prepared, which aims at encouraging households in the area of Project IV to build their own latrines with far lower subsidy levels (less than 40%). This project proposal will be discussed during mission UP-38 in the spring of 1997. The scheme level Water & Sanitation Committees and Panchayat level committees, which under the new Panchayati Raj Act have been established and activated for decentralised maintenance and revenue collection, could be further strengthened to play a role in channelling funds for latrine construction.

It would be interesting to explore the possibilities offered by the new Panchayat Act for rural sanitation and latrine construction. Unlike the Rural Water Supply Programme, which has a history of about four decades in India, the Indian government started supporting the rural sanitation programme only one decade ago, from 1986 onwards. In 1987 the rural sanitation programme was incorporated in the Minimum Needs Programme and became the responsibility of the National Technology Mission on Rural Water Supply. Construction of latrines under the Government programme fell short of the (modest) targets due a variety of reasons, such as untimely disbursement of funds leading to a large unspent balance (being 36% between 1988 - 1994), absence of state level administrative structures to handle funds, as well as absence of sufficient political will, ignorance and a lack of understanding of the sanitary needs as compared to the explicitly expressed needs for drinking water and food. The recommendations of an Expert Committee on Sanitation in 1994 – to which the PSUF director contributed – to create national and state level Sanitation Boards have not been implemented so far. NGO efforts in this field are hardly noticeable in the state of Uttar Pradesh. Furthermore, most rural sanitation programmes in India have conceptualised sanitation mostly as construction and installation of low cost sanitary latrines, which hardly leads to people's involvement in planning and does not generate autonomous demand.

The approach under Project V forms a breakthrough because village-wise awareness programmes and house visits preceded construction activities, households contributed to their

latrine progressively according to income category, and use and maintenance have been meticulously monitored over the years. Construction is just one part of a much larger programme. Any new project under the IDC programme will have to incorporate a *savings and credit component* to allow households to save funds for the latrine, which they want and can afford, in an organized way. Guidelines for the formulation of a follow-up project have been given by the mission and include in the preparatory stage (i) conducting a survey on felt needs and financial contribution capacity of households, (ii) development of a number of design options and (iii) elaboration of mechanisms for payment in installments.

Such project may come at an unfortunate moment, in view of the latest data on the income situation in Uttar Pradesh, as released by the Central Statistical Organisation (CSO). Real per capita income has decreased in the 1990s. From Rs. 1,652 per person in 1990-91 it dropped to Rs. 1,638 in 1993-94, both evaluated at 1980-81 prices. The Sunday Times of India of 8 December 1996 even commented on the latest data of the CSO in terms of that India's poor had "doubled" in ten days. Following its report, which is based on household consumption patterns, nearly 40% of the Indian population was poor in 1994-95 as against the earlier official estimate of 16.6%, which makes for a less flattering picture of the economy. The poverty line is fixed at Rs. 3,168 per capita per year for urban areas, and Rs. 2,736 per capita per year for rural areas (1992-93 prices).

However, the preparedness to (save and) pay for good water supply services, as shown in the pilot project of Project IV and the felt need for latrines, which is presently translating into an active demand, warrants the set-up of a project which is flexible, but very clear in terms of the technical assistance it has to offer to villagers.

15.2 SOLAR ENERGY FOR WATER SUPPLY

15.2.1 Present policy in the power sector

India's policy concerning power generation aims at creating a nationwide liquid fuel linkage, thereby giving priority to power-deficit states, for setting up naphtha based projects for power generation¹⁶. If all approved naphtha based plants, which have received fuel supply agreements, would come on stream the total naphtha required would be in the range of 8 million tonnes per year, of which three quarters would have to be imported. To recover costs the tariff of smaller plants would be substantially higher than what is applied in the market, i.e. Rs. 2 per kWh. This means that the State Electricity Boards (SEBs) either have to highly subsidize the costs or steeply increase the power tariff. For this reason some are hesitant to conclude so-called PPAs (Power Purchase Agreements) with these operators.

While public investment in the power sector, including public savings and borrowing from non-government and financial sources, has decreased in recent years, the power generation market has been opened up for foreign investors since 1991. By the end of March 1995 only 26% of the outstanding loans were from government sources. While both foreign and Indian industrial investors have shown substantial interest, these investors are hesitant, because lenders at the financial market are not comfortable with the overall power scenario in India, mainly fearing distribution losses. The reluctance to make consumers in the subsidised sectors pay for the power they use makes private promoters nervous. The Indian industry is expected to cross-subsidise agricultural and domestic consumers. While private investors are not objecting against subsidizing power supply per se, they question why the subsidy, in the form of debts, should be paid by the power generator or distributor.

¹⁶ The Economic Times, 12 December 1996

An author of the authoritative Tata Energy Research Institute (TERI) recently outlined a policy scenario for redirecting government investment in the power sector to restructure the sector years¹⁷. Based on a study of 14 SEBs, which contracted the bulk of their outstanding debts from 1986 to 1995 to support the power sector, he concludes that State Governments are unable to distance themselves from power subsidies. Some SEBs are in the preparation of restructuring proposals. As the first SEB the Andhra Pradesh power board has submitted a proposal for restructuring — splitting the SEB into two subsidiaries, one looking after generation and one after transmission, and several distribution companies — to the World Bank, which has expressed willingness to lending funds for restructuring.

Ahluwalia advocates a strong role for the Central Government in prescribing the structure for the power industry to be adopted by the states. While the power sector cannot function without public investment this should be redirected to transmission and distribution.

Initiatives which the Central Government should take, according to the author, are:

- a. ensuring the separation of transmission from SEBs, to provide them with equal access to all generators;
- b. directing the commercialisation of SEBs preferably under the Indian Companies Act;
- c. ensuring that all generators, whether public or private, are subjected to the discipline of a *commercial power purchasing agreement with the transmitter and distributor*;
- d. establishment of an independent regulator, open hearings, transparent tariff setting and dispute resolution processes;
- e. formalisation of a code for the cost-efficient conclusion of commercial contracts to ensure fuel supply to power generators.

There are clearly acknowledged distortions in the power supply situation: the eastern region is unable to supply surplus power to deficit areas in the north and south, while the hydro potential of the north-east remains underutilised. Uttar Pradesh is clearly a power-deficit state and will remain so for the years to come. Moreover, a document from the Planning Commission shows that UP has performed poorly in the power sector during the past years. This problem is compounded by management problems of the UP SEB and underpricing of the power supply for domestic consumers. For the water supply sector it is further compounded by the non-payment of power bills by the UP Jal Nigam. Absence of reliable and uninterrupted power supply for pumping has for the past so many years resulted in serious drawbacks of the functioning of water supply schemes. Therefore it is proposed to investigate the economics and viability of the use of other sources, such as diesel generators and solar energy through photovoltaic panels (renewable power) for water pumping.

India provides subsidies, through NEDA, up to the tune of Rs. 200,000 subsidy per kWh, for renewable energies.

15.2.2 Options for renewable energy in rural water supply

a. Background

The rural piped water supply schemes under the IDC programme have for years been plagued by an irregular and restricted supply of power. This considerably hampered the reliability of the water supply by these schemes, and was one of the reasons for the poor performance of the schemes under Project I and Project IV.

¹⁷ see: *Restructuring priorities* by Sanjeev A. Ahluwalia, Business Standard, 11 December 1996

With the successful attempts to improve the status of water supply in most of the piped supply schemes under Project IV, also the need for enhancing the power supply to these schemes has become more obvious. When Project I was conceived, rural power supply in Uttar Pradesh was considerably better than at present, and no special measures were deemed necessary at that time. Later, with deteriorating power supply conditions, several options were investigated for safeguarding the supply of power to the scheme headworks:

- a. dimensioning the technical facilities for the restricted power supply conditions experienced in practice;
- b. installation of back-up power supply facilities, i.e. — in practice — diesel generator sets at the headworks;
- c. provision of so-called 'exempted feeders', overhead power lines from the nearest sub-station that would be exempted from load shedding (or 'rostering'), and would be for the sole use of the water supply schemes.

An economic comparison at the time showed option (c) to be the most attractive, and subsequently most of the schemes were provided with exempted feeders. With further deteriorating power supply conditions most of these feeders proved to be neither exempted (they were, after all, subjected to load shedding), nor reserved for the use of the water supply headworks only (even though the full cost of the exempted feeders had been paid by the IDC programme, other users were connected to the feeders as well). Further problems were experienced with theft of cables, burning of transformers, etc., which rendered the entire power supply to the schemes rather erratic. The non-payment of bills by the Jal Nigam (although these were often reconciled at State level, between the Departments concerned) obviously did not improve this situation, and the ensuing lack of funds with the UP SEB has repeatedly led to a situation where that organization was not in a position to repair transformers or switchgear for lack of spare parts.

b. Available options

Within the framework of improving the O&M situation in Project IV schemes, the provision of a reliable power supply to the headworks plays an important role. In some of the schemes the attempts to improve the water supply situation, in combination with leakage reduction and enhanced water bill collection, have been so successful that also payment of the power bills for the respective scheme has become a distinct possibility. In several cases contacts with the UP SEB staff seem to indicate that, as a result, steps could be taken to improve the availability of power to those schemes, so that no further steps would be required.

The situation is not the same in all schemes, however: there are schemes where the supply of power will not improve substantially, whether bills for the power consumption by that scheme are paid or not. In those cases additional measures may need to be taken to safeguard the supply of at least a minimum level of power, and, consequently, water. Among those measures are:

- a. provision of diesel generator sets, per headworks;
- b. provision of alternative energy sources, notably solar energy installations, for powering the water pumps at the headworks.

Each of the options has its own advantages and disadvantages:

- diesel generators are a proven technology, and both the generators (in a wide range of capacities) and spare parts are easily available in India;
- the operation of diesel generators is not subject to climatic conditions, contrary to solar energy options, where statistics show that for a number of days per year the conditions are insufficient to generate the required power;

- diesel generators require diesel oil, the cost of which will have to be borne by the respective scheme, which may be pilfered, and the transportation of which may be hampered by e.g. floods during a part of the year. Consequently, additional costs for storage of diesel oil, at each headworks site, will have to be incurred;
- during periods when solar irradiation is insufficient for power generation, either water or energy will have to be stored if solar energy is to be used for pumping. This requires additional investments in overhead tanks (possibly several times the currently installed capacity will be required) and/or battery packs. For those battery packs environmentally acceptable disposal options may constitute a separate problem;
- the use of diesel generators as a complementary power source is well known, and chances are remote that they could not be operated at times that the UP SEB power is not available. It is as yet unknown what are the risks that at such times also solar power is not a reliable option (e.g. during the monsoon period the risk of tree branches falling on to, and disrupting, overhead lines is relatively high, as is the risk that atmospheric conditions are not favourable for generating power with photovoltaic cells);
- experience with solar powered pumps is so far limited to relatively small pumping units. It is not yet clear whether the powering of submersible pumps of the size used in the IDC piped supply schemes is technically possible.

c. *Proposed approach*

During its discussions with the Jal Nigam and PSU Foundation it was agreed that the Jal Nigam, in collaboration with NEDA, would work out a fresh proposal for the application of solar energy in a selected part of — preferably — the area of Project IV where the community participation activities in preparation of the pilot project on operation and maintenance have started. After subsequent discussions with the Tata Energy Research Institute (TERI) in New Delhi the Dutch mission members propose that TERI be engaged in a supporting study of the power supply conditions as well as options for the use of solar power in water pumping under the IDC programme. The involvement of TERI should be well-coordinated with that of the Jal Nigam and NEDA, so that the TERI report (to be submitted before the end of March 1997) could be incorporated in the project proposal by Jal Nigam and NEDA.

In the final project proposal sufficient attention will have to be paid to:

- a comparison between conventional (viz. diesel generators) and solar energy;
- measures to be taken during periods with insufficient solar irradiation;
- possibilities to apply the technology as a full-scale replacement of conventional power (viz. a solar energy plant of a capacity and characteristics that are sufficient to power the regular submersible pumps found at the headworks of a piped water supply scheme), or as a small-scale pilot approach only (e.g. as a means of providing power for tail-end villages only which are currently deprived from water; in such case a small headworks with borehole(s) and overhead tank would have to be constructed as well, however).

TERI will undertake a comprehensive study for a selected piped water supply scheme, so as to explore workable options of supplying power, both conventional and non-conventional, to rural water supply schemes in the IDC programme, including:

- a critical study of the over-all daily system load curve of UP SEB, to determine during which periods of the daily cycle the power surplus to the grid could be effectively used for running water pumps (e.g. during off-peak hours, possibly at concessional rates);
- technical/economic assessment of the feasibility of providing back-up power to the grid supply, by diesel generator sets;
- working out 2 scenarios for the use of solar energy for pumping:

- solar energy based on a photovoltaic system, with diesel generator back-up, both for a full group of villages piped water supply, and for a selected tail-end part of such a scheme;
- hybrid system consisting of a photovoltaic system in combination with the UP SEB power grid, again with 2 alternatives;
- detailed comparative cost-benefit analysis of the various options, focussing on technical, economic and environmental advantages and disadvantages;
- elaboration of management models, preferably community-based, for each of the suggested options.

16 CAPACITY BUILDING AND ORGANISATIONAL DEVELOPMENT

16.1 UP JAL NIGAM

The UP Jal Nigam is the sole agency responsible for planning and implementation of water supply projects in both the rural and urban areas of Uttar Pradesh. Besides, it is also responsible for the maintenance of the water supply systems for all rural areas and part of the urban area. It is a state government undertaking with a strength of around 10,000 engineers and an equal number of support and administrative staff. An elaborate organisational structure has enabled it to position its engineers right down to the village level.

An entirely technical agency, in response to the changing environment it is currently in the process of reviewing and reformulating its HRD strategy, beginning with the transforming of its erstwhile training cell into a full fledged HRD cell with its own staff, headed by a Chief Engineer.

The newly set up HRD cell's immediate tasks have largely been defined by the objectives of the "Grassroots Level Training Programme" under the Rajiv Gandhi National Drinking Water Mission. The Action Plan for 1996-97 foresees a projected expenditure of Rs. 21.2187 million for activities in Uttar Pradesh. Therefore it initially aims at building the capacity and capabilities of the communities to construct, operate and maintain the hardware and infrastructure facilities of rural water supply and sanitation projects. Furthermore, it also proposes to create a cadre of resource persons at district level to train grassroot level functionaries, orient and sensitize decision makers, planners and administrators, provide in-service training for professionals for improving performance level and productivity, and improve the capabilities of the technological sector in rural water supply and sanitation to provide innovative, cost effective and affordable technologies.

The Mission had preliminary discussions with the HRD team regarding the IDC experience in capacity building at the grassroot level and the training of caretakers and handpump mechanics. Prior to the training of the caretakers and the mechanics a joint team of Engineers and Social Scientists had been trained as trainers by PSUF. It is recommended that the services of these trained resource persons, as well as the training modules developed, should be extensively used by the Jal Nigam in its proposed "Grassroot Level Training."

Apart from upgrading its own HRD activities, the UP Jal Nigam is also exploring the possibilities of further developing its potential as a training centre at the national level. Its Banda training centre already provides training on a regular basis, to pump operators, mechanics etc. from all over the country. It is proposed that these and other training possibilities are reviewed and an approach paper prepared jointly with the PSU Foundation.

16.2 PSU FOUNDATION

The PSU Foundation is a learning organisation where field experiences are continuously integrated and conceptualised to provide viable institutional and strategic models that will lead to greater sustainability and institutionalisation of the programmes at the ground level. Within such an organisation, capacity building and organisational development form part of the project cycle.

In the initial years as the experience of the organisation in the development sector was limited to specific IDC projects, a long run strategy plan for training and HRD could not be formulated, and identification of the major needs in this regard was perceived with a short- run development perspective. The major thrust areas then were orientation and training of the project staff for efficient implementation and monitoring of the projects. This included both information and skill development in terms of the components of the programme, orientation and training of local resource persons, and development of awareness and skills among the community, so that they could effectively use and maintain the resources created.

Subsequently, when the PSU was registered as a Foundation it reviewed and specifically defined its institutional and human resource development policy in June 1995, policy guidelines and operational strategies were formulated and focus areas identified. Accordingly, apart from ensuring skilled manpower, mainstream organisational processes and problems were tackled as part of the OD process. The emphasis was on problem solving and goals to be achieved, rather than training *per se*. Training as a continuous learning process is extended into the field of community resource development. The operational strategy includes development need assessment, translating these into a learning process, documentation, evaluation and follow-up.

The transformation of project organisation into a policy and planning organisation has been documented in October 1994 as *Efforts towards institutional development: PSU's experiments over the period April 1988 - March 1994*.

At present the Foundation, building on its past experience, is in the process of consolidating its activities as a Resource Centre in order to strengthen the quality of programme planning and implementation of community based development projects in general, and water and sanitation in particular. As a Resource Centre the Foundation proposes to provide the following services:

- advisory and consultancy services in the area of project planning, feasibility studies, situation analysis, monitoring and evaluation and participatory communication;
- training and HRD;
- documentation and information services;
- social sector research and development;
- piloting projects and building field based development models.

17 COMMUNITY PARTICIPATION AND COMMUNICATION

The community participation, institution development and hygiene promotion objectives of the rural water supply and sanitation programme is sought to be achieved through mobilisation and awareness drives within the framework of the IDC policy. The strategy involved is situation specific and two of its sustainable elements are an integrated gender focus and the communication strategy that is being followed.

17.1 GENDER FOCUS

The IDC policy incorporates a planned approach to the issue of gender in development with a view to enabling both men and women to participate in the development process. The policy is operationalised through several mainstream projects including the rural water supply and sanitation projects. In Uttar Pradesh the programme had initially focussed on the practical needs of women vis-a- vis the promotion of safe water, sanitation, health and hygiene, and subsequently began to address the strategic needs. The approach to community participation takes into consideration the heterogeneity of the community as reflected through aspects such as planning, institution building, facilitation and monitoring and participatory communication.

- Under the programme the participatory elements of the planning process recognise gender as one of the fundamental units of social analysis. Situation analysis, participatory rural appraisals, resource/social mapping and other methods of social analysis are sensitive to women's perceptions, needs and their participation;
- The communication strategies, methods and messages are local culture specific and gender sensitive. The local cultural traditions of folk songs, music and other performing art forms are identified, adapted and applied for evolving creative communication tools by relying heavily on the rich repository of human resources in the project villages;

Men, women and children in the project villages all contribute to the process of preparation and presentation of such creative communication performances in the project area. Participatory communication ensures that health and personal hygiene messages are transformed into practice and also lends social relevance to the local performing art forms, apart from strengthening the elements of programme sustainability;

- The grassroot-level community based institution *Jal Samiti* is envisaged to provide access and control to the decision making process with regard to operation, maintenance and management of water supply and sanitation facilities. Women membership of *Jal Samitis* is particularly encouraged and ensured as a gender balancing and empowerment tool. Consequently, women are able to assert their opinions at the village-level decision-making body - the Gram Panchayat;
- For intensive and effective interaction with all sections of the community, a gender balance amongst the local community-based volunteers is emphasized. Women from the community, as group organisers (GOs) caretakers and cluster-level mechanics, also facilitate the process of mobilisation, awareness generation and institution building in the project villages. The progress of the implementation of the project is also monitored and recorded by them.

17.2 COMMUNICATION

The communication activities undertaken in the rural water and sanitation programme have been initiated to strengthen the social welfare messages through a process of community participation.



Local school children engaged in wall painting, Paigapur village, District Gonda



Jal Samiti members, handpump caretakers and Pradhan (in white dress) at Junior High School, Paigapur village, District Gonda

The use of local creative art forms as a medium of interaction at the grassroots level has been a vital component of the community participation model. Thus communication drives have been planned to transcend messages that are essential for the theme of the water supply and sanitation programme. The mode of communicating messages to the community has varied from wall painting to open arena play and drama, from folk adaption of songs and dances to games and competitions arranged with the village children. In the process there has been large scale experimentation with the forms of the communication and folk adaption.

The basic principle of reaching out through performing arts has been to involve people in the process of communication, e.g. in wall writing or play/drama. This involves, firstly, identification of some creative people (resource persons) in the village who have the ability to

involve the village community in the activity. Secondly, the person is oriented to the development sector and trained to deliver the messages of welfare and people's participation through his art form. The focus is to carefully restructure a local art form maintaining its acceptability to the people, and not to derive a very sophisticated version from it. It is important for the villager to relate himself with the performance and at a certain point of time participate in the activity.

While keeping into consideration the idea of involving the community in the process of communication, in the area of play/ drama as a medium, the *third form theatre* has been adapted. The salient features of the *third form theatre* has been a physical continuity of space between the performers and the actors, where the power of expression lies in body language and gestures. In the *third form theatre* the performers do not use make-up, wear costumes or use light to create special effects in the play. Over the years, the communication team has received training inputs to develop proficiency in the art of expressions. It is important for the actors to deliver the message effectively through innovative expressions and with the help of scripts which are designed to create an impact on the audience. However, it is not aimed at developing the playwright or performance to an exclusive level of creativity which may deliver the message but is difficult for the people to adopt and emulate. Similarly, in the case of wall painting, the finer elements of depicting an image (handpump) in the canvass (wall) is not the primary objective. It is important to deliver the welfare message to the community by involving the community in the process of wall painting.

The welfare messages aimed at involving the community in the process of institution building at the grassroots, structured in the abovementioned paradigm, often adapt popular folk song and dance forms. The folk forms again have a regional specificity. Hence the exercise of determining a popular folk form which can be effectively used for communication in different regions of Uttar Pradesh is an ongoing programme. The illustration of *Lilli Ghori*, a dance form popular in Basti/Siddharthnagar, subsequently adapted for the communication programme through a performer based in Unnao, would explain the nature of folk adaption in practice. The folklore says Mirza sahib a 'foreign' invader, settled in this region, amassed massive wealth by plundering the local people. The British Raj took note of Mirza sahib's activities and raided his hideouts. Mirza sahib was reduced to a pauper and forced to retreat to the jungles with his three wives. Thereafter he begged in the countryside incognito, in the guise of an entertainer - the *Lilli Ghori*. The same dance form has been adapted for our communication programme where *Lilli Ghori* prefers not to drink water from the well since water in the well is unclean. The *Ghori* prefers water from the handpump but does not intend to go on the platform around the handpump (an action justifying keeping animals away from the handpump).

The process of involvement of the community in the communication drives is very pronounced in the wall writing campaigns and also in the open arena plays. When wall writing campaigns are conducted the community is made aware of the impressions and the accompanying slogans to be imprinted in the wall. The communication workers initiate the wall painting and simultaneously mobilise the village youths and the school children to participate in the process. In open arena theatres, the messages to be conveyed to the community also take into account the social bearings of the community. The script of the plays incorporates inquiries intrinsic in the mind of the rural people and the welfare messages are actually the suggestions in response to the inquiries. In a recent experiment conducted in Unnao, in the context of institutionalisation of the Jal Samitis (water committees) as per the provisions of the Panchayati Raj system, the scripts were prepared basically to propagate the concepts of water charges to be levied at the household level and the management of the funds by the Gram Pradhans and the Panchayat Secretary. These concepts are rather radical and new to the community and hence the task of transcending

such messages is challenging. The discussions and debates on these concepts generated much heat in the District Coordination Committee meetings, and the issues raised in these discussions were initially incorporated in the plays. When the plays were staged in the villages, the villagers again raised queries which needed to be answered, by the performers. In the subsequent performances, these new sets of questions and answers are incorporated in the script. In this process the script evolved, incorporating new issues coming up in every performance.

The mission's visit to Paigapur illustrated an example of the community's participation in the wall writing when the school children participated in huge numbers to complete the paintings on the wall initiated by the PSUF's resource persons. In the subsequent visits to the villages in Aligarh, the messages on water committee formations and their legal implications were imprinted on the wall. In Varanasi the process of community based maintenance of piped water system is still in a nascent stage and the mobilisation process thus focuses on the basic elements of development, such as literacy and development. Community participation drives initiated in Varanasi in the context of piped water supply are by and large converging on issues related to standardisation of water supply hours and payment of revenue for consumption of water through piped water supply systems. These issues figured prominently in the wall paintings. In Ballia a combination of a series of open arena plays as experimented in Unnao and wall paintings have helped in consolidating the community participation efforts in the villages.

18 DISSEMINATION AND ADVOCACY

The PSU Foundation, which was set up as a support organisation for the IDC water and sanitation programme, has over the years developed into a sector specialist. It is increasingly being called upon to provide policy advice, primarily based on its experience in the field. Thus, apart from giving policy direction to the IDC programme, which in itself is a lead programme in the sector in terms of community participation, institution building and operation and maintenance, the Foundation has on several occasions provided expert advice.

The Foundation has participated as a member of the national level Expert Committee on Rural Sanitation Programme. The Committee was constituted to rationalise, accelerate and improve the quality of implementation of the rural sanitation programme and to evolve guidelines for mobilising voluntary organisations for planning, monitoring and coordination of the programmes. Recently, at the request of the Department of Urban Development, Government of Uttar Pradesh, the Foundation submitted an Approach Paper for operationalising a system of community based maintenance of handpumps. Further, it has a close relationship with the UP Jal Nigam and is currently supporting it in evolving its training and HRD activities.

It is also increasingly being involved in an advisory capacity for the urban water sector programmes. On the international front the Foundation was accredited as NGO observer at the Fourth International Conference on Women at Beijing which is now followed by its regular attendance at the annual meetings of the UN Commission on the Status of Women. The Foundation's application for the membership of the ECOSOC is currently being processed. Its biggest advantage, however, is its presence at the field, by virtue of which the Foundation is not only able to gauge the micro level dynamics of development projects but is also able to effect the quality of implementation and translate it into a state level policy.

Building on these activities and achievements, the Foundation has visualised for itself certain concrete functions for dissemination of information and advocacy in its proposed role as a Resource Centre.

Based on the experiences in Projects IV, V, VI and VIII a number of lessons have been learned on a decentralised set-up for O&M in the State of Uttar Pradesh. These experiences have been compiled and documented in four valuable documents, which serve as a starting point for lobbying and public advocacy, at the state level and even at the national level, for a fresh approach of maintenance of and revenue collection within rural water supply schemes.

The four documents are:

- a. *Community based approach to O&M in rural water supply and sanitation in the State of Uttar Pradesh: Reflections on the Indo-Dutch bilateral programme*; PSUF, September 1996;
- b. *Community based O&M in rural water supply and sanitation, a study of 3 cases in Uttar Pradesh*, sponsored by the Centre for Micro Planning & Regional Studies Lal Bahadur Shastri National Academy of Administration; PSUF, October 1996;
- c. *An approach to an operational model for decentralised O&M, A case of handpumps in rural Uttar Pradesh*; PSUF, November 1996;
- d. *R & D in rural water supply and sanitation ... Integrating social issues*. Paper for State level R & D workshop in Lucknow organised by the Rajiv Gandhi National Drinking Water Mission, Ministry of Rural Areas and Employment, Government of India; PSUF, November 23, 1996.

The first paper was presented at the National Conference on O&M in Water and Sanitation, New Delhi, 25-27 September 1996. It pointed at the history of water supply programmes in

Uttar Pradesh and the growing gap between fund requirements for sufficient water supply and fund availability. The answer to that in the IDC programme has been to set up, under the Panchayat Act, community based O&M systems and to introduce cost sharing and local management of funds for maintenance and ultimately for replacement of capital assets, from 1995 onwards.

The second paper was presented on 7 December 1996, to the Lal Bahadur Shastri National Academy of Administration in Mussoorie as case studies to be elaborated by IAS officers during their first year of training.

The third *approach* paper has been submitted to the Department of Urban Development, which is the nodal agency for rural water supply programmes in Uttar Pradesh, as a policy paper which may be adopted as a state wide model for decentralised operation and maintenance for handpumps.

Finally the fourth and last paper has been presented to the research community and urges to incorporate social issues and participatory rapid appraisal methods in the set up of infrastructure for rural water supply and sanitation.

While all papers outline the conditions and critical success factors for a decentralised operation and maintenance of water supply systems the second paper summarizes these conditions on page 2 stating that *"the most important contribution to the success of this programme (the IDC) has been the development of an institutional framework and financially viable community-based operation and maintenance. Trained manpower and a system for fund generation and management ensure the sustainability of this framework."* The major community mobilisation effort consists of fund generation from the users of water supply facilities for the purpose of handpump maintenance.

19 NEW APPROACHES TO REVENUE MOBILIZATION AND MANAGEMENT

19.1 REVENUE COLLECTION IN HANDPUMP PROJECTS (VI AND VIII)

In the 5 districts of Project VI and the 6 districts of Project VII from 1995 onwards a process has been built up, utilizing the legal framework of the Panchayati Raj Act, to systematically collect contributions of Rs. 40 per household per year from all households benefiting from water supply via India Mark II handpumps. The local governance of funds is reached through an immense process of capacity building of local authorities - Gram Panchayats - and complemented by "technical" capacity building of caretakers and mechanics for the maintenance of handpumps. The final result of this revenue collection effort should be community self-financing of maintenance and of future replacement of handpumps. The very promising results are carefully monitored by the PSU Foundation field staff.

It is expected that this process will be replicable in other districts of Uttar Pradesh, on the condition that a massive process of formation of local institutions will be actively supported by the District and Block authorities, as well as by local NGOs and the educational institutes. The PSU Foundation will prepare a booklet on the legal framework and the steps to take in institution building, which are conditional for local fund generation and management.

During a next mission more will be reported on the conditions for local fund management.

19.2 REVENUE COLLECTION IN PIPED SUPPLY SCHEMES (PROJECT IV)

Based on a series of joint decisions by the PSU Foundation and the Jal Nigam, a system is evolving for systematic revenue collection by Jal Nigam in the Pilot Project of Project IV. To enable this system to work, a better scheme performance and acceptance by the population had to be ensured. In order to achieve a reliable and predictable water supply in most of the villages covered by the 14 schemes a large number of decisions has been taken. Based upon these the following activities have been undertaken:

- setting up of Scheme Level Committees, consisting of the Gram Pradhans (village leaders) of the villages covered by the respective schemes;
- repair of leakages, whereby the labour component has been contributed and financed by the Gram Panchayats out of JRY funds;
- a solid inventory of the actual distribution systems, whereby each stretch has been measured;
- regularisation of existing illegal connections;
- conversion of public standposts into private house connections, where possible, and otherwise dismantling them;
- unifying the connection charges for new house connections and enabling families to pay in installments;
- organisation of revenue camps to collect arrears, followed by bi-monthly revenue collection;
- intensive monitoring of the status of the schemes.

There are three issues which merit special attention from a revenue point of view:

- a. Firstly, from the intensive monitoring it appears that each month in the year has its particular characteristics, which affect the (variable) pattern in demand for new house connections as well as the willingness to pay the monthly water charges. A well functioning revenue system must take these particulars into account. The two outstanding factors which

affect both demand for new connections and the willingness to pay are (i) the regularity of water supply and (ii) the availability of cash with the households.

For example the electricity supply during the rainy season in the summer months July and August is irregular (because of tree branches falling upon and destroying transmission lines, and other accidents), resulting in less predictable supply timings of water. The demand for house connections in September therefore is far less than after the two harvest peaks in April and November/December, when households have enough income to afford the one time connection fee (of Rs. 590) and the demand for new connections is peaking;

- b. Secondly, the present capacity to install new house connections appears to be far too limited, resulting in a substantial backlog. One fitter per scheme is not enough to deal with tens to over one hundred applications, since he can do one per day only. This situation is frustrating not only for the customers, who have to accept a delay of up to four months before they get connected, but also for the attempts to make the schemes self-sufficient in terms of covering current O&M, because potential income sources are lost. To remedy this situation the District Coordination Committee in Varanasi has decided to sponsor a one month training course for 20 private pipe fitters/pump mechanics, coming from 3 IDC schemes. After being trained and licensed they will also be engaged by neighbouring non-IDC piped supply schemes in the district, which will enhance the general water supply reliability in this district.
- c. Thirdly, it is questionable whether the UP Jal Nigam in its present set-up is able to manage funds collected per scheme in the most cost-effective way. In the pilot project an exception will be created in the near future, by enabling one Maintenance Division to look after schemes in three Districts. This Division will maintain scheme-wise records of revenues and expenditures. The expenditures in this case will not depend on a normative prescription for staffing per scheme, but on actual needs. However, since this is not the case in the rest of Uttar Pradesh, the Jal Nigam may consider a restructuring of its organisation. For future piped supply projects, such as the already formulated Project I-A, this may be a condition from the side of the IDC programme.

ANNEX A
ITINERARY OF MISSION
IDRM-1 (UP-37)

ANNEX A

ITINERARY OF MISSION IDRM-1 (UP-37) ¹

Sunday, 24 November 1996

M5 + M6 - Arrival in India.

Monday, 25 November 1996

M5 + M6 - Discussion of Indo-Dutch programme with First Secretary and Sector Specialist Water & Sanitation, Mr. C.D.L. Brands, and Senior Project Officer, Mr. Avinash Zutshi, and with Mr. A.C. Vermeer, Sector Specialist Environment, at the Royal Netherlands Embassy in New Delhi.

Tuesday, 26 November 1996

M5 + M6
Mission - Transfer by air to Lucknow.
- Meeting with Chairman and Managing Director, UP Jal Nigam. Finalisation of mission programme at Uttar Pradesh Jal Nigam head office.
- Discussions with Director and senior staff of PSU Foundation at PSU Foundation office.

Wednesday, 27 November 1996

Mission - Meeting with Secretary, Department of Urban Development.
- Discussions at PSUF office on status of proposed projects, projects under preparation, and approach to IDC programme in U.P.
- Meeting with Chief Engineers, UP Jal Nigam.
- Discussions at PSUF office.

Thursday, 28 November 1996

Mission - Meeting with Director and senior staff of NEDA on solar pumping potential for piped water supply schemes.
- Discussions on status of handpump programmes (Sub-Projects VI and VIII) with senior Jal Nigam and PSUF staff, at UPJN head office.

¹ The following abbreviations are used, in alphabetical order:

M1	- Er. D.C. Garg, Mission Leader	M2	- Er. R.K. Khanna, Mission Member
M3	- Dr. J. Dé, Mission Member	M4	- Ms. P. Nair, Mission Member
M5	- Ir. R. Trietsch, Mission Member	M6	- Drs. (Mrs.) A.M.A. Hoogenboom, Mission Member
SPO	- Senior Project Officer, Royal Netherlands Embassy, Mr. Avinash Zutshi		
WACO	- First Secretary, Water & Sanitation at the Royal Netherlands Embassy in New Delhi, Ir. C.D.L. Brands		

Friday, 29 November 1996*Mission*

- Discussion of Sub-Projects IV and V with senior Jal Nigam staff and PSUF staff at UPJN head office.
- Discussions at PSUF office on training aspects and fund flows, with senior Jal Nigam and PSUF staff.

Saturday, 30 November 1996*Mission*

- Field visit to Gonda District (S-P VI) on decentralised maintenance. Discussions with SE and other UP Jal Nigam staff. Visit to villages Ramvapour Naik, Itiya Thok block, and Paigapur, Balrampur block. Meeting with District Magistrate Gonda.

Sunday, 1 December 1996

- No programme.

Monday, 2 December 1996*Mission*

- Transfer to Aligarh by train.
- Field visit of S-P VIII schemes: visit to villages Kasthalivaish and Kherupura, Jawan block.
- Night halt at Aligarh.

Tuesday, 3 December 1996*Mission*

- Meeting with District Magistrate Aligarh.
- Continuation of field visit to Aligarh: visit to villages Jakhera and Kheriya Bahadurgarhi, Atrauli block.
- Meeting with Mr. Feroz Ahmad of Neda Aligarh, on application of solar energy for water pumping.
- Attending Pradhans' forum at Aligarh.
- Return to Lucknow by train.

Wednesday, 4 December, 1996*M5*

- Meeting with Mr. D. Misra, Scientist SE, RSAC, on reporting on geohydrological survey work in Dronagiri area.

M1,2,3,4,6

- Meeting with Director HRD Jal Nigam on training issues.

Mission

- Transfer by plane to Varanasi.
- Discussion of programme and outstanding issues with SE Jal Nigam, Jal Nigam staff and PSUF social scientists.
- Night halt at Varanasi.

Thursday, 5 December 1996*Mission*

- Field visit to Sub-Project IV scheme Awajapur: discussion with scheme-level committee (SLC) and gram pradhans at Awajapur headworks; visit to village Ramrepur under Awajapur scheme.

M3,4,5

- Field visit to Sub-Project IV scheme Jansa: discussion with SLC and gram pradhans at Jansa headworks; visit to Jalalpur village under Jansa scheme.

Thursday, 5 December 1996 (continued)*M1,2,6*

- Field visit to Sub-Project V area: Chawni Basti of Chhitauni Kot village, Harijan Basti of Betawar village, school sanitary latrine and Kurmi Basti of Bachhaon village.

Mission

- Dinner hosted by Jal Nigam Varanasi, attended by District Magistrate, CDO, etc.
- Night halt at Varanasi.

Friday, 6 December 1996*Mission*

- Field visit to Ballia District: transfer by car from Varanasi to Ballia, visit to Umedah village (Sub-Project VIII) and Bramhain village (Sub-Project VI).
- Night halt at Varanasi.

Saturday, 7 December 1996*Mission*

- Discussions at PSUF field office Varanasi.
- Return by plane to Lucknow.

Sunday, 8 December 1996

- no programme

Monday, 9 December 1996*Mission*

- Discussion of outstanding issues, report format and contributions by individual mission members.
- Preparation of mission's Conclusions and Recommendations.
- Presentation by local communication teams.

Tuesday, 10 December 1996*Mission*

- Finalization of mission's Conclusions and Recommendations.
- Meeting with Secretary and Special Secretary, Department of Rural Development and Minor Irrigation.
- Discussions of the mission's 'Conclusions and Recommendations' at Jal Nigam head office with Chairman and Managing Director of UP Jal Nigam.

Wednesday, 11 December 1996*Mission*

- Debriefing at Department of Urban Development with Secretary and Joint Secretary, DUD, and Managing Director, UP Jal Nigam.

