

R 8 2 2
IN.UT 8 7

REPORT ON MISSION 16 TO UTTAR PRADESH (UP-16)

Formulation study for most appropriate institutional set-up
for implementing Sub-Project V, with particular attention
to community involvement and participation

LIBRARY
INTERNATIONAL REFERENCE CENTRE
FOR COMMUNITY WATER SUPPLY AND
SANITATION (IRC)

New Delhi
April 1987

JATIN DE

DUBBEL

R022 - 3006

REPORT ON MISSION 16 TO UTTAR PRADESH (UP-16)

Formulation study for most appropriate institutional set-up
for implementing Sub-Project V, with particular attention
to community involvement and participation

LIBRARY, INTERNATIONAL REFERENCE
CENTRE FOR COMMUNITY WATER SUPPLY
AND SANITATION (IC) ~~(IC)~~
P.O. Box 93190, 2309 AD The Hague
Tel. (070) 814911 ext. 141/142
RN: ~~IC 822~~ ISBN = 97 3006
LO: *R 822 IN.UT 87

New Delhi
April 1987

JATIN DE

ABBREVIATIONS/NOTES

ADO	Assistant Development Officer, block level functionary
ADM	Additional District Magistrate
ADPRO	Assistant District Panchayati Raj Officer
ANM	Auxiliary Nurse/Midwife
BDO	Block Development Officer
CCEP	Communication, Community Education and Participation
CDO	Chief Development Office, District level officer next to the District Magistrate, coordinates all development programmes in district
CIE	Communication Information and Education
CMO	Chief Medical Officer
CHEB	Central Health Education Bureau
DCP	Dutch Credit Programme
DHUD	Department of Housing and Urban Development
DIO	District Information Officer
DDM	District Development Officer
DM	District Magistrate
DPRO	District Panchayati Raj Officer
DRDA	District Rural Development Agency
DRDPR	Department of Rural Development and Panchayati Raj
DWCRA	Development of Women and Children in Rural Areas
EPI	Extended Programme of Immunization
ETC	Extension Training Centre
JE	Junior Engineer
NGO	Non-governmental Organization
NREP	National Rural Employment Programme
PHC	Primary Health Centre
PI	Panchayat Inspector, incharge of panchayat udyog, a registered enterprise under the Panchayati Raj Institution
PRAI/ PRAD	Planning Research and Action Institute, presently known as Planning Research and Action Division
PUC	Panchayat Udyog Centre - same as described in PI
RLEGP	Rural Landless Employment Guarantee Programme
SEW	Social Extension Wing
SHED	State Health Education Bureau
TAG	Technology Advisory Group

UNDP United Nations Development Programme
UNICEF/ United Nations Children's Fund/Regional Office of South
ROSCA Central Asia
UP Uttar Pradesh
UPJN Uttar Pradesh Jal Nigam
UPDESCO Uttar Pradesh Development Systems Corporation Ltd., a
Lucknow based Government undertaking agency for project
planning, evaluation and monitoring of social development
programmes
UPG Uttar Pradesh Government
U/U/U UNICEF/UNDP and Uttar Pradesh Government

VDO Village Development Officer
VPO Village Panchayat Officer
VLW Village Level Worker

CONTENTS

	<u>Page</u>
1. INTRODUCTION	1
1.1 Objectives	2
1.2 Scope of the study	2
1.3 Methodology	3
1.4 Composition of mission 16	4
1.5 Time schedule	4
2. FIELD VISIT	5
2.1 Allahabad/Varanasi: Rural Sanitation Programmes being implemented by Panchayati Raj	5
2.1.1 Brief description of the programme	6
2.1.2 Institutional set-up for implementing the programme	11
2.1.3 Some impressions	13
2.2 Varanasi: Rural Sanitation Programme being implemented by UP Jal Nigam	17
2.2.1 Some impressions	19
3. PRESENTATION OF DISCUSSIONS WITH VARIOUS AGENCIES ON SUITABLE INSTITUTIONAL ARRANGEMENT FOR IMPLEMENTATION OF UP SUB-PROJECT V: AN OVERVIEW	22
4. RECOMMENDED ORGANISATIONAL SET-UP FOR SUB-PROJECT V	28
5. EVOLVING AN EFFECTIVE SOFTWARE PACKAGE	34
5.1 Existing health education materials: An overview	34
5.2 Needs for new approach, literature and strategies to ensure community involvement and participation	36
5.3 Recommended institutional support to achieve 5.2	38
6. THE SOCIAL EXTENSION WING (SEW)/AND THE DIRECTION AND MONITORING UNIT (DMU)	39
6.1 Background	39
6.2 Major tasks of the Social Extension Wing (SEW)	40
6.3 Tentative organizational set-up and staff pattern	41
7. CONCLUDING OBSERVATIONS	42

CONTENTS

	<u>Page</u>
Annex 1: Terms of reference of mission UP-16	44
Annex 2: Itinerary	49
Annex 3: List of relevant persons/institutions visited	54
Annex 4: Cost-estimate of construction of sanitary latrines in rural areas in UP being implemented by the Panchayati Raj	57
Annex 5: Drawing of sanitary latrine in rural areas in UP being implemented by the Panchayati Raj	58

1. INTRODUCTION

Sub-Project V (sanitation, drainage and health education) was formulated within the framework of the Bilateral Rural Water Supply Programme under the so-called Dutch Credit Programme (DCP) in six districts (Agra, Mathura, Etawah, Rae Bareli, Allahabad and Varanasi) of Uttar Pradesh. The set-up for Sub-Project V as proposed by mission UP-11 in March 1985 was mainly based on that of the approach of the so-called 'U/U/U Programme', a UNICEF/UNDP sponsored feasibility study on low-cost sanitation which was already initiated by that time. Meanwhile some changes took place with regard to approach and institutional arrangement in implementing the rural sanitation programmes in U.P. Since the approach and institutional framework used for the feasibility study and also proposed for Sub-Project V are no longer the same as that used in on-going rural sanitation programmes, it requires a fresh look to identify the most appropriate institutional set-up for implementing Sub-Project V.

A crucial element in choosing an institutional framework for Sub-Project-V is the requirement that effective coordination of the various departments and agencies at field level must be guaranteed for proper integration and ensuring community's active involvement and participation in the programme. Since the previous mission (mission 15 to UP) was not in a position to undertake a detailed investigation in this matter due to prolonged strike of State Government employees (Nov-Dec 1986), the mission 16 was entrusted to accomplish such a formulation study for Sub-Project V.

1.1 Objectives

The main objective of the study is to investigate the existing organizational and coordinating structures for sanitation and health education/community involvement and to submit recommendations for the most appropriate institutional set-up for implementing Sub-Project V and secondly to recommend a suitable software package for ensuring community's involvement with particular attention to rural women's involvement and participation.

1.2 Scope of the Study

For achieving the above objectives the study has rather concentrated on three main aspects:

- (a) the identification of a feasible institutional set-up for implementation of Sub-Project V;
- (b) evolving an effective software package for ensuring community involvement and participation (with recommended institutional support); and
- (c) the composition of and job description for the Social Extension Wing (SEW) proposed for the UP Jal Nigam to plan and carry out the software package for achieving better integration in its on-going and future water supply programmes.

1.3 Methodology

Since the institutional arrangement for implementation and overall coordination of rural sanitation programme in UP has recently been entrusted with the Department of Rural Development and Panchayati Raj (DRDPR) - the entire exercise of formulation study for appropriate institutional set-up for Sub-Project V required a little more extensive discussions with relevant agencies and in-depth field observations. Besides a series of discussions with various governmental and non-governmental agencies/departments, the mission had also visited the field where it was possible to witness the institutional/operational arrangement of on-going rural sanitation programme being implemented by Panchayati Raj (Allahabad/Varanasi) as well as the sanitation programme which had already been undertaken by UP Jal Nigam (U/U/U Programme in Varanasi). Extensive discussions and interviews in the field were also carried out with the field staff, block officials (who were directly involved in the operation of the programmes), and beneficiaries specially with the women folk of the community. As in the case of Varanasi where UP Jal Nigam had implemented the so-called 'U/U/U Programme', efforts have been made to interview the concerned contractors who were involved in carrying out the construction of sub-structure of a sanitary latrines under the supervision of Jal Nigam. The mission had also visited some Panchayati Udyog Centres (PUC) in above two districts. Those centres were entrusted to produce and supply the necessary materials (such as pan, trap, pit cover, pipe, foot stand, etc.) upto the block headquarters. The mission

had also undertaken series of discussions with UNICEF, New Delhi, TAG as well as UNICEF, Upper India Office, Lucknow to find out possible suggestions for institutional set-up. A special effort was also made to identify some relevant local level NGOs.