M1,5,6

- Transfer by air from Lucknow to Delhi.

Thursday, 12 December 1996*M5,6*

- Final discussions at Royal Netherlands Embassy, with First Secretary Water & Sanitation and Senior Programme Officer

M6

- Meeting with with Senior Specialist Environment.
- Meeting at TERI, New Delhi, on application of solar energy for drinking water supply.

A - 4

IDRM-1 (UP-37)

Friday, 13 December 1996

M5,6

- Return by air to The Netherlands.

ANNEX B
**LIST OF PERSONS VISITED/
INVOLVED IN IDC**

ANNEX B

LIST OF AUTHORITIES VISITED / SENIOR STAFF INVOLVED IN IMPLEMENTATION OF THE INDO-DUTCH COOPERATION PROGRAMME (IDC)

NEW DELHI

Royal Netherlands Embassy

- | | | |
|--------------------|---|--|
| Mr. P.J. Kuperus | - | First Secretary, Head of Development Cooperation Section |
| Mr. C.D.L. Brands | - | First Secretary, Water and Sanitation |
| Mr. A.C. Vermeer | - | Senior Specialist Environment |
| Ms. M.J.H. Turksma | - | First Secretary, Women in Development |
| Mr. Avinash Zutshi | - | Sr. Programme Officer, Water & Sanitation |

Rajiv Gandhi National Drinking Water Mission

- | | | |
|-------------------------|---|---------------------------|
| Mr. Palat Mohandas | - | Director |
| Mr. D.K. Bhalla | - | Deputy Secretary |
| Mr. C. Ganapathy | - | Deputy Adviser (PHE) |
| Dr. I.C. Agarwal | - | National Consultant (HRD) |
| Prof. B.K. Bhattacharya | - | Consultant (Sanitation) |
| Mr. Jagmeet Uppal | - | Consultant (IEC) |
| Mr. Jagdish Chander | - | Consultant |

Ministry of Finance, Department of Economic Affairs

- | | | |
|--------------------|---|-----------------------|
| Mr. Jaideep Sarkar | - | Under Secretary (EEC) |
|--------------------|---|-----------------------|

UNICEF

- | | | |
|----------------------|---|--|
| Mr. Jon Rohde | - | Country Representative |
| Mr. Subhash Chandra | - | State Representative & Union Territory |
| Mr. Rupert Talbot | - | Chief, Water Section |
| Mr. B.B. Samantha | - | Project Coordinator (Sanitation & Communication) |
| Mrs. Annapurna Dixit | - | Programme Officer (Communication/Training) |
| Mr. S. Huda | - | Project Officer (Sanitation) |

The World Bank, Resident Mission

- | | | |
|----------------------|---|----------------------------|
| Mr. Edwin Lin | - | Resident Chief |
| Mr. G.V. Abhyankar | - | Sanitary Engineer |
| Ms. Meera Chatterjee | - | Social Development Officer |

UNDP/World Bank Water & Sanitation Program

- | | | |
|-----------------------|---|----------------------------|
| Mr. Robert A. Boydell | - | Regional Manager |
| Mr. K.M. Minnatullah | - | Regional Programme Officer |
| Ms. Rekha Dayal | - | Regional Planning Adviser |
| Mr. Charles Pendley | - | Sector Planner |
| Mr. A.K. Sengupta | - | Programme Officer |
| Ms. Barbara Evans | - | Sanitary Adviser |

UTTAR PRADESH

Mr. Brijendra Sahay - Chief Secretary, Government of Uttar Pradesh

Department of Housing and Urban Development

Mr. R.B. Bhaskar - Secretary (DUD)
 Mr. C.B. Paliwal - Joint Secretary (DUD)
 Mr. Anup Chandra Mishra - Technical Officer

Department of Rural Development

Mr. A.K. Gupta - Secretary
 Mr. D.C. Lanka - Commissioner
 Mr. Parameswaran Iyer - Special Secretary, Rural Development, and
 Director PCU (UP RWSES Project, World Bank
 assisted)
 Mr. M.C. Sharma - Special Secretary
 Ms. Sunita Chaturvedi - Director (DWCRA)

Department of Panchayati Raj

Dr. Om Prakash - Secretary
 Mr. R.K. Kumar - Director

Department of Health and Family Welfare

Ms. Sumita Kandpal - Principal Secretary
 Ms. Aradhana Johri - Secretary, Medical and Health

Commissioners

Mr. Sudheer Kumar - Commissioner, Agra Division
 Mr. Anurag Goyal - Commissioner, Allahabad Division
 Mr. Anil Kumar - Commissioner, Azamgarh Division
 Dr. S.N. Zaidi - Commissioner, Bareilly Division
 Mr. Arun Kumar Misra - Commissioner, Faizabad Division
 Mr. Harish Chandra - Commissioner, Gorakhpur Division
 Mr. S.K. Das - Commissioner, Kanpur Division
 Mr. D.M. Bora - Commissioner, Kumaon Division
 Mr. Desh Deepak Verma - Commissioner, Lucknow Division
 Mr. H.L. Viridi - Commissioner, Meerut Division
 Dr. Rajaram - Commissioner, Moradabad Division
 Mr. N.S. Napalchyal - Commissioner, Varanasi Division

District Aligarh

Mr. K.S. Atoria - District Magistrate
 Mr. K.S. Atoria - CDO (additional charge)
 Dr. B.S. Saluja - CMO
 Mr. J.B. Singh - DPRO

District Allahabad

Mr. Brij Mohan Meena - District Magistrate
 Mr. Himanshu Kumar - CDO
 Dr. G.D. Varnawal - CMO

District Almora

Mr. Kumar Kamlesh - District Magistrate
 Dr. R.C. Arya - CMO

District Badaun

Mr. A.K. Awasthi - District Magistrate
 Mr. Chaner Ram - CDO
 Dr. Khan - CMO

District Bahraich

Mr. L.R. Yadav - District Magistrate
 Mr. Gulab Singh - CDO
 Dr. J.P. Yadav - CMO

District Ballia

Mr. Hari Ram - District Magistrate
 Mr. Anurag Srivastava - CDO
 Dr. N.B. Srivastava - CMO

District Bareilly

Mr. S.P. Singh - District Magistrate
 Mr. Kamzan Rizivi - CDO

District Basti

Mr. Dev Sharan Singh Yadav - District Magistrate
 Mr. N.R. Gokaram - CDO
 Dr. V.R. Arya - CMO
 Mr. Budhiram - DDO

District Bhadohi

Mr. Baburam Yadav - District Magistrate
 Mr. Jagannath Prasad - CDO
 Mr. Bhol Nath Shukla - BDO, Gyanpur Block

District Gonda

Mr. T. Venkatesh - District Magistrate
 Mr. Pancham Lal - CDO
 Dr. R.N. Mishra - CMO

District Kanpur Dehat

Mr. M.A. Faruqi - District Magistrate
 Mrs. Manisha Pawar - CDO
 Dr. Daya Prakash - CMO

District Lakhimpur-Kheri

Mr. Ranbir Singh - District Magistrate
 Dr. Ram Bhajan - CDO
 Dr. Divakar Misra - CMO
 Mr. M.S. Kutial - DDO

District Meerut

Mr. Deepak Singhal	-	District Magistrate
Mr. Anil Sant	-	CDO
Dr. R. Prasad	-	CMO

District Moradabad

Mr. Gangadin Yadav	-	District Magistrate
Mr. Babulal Meena	-	CDO
Dr. Ghanshyam Singh	-	CMO

District Rae Bareli

Mr. J.P. Sharma	-	District Magistrate
Mr. Devesh Chaturvedi	-	CDO
Dr. P.N. Mehrotra	-	CMO
Mr. P.N. Verma	-	BDO

District Siddharthnagar

Mr. D.N. Rai	-	District Magistrate
Mr. S.N. Yadav	-	CDO
Dr. S.N. Rai	-	CMO

District Unnao

Mr. Arun Arya	-	District Magistrate
Mr. V.K. Srivastava	-	CDO
Dr. R.C. Katiyar	-	CMO

District Varanasi

Mr. Fateh Bahadur	-	District Magistrate
Dr. Jitendra Kumar	-	CDO
Dr. A.K. Dwivedi	-	CMO
Mr. Kripa Ram Singh	-	BDO, Kashi Vidyapeeth Block
Mr. Bhola Nath Shukla	-	BDO, Gyanpur Block
Mr. Tej Bahadur Singh	-	BDO, Dhanapur Block

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Mr. Atul Pandey	-	Associate: Systems Application
Ms. Soma Tripathi	-	Trainee: Information Systems
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Ms. Sarita Gurnani	-	Office Secretary
Ms. Saonli Basu	-	Social Scientist, Gender Issues
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Mr. Aniruddha Brahmachari	-	Social Scientist, Badaun (S-P VIII)
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Ms. Rajni Trivedi	-	Gram Sevika
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Er. V.K. Gupta	-	Managing Director
Mr. H.C. Dangwal	-	Finance Director
Er. (Mrs.) Heera Sharma	-	Chief Engineer (PPRD)
Er. D.C. Garg	-	Chief Engineer (Kumaun)
Er. B.S. Mathur	-	Chief Engineer (Centre)
Er. H.S. Jethwani	-	Chief Engineer (Electrical and Mechanical)
Er. S.M. Hammad	-	Secretary (Administration)
Er. S. Sangal	-	Secretary (Management)
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Er. V.V. Bisnoi	-	Deputy Secretary (Planning-1)
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 Er. B.N. Sharan - EE, II Construction Division, Allahabad
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Er. Atul Krishna - SE, Construction Circle, Almora
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Rae Bareli

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ANNEX C
CONCLUSIONS AND
RECOMMENDATIONS

ANNEX C

CONCLUSIONS AND RECOMMENDATIONS OF THE INDO-DUTCH REVIEW MISSION IDRM-1 (UP-37) OF NOVEMBER/DECEMBER 1996 TO UTTAR PRADESH

1 GENERAL ISSUES

1.1 Availability of funds

In view of the difficulties faced by the UP Jal Nigam in receiving funds from the State Government, the mission recommends the Governments of India and The Netherlands to reassess their funding policy to Uttar Pradesh and to investigate the possibility of using other options for channelling the funds to the implementing agencies.

1.2 Laboratory staff

Whereas during mission UP-36 the Secretary, Department of Urban Development, had undertaken to have the appointment of 12 chemists (against 12 Junior Engineer posts surrendered by the UP Jal Nigam) sanctioned within 3 weeks' time, no action appears to have been taken at all. The mission therefore feels that the Government of The Netherlands may be reluctant to allow any further works on laboratories under the IDC programme (Sub-Project VIII) until the Government of Uttar Pradesh has effectively sanctioned the appointment of 12 additional, qualified chemists for IDC laboratories, the equipment of these laboratories has been restored in good order, and the labs have started functioning in their intended role of quality control mechanisms for rural water supply in the IDC-covered districts of Uttar Pradesh.

1.3 Administrative arrangements

The mission learned that a decision has been taken to shift the rural water supply programmes from the Department of Urban Development to the Department of Rural Development. In the interest of the consolidation of the valuable experiences gained so far in the IDC rural water supply and environmental sanitation projects it is therefore recommended to continue with the present administrative set-up at the Government level.

2 SUB-PROJECT I-A

Although the project document for Sub-Project I-A has meanwhile been cleared by the Government of India, and received by the Royal Netherlands Embassy in New Delhi, it has been agreed that the Sub-Project will be completely revised and re-budgeted, on the basis of the experience of at least one year's running of the pilot project on decentralised maintenance for Sub-Project IV. Consequently, such revision cannot take place before the end of 1997.

3 SUB-PROJECT III

The Sub-Project was formally completed with the submission of the Completion Report Sub-Project III in July 1996. Meanwhile also the audit by the Accountant General (UP) has taken place, the report of which is awaited.

4 SUB-PROJECT IV

4.1 Progress of the Sub-Project

In preparation for the pilot project on decentralised maintenance under the Sub-Project, the field staff of UP Jal Nigam and PSUF have jointly been able to achieve a remarkable improvement in the running, and acceptance by the villagers, of various schemes under Sub-Project IV. Meanwhile the formal proposal for completion of the Sub-Project was received by the Netherlands authorities, while a draft proposal for a three-year pilot project on optimizing O&M was shown to the mission.

The two documents need to be rewritten since they are overlapping, show discrepancies between field data and reported data, and lack a joint preparation by Jal Nigam and PSUF. The mission recommends that for rewriting and re-budgeting both proposals the guidelines be followed that have been prepared in extensive consultation with management and field staff of the Jal Nigam and PSU Foundation (see Appendix A). Care must be taken that investments that have already been made under the original Sub-Project (e.g. vehicles, buildings, voltage stabilizers, mobile generating sets, etc.), are not proposed for funding under the completion works or O&M pilot project once again.

4.2 Pilot Project on O&M optimization

- a. For functional reasons the mission strongly recommends that a single Jal Nigam Maintenance Division be created for covering all 14 IDC schemes under Sub-Project IV. The mission wishes to remind the Jal Nigam management that such decision was taken already on 29 July 1996 by the Joint IDC Review Meeting chaired by the Chief Engineer (Dutch).
- b. Clear tasks for the Scheme-Level Committees need to be elaborated, to encourage them to take up — after the scheme improvements have been realised — additional tasks related to environmental sanitation and drainage.
- c. It is recommended that — in a similar way as is happening in the handpump Sub-Projects under the IDC programme — Scheme-Level Water and Sanitation Committees are legalised under the provisions of the Panchayat Act.
- d. The present double administration on scheme-wise revenues and expenditures, done by both PSUF and Jal Nigam, must be integrated into a single, transparent system, the updated information on which should be made available to the Scheme-Level Committees on a monthly basis.
- e. The Jal Nigam is advised to open separate bank accounts for each scheme, in order to facilitate the future transfer of these accounts to legal bodies at the scheme level. Retroactively from the start of the current financial year (1996-1997) the relevant funds should be transferred to these accounts.
- f. Also the one-time connection charges, which after deduction of security and cost of materials currently amount to Rs. 500, should be transferred to the respective scheme accounts, where applicable retroactively.
- g. To allow the PSUF to arrive at realistic projections on the potential of schemes to recover scheme-level O&M costs, it is recommended that a household economic survey is undertaken in all villages of the IDC schemes involved, to assess the individual economic status of the households.
- h. Whereas the economics for extending scheme distribution lines to some hamlets and villages are clear (e.g. Parmandur hamlet in the Jansa scheme), for extension to other villages (e.g. Kurauna, in the same scheme) will need to be worked out before extension works are taken up. Criteria to be applied are:
 - the source capacity must be sufficient to accommodate the additional demand;
 - no additional O&M staff should be required because of the extension;
 - a minimum of 25% of the capital costs for the extension must be borne by the customers, through up-front payment of the one-time connection charges;

- the remaining capital costs, based on design population, must not exceed that of the per capita costs of installing handpumps (Rs. 200 - 250 per capita).

4.3 Sanitation component

It is recommended that an environmental sanitation component be introduced in selected Sub-Project IV schemes. The mission recommends that the Jal Nigam's Rural Sanitation Division, jointly with PSUF staff, be engaged in a survey in the Sub-Project IV area on priorities for environmental sanitation, taking into account a cafeteria-style approach with a considerably higher contribution by the beneficiary. The aim of the survey should be to obtain insight into the need for latrines and rural drainage, and the willingness of the potential beneficiaries to contribute to the costs involved.

The survey should be completed before the end of the current financial year, and preferably come forward with a proposal for a specially adapted environmental sanitation component in selected schemes in Varanasi and Bhadohi Districts (Sub-Project XI; see Appendix B).

5 SUB-PROJECT V

5.1 Formal closure of Phase A/Interim Phase

Formal closure of Phase A and the Interim Phase of Sub-Project V was achieved with the submission of a 'Closing Report of Sub-Project V' of December 1995. Meanwhile also a formal audit of Jal Nigam's financial statements by the Accountant General's Office has taken place, the official report on which is awaited.

The mission learned that the financial data have not been reconciled between the Netherlands authorities and the Indian implementing agencies, and that, therefore, the Annual Plan for 1996/1997 could not be approved by the Royal Netherlands Embassy. There appears to be no rationale in linking the activities under Sub-Project V-B and those under Phase A/Interim Phase, since they are administered under separate FOS code numbers by the Netherlands authorities. Therefore the mission urges the Netherlands authorities to clear the Annual Plan 1996/1997, so as not to incur delays — and cost increases — unnecessarily.

5.2 Progress of Phase B

Per 25 November 1996, on a target of 6,916 household sanitary latrines, 6,120 latrines had been completed, with another 354 units under construction. The remaining latrines are expected to be completed by January 1997, provided that the required funds are released in time. In addition, requests for at least 140 additional latrines have been received in the villages covered under the programme.

The mission recommends the Governments of India and The Netherlands to allow the balance funds under the rupee allocation to be used for the construction of additional latrines. Priority should thereby be given to requests from within the project villages, whereas at a later stage also requests from adjacent villages could be taken into consideration.

6 SUB-PROJECT VI

6.1 Progress of the Sub-Project

Similar to the situation of one and more years ago, the original works under the Sub-Project could not be completed due to a shortage of funds. Remaining works include the installation of 104 handpumps in Lakhimpur-Kheri and the completion of the tehsil office-cum-godown in Utraula, for which the stay order was finally vacated in October 1996. All works may be completed within two months, provided that funds are made available in time.

The mission urges both the Secretary, DUD, and the Jal Nigam management to make sufficient funds available in time, so that the original component of Sub-Project VI can be completed before the end of February 1997.

The mission understands that completion certificates from the Jal Nigam's field divisions are being processed, and requests the Jal Nigam to compile a closing report on the original Sub-Project VI before July 1997.

A proposal for the consolidation of the community participation component in all Sub-Project VI districts except Ballia will be submitted by the PSUF before 1 January 1997.

6.2 II Addendum to Sub-Project VI

The so-called II Addendum to Sub-Project VI, comprising the installation of 1,915 additional handpumps in Siddharthnagar from the balance funds available under the guilders allocation, was cleared by the Royal Netherlands Embassy on 29 August 1996.

6.3 Capacity building for decentralised O&M

The mission recommends that a number of actions are taken on the basis of the experience gained in Sub-Projects VI and VIII so far:

- to prepare a transparent, concise and illustrated "how to" booklet, which outlines the critical success factors for, and practical steps to be undertaken to arrive at, a decentralised maintenance system for handpumps in a district. Such booklet should make the process more accessible and understandable for district and block level workers and people's representatives, for Gram Pradhans and Gram Panchayat Adhikaris and for Jal Nigam field staff. The relevant clauses of the Panchayat Act would be included;
- to undertake a Training of Trainers workshop on the training of caretakers and handpump mechanics, to facilitate the Rajiv Gandhi National Drinking Water Mission's HRD programme, with the help of Jal Nigam engineers and social scientists involved in the Sub-Project VI training;
- to support the streamlining of bookkeeping procedures at the Gram Panchayat level, whereby both ward-wise household contributions are entered and expenditures are recorded by date.

7 SUB-PROJECT VII

7.1 Status of the Sub-Project

The project document for Sub-Project VII has meanwhile been cleared by the Indian Government and submitted to the Netherlands authorities. In line with the current priorities within the Netherlands' bilateral programme, higher priority will be given to additional handpump-related activities in the districts covered under the IDC programme (Sub-Project VI-II Addendum and Sub-Project X) and to O&M improvement and rehabilitation of piped supply schemes that have already been built under the IDC programme (Sub-Project IV O&M Pilot Project, and Sub-Project I-A).

The Remote Sensing Applications Centre undertook to have the final report on the groundwater potential in the Dronagiri area, including a quantitative appraisal of the availability and use of spring water in the limestone area north of Dwarahat, and taking into account the observations of mission UP-36, completed and submitted before 31 March 1997.

8 SUB-PROJECT VIII

8.1 Revised cost estimate

A revised cost estimate for Sub-Project VIII, dated 13 May 1996, was cleared by the Netherlands authorities on 16 August 1996. Consequently, the technical component now stands at Rs. 516.0534 million (85% reimbursable), while the Jal Nigam training component amounts to Rs. 20.7369 million (100% reimbursable).

8.2 Progress of the Sub-Project

Currently, about 3,885 handpump sites have been selected, handpumps installed at 3,139 sites and platforms constructed for 1,278 handpumps. The mission was informed that in practice, for several reasons, delays occur between the various stages of the programme: site selection, handpump installation and construction of platform and drains, as a result of which sites that had originally been agreed upon, have meanwhile become disputed. Also the delays in constructing the platforms impair the community participation activities, as the installed handpump remains unusable or its surroundings become waterlogged.

The mission urges the Jal Nigam management to instruct the field staff involved to implement the technical activities with as little delay as is possible, while seeing to it that sufficient funds are released timely so as not to impede the progress of the works.

8.3 Site selection

The mission reiterates its earlier statements that sites for handpump installation need to be identified by Jal Nigam and PSUF staff jointly, in accordance with agreed procedures. Handpumps installed without site selection according to these procedures shall not be considered a part of the IDC programme and shall not be included in reimbursement claims to the Netherlands authorities.

9 SUB-PROJECT X

The mission received the information that the numbers of handpumps required to fully saturate the districts covered under Sub-Project VI amounts to 41,083 handpumps. The mission explored three other options:

- a. saturate both Siddharthnagar and Lakhimpur Kheri districts in total, and in the remaining districts only those blocks where decentralised maintenance training has been carried out: 10,980 new handpumps required;
- b. saturate Siddharthnagar District and in the remaining districts only those blocks where decentralised maintenance training has been carried out: 9,373 new handpumps required;
- c. in all districts saturate only those blocks where decentralised maintenance training has been carried out: 6,762 new handpumps required.

The mission will discuss the matter with the Netherlands authorities and will subsequently inform the Jal Nigam and PSU Foundation on the option that is most likely to obtain a positive response from the Netherlands authorities. The UP Jal Nigam and PSUF will then jointly prepare a project proposal for Sub-Project X.

10 NEW PROJECT PROPOSALS

The mission received two new proposals:

- a. "O&M of rural water supply in District Unnao with community participation and awareness", prepared by UP Jal Nigam and having a project cost of Rs. 140.57 million;
- b. "Piped water supply of a village with solar pump", prepared by UP Jal Nigam and having a project cost of Rs. 8.475 lacs.

The mission welcomes the fact that the Jal Nigam is coming up with a number of new proposals. However, it is felt that for new proposals to be discussed in a meaningful manner, they should fit within the general policy framework for the IDC programme and be prepared by the UP Jal Nigam and PSUF jointly.

The Dutch mission members will take up the proposal on O&M of rural water supply in Unnao with the First Secretary, Water Supply and Sanitation, at the Royal Netherlands Embassy, to see in which way it may be accommodated.

The proposal on solar energy application for water supply is insufficiently documented and worked out in its current shape. In collaboration with NEDA the UP Jal Nigam will work out a fresh proposal for the application of solar energy in a selected part of — preferably — the Sub-Project IV area. In this proposal sufficient attention will be paid to:

- a comparison between solar and conventional energy;
- measures to be taken during periods with insufficient solar irradiation;
- possibilities to apply the technology as a reliable power supply option for a multi-village piped supply scheme, as compared to the supply of a considerably smaller tail-end area only, with additional investments in new boreholes and overhead tank.

The proposal will be prepared in time for mission IDRM-2 of March 1997.

11 PLANNING OF NEXT IDRM MISSION

In view of the need to process the revised project documents on the completion of Sub-Project IV, the O&M Pilot Project for Sub-Project IV, and the implementation of environmental sanitation in the Sub-Project IV schemes in the Varanasi and Bhadohi districts without undue delay, the mission is of the opinion that the next IDRM mission (IDRM-2) should be fielded before the end of the current financial year. It is recommended, therefore, that IDRM-2 be carried out in the period 23 March - 12 April 1997.

12 ACKNOWLEDGMENT

The mission expresses its gratitude for the support, assistance and hospitality provided by the Secretary, Department of Urban Development, the Management and staff of the Uttar Pradesh Jal Nigam, the Director and staff of the PSU Foundation, and the District officials, NGOs, ward and scheme-level committees and local communities of the project districts.

Lucknow, 11 December 1996
Indo-Dutch Review Mission IDRM-1 (UP-37).

APPENDIX A

GUIDELINES FOR FINALISING TWO APPRAISAL REPORTS ON SUB-PROJECT IV

Introduction

The mission received two Appraisal Reports on completion and Operation & Maintenance of Sub-Project IV:

- a. "Proposed extension of Sub-Project IV (V addendum) with VI Addendum (IN 84004)", submitted to the Royal Netherlands Embassy by letter of 03.09.96 (ref. Letter 179-49 anu.)
- b. "Pilot Project, A Proposal for Operation & Maintenance of Sub Project IV schemes", November 1996, Uttar Pradesh Jal Nigam. Cost estimate Rs. 1250.427 lacs, excluding CPC.

Mr. Carel Brands, First Secretary Royal Netherlands Embassy has (ref. Letter of 6 November 1996, ref rws/up/spiv) in principle reacted positively to the first Appraisal Report. He states that a tentative reservation of Rs. 15.6 million for physical works and Rs. 4.2 for CPC has been made. The Royal Netherlands Embassy will take up the Appraisal after 1 January 1997.

In consultation with UP Jal Nigam and the PSU Foundation the mission discussed both Appraisals on 29 November 1996 in Lucknow and on 7 December 1996 in Varanasi with the project staff.

The discussion of 29 November pointed at:

- discrepancies between a joint inventory undertaken by Jal Nigam and PSUF field staff in the months of February - May 1996 and data presented in the appraisal;
- lack of adequate circulation of information on results of the inventory amongst Jal Nigam management concerned.

The mission therefore provides the following guidelines for finalising both proposals.

General

1. Combine the two Appraisals in one folder. Both proposals to be conceptualised based on the same philosophy and the cost estimates being complementary.
2. The preface of both will be signed by Jal Nigam and PSUF to ensure that cross checking is done.
3. A working team consisting of Er. A.K. Srivastava of the Rural Sanitation Division and the concerned Executive Engineers of Varanasi and Bhadohi, and 2 PSUF field staff has been appointed for the write-up of both proposals. A Lucknow team consisting of PSUF Associate Coordinator Dr. Byasdeb Dasgupta and Er. Y.S. Negi of Jal Nigam, with the close cooperation of the Chief Engineer (Dutch) will coordinate the write-up and reconcile the data from the districts.
4. The proposals will be finalized before or latest on 31 January 1997.

Completion of the piped water supply schemes

1. With completion of the works is meant completion of original building works, distribution systems and installation of handpumps, based on the data of the joint inventory and on the decisions taken earlier by a Jal Nigam and PSUF team.
2. As revenue collection is based on flat rates (ref. decision per 15.04.1996) no water meters for private connection will be included.
3. When repairs and repainting are requested before commissioning of the schemes can take place, this should be included on a reasonable basis. One time repairs now included in the Pilot Project budget should be included under Completion of works.
4. The requirement for extra pipes to be laid should be scrutinized. Extension of the distribution systems to new habitations is only warranted in those cases that future private

- connection holders are ensured and their one-time connection charges equal 25% of the capital investments.
5. The joint decisions taken at the meetings of 15.04.96, 22.05.96, 29.07.96, and 19.08.96 should be taken into account.
 6. In case of additional items such as cars, a justification should be given.

Formulation of a Pilot Project for Operation & Maintenance

The objective is to reach full coverage of actual recurrent O&M costs at scheme level, without including establishment costs for the time being, of the 14 piped water supply schemes. This requires the following principles:

- reliable daily supply of adequate quantity and good quality of water
 - involvement of cost effective and transparent systems for revenue collection. This initially demands a flat rate system
 - promotion of house connections at a uniform connection charge across the three districts.
1. The Jal Nigam division responsible for optimal O&M of the 14 schemes will be one, in order to ensure optimal coordination with the PSUF, the district administration and the Scheme Level Water & Sanitation Committees. The division set-up is similar to that of the Rural Sanitation Division, having two sub-divisional offices, one in Varanasi and one in Bhadohi, which also caters for Allahabad.
 2. The optimal staffing of the proposed O&M Division has been set at 2 Civil + 1 E&M JEs for Varanasi and Bhadohi each, and 1 JE (Civil) for Allahabad, hence in total 7 Junior Engineers, 2 Assistant Engineers and 1 Executive Engineer, along with minimum supporting staff. Jal Nigam is strongly requested to maintain the assigned staff at the division during the Pilot Project period.
 3. The proposal includes the development of a performance and incentive based remuneration system for the scheme level staff, which may also include the revision of the composition of the Jal Nigam staff at the scheme level. An optimal scheme level staffing pattern will evolve during the Pilot Project.
 4. The staff will be oriented and trained thoroughly. All trainings are conducted jointly by Jal Nigam and the PSU Foundation, where possible complemented by TRYSEM facilities of the District Administration.
 5. To ensure reliable daily water supply, where supply is now reaching about 92% of the days in Varanasi schemes, a realistic number of mobile diesel generator sets — not one per scheme — will be included to allow for power back-up. Where non-IDC schemes will utilize these gen-sets costs should be deducted from Project costs. It should be checked whether the mobile gen sets which were ordered at the time of mission UP-34, November 1994, under Sub-Project IV have been purchased and if yes, these should be made available on a priority basis.
 6. Tariffs will be enhanced flexibly within the IDC schemes, as proposed and decided upon by the Scheme Level Water & Sanitation Committees, and will not follow a uniform pattern. The revenues in 1997 will be based on the present rate of Rs. 20.5 /hc¹/m and gradually increased to a minimum of Rs. 30/hc/m.
 7. For all schemes separate accounts will be opened. Revenue mobilised from a particular scheme will flow back to the same scheme (ref. Joint decision 22.05.96). The one-time connection charges for new connections will also be retroactively booked, from 01.04.96 onwards, as scheme income.
 8. One time expenditures for the completion of the schemes, including repair of overhead tanks, pumping plant, starters for electric motors, chlorinating plant and replacement of

¹ hc = house connection

broken glass panes etc. will be budgeted under Completion of the Schemes, not under the Pilot Project. The question whether a shed for operators at the headworks site is necessary has to be justified.

9. An in-depth survey into the economic status of the households covered by the schemes will be part of the Pilot Project.
10. The time frame for the Pilot Project is 3 years. Progress indicators per year will be presented. A coverage of 60% of the actual scheme -level O&M costs, including staffing and power charges, will be aimed at in this period.
11. The three years budget presented will include the costs of setting up and running the Jal Nigam O&M division, the O&M costs at scheme level minus the projected revenues. Additionally the costs of community mobilisation, training and PSUF coordination will be presented.

APPENDIX B

GUIDELINES FOR FORMULATION OF SUB-PROJECT XI, AS A FOLLOW-UP FOR SUB-PROJECT V

Introduction

The experience of 7 years with a successful on-site sanitation programme with the installation of over 13,000 sanitary latrines under -Project V has resulted in experiences, knowledge of rural sanitation and policy decisions which are unique for the State of Uttar Pradesh. The Jal Nigam Rural Sanitation Division and PSUF form a team of very motivated, experienced and skilful engineers and social scientists. It is important to retain the Rural Sanitation Division.

To benefit from the experiences and expertise gained it is proposed to evolve a Technical Assistance project on rural sanitation which focuses on the same geographical area as covered by the Sub Project IV rural water supply schemes in the Districts of Varanasi and Bhadohi.

Mission IDRM-1 (UP-37), in consultation with the Jal Nigam and PSUF, has considered various modalities for such follow-up project, such as a cafeteria approach combined with promotional and advisory services, stimulation of rural sanitation markets, credit schemes combined with low subsidy levels (less than 40%). Based on this the following guidelines are given.

Project preparation

1. For the preparation of such project, called Sub-Project XI, both agencies will submit, before 1 January 1997 a project preparation proposal to the Royal Netherlands Embassy.
2. This proposal involves a preparation period of about 3 months in which mainly three activities will be undertaken:
 - (a) a survey into felt needs and financial contribution capacity of the households in the villages of 11 schemes, conducted on a sample basis;
 - (b) the Jal Nigam Rural Sanitation Division will develop a number of design options and actual costs and contributions, whereby also a gradual construction by the latrine owner must be considered.
 - (c) the mechanisms for payment in installments, similarly as has been introduced for the one-time connection charges under Sub-Project IV, to promote private latrines among the economically weaker sections of the population will be thoroughly reviewed and elaborated. A consultant may be hired if required.
3. The preliminary results will be discussed with the HRD Cell of Jal Nigam, for discussion on inclusion of a rural sanitation module in the training of rural health workers.
4. The results of the project preparation phase will be finalized before 31 March 1997 and submitted to the IDRM-2 and further taken up for review by the IDRM.

ANNEX D
COMPLIANCE REPORT
(UP Jal Nigam)

INDO-DUTCH MISSION (U.P.-36)

COMPLIANCE REPORT

The UTTAR PRADESH JAL NIGAM has undertaken to :

PAGE 5, Sl. No. 1

The Sub Project - III, estimated cost Rs. 1273.541 Lacs, for installation of India Mark - II handpumps in seven districts namely Allahabad, Agra, Mathura, Etawah, Farrukhabad, Mainpuri and Firozabad has been completed and administrative closed. The completion report is being sent separately. The district-wise details of the targets and achievements, as per completion report is given here under.

DISTRICT	VILLAGES		HANDPUMPS		EXPENDITURE	
	TARGET	ACHIEV.	TARGET	ACHIEV.	TARGET	ACHIEV.
ALLAHABAD	199	199	1074	1074	208.789	210.571
AGRA	59	59	392	392	148.397	153.998
MATHURA	55	55	377	377	126.544	134.967
ETAWAH	457	457	2917	2917	607.422	578.450
FARRUKHABAD	99	99	500	500	78.122	78.122
MAINPURI/ FIROZABAD	98 + 1 TAC	98 + 1 TAC	628	628	101.664	94.433
COMPUTERS	--	--	--	--	2.604	2.317
LOGGER	--	--	--	--	--	15.800
TOTAL	967 + 1 TAC	967 + 1 TAC	5888	5888	1273.541	1268.658

PAGE 5, Sl. No. 2

The field investigation into the works required to complete Sub Project - IV in all respect, has been carried out jointly with P.S.U. Foundation. The inventory of executed works was jointly prepared, in the discussion with community and works actually needed to complete, the Sub Project - IV, in all respect was recorded. On the basis of joint field investigation and the inventory, the proposal to complete remaining works of the Sub Project, under the name Sub Project - IV (VI Addendum), amounting Rs. 1729.245 Lacs, has been prepared and being submitted separately. The cost of remaining works which are yet to be executed, to complete the Sub Project works out to be Rs. 155.943 Lacs.

PAGE 5, Sl. No. 3

The joint proposal for 'pilot project' to identify optimal operation and maintenance modalities is under preparation. The joint field investigation for recording the shortcomings of the schemes has been done, wherein community was also involved for their suggestions. It is proposed to include all the 14 schemes of the Sub Project - IV in this 'pilot project' for operation and maintenance. The joint proposal will be submitted shortly.

PAGE 6, Sl. No. 4

The accounts of Phase - A and Interim Phase of Sub Project - V, has been closed and the joint closing report from U.P. JAL NIGAM and P.S.U. Foundation, was submitted by this office to State Government vide this office letter no. 765 / Anu. Dutch Sub Project -5 / 26, dated 01.06.96. The same has been forwarded by State Government to Royal Netherlands Embassy, New Delhi, vide letter no. 458 / CGA-9-2-96, dated 14.06.96.

PAGE 6, Sl. No. 5

The closing reports of Sub Project - VI for districts Bahraich, Gonda and Ballia from respective divisions has been received in this office and is under checking. For districts Lakhimpur, Basti and Siddarhnagar, the respective divisions are requested to submit the closing report at the earliest. The complete closing report of Sub Project - VI will be discussed and submitted during the visit of next mission.

PAGE 6, Sl. No. 6

The proposal of Sub Project - X, for saturation of five districts namely Lakhimpur, Bahraich, Gonda, Basti and Siddarhnagar is under preparation. The proposal of the Sub Project - X will be discussed with next mission, in the light of number of handpumps to be proposed, as more than 20,000 handpumps are required to saturate one of the district i.e. Gonda.

U.P. JAL NIGAM

ANNEX E
QUARTERLY PROGRESS REPORT
PROJECT IV

DUTCH AIDED RURAL WATER SUPPLY SCHEME (PIPED SCHEMES)

[1]

SUB PROJECT - IV

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD - JULY. - SEPT. 1996
LAST REPORTING PERIOD - APR. - JUNE. 1996

A. SUMMARY SHEET

Sn.	DISTRICT	ALLAHABAD	BHADOHI	VARANASI	TOTAL
1	(a) Estimated Cost (Rs. Lacs)				
	- Original Estimate	256.880		783.530	1040.410
	- Latest Agreed Estimate	361.798	636.250	573.127	1571.175
	(b) Actual Expenditure (Rs. Lacs)				
	- Upto March 1996	355.643	686.130	530.491	1572.264
	- Upto SEPTEMBER, 1996	355.643	686.130	530.491	1572.264
	(c) Percentage of upto date Expenditure on Latest Estimate	98.3%	107.8%	92.6%	100.1%
2	(a) Planned Budget for the year 1996-97 (Rs. Lacs) (including FIFTH Addendum)	6.000	9.000	10.000	25.000
	(b) Quarterly Disbursement Planned for the year 1996-97 (Rs. Lacs)				
	April-June 1996	1.000	2.000	2.000	5.000
	July -Sept. 1996	2.000	2.000	2.000	6.000
	Octo. -Dece. 1996	2.000	3.000	4.000	9.000
	Janu. -March 1997	1.000	2.000	2.000	5.000
	(c) Actual Expenditure during the Year 1996-1997 (Rs. Lacs)	0.000	0.000	0.000	0.000
3	No. of W/S Schemes				
	- Total	2	6	6	14
	- No. of Schemes Completed	0	0	0	0
	- Percentage Completed	0.0%	0.0%	0.0%	0.0%
4	VILLAGES				
	(a) Target Number	23	120	121	264
	(b) Villages fully Benefitted				
	-Last Period	22	118	103	243
	-This Period	22	118	103	243
	(c) Villages partially Benefitted				
	-Last Period	1	0	9	10
	-This Period	1	0	9	10
	(d) Percentage fully Benefitted				
	-Last Period	95.65%	100.00%	83.47%	92.05%
	-This Period	95.65%	98.33%	85.12%	92.05%
	(e) Percentage partially Benefitted				
	-Last Period	4.35%	0.00%	7.44%	3.79%
	-This Period	4.35%	0.00%	7.44%	3.79%
5	POPULATION				
	- Design Year	2019	2019	2019	2019
	- Design Population	64470	255010	225950	545430
	- Percentage served (Present)	85.0%	80.6%	59.1%	70.9%

Sn.	DESCRIPTION	ALLAHABAD	BHADOHI	VARANASI	TOTAL
6	PHYSICAL IMPLIMENTATION [% against Target for Last Period and This Period]				
(a)	- Tube Well				
	-Last Period	100.0%	100.0%	100.0%	100.0%
	-This Period	100.0%	100.0%	100.0%	100.0%
(b)	- Pumping Plants				
	-Last Period	100.0%	100.0%	100.0%	100.0%
	-This Period	100.0%	100.0%	100.0%	100.0%
(c)	- Chlorinators				
	-Last Period	100.0%	100.0%	100.0%	100.0%
	-This Period	100.0%	100.0%	100.0%	100.0%
(d)	- Rising Main				
	-Last Period	100.0%	105.4%	121.0%	103.6%
	-This Period	100.0%	105.4%	121.0%	103.6%
(e)	- Over Head Tank				
	-Last Period	100.0%	100.0%	100.0%	100.0%
	-This Period	100.0%	100.0%	100.0%	100.0%
(f)	- Distribution System				
	-Last Period	100.0%	95.4%	89.9%	93.7%
	-This Period	100.0%	95.4%	89.9%	93.7%
(g)	- Public Stand Posts				
	-Last Period	15.5%	37.7%	71.5%	46.3%
	-This Period	15.5%	37.7%	71.5%	46.3%
(h)	- Private Connections				
	-Last Period	83.3%	61.6%	99.7%	88.2%
	-This Period	83.3%	61.6%	99.7%	88.2%
(i)	- Handpumps				
	-Last Period	100.0%	80.2%	76.7%	82.8%
	-This Period	100.0%	80.2%	76.7%	82.8%
7	COMPLETION DATE				
	- Original Estimate	3/90	3/90	4/90	4/90
	- Last Agreed Estimate	3/92	3/92	3/92	3/92
	- Current Estimate	6/97	6/97	6/97	6/97
	- Change since Last Report	--	--	--	--
8	GENERAL PROGRESS	Delay	Delay	Delay	Delay
9	TYPE OF PROBLEM , IF ANY	Proposal revised (VI Addendum), for completion of left over works. Sanction awaited.			

B STAFF MOVEMENT

{ added (+) , taken off (-) }

Sn.	STAFF	ALLAHABAD	BHADOHI	VARANASI	TOTAL
1	Superintending Engineer	NIL	NIL	NIL	NIL
2	Executive Engineer	NIL	NIL	NIL	NIL
3	Assistant Engineer	NIL	NIL	NIL	NIL
4	Junior Engineer	NIL	NIL	NIL	NIL

DUTCH AIDED RURAL WATER SUPPLY SCHEME. (PIPED SCHEMES)

[3]

SUB PROJECT - IV

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD - JULY. - SEPT. 1996
LAST REPORTING PERIOD - APR. - JUNE. 1996

B - FINANCIAL PROGRESS REPORT UP TO QUARTER ENDING

SEPTEMBER, 1996

Sn.	Name of Rural W/s Scheme	Total Estimated Cost (Rs.Lacs)	Expenditure upto the start of quarter (Rs.Lacs)	Status upto the start of Quarter (%)	During the Period		Status at the end of Reporting Quarter	
					Target (Rs.Lacs)	Achievement (Rs.Lacs)	Expenditure (Rs.Lacs)	Percent. (%)
1	2	3	4	5	6	7	8	9
DISTRICT - ALLAHABAD								
1	Chekwa W/S Scheme	132.459	137.461	103.8%		0.000	137.461	103.8%
2	Kosam Khiraj W/S Scheme	229.339	218.182	95.1%		0.000	218.182	95.1%
Sub Total		361.798	355.643	98.3%	2.000	0.000	355.643	98.3%
DISTRICT - BHADOHI								
3	Bairibisa W/S Scheme	106.676	122.942	115.2%		0.000	122.942	115.2%
4	Birampur W/S Scheme	120.269	127.788	106.3%		0.000	127.788	106.3%
5	Inargaon W/S Scheme	105.023	88.998	84.7%		0.000	88.998	84.7%
6	Kasidaha W/S Scheme	101.410	117.988	116.3%		0.000	117.988	116.3%
7	Kasidaha Extn. W/S Scheme	79.858	97.654	122.3%		0.000	97.654	122.3%
8	Rohi W/S Scheme	123.014	130.760	106.3%		0.000	130.760	106.3%
Sub Total		636.250	686.130	107.8%	2.000	0.000	686.130	107.8%
DISTRICT - VARANASI								
9	Awajpur W/S Scheme	79.052	85.749	108.5%		0.000	85.749	108.5%
10	HathiBarni W/S Scheme	86.412	86.074	99.6%		0.000	86.074	99.6%
11	Jansa W/S Scheme	84.609	83.013	98.1%		0.000	83.013	98.1%
12	Mahdopur W/S Scheme	81.012	75.829	93.6%		0.000	75.829	93.6%
13	Tendui W/S Scheme	85.686	80.207	93.6%		0.000	80.207	93.6%
14	Tikri W/S Scheme	156.356	119.619	76.5%		0.000	119.619	76.5%
Sub Total		573.127	530.491	92.6%	2.000	0.000	530.491	92.6%
GRAND TOTAL		1571.175	1572.264	100.1%	6.000	0.000	1572.264	100.1%

DUTCH AIDED RURAL WATER SUPPLY SCHEME, (PIPED SCHEMES)

[4]

SUB PROJECT - IV

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD - JULY - SEPT. 1996
LAST REPORTING PERIOD - APR. - JUNE. 1996

C - PHYSICAL PROGRESS REPORT UPTO QUARTER ENDING SEPTEMBER, 1996

Sn.	Name of Rural W/s Scheme	Tube Wells		Pumping Plants			Rising Mains			O.H.TANK		Distribution System		
		T (No)	A (No)	T (No)	P (No)	A (No)	T (M)	P (M)	A (M)	T (NO)	A (%)	T (KM)	P (KM)	A (KM)
1	2	3a	3b	4a	4b	4c	5a	5b	5c	6a	6b	7a	7b	7c
DISTRICT - ALLAHABAD														
1	Chekwa W/S Scheme	2	2	2	2	2	5850.0	5850.0	5850.0	1	100%	42.510	42.510	42.510
2	Kosam Khiraj W/S Scheme	4	4	4	4	4	4800.0	4800.0	4800.0	1	100%	59.110	59.110	59.110
	Sub Total	6	6	6	6	6	10650.0	10650.0	10650.0	2	100%	101.620	101.620	101.620
DISTRICT - BHADOHI														
3	Bairibisa W/S Scheme	2	2	2	2	2	327.25	514.00	514.00	1	100%	54.045	54.070	54.070
4	Birampur W/S Scheme	2	2	2	2	2	485.00	578.00	578.00	1	100%	54.440	54.620	54.620
5	Inargaon W/S Scheme	2	2	2	2	2	445.50	400.00	400.00	1	100%	37.906	33.914	33.914
6	Kasidaha W/S Scheme	2	2	2	2	2	345.00	347.00	347.00	1	100%	39.330	34.896	34.896
7	Kasidaha Extn W/S Scheme	1	1	1	1	1	765.00	714.00	714.00	1	100%	34.580	34.120	34.120
8	Rohi W/S Scheme	2	2	2	2	2	435.00	400.00	400.00	1	100%	50.790	46.910	46.910
	Sub Total	11	11	11	11	11	2802.75	2953.00	2953.00	6	100%	271.091	258.530	258.530
DISTRICT - VARANASI														
9	Awajpur W/S Scheme	2	2	2	2	2	315.00	443.00	443.00	1	100%	50.990	50.990	50.990
10	HathiBarni W/S Scheme	2	2	2	2	2	435.00	435.00	435.00	1	100%	51.775	49.540	49.540
11	Jansa W/S Scheme	2	2	2	2	2	330.00	624.00	624.00	1	100%	54.869	55.200	55.200
12	Mahdopur W/S Scheme	2	2	2	2	2	285.00	285.00	285.00	1	100%	44.270	44.270	44.270
13	Tendui W/S Scheme	2	2	2	2	2	525.00	500.00	500.00	1	100%	41.700	38.000	38.000
14	Tikri W/S Scheme	0	0	0	0	0	0.00	0.00	0.00	0	--	39.000	16.000	16.000
	Sub Total	10	10	10	10	10	1890.00	2287.00	2287.00	5	100%	282.604	254.000	254.000
GRAND TOTAL		27	27	27	27	27	15342.75	15890.00	15890.00	13	100%	655.315	614.150	614.150

DUTCH AIDED RURAL WATER SUPPLY SCHEME. (PIPED SCHEMES)

[5]

SUB PROJECT - IV

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD - JULY. - SEPT. 1996
 LAST REPORTING PERIOD - APR. - JUNE. 1996

SEPTEMBER, 1996

C - PHYSICAL PROGRESS REPORT UPTO QUARTER ENDING

Sn.	Name of Rural W/s Scheme	Stand Post		Chlorinator			Water Meter			Pvt.Connection		Popu.(Present)		Handpumps		
		T (No)	A (No)	T (No)	P (No)	A (No)	T (No)	P (No)	A (No)	T (No)	A (No)	T (No)	A (No)	T (No)	P (No)	A (No)
1	2	8a	8b	9a	9b	9c	10a	10b	10c	11a	11b	12a	12b	13a	13b	13c
DISTRICT - ALLAHABAD																
1	Chekwa W/S Scheme	83	15	2	2	2	240	160	160	142	160	16532	12373	68	68	68
2	Kosam Khiraj W/S Scheme	91	12	4	4	4	267	125	90	158	90	18406	17320	77	86	77
	Sub Total	174	27	6	6	6	507	285	250	300	250	34938	29693	145	154	145
3 DISTRICT - BHADOHI																
4	Bairibisa W/S Scheme	109	65	2	2	2	286	286	301	286	286	19960	18000	44	36	36
5	Birampur W/S Scheme	96	62	2	2	2	286	286	138	142	121	16566	20000	68	68	68
6	Inargaon W/S Scheme	104	63	2	2	2	282	282	0	150	26	19700	10000	33	15	13
7	Kasidaha W/S Scheme	91	16	2	2	2	273	273	117	164	105	19075	17000	64	60	60
8	Kasidaha Extn. W/S Scheme	73	12	1	1	1	250	250	0	250	86	16445	7000	34	30	25
	Rohi W/S Scheme	135	11	2	2	2	320	320	123	192	105	22350	20000	50	33	33
	Sub Total	608	229	11	11	11	1697	1697	679	1184	729	114096	92000	293	242	235
DISTRICT - VARANASI																
9	Awajpur W/S Scheme	71	39	2	2	2	350	350	265	350	237	13380	14000	8	6	4
10	HathiBarni W/S Scheme	103	89	2	2	2	350	350	376	350	390	15400	18000	7	0	0
11	Jansa W/S Scheme	101	51	2	2	2	350	350	433	350	429	15965	17000	17	11	11
12	Mahdopur W/S Scheme	74	29	2	2	2	80	80	100	80	92	13430	14000	18	10	10
13	Tendui W/S Scheme	72	33	2	2	2	210	210	164	210	184	14735	16000	28	23	23
14	Tikri W/S Scheme	0	60	0	0	0	11413	10990	1530	1530	1530	62933	1250	209	200	172
	Sub Total	421	301	10	10	10	12753	12330	2868	2870	2862	135843	80250	287	250	220
GRAND TOTAL		1203	557	27	27	27	14957	14312	3797	4354	3841	284877	201943	725	646	600

DUTCH AIDED RURAL WATER SUPPLY SCHEME (PIPED SCHEMES)SUB PROJECT- IVQUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD - JULY. - SEPT. 1996

LAST REPORTING PERIOD - APR. - JUNE. 1996

D - REIMBURSEMENT CLAIMS

(Reimbursement Claims submitted over Reporting Period)

NO.	DISTRICT	CLAIMS SUBMITTED UPTO THE START OF THE QUARTER	CLAIMS SUBMITTED DURING THE QUARTER ENDING 09 / 96	CLAIMS SUBMITTED UPTO THE END OF THE QUARTER
1	2	3	4	5
1	ALLAHABAD	Rs. 36,100,655.41	Rs. 0.00	Rs. 36,100,655.41
2	BHADOHI	Rs. 67,866,079.67	Rs. 0.00	Rs. 67,866,079.67
3	VARANASI	Rs. 52,417,542.86	Rs. 0.00	Rs. 52,417,542.86
TOTAL		Rs. 156,384,277.94	Rs. 0.00	Rs. 156,384,277.94

Position of Uptodate Reimbursement Claims

CLAIM No	PERIOD COVERED BY CLAIMS (UPTO)	AMOUNT OF CLAIMS (Rs.)	CUMMULATIVE CLAIMS (Rs.)	SUBMITTED TO GOVT. OF INDIA ON DATE
13	up to 30.03.93	Rs. 2,125,036.84	Rs. 144,429,941.51	31.03.93
14	30.06.93	Rs. 737,154.50	Rs. 145,167,096.01	15.07.93
15	30.09.93	Rs. 493,041.79	Rs. 145,660,137.80	30.10.93
16	30.12.93	Rs. 1,809,347.66	Rs. 147,469,485.46	01.02.94
17	31.03.94	Rs. 640,175.45	Rs. 148,109,660.91	02.05.94
18	30.06.94	Rs. 1,275,807.99	Rs. 149,385,468.90	02.11.94
19	30.09.94	Rs. 1,068,884.04	Rs. 150,454,352.94	02.11.94
20	30.12.94	Rs. 1,648,533.95	Rs. 152,102,886.89	07.02.95
21	30.03.95	Rs. 2,580,666.11	Rs. 154,683,553.00	09.06.95
22	30.09.95	Rs. 1,700,724.94	Rs. 156,384,277.94	14.12.95

DURING CURRENT YEAR (1996-97)

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)SUB PROJECT - IVQUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD - JULY. - SEPT. 1996
 LAST REPORTING PERIOD - APR. - JUNE. 1996

F - DETAILS OF CONTRACT BONDS AWARDED / UNDER EXECUTION DURING THE REPORTING PERIOD

Sn.	Name of the Scheme	Brief description of the work for which Contract is awarded	Value of Contract (in Rs. Lacs)	Name of Contractor	Date of Start	Likely Date of Completion	Present Status of Works included in the contract	REMARK
1	2	3	4	5	6	7	8	9

A. Contract Bonds of Value - More than Rs. 100,000.00DISTRICT - ALLAHABAD NILDISTRICT - BHADOHI - NILDISTRICT - VARANASI - NIL**B. Contract Bonds of Value - More than Rs. 50,000.00**DISTRICT - ALLAHABAD NILDISTRICT - BHADOHI - NILDISTRICT - VARANASI NIL

ANNEX F
MAJOR POLICY DECISIONS
ON PROJECT IV

SP IV

Major policy decisions taken by PSU Foundation and UP Jal Nigam during the period January-November 1996

1. Uniform private connection fee of Rs. 590 which includes connection fee of Rs. 500, security deposit of Rs. 50, application fee of Rs. 15 and ferrule charge of Rs. 25. This fee is applicable to all the SP IV schemes in Allahabad, Bhadohi and Varanasi. Meter charge is excluded from the connection fee as it has been decided that no meter will be installed henceforth.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

2. A flat rate of water tariff at the rate of Rs. 20.50 per month has been introduced. And, hence, the billing system as per the water metre reading has been abolished. No metre fee is thus going to be charged and no metre will thus be provided for the new private connection in all the three districts as mentioned in point no. 1 above.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

3. A decision was taken to revise all the estimates of the SP IV schemes in the three districts on the basis of survey/inventory carried out recently.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

4. A decision was taken not to install any new handpumps in the SP IV scheme villages since April 15, 1996 onwards.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

5. While appraising the above decision (No. 4) it was decided that only in those hamlets handpumps will be installed where concentration of poorer section of population is more and thereby potential for private connection promotion is non existing. Total number of handpumps to be installed thus becomes 25% of the remaining of the total proposed handpumps in the original estimate.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on August 19, 1996 at PSU Foundation Project Office in Varanasi.

6. A decision was taken to convert PTSPs into private connection as it is very difficult to dismantle them.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

7. In case there exists potential for private connections, proposal for extension and duplication of pipeline be included in the revised estimate.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

8. In case of high potential of private connections extra pipeline which is not included in original estimate may be incorporated in the revised estimate. However, only more than 10 m. length from consumer house should be included in the estimate as it is understood that the consumer will bear the cost of connecting line up to 10 m. from his house to the main line.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

9. The revised estimate must cover full details of OHT, tubewell, building etc. indicating their present condition and left over works as well as the cost estimate of the later.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

10. The revised estimate should include one year O&M cost in the annexure.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

11. Unit estimate of leak repair must be annexed in the estimate according to the type of pipe (viz. PVC/AC/CI and diameter wise). For PVC dia sizes are 32 mm, 50 mm, 63 mm, 90 mm, 110 mm and 160 mm, for AC, 125 mm and 200 mm; and for CI 200 mm to 300 mm. Number of leakages should be calculated as two-third of total number of leakages observed so far.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

12. For gaps cost should be taken as laying of pipeline in the gap plus connection charges.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

13. Left over pipeline of the original estimate are to be included in the revised estimate.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

14. Provision for problematic pipeline (damaged permanently or otherwise) is to be included in the revised estimate along with protection work as necessary.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

15. Items of OHT, Chlorinator, Tubewell and Pumping Plant, Pump House, Rising Main, condition of staff quarter, along with provision for general T&P have been decided. This is indicated in point nos. 12-18 in the joint meeting minute of April 15, 1996 annexed herewith.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

16. An outline for O&M cost estimate for the pilot schemes has been decided. This is indicated in the joint meeting minute of April 15, 1996 annexed herewith.

This decision was taken at a joint meeting of PSU Foundation and UP Jal Nigam held on April 15, 1996 at PSU Foundation Project Office in Varanasi. The meeting was attended by Chief Engineer (Dutch), Mr. Y. N. Chaturvedi.

17. It has been decided that revenue mobilised from a particular scheme will be flown back to the same scheme for undertaking repair of existing leakages in the pipeline.

This decision was taken at a joint meeting of PSU Foundation and UPJN held on May 22, 1996 at the VII circle office of UPJN in Varanasi.

18. It has been decided that a minimum of 2 hours of water supply at a time from the OHT should be made.

This decision was taken at a joint meeting of PSU Foundation and UPJN held on July 3, 1996 at the VII circle office of UPJN in Varanasi.

19. For the sake of viability of the separate O&M division, which need to be created for the pilot schemes of SP IV as per the recommendation of RSM-36, all the schemes under SP IV including Tikari water supply scheme in Varanasi must be included in the pilot programme.

This decision was taken at a joint IDC review meeting of PSU Foundation and UPJN held on July 29, 1996 at the PSU Foundation Office in Lucknow. The meeting was attended by the chairman of UPJN, Mr. V.N. Channa and Chief Engineer (Dutch), Mr. Y.N. Chaturvedi.

20. Installment mode of payment for connection charge has been introduced to promote private connections among the economically weaker sections of the population. In three monthly installment connection charge is now payable where the first installment is Rs. 200, the second Rs. 220 and the third Rs. 210. In the last two installments monthly water tariff is also included.

21. A new form for application for water connection have been introduced which indicates the installment mode of payment as mentioned in point no. 20 above. A copy each of this form is to be kept with UPJN, PSU Foundation, *gram pradhan*/SLC and the consumer.

22. A certificate, countersigned by *gram pradhan* and Assistant Engineer of UPJN, has been introduced for providing community labour in repair of gaps and leakages.

• ***The following matters are awaiting policy decisions at the next joint review meeting of UPJN and PSU Foundation :***

1. For the simplification of revenue collection procedure pass book system need to be introduced. The pass book will be lying with the consumer and will indicate the payment made along with revenue arrear, if any.
2. In order to promote private connection among the economically weaker sections of the population, group connection facility need to be introduced. A policy decision need to be taken regarding the mode and amount of water tariff to be collected from a single consumer of a group and also, the upper limit of a group size.

ANNEX G
FINANCIAL STATEMENTS
PROJECT V - A/Interim

ANNEX G

FINANCIAL STATEMENTS PROJECT V - PHASE A/INTERIM

Attached statements:

- A. Funds available with UP Jal Nigam and expenditure incurred under Phase A and Interim Phase**, including Annexure-1 (Funds received by U.P. Jal Nigam from State Government under Sub-Project V) and Annexure-2 (Funds released by U.P Jal Nigam to different agencies under Sub-Project V).

Two corrections to this statement must be made:

- The release of funds mentioned under Sn. B-6 (Annexure-2) of Rs. 5.4 lacs is part of a release of Rs. 7 lacs from the Royal Netherlands Embassy (Ref. 497/22/Accounts/SPV) which was in fact earmarked for Project VI:
 - an amount of Rs. 1.60 lacs was used by Jal Nigam for training and orientation workshops under Project VI;
 - the remainder of Rs. 5.4 lacs was used by PSU as seed money for the implementation of the community participation component under Project VI. This amount is accounted for by PSU Foundation under Project VI;
- Out of the release of Rs. 0.45 lacs mentioned under Sn. B-10 a (Annexure-2) three payments @ Rs. 4,000 were made to Social Scientists under Project VI. Again these amounts are accounted for under that Project.

The total correction for PSU Foundation therefore amounts to Rs. 5.4 lacs + Rs. 0.12 lacs, or: Rs. 552,000 in total.

- B. Details of funds transferred to PSU under rural sanitation programme (Sub-Project V) by UPJN/RNE**

- The first 3 payments (8, 15 and 29 November 1989) refer to the (corrected) releases by the Jal Nigam's Training Cell, mentioned above (Sn. 10 a and 10 b, Annexure-2);
- starting with the release of Rs. 150,000 on 6 March 1990, all releases to PSU/PSU Foundation have been done directly by the Embassy.

- C. Details of Utilisation of Funds under SP V upto termination of Phase A & Interim Phase (May 31, 1995)** (utilization of funds by PSU/PSU Foundation)

- C. Details of funds released and received back from UPDESCO**
(summary sheet with copy of statement dated 11-1-95)

- E. Details of funds released and received back from Panchayati Raj Department**
(summary sheet with copy of statement dated 26-5-94)

- E. Statement by SHE (BHU) dated July 17, 1989**

As is mentioned in the main text, no further details are available about releases to BHU prior to the establishment of PSU as an administratively independent body.

**FUNDS AVAILABLE WITH U.P. JAL NIGAM AND EXPENDITURE
INCURRED UNDER PHASE - A and INTERIM PHASE**

PHASE - A

**A. Total Funds received by U.P. Jal Nigam from State Government
(Details annexed : Annexure - 1)**

Sn. 1	Government order No. 2	Date 3	Funds received 4
1	1347/ 9-10-19 s / 87,	31.03.89	20.0000
2	2871/ 9-10-19 s / 87,	21.08.89	52.9850
3	GI 18/ 9-10-19 (s) / 87,	31.03.90	7.0000
4	3509/ 9-10-19 (s) / 87,	20.09.90	34.3200
5	6428/ 9-10-19 (s) / 87,	27.03.91	31.8483
Total			146.1533

**B Funds released by JAL NIGAM to different Departments against above mentioned G.O.s
(Details annexed : Annexure - 2)**

Sn. 1	U.P. Jal Nigam letter no. 2	Date 3	Funds released 4
1	274/Ac-Budget-65/Dutch	08.05.89	19.0000
2	392/Ac-Budget-65/Dutch	17.07.89	3.3250
3	462/Ac-Budget-65/Dutch	04.09.89	4.0344
4	487/Ac-Budget-65/Dutch	14.09.89	10.0000
5	167/Ac-Budget-65/Dutch	31.03.90	5.9560
6	256/Ac-Budget-65/Dutch	18.05.90	5.4000
7	123/Ac-Budget-65/Dutch	13.03.91	7.9770
8	134/Ac-Budget-65/Dutch	21.03.91	1.3230
9	Released by Cash Cell		7.8191
10	Released by Training Cell		0.6000
			65.4345

**C Net funds available with Jal Nigam before direct funding from
Royal Netherlands Embassy , New Delhi, was started (A-B) 80.7188**

**D Direct funds received from Royal Netherlands Embassy for
PHASE - A**

1	Received from Embassy	25.11.91	55.0000	
2	Received from Embassy	27.02.92	50.0000	
3	Received from Embassy	27.02.92	130.1800	
Total				235.1800

**E Total funds available with U.P. Jal Nigam under Phase - A
(80.7188 + 235.1800) 315.8988**

F Expenditure incurred in PHASE - A 273.4796

G Balance funds available from PHASE - A : (E-F) 42.4192

conti. . . .

INTERIM PHASE

H Direct funds received from Royal Netherlands Embassy for INTERIM PHASE

1 Received from Embassy	10.92	83.0000	
2 Received from Embassy	04.11.93	89.8200	
3 Received from Embassy	23.06.94	51.3900	
Total			224.2100

I Expenditure incurred in INTERIM PHASE **222.1634**

J Balance funds available from INTERIM PHASE : (H-I) **2.0466**

K Balance funds available from PHASE - A : (E-F) **42.4192**

L Funds received back from UPDESCO and Panchayat Raj

From Panchayat Raj	7.3969		
From UPDESCO	1.4424		
TOTAL			8.8393

M Net balance funds available from Phase - A and INTERIM Phase. **53.3051**

N Expenditure incurred / adjusted against total balance funds **53.3050**

FUNDS RECEIVED BY U.P. JAL NIGAM FROM STATE GOVERNMENT under SUB PROJECT - V

Sn.	Government order No.	Date	Funds to be allotted to different Departments, as per G.O.s										TOTAL	
			Jal Nigam	PSU / UPDESCO			D.W.C.R.A.				BHU	Panchayat Raj		Total Col. 4 to 7
				PSU	updesco	Total	RD & AR	ADM(D)	DWCRA	Total				
1	2	3	4 a	4 b	4 c	5 a	5 b	5 c	5 d	6	7	8	9	
A. Funds received by U.P. Jal Nigam from State Government for Distribution among various departments as per different G.O.s														
1	1347/ 9-10-19 s / 87,	31.03.89	1.0000		6.5010				2.9990	1.5000	8.0000	19.0000	20.0000	
2	2871/ 9-10-19 s / 87,	21.08.89	3.4670		9.1530					3.3250	37.0400	49.5180	52.9850	
3	GI 18/ 9-10-19 (s) / 87	31.03.90	1.6000		5.4000							5.4000	7.0000	
4	3509/ 9-10-19 (s) / 87	20.09.90	25.0200		3.7730			1.3230	4.2040			9.3000	34.3200	
5	6428/ 9-10-19 (s) / 87	27.03.91	25.0000		6.8483							6.8483	31.8483	
			56.0870		31.6753			4.3220	9.0290	45.0400		90.0663	146.1533	

FUNDS RELEASED BY U.P. JAL NIGAM TO DIFFERENT AGENCIES under SUB PROJECT - V

Sn.	U.P. Jal Nigam letter No.	Date	Funds to be allotted to different Departments, as per G.O.s										TOTAL	
			PSU / UPDESCO			D.W.C.R.A.				BHU	Panchayat Raj	Total Col. 4 to 7		
			PSU	updesco	Total	RD & AR	ADM(D)	DWCRA	Total					
1	2	3	4 a	4 b	4 c	5 a	5 b	5 c	5 d	6	7	8	9	
B Funds actually released by JAL NIGAM different Departments against above mentioned G.O.s														
1	274/Ac-Budget-65/Dutch	08.05.89		6.5010	6.5010				2.9990	2.9990	1.5000	8.0000	19.0000	19.0000
2	392/Ac-Budget-65/Dutch	17.07.89			0.0000					0.0000	3.3250		3.3250	3.3250
3	462/Ac-Budget-65/Dutch	04.09.89			0.0000	2.2712	0.3800			2.6512	1.3832	4.0344	4.0344	
4	487/Ac-Budget-65/Dutch	14.09.89		10.0000	10.0000					0.0000		10.0000	10.0000	
5	167/Ac-Budget-65/Dutch	31.03.90	5.9560		5.9560					0.0000		5.9560	5.9560	
6	256/Ac-Budget-65/Dutch	18.05.90	5.4000		5.4000					0.0000		5.4000	5.4000	
7	123/Ac-Budget-65/Dutch	13.03.91	3.7730		3.7730					0.0000	4.2040	7.9770	7.9770	
8	134/Ac-Budget-65/Dutch	21.03.91			0.0000			1.3230	1.3230			1.3230	1.3230	
9	Released by Cash Cell	8.12.89 & 6.2.90	3.6000		3.6000					4.2191		7.8191	7.8191	
10 a	Released by Train. Cell	15.11.89	0.4500		0.4500							0.4500	0.4500	
10 b	Released by Train. Cell	28.11.89	0.1500		0.1500							0.1500	0.1500	
			19.3290	16.5010	35.8300	2.2712	0.3800	4.3220	6.9732	14.6313	8.0000	65.4345	65.4345	

Details of funds transferred to PSU under rural sanitation programme (Sub Project V) by UPJN/RNE

A - For period of project prior to Phase 'A'

Date	Amount	Letter reference
08.11.89	8,000.00	PSU's letter no. 328/22/Accts/SP V dtd. 8.11.89
15.11.89	25,000.00	PSU's letter no. 329/22/Accts/SP V dtd. 15.11.89
29.11.89	15,000.00	PSU's letter no. 342/2/Main/Ph. Co dtd. 27.11.89
11.12.89	60,000.00	PSU's letter no. 351/22/Accts/SP V dtd. 02.12.89
12.12.89	100,000.00	PSU's letter no. 122/22/Accts/SP V dtd. 21.12.89 (Chetna)
10.01.90	100,000.00	PSU's letter no. 406/22/Accts/SP V dtd. 05.01.90
06.02.90	100,000.00	PSU's letter no. 443/22/Accts/SP V dtd. 30.01.90
30.03.90	595,600.00	PSU's letter no. 516/22/Accts/SP V dtd. 24.03.90 (out of Rs 10.036 lacs (-) Rs 4.08 recalculated as loan above)
22.03.91	377,300.00	DUD's letter no. 1746(1)/9-5-91AS/87 (amount released from Rs 66.1683 lacs)
06.03.90	150,000.00	RNE's letter no. 2119/jas/vs dtd. 26.02.90
13.03.90	200,000.00	RNE's letter no. 2567/jas/vs. dtd. 09.03.90
13.07.90	500,000.00	RNE's letter no. nde/6944/rws/upv dtd. 11.07.90
10.08.90	3,500,000.00	RNE's letter no. 7897/rws/upv dtd. 08.08.90 (funds transferred directly to PSU account by T/T)
15.03.91	2,000,000.00	RNE's letter no. 1912/rws/up v & vi dtd. 19.03.91 (funds transferred directly to PSU account by T/T)
Total A	7,730,900.00	

B - For Phase A

Date	Amount	Letter reference
11.11.91	3,217,445.00	RNE's letter no. 12256/rws/up V dtd. 07/11/91
02.12.91	3,217,445.00	RNE's letter no. 13049/rws/up V dtd. 02/12/91
07.05.92	3,000,000.00	RNE's letter no. 4631/psu/up dtd. 05/05/92
28.01.93	3,209,500.00	RNE's letter no. 1184/pf/ep dtd. 20/01/93
02.08.94	1,654,000.00	RNE's letter no. 14212/rws/up V dtd. 28/07/94
Total B	14,298,390.00	

C - For Interim Phase

Date	Amount	Letter reference
10.11.93	6,568,000.00	RNE's letter no. 8551/rws/up dtd. 08/11/93
03.08.94	1,878,000.00	RNE's letter no. 14068/rws/up dtd. 27/07/94
Total C	8,446,000.00	
Total (A+B+C)	30,475,290.00	

Details of Utilisation of Funds under SP V upto termination of Phase A & Interim Phase (May 31,1995)

Financial Year / Details	Amount (in Rs.)
1989-90	533,468.33
1990-91	3,365,042.90
1991-92	5,855,342.21
1992-93	6,021,877.03
1993-94	6,646,202.47
Adjustment of written - down values of Fixed Assets	3,184,059.00
1994-95	3,526,672.87
1995-96	1,038,800.00
	30,171,464.81
Transfer to PSUF Corpus (April - May '95)	
Staff Benefit Fund	120,000.00
General Corpus (Nov. 09'93 - May 31'1995)	<u>179,903.30</u>
	299,903.30
	30,471,368.11
Funds Received (Details are enclosed in Annexure A)	30,475,290.00
Net Fund Balance (as on 31.05.95)	3,921.89

SUB PROJECT - V

Details of Fund released and received back from UPDESCO

A	Funds recieved by UPDESCO	
1	From Royal Netherlands Embassy, on 25.04.88	520,000.00
2	From U.P. Jal Nigam	
	Vide latter no. 274/AC-Budget-65/Dutch, dated 08.05.89	650,100.00
	Vide latter no. 487AC-Budget-65/Dutch, dated 14.09.89	1,000,000.00
		<u>1,650,100.00</u>
3	Total funds recieved	<u>2,170,100.00</u>
B	Expenditure incurred and Utilisation Certificate given by UPDESCO	2,025,862.19
C	Balance funds with UPDESCO returned to Jal Nigam (A - B)	144,237.81
D	Balance funds received by Jal Nigam vide	
	Cheque No. 170205, dated 11.01.95	144,237.81

updesco

उत्तर प्रदेश डेवलपमेंट सिस्टम्स कारपोरेशन लिमिटेड

९, सरोजिनी नायडू मार्ग, लखनऊ-226 001 (उ० प्र० सरकार का उपक्रम)
Uttar Pradesh Development Systems Corporation Limite
9. Sarojini Naidu Marg, Lucknow-226 001 (U. P. Govt. Undertaking)

संदर्भ सं० /Ref. No. 0591

दिनांक/Date 11/11/95

सेवा में,

199
12/11/95

प्रबन्ध निदेशक,
उ०प्र० जल निगम,
6, राणा प्रताप मार्ग,
लखनऊ।

महोदय,

कृपया सचिव, नगर विकास विभाग भुंगालेल, उ०प्र० शासन,
अ०शासकीय पत्र सं० ए 10 टो/सोजोर/9-2-95 दिनांक 5 जनवरी,
का संदर्भ ग्रहण करना चाहें।

निगम को उपलब्ध कराये गयी धनराशियों से सम्बन्धित उपयोग
प्रमाण पत्र तथा अवशेष धनराशि रू० 1,44,237=81 कृपया एक लाख चौद
लित हजार दो सौ तैतीस एवं इक्यातीस पैसे मात्र आपको भेजरे जा रही
कृपया स्वीकृति प्राप्त करें।

आवेदन सं० ए 10 टो/सोजोर/9-2-95
रू० 1,44,237=81 धनराशि
आवेदन सं० ए 10 टो/सोजोर/9-2-95

भवदीय,

11/11/95

श्री प्रेम नारायण
महा प्रबन्धक, उ०प्र० शासन

प्रतिलिपि:

सचिव, नगर विकास विभाग भुंगालेल, उ०प्र० शासन, लखनऊ के
सूचनार्थ प्रेषित।

COAC

कृपया नि०
11/11/95

भवदीय,

श्री प्रेम नारायण
महा प्रबन्धक, उ०प्र० शासन

PROGRAMME SUPPORT UNIT (PSU)

BILL

(A) PSU:Sub Project V(expenses + 15%)

<u>Sl.No.</u>	<u>Particulars</u>	<u>Total Amount</u>	
		<u>R.</u>	<u>P.</u>
(1)	<u>Manpower costs:</u>		
	1988-89 - R. 243,050.00		
	1989-90 - R. <u>272,275.00</u>		5,15,325.00
(2)	Petrol, oil and maintenance charges for vehicle @ R.2/- per km for 55000 kms.		1,10,000.00
(3)	<u>Direct expenses (Details enclosed)</u>		
	1988-89 - R. 68,568.93		
	1989-90 - R. <u>1,61,261.33</u>		2,29,830.26
(4)	<u>Capital expenditure(Details enclosed)</u>		
	1988-89 - R.2,35,171.54		
	1989-90 - R. <u>72,216.41</u>		3,07,387.95
(5)	<u>Advance to Dr.Jatin De</u>		16,250.00
	Total 1 to 5		<u>11,78,793.21</u>
(6)	Administrative + other over heads @ 15% of above		1,76,818.98
	Sub Total		<u>13,55,612.19</u>
(7)	Rental charges for the month of March,90		10,250.00
	Total 'A'		<u>13,65,862.19</u>
(B)	Sub Project I Final Evaluation-consultancy fee		4,60,000.00
(C)	Base Line survey sub Project V-consultancy fee		2,00,000.00
(D)	G. Total A + B + C		<u>20,25,862.19</u>
(E)	<u>Total Funds received</u>	Say	20,25,862.20
i)	Netherland 25/4/88 R. 5,20,000.00 Embassy		
ii)	U.P.Jal Nigam 17/4/89 R. 6,50,100.00		
iii)	-do- 18/9/89 R.10,00,000.00		<u>21,70,100.00</u>
	Balance amount to be refunded (E-D)		<u>1,44,237.80</u>

Details of Expenses incurred on account of F.S.U. during
the year 1988-89 and 1989-90 (upto 21.2.90) excluding
salary & Allowances paid to the staff engaged in PSU
(Manpower Costs) and vehicle expenses (Petrol, oil and
maintenance charges etc.)