1.4 Composition of Mission 16

The mission was consisting of one member, Dr J. De who has expertise in social policy and institutional planning and also in communication, community education and participation (CCEP).

1.5 Time Schedule

The detailed time schedule is appended (Annex 1), however, due to the field situation (especially the non-availability of UP Jal Nigam senior staff during mission's stay at Lucknow from 26-31 December 1986) the following changes took place in the time schedule.

Allahabad stay - January 1-3, 1987 originally it was scheduled upto January 4.

Arrival at Varanasi - January 4, 1987 originally it was scheduled on January 5.

Varanasi stay - January 4-6, 1987 originally it was scheduled upto January 8.

Arrival at Lucknow - January 6, 1987 originally it was scheduled on January 8.

Lucknow stay - January 6-10, 1987 originally it was scheduled from January 8.

2. FIELD VISIT

2.1 Allahabad/Varanasi: Rural Sanitation Programmes being implemented by Panchayati Raj

The Panchayati Raj in U.P. has undertaken two sanitation programmes in rural areas: UNICEF-assisted and union government sponsored subsidised scheme under RLEGP/NREP programmes. The union government sponsored programme for the rural poor and weaker sections (especially for scheduled castes and scheduled tribes) has recently received some special attention in terms of coverage, target and priority. The mission visited the areas where the union government sponsored programme is prominently visible than the former one. Therefore, mission's comments and reference in the following sections will be mostly on the union government sponsored programme.

Allahabad and Varanasi are among the fiftyseven districts where rural sanitation programme (union government sponsored) being implemented by the Panchayati Raj. In these two districts it had target to complete 2620 units of households latrines (1710 units for Allahabad and 910 units for Varanasi) by end of 31 March 1987. When the mission was in the field in early January, Allahabad was nearer to achieve its target by competing about 1300 units while Varanasi had yet to start a single one. However, the mission was informed by the Chief Development Officer (CDO), Varanasi, that the construction work in Varanasi would be commenced at any time since all necessary materials for

construction were already produced by the concerned Panchayat Udyog Centres. But considering the size of the district, problem of transportation of materials from Panchayat Udyog Centres to the block headquarters and subsequently to the actual construction sites and the absence of necessary social preparation, the mission is of the opinion that it would be quite a difficult task for district authorities to complete 910 units within such a short period (since there was hardly six weeks left to achieve the target before 31 March). Moreover, the post of DPRO (District Panchayati Raj Officer) for Varanasi, practically the key person in this entire exercise was vacant for quite sometime. However, the mission's impression about the performance and potentiality of the Panchayati Raj in implementing this programme with special reference to these above districts will be discussed in section 2.2.1. It can be mentioned here that besides inspecting the actual construction sites, the mission also visited three Panchayat Udyog Centres (Bahadurpur and Phoolpur in Allahabad district and Kasi Vidyapeeth in district Varanasi).

2.1.1 Brief description of the Programme

2.1.1a The Panchayati Raj under the Department of Rural Development is recently entrusted to implement sanitation programme in rural areas of U.P. Besides constructing 3860 units (individual household as well as institutional) of sanitary latrines (with UNICEF collaboration in seven districts but recently concentrated only on two districts as intensive coverage programme), the Panchayati Raj is

rather carrying out rural sanitation programme in a more bigger scale in fiftyseven districts in U.P. under two union government sponsored schemes - the Rural Landless Employment Guarantee Programme (RLEGP) and the National Rural Employment Programme (NREP). Under these two schemes priority is given to the rural poor and weaker sections especially the scheduled caste and scheduled tribe population, to construct household sanitary latrines with cent per cent subsidy upto superstructure level (except door and roof which are to be provided by the individual beneficiaries). During the current financial year (till March 31 1987) the Panchayati Raj has a target to complete 45 000 units of household sanitary latrines in rural areas under this programme.

2.1.1b Cost Estimate

The unit cost for a household sanitary latrine under two union government sponsored schemes was estimated Rs.980/- (with double pit provision for future, but single pit construction at the moment) upto the superstructure level without the provision of door and roof (design and detailed cost-estimate are appended in Annex 4 and 5). Since both the schemes are oriented towards generating maximum employment opportunity for the rural poor, the material - labour ratio was estimated as 50:50. But the mission was told by the field level operation staff that in reality the ratio came to 65:35 (as material and labour

respectively). The mission found in majority cases of fiftyone units which it physically inspected in the district Allahabad that labour (except masonry work) was contributed by the beneficiaries themselves. It can also be noted here that the mission had inspected twentyone completed units (out of fiftyone) where the beneficiaries had already contributed door and roof to the project and the average cost for constructing these two came between Rs.150 and Rs.300. In case of remaining thirty units which were under construction, the mission was informed by the respective beneficiaries that they will also provide door and roof once the superstructures are constructed.

The cost of a latrine under the UNICEF-assisted programme is estimated Rs.770/- for individual household unit (this cost includes only the construction upto plinth level while the superstructure to be provided by the beneficiaries) and Rs.7 000/- for institutional unit inclusive of superstructure. The entire cost for institutional unit is borne by UNICEF while for individual unit the cost sharing ration is 40:40:20 (UNICEF:UPG:beneficiaries).

2.1.1c Selection Criterion

Since the programme is primarily meant for the scheduled cast and scheduled tribe population it is imperative that the priority has been given to select

those areas where concentration of such population is high. In consultation with the Pradhan, Village Panchayat and local member, the ADO (Panchayat) is responsible to prepare the list of beneficiaries as well as the areas. It was also decided that the initial priority should be given to those families whose annual family income is less than Rs.6 000/-. However, for achieving some initial momentum, as it was informed to the mission, that the district Panchayat Raj authorities had enjoyed certain flexibilities in selecting the areas and beneficiaries. Instead of giving the coverage in large number of villages with lesser number of units, the district authorities had decided to concentrate rather in lesser number of villages but with maximum possible coverage so that the impact can be visible.

As it was found in the district Allahabad that some villages had been selected right on the pucca road and nearer to semi urban centres (such as block headquarters or commercial spots with daily or weekly marketing facilities) so that easy transportation of materials, greater mobilization of local resources, effective supervision as well as some demonstrative impact over the neighbouring areas can be achieved. The mission had also learnt from the field that the district authorities have also given priority to those areas where the people themselves have volunteered to undertake the programme in their villages or hamlets. According to the District

Panchayati Raj Officer, Allahabad, success rate (in terms of acceptance, people's involvement and participation) of the programme in these areas (where the people have volunteered themselves) was much higher than the other areas. It was also one of the strategies of the Panchayati raj to popularize the programme as maximum as possible so that the sanitation in rural areas can really achieve its own social roots.

2.1.1d The Design

The design (which is appended in Annex 5) of the latrine is done by the UPDESCO - Uttar Pradesh Development Systems Corporation Ltd., but it looks apparently an improved version of the former PRAI type latrine. It is a double pit pour flush latrine according to the drawing the mission had received from UPDESCO, however, presently the Panchayati Raj is constructing only single pit (no satisfactory explanation was available for construction of single pit (instead of double) except paucity of fund). The mission found in district Allahabad that in some areas (Leelahat and Karuadeeh) the message of provision for second pit for future construction was communicated by the field level staff to the beneficiaries while in other places this practice was not meticulously followed.

2.1.1e Maintenance

With regard to maintenance of the unit the mission got the impression that the beneficiaries are acquainted with the fact that the maintenance of the unit will be their individual responsibility. This point was rather supported by seeing a few units (eight out of twentyone completed units) which were in use in village Leelahat in Allahabad district. Considering all the prevailing constraints it can be said that those units were fairly well maintained.

2.1.2 Institutional set-up for Implementing the Programme

The Department of Rural Development is nodal agency for implementing the sanitation programme in rural areas of UP. Through the institutional set-up of the Panchayati Raj especially depending on its village level agency viz. Gram Panchayat, the sanitation programme is being carried on in rural areas under the overall coordination of the Directorate, Panchayati Raj. Before discussing about the organizational set-up which is rather actually responsible for carrying out the programme at field level, a brief description of administrative set-up of the Panchayati Raj can be given. At the state level, the work relating to the Panchayati Raj institution is being looked after by the Minister of Rural Development and Panchayati Raj. There is a Commissioner and Secretary, Rural Development and Panchayati Raj at the government level who is responsible for the

functioning of the Panchayati Raj. There is a Director, Panchayati Raj (a senior civil servant) who is responsible for supervision, control and guidance of village and Nyaya Panchayats. The Kshetra Samiti and Zila Parishad are being supervised by the government. In certain matters, Director, Panchayati Raj also functions as Additional Director to exercise control over Zila Parishad.

At the district level there is DPRO who works under the overall control of the Additional District Magistrate (Development)/District Development Officer/Chief Development Officer. The DPRO is responsible for coordinating the activities of the various departments and also the Panchayats in the district. He is being assisted by ADPRO (Technical) at district level and several others like ADO (Panchayat), Panchayat Inspector (PI) and BDO at block level. The ADO (Panchayat) is looking after the work of Gram Panchayats under the overall supervision of BDO. All this block level functionaries are assisted by the Panchayat Secretary who guides the Gram Panchayats in their day to day functions.

However, for implementation of the sanitation programme, the district level coordination has given much importance. Under the ADM (Development)/CDO, the DPRO is practically the key person in implementing the programme. He is being helped by the ADPRO (Technical), ADO (Panchayat) and Panchayat Inspector. Both ADPRO and Panchayat Inspector are technical persons who are imparting necessary technical advice and looking after the work of

Panchayat Udyog Centres which are mainly entrusted along with other functions to produce the bulk materials necessary for construction work. The DPRO also plays some immensely useful role in mobilising the Gram Panchayats in the decision-making process and even coordinating the village level works (especially the selection of sites and quality of construction, etc.) which are usually done by the village level Panchayat workers such as Village Panchayat Officer (VPO). The village level workers are technically guided by the Junior Engineer (JE), block level functionary.

Through its own resource agencies such as Extension Training Centre (STC) and Panchayat Udyog, the Panchayati Raj has provision to train the masons who are generally recruited either locally or from the neighbouring areas. The Panchayat Inspectors are also getting regular refreshing training in Lucknow as well as in district headquarters. As far as present situation is concerned., the Panchayat raj has so far succeeded to evolve a fairly practical institutional set-up for implementing sanitation programme in rural UP.

2.1.3 Some Impressions

2.1.3a So far as Panchayati Raj's sanitation programme is concerned the mission had the opportunity to visit fiftyone units constructed under the union government sponsored programme in district Allahabad. The same programme is also extended to Varanasi, but construction

was not yet started there. However, the mission had visited the Kasi Vidyapeeth Panchayat Udyog Centre which was entrusted to produce bulk materials for construction work. The mission also visited Phoolpur and Bahadurpur Panchayat Udyog Centres in district Allahabad.

2.1.3b After visiting these Panchayat Udyog Centres the mission was convinced that Panchayati Raj has tapped a potential agency at local level which will not only ensure stable supply of materials for construction at cheaper rate but also can be used as training and orientation centre especially for the sanitation programme. This venture has also promoted the idea of self reliance among the rural institutions. But significantly by tapping this source the Panchayati Raj has scrupulously avoided the intervention of contractors, which possible is one of the positive steps the Panchayati Raj has taken towards achieving social roots for rural sanitation programme.

2.1.3c The Allahabad experience was quite encouraging to the mission in some respects. The most significant feature of Allahabad programme was its organizational skill and better coordination at every level. The mission strongly feels that besides institutional set-up and better coordination, there was a certain amount of personal commitment of the district authorities that has made the programme so much impact oriented and totally visible. The mission found the construction was fairly good in all the

places it visited and in some places (Leelahat, Karuadeeh) it was innovative too. In village Leelahat (about 25 kms. from Allahabad) all the 10 units were not only well constructed, but by providing some plastering and white-washing on the wall or by putting small water tank the construction gives a better look and hence easily acceptable to the people. In the original drawing these provisions are conspicuously missing whereas with little innovativeness and initiatives the district authorities have succeeded to mobilize the people in accepting the programme without much persuasion.

2.1.3d The district authorities have also taken much care in selecting the construction sites. As it was reported that initially people were inclined to have the latrine far from the residential quarters without knowing the implications of a sanitary latrine. However, this point was well taken care of. The DPRO himself had visited several construction sites and had discussions with the villagers about the rationality of having a sanitary latrine to the nearer proximity of residential quarters. Consequently the mission found a majority of construction took place nearer to the residential quarters.

2.1.3e With regard to peoples acceptance of the programme, the mission found that the programme was well accepted by the people. In all twentyone completed units the beneficiaries had contributed to their share (roof and door) and the beneficiaries of remaining thirty units

(which were under construction) had expressed their willingness to contribute once the constructions is over. The mission was also found that the surrounding of the completed units were cleaned by the beneficiaries themselves on their own cost. About the maintenance of the latrine the mission got an impression that the people are acquainted with the fact that this should be their own individual responsibility.

2.1.3f One of the encouraging aspects of mission's entire deliberations with the villagers was the response of the women folk to this programme. An increasing pressure on land and problem of privacy in this part of Allahabad have virtually restricted the practice of open defecation. The sheer lack of space and amount of social humiliation (as the mission was told by a group of women at Leelahat that some of the fellow women were chased since they had deficated in the field and were forced to clean the night soil by the owners of the field) had created rather a situation when the concept of a sanitary latrine was no longer alien one to the rural women folk. It was almost a pressing need to them. Even Kalawati, a 10 years old Harijan girl of Leelahat preferred to use the latrine, once it is constructed, rather than going to the field.

2.1.3g Therefore, about the scope of social acceptability, the mission is of the opinion that although some spontaneous responsiveness is already visible in the rural areas, it requires a consistent effort to ensure people's

involvement and participation. No doubt under the present situation the Panchayati Raj has some grass root based institutional set-up which is fairly suitable for implementing the hardware aspects of the programme, but for achieving the real social root of the programme it requires equally strong software component.

Regarding the usefulness of software component in this programme the mission had a great deal of discussions with the operational staff (such as ADO (Panchayat), Junior Engineer, VDO and VPO, etc.), who also strongly felt the need of a social component for carrying out simultaneous awareness making campaign regarding health education and sanitation. It can be noted here that the similar views were also expressed even at the policy making level.

2.2 Varanasi: Rural Sanitation Programme being implemented by UP Jal Nigam

2.2a The U/U/U programme and its cost-estimate

Under the UNDP global project on low-cost sanitation (popularly known as a 'U/U/U Programme' in UP) the Jal Nigam had done some implementation work in the rural areas. Varanasi was one of such areas where the Nigam was involved in implementing the so-called 'U/U/U Programme'. In this programme the unit cost was Rs.870/- (upto the

plinth level and excluding the superstructure cost for which Rs.150/- was estimated). The cost sharing arrangement for this programme was of little complex in nature: the beneficiaries contribution was estimated as Rs.204/- (first 20% on Rs.870/- i.e., Rs.174/- and another 20% on Rs.150/- i.e., Rs.30/-). Out of this amount (Rs.204/-) the provision was that the beneficiaries should deposit an advance amount of Rs.54/- prior to commence the plinth level construction and once the sub-structure is constructed the beneficiary had to contribute or spend Rs.150/- for construction of superstructure.

2.2b Organizational set-up and target

So far Varanasi is concerned the organizational set-up for implementation of the programme was headed by an Executive Engineer who was supported by four Assistant Engineers and four Junior Engineers (all party) to cover 4 villages in Varanasi under intensive coverage scheme with a target of 200 units of household latrines (50 units per village). The mission was told by the concerned Executive Engineer that there was no full-time technical support available for this programme. The village Panchayat Pradhan was the only local level contact point. And the construction work was carried out by the contractors. The construction work was formally commenced from April 1986.

It was reported that till September 1986 some 122 of 200 target units were constructed upto the plinth level, however, not a single superstructure was completed. The mission visited village Kari (situated almost at the midway between Allahabad and Varanasi) along with the concerned Jal Nigam Executive Engineer and his field staff. In this village 40 units were reportedly constructed. But the mission had physically inspected about 15 such units out of which only two beneficiaries (Hari Shankar Upadhyay and Seva Shankar Upadhyay) have recently (at the end of December 1986) completed superstructures.