<u>L.No.</u>	<u>Particulars</u>	<u>1988-89</u>	<u>1989-90 (upto 21.2.90)</u>	<u>Total</u>
<u>A) Revenue Expenditure</u>				
1.	Rent	14009.00	35,000.00	
2.	Printing & Stationery	5427.37	37,418.93	
3.	Photography charges	7652.50	8,381.00	
4.	Wages paid to Km. Shaheen Ishrat & Sri Sanjai Upadhyay	-	6,600.00	
5.	Travelling expenses	4871.70	18,772.35	
6.	Office Upkeep & Maintenance	657.50	7,169.58	
7.	Entertainment expenses	4481.86	6,906.62	
8.	Honorarium	3000.00	-	
9.	General charges	407.50	480.00	
10.	Telephone expenses	1054.00	8,194.00	
11.	Medical expenses	3627.00	62.00	
12.	Staff welfare exps.	95.70	566.50	
13.	Training expenses	19927.00	7,742.15	
14.	Books & Periodicals	-	933.00	
15.	Postage & Telegram	3366.80	1,876.70	
16.	Advertisement & Publicity	-	1,000.00	
17.	Professional charges	-	2,200.00	
18.	Photostat paper issued to PSU	-	17,521.75	
19.	Photostat charges	--	436.75	
	Total R.	<u>68568.93</u>	<u>1,61,261.33</u>	<u>2,29,830.</u>
<u>B) Capital Expenditure</u>				
1.	Installation of telephone under OYT scheme and installation charges thereon	-	16,000.00 1,972.00	
2.	Room Air Conditioner	22948.20	24,996.49	
3.	Personal computer	80300.00	-	
4.	Vehicle purchase	131923.34	-	
5.	Motor Cycle purchase	-	23,312.00	
6.	Refrigerator purchase	-	5,935.92	
		<u>235171.54</u>	<u>72,216.41</u>	<u>3,07,387.95</u>
			Total R.	<u>5,37,218.2</u>
<u>C) Advance to Dr. Jatin De</u>				
			G. Total Rs	<u>5,53,468.2</u>

UTILISATION CERTIFICATE

(A) Govt. of Netherland Embassy
25/4/88- R.5,20,000.00

(B) U.P. Jal Nigam

17.4.89 R.6,50,100.00

16.9.89 R.10,00,000.00

Total R.21,70,100.00

Certified that out of R.21,70,100/- of funds received during the years 1988-89 and 1989-90 by this Corporation given in the margin, a sum of R.2025862.2 has been utilised for the purpose of activities related to Indo-Dutch Rural drinking water and sanitation under Programme Support Unit (P.S.U.) for which it was received and that the balance of R.1,44,237.80 remaining unutilised at the end of the year will be refunded.

(2) Certified that I have satisfied myself that the conditions on which the fund was received have been duly fulfilled and that I have exercised the following checks to see that the money was actually utilised for the purpose for which it was received.

Kinds of check exercised :-

1. Expenses on various heads of expenditure have been incurred on the basis of approval of the competent authorities.
2. For the purpose of activities related to P.S.U., expenses incurred were essential.
3. The accounts for the years 1988-89 and 1989-90 have been audited.

Signature:

Signature
Rajeev Kumar Singh

Designation: Managing Director

Signature
5/7/89

SUB PROJECT - V

Details of Fund released and received back from Panchayat Raj Department

A	1 Funds released by Jal Nigam vide latter no. 274/AC-Budget-65/Dutch, dated 08.05.89	800,000.00
	2 Interest earned by Panchayat Raj department	29,637.99
	3 Total Amount available with Panchayat Raj Dept.	829,637.99
B	Expenditure incurred and Utilisation Certificate given by Panchayat Raj Department and	
	1 Expenditure on Directorate and construction of Latrines.	51,238.86
	2 Construction of household sanitary latrines	38,712.10
	Total Expenditure	89,950.96
C	Balance funds with Panchayat Raj Dept. returned to Jal Nigam	739,687.03
D	Balance funds received by Jal Nigam vide	
	1 Cheque No. 913394, dated 06.05.92	716,371.54
	2 Cheque No. 913395, dated 17.05.94	23,315.49
	Total amount received back by Jal Nigam	739,687.03

जगजीत सिंह
आई. ए. एस.
निदेशक



27/5/94
फोन : कार्यालय 246080
निवास
अर्द्धशापत्र सं० : 5/1008/94-5/3/5/88
पंचायत राज निदेशालय
जवाहर भवन, छठा तल
लखनऊ।

दिनांक 26-5-94

प्रिय महोदय,

कृमया डब सहायित योजना के क्रियान्वयन एवं धनराशि के उपभोग से सम्बन्धित मेरे अर्द्धशासकीय पत्र संख्या: 5/1005/94-5/3/5/88, दिनांक 26-5-94 का तन्दर्भ ग्रहण करें।

उक्त पत्र के अन्तर्गत निम्न प्रकार अवगत कराया गया था:-

१।१	कुल प्राप्त धनराशि	-	8,00,000.00
१.2	अर्जित ब्याज	-	29,637.99
१.3	व्यय की गई धनराशि	-	89,950.96
१.4	अवशेष धनराशि	-	7,39,687.03

इस सम्बन्ध में सूचित करना है कि अवशेष धनराशि 36,712.10 पैसे का उपभोग प्रमाण-पत्र जिला पंचायत राज अधिकारी, रायबरेली द्वारा उपभोग करते हुए भेजा गया है। उपभोग सम्बन्धी प्रमाण-पत्र निर्धारित प्रारूप पर संलग्न कर भेजा जा रहा है।

इस प्रकार इस योजना के अन्तर्गत प्राप्त रू० 8,00,000/- तथा उक्त पर अर्जित सूद रू० 29,637.99, कुल रू० 8,29,637.99 पैसे में से रू० - 89,950.96 पैसे का उपभोग प्रमाण-पत्र तथा रू० 7,39,687.03 पैसे जलीनगन् को वापस किया जा चुका है। इस योजना की अब कोई धनराशि वापस करने अथवा उपभोग प्रमाण-पत्र भेजने को शेष नहीं है।

संलग्न- यथोपीर।

हाथ,

भवनिष्ठ,

जगजीत सिंह

श्री जय प्रकाश,
संयुक्त सचिव,
नगर विकास विभाग, गंगासेल,
उत्तर प्रदेश, शासन, लखनऊ।

FORM NO. 42-1
(See paragraph 269-H)

FORM OF UTILISATION CERTIFICATE

Serial no.letter no-
amount and date

Jal Nigam letter no-
197 dated 15-5-89.

Rs. 8,00,000/- +
Interest accrued
Rs.29,637.99.

Certified that out of Rs. 8,00,000/- of Grant-in-aid sanctioned during the year 89-90 in favour. of Director, Panchayati Raj under this office/Department letter no. given in the margin and Rs. Nil on account of unspent balance of the previous year a sum of Rs, 51,238.86 has been utilised for the purpose noted below for which it was sanctioned and that the balance of Rs. 7,39,687.03 remaining unutilised at the end of the year has been returned to Jal Nigam vide letter no. 3/kha/1516/92-3/5/88 dated 4-6-92 and Rs.23,315.49 vide letter no- 5/975/94-5/315/88 dated 17-5-94.

2- Certified that I have satisfied myself that the conditions on which the grant-in-aid was sanctioned have been duly fulfilled and that I have exercised the following checks to see that the money was actually utilised for the purpose for which it was sanctioned.

Details of expenditure

Nideshalaya

Contingency	18,623.35
Petrol	7,913.70
T.A.	7,189.35
Workshop	6,214.72
	<u>39,941.12 ✓</u>

At D.P.R.O. VARANASI

Construction of Latines.	4,358.54
Stationery	584.20
Training	5,000.00
Petrol	1,355.00
	<u>11,297.74 ✓</u>
G. Total	<u>51,238.86 ✓</u>

Amu
Designation विदेशक
पंचायती राज उत्तर प्रदेश
Date. १५/५/८९

FORM NO. 42-I

(See paragraph 369-1)

FORM OF UTILISATION CERTIFICATES

Sl. No.	Letter No.	Amount and date.	Certified that our of
1-	निदेशक, पंचायत राज उप.सं. 3/387/89-सेठ/89 दिनांक 26.7.89	B/D No. S.M.A.S. 109859 Dt 27.7.89 Rs. 3,51,380.00 U.P. Co-operation Bank Ltd.	3,64,380.00 Grants-in-aid sanctioned during the year-1989-90- in favour of Dutch Scheme under this office department letter No. given in the margin and Rs. 3,64,380- (Three Lacs Sixty four thousand three hundred Eighty) a sum of Rs. - 3,51,380.00 only - has been utilised for the purpose of Household Sanitary latrines of P.O.L for which it was sanctioned and that the balance of Rs- 3,25,667.20 only remaining utilized at the end of the year has been surrendered to Govt. vide B/D No. J.L/A/12-557964 dated - 1-10-91 - - - will be adjusted towards the grants in aid payable during the next year -X- - - -
2-	निदेशक, पंचायत राज उप.सं. - लखनऊ पं.सं. 3/603/1/89-सेठ/89 दिनांक 2-11-89	B/D No. S.M.A.S. 112014 Dt 19.10.89 Rs. 13,000.00 U.P. Co-operation Bank Ltd.	
<u>Total. 3,64,380.00</u>			

2- Certified that I have satisfied myself that the conditions on which the grants in-aid was sanctioned have been fully fulfilled are being fulfilled and that I have exercised the following ~~the~~ cheques to see that the money was actually utilised for the purpose for which it was sanctioned.

- Kind of chequ exercised:--
- 1- B/D No. S.M.A.S. 109859 Dt 27/89 - 3,51,380
 - 2- B/D No. S.M.A.S. 112014 Dt 19/89 - 13,000
 - 3- Total-3,64,380
 - 4-

Signature
निदेशक, पंचायत राज
एनए प्रदेस, लखनऊ

Signature
Designation
District Panchayat Raj Officer
Rae Bareilly

25 JUL 1989



SHE

SANITATION AND HEALTH EDUCATION-TIKRI

CENTRE FOR WOMEN'S STUDIES AND DEVELOPMENT
FACULTY OF SOCIAL SCIENCES, BANARAS HINDU UNIVERSITY, VARANASI - 221005 TEL : 54291-9/EXT. 373

Ref. SHE/88-89/P-3030/

Date July 17, 1989.

Dr. Surinder Jetley,
Coordinator.

The Dy. Registrar (Dev.),
Banaras Hindu University

SUB: Sanitation & Health Education, Tikri.

Sir,

I am submitting herewith a statement of account showing the total receipt of funds by BHU from the funding agency and amount received by us for payments from BHU from January to June '89. Since the Nodal department (Urban Development) has informed that the funds are being received shortly, I would request the University to sanction the advance as well as make payments for the order placed for a Photocopier.

Thanking you,

Yours sincerely,

(Surinder Jetley)

CC. to :

- 1). The Dy. Registrar
(Accounts), BHU.
- 2). Dr. J. De,
SPA,
Programme Support
Unit, UPDESCO,
LUCKNOW.


(Surinder Jetley)

Annex B concluded

25 JUL 1989

Rural Sanitation and
Health Education-Tikri
B.H.U.; Varanasi.

Statement showing Receipt and Payment A/c
for the period January to June '89

RECEIPT

- | | |
|--|-------------|
| 1. Fund Received by B.H.U.
through UPDESCO vide
Bank Draft No. TL/A-104329
/76/83 dated 30.11.86. ... | R. 2,56,400 |
| 2. Fund received through
U.P. Jalnigam vide
Bank draft No. NLV/051676
dated 13-4-89. .. | 1,50,000 |

PAYMENT

(Received from B.H.U.)

R.

- | | |
|---|-----------------|
| A. <u>Recurring Cost</u> | |
| 1. Secretarial Support/Contingency
(Salary) .. | 11,745 |
| (Telephone) .. | 8,000 |
| 2. Salaries Field Staff. .. | 75,504 |
| 3. Transportation. | |
| 4.1. Fuel/Maintenance (PLO) .. | 5,000 |
| 4.2. Travel (Insurance of Vehicle) .. | 4,309 |
| 5. Honorarium Coordinator. .. | 9,000 |
| 6. Village/Project Workshop .. | 5,000 |
| 7. Training and Orientation .. | 10,000 |
| | <u>1,28,559</u> |

ANNEX H
QUARTERLY PROGRESS REPORT
PROJECT V-B

DUTCH AIDED RURAL SANITATION PROGRAMME

[1]

SUB-PROJECT - V (Phase-B)

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD- JULY. - SEPT. 96
LAST REPORTING PERIOD- APR. - JUNE. 96

The Sub-Project -V (Phase - B) covering 2 Schemes of District VARANASI and RAEBARELI was approved by the DUTCH Authorities in July ,1994. The Phase - A and the Interim Phase of the Sub Project have been completed. The Basic assumptions and parameters for these 2 Schemes are tabulated below :-

(Amount in Rs. Lacs)

SN.	ITEMS	VARANASI	RAEBARELI	TOTAL
1.	No. of Schemes	1	1	2
2.	Villages covered			
	Total No. of Villages to be covered	27	19	46
	Villages to be covered under Phase - B	16	7	23
3.	School Sanitary Latrines and related works.			
	(i) No. of Schools to be coverd	27	21	48
	(a) Government Schools	20	20	40
	(b) Private Schools	7	1	8
	(ii) No. of School Sanitary Latrines under Phase - B			
	(a) Two Seaters	7	15	22
	(b) Four Seaters	-	-	-
	(c) Total	7	15	22
	(iii) No. of Tank Type Stand Posts	2	9	11
	(iv) Total Length of Pipeline from Main Line to TTSPs (in metres)	150	475	625
4.	HouseHold Sanitary Latrines			
	(i) No. of Total HouseHold Sanitary Latrines under (Phase - A ,Interim Phase and Phase - B)	9248	4620	13868
	(ii) No. of HouseHold Sanitary Latrines - Phase - B	5202	1714	6916
	(iii) Revised for adjustment of balance available funds under Phase -A and Interim Phase	4687	1413	6100
5.	Cost of Estimate (Rs. Lacs)			
	(i) Original			
	(a) S S L	9.900	5.210	15.110
	(b) H S L	454.790	229.710	684.500
	(c) Total	464.690	234.920	699.610
	(ii) Revision			
	(a) S S L	15.170	8.720	23.890
	(b) H S L	454.790	229.710	684.500
	(c) Total	469.960	238.430	708.390
	(iii) Latest Revision (PHASE -B)			
	(a) S S L	3.897	8.896	12.793
	(b) H S L	378.431	135.797	514.228
	(c) Total	382.328	144.693	527.021
	(iii) Revised for adjustment of balance available funds under Phase -A and Interim Phase			
	(a) S S L	3.897	8.896	12.793
	(b) H S L	345.940	114.983	460.923
	(c) Total	349.837	123.879	473.716
6 a.	Budget Provision for the Year 1996-97	175.492	60.229	225.721
6 b	HSLs to be constructed in the year 1996-97	2158	533	2691
6 c	SSLs to be constructed in the year 1996-97	7	10	17
7.	Expected complition and commissioning of the Scheme.			
	(a) PHASE -B	9/97	9/97	9/97
	(b) TOTAL SCHEME	9/97	9/97	9/97

Note :- Hygiene Awareness Programme to create awareness amongst the people is being implemented by other agency i.e. PSU Foundation.

DUTCH AIDED RURAL SANITATION PROGRAMME

SUB-PROJECT - V (Phase-B)

QUARTERLY PROGRESS REPORT

[2]

A - FINANCIAL PROGRESS REPORT

(in Rs. Lacs)

**CURRENT REPORTING PERIOD-
LAST REPORTING PERIOD-**

**JULY. - SEPT. 96
APR. - JUNE. 96**

Name of District	Revised Estimated Cost of works proposed	Expenditure upto the end of Year 1995-96	Expenditure during the Year 1996-97				Total Expenditure since beginning up to SEPT. 96	Utilisation submitted since beginning
			During the Quarter under Report		Upto the Quarter under Report			
			Target	Actual	Target	Actual		
1	2	3	4	5	6	7	8	9
I- SCHOOL SANITARY LATRINES								
VARANASI	(3.897-0.000) =3.897	0.700	0.579	0.000	2.027	0.000	0.700	
RAEBARELI	(8.896-0.000) =8.896	1.900	1.448	0.000	2.895	0.000	1.900	
TOTAL	(12.793-0.000) =12.793	2.600	2.027	0.000	4.922	0.000	2.600	
II- HOUSE HOLD SANITARY LATRINES								
VARANASI	(378.431-32.491) 345.940	116.610	23.190	33.200	56.352	55.420	172.030	
RAEBARELI	(135.797-20.814) 114.983	71.160	4.808	17.050	19.268	30.140	101.300	
TOTAL	(514.228-53.305) 460.923	187.770	27.998	50.250	75.620	85.560	273.330	
III- TOTAL HOUSEHOLD AND SCHOOL SANITARY LATRINES								
VARANASI	(382.328-32.491) 349.837	117.310	23.769	33.200	58.379	55.420	172.730	
RAEBARELI	(144.693-20.814) 123.879	73.060	6.256	17.050	22.163	30.140	103.200	
GRAND TOTAL	(527.021-53.305) 473.716	190.370	30.025	50.250	80.542	85.560	275.930	190.370

Note :- Expenditure during 1995-96, has been adjusted due to transfer of HSLs from Phase - B to Interim Phase , against balance funds available from Phase -A and Interim phase.

DUTCH AIDED RURAL SANITATION PROGRAMME

SUB-PROJECT - V (Phase- B)

QUARTERLY PROGRESS REPORT

[3]

B - P H Y S I C A L P R O G R E S S R E P O R T

CURRENT REPORTING PERIOD- JULY. - SEPT. 96
LAST REPORTING PERIOD- APR. - JUNE. 96

I - SCHOOL SANITARY LATRINES

SN.	DISTRICT	Name of Scheme	No. of Villages	No. of Schools		ITEMS	Achievement upto March,96	During the Year 1996-97				Achievement upto SEPT. 96
				Total	Phase-B			During Quarter		Upto Quarter		
								Tar	Ach.	Tar	Ach.	
1	2	3	4	5	6	7	8	9	11	12	13	14
1	VARANASI	Tikri W/S Scheme	27	27	7	No. of Schools No. of SSLs No. of TTSPs Pipe Line (m)	2 2 0 0	2 2 0 0	4 4 0 0	7 7 0 0	4 4 0 0	6 6 0 0
2	RAEBARELI	Thulendi W/S Scheme	19	21	15	No. of Schools No. of SSLs No. of TTSPs Pipe Line (m)	8 8 0 0	5 5 0 0	2 2 0 0	10 10 0 0	2 2 0 0	10 10 0 0
TOTAL			46	48	22	No. of Schools No. of SSLs No. of TTSPs Pipe Line (m)	10 10 0 0	7 7 0 0	6 6 0 0	17 17 0 0	6 6 0 0	16 16 0 0

II - HOUSE HOLD SANITARY LATRINES

SN.	DISTRICT	Name of Scheme	No. of Villages		No. of Household Latrines		Achievement upto March,96	During the Year 1996-97				Achievement upto SEPT. 96
			Total	Phase-B	Total	Phase-B		During Quarter		Upto Quarter		
								Tar	Ach.	Tar	Ach.	
1	2	3	4	5	6	7	8	9	11	12	13	14
1	VARANASI	Tikri W/S Scheme	27	16	9248	(5202-515) =4687	(980-515) =2529	600	523	1458	1088	3617
2	RAEBARELI	Thulendi W/S Scheme	19	7	4620	(1714-301) =1413	(384-301) =880	133	151	533	360	1240
TOTAL			46	23	13868	(6916-816) =6100	(1364-816) 3409	733	674	1991	1448	4857

Note :- 816 HSLs out of 1364 HSLs constructed up to March, 95 have been transferred to Interim Phase (against balance funds available), as per suggestion of Indo-Dutch Mission (UP-35)

ANNEX I
QUARTERLY PROGRESS REPORT
PROJECT VI

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

SUB PROJECT - VI

[3]

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: July. - Sept. 1996
LAST REPORTING PERIOD: Aprl. - June. 1996

C - PHYSICAL AND FINANCIAL PROGRESS DURING THE REPORTING QUARTER

SN	DISTRICT	NUMBER OF HANDPUMPS					EXPENDITURE							
		Target	Status up		Status at		Total Budget	Status up to start of this period	During Period		Status at the end of this period	Expenditure upto end of Reporting Period		
			to start of this period	of Reporting		of this period			Target	Achie.			Target	Achie.
				(No)	(%)									
3	4	5	6	7	8	9	10	11	12	13				
1	LAKHIMPUR	7567	95.5%	66	228	98.5%	1415.189	93.8%	12.000	42.095	96.7%	1368.916		
2	BAHRAICH	3670	100.0%	0	0	100.0%	529.960	100.0%	4.000	0.000	100.0%	529.960		
3	GONDA	3230	100.0%	0	0	100.0%	501.070	100.0%	4.000	0.000	100.0%	501.070		
4	BASTI	683	100.0%	0	0	100.0%	166.870	96.7%	2.000	0.000	96.7%	161.400		
5	BALLIA	2005	100.0%	0	0	100.0%	288.940	100.0%	2.000	0.000	100.0%	288.940		
6	SIDHARTHANAGAR	637	100.0%	0	0	100.0%	156.480	100.6%	1.000	0.000	100.6%	157.424		
TOTAL		17792	98.1%	66	228	99.4%	3058.509	97.0%	25.000	42.095	98.3%	3007.710		

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

[4]

SUB PROJECT - VI

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: July. - Sept. 1996
LAST REPORTING PERIOD: Aprl. - June. 1996

D - PHYSICAL PROGRESS UPTO THE END OF REPORTING QUARTER

SN.	DISRICT	TEHSIL	TARGET					ACHIEVEMENT					PERCENTAGE		
			VILLS.	HANDPUMPS			VILLS.	HANDPUMPS			SWS	OTHER	TOTAL		
				SWS	Pub.Pla.	OTHER		TOTAL	SWS	Pub.Pla.				OTHER	TOTAL
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
1	Lakhimpur	Dhaurahra	193	349	2	1278	1629	193	423	2	1196	1621	121.2%	93.6%	99.5%
		Lakhimpur	465	444	9	1956	2409	464	652	9	1722	2383	146.8%	88.0%	98.9%
		Mohammadi	158	248	2	856	1106	158	318	2	785	1105	128.2%	91.7%	99.9%
		Nighasan	60	170	6	225	401	60	154	6	235	395	90.6%	104.4%	98.5%
		Gola	305	580	1	1441	2022	305	567	1	1382	1950	97.8%	95.9%	96.4%
Total			1181	1791	20	5756	7567	1180	2114	20	5320	7454	118.0%	92.4%	98.5%
2	Bahraich	Nanpara	75	268	136	800	1204	75	303	136	738	1177	113.1%	92.3%	97.8%
		Kaisarganj	94	228	127	738	1093	94	197	127	839	1163	86.4%	113.7%	106.4%
		Bahraich	70	153	113	598	864	78	225	113	494	832	147.1%	82.6%	96.3%
		Bhinga	47	149	51	309	509	39	148	51	299	498	99.3%	96.8%	97.8%
Total			286	798	427	2445	3670	286	873	427	2370	3670	109.4%	96.9%	100.0%
3	Gonda	Gonda	62	212	9	372	593	62	154	9	439	602	72.6%	118.0%	101.5%
		Tarabganj	71	350	11	657	1018	71	335	11	672	1018	95.7%	102.3%	100.0%
		Utraula	123	308	10	774	1092	123	282	10	783	1075	91.6%	101.2%	98.4%
		Balrampur	52	201	0	326	527	52	150	0	385	535	74.6%	118.1%	101.5%
Total			308	1071	30	2129	3230	308	921	30	2279	3230	86.0%	107.0%	100.0%

Conti....

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

[5]

SUB PROJECT - VI

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: July. - Sept. 1996
LAST REPORTING PERIOD: April. - June. 1996

D - PHYSICAL PROGRESS UPTO THE END OF REPORTING QUARTER

SN.	DISRICT	TEHSIL	TARGET					ACHIEVEMENT					PERCENTAGE		
			VILLS.	HANDPUMPS			TOTAL	VILLS.	HANDPUMPS			TOTAL	SWS	OTHER	TOTAL
				SWS	Pub.Pla.	OTHER			SWS	Pub.Pla.	OTHER				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
4 Basti		Hariya	77	47	6	251	304	77	47	6	251	304	100.0%	100.0%	100.0%
		Basti	79	46	1	213	260	79	46	1	213	260	100.0%	100.0%	100.0%
		Khalilabad	33	21	2	96	119	33	21	2	96	119	100.0%	100.0%	100.0%
		Total	189	114	9	560	683	189	114	9	560	683	100.0%	100.0%	100.0%
5 Ballia		Ballia	59	117	0	746	863	59	117	0	746	863	100.0%	100.0%	100.0%
		Rasra	109	143	0	708	851	109	143	0	708	851	100.0%	100.0%	100.0%
		Bansdih	57	34	0	257	291	57	34	0	257	291	100.0%	100.0%	100.0%
		Total	225	294	0	1711	2005	225	294	0	1711	2005	100.0%	100.0%	100.0%
6 Siddarthnagar		Naugarh	52	22	3	185	210	56	24	3	201	228	109.1%	110.3%	108.6%
		Bansi	44	34	0	160	194	44	33	0	158	191	97.1%	98.8%	98.5%
		Dumriyaganj	47	24	0	209	233	47	23	0	195	218	95.8%	93.3%	93.6%
		Total	143	80	3	554	637	147	80	3	554	637	100.0%	100.5%	100.0%
GRAND TOTAL			2332	4148	489	13155	17792	2335	4396	489	12794	17679	106.0%	97.3%	99.4%

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

[6]

SUB PROJECT - VI

QUARTERLY PROGRESS REPORT

E-REIMBURSEMENT CLAIMS

CURRENT REPORTING PERIOD:
LAST REPORTING PERIOD:

July. - Sept. 1996
Aprl. - June. 1996

REIMBURSEMENT CLAIMS SUBMITTED OVER REPORTING PERIOD

SN.	DISTRICT	CLAIMS SUBMITTED UPTO START OF THE REPORTING QUARTER	CLAIMS SUBMITTED FOR THE QUARTER ENDING 09/96	CLAIMS SUBMITTED UPTO END OF THE REPORTING QUARTER
1	2	3	4	5
1	LAKHIMPUR	Rs. 132,781,600.00	Rs. 0.00	Rs. 132,781,600.00
2	BAHRAICH	Rs. 52,995,999.50	Rs. 0.00	Rs. 52,995,999.50
3	GONDA	Rs. 50,107,000.00	Rs. 0.00	Rs. 50,107,000.00
4	BASTI	Rs. 13,882,170.35	Rs. 0.00	Rs. 13,882,170.35
5	BALLIA	Rs. 28,894,000.00	Rs. 0.00	Rs. 28,894,000.00
6	SIDHARTHANAGAR	Rs. 15,742,436.62	Rs. 0.00	Rs. 15,742,436.62
TOTAL		Rs. 294,403,206.47	Rs. 0.00	Rs. 294,403,206.47

POSITION OF UPTODATE REIMBURSEMENT CLAIMS

CLAIM NO.	PERIOD COVERED BY CLAIMS (UPTO)	AMOUNT OF CLAIM (Rs.)	CUMMULATIVE CLAIMS (Rs.)	SUBMITTED TO GOVT. OF INDIA ON DATE
1	2	3	4	5
20	31.03.94 (UP TO MARCH, 1994)	Rs. 6,101,000.00	Rs. 247,314,824.50	02.05.94
21	30.06.94	Rs. 1,659,000.00	Rs. 248,973,824.50	05.08.94
22	30.09.94	Rs. 6,909,927.71	Rs. 255,883,752.21	01.11.94
23	30.12.94	Rs. 5,945,617.58	Rs. 261,829,369.79	00 . 0 . 95
24	30.03.95	Rs. 11,021,000.00	Rs. 272,850,369.79	22.05.95
25	30.06.95	Rs. 6,597,000.00	Rs. 279,447,369.79	29.07.95
26	30.09.95	Rs. 4,255,200.00	Rs. 283,702,569.79	11.12.95
27	31.12.95	Rs. 6,692,436.68	Rs. 290,395,006.47	11.03.96
28	31.03.96	Rs. 4,008,200.00	Rs. 294,403,206.47	00 .07.96

During Current Year

QUICK AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

[7]

SUB PROJECT - VI

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: July. - Sept. 1996
LAST REPORTING PERIOD: April. - June. 1996

F - DETAILS OF CONTRACT BONDS AWARDED / UNDER EXECUTION DURING THE REPORTING PERIOD

Sn.	Name of the Scheme	Brief description of the work for which Contract is awarded	Value of Contract (in Rs. Lacs)	Name of Contractor	Date of Start	Likely Date of Completion	Present Status of Works included in the contract	REMARK
1	2	3	4	5	6	7	8	9

A. Contract Bonds of Value - More than Rs. 100,000.00

1	LAKHIMPUR	
2	BAHRAICH	N I L
3	GONDA	N I L
4	BASTI	N I L
5	BALLIA	N I L
6	SIDHARTHANAGAR	N I L

B. Contract Bonds of Value - More than Rs. 50,000.00

1	LAKHIMPUR	N I L
2	BAHRAICH	N I L
3	GONDA	N I L
4	BASTI	N I L
5	BALLIA	N I L
6	SIDHARTHANAGAR	N I L

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

[8]

SUB PROJECT - VI

Reporting Month :- *September* 1996

PROGRESS OF BUILDING WORKS

SN. 1	DISTRICT 2	BUILDINGS 3	LOCATION 4	TARGET DATE OF COMPLETION 5	% PROGRESS 6	PRESENT STATUS OF WORKS 7
1.	LAKHIMPUR	District Laboratory	Lakhimpur	3/93	100%	Complete
		District Inspection House	Lakhimpur	1/94	100%	Complete
		Tehsil level office / godown	Dhaurahra	12/93	100%	Complete
	do....	Lakhimpur	3/93	100%	Complete
	do....	Mohammadi	7/93	100%	Complete
	do....	Nighasan	12/94	100%	Complete
	do....	Gola	12/93	100%	Complete
2.	BAHRAICH	District Laboratory	Bahraich	3/93	100%	Complete
		District Inspection House	Bahraich	3/93	100%	Complete
		Tehsil level office / godown	Nanpara	9/93	100%	Complete
	do....	Kaisarganj	1/94	100%	Complete
	do....	Bahraich	3/93	100%	Complete
	do....	Bhinga	9/93	100%	Complete
3.	GONDA	District Laboratory	Gonda	7/93	100%	Complete
		District Inspection House	Gonda	7/93	100%	Complete
		Tehsil level office / godown	Mankapur	7/93	100%	Complete
	do....	Tarabganj	7/93	100%	Complete
	do....	Utraula	4/94	55%	Roof Level
	do....	Balrampur	7/93	100%	Complete
4.	BASTI	District Inspection House	Basti	4/94	100%	Complete
		Tehsil level office / godown	Hariya/Sanha	3/94	100%	Complete
	do....	Basti	3/94	100%	Complete
	do....	Khalilabad	3/94	100%	Complete
5.	BALLIA	District Inspection House	Ballia	12/91	100%	Complete
		Tehsil level office / godown	Rasra	12/91	100%	Complete
	do....	Bansdih	7/93	100%	Complete
6.	SIDDARTHANAGAR	District Laboratory	Siddarthnagar	1/94	100%	Complete
		District Inspection House	Siddarthnagar	1/94	100%	Complete
		Tehsil level office / godown	Naugarh	1/94	100%	Complete
	do....	Bansi	1/94	100%	Complete
	do....	Dumriyaganj	4/94	100%	Complete

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DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

[9]

SUB PROJECT - VI

QUARTERLY PROGRESS REPORT

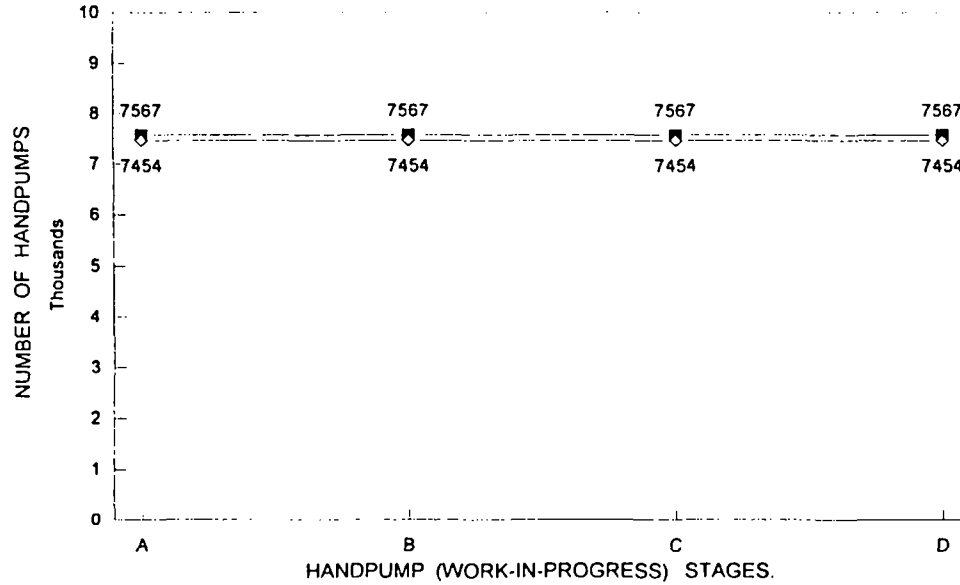
CURRENT REPORTING PERIOD :
LAST REPORTING PERIOD :

████████████████████
Apr. - June. 1996

BUDGET PROVISION, FUND ALLOTTED AND EXPENDITURE ON OPERATION & MAINTENANCE

Sn. No.	DISTRICT	ITEM	1996 - 97				Total
			I Qar.	II Qar.	III Qar.	IV Qar.	
1	LAKHIMPUR	Budget Provision	5.419	5.419	5.419	5.419	21.676
		Funds allotted	2.201	3.252			5.453
		Expenditure	2.201	3.252			5.453
2	BAHRAICH	Budget Provision	2.625	2.625	2.625	2.625	10.500
		Funds allotted	0.958	1.148			2.107
		Expenditure	0.958	1.148			2.107
3	GONDA	Budget Provision	2.300	2.300	2.300	2.300	9.200
		Funds allotted	0.297	0.507			0.804
		Expenditure	0.297	0.507			0.804
4	BASTI	Budget Provision	0.500	0.500	0.500	0.500	2.000
		Funds allotted	0.094	0.271			0.365
		Expenditure	0.094	0.271			0.365
5	BALLIA	Budget Provision	1.475	1.475	1.475	1.475	5.900
		Funds allotted	1.525	1.076			2.602
		Expenditure	1.525	1.076			2.602
6	SIDDTARTHANAGAR	Budget Provision	0.460	0.460	0.460	0.460	1.840
		Funds allotted	0.161	0.251			0.411
		Expenditure	0.161	0.251			0.411
TOTAL (S.P.- VI)		Budget Provision	12.779	12.779	12.779	12.779	51.116
		Funds allotted	5.235	6.506	0.000	0.000	11.741
		Expenditure	5.235	6.506	0.000	0.000	11.741

Work-in-Progress of HandPumps
DISTRICT - LAKHIMPUR



■ Target(7567 HPs) ◇ Progress upto 9/96

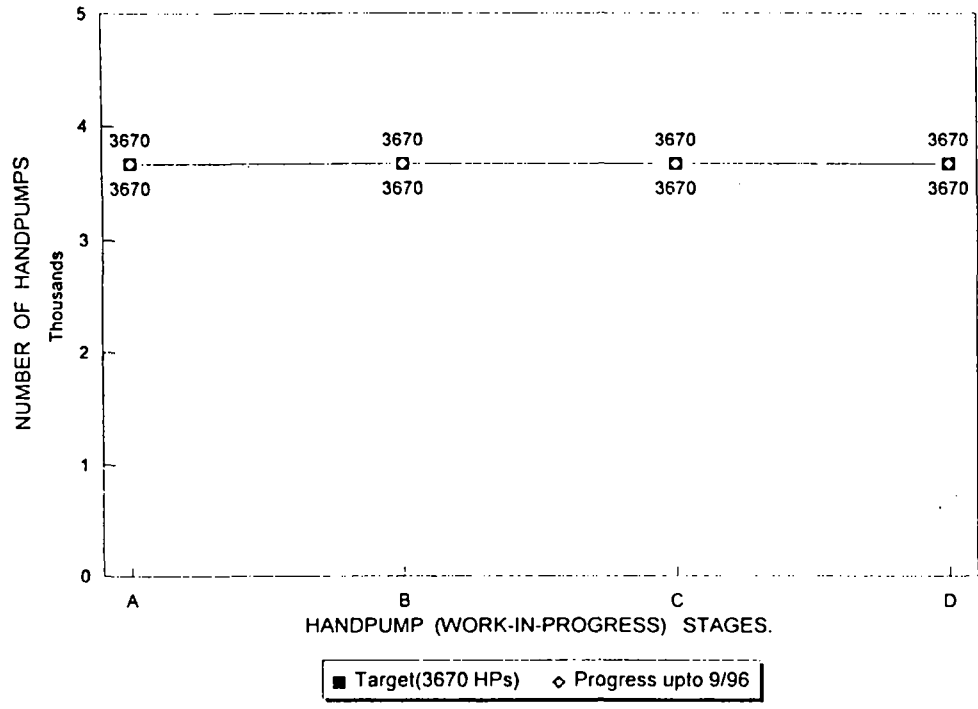
SUB PROJECT - VI

DISTRICT - LAKHIMPUR

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	7567	7454
B	HP instld. & Commisioned	7567	7454
C	Platform Constructed	7567	7454
D	Drain Complete.	7567	7454