2.2.1 Some Impressions

2.2.1a The mission had mixed experience in village Kari. So far as construction part was concerned the experience was not a happy one. The quality of construction was poor, materials (except bricks) were sub-standard, site selection was often unplanned, supervision was irregular, often construction had left incomplete and people's participation was possibly the lowest one can imagine. There may be so many genuine reasons (as the contractor and Executive Engineer, Jal Nigam had put forward) accountable for this state of situation, but one cannot forget the in-built weaknesses that the programme had itself. The serious and prominent one was that the programme had hardly any social perspective (in terms of

experiment and coverage). The importance of social factor in the entire exercise was totally ignored. It was never considered that the only approach to the Panchayat Pradhan will not guarantee people's involvement and participation. By involving the Pradhan possibly the authorities had managed to collect some so-called consents (in the form of Rs.54/- as advance amount) from the people, but this led the programme to nowhere.

2.2.1b The glaring example was that out of 122 so-called completed platforms in the entire district only 2 superstructures so far had constructed (and that too in village Kari). The mission had also got an impression from the field that the estimated cost for superstructure (Rs.150/-) was unpragmatic. The two beneficiaries in village Kari, the only persons so far in the entire district who had constructed superstructures told the mission that they had spent much more than the estimated cost.

2.2.1c The mission is of the opinion that the involvement of the contractors had done a great injury to the entire concept of the programme. It had caused a serious contradiction as well: since the construction was carried out by the contractor the people were little indifferent and since margin of profit was less and due to a lot more unforeseen problems (such as transportation into the interior areas, filling of land for construction which

incurred additional cost and problem of coordination which also incurred additional cost due to scattered nature of work) the contractor ultimately has lost interest in this assignment (this opinion was categorically expressed by one of the contractors the mission interviewed at village Kari). This opinion was also demonstrated from the fact that most of the incomplete units are virtually abandoned by the contractor and consequently his payments are withheld by Jal Nigam till the time he satisfactorily completes the assignment.

2.2.1d One of the positive impressions the mission had gathered from the field that Jal Nigam being the implementing agency was quite critical even about their own performance. They never hide anything to the mission and discussions with Jal Nigam took place in an open atmosphere.

2.2.1e Contrary to the existing state of situation regarding people's non-participation in the programme, the mission rather found an articulate and alert set of people in village Kari. No doubt they were critical about the way the entire programme was handled but never demonstrated any arrogance or dishonour to those who were directly involved in this job and also presented during this discussions. So far as village Kari is concerned the mission is of the opinion that a little bit of sincere and direct contact with the people possibly the situation could have been emerged in a different manner.

3. PRESENTATION OF DISCUSSIONS WITH VARIOUS AGENCIES
ON SUITABLE INSTITUTIONAL ARRANGEMENT FOR
IMPLEMENTATION OF UP SUB-PROJECT V: AN OVERVIEW

3.1 It can be seen from Annex 3 that mission had a great deal of discussions with various agencies to identify a suitable institutional set-up for Sub-Project V. This section will present a brief overview of discussions so that some reflection on background of recommendation formulation can be traced out. The present mission had also received some reference made with regard to the formulation of institutional arrangement for Sub-Project V from the deliberations of the previous mission (UP-15), it had kept those following options in perspective:

- a special project bureau is created under the Department of Housing and Urban Development and appointed it as nodal agency for the Sub-Project V (original proposal)
- the UP Jal Nigam is appointed the nodal agency
- the Rural Development Department is appointed the nodal agency and
- the Lucknow office of UNICEF is appointed the nodal agency

3.2 In spite of its 'not so satisfactory performance' in 'U/U/U Programme' the senior staff of Jal Nigam felt that the Nigam has right infrastructure and ability to implement Sub-Project V. The Managing Director, Jal Nigam had stated that Jal Nigam's previous performance with regard to implementation of sanitation programme will be reviewed and necessary corrective measures to be taken to avoid any such lapses in future. The Nigam has also stressed on the usefulness of having social

component within the organization. Regarding contractor's possible involvement in the programme, the opinion within the Nigam was rather sharply divided. The Managing director has stated that although contractor's involvement in Nigam's programme is almost an imperative nowadays, considering the previous experience he will prefer that no contractor should be involved at any stage in the process of implementations of Sub-Project V. However, some senior staff think otherwise, they consider that contractor's involvement is almost inevitable, and there is nothing wrong in this practice.

3.3 Some senior staff of the Nigam are of the opinion that Jal Nigam has hardly any suitable infrastructure available at village level for undertaking this programme. When they talk about 'suitable infrastructure', as they have stated that obvious reference was made on the availability of software provision within the organization as well as necessary motivation and orientation to use this skill. This section of Jal Nigam's senior staff was of the opinion that a better trial can be given to the Panchayati Raj since it is also a state agency for implementation of rural sanitation programme.

3.4 The Secretary, Department of Housing and Urban Development, thinks that in spite of creating a special bureau under this department, the Sub-Project V can be implemented through Jal Nigam.

3.5 However, Secretary, Planning, Secretary, Rural Development and Director, Panchayati Raj have all expressed their confidence in Panchayati Raj for implementation of Sub-Project V. They argued that Panchayati Raj is the only state agency for implementing sanitation programme in rural areas and has already undertaken statewide programme for implementation, and it has its own local infrastructure and contact with the people. Moreover, the Panchayati Raj has necessary machinery for ensuring active coordination of various departments and agencies at field level which is one of the essential requirements of the Sub-Project V. As a nodal agency for rural sanitation programme in UP, the Secretary, Rural Development has assured to extend all possible help to make the programme a success. Both he and the Director, Panchayati Raj had stressed the point that the special attention to be given for staff recruitment in six project districts under DGP if the project is routed through the Panchayati Raj for implementation. The Director has also stated that some rearrangements of district level staff is essential for three districts (Rae Bareli, Etawah and Agra) since these are rated as 'problem areas'.

3.6 The mission was also told that for effective coordination and close monitoring of the on-going sanitation and water supply programmes, the Directorate, Panchayati Raj has recently opened a cell called Technical or Rural Water and Sanitation Cell, headed by one Deputy Director at the headquarters. However, it is reported that this cell is going to be strengthened.

3.7. Since one of the options existed for suitable institutional set-up of Sub-Project V was that the Lucknow office of UNICEF can be considered as the nodal agency, the mission had series of discussions with UNICEF Lucknow as well as UNICEF/ROSCA, New Delhi. A memorandum of understanding (MOU) was drafted after a series of discussions with the Lucknow Office of UNICEF. It was also decided that this MOU will be forwarded to the ROSCA, New Delhi from the Lucknow Office so that further discussions on this issue can be undertaken at ROSCA level. It was stated in the MOU that although some technical difficulties are there for UNICEF's possible involvement in this programme (since this is essentially a bilateral programme and UNICEF is not a party to it), however, some alternatives can be explored.

3.7a The first suggestion was: instead of transferring the project fund directly to the government it can be channelized through UNICEF and UNICEF along with its on-going programmes will develop necessary support mechanism (institutional and otherwise) for coordinating and monitoring, although the programme will be implemented through the Panchayati Raj.

3.7b The alternative suggestion was: the project fund can be transferred to the nodal agency (in this case Department of Rural Development and Panchayati Raj) for implementation of the programme through Panchayati Raj, however, UNICEF will maintain necessary coordination with various agencies especially for software support

(training, orientation, preparation of IEC - information, education and communication materials, etc.) for this programme. In this case, UNICEF will require a staff support from the funding agency, a senior professional with community education/participation background to be attached with the Lucknow office. It was estimated that Rs.6 lakhs for 3 years (@ Rs.15 000/- p.m. x 12 x 3 = Rs.5 40 000/- say Rs.6 00 000/-) inclusive of professional's salary/travel/allowances etc. would be required for this purpose.

3.8 The Lucknow Office of UNICEF has also suggested that for better results and establishing effective linkages with various levels the newly started Rural Water and Sanitation Cell needs to be strengthened. In that respect the funding agency can also consider to allot some additional fund (for 3 persons: 1 Sanitary Engineer, 2 Health/Social Educators and 1 vehicle) to the Panchayati Raj.

3.9 However, apart from these above suggestions the Lucknow Office of UNICEF thinks that considering the existing set-up there is hardly any agency (at government level) available except the Panchayati Raj which can undertake this type of work. They have asserted that the Panchayati Raj with its strength and weakness so far stands as the only agency which has some grassroot approach.

3.10 The mission had also discussed this issue with few more agencies and individuals such as PRAD (which was a premier agency in planning also implementing pilot projects of rural sanitation programme in UP), Literacy House, two District Magistrates and former Regional Manager of UNDP/UNICEF low-cost sanitation programme. The focal point had emerged out of discussions that with assured and sustained software provision and continuous monitoring, the Panchayati Raj can be the best possible institutional arrangement for Sub-Project V.

4. RECOMMENDED ORGANIZATIONAL SET-UP FOR SUB-PROJECT V

4.1 In the light of above discussions and mission's experience in the field it is recommended that the following package of institutional set-up can be considered for Sub-Project V:

- i. Department of rural Development and Panchayati Raj as nodal agency, however, the implementation of drainage component of Sub-Project V will remain with UP Jal Nigam,
- ii. Panchayati Raj as implementing agency through its district/block level organizations, but giving responsibility of overall coordination to the district Panchayati Raj authorities and state/project level coordination to the Director, Panchayati Raj,
- iii. Providing an additional staff to UNICEF, Lucknow, necessary follow up, linkage, training/orientation, monitoring, communication and coordination at policy making/implementation level can be consistently assured,
- iv. If UNICEF does not agree with this proposal then the following arrangement can be made for ensuring effective coordination and monitoring/assistance for the programme:
 - An independent Dutch funded monitoring/assistance cell can be established at Lucknow. This cell will not only provide a continuous support network (in terms of coordination/monitoring and planning of pragmatic software package) to the programme, but it will also ensure some presence of the funding agency at field level to enhance a continuity in mutual understanding and cooperation between the implementing and funding agencies.
 - The mission is of the opinion that this cell will require a full time professional, essentially a social scientist with an intellectual background, considerable practical experience in monitoring/coordination of social development programmes, and expertise in communication, community education and participation network. Personal sincerity and commitment to work, innovativeness and spontaneity in carrying the programme at all levels can be considered as some of the additional qualities for this job. The professional should also have experience in managing the office independently.

- The mission feels that besides coordination/ assistance and monitoring of the programme, the other major job responsibilities of the professional will be assisting the implementation of the software package for the programme, identifying and mobilising local level NGOs and relevant agencies and keeping close rapport with the concerned authorities of Dutch Embassy, New Delhi.
- For ensuring the activities of this cell, the mission proposes the following organizational set-up of the cell as well as a tentative budget for it:

I.	<u>Staff</u>	
	1 Professional at Rs. 15,000.- x 12 x 3	Rs. 5,40,000.-
	1 Office Secretary at Rs. 2,500.- x 12 x 3	Rs. 90,000.-
	1 Driver at Rs. 1,500.- x 12 x 3	Rs. 54,000.-
	1 Office Assistant at Rs. 1,000 x 12 x 3	Rs. 36,000.-
II	1 Vehicle	Rs. 1,25,000.-
III	Office rent at Rs. 4,000.- per month x 12 x 3	Rs. 1,44,000.-
IV	<u>Office equipment</u>	
	2 Airconditioners at Rs. 15,000.- x 2	Rs. 30,000.-
	1 Electronic typewriter at Rs. 30,000.-	Rs. 30,000.-
	1 Photocopier at Rs. 1,15,000.-	Rs. 1,15,000.-
	Office furniture and furnishing (lumpsum) (Fans, emergency light, almirah, stationary etc)	Rs. 50,000.-
	Water, electricity at Rs. 1,000 x 12 x 3	Rs. 36,000.-
	Telephone	Rs. 10,000.-
V	Fuel, maintenance/servicing etc at Rs. 40,000.- x 3	Rs. 1,20,000.-
VI	Contingency at Rs. 20,000.- x 3	<u>Rs. 60,000.-</u>
	Grand Total for 3 years	<u>Rs.14,40,000.-</u>
	Say	Rs.14.50,000.-

- v. District level Panchayati Raj authorities needs to be strengthened for achieving better coordination with various developmental programmes which are being implemented within the district. A small yet effective district level coordination cell with District Magistrate or Chief Development Officer as chairperson and District Panchayati Raj officer as member-secretary or convenor can be formed. Chief of the district level relevant agencies (such as water/Jal Nigam, health, social welfare/women's development programme, information, etc.) should form as integral part of the cell.
- vi. The similar kind of coordination cell can be formed at block level with BDO as chairperson and ADO (Panchayat) as convenor. However, this cell needs active local representation.
- vii. Village level committee with adequate representation of women members should also form as important nucleus of the programme.

The mission strongly feels that meticulous coordination and close linkage at every functional level through the monitoring/assistance cell, the Panchayati Raj with this above arrangements can possibly be able to establish the real social base of the sanitation programme in rural UP for achieving maximum possible success in implementation.

4.2 In the light of these above recommendations the following chart will show, the comparative organizational set-ups of some of the relevant agencies at various levels:

	People's representatives	Panchayat Raj Department	Rural Development	Jal Nigam	Health
STATE	Minister for Rural Development and Panchayat Raj	Secretary Commissioner Director, Panchayat Raj - implementing authority of rural sanitation progr. Rural WS & San. Cell under Dy. Director, for monitoring and coordination of sanitation progr. and maintenance of hand pumps. *)	Secretary (same) Commissioner (same) Director, Rural Development	Chairman Managing Director Chief Engineers	Secretary Director-General, Medical Health and Family Welfare Services, assisted by 6 Directors
DISTRICT	Chairman Zila Parichad	District Magistrate CDO/ADM (Dev) ** DPRO - Key officer for rural sanitation progr. implementation and coordination, assisted by ADPRO (Technical). **) = District-level coordinator for all developmental pro- grammes	District Magistrate (same) CDO/ADM (Dev.) (same) heads the District Rural Development Agency (DRDA) APO/W, responsible for DWCRS programme	Superintending Engr. Executive Engineer Assistant Engineer	Chief Medical Officer (CMO) 3 Deputy CMO 1 District Health Education and Information Officer 1 Dist. Malaria Off. 1 Dist. Leprosy Off. 1 District Health Visitor 1 District Extension Educator
BLOCK	Praukh Panchayat Samiti	BDO - over-all in charge of Block-level development programmes ADO (Panchayat), key officer at Block level for rural sani- tation programmes. Panchayat Inspector, in charge of Panch. Udyog (responsible for material produc- tion and supply) Junior Engineer, pro- viding technical support	BDO (same) over-all in charge of Block- level development programmes, supported by 8 - 10 ADO's viz. ADO (Panchayat) ADO (Women) ADO (Education) ADO (Irrigation) ADO (Agriculture) ADO (Animal Husb.) etc. Junior Engineer	Junior Engineer	Medical Off. i/c PHC 2 Med. Off. (one for indig. medicine) 1 Block Extension Educator 2 Health Visitors 2 Health Inspectors 2-3 Vaccinators (male) 1 Smallpox supervisor (male) 1 Basic Health Worker for Malaria (male) 6-8 Health Workers for EPI, expanding pro- gramme for immuniza- tion (female)
VILLAGE	Pradhan Village Panchayat/ Members incl. 2 women members	VPO - Village Panchayat Officer, supervises village- level works	VDO - Village Devel- opment Officer VLW - Village Level Worker Gram Sevika - woman worker Group Organizer - woman worker, work- ing for DWCRS	Pump operator Fitter Linesman Tax collector	At Sub-Centre level (8 per Block), for every 10,000 pop.: 1 Health Worker/ANM (female) 1 trained Dai for every 20,000 pop.: 1 Family Planning pop.: 1 Health Assistant for every 1,000 pop.: 1 Community Health Volunteer

* Note: For ensuring the support and involvement of NGO's in all developmental programmes, the UP Government has formed a State-level advisory committee (August 1986) of which the Agricultural Production Commissioner (ACP) is chairperson and the Commissioner, Rural Development/Panchayat Raj is Member-Secretary. There is also a provision of taking six NGO's as members in the committee.