Work-in-Progress of HandPumps
DISTRICT - BAHRAICH



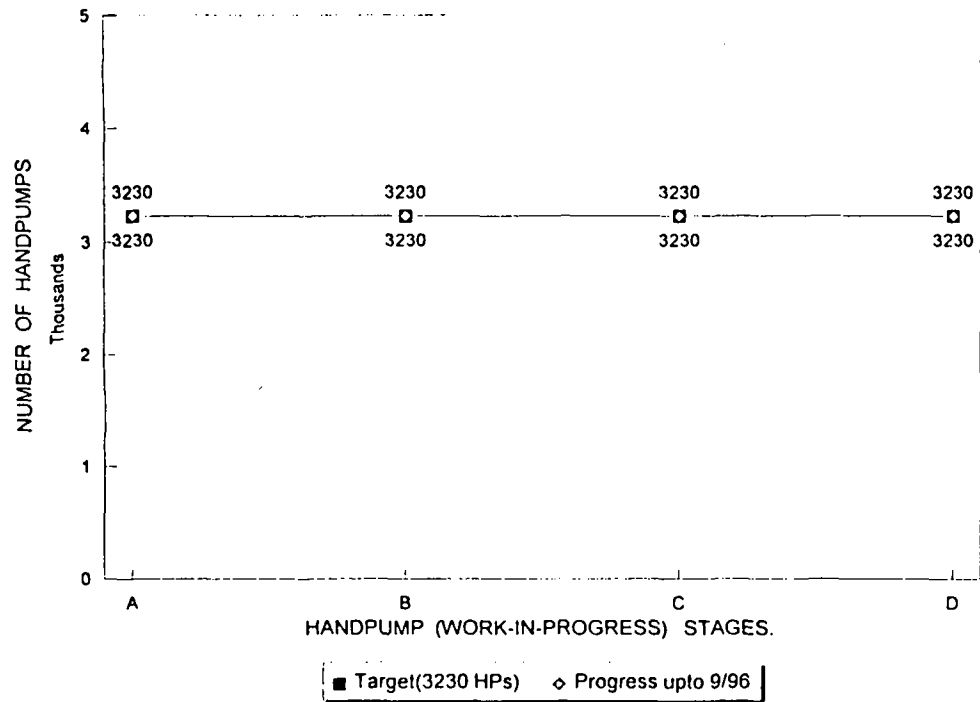
SUB PROJECT - VI

DISTRICT - BAHRAICH

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	3670	3670
B	HP instld. & Commisioned	3670	3670
C	Platform Constructed	3670	3670
D	Drain Complete.	3670	3670

Work-in-Progress of HandPumps
DISTRICT - GONDA



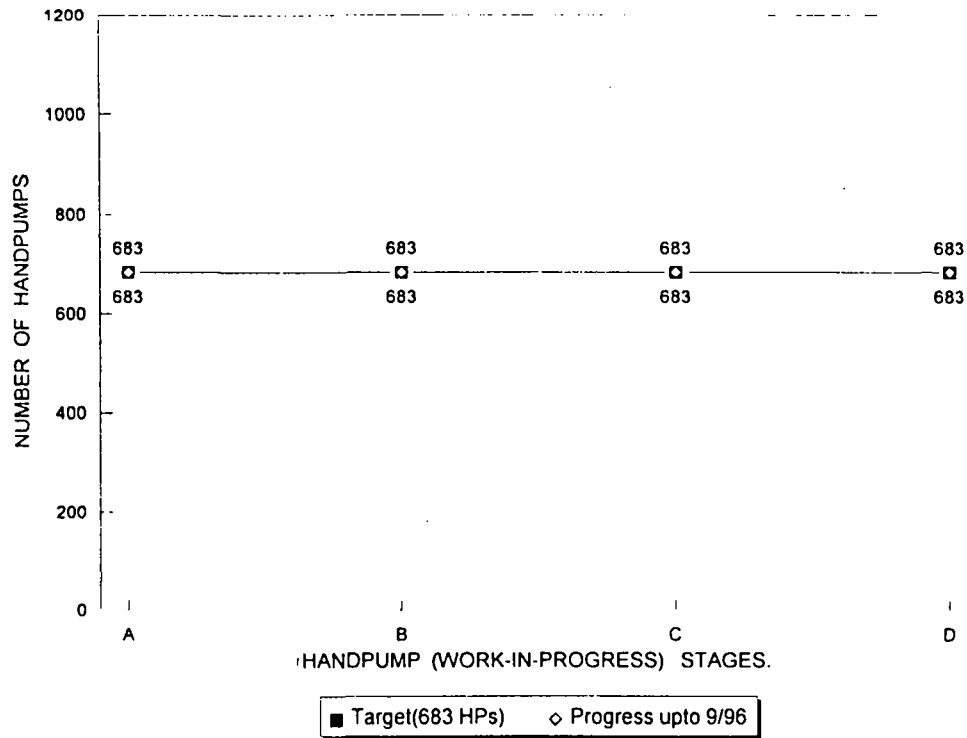
SUB PROJECT - VI

DISTRICT - GONDA

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	3230	3230
B	HP instld. & Commisioned	3230	3230
C	Platform Constructed	3230	3230
D	Drain Complete.	3230	3230

Work-in-Progress of HandPumps
DISTRICT - BASTI



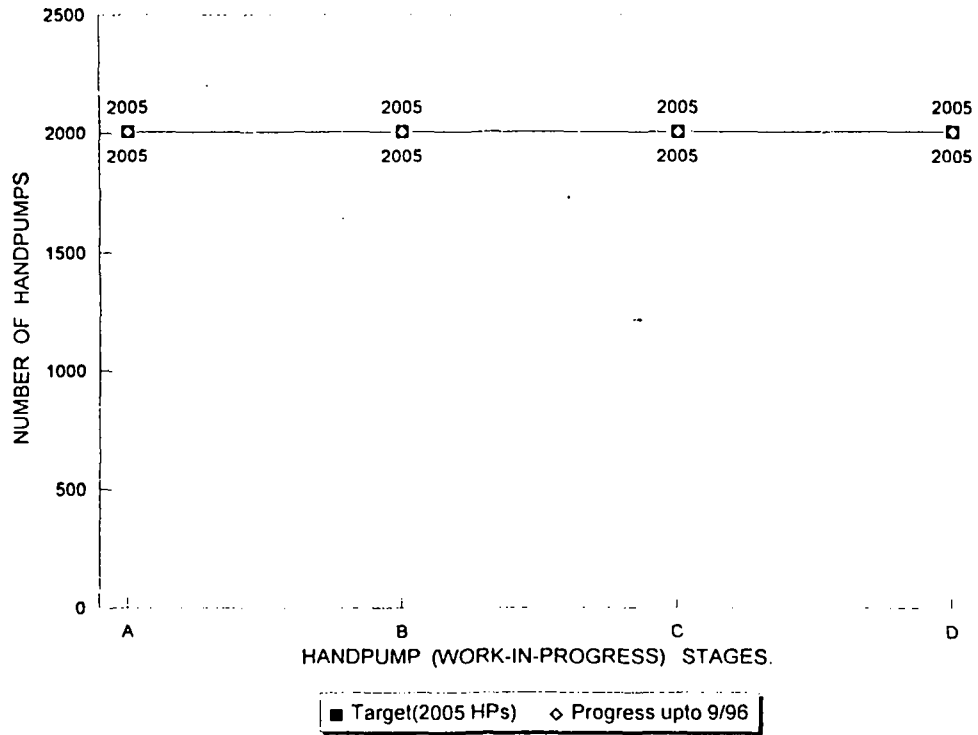
SUB PROJECT - VI

DISTRICT - BASTI

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	683	683
B	HP instld. & Commisioned	683	683
C	Platform Constructed	683	683
D	Drain Complete.	683	683

Work-in-Progress of HandPumps
DISTRICT - BALLIA



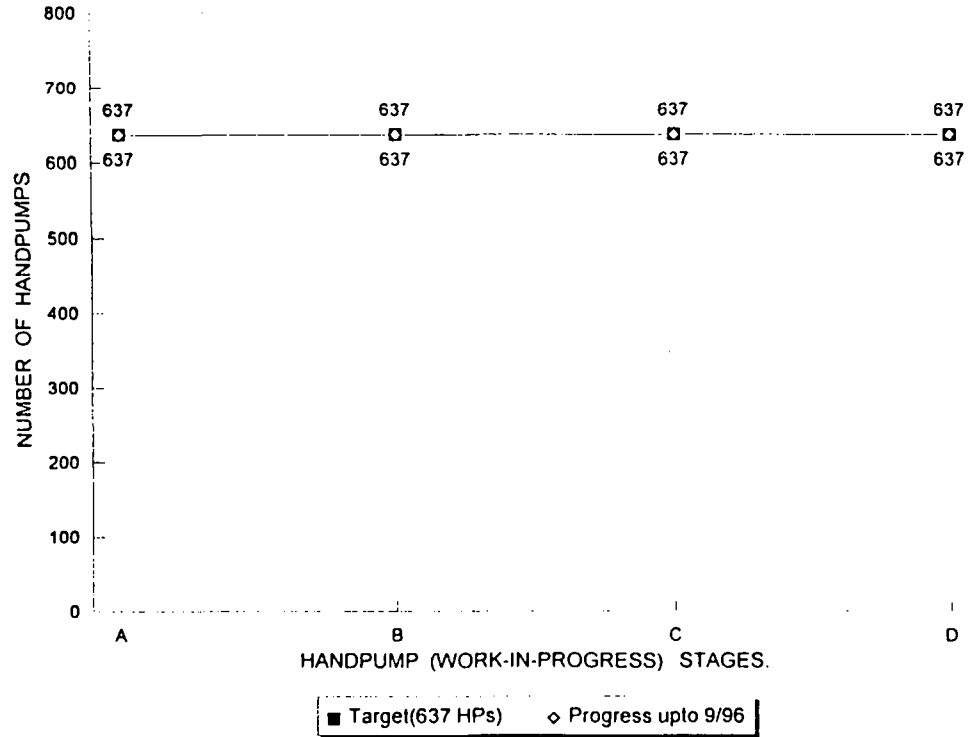
SUB PROJECT - VI

DISTRICT - BALLIA

DETAILS OF Work-in-Progress OF HAND PUMPS

	Work-in-Progress STAGE	TARGET	PROG.
A	Borehole with Casing Pipe	2005	2005
B	HP instld. & Commisioned	2005	2005
C	Platform Constructed	2005	2005
D	Drain Complete.	2005	2005

Work-in-Progress of HandPumps
DISTRICT - SIDDARTHANAGAR



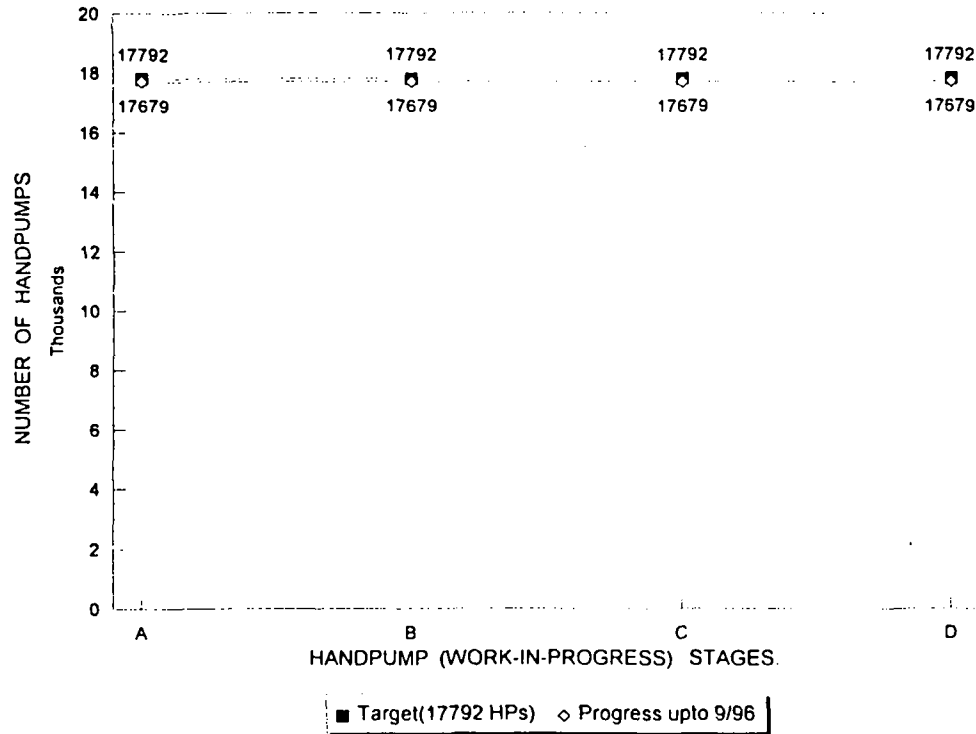
SUB PROJECT - VI

DISTRICT - SIDDARTHANAGAR

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	637	637
B	HP instld. & Commisioned	637	637
C	Platform Constructed	637	637
D	Drain Complete.	637	637

Work-in-Progress of HandPumps
(SIX DISTRICTS)



SUB PROJECT - VI

(SIX DISTRICTS)

DETAILS OF Work-in-Progress OF HAND PUMPS

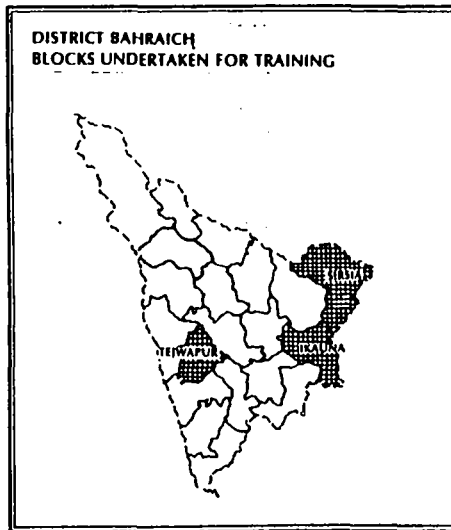
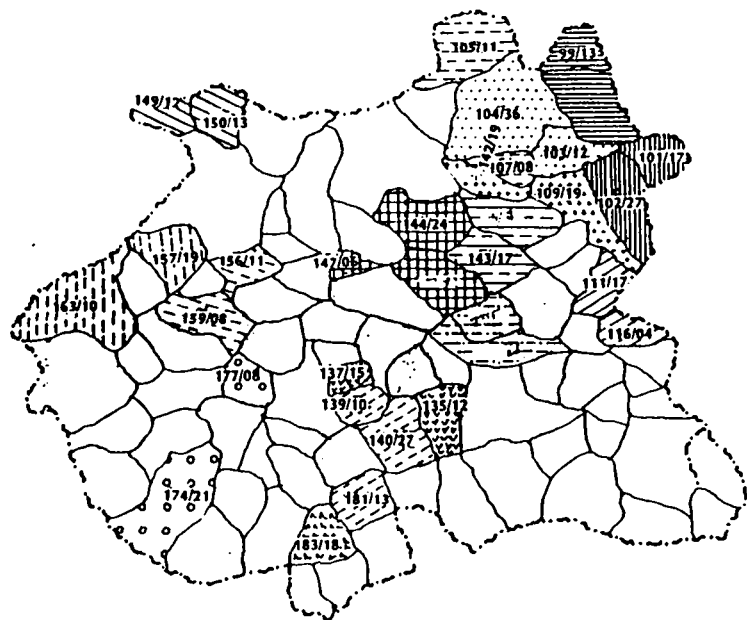
Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	17792	17679
B	HP instld. & Commisioned	17792	17679
C	Platform Constructed	17792	17679
D	Drain Complete.	17792	17679

ANNEX J
MAPS OF TRAINING AREAS
PROJECT VI




















DISTRICT BAHRAICH

BLOCK TEJWAPUR

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



LEGEND

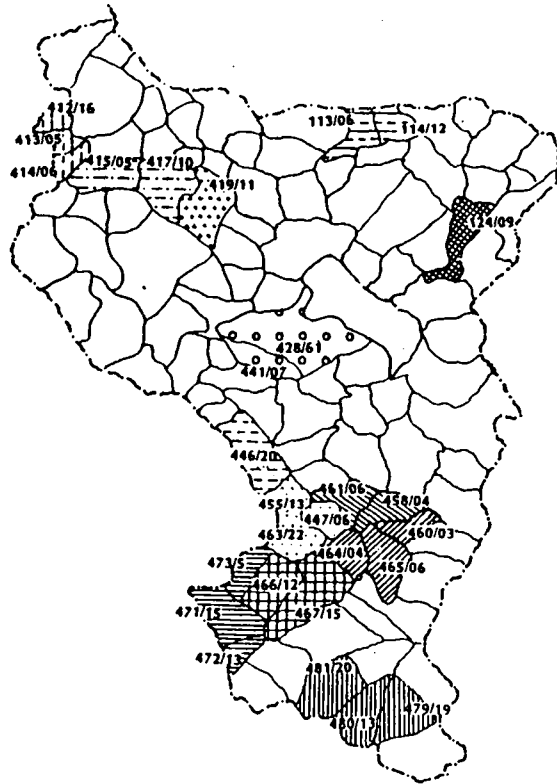
-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  CLUSTER I
DHOBIA (99); RAMGAON (100)
-  CLUSTER II
BAUNDI FATULLAHPUR (101); MIRZAPUR TILAK (102)
-  CLUSTER III
BARHUA (103); NEWDA (104)
-  CLUSTER IV
BASUNAMI (105); JAMAL JOT (107)
-  CLUSTER V
BACHAPUR (106); CHAUKHADIAL (109)
-  CLUSTER VI
JHINGA (111); TAMACHPUR (116)
-  CLUSTER VII
DASHBATHPUR (142); SARPATAHA (143)
-  CLUSTER VIII
JARDI (114); MAQHPUR (113)
-  CLUSTER IX
BARHUA GOPAIPUR (144); NARHAR GONDA (145); FATEHPUR (147)
-  CLUSTER X
BIRSHHPUR (154); GODWA (159)
-  CLUSTER XI
JADAYPUR (155); NAKHATIA (157)
-  CLUSTER XII
DHADKALA (139); KATHA (140); UMARI DAHLO (181)
-  CLUSTER XIII
KAMARJAPATHI SHUKLA (149); KAMARJAPATHI KHURD (150)
-  CLUSTER XIV
DOKHARI (174); BILASPUR (177)
-  CLUSTER XV
SINGAMI (183)
-  CLUSTER XVI
GAMIAPUR (176); CHETRA (133)
-  CLUSTER XVII
GOPCHANDPUR (157); UNCHGAON



DISTRICT BAHAICH

















BLOCK IKAUNA

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



DISTRICT BAHAICH
BLOCKS UNDERTAKEN FOR TRAINING

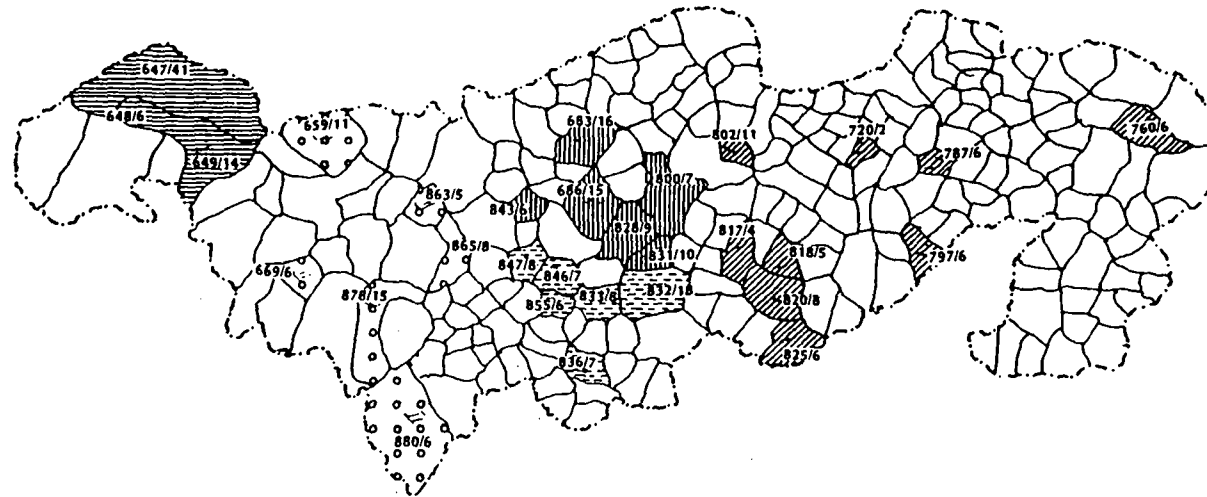
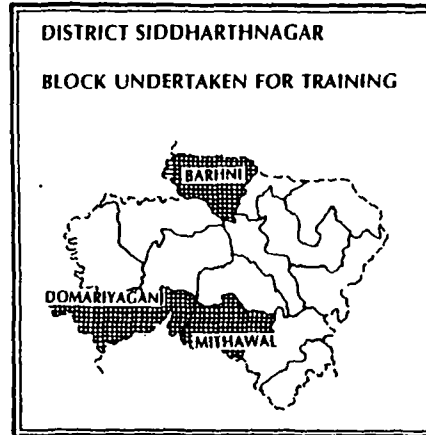


-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  CLUSTER I
NARPATHPUR (473); PURE MANSIJARAM (472);
KHIRWENIYA BIRPUR (473); JORDEEHA (479)
-  CLUSTER II
CHAIMPUR BIRAM (480); MISHRAULIA (480)
-  CLUSTER III
PUREDEEN RAMGARH (444)
-  CLUSTER IV
KHARCHIWARAN (447); BAIDAUVA MISHRAN (455);
GOPALPUR (463)
-  CLUSTER V
IKAUNA DEHAT (428); KANJARWA (441)
-  CLUSTER VI
TENDWA PANDIT (458); KALYANPUR (465)
-  CLUSTER VII
PATHKANLI KHURD (463); DAKHAHI (444); CHOOWA (448)
-  CLUSTER VIII
PARSHARAMPUR (464); BEIHARGAON (467)
-  CLUSTER IX
BASBARJAPUSANIA (412); LAKHI BARI (412); ALINAGAR (414)
-  CLUSTER X
BARHIPURWA (415); KUMAR GARH (417)
-  CLUSTER XI
RANIKUNDA (419)
-  CLUSTER XII
SHIVJOT (113); BELKAR (114)
-  CLUSTER XIII
KIRVANNIA (124)
-  160/07 CENSUS CODE/TOTAL NO. OF HANDPUMPS
(CARETAKERS)









DISTRICT SIDDHARTHANAGAR

BLOCK DOMARIYAGANJ

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



LEGEND

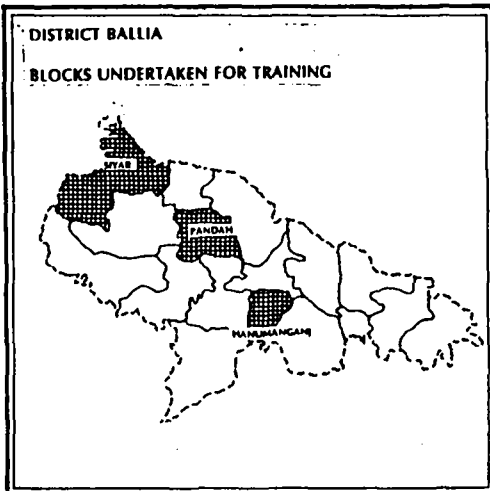
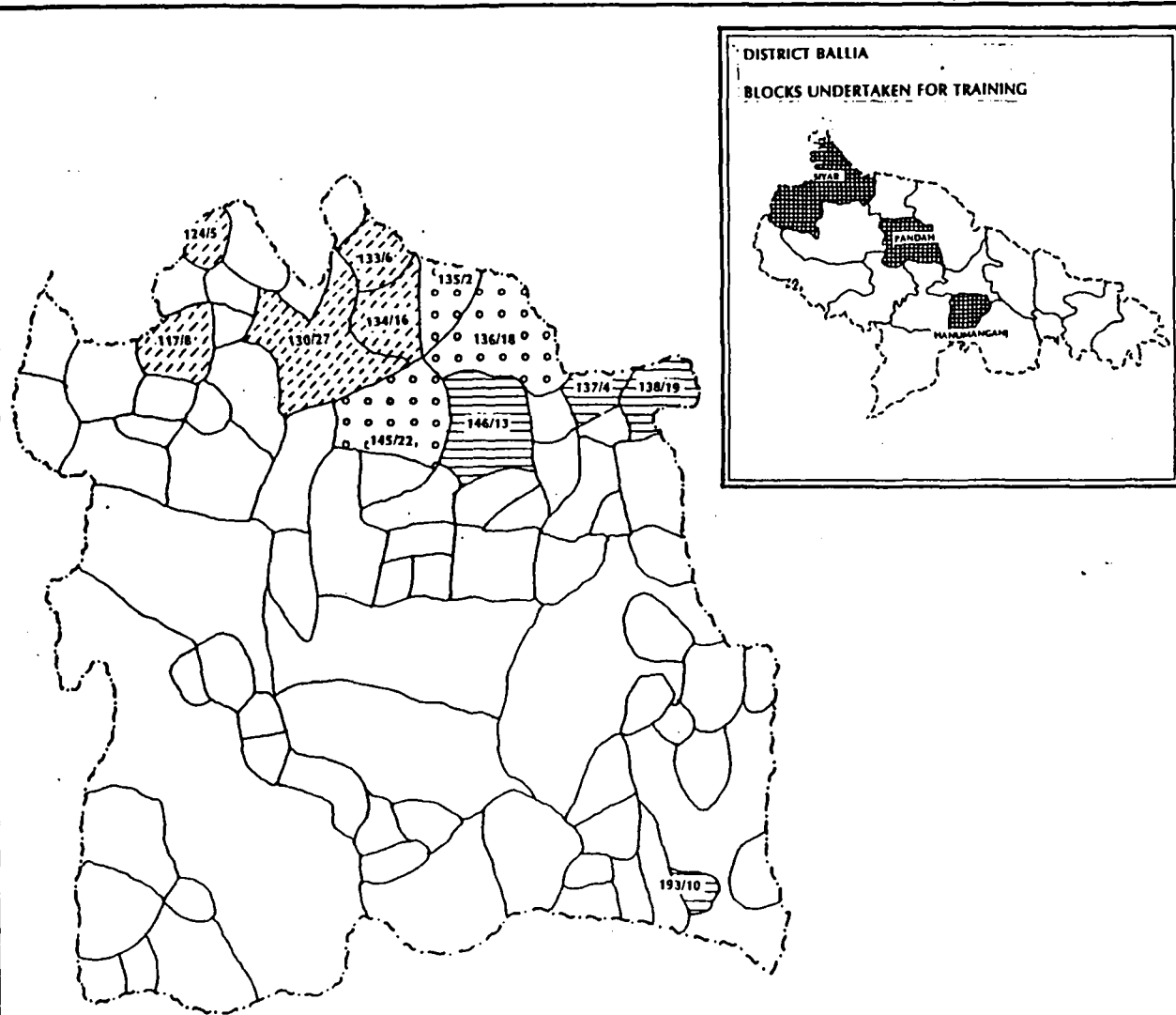
-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  CLUSTER I
BADNI CHAFA (647); BARGHAT (648); SHEHRI KHAS (649)
-  CLUSTER II
BANGAWA NANKAR (659); BHANPUR (663); PARSIA SAMAL (645);
BHAIASPIA (678); BHAIJHONI (680); CAULIABIA TAJ (646)
-  CLUSTER III
QUADJIBABAD (683); KANCHANPUR (686); CHAKHAI (643);
CAUHONIA RAJ (670); JAKHAULI (600); LATIA (631)
-  CLUSTER IV
WASACHAK BAHMATTULLAH (632); DEIPER (633);
KHOTAI NANKAR (646); BANGREIPUR (647); BHUCAWAN (636)
-  CLUSTER V
SAMARA (623); BAGDIHWYA (620); MARHALI (616);
PARSA PANDIT (617); TABAINA (797); Bhairahat (640);
AURATAL (787); SURR (720)
-  203/17 CENSUS CODE/TOTAL NO. OF HANDPUMPS
(CARETAKERS)



DISTRICT BALLIA

BLOCK PANDAH

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



LEGEND



BLOCK BOUNDARY



VILLAGE BOUNDARY



CLUSTER I
UMEDA (137); MASOOMPUR (138); JETHWAR (146); HARIPUR (193)



CLUSTER II
DHANEJA (135); PANDAH (136); BACHHAPUR (145)



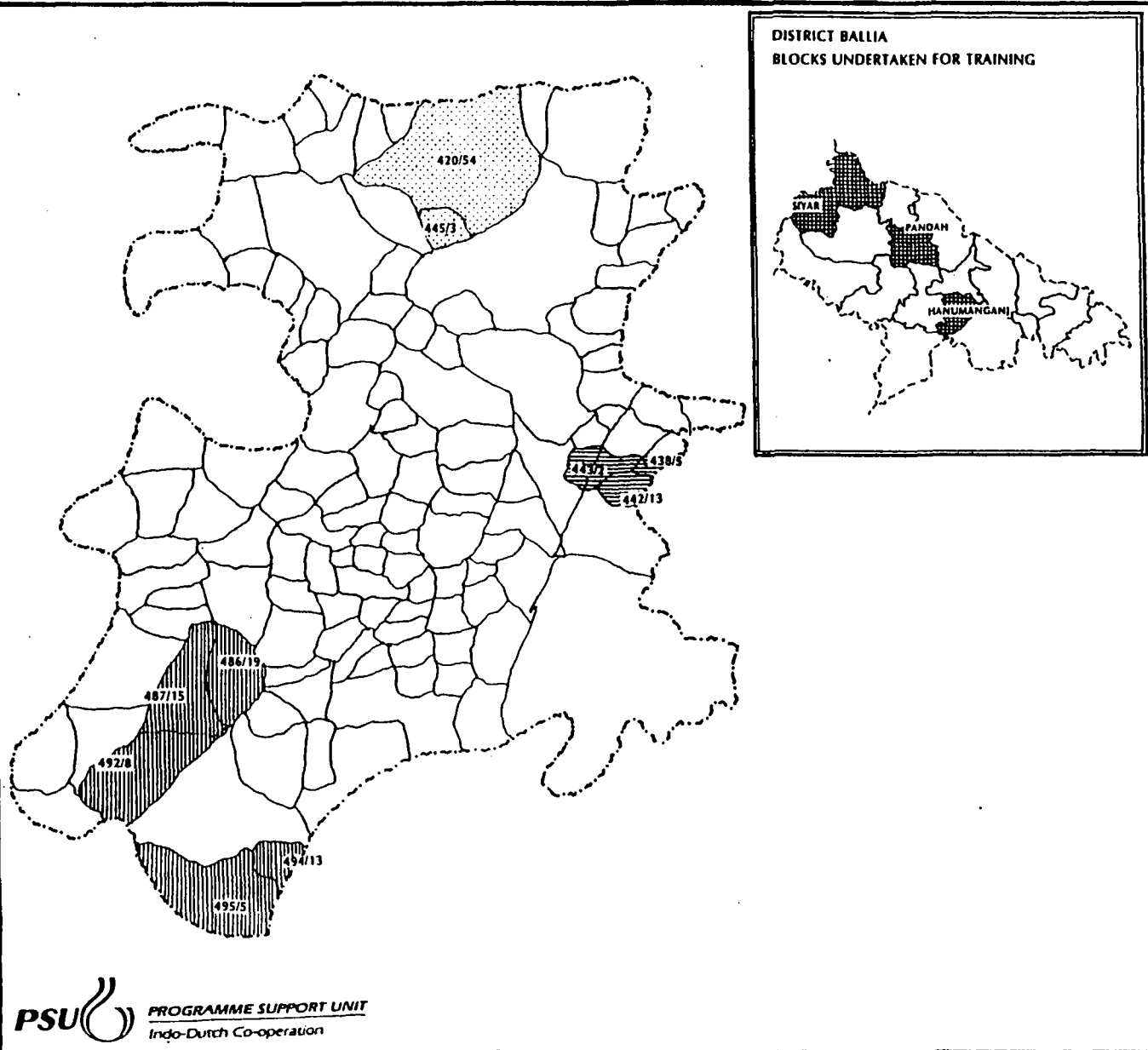
CLUSTER III
MARGIPUR (117); MUNDERA (124); BARWA (129);
SANDAWAPUR (133); KOKRAHAT(134)



CENSUS CODE/TOTAL NO. OF HANDPUMPS (CARETAKERS)



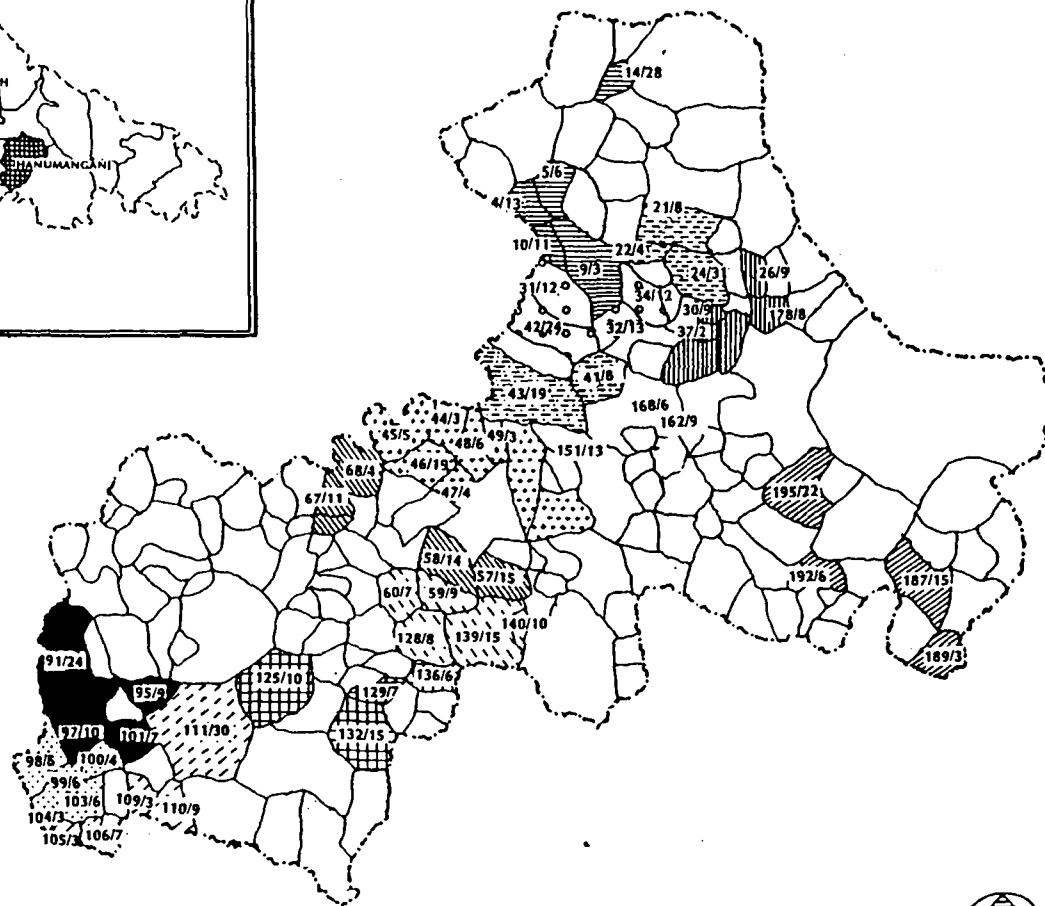
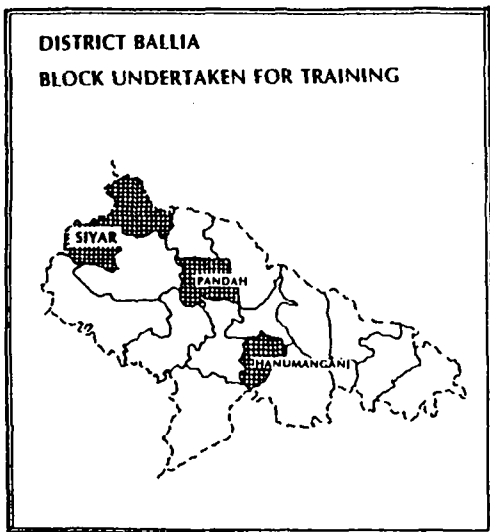
DISTRICT BALLIA BLOCK HANUMANGANJ
CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



- LEGEND**
- BLOCK BOUNDARY
 - VILLAGE BOUNDARY
 - CLUSTER I
TIKAMPUR 94428 PATHEJHAULI (543) SOMADABUR (438)
 - CLUSTER II
THAMMANPURA (486) IMDRAPUR (487) AMJORPUR (494)
KOTE (495) BHILKARIPUR (492)
 - CLUSTER III
BASANTIPUR (420) MARZIPUR URF DADIMGAN (445)
 - 138/19 CENSUS CODE/TOTAL NO. OF HANDPUMPS (CARETAKERS)

DISTRICT BALLIA BLOCK SIYAR

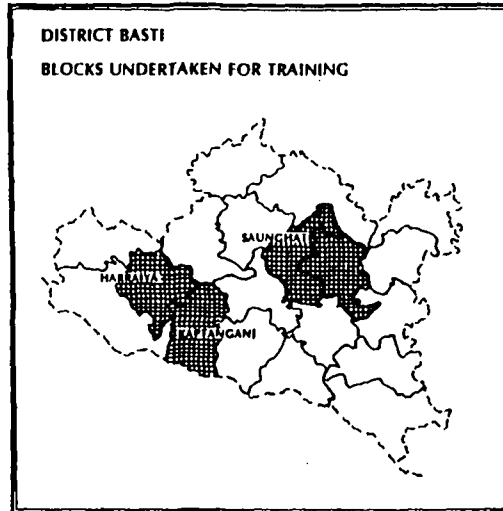
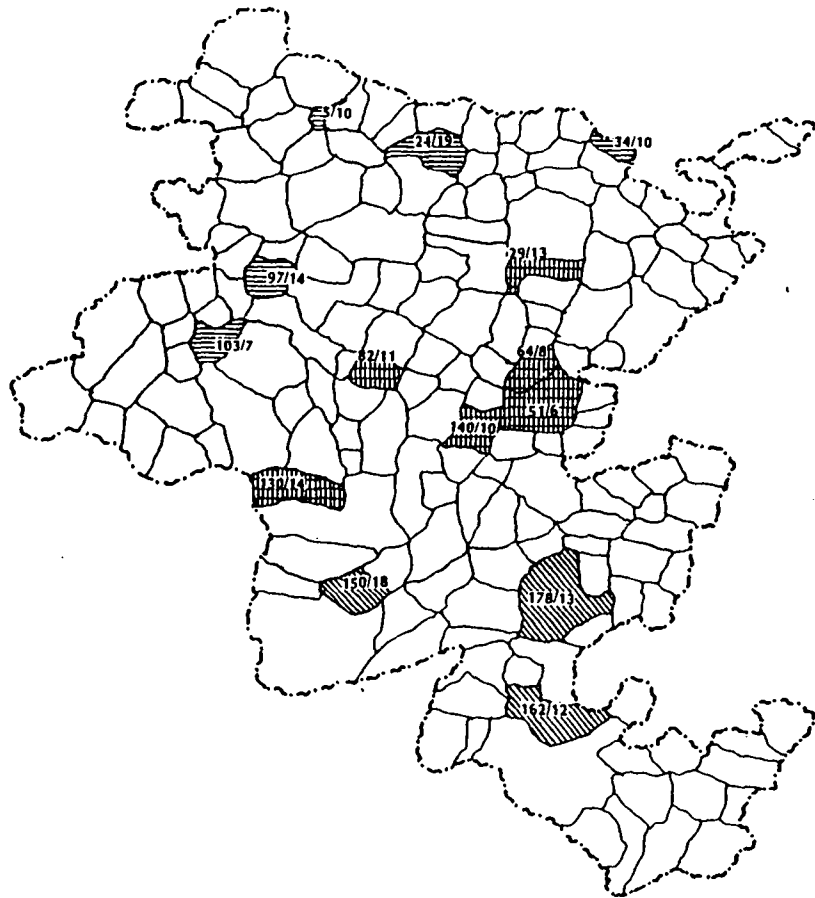
CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI









- BLOCK BOUNDARY
- VILLAGE BOUNDARY
- CLUSTER I**
BHIM KHURD (4); GAURI T. GHOS (3); PADARI (10);
TENDHARI (9); CHAINPUR GULAUBA (14)
- CLUSTER II**
MUBARAKPUR (21); KUMSAIL SHAH (22); BANSPAR BAHARWA (24)
- CLUSTER III**
PATNARI KIRTAPUR (1); TARCHHAPAR (2); KUNDALI NIYAMAT ALI (14);
AKHOP (12)
- CLUSTER IV**
UBHON (2); KAKARASO (17); TIMARIYAPUR KHURD (20);
CHAKIYA BAILIA (37); BITHUA (8); CHAULUA (177)
- CLUSTER V**
TENDUHA (61); SABAMA BAHADURPUR (43);
SHAND KALA (15); BHUARI (162); MISHRAULI (164)
- CLUSTER VI**
CHANDADH (187); CHAK MISHRAULI (189); BARNHAULI (192);
SHANPUR AFCHAN (195)
- CLUSTER VII**
BARA (40); MAMPUR MAHADEO (65); BARRAIA (40);
SHAMBHA (67); MALERA (48); MALERI (49)
- CLUSTER VIII**
BHUJAINI (37); LCHATA PACHDEERA (58); ISMAILPUR BHAGHARA (60)
- CLUSTER IX**
DAGALPURA (59); PACHAMA (60); GAURA T. BHIMPURA (128);
PATOH (139); FARAHADA (140)
- CLUSTER X**
KIDIHARAPUR (125); BHIMPUR T. BERWA (132); KALMAZ (134);
SIKARIYA T. BERWA (129)
- CLUSTER XI**
AMNARAI KALA (111); MAHARAJPUR (110); DARGAMPATT (100);
NIGAHUA (104); CHAK MUGHHAULI (105)
- CLUSTER XII**
TIRAMAI MALURAI (95); BARAULI (91); USKAR GAZIPUR (97);
AURAI KHURD (101)
- CLUSTER XIII**
KUNDARANA (96); BHIRAMPUR (99); SONAWAPAR (100);
BHARADIPUR (104); RUDDI (103)
- 420/54 CENSUS CODE/TOTAL NO. OF HANDPUMPS (CARETAKERS)



DISTRICT BASTI BLOCK SEMRIYANWAN
CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



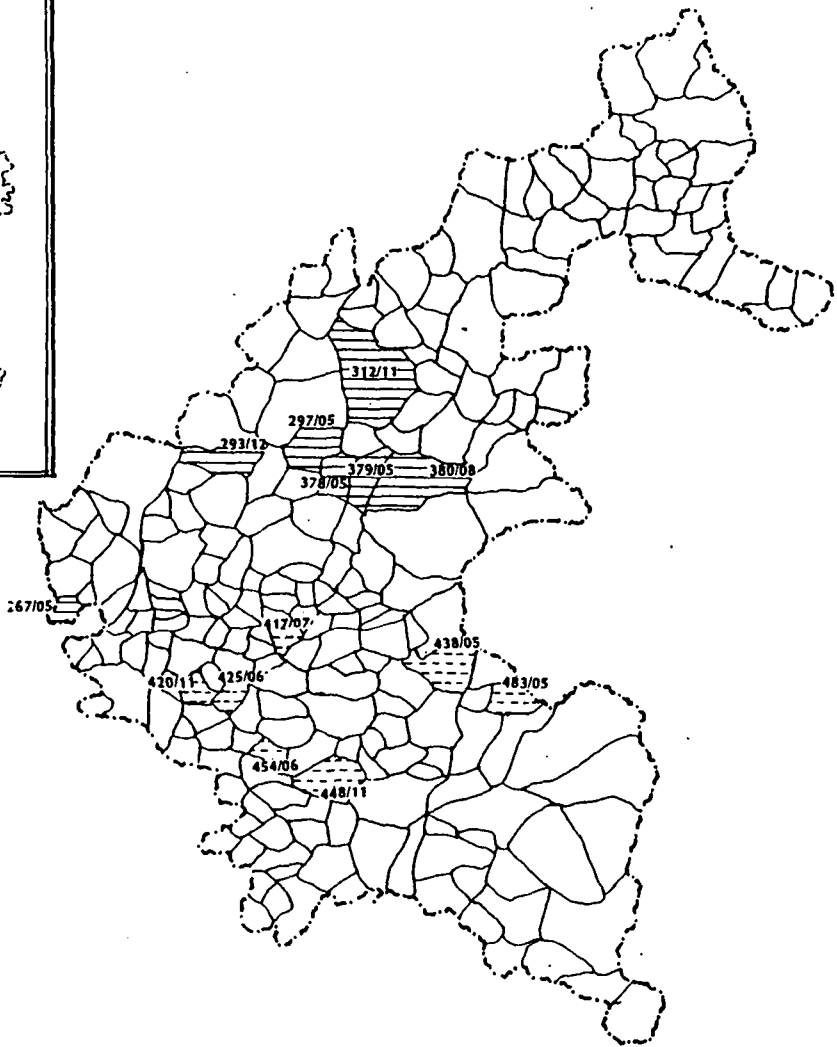
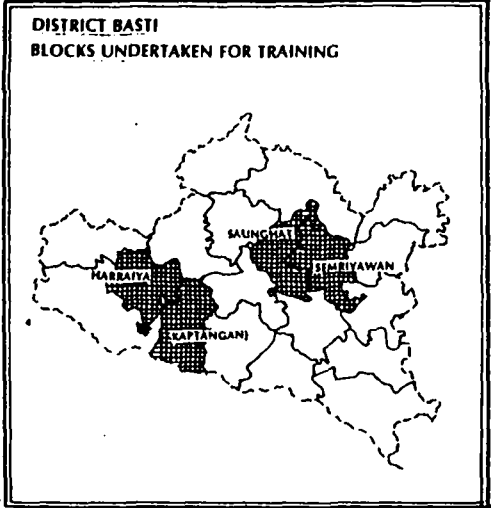
LEGEND

-  **BLOCK BOUNDARY**
-  **VILLAGE BOUNDARY**
-  **CLUSTER I**
 RAKSHA KALAN (5); KOSHARIYA (24); SHISWA DAKHINI (34);
 UTTARA SHAHEED (97); SELHWALIYA SUTHEHARA (103)
-  **CLUSTER II**
 ZATEDEH DUBAULIA (29); CHATA (5); AGYA (6);
 PACHDEVRA (52); SALEHPUR (130); BADELA (140)
-  **CLUSTER III**
 JAGDISHPUR URF LAHURADEV (150); PAULI KHAS (162); UMRA (178)
-  **442/13** **CENSUS CODE/TOTAL NO. OF HANDPUMPS (CARETAKERS)**








DISTRICT BASTI BLOCK SAUNGHAT

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



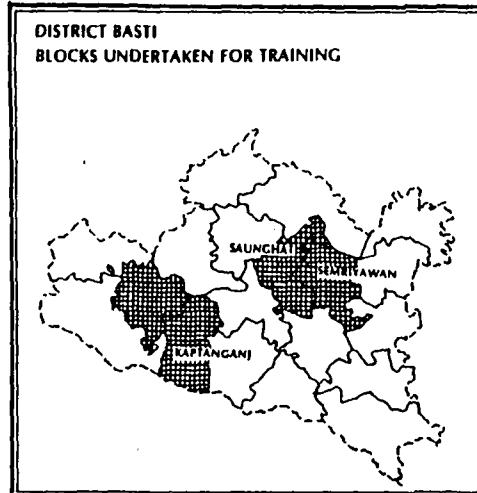
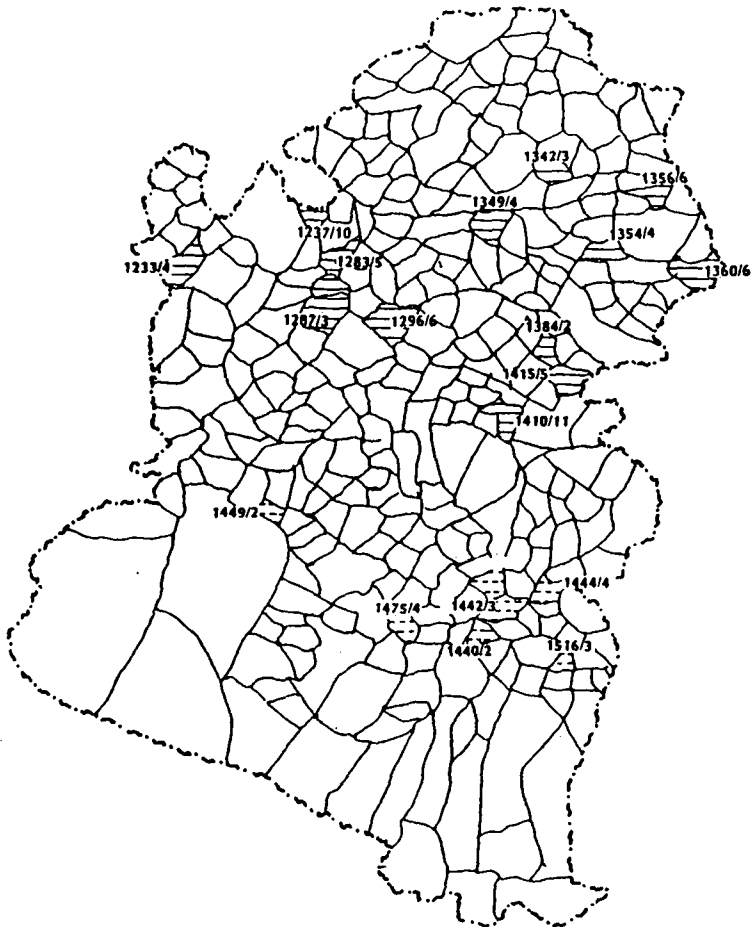
LEGEND

-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  CLUSTER I
KATHNAULI (267); MAJHALA MEER (293); BHATRANASTWA (297);
DHUDHRAI (312); TELIA DEEH (378); BARKHA (379); TARETA (380)
-  CLUSTER II
LOHRAULI (378); AMALI (379); HARAIYA (417); KANALI (420);
KADAKHAS (425); BAYA POKHAR (438); PAKDINASIR (483)
-  187/15 CENSUS CODE/TOTAL NO. OF HANDPUMPS (CARETAKERS)



DISTRICT BASTI BLOCK KAPTANGANJ

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



LEGEND



BLOCK BOUNDARY



VILLAGE BOUNDARY



CLUSTER I

PINESAR (1233); DHANSINGHPUR (1237); MARWATIYA TIWARI (1282);
BALUA (1287); RAHAR (1296); VISHMOHARPUR (1342); KHANJA (1349);
CANGAPUR (1354); TILAKPUR (1356); BATTUPUR (1360); ESHDEEH (1410);
KUDWA (1415); BARKATA (1384)



CLUSTER II

BHATPURWA (1442); CHANOPUR (1444); SIESIA (1475); SAHIANPUR (1475);
SABAI GHEESA (1440); BHANEMARPUR (1449); DEEHA KHURD (1516)

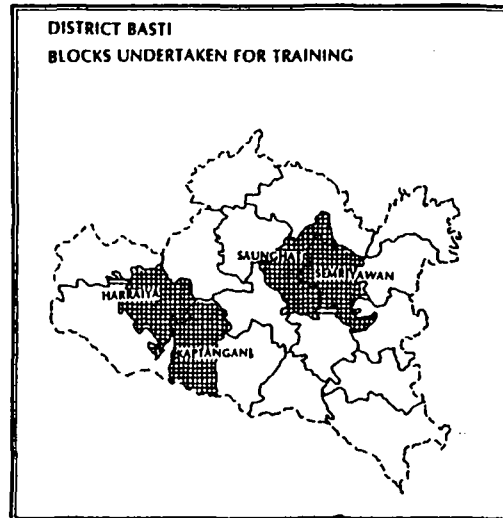
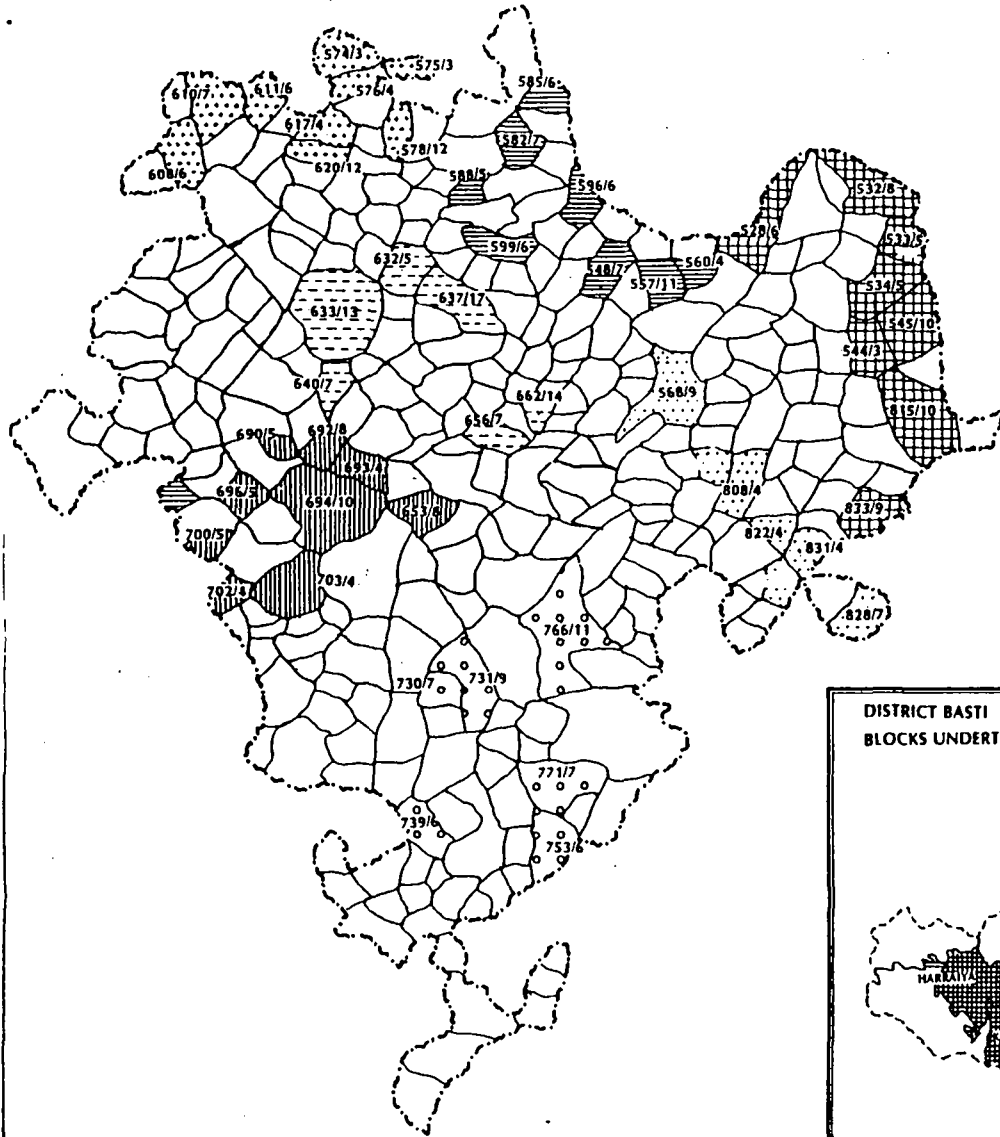












161/10 CENSUS CODE/TOTAL NO. OF HANDPUMPS (CARETAKERS)



DISTRICT BASTI BLOCK HARRAIYA

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



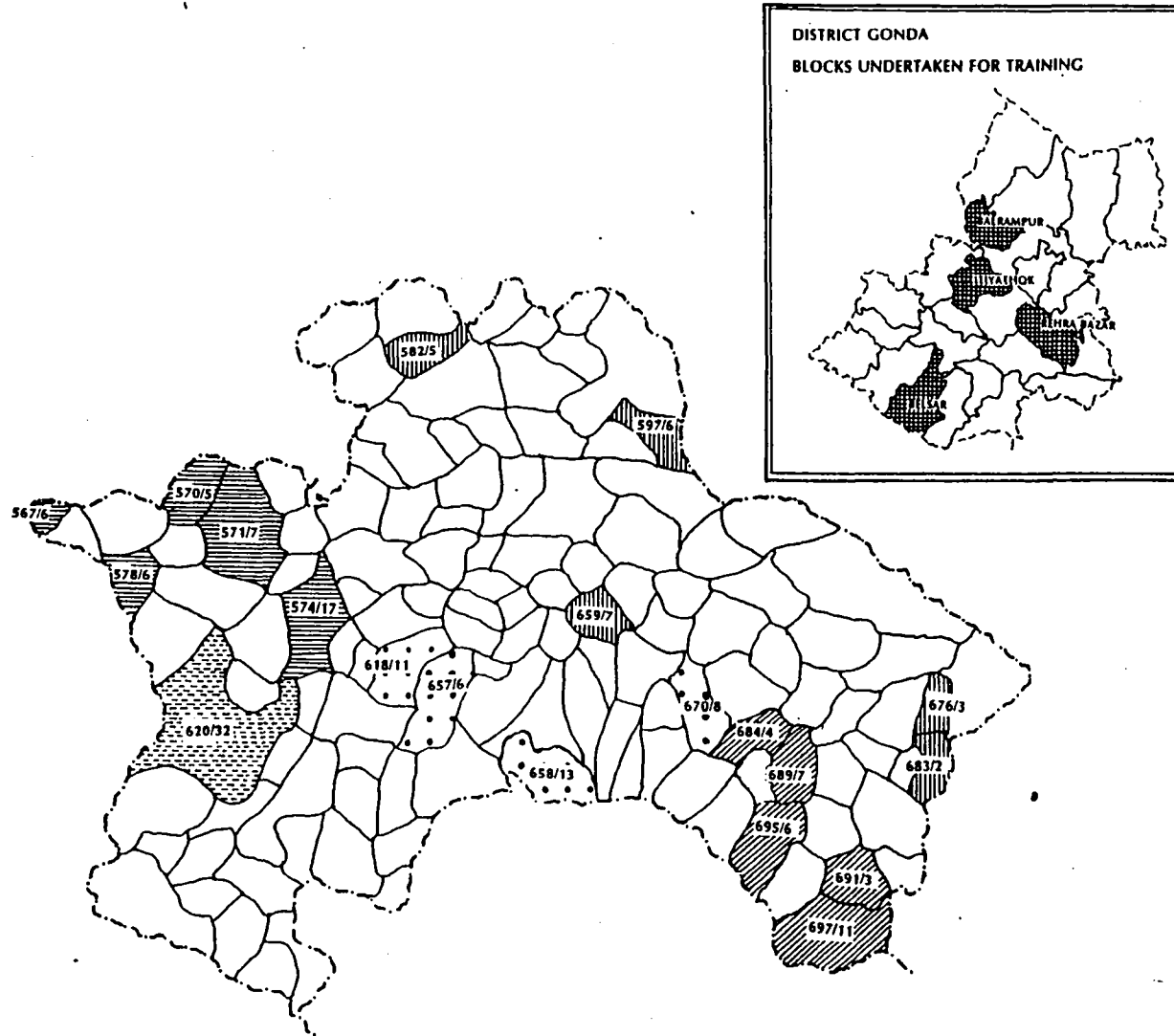
-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  **CLUSTER I**
DEYVAKSH OANDEY (548); CHORKARI (557); KIRTIPUR (560); MAJHGAM (582); BHANPUR (585); DIWAKAPUR (588); BHITMISIR (594); GAIPUR (599)
-  **CLUSTER II**
PATNA (528); MULLI (532); MUSAMI (533); AURATONDA (534); AMHARI (544); PIPRI QAZI (545); SAMBHU PUR (515); KODAI (533)
-  **CLUSTER III**
BELBHARIA RAMGULAM (548); BENIPUR KAKARHIA (574); MAJHAUA KUIWARA (575); IMLADEES (576); HARJANPUR BABU (577); MAFI (520); KURTHIA (504); BELWARIA (519); JAMNA KALAN (511)
-  **CLUSTER IV**
MALKANIYAN (632); BASGAON (633); BARAHPUR (637); MAHEWA KUIWAR (640); MURADIPUR (654); THANA KHAS (642)
-  **CLUSTER V**
MALUNGHAT (653); UMARIA GUPTAR (690); BHADASI (693); SISA (693); BARBAR KALAN (694); KALADAD (696); BANGAON D02; CHALUKARI (708); SAGRAMPUR (703)
-  **CLUSTER VI**
KASHIPUR (730); RAURADAS (731); NADE KUIWAR (733); JOGAPUR (711); JAGDISHPUR (764); LAKSHMANPUR (739)
-  **CLUSTER VII**
MAHLIAPAR (568); PARSALUNDA (507); KHARTHUA (508); KESHAYPUR (522); BAJAULI (530); NIPANIA (531); NAKAINPUR TEWARI (528)
-  132/25 **CENSUS CODE/TOTAL NO. OF HANDPUMPS (CARETAKERS)**



DISTRICT GONDA

BLOCK ITYATHOK

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



LEGEND



BLOCK BOUNDARY



VILLAGE BOUNDARY



CLUSTER I
HARDEYA (567); BENDUL (570); KARLIAPARA (571);
PARSA BAHURIKAPUR (574); TELIHANI KANINGO (578)



CLUSTER II
FARENDA KANONGO (582); BABEELY (597); BARDANDA (559);
BAHARUHYA (576); TEJAJOT (583)



CLUSTER III
PARASARAI (520)



CLUSTER IV
MOHAM ASADHA (618); RAHVAPUR NAYAK (657);
BELBHARIA (636); SIDHWAPUR (678)



CLUSTER V
PURE HADA (684); KONGA BANAT (669); PURE DATA (697);
CUNGIDEI (695); SEER BANAT (697)



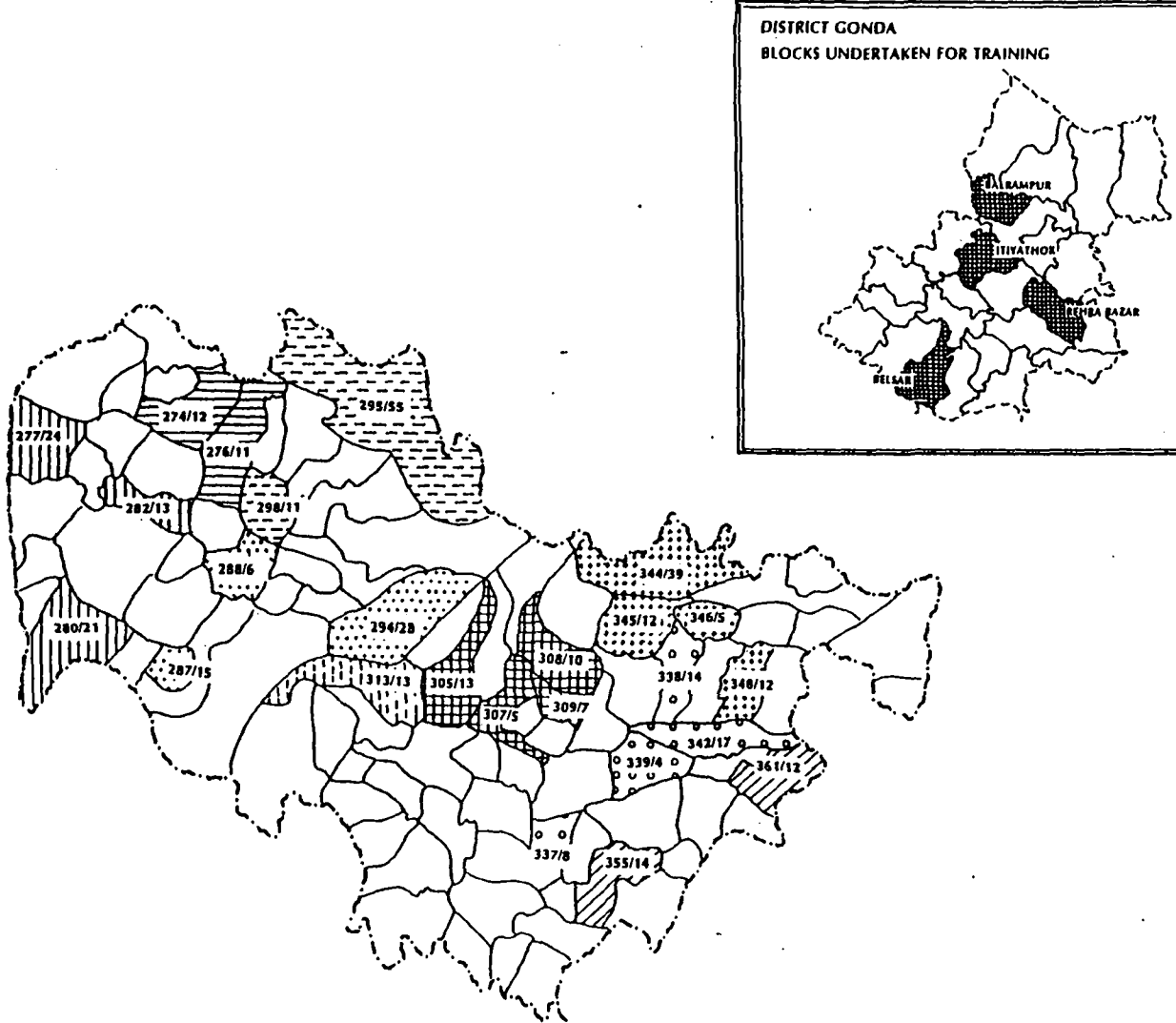
4/13
CENSUS CODE/TOTAL NO. OF HANDPUMPS
(CARETAKERS)















DISTRICT GONDA

BLOCK REHRA BAZAR

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



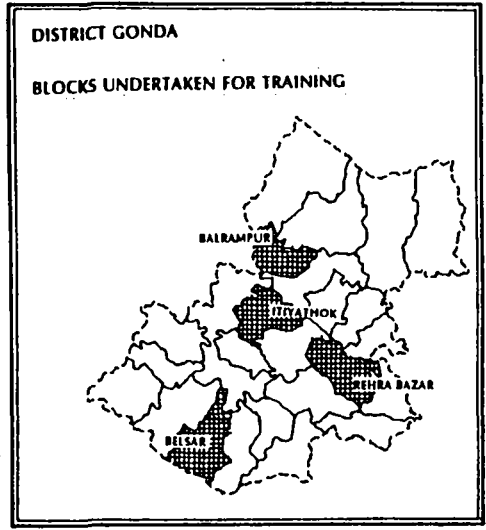
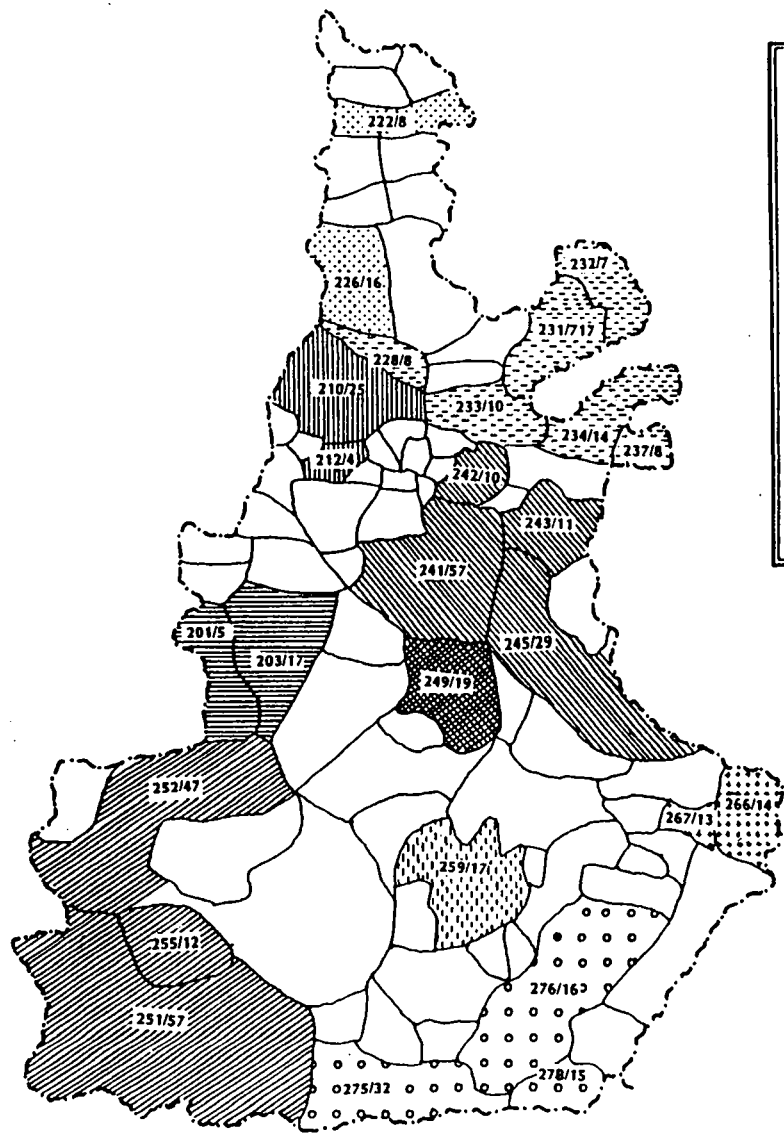
LEGEND

-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  CLUSTER I
SONAPUR (274); KESTARPUR (274)
-  CLUSTER II
BADYA FADI KHAN (277); GWALIOR GRANT (280);
ADHINPUR (282)
-  CLUSTER III
BHAGWANPUR GRANT (287); MAHWAN (288); SARAI KHAS (290)
-  CLUSTER IV
BISHUNAPUR GRANT (292); BANJARIA HUSSAIN (294);
OBRIDIM (311)
-  CLUSTER V
DATALUPUR (307); BISHAMBHARPUR (307); MANIGARMA (308);
NATHAPUR BANONGO (309)
-  CLUSTER VI
SAHIQURA (313)
-  CLUSTER VII
AIDHA (337); KHARKA MASOOMPUR (338); HANSUPUR (339);
BHILAYA MADANPUR (342)
-  CLUSTER VIII
RAMPUR GRANT (346); BHIRVA (348); TENDUA BHANPUR (348);
LALPUR BHUNUPURA (348)
-  CLUSTER IX
ALLAUDDINPUR (355); GOLHIPUR (361)
-  221/10 CENSUS CODE/TOTAL NO. OF HANDPUMPS
(CARETAKERS)
















DISTRICT GONDA BLOCK BELSAR

CLUSTERING OF VILLAGES FOR UNDERTAKING DECENTRALIZED HANDPUMP MAINTENANCE TRAINING SP VI



LEGEND

-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  CLUSTER I
BADLEPRU (201); LILOI KALAN (203)
-  CLUSTER II
DIDISHA KALAN (210); DIDISHA KHURD (212)
-  CLUSTER III
GHANAJ PATTI (222); LAHWATERPA (226)
-  CLUSTER IV
CHIROI BASA (228); DHURIJANPUR (231); HILALPUR (232);
UDVANTNAGAR (233); BHIKARIPUR (234); PURE MOHAN (237)
-  CLUSTER V
BELSAR (241); MUJED (242); PARSADA (243); DEVARDA (245)
-  CLUSTER VI
PAKWANGAON (249)
-  CLUSTER VII
SONALI MOHAMMADPUR (251); BARAULI (252); ISMAILPUR (253)
-  CLUSTER VIII
DIRSIA (259)
-  CLUSTER IX
PAKDI (264); TARADISH (267)
-  CLUSTER X
ILLY PARSOLI (275); SINGHOUTI (276); GARHI (278)
-  CENSUS CODE/TOTAL NO. OF HANDPUMPS
(CARETAKERS)

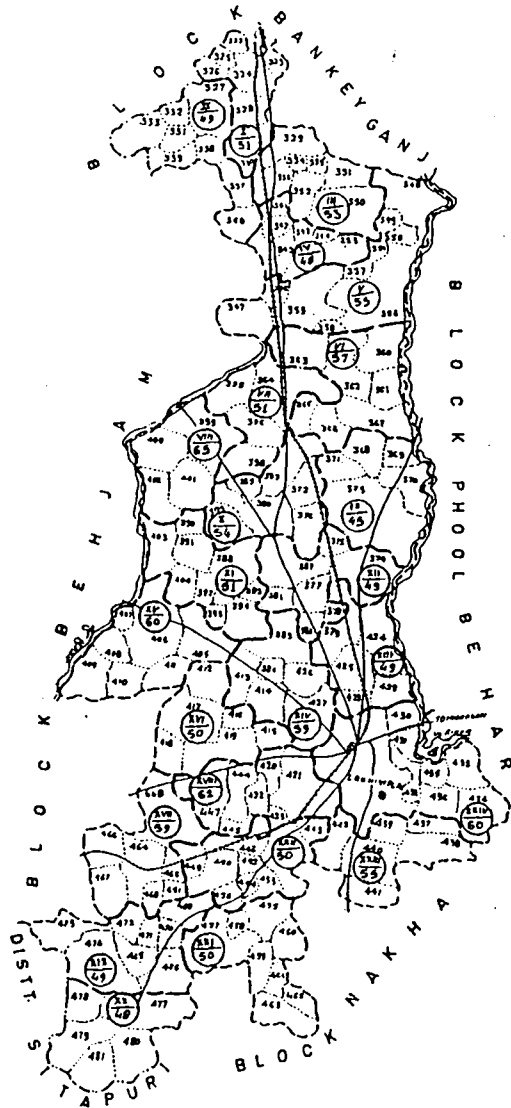


DISTRICT LAKHIMPUR-KHERI

SP VI













BLOCK LAKHIMPUR

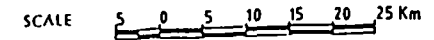
CLUSTERING OF VILLAGES FOR UNDERTAKING TRAINING OF HANDPUMP CARETAKERS FOR DECENTRALIZED HANDPUMP MAINTENANCE



321	Nevada	411	Khemakhadh
323	Kumatiya	412	Jametta
324	Tusaura	413	Ghumclini
325	Dohda	414	Ghadivua
326	Korwa	415	Chandpura
327	Semrace	416	Astnaha
328	Rjaura	417	Astkonwa
329	Khamer	418	Dhusunu
330	Bhalia Bujurg	419	Bajpeya
331	Sakshir	420	Baus Khera
332	Sherpur	421	Rajpur
333	Kordi	422	Mudiyakhara
334	Barota	423	Aarikhana
335	Bergadhiya	424	Mathana
336	Nippniya	425	Bhansadiya
337	Khethausa	426	Ramuhapur
338	Tedwa	427	Chauch
339	Jiganhakanpur	428	Udalpur Meheva
340	Nauva Khera	429	Midryya
341	Shabbudinpur	430	Saalyadari
342	Rajagaj Ghugchi	431	Lakhimpur Dehat
343	Dhariragaan	432	Parapur
344	Laudhaura	433	Rudrapur Khurd
345	Karanpur	434	Sisaura
346	Udhanpur	435	Banwanpur
347	Bhelbhudi	436	Sigariya
348	Padriya	437	Manikapur
349	Lakheya	438	Sahuhan
350	Bijadi	439	Salemur
351	Bchitta	440	Meerpur
352	Sauton	441	Ramapur
353	Chauraha	442	Pehadpur
354	Beriya	443	Lehauranagar
355	Bajvapur	444	Aadhachhat
356	Rampur Gokul	445	Serri Aasiya
357	Aliyapur	446	Baus Tal
358	Makrand	447	Dimhaura
359	Muraha	448	Mohammadabad
360	Entapur	449	Moozampur Khurd
361	Bergadhiya	450	Sarakapur
362	Barkherwa Khemhara	451	Marathapur
363	Pachpoda	452	Chak Khurapur
364	Dhauriva Kurd	453	Serri Sakhanat
365	Naridwal	454	Serri Raita
366	Uliniya	455	Mohammadpur Khurd
367	Kumariya	456	Patliya
368	Gumariya	457	Kuliyya
369	Himilapur	458	Chak Bilalapur
370	Amilapur	459	Gopalpur
371	Kuliyya	460	Parandia
372	Monyan	461	Diyarain
373	Salyinaya Uthi	462	Pachholan
374	Salyinaya Duvkad	463	Uthapur
375	Salyinaya	464	Kolpur
376	Peorpur	465	Chak Kamalapur
377	Kauriyya Juxile	466	Motipur
378	Hasenpur	467	Jamuniya
379	Dorrayasapur	468	Musopa Kalan
380	Adhanpur	469	Maitapur
381	Kauriyya Chamu	470	Satuna
382	Lakariya	471	Ramal Mubaratpur
383	Pippa Karamchand	472	Saidpur Karapur
384	Kalapur	473	Khanpur Ghurail
385	Audhahana	474	Keshavpur Ghurail
386	Rukundipur	475	Haridapur
387	Manikpur	476	Ghardua
388	Lakhesar	477	Leghucha
389	Agan Lal	478	Mahagukhera
390	Dauliyya	479	Mohammedpuram Hewa
391	Mau Dhaidpur	480	Akbalpur
392	Kala Ohundu	481	Rudrapur Kalan
393	Parora Oil		