4.3 Rationale

The above recommendations are formulated on the basis of the following rationale:

- a. Panchayati Raj is the state agency for implementation of rural sanitation programme in UP
- b. Contractor's non-involvement in this programme has given a wider scope of people's involvement and participation
- c. Panchayati Raj has well-defined organizational set-up upto the village level. For the benefit of the programme the Panchayati Raj can also effectively coordinate the resources and inputs of some of the relevant agencies (mentioned in 4.2) through DM and ADM (Development)/CDO at district level and BDO at block level since all these functionaries are coordinating developmental programmes at their respective levels.
- d. Material production, supply and training provision through its own agencies viz. Panchayat Udyog and Extension Training Centre (STC)

- e. Panchayati Raj is the only agency which has some kind of social supervision and monitoring net work
- f. Through its women members and village level functionaries the Panchayati Raj is in a position to mobilize rural womenfolk
- g. Panchayati Raj has already undertaken implementation of rural sanitation programme
- h. For implementation of sub-project V another institutional alternative was Jal Nigam. However, in the light of overall performance in the implementation of the u/u/u programme and fairly conspicuous lacking of software provision within the Jal Nigam which is rather an essential prerequisite for sub-project V, the mission found it a bit difficult to recommend Jal Nigam as nodal agency for Sub-Project V.
- i. Moreover, the mission found a common consensus in favour of the Panchayati Raj to handle this programme.

5. EVOLVING AN EFFECTIVE SOFTWARE PACKAGE

The success of Sub-Project V depends more on how effectively a software package (information and education, communication, orientation and training, involvement and participation and building up local level organization etc.) can be evolved and implemented according to local situation. The mission strongly feels that even for imparting health education message and make the community well aware about health, sanitation and its own responsibility it needs a planned, articulate and down to earth integrated approach right from the initial phase of project implementation. The following paragraphs will describe the present status of health education and how a package of software can be evolved to meet the new situation with regard to implementation of Sub-Project V These formulations are fairly broad based and essentially tentative in nature, and local situation may demand something different. However, this will provide a common framework for working among the rural community.

5.1 Existing health education materials: an overview

5.1.1 The mission had a quick survey of health education/ community orientation and participation materials which are available with various agencies with special reference to rural water supply and sanitation. The following agencies (such as State Health Education Bureau, Central Health Education Bureau, Literacy House, Planning, Research and Action Division (PRAD) and State Institute of

Education, Allahabad) have published numerous materials on health education but very little of those materials are actually relevant for this kind of programme. There is hardly an doubt about the infrastructural facilities and some resources lying with these agencies, however, often the materials are found to be stereo-typed, unimaginative and informations are not even up-dated. An example can be cited here in this respect: a folder (published by the State Institute of Education) containing some essential messages on health education has pleaded for open defecation. However, in the present context this folder requires a completely new approach in terms of content and visual presentation.

- 5.1.2 However, in the mass of such materials one can also find a few meaningful production such as the guidelines on health education and environmental sanitation for middle school teachers (published in Hindi by the State Institute of Education in 1985) and a series of pictorials on health education and sanitation pested on the Khadi cloth (for easy transportation and easy display) prepared by an innovative field staff of PRAD. These pictorials can be extremely useful for any informal group discussions. And if not the same material but certainly the same methodology can be adopted as one of the communication means to disseminate the project message to the community. The Literacy House, Lucknow, has also prepared some materials (in poster as well as puppet form). But

considering the actual need of the programme (in terms of major objectives the project wants to facilitate such as health education and community involvement with special attention to women's participation, orientation and training for local level planning and social monitoring, building up local level organization, and establishing interlinkage between technical and social aspects etc.) these materials are seemed to be insufficient.

5.2 Needs for new approach, literature and strategy to ensure community involvement and participation

5.2.1 The Sub-Project V requires some change in approach and strategy hence the preparation of information, education and communication materials also needs adequate change (to keep a pace with the approach). To make a break-through in involving the community in the process of implementation a series of informal talks/discussions (group meetings as well as individual contacts) required to be initiated from the very beginning of the programme. This process can identify some potential resource persons from the community. Right from the initial phase there has to be a genuine effort to gain the confidence of the community, and through proper presentation of the project to the community some element of confidence can be achieved. A great deal of orientation (intellectual as well as attitudinal) to the project staff (right from district to village level) is essentially required to have

some well meaning functionaries who in turn can ensure the credibility of the project to the community. The genius of community can only be exposed through a genuinely sincere bottom approach.

5.2.2 The mission is of the opinion that a multifarious yet closely interlinked strategies can be adopted to ensure the success of above approach. Besides taking the services of local level NGO, mahila mandal, youth organization (if any such competent one is available) and teachers, well oriented functionaries (right from district to village level) can be mobilized to carryout the programme objectives.

During the process of informal talks with the groups as well as with the individuals there should be some attempts to identify some articulate women members from the community. Tapping of village Panchayat's women members and village level women functionaries could be another strategy to mobilize the local women folk. Alongwith the social component the technical staff should also bear some responsibility to involve the local community. For better understanding between the technical and social aspects there should be some arrangement of joint orientation for the staff concerned.

5.2.3 For evolving an effective software component the whole lot of literature needs a refreshing change (some of the areas have already spellout in 5.1.2). The campaign materials (poster, puppetry, audio-visual as well as in other forms) need to be well designed, easy to understandable and should incorporate the outstanding features/informations, messages of the projects. Besides publications of materials, the project should also include all possible and impact oriented local level media (puppetry, traditional fold opera, local small newspapers, etc.) for communication dissemination. To achieve a maximum possible success in this respect the resources of the District Information Office (DIO) can also be utilized.

5.3 Recommended institutional support to achieve 5.2

The Literacy House, Lucknow and the State Institute of Education (SIE), Allahabad are possibly well equipped agencies for preparation and production of various categories of CIE materials according to project requirement. The PRAD, Lucknow has also some expertise in planning of communication literature/materials. It has adequate infrastructure to conduct training and orientation for different levels of participants. However, PRAD needs some qualitative rearrangements for becoming an effective agency for the programme. It is also recommended that the project should keep close liaison with the State Health Education Bureau (SHEB) and the Central Health Education Bureau (CHEB) for maximising (a) the benefit out of their available resources in the area of health education and communication and (b) to involve them in preparation and planning of education/ campaign materials.

6. THE SOCIAL EXTENSION WING (SEW) AND DIRECTION AND MONITORING UNIT (DMU)

6.1 Background

It was one of the recommendations of UP mission-15 (November 1986) that a Social Extension Wing (SEW) within the Jal Nigam will be established for providing guidance to the technical staff about all software matters. It was recommended that the proposed SEW will be a service wing to the Jal Nigam, having as objective to guide the field staff in mobilising the community for participation in water supply programmes. It was also conceived that SEW will specifically guide the staff on how to (i) involve the community in site selection and operation and maintenance, while maintaining its own technical responsibility and (b) plan a role in health education without being responsible for a full health programme.

With regard to the Direction and Monitoring Unit (DMU) it was mentioned in UP mission-11 (January-March 1985) report that the DCP will be monitored by a DMU established within the Department of Housing and Urban Development (DHUD), the report had briefly mentioned that the major tasks of the DMU will be to (a) direct and monitor the yearly workplans in the Indo-Dutch programme.

With this background and in the context of Sub-Project V (sanitation, drainage and health education) and increasing need of ensuring software support for on going water programme, the

present mission has broadly identified some additional tasks for SEW, its tentative organizational set-up and staff pattern. However, with regard to DMU the mission did not have enough scope to accomplish its formulations mainly because of non-availability of necessary feedback from the Department of Housing and Urban Development.

6.2 Major tasks of the Social Extension Wing (SEW)

Besides providing guidance to the technical staff about all software matters the SEW will undertake to:

- a. prepare the methodology of community involvement
- b. train staff in its applications
- c. monitor and evaluate the application of the methodology
- d. modify the methodology when necessary
- e. liaise with relevant departments and agencies in order to obtain their input in preparing the methodology and training of staff as well as for planning of CIE materials.
- f. maintain close rapport with the implementing agency of Sub-Project V
- g. identify some common premises (in terms of direction/monitoring of sanitation, drainage and health education project) with Sub-Project V to maximise the success
- h. carryout action oriented pilot study in problem areas (such as village/hamlet having number of water logging points and poor community response in maintenance of water site etc) while discharging these responsibilities or otherwise it is expected that the SEW will strive to integrate itself with the main stream of Jal Nigam so that a cohesive, integrated and well-balanced professional approach can emerge within the organization.