LEGEND

-  INTERNATIONAL BOUNDARY
-  DISTRICT BOUNDARY
-  TEHSIL BOUNDARY
-  BLOCK BOUNDARY
-  VILLAGE BOUNDARY
-  CLUSTER BOUNDARY
-  RIVER
-  RAILWAY LINE
-  ROADS
-  BLOCK HEADQUARTERS
-  NO. OF IDC VILLAGES
-  CLUSTER NO. TOTAL NO. OF HANDPUMPS



ANNEX K
QUARTERLY PROGRESS REPORT
PROJECT VIII

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

SUB PROJECT - VIII

[1]

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: JULY.- SEPT. 1996
LAST REPORTING PERIOD: APR.- JUNE. 1996

A - SUMMARY SHEET-1

SN.	DESCRIPTION	ALIGARH	MORADABAD	BADAUN	KANPUR(Dehat)	UNNAO	BALLIA	TOTAL
1 (a)	Estimated Cost (Rs. Lacs)							
	Original Estimate.	697.090	764.200	682.290	846.610	569.120	590.380	4149.690
	Latest Agreed Estimate.	937.957	998.675	809.877	1149.277	701.342	770.773	5367.901
(b)	Actual Expenditure upto							
	MARCH, 1996. (Rs. Lacs)	61.658	30.190	62.280	72.516	72.680	59.140	358.464
(c)	Actual Expenditure upto							
	SEPTEMBER, 1996, (Rs. Lacs)	72.470	102.090	110.000	117.123	85.039	68.880	555.602
(d)	Percentage of upto date Expenditure on Latest Estimate.	7.7%	10.2%	13.6%	10.2%	12.1%	8.9%	10.4%
2 (a)	Planned Budget for the year							
	1996-97 (Rs. Lacs)	185.000	202.000	181.000	224.000	151.000	155.860	1098.860
(b)	Quarterly Disbursements							
	Planned. (Rs. Lacs)							
	April - June 1996	12.627	13.787	12.354	15.289	10.306	10.638	75.000
	July - Sept. 1996	31.988	34.927	31.296	38.731	26.109	26.949	190.000
	Oct. - Dec. 1996	54.716	59.744	53.533	66.250	44.660	46.097	325.000
	Janu. - March 1997	85.670	93.542	83.817	103.730	69.925	72.176	508.860
(c)	Expenditure during current							
	year (1996-97)	10.812	71.900	47.720	44.607	12.359	9.740	197.138
3	Villages							
(a)	Target Number of Villages	654	440	681	771	391	411	3348
(b)	No. of Villages covered upto							
	end of Current Quarter	92	60	67	65	22	25	331
	(Villages fully saturated)	17	38	38	24	11	14	142
(c)	% Total Covered Villages							
	Upto Last Period	2.6%	8.4%	6.0%	4.0%	2.8%	5.1%	4.7%
	Upto This Period	14.1%	13.6%	9.8%	8.4%	5.6%	6.1%	9.9%
(d)	% Partly covered Villages							
	Upto Last Period	0.0%	4.3%	1.6%	1.7%	0.0%	4.4%	1.8%
	Upto This Period	11.5%	5.0%	4.3%	5.3%	2.8%	2.7%	5.6%

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

SUB PROJECT - VIII

[2]

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: JULY.- SEPT. 1996
LAST REPORTING PERIOD: APR.- JUNE. 1996

A - SUMMARY SHEET -2

SN.	DESCRIPTION	ALIGARH	MORADABAD	BADAUN	KANPUR(Dehat)	UNNAO	BALLIA	TOTAL
4	Handpumps							
(a)	Target Number of HPs : SWS	399	328	293	685	610	263	2578
	Target Number of HPs : TOTAL	2625	3085	2228	3213	1982	2293	15426
(b)	No. of HPs installed upto end of This Period							
	S.W.S. HandPumps	69	15	36	51	33	11	215
	TOTAL HandPumps	149	168	151	148	79	117	812
(c)	% Realised (SWS HPs)							
	Last Period	11.5%	4.6%	12.3%	3.9%	0.8%	0.8%	5.1%
	This Period	17.3%	4.6%	12.3%	7.4%	5.4%	4.2%	8.3%
(d)	% Realised (TOTAL HPs.)							
	Last Period	4.8%	5.4%	6.8%	3.9%	1.4%	3.5%	4.4%
	This Period	5.7%	5.4%	6.8%	4.6%	4.0%	5.1%	5.3%
	Completion Date							
5 (a)	Original Estimate	12/99	12/99	12/99	12/99	12/99	12/99	12/99
(b)	Latest Agreed Estimate	12/99	12/99	12/99	12/99	12/99	12/99	12/99
(c)	Current Estimate	12/99	12/99	12/99	12/99	12/99	12/99	12/99
(d)	Change since Last Period (Explain, if, Yes.)	NO	NO	NO	NO	NO	NO	NO
	General Progress (severe delay / slight delay / on schedule / ahead / of schedule)	Slight delay due to late receipt of funds from State Government.						
6	Explain.							

B - STAFF MOVEMENT

[Added:- (+), Taken off:- (-)]

SN.	DESCRIPTION	ALIGARH	MORADABAD	BADAUN	KANPUR(Dehat)	UNNAO	BALLIA	TOTAL
1	Superintending Engineer	NIL	NIL	-1,+1	NIL	NIL	-1,+1	-2,+2
2	Executive Engineer	NIL	NIL	NIL	NIL	-1,+1	NIL	-1,+1
3	Assistant Engineer	NIL	NIL	-1,+1	NIL	NIL	NIL	-1,+1
4	Junior Engineer	NIL	NIL	NIL	NIL	NIL	-3,+2	-3,+2

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

SUB PROJECT - VIII

[3]

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: JULY.- SEPT. 1996
LAST REPORTING PERIOD: APR.- JUNE. 1996

C - PHYSICAL AND FINANCIAL PROGRESS DURING THE REPORTING QUARTER

SN.	DISTRICT	NUMBER OF HANDPUMPS					EXPENDITURE					
		Status up		Status at		Total Budget	Status up		Status at		Expenditure upto end of Reporting Period	
		Target	to start of this period	During Period of Reporting	the end of this period		to start of this period	During Period of Reporting	the end of this period			
		(No)	(%)	Target	Achie.	(No)	(No)	(%)	(Rs.Lacs)	(Rs.Lacs)	(%)	(Rs. Lacs)
3	4	5	6	7	8	9	10	11	12	13		
1	ALIGARH	2625	4.8%	84	23	5.7%	937.957	9.2%	31.988	8.370	7.7%	72.470
2	MORADABAD	3085	5.4%	92	0	5.4%	998.675	9.8%	34.927	27.090	10.2%	102.090
3	BADAUN	2228	6.8%	82	0	6.8%	809.877	9.3%	31.296	46.610	13.6%	110.000
4	KANPUR(Dehat)	3213	3.9%	102	24	4.6%	1149.277	10.0%	38.731	32.249	10.2%	117.123
5	UNNAO	1982	1.4%	69	52	4.0%	701.342	12.8%	26.109	12.329	12.1%	85.039
6	BALLIA	2293	3.5%	71	36	5.1%	770.773	10.0%	26.949	9.740	8.9%	68.880
TOTAL		15426	4.4%	500	135	5.3%	5367.901	10.1%	190.000	136.388	10.4%	555.602

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)SUB PROJECT - VIIIQUARTERLY PROGRESS REPORTCURRENT REPORTING PERIOD:
LAST REPORTING PERIOD:JULY.- SEPT. 1996
APR.- JUNE. 1996D - PHYSICAL PROGRESS UPTO THE END OF REPORTING QUARTER

SN.	DISRICT	BLOCK	TARGET				ACHIEVEMENT				PERCENTAGE		
			VILLS.	HANDPUMPS		VILLS.	HANDPUMPS		SWS	OTHER	TOTAL		
				SWS	OTHER		TOTAL	SWS				OTHER	TOTAL
1	2	3	4	5	6	7	8	9	10	11	12	13	14
1	Aligarh	Atrauli	116	49	312	361	27	31	12	43	63.3%	3.8%	11.9%
		Bijauli	90	46	249	295	14	5	9	14	10.9%	3.6%	4.7%
		Gangiri	101	74	477	551	4	9	16	25	12.2%	3.4%	4.5%
		Jawan	110	78	488	566	15	8	20	28	10.3%	4.1%	4.9%
		Lodha	134	69	321	390	19	6	13	19	8.7%	4.0%	4.9%
		Dhanipur	103	83	379	462	13	10	10	20	12.0%	2.6%	4.3%
		Total	654	399	2226	2625	92	69	80	149	17.3%	3.6%	5.7%
2	Moradabad	Bilari	123	58	539	597	23	5	61	66	8.6%	11.3%	11.1%
		Dingarapur	139	74	761	835	6	0	7	7	0.0%	0.9%	0.8%
		Moradabad	82	146	856	1002	10	0	3	3	0.0%	0.4%	0.3%
		Moondapanday	96	50	601	651	21	10	82	92	20.0%	13.6%	14.1%
		Total	440	328	2757	3085	60	15	153	168	4.6%	5.5%	5.4%
3	Budaun	Rajpura	99	43	294	337	2	0	0	0	0.0%	0.0%	0.0%
		Gunnaur	94	37	278	315	17	8	37	45	21.6%	13.3%	14.3%
		Junawai	114	50	295	345	11	7	26	33	14.0%	8.8%	9.6%
		Dehgawan	124	21	402	423	13	6	20	26	28.6%	5.0%	6.1%
		Sahaswan	161	89	333	422	9	0	0	0	0.0%	0.0%	0.0%
		Ambaipur	89	53	333	386	15	15	32	47	28.3%	9.6%	12.2%
		Total	681	293	1935	2228	67	36	115	151	12.3%	5.9%	6.8%

Conti....

DUTCH AIDED RURAL WATER SUPPLY SCHEME (HANDPUMPS)

[5]

SUB PROJECT - VIII

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD:

JULY.- SEPT. 1996

LAST REPORTING PERIOD:

APR.- JUNE. 1996

D - PHYSICAL PROGRESS UPTO THE END OF REPORTING QUARTER

SN.	DISRICT	BLOCK	TARGET				ACHIEVEMENT				PERCENTAGE		
			VILLS.	HANDPUMPS			VILLS.	HANDPUMPS			SWS	OTHER	TOTAL
				SWS	OTHER	TOTAL		SWS	OTHER	TOTAL			
1	2	3	4	5	6	7	8	9	10	11	12	13	14
4	Kanpur (Dehat)	Rajpur	80	19	129	148	3	3	5	8	15.8%	3.9%	5.4%
		Malasa	82	27	141	168	7	5	6	11	18.5%	4.3%	6.5%
		Amraudha	63	30	161	191	3	3	6	9	10.0%	3.7%	4.7%
		Jhijhak	63	104	283	387	7	10	3	13	9.6%	1.1%	3.4%
		Sandalpur	84	38	240	278	7	3	10	13	7.9%	4.2%	4.7%
		Derapur	77	51	213	264	9	7	14	21	13.7%	6.6%	8.0%
		Rasulabad	93	207	473	680	12	9	18	27	4.3%	3.8%	4.0%
		Patara	48	79	310	389	7	6	15	21	7.6%	4.8%	5.4%
		Bhitargaon	97	87	380	467	6	2	12	14	2.3%	3.2%	3.0%
		Ghatampur	84	43	198	241	4	3	8	11	7.0%	4.0%	4.6%
Total		771	685	2528	3213	65	51	97	148	7.4%	3.8%	4.6%	
5	Unnao	Hasanganj	98	147	304	451	4	10	22	32	6.8%	7.2%	7.1%
		Nawabganj	76	82	208	290	4	9	7	16	11.0%	3.4%	5.5%
		Auras	44	88	137	225	5	0	0	0	0.0%	0.0%	0.0%
		Miyaganj	66	77	178	255	2	0	0	0	0.0%	0.0%	0.0%
		Ganjmoradabad	42	95	191	286	4	6	6	12	6.3%	3.1%	4.2%
		Bhangarmau	65	121	354	475	3	8	11	19	6.6%	3.1%	4.0%
Total		391	610	1372	1982	22	33	46	79	5.4%	3.4%	4.0%	
6	Ballia	Nawanagar	63	38	284	322	7	3	18	21	7.9%	6.3%	6.5%
		Pandha	38	37	343	380	8	4	25	29	10.8%	7.3%	7.6%
		Maniyar	60	28	226	254	0	0	0	0	0.0%	0.0%	0.0%
		Beruarbari	45	20	196	216	3	3	23	26	15.0%	11.7%	12.0%
		Bansdih	60	31	211	242	0	0	8	8	0.0%	3.8%	3.3%
		Hanumanganj	36	28	213	241	4	0	12	12	0.0%	5.6%	5.0%
		Garwar	27	18	89	107	3	1	19	20	5.6%	21.3%	18.7%
		Sohaon	25	22	108	130	0	0	1	1	0.0%	0.9%	0.8%
		Dubahar	30	22	177	199	0	0	0	0	0.0%	0.0%	0.0%
		Belhari	14	12	99	111	0	0	0	0	0.0%	0.0%	0.0%
		Bairia	13	7	84	91	0	0	0	0	0.0%	0.0%	0.0%
Total		411	263	2030	2293	25	11	106	117	4.2%	5.2%	5.1%	
GRAND TOTAL			3348	2578	12848	15426	331	215	597	812	8.3%	4.6%	5.3%

DUTCH AIDED RURAL WATER SUPPLY SCHEME, (HANDPUMPS)

SUB PROJECT - VIII

[6]

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD:

JULY.- SEPT. 1996

LAST REPORTING PERIOD:

APR.- JUNE. 1996

E-REIMBURSEMENT CLAIMS

REIMBURSEMENT CLAIMS SUBMITTED OVER REPORTING PERIOD

SN.	DISTRICT	CLAIMS SUBMITTED UPTO START OF THE REPORTING QUARTER	CLAIMS SUBMITTED FOR THE QUARTER ENDING 9/96	CLAIMS SUBMITTED UPTO END OF THE REPORTING QUARTER
1	2	3	4	5
1	ALIGARH	Rs. 6,165,844.35	Rs. 0.00	Rs. 6,165,844.35
2	MORADABAD	Rs. 3,019,000.00	Rs. 0.00	Rs. 3,019,000.00
3	BADAUN	Rs. 6,288,000.00	Rs. 0.00	Rs. 6,288,000.00
4	KANPUR(Dehat)	Rs. 7,251,600.00	Rs. 0.00	Rs. 7,251,600.00
5	UNNAO	Rs. 7,268,000.00	Rs. 0.00	Rs. 7,268,000.00
6	BALLIA	Rs. 5,744,000.00	Rs. 0.00	Rs. 5,744,000.00
TOTAL		Rs. 35,736,444.35	Rs. 0.00	Rs. 35,736,444.35

POSITION OF UPTO DATE REIMBURSEMENT CLAIMS

CLAIM NO.	PERIOD COVERED BY CLAIMS (UPTO)	AMOUNT OF CLAIM (Rs.)	CUMMULATIVE CLAIMS (Rs.)	SUBMITTED TO GOVT. OF INDIA ON DATE
1	2	3	4	5
1	31.03.96	Rs. 35,736,444.35	Rs. 35,736,444.35	07.96

DURING CURRENT YEAR (96-97)

DUTCH AIDED RURAL WATER SUPPLY SCHEME, (HANDPUMPS)

SUB PROJECT - VIII

[7]

CURRENT REPORTING PERIOD:

JULY.- SEPT. 1996

LAST REPORTING PERIOD:

APR.- JUNE. 1996

PROGRESS OF BUILDING WORKS

SN	DISTRICT	BUILDINGS	LOCATION	TARGET DATE OF COMPLETION	% PROGRESS	PRESENT STATUS OF WORKS
1	2	3	4	5	6	7
1.	ALIGARH	District Laboratory	Aligarh	3/98	0.5%	Land aquisition is in progress
		District Inspection House	Aligarh	3/98	0.5%	
		Tehsil level office / godown	(i) Atrauli	3/98	40%	Up tp slab level
	do....	(ii) Koli	3/98	0%	
2.	MORADABAD	District Laboratory	Moradabad	3/98	0%	-
		District Inspection House	Moradabad	3/98	0%	-
		Tehsil level office / godown	(i) Bilari	3/98	0%	-
3.	BADAUN	District Laboratory	Budaun	3/98	0%	-
		District Inspection House	Budaun	3/98	0%	-
		Tehsil level office / godown	(i) Sahaswan	3/98	0%	-
	do....	(ii) Gunnaur	3/98	0%	-
4.	KANPUR(Dehat)	District Laboratory	Kanpur	3/98	2%	Offical possession of land recd.
		District Inspection House	Kanpur	3/98	2%	Offical possession of land recd.
		Tehsil level office / godown	(i) Rasulabad	3/98	2%	Offical possession of land recd.
	do....	(ii) Derapur	3/98	2%	Offical possession of land recd.
	do....	(iii) Bhognipur	3/98	0%	Land aquisition is in progress
5.	UNNAO	District Laboratory	Unnao	3/98	2%	Land acquired
		District Inspection House	Unnao	3/98	2%	Land acquired
		Tehsil level office / godown	(i) Hasanganj	3/98	0%	-
	do....	(ii) Safipur	3/98	0%	-
6.	BALLIA	District Laboratory	NA.	-	-	-
		District Inspection House	NA.	-	-	-
		Tehsil level office / godown	Ballia	3/98	2%	Land acquired
	do....	Bairya	3/98	2%	Land acquired

DUTCH AIDED RURAL WATER SUPPLY SCHEME, (HANDPUMPS)

[8]

SUB PROJECT - VIII

QUARTERLY PROGRESS REPORT

CURRENT REPORTING PERIOD: JULY.- SEPT. 1996
LAST REPORTING PERIOD: APR.- JUNE. 1996

F.- DETAILS OF CONTRACT BONDS AWARDED / UNDER EXECUTION DURING THE REPORTING PERIOD

Sn.	Name of the Scheme	Brief description of the work for which Contract is awarded	Value of Contract (in Rs. Lacs)	Name of Contractor	Date of Start	Likely Date of Completion	Present Status of Works included in the contract	REMARK
1	2	3	4	5	6	7	8	9

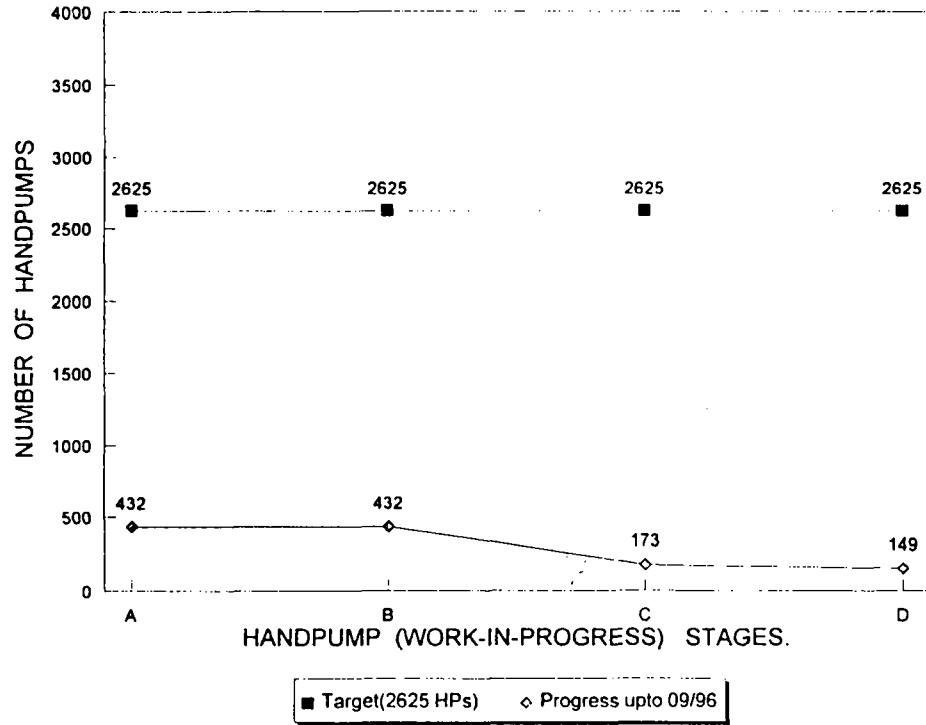
A. Contract Bonds of Value - More than Rs. 100,000.00

1	ALIGARH	N I L
2	MORADABAD	N I L
3	BADAUN	N I L
4	KANPUR(Dehat)	N I L
5	UNNAO	N I L
6	BALLIA	N I L

B. Contract Bonds of Value - More than Rs. 50,000.00

1	ALIGARH	N I L
2	MORADABAD	N I L
3	BADAUN	N I L
4	KANPUR(Dehat)	N I L
5	UNNAO	N I L
6	BALLIA	N I L

Work-in-Progress of HandPumps
DISTRICT - ALIGARH



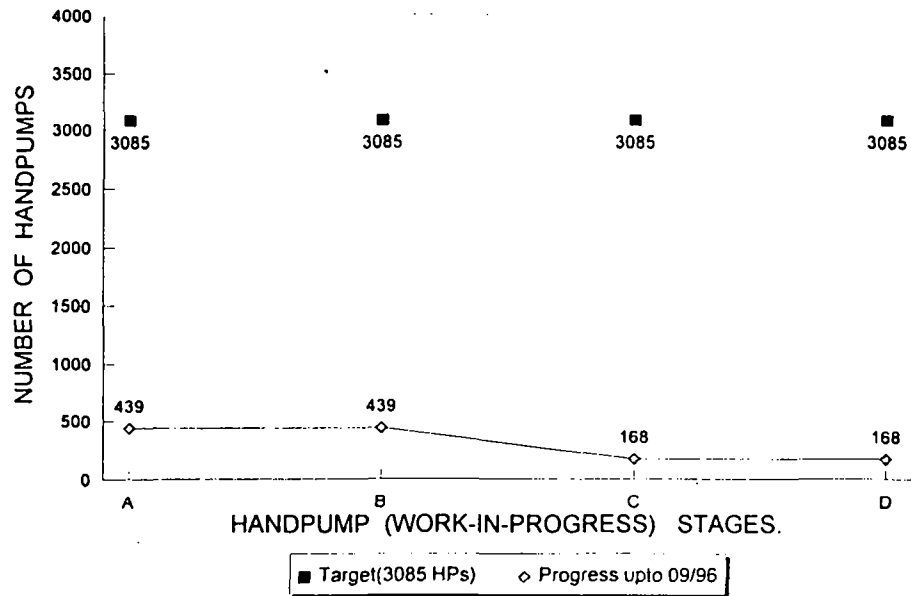
SUB PROJECT - VIII

DISTRICT - ALIGARH

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	2625	432
B	HP instld. & Commisioned	2625	432
C	Platform Constructed	2625	173
D	Drain Complete.	2625	149

**Work-in-Progress of HandPumps
DISTRICT - MORADABAD**



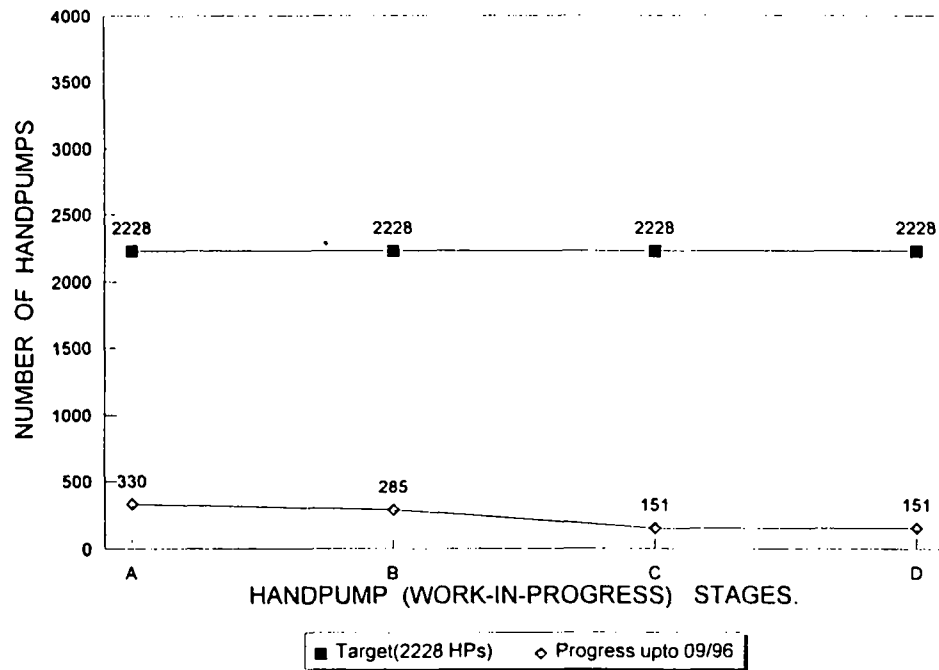
SUB PROJECT - VIII

DISTRICT - MORADABAD

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	3085	439
B	HP instld. & Commisioned	3085	439
C	Platform Constructed	3085	168
D	Drain Complete.	3085	168

Work-in-Progress of HandPumps
DISTRICT - BADAUN



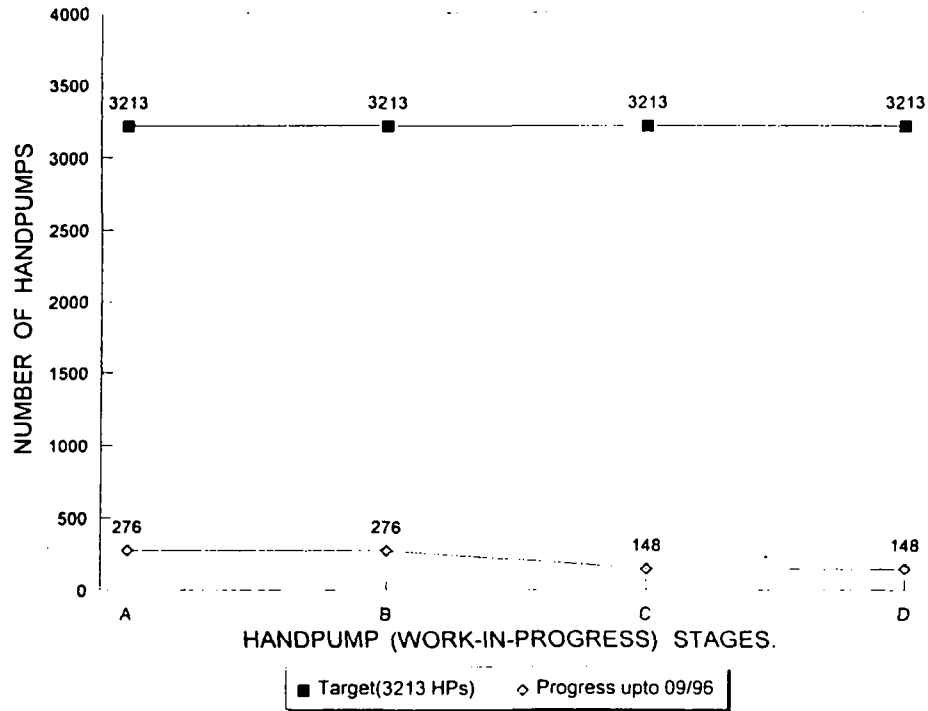
SUB PROJECT - VIII

DISTRICT - BADAUN

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	2228	330
B	HP instld. & Commisioned	2228	285
C	Platform Constructed	2228	151
D	Drain Complete.	2228	151

Work-in-Progress of HandPumps
DISTRICT - KANPUR (Dehat)



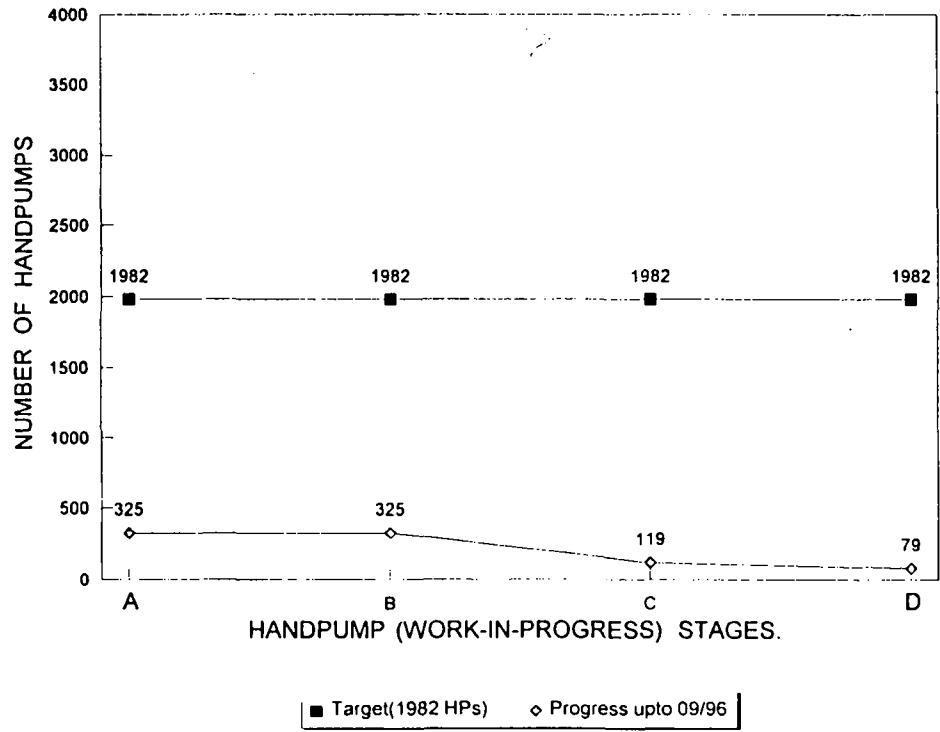
SUB PROJECT - VIII

DISTRICT - KANPUR (Dehat)

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	3213	276
B	HP instld. & Commisioned	3213	276
C	Platform Constructed	3213	148
D	Drain Complete.	3213	148

Work-in-Progress of HandPumps
DISTRICT - UNNAO



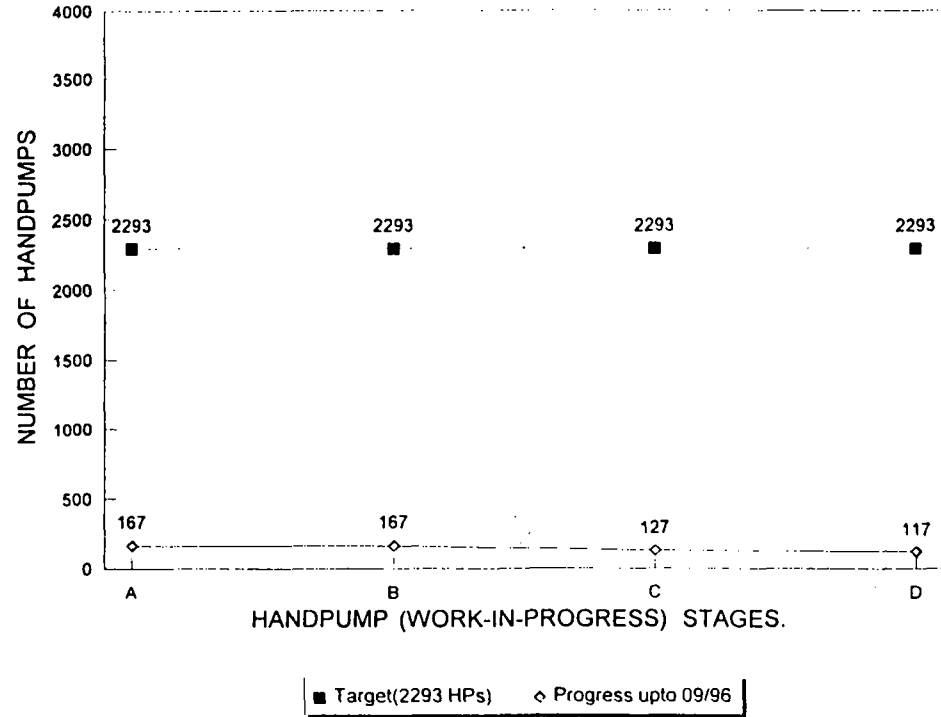
SUB PROJECT - VIII

DISTRICT - UNNAO

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	1982	325
B	HP instld. & Commisioned	1982	325
C	Platform Constructed	1982	119
D	Drain Complete.	1982	79

**Work-in-Progress of HandPumps
DISTRICT - BALLIA**



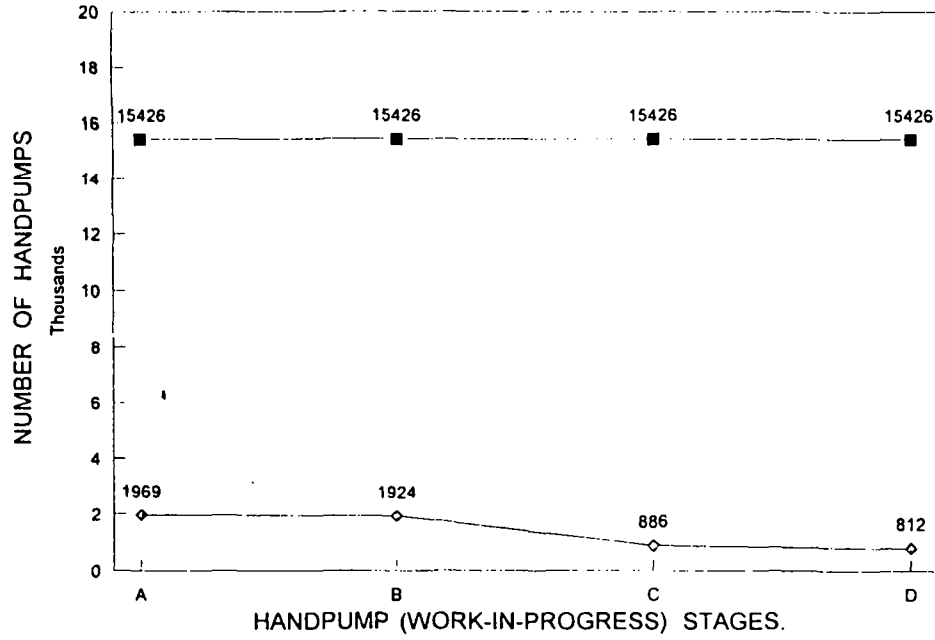
SUB PROJECT - VIII

DISTRICT - BALLIA

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	2293	167
B	HP instld. & Commisioned	2293	167
C	Platform Constructed	2293	127
D	Drain Complete.	2293	117

**Work-in-Progress of HandPumps
(SIX DISTRICTS)**



■ Target(15426 HPs) ◇ Progress upto 09/96

SUB PROJECT - VIII

(SIX DISTRICTS)

DETAILS OF Work-in-Progress OF HAND PUMPS

Work-in-Progress STAGE		TARGET	PROG.
A	Borehole with Casing Pipe	15426	1969
B	HP instld. & Commisioned	15426	1924
C	Platform Constructed	15426	886
D	Drain Complete.	15426	812

ANNEX L
REVISED ESTIMATE
PROJECT VIII

QUARTERLY PHYSICAL TARGETS AND DISBURSEMENT SCHEDULE (REVISED)

(Technical Component including India Mark-II Handpumps, Corrective Measures and Training Component)

SUB-PROJECT - VIII

SN.	ITEMS	1995-96				1996-97				1997-98	
		I QU.	II QU.	III QU.	IV QU.	I QU.	II QU.	III QU.	IV QU.	I QU.	II QU.
1	2	3	4	5	6	7	8	9	10	11	12
1	Procurement of Materials (HPs)										
	No. of Handpumps (India Mark - II)			1500	2000	1500	2000	1500	1000	1000	1000
	Cost of Handpumps @ Rs. 7915.00 each			118.725	158.300	118.725	158.300	118.725	79.150	79.150	79.150
2	Installation of Handpumps										
	No. of Handpumps (India Mark - II)			300	1500	1200	1375	1320	1320	1350	1320
	Cost of Installation @ Rs. 4085.00 each			12.255	61.275	49.020	56.169	53.922	53.922	55.148	53.922
3	Drainage Works										
	(a) Brick Pavement around Handpumps										
	- No. of Handpumps			300	1500	1200	1375	1320	1320	1350	1320
	- Cost of Brick Pavement around Handpumps			1.680	8.400	6.720	7.700	7.392	7.392	7.560	7.392
	(b) Extra Drainage										
	- No. of Handpumps			150	750	600	689	662	661	674	658
	- Cost of Extra Drainage			0.330	1.650	1.320	1.516	1.456	1.454	1.483	1.448
	(c) Soakpits for waste water disposal										
	- No. of Handpumps			77	375	302	345	331	331	336	328
	- Cost of Soakpits for waste water disposal			0.370	1.800	1.450	1.656	1.589	1.589	1.613	1.574
4	Building Works			5.000	10.000	15.000	20.000	20.000	20.000	15.000	15.000
5	Vehicles			5.000	20.000	25.000	20.000	15.000	0.000	0.000	0.000
6	Corrective Measures										
	No. of Handpumps			350	1650	1200	1300	1300	1300	1200	1250
	Cost of repair of Handpumps			4.200	19.800	14.400	15.600	15.600	15.600	14.400	15.000
	BASE COST as on 1.4.92			147.560	281.225	231.635	280.941	233.684	179.107	174.353	173.486
	BASE COST as on 1.10.95 (escalation factor-1.4130)			208.502	397.371	327.300	396.969	330.196	253.078	246.361	245.136
	Physical Contingency @ 8%			16.680	31.790	26.184	31.758	26.416	20.246	19.709	19.611
	SUB TOTAL			225.182	429.161	353.484	428.727	356.611	273.324	266.070	264.747
	Engineering Contingency @ 20%										
	1. Research, Develop. and Project Preparation @ 5%			184.255							
	2. Supervision of Works @ 15%			33.777	64.374	53.023	64.309	53.492	40.999	39.910	39.712
	SUB TOTAL			443.214	493.535	406.506	493.035	410.103	314.323	305.980	304.459
	Price Contingency			11.080	24.985	31.257	51.183	53.891	50.195	57.734	66.495
	TOTAL (Technical Component)			454.294	518.520	437.763	544.219	463.994	364.518	363.714	370.953
	Add for TRAINING Component										
	GRAND TOTAL (TECHNICAL AND TRAINING COMPONENT)			454.294	518.520	437.763	544.219	463.994	364.518	363.714	370.953

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continued.....