6.3 Tentative Organizational set-up and Staff pattern

The staff of the SEW itself should include:

- a social scientist experienced in the application of community involvement techniques in water supply and sanitation programmes.
- a health educator, specialised in community health, training and orientation
- a training office cum community organizer, preferably a woman
- a statistician cum social monitor, specialised in health statistics
- a communication/media expert for preparation/presentation of CIE materials
- plus some support staff

7. CONCLUDING OBSERVATIONS

7.1 It was one of the serious efforts made by the mission to identify suitable NGOs to be involved in implementing various software activities related with Sub-Project V. Except the Literacy House, (and too mainly for production of CIE materials) the mission, however, did not succeed to identify NGOs relevant for Sub-Project V. Possibly some NGOs are available at local level, hence it will be requiring some careful attempts to identify and mobilize those well-meaning NGOs.

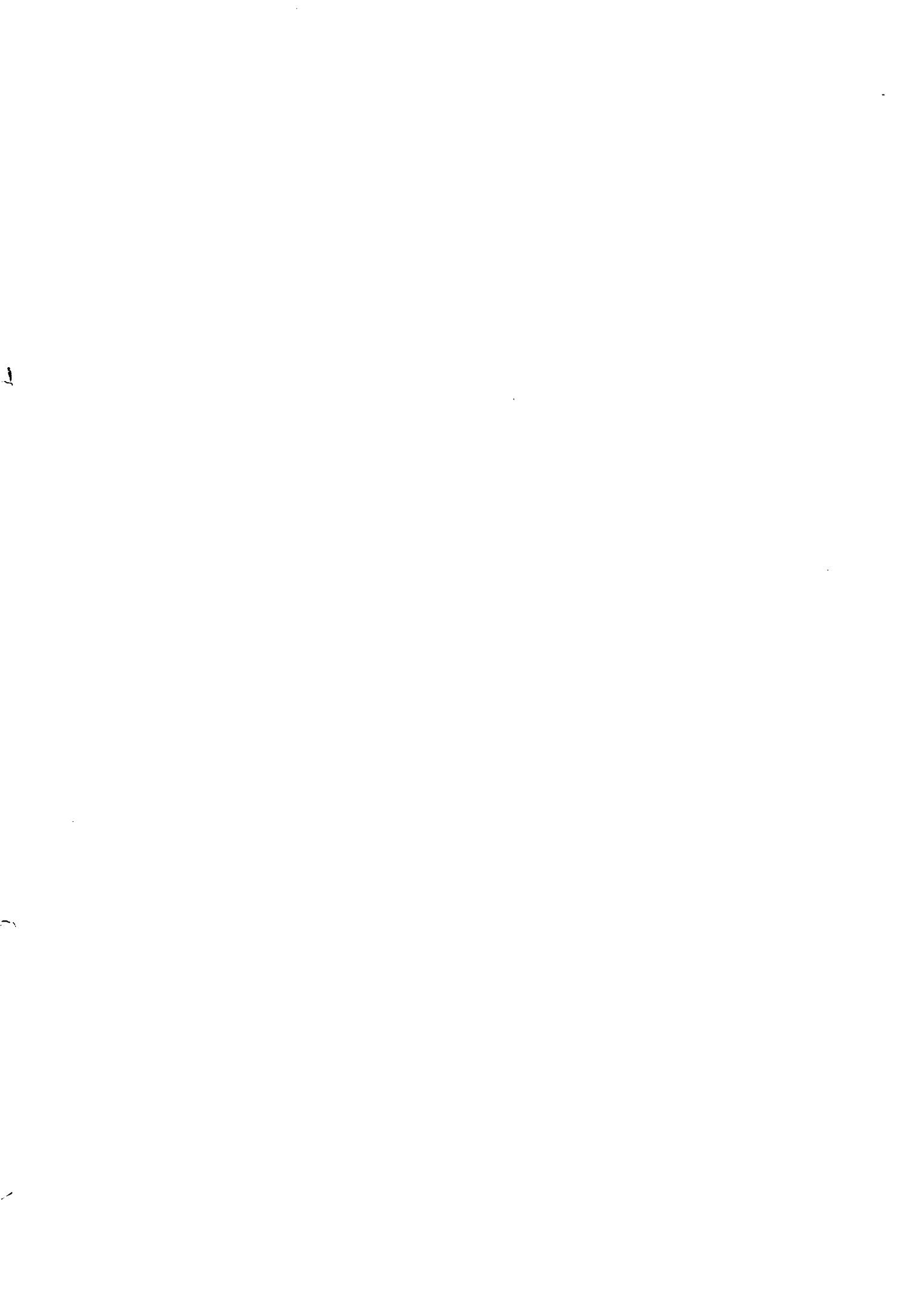
7.2 For mobilising the community especially its women members, the mission is of the opinion that all local level functionaries especially the village level women workers need to be oriented for this job. In this context the mission strongly feels that several orientation sessions (one or two days) for the state to village level functionaries should be undertaken jointly by Panchayati Raj, coordination/monitoring and assistance cell, Jal Nigam, UNICEF, etc.

7.3 An intensive village contact drive through a series of informal group meetings and talks with individuals members can be undertaken to disseminate basic message of the programme and for resource identification as well.

7.4 The mission recommends that the implementing agency should maintain some close contact with institutions like Banaras Hindu University (Department of Sociology/Centre for Integrated Rural Development/Health Services Project) and the Medical College in

Allahabad (Department of Preventive and Social Medicine). The programme can possibly be benefited through some experimental research/findings of these agencies in the areas of community health and development research. For conducting intensive campaign in the villages regarding health education/awareness and community participation, the implementing agency through its district level functionary (DM in this case) can mobilize the young medical students/teachers of Department of Preventive and Social Medicine.

7.5 Lastly, the mission strongly feels that it would be proudent on the part of the funding agency to have its own coordination, monitoring/assistance cell at Lucknow for becoming more effective in the area of implementation which will also ensure maximum possible success not only in this particular programme (Sub-Project V) but will also ensure a continuity of relationship with the state government.



ANNEX 1 - TERMS OF REFERENCE FOR UP MISSION-16

1 INTRODUCTION

Within the framework of the Bilateral Rural Water Supply Programme, the ongoing activities in Uttar Pradesh concentrate on the Districts Agra, Mathura, Etawah, Rae Bareli, Allahabad and Varanasi, under the so-called Dutch Credit Programme (DCP), Sub-Projects I and III.

In the period January-March 1985, a Sanitation and Drainage/Health Education Project was drawn up, covering the villages under DCP, and with the following components (for details see mission report UP-11)

- 1.1 construction of school latrines-cum-urinal blocks in 714 villages;
- 1.2 construction of latrines for motivators and a limited number of households, in 714 villages;
- 1.3 construction of household latrines on a larger scale (50 per village) in 48 villages;
- 1.4 providing brick payment, drains and soak pits - wherever applicable for public standposts and hand pumps that will be/have been installed under DCP.
- 1.5 orienting and training government and non-government staff and beneficiaries in construction, operation and maintenance of sanitation and water facilities with community support;
- 1.6 educating and initiating change in sanitary behaviour of the beneficiaries, especially school children and teachers, concerning the proper use of water, sanitation and drainage facilities;
- 1.7 organizing workshops for the development of a mass communication approach for health and sanitation education;
- 1.8 introducing the "water drop symbol" as a mass communication symbol for water and sanitation;
- 1.9 establishing a Direction and Monitoring Unit within the Department of Housing and Urban Development;
- 1.10 carrying out an experiment for women involvement in health and sanitation education through female literacy classes using conscientisation learning techniques.

Implementing organizations as proposed in the UP-11 report are:

Nodal Department	Department of Housing and Urban Development
Construction of latrines	UP Jal Nigam

Pre-and post-implementation activities concerning motivation and O&M of users and beneficiaries

Panchayat Raj Department:

Construction, pre-and post-implementation activities in Karachchana and Sankargarh blocks in Allahabad District.

Sulabh International

Development of training and education material

State Institute of Education, Allahabad, State Health Education Bureau, and Sulabh International

Mission UP-15 found that, whereas the set-up as proposed in UP-11 had been based upon the methodology and institutional arrangements used by the so-called U/U/U project (UNICEF/FUND-sponsored feasibility study on rural sanitation, carried out by T.A.G. and completed by June, 1986), the presently ongoing rural sanitation programmes have a different institutional set-up.