QUARTERLY PHYSICAL TARGETS AND DISBURSEMENT SCHEDULE (REVISED)

(Technical Component including India Mark-II Handpumps, Corrective Measures and Training Component)

SUB-PROJECT - VIII

SN.	ITEMS	1997-98		1998-99				TOTAL
		III QU.	IV QU.	I QU.	II QU.	III QU.	IV QU.	
1	2	13	14	15	16	17	18	19
1	Procurement of Materials (HPs)							
	No. of Handpumps (India Mark - II)	800	800	800	700	600	226	15426
	Cost of Handpumps @ Rs. 7915.00 each	63.320	63.320	63.320	55.405	47.490	17.888	1220.968
2	Installation of Handpumps							
	No. of Handpumps (India Mark - II)	1300	1300	1000	1000	700	441	15426
	Cost of Installation @ Rs. 4085.00 each	53.105	53.105	40.850	40.850	28.595	18.015	630.152
3	Drainage Works							
	(a) Brick Pavement around Handpumps							
	- No. of Handpumps	1300	1300	1000	1000	700	441	15426
	- Cost of Brick Pavement around Handpumps	7.280	7.280	5.600	5.600	3.920	2.470	86.386
	(b) Extra Drainage							
	- No. of Handpumps	649	650	500	500	349	221	7713
	- Cost of Extra Drainage	1.428	1.430	1.100	1.100	0.768	0.486	16.969
	(c) Soakpits for waste water disposal							
	- No. of Handpumps	323	322	250	250	175	110	3855
	- Cost of Soakpits for waste water disposal	1.550	1.546	1.200	1.200	0.840	0.528	18.504
4	Building Works	15.000	10.000	10.000	10.000	6.000	0.000	171.000
5	Vehicles	0.000	0.000	0.000	0.000	0.000	0.000	85.000
6	Corrective Measures							
	No. of Handpumps	1200	1250	1000	1000	800	686	15486
	Cost of repair of Handpumps	14.400	15.000	12.000	12.000	9.600	8.232	185.832
	BASE COST as on 1.4.92	156.083	151.681	134.070	126.155	97.213	47.619	2414.810
	BASE COST as on 1.10.95 (escalation factor-1.4130)	220.546	214.325	189.441	178.257	137.362	67.285	3412.127
	Physical Contingency @ 8%	17.644	17.146	15.155	14.261	10.989	5.383	272.970
	SUB TOTAL	238.189	231.471	204.596	192.518	148.351	72.668	3685.097
	Engineering Contengency @ 20%							
	1. Research, Develop. and Project Preparation @ 5%							184.255
	2. Supervision of Works @ 15%	35.728	34.721	30.689	28.878	22.253	10.900	552.765
	SUB TOTAL	273.918	266.191	235.286	221.395	170.603	83.568	4422.116
	Price Contingency	68.168	74.556	73.429	76.357	64.575	34.511	738.417
	TOTAL (Technical Component)	342.086	340.747	308.715	297.752	235.178	118.079	5160.534
	Add for TRAINING Component	33.525	25.545	26.184	26.835	47.050	48.230	207.369
	GRAND TOTAL (TECHNICAL AND TRAINING COMPONENT)	375.611	366.292	334.899	324.587	282.228	166.309	5367.903

SUB PROJECT - VIII

GENERAL BASTRACT OF COST

(Technical Component including India Mark-II Handpumps, Corrective Measures)

SN.	ITEMS	Quantity	Rate	Unit	Amount	Amount in Rs. Lacs
1	2					
1	Supply of the India Mark - II Handpump, 110 mm dia and 63 mm dia P.V.C. pipes, 32 mm dia G.I. Medium quality pipe, P.V.C ribbed screen etc. required for construction and installation of India Mark - II Handpumps in Alluvial soil by casing pipe method.	15426	7915.00	each	122,096,790.00	1220.968
2	Transportation of handpump materials and T&P from store site of work, construction of bore hole in Alluvial soil by casing pipe method, lowering pipe assembly, installation of India Mark - II handpump, construction of platform, drain etc complete as per unit estimate and type design, including supply of all labour T&P etc required for the proper completion of the work.	15426	4085.00	each	63,015,210.00	630.152
3	Provision of additional drainage works for keeping handpump site clean, with proper mangement of waste water.					
	(a) Provision of Brick pavement around handpump platform	15426	560.00	each	8,638,560.00	86.386
	(b) Provision of extra drainage to carry waste water to suitable disposal point in near vicinity.	7713	220.00	each	1,696,860.00	16.969
	(c) Provision for Soakpit for waste water disposal where natural disposal point is not avialable in near vicinity	3855	480.00	each	1,850,400.00	18.504
4	Supply of all materials, labour, T&P etc. and construct following buildings for proper operation and maintenance of installed handpumps.					
	(a) Inspection house at District headquarters.	5	1000000.00	each	5,000,000.00	50.000
	(b) Laboratory at District headquarters.	5	1400000.00	each	7,000,000.00	70.000
	(c) Office cum Godown at Tehsil headquarters.	12	425000.00	each	5,100,000.00	51.000
5	Provision of following vehicles for proper construction and maintenance of handpumps.					
	(a) Jeep with trailer	15	250000.00	each	3,750,000.00	37.500
	(b) Light Truck	8	350000.00	each	2,800,000.00	28.000
	(c) Motor cycles	65	30000.00	each	1,950,000.00	19.500
6	Provision for corrective measures where ever required on existing handpumps installed under other programmes, to bring them at par with new handpumps.	15486	1200.00	each	18,583,200.00	185.832
TOTAL BASE COST as on 1.4.92					241481020.00	2414.810
BASE COST as on 1.10.95 (escalation factor-1.4130)					341212681.26	3412.127

ESTIMATE OF DECENTRALISED HANDPUMP MAINTENANCE TRAINING

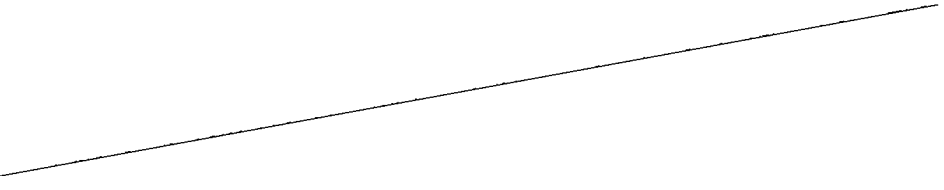
SUB PROJECT - VIII

QUARTER-WISE COST OF TRAINING

SN.	ITEM	YEAR 1997-98		YEAR 1998-99				TOTAL
		III Qua.	IV Qua.	I Qua.	II Qua.	III Qua.	IV Qua.	
A	STAFF							
a	Executive Engineer (part-time) @ 3500.00	63,000	63,000	63,000	63,000	63,000	63,000	378,000
b	Assistant Engineer - 2 No. @7000.00	252,000	252,000	252,000	252,000	252,000	252,000	1,512,000
c	Junior Engineers - 2 Nos. @6000.00	216,000	216,000	216,000	216,000	216,000	216,000	1,296,000
d	Driver - 2 No. @2500.00	90,000	90,000	90,000	90,000	90,000	90,000	540,000
e	Peon - 2 No. @ 2300.00	82,800	82,800	82,800	82,800	82,800	82,800	496,800
f	Helpers - 4 Nos. @ 900.00	64,800	64,800	64,800	64,800	64,800	64,800	388,800
		768,600	768,600	768,600	768,600	768,600	768,600	4,611,600
B	VEHICLES							
A	Cost of motor cycles - 2 Nos. Running and maintenance of vehicles	480,000						480,000
B	Jeep - 2 No. for 3000 km per mth @ Rs. 2.00/Km	216,000	216,000	216,000	216,000	216,000	216,000	1,296,000
C	M/Cycles- 2 Nos. for 2000 km per mth @ Rs. 0.75/Km	54,000	54,000	54,000	54,000	54,000	54,000	324,000
		750,000	270,000	270,000	270,000	270,000	270,000	2,100,000
C	MATERIALS AND EQUIPMENT REQUIRED FOR HANDPUMP CARETAKERS							
	PHASE - 1							
	No. of units	12						12
	No. of training camps	64	64	64	64	64	64	384
	No. of trainees	2,573	2,571	2,571	2,569	2,570	2,572	15,426
1	India Mark-II/III handpumps, with one spare cylinder, 3 metre long threaded 32 mm G.I. pipe and 3 metre long threaded 12 mm dia. connecting rod. One complete pump in assembled condition.							
2	Wooden board to display handpump parts, spares and necessary information.	21,600						21,600
3	Bucket testing the cylinder (15 litres)	1,200						1,200
4	Black board with stand and duster.	7,200						7,200
5	Chalk pieces.	640	640	640	640	640	640	3,840
6	Pot of water with glasses, etc.	3,200	3,200	3,200	3,200	3,200	3,200	19,200
7	Pointer for use with flip chart.	300						300
8	240 cms. X 90 cm cloth banners (with message about training camp, one at entrance of the venue of the camp and another behind de dais in Hindi).	7,200						7,200
9	Mobile maintenance team with standard tools and special tools for demonstration of handpump installation.	8,960	8,960	8,960	8,960	8,960	8,960	53,760
10	10 pages notebook.	7,719	7,713	7,713	7,707	7,710	7,716	46,278
11	Writing ball pen.	7,719	7,713	7,713	7,707	7,710	7,716	46,278
12	Arrangement for food and refreshment for trainers (Resource persons) and caretakers.	160,000	160,000	160,000	160,000	160,000	160,000	960,000
13	Group photograph of all the caretakers, trainers and officers, on second evening.	32,000	32,000	32,000	32,000	32,000	32,000	192,000
14	Materials to be handed over to caretakers after completion of training camp, in a cloth bag. (a) tools for caretakers (M17xM19 spanners - 2 Nos., crank spanner- 1 No. and grease - 0.5 kgs) (b) certificate - 1 No. (completed and signed by authority)	192,975	192,825	192,825	192,675	192,750	192,900	1,156,950
15	Hiring of colour T.V., V.C.R. and generator, for visual display.	20,584	20,568	20,568	20,552	20,560	20,576	123,408
16	Hiring of colour T.V., V.C.R. and generator, for visual display.	38,400	38,400	38,400	38,400	38,400	38,400	230,400
17	Expenses for arrangement of venue, electricity and other facilities for the trainees during their stay.	76,800	76,800	76,800	76,800	76,800	76,800	460,800
18	Initial expenditure for each core unit (one each in one block)	48,000						48,000
18	Remuneration to trainees.	51,460	51,420	51,420	51,380	51,400	51,440	308,520
	Total PHASE - I	685,957	600,239	600,239	600,021	600,130	600,348	3,686,934

SN.	ITEM	YEAR 1997- 98		YEAR 1998- 99				
		III Qua.	IV Qua.	I Qua.	II Qua.	III Qua.	IV Qua.	TOTAL
	PHASE - II							
	No. of Units							2
	No. of Clusters							384
	No. of CLM s							768
1	240 cms. X 90 cms. Cloth banners (with message about training camp, one at entrance of the venue of the camp and another behind the dais in Hindi					4,800	4,800	9,600
2	Mobile maintenance team with standard tools and special tools for demonstration of handpump installation.					14,400	14,400	28,800
3	45 pages note book.					1,980	1,980	3,960
4	Writing ball pen.					1,980	1,980	3,960
5	Arrangement for food and refreshment for trainers (resource persons) and caretakers.					257,400	257,400	514,800
6	Group photograph of all the caretakers, trainers and officers, on second evening.					3,000	3,000	6,000
7	Materials to be handed over to caretakers after completion of training camp, in a cloth bag. (a) tools for caretakers (M17xM19 spanners - 2 Nos., crank spanner- 1 No. and grease - 0.5 kgs) (b) certificate - 1 No. (completed and signed by authority)					633,600	633,600	1,267,200
8	Hiring of colour T.V., V.C.R. and generator, for visual display.					1,980	1,980	3,960
9	Expenses for arrangement of venue, electricity and other facilities for the trainees during their stay. a. Arrangement of Venue. b. Charges for other facilities.					36,000	36,000	72,000
10	Remuneration to Trainees.					21,000	21,000	42,000
						138,600	138,600	277,200
						49,500	49,500	99,000
	Total PHASE -II	0	0	0	0	1,164,240	1,164,240	2,328,480
	Total C (PHASE - I and PHASE - II)	685,957	600,239	600,239	600,021	1,764,370	1,764,588	6,015,414
D	Base Cost as on 01.04.1994 [Total A+B+C]	2,204,557	1,638,839	1,638,839	1,638,621	2,802,970	2,803,188	12,727,014
E	Base Cost as on 01.10.1995	2,556,610	1,900,551	1,900,551	1,900,298	3,250,586	3,250,839	14,759,435
F	Physical Contingencies @ 5%	127831	95028	95028	95015	162529	162542	737,973
	TOTAL	2,684,441	1,995,579	1,995,579	1,995,313	3,413,115	3,413,381	15,497,408
	Price Contingencies factor	0.2489	0.2801	0.3121	0.3449	0.3785	0.4130	
	PRICE CONTINGENGIES	668,058	558,931	622,794	688,161	1,291,902	1,409,637	6,239,482
	TOTAL	3,352,501	2,554,510	2,618,373	2,683,474	4,705,017	4,823,018	20,736,892
	S A Y	3,352,500	2,554,500	2,618,400	2,683,500	4,705,000	4,823,000	20,736,900

ANNEX M
STANDARD FORMS FOR
FINANCIAL REPORTING



2. TOTAL ACCOUNT OF RECEIPTS AND DISBURSEMENTS DURING REPORTING PERIOD

				TOTAL
Balance at start:	Balance project funds at the start of reporting period		a	
			RECEIPTS	
Receipts:	Contribution by NGO	b		
	Income earned by NGO in connection with project	c		
	Netherlands contribution	d		
	Contribution other donors	e		
	Total received during reporting period (b + c + d + e)		f	
	subtotal (a + f)		g	
Disbursements:	Total disbursed during reporting period (see disbursements column b)		h	
Final Balance:	Balance project funds end date reporting period (g-h)		i	

3. Details of funds released Netherlands Minister for Development Cooperation

Activity number:

Name of the project:

Organisation:

1	Total Netherlands Commitment		9999999
2	Cumulative expenditure upto		111
3	Total amount released		
		Details of funds releases:	
		Instalment number	Date of Cheque
			Amount
4	Balance funds available (3-2)		
5	Balance on commitment (1-3)		
6	Request for funds		

ANNEX N
PROJECT X:
POPULATION PROJECTIONS
AND NUMBERS OF HANDPUMPS

SUB PROJECT - X

DETAIL OF POPULATION PROJECTIONS AND NUMBER OF HANDPUMPS PROPOSED

Sl.	Name of TEHSIL No.	Name of BLOCK	Handpumps required					Handpumps already installed					New Handpumps proposed					including 10% for extra **
			SWS	Other	TOTAL	Sch-ools	Hosp-tals	SWS	Other	Schl.	Hsp.	Total	SWS	Other	Sch-ools	Hosp-tals	TOTAL	
1		2	14	15	16	17	18	19	20	21	22	22 a	23	24	25	26	27	28

DISTRICT - BAHRAICH

1	Bahraich	Ikauna	382	822	1204	62	0	204	524	42	5	775	197	350	21	0	547	602
2	Kaisar Ganj	Tajwapur	378	996	1374	22	0	187	723	98	15	1023	229	348	19	0	577	635
3	Bhinga	Sirsiya	364	732	1096	85	0	317	621	73	8	1019	118	210	15	0	328	361
DISTRICT Total :			1124	2550	3674	169	0	708	1868	213	28	2817	544	908	55	0	1452	1598

DISTRICT - BASTI

1	Harraiya	Harraiya :	134	206	340	16	0	70	31	1	0	102	84	176	15	0	260	286
2	Harraiya	Kaptanganj :	185	441	626	77	0	98	281	13	1	393	93	220	64	0	313	344
3	Basti	Sau Ghat	113	291	404	31	0	84	120	14	0	218	37	172	17	0	209	230
4	Khalilabad	Semariyawan	194	588	782	129	0	137	278	14	1	430	95	350	119	0	445	490
DISTRICT Total :			626	1526	2152	253	0	389	710	42	2	1143	309	918	215	0	1227	1350

DISTRICT - GONDA

1	Balrampur	Balrampur	547	1051	1598	123	6	331	550	45	1	927	219	538	78	5	757	833
2	Utraula	Rehra Bazar	398	1144	1542	83	6	64	559	8	0	631	335	610	75	6	945	1040
3	Gonda	Itia Thok	270	815	1085	86	5	122	381	22	2	527	150	444	64	3	594	653
4	Tarab Ganj	Belsar	570	1054	1624	100	4	314	418	40	0	772	258	659	61	4	917	1009
DISTRICT Total :			1785	4064	5849	392	21	831	1908	115	3	2857	962	2251	278	18	3213	3535

DISTRICT - LAKHIMPUR

1	Nighasan	Palia	201	466	667	71	6	161	339	24	0	524	40	127	47	6	220	242
2	Nighasan	Nigahasan	355	850	1205	69	4	272	344	6	0	622	83	506	63	4	656	722
3	Nighasan	Ramiabehar	56	135	191	7	1	48	121	6	1	176	8	14	1	0	23	25
Tehsil Total :			612	1451	2063	147	11	481	804	36	1	1322	131	647	111	10	899	989
4	Mohammadi	Mohammadi	204	323	527	49	1	185	223	47	1	456	19	100	2	0	121	133
5	Mohammadi	Mitauli	240	339	579	79	3	212	243	15	0	470	28	96	64	3	191	210
6	Mohammadi	Basgawan	209	427	636	69	5	181	242	34	3	460	28	185	35	2	250	275
Tehsil Total :			653	1089	1742	197	9	578	708	96	4	1386	75	381	101	5	562	618
DISTRICT Total			1265	2540	3805	344	20	1059	1512	132	5	2708	206	1028	212	15	1461	1607

DISTRICT - SIDDARTHANAGAR

SUB PROJECT - X

DETAIL OF POPULATION PROJECTIONS AND NUMBER OF HANDPUMPS PROPOSED

Sl.	Name of TEHSIL No.	Name of BLOCK	Handpumps required					Handpumps already installed					New Handpumps proposed					including 10% for extra **
			SWS	Other	TOTAL	Sch- ools	Hosp- -tals	SWS	Other	Schl.	Hsp.	Total	SWS	Other	Sch- ools	Hosp- -tals	TOTAL	
1		2	14	15	16	17	18	19	20	21	22	22 a	23	24	25	26	27	28
1	Naugarh	Barhni	139	455	594	56	16	129	353	29	1	512	19	126	27	15	145	160
2	Naugarh	Shoharatgarh	184	415	599	72	20	92	263	7	0	362	94	162	65	20	256	282
3	Naugarh	Birdpur	302	664	966	82	17	135	414	9	0	558	174	267	73	17	441	485
4	Naugarh	Naugarh	269	600	869	103	20	113	350	7	0	470	158	262	96	20	420	462
5	Naugarh	Jogia	188	393	581	47	16	161	319	11	0	491	40	107	36	16	147	162
6	Naugarh	Uska Bazar	306	675	981	76	23	210	476	11	0	697	105	232	65	23	337	371
Tehsil Total :			1388	3202	4590	436	112	840	2175	74	1	3090	590	1156	362	111	1746	1922
7	Bansi	Bansi	204	504	708	88	22	158	388	18	0	564	62	146	70	22	208	229
8	Bansi	Mithwal	289	662	951	96	17	245	520	28	2	795	65	189	68	15	254	279
9	Bansi	Khesraha	261	585	846	80	18	229	463	36	0	728	52	148	44	18	200	220
10	Bansi	Satha	187	493	680	97	22	157	323	15	0	495	42	176	82	22	218	240
Tehsil Total :			941	2244	3185	361	79	789	1694	97	2	2582	221	659	264	77	880	968
DISTRICT Total			2329	5446	7775	797	191	1629	3869	171	3	5672	811	1815	626	188	2626	2890
GRAND TOTAL :			7129	16126	23255	1955	232	4616	9867	673	41	15197	2832	6920	1386	221	9979	10980

Note :- Provision of 10% extra handpumps has been made for public places and creation of new habitations during the project period.

SUB PROJECT - X

DETAIL OF POPULATION PROJECTIONS AND NUMBER OF HANDPUMPS PROPOSED

Sl.	Name of TEHSIL No.	Name of BLOCK	Number of Villages	Number of Habitations	Census Population					Annual growth rate 1971 to 91	Present Population(1999)		
					Per Village		Per Hamlet (1991)				S W S	Other	TOTAL
					1971	1991	sws	Other	Total				
1		2	3	4	5	6	7	8	9	10	11	12	13

DISTRICT - BAHRAICH

1	Bahraich	Ikauna	81	701	67271	104291	20767	83524	104291	2.22%	25256	102033	127289
2	Kaisar Ganj	Tajwapur	87	769	77053	124294	16053	108241	124294	2.42%	20175	132678	152853
3	Bhinga	Sirsiya	111	426	87911	131512	27372	104140	131512	2.03%	33103	123086	156189
DISTRICT Total :			279	1896	232235	360097	64192	295905	360097	2.52%	78534	357797	436331

DISTRICT - BASTI

1	Harraiya	Harraiya :	50	199	15917	23220	5402	18056	23220	1.91%	6226	21367	27593
2	Harraiya	Kaptanganj :	126	394	44723	65883	14259	52008	65883	1.96%	17338	62828	80166
3	Basti	Sau Ghat	63	171	33549	53146	11863	41278	53146	2.33%	14273	50025	64298
4	Khalilabad	Semariyawan	111	259	63752	119212	23535	92464	119212	3.18%	31489	125530	157019
DISTRICT Total :			350	1023	157941	261461	55059	203806	261461	2.41%	69326	259750	329076

DISTRICT - GONDA

1	Balrampur	Balrampur	135	583	129015	196199	39237	156962	196199	2.12%	46501	186931	233432
2	Utraula	Rehra Bazar	96	952	108676	135892	16525	119367	135892	1.12%	19324	141497	160821
3	Gonda	Itia Thok	131	527	77770	128957	19217	109740	128957	2.56%	23537	135667	159204
4	Tarab Ganj	Belsar	80	905	84800	131609	25515	106094	131609	2.22%	30419	127074	157493
DISTRICT Total :			442	2967	400261	592657	100494	492163	592657	2.10%	119781	591169	710950

DISTRICT - LAKHIMPUR

1	Nighasan	Palia	77	N.Av.	52035	98531	24245	74286	98531	3.24%	32773	97092	129865
2	Nighasan	Nigahasan	77	N.Av.	95587	170185	38724	131461	170185	2.93%	48533	168154	216687
3	Nighasan	Ramiabehar	16	N.Av.	14766	31308	6762	24546	31308	3.83%	11410	33300	44710
Tehsil Total :			170	0	162388	300024	69731	230293	300024	0.00%	92716	298546	391262
4	Mohammadi	Mohammadi	109	N.Av.	50544	78863	26865	51998	78863	2.24%	32399	62583	94982
5	Mohammadi	Mitauli	86	N.Av.	51265	80874	28287	52587	80874	2.31%	34143	62696	96839
6	Mohammadi	Basgawan	144	N.Av.	56836	90622	24797	65825	90622	2.36%	30284	81954	112238
Tehsil Total :			339	0	158645	250359	79949	170410	250359	0.00%	96826	207233	304059
DISTRICT Total			509	0	321033	550383	149680	400703	550383	0.00%	189542	505779	695321

SUB PROJECT - X

DETAIL OF POPULATION PROJECTIONS AND NUMBER OF HANDPUMPS PROPOSED

Sl.	Name of TEHSIL No.	Name of BLOCK	Number of Villages	Number of Habitations	Census Population					Annual growth rate 1971 to 91	Present Population(1999)		
					Per Village		Per Hamlet (1991)				S W S	Other	TOTAL
					1971	1991	sws	Other	Total				
1		2	3	4	5	6	7	8	9	10	11	12	13

DISTRICT - SIDDARTHANAGAR

1 Naugarh	Barhni		123	184	58842	89855	15130	74725	89855	2.14%	17930	89026	106956
2 Naugarh	Shoharatgarh		113	232	60552	81228	15756	65472	81228	1.48%	18244	76426	94670
3 Naugarh	Birdpur		106	404	79025	119554	18872	100682	119554	2.09%	22357	119610	141967
4 Naugarh	Naugarh		152	373	70950	101490	19246	82244	101490	1.81%	24405	105887	130292
5 Naugarh	Jogia		148	195	61805	84707	17710	66997	84707	1.59%	20445	76592	97037
6 Naugarh	Uska Bazar		218	372	88058	128441	24744	103697	128441	1.91%	28970	121298	150268
Tehsil Total :			860	1760	419232	605275	111458	493817	605275	1.85%	132351	588839	721190
7 Bansi	Bansi		201	264	71828	97756	14221	83535	97756	1.55%	16476	95678	112154
8 Bansi	Mithwal		313	346	91673	134300	26673	107627	134300	1.93%	31373	127039	158412
9 Bansi	Khesraha		262	304	86029	121302	25499	95803	121302	1.73%	29421	111208	140629
10 Bansi	Satha		161	227	67301	100040	16889	83151	100040	2.00%	19862	97908	117770
Tehsil Total :			937	1141	316831	453398	83282	370116	453398	1.81%	97132	431833	528965
DISTRICT Total			1797	2901	736063	1058673	194740	863933	1058673	1.83%	229483	1020672	1250155
GRAND TOTAL :			3377	8787	1847533	2823271	564165	2256510	2823271	2.14%	686666	2735167	3421833

ANNEX O
PROJECTED
QUARTERLY DISBURSEMENTS

Budgeted and anticipated disbursement to PSU Foundation (October 1996 to March 2000)

(Rupees in lacs)

Sub Project	Oct '96 - Mar '97			April '97 - March '98					April '98 - March '99					April '99 to Mar 2000				
	III	IV	Total	I	II	III	II	Total	I	II	III	IV	Total	I	II	III	IV	Total
	Oct '96 - Dec '96	Jan '97 - Mar '97		Apr '97 - Jun '97	Jul '97 - Sep '97	Oct '97 - Dec '97	Jan '98 - Mar '98		Apr '98 - Jun '98	Jul '98 - Sep '98	Oct '98 - Dec '98	Jan '99 - Mar '99		Apr '99 - Jun '99	Jul '99 - Sep '99	Oct '99 - Dec '99	Jan 2000 - Mar 2000	
Sub Project IV	9.4	10.66	20.06	7.38	7.64	7.65	8.93	31.60	9.47	7.88	8.53	9.10	34.98	9.26	11.88	12.45	0.00	33.59
Sub Project VB	17.61	19.92	37.53	19.92	12.00	12.00	0.00	43.92	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Sub Project Vi	12.5	12.50	25.00	13.75	13.75	13.75	13.75	55.00	15.13	15.13	15.13	15.13	60.52	16.65	16.65	16.65	16.65	66.60
Sub Project VIII	38.76	42.50	81.26	46.34	55.83	45.16	47.51	194.84	48.39	52.14	47.07	47.07	194.67	52.07	49.36	0.00	0.00	101.43
Sub Project IX	14.48	14.48	28.96	15.06	15.80	15.80	16.60	63.26	16.60	17.40	17.40	18.25	69.65	18.25	19.15	19.15	20.10	76.65
Total			192.81					388.62					359.82					278.27

EXTERNALLY AIDED PROJECTS

Sector - RURAL WATER SUPPLY AND SANITATION
Donar Agency - Govt. of NETHERLANDS

Department - U.P. JAL NIGAM

(Amount in Rs. Lacs)

Name of Project	Credit No.	Latest Estimated Cost	Expenditure upto the end of 1995-96	Expected expenditure during 1996-97	Expected Expenditure upto the end of 1996-97	Provision for Ninth Plan Outlay (1997-2002)					
						Year 1997-98	Year 1998-99	Year 1999-2000	Year 2000-01	Year 2001-02	TOTAL
1	2	3	4	5	6	7	8	9	10	11	12

COMPLETED PROJECTS

1 Sub-Project - I	IN 00165	1652.770	1652.770	--	--	--	--	--	--	--	--
2 Sub-Project - III	IN 00013	1273.542	1268.658	--	--	--	--	--	--	--	--
Sub Total		2926.312	2921.428	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000

CONTINUED PROJECTS

3 Sub-Project - IV	IN 84004	1729.245	1572.264	25.000	1597.264	131.981	--	--	--	--	131.981
4a Sub-Project - VI	IN 90010 B	3096.729	2975.594	121.140	3096.734	--	--	--	--	--	0.000
4b Sub-Project - VI (II Addendum)		632.590	--	--	--	338.700	293.890	--	--	--	632.590
5 Sub-Project - VIII	IN 025001	5367.903	358.464	1098.860	1457.324	2139.562	1771.017	--	--	--	3910.579
Sub Total		10826.467	4906.322	1245.000	6151.322	2610.243	2064.907	0.000	0.000	0.000	4675.150

PROJECTS IN PIPELINE

6 Sub-Project - I A	IN 025801	2041.687	--	--	--	--	--	1007.087	1034.600	--	2041.687
7 Sub-Project - VII	IN 075401	4564.946	--	--	--	--	12.400	1268.434	1716.512	1567.600	4564.946
Sub Total		6606.633	0.000	0.000	0.000	0.000	12.400	2275.521	2751.112	1567.600	6606.633

PROPOSED PROJECTS

8 Sub-Project - X		5000.000	--	--	--	--	1000.000	1500.000	1500.000	1000.000	5000.000
Sub Total		5000.000	0.000	0.000	0.000	0.000	1000.000	1500.000	1500.000	1000.000	5000.000
TOTAL		25359.412	7827.750	1245.000	6151.322	2610.243	3077.307	3775.521	4251.112	2567.600	16281.783

EXTERNALLY AIDED PROJECTS

Department - U.P. JAL NIGAM

Sector - RURAL WATER SUPPLY AND SANITATION

Donar Agency - Govt. of NETHERLANDS

(AMOUNT IN RS. LACS)

Name of Project	Credit No.	Latest Estimated Cost	Expenditure upto the end of 1995-96	Expected expenditure during 1996-97	Expected Expenditure upto the end of 1996-97	Provision for Ninth Plan Outlay (1997-2002)											
						Year 1997-98					Year 1998-99						
						I Quarter	II Quarter	III Quarter	IV Quarter	Total	I Quarter	II Quarter	III Quarter	IV Quarter	Total		
1	2	3	4	5	6												
COMPLETED PROJECTS																	
1 Sub-Project - I	IN 00165	1652.770	1652.770	--	--	--	--	--	--	--	--	--	--	--	--	--	--
2 Sub-Project - III	IN 00013	1273.542	1268.658	--	--	--	--	--	--	--	--	--	--	--	--	--	--
Sub Total		2926.312	2921.428	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
CONTINUED PROJECTS																	
3 Sub-Project - IV	IN 84004	1729.245	1572.264	25.000	1597.264	30.000	40.000	30.000	31.981	131.981	--	--	--	--	--	--	--
4a Sub-Project - VI	IN 90010	3096.729	2975.594	121.140	3096.734	--	--	--	--	--	--	--	--	--	--	--	--
4b Sub-Project - VI (II Addendum)		632.590	--	--	--	76.084	65.702	97.524	99.390	338.700	76.085	78.561	75.603	63.641	293.890		
5a Sub-Project - VIII	IN 025001	5160.534	358.464	1098.860	1457.324	529.462	536.701	507.834	506.495	2080.492	474.463	463.500	400.926	283.829	1622.718		
5b Sub-Project - VIII (Training)		207.369	0.000	0.000	0.000	0.000	0.000	33.525	25.545	59.070	26.184	26.835	47.050	48.230	148.299		
		5367.903	358.464	1098.860	1457.324	529.462	536.701	541.359	532.040	2139.562	500.647	490.335	447.976	332.059	1771.017		
Sub Total		10826.467	4906.322	1245.000	6151.322	635.546	642.403	668.883	663.411	2610.243	576.732	568.896	523.579	395.700	2064.907		
PROJECTS IN PIPELINE																	
6a Sub-Project - I A	IN 025801	1975.413	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--
6b Sub-Project - I A (Training)		66.274	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--
		2041.687	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
7 Sub-Project - VII	IN 075401	4518.118	--	--	--	--	--	--	--	--	--	--	--	12.400	12.400		
Sub-Project - VII (Training)		46.828	--	--	--	--	--	--	--	--	--	--	--	--	0.000		
		4564.946	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	12.400	12.400		
Sub Total		6606.633	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	12.400	12.400		
PROPOSED PROJECTS																	
8 Sub-Project - X		4800.000	--	--	--	--	--	--	--	--	150.000	300.000	300.000	250.000	1000.000		
Sub-Project - X (Training)		200.000	--	--	--	--	--	--	--	--	--	--	--	--	--		
Sub Total		5000.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	150.000	300.000	300.000	250.000	1000.000		
TOTAL		25359.412	7827.750	1245.000	6151.322	635.546	642.403	668.883	663.411	2610.243	726.732	868.896	823.579	658.100	3077.307		

EXTERNALLY AIDED PROJECTS

Department - U.P. JAL NIGAM

Sector - RURAL WATER SUPPLY AND SANITATION

Donar Agency - Govt. of NETHERLANDS

(AMOUNT IN RS. LACS)

Name of Project	Credit No.	Provision for Ninth Plan Outlay (1997-2002)															TOTAL for Ninth Plan
		Year 1999-2000					Year 2000-01					Year 2001-02					
		I Quarter	II Quarter	III Quarter	IV Quarter	Total	I Quarter	II Quarter	III Quarter	IV Quarter	Total	I Quarter	II Quarter	III Quarter	IV Quarter	Total	
1	2																
COMPLETED PROJECTS																	
1 Sub-Project - I	IN 00165	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--
2 Sub-Project - III	IN 00013	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--
Sub Total		0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000
CONTINUED PROJECTS																	
3 Sub-Project - IV	IN 84004	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	131.981
4a Sub-Project - VI	IN 90010	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	0.000
4b Sub-Project - VI (II Addendum)		--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	632.590
5a Sub-Project - VIII	IN 025001	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	3703.210
5b Sub-Project - VIII (Training)		--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	207.369
		0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	3910.579
Sub Total		0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	4675.150
PROJECTS IN PIPELINE																	
6a Sub-Project - I A	IN 025801	213.683	222.969	265.727	304.708	1007.087	369.789	357.324	202.063	39.150	968.326	--	--	--	--	--	1975.413
6b Sub-Project - I A (Training)		--	--	--	--	--	14.238	15.532	15.185	21.319	66.274	--	--	--	--	--	66.274
		213.683	222.969	265.727	304.708	1007.087	355.551	341.792	186.878	17.831	1034.600	0.000	0.000	0.000	0.000	0.000	2041.687
7 Sub-Project - VII	IN 075401	351.466	258.449	321.131	337.388	1268.434	376.235	424.646	458.071	457.560	1716.512	434.810	430.805	356.379	298.778	1520.772	4518.118
Sub-Project - VII (Training)		0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	0.000	13.543	10.139	11.420	11.726	46.828	46.828
		351.466	258.449	321.131	337.388	1268.434	376.235	424.646	458.071	457.560	1716.512	421.267	420.666	344.959	287.052	1567.600	4564.946
Sub Total		565.149	481.418	586.858	642.096	2275.521	731.786	766.438	644.949	475.391	2751.112	421.267	420.666	344.959	287.052	1567.600	6606.633
PROPOSED PROJECTS																	
8 Sub-Project - X		300.000	400.000	450.000	350.000	1500.000	300.000	400.000	450.000	350.000	1500.000	150.000	250.000	200.000	200.000	800.000	4800.000
Sub-Project - X (Training)		--	--	--	--	--	--	--	20.000	30.000	50.000	30.000	40.000	40.000	40.000	150.000	200.000
Sub Total		300.000	400.000	450.000	350.000	1500.000	300.000	400.000	470.000	380.000	1550.000	180.000	290.000	240.000	240.000	950.000	5000.000
TOTAL		865.149	881.418	1036.858	992.096	3775.521	1031.786	1166.438	1114.949	855.391	4301.112	601.267	710.666	584.959	527.052	2517.600	16281.783