As, moreover, a number of the activities originally foreseen for Sub-Project V may already have been carried out by other programmes, a revision of at least the institutional set-up of Sub-project V appears in order. This is the more so, as mission UP-15 recommended several other changes in Sub-Project V as well:

- school latrines to be implemented in a smaller number and in a phased manner only;
- more emphasis on household latrines;
- only "saturation" approach for household latrines;
- no community latrines, hence no longer a need for involving Sulabh International in the construction of latrines;
- more emphasis on training and community involvement, for all water-related aspects: water supply, drainage and sanitation;
- emphasis on coordination at village or block level.

Mission UP-16 also recommended to create a Social Extension Wing (SEW) within the UP Jal Nigam organization, to be charged with preparing, guiding and monitoring the activities of the Jal Nigam field staff in mobilizing community involvement and education in water supply and sanitation activities of the UP Jal Nigam, as well as coordinating with relevant departments and agencies.

SEW activities should become an integrated component of all UP Jal Nigam activities, irrespective of their inclusion in Sub-Project V or not.

At the moment, health education emphasizes mostly the distribution of health information. However, for an impact on health, information is not enough. Also hygiene practices need to be improved. This can be done with the active involvement of the villagers themselves, in identifying risky practices, planning how they can be changed, and implementing and evaluating the programme.

It is considered necessary to have a general overview of the materials and methodologies concerning health education available with agencies and departments in Uttar Pradesh, including the most relevant NGO's. In particular the existence of methodologies aiming at a behavioural change rather than only at a transfer of knowledge still need to be identified.

A general opinion will be sought on:

- whether the existing methodologies are suitable for immediate use in Sub-Project, V, or
- only need some improvement, or
- require considerable additional work to adapt them to a large-scale approach.

Because of the State-wide strike of State Government employees during its visit, mission UP-15 has not been in the position to pursue the institutional and coordination aspects of Sub-Project V in sufficient detail. For that reason a complementary study is required.

2. OBJECTIVE

The objective of the study is to investigate the existing organizational and coordinating structures for sanitation and health education/community involvement, and to submit recommendations for the most appropriate organizational structure for implementing Sub-Project V.

In doing so, due attention should be given to coordinating with the activities of the proposed Social Extension Wing of the UP Jal Nigam.

3. SCOPE OF WORK

The study shall concentrate on two tasks:

- a. the identification of a feasible organizational structure for the implementation of Sub-Project V,
- b. the composition of - and job descriptions for - the Social Extension Wing proposed for the UP Jal Nigam.

The following specific issues shall be taken into account:

- 3.1 In deviation from the original proposal for Sub-Project V all water-related aspects under DCP (thus not only sanitation, health education and drainage, but also water supply through piped supply systems and handpumps) shall be taken into account for the coordination of community education/involvement activities.
- 3.2 The proposed institutional structure and its coordination shall include the proposed SEW to the extent possible. For the situation that such SEW may not materialize on the short terms, an alternative set of recommendations shall be given for incorporating the "software" activities related to the implementation of water supply schemes in the coordination of Sub-Project V.
- 3.3 The proposed organizational structure for Sub-Project V shall be similar to that used for comparable activities in Utar Pradesh, unless compelling reasons warrant a deviation from that set-up.
- 3.4 Discussions shall be had with all relevant Government agencies and NGO's on their views regarding the possibilities for an organizational structure for Sub-Project V, and to identify their potential and willingness to participate in it.
- 3.5 The organizational structure for the Sub-Project shall be such that a de facto coordination of activities at Block or village level is possible without unduly burdening the higher administrative levels.
- 3.6 The proposed organizational set-up shall guarantee an optimum involvement of beneficiaries at the village level, and shall outline the ways in which such involvement can be realized.
- 3.7 The study shall include an identification of needs for additional materials and methodologies for health education, which aim not only at distributing health information, but also at changing health practices in consultation with the villagers.

4. OUTPUT

The results of the study shall be presented in a report covering:

- 4.1 Recommended organizational structure and methodology for Sub-Project V, including, among other things:
 - identification of nodal agency for over-all responsibility and coordination;

- identification of organizational position of a Direction and Monitoring Unit (DMU) which is to be charged with day-to-day coordination of the activities under Sub-Project V;
- identification of needs for additional educational materials and methodologies, and identification of suitable organizations who can develop a participatory health education programme;
- methodology to be used for ensuring community involvement;
- staffing pattern and job descriptions for DMU;
- cost estimate and disbursement schedule for "software" activities.

(NOTE: "Hardware" such as the construction of standposts and handpumps, latrines and drainage measures constitute a separate item and are not to be included in this estimate).

4.2 Recommendations for the Social Extension Wing under the UP Jal Nigam, including, among other things:

- staffing pattern and job description for SEW;
- methodology for ensuring community involvement and community education related to UP Jal Nigam activities in general, and with respect to the DCP in particular;
- cost estimate and disbursement schedule for SEW activities.

5. TIME SCHEDULE

The study shall be carried out as soon as the circumstances in Uttar Pradesh permit, and shall be restricted to a period of eight weeks. This period shall include the time required for investigations and discussions in the field, the preparation of a draft report, discussion of the draft report, and the preparation of a final report.

6. COMPOSITION OF STUDY TEAM

The study team shall consist of the Indian sociologist who participated in mission UP-15 to Uttar Pradesh. In case he would not be in a position to undertake the study, an Indian expert with similar qualifications may be selected.

7. REFERENCES

Reference is made to:

- Workplan for sanitation, drainage and health education activities in six districts in Uttar Pradesh, January-March 1985 (UP-11);
- Conclusions and recommendations of Review and Support Mission UP-15 of November, 1986 to Uttar Pradesh. The Indo-Dutch drinking water programme as an instrument in rural development, with special reference to women (September 1986, by Mrs J.A. Koopman, Royal Netherlands Embassy).

8. TRAVEL SCHEDULE

Friday, 26 December, 1986: Delhi - Lucknow, by IC 409
Stay in Lucknow: 26 Dec. - 31 Dec., 1986 = 6 days

Thursday, 1 January 1987: Lucknow - Allahabad, by car;
Stay in Allahabad: 1 Jan. - 4 Jan., 1987 = 4 days;

Monday, 5 January, 1987: Allahabad - Varanasi, by car;
Stay in Varanasi: 5 Jan. - 8 Jan., 1987 = 4 days;

Thursday, 8 January, 1987: Varanasi - Lucknow, by IC 195;
Stay in Lucknow: 8 Jan. - 10 Jan., 1987 = 3 days;

Saturday, 10 January, 1987: Lucknow - Delhi, by IC-436

ANNEX 2 - ITINERARY

18 December 1986

Discussions at Royal Netherlands Embassy with Water Supply Coordinator Mr J.A Speets.

22 December 1986

Discussions at UNICEF, New Delhi with Mr Philip Wan, Sanitation Coordinator, Water and Environmental Sanitation.

23 December 1986

Discussions at UNICEF, New Delhi with Mr M. Akhter, Chief, Water and Environmental Sanitation Section.

Discussions with Mr V.R. Iyer, TAG, Institutional and Financial Adviser, UNDP Project on low-cost sanitation.

26 December 1986

Arrival at Lucknow.

Discussions at Jal Nigam with Jal Nigam officials (Mr V.K. Gupta, Secretary, Management; Mr D.C. Garg, Secretary, Admn.; Mr P.K. Sharma, Deputy Secretary, Planning)

Discussions at UNICEF, Upper India Office with Mr V. Radhakrishnan

Discussions with Mr Babulal Singh, Director, Planning, Research & Action Division (PRAD, formerly PRAIU) and some officials at senior level (Mr J.N. Singh Vadhuria, Rural Life Analyst and Mr K.C. Awasthy, Research Officer, Rural Health and Training) at Kalakankar House, Lucknow.

27 December 1987

Discussions at Kalakankar House with PRAD senior officials (Mr Awasthy, Dr R.S. Srivastava, Sr. Research Officer, Rural Health & Sanitation);

Discussions with Dr P.C. Saxena, State Health Education Officer, State Health Education Bureau, Lucknow.

28 December 1987

Discussions at Lucknow with Dr Sunil Misra, Director Audience Research, All India Radio.

Discussions with Mr K.C. Awasthy, PARD, Lucknow.

Discussions with Mr K.K. Misra, UNI Correspondent, Lucknow.

29 December 1986

Discussions with Dr P.C. Vyas, Director General, Medical and Health Services, (DGMHS) Swasth Bhavan, Lucknow.

Discussions with Dr S.C. Bhalla, Additional Director, Health

Discussions with Mr S.C. Chandola, Assistant Director, Panchayat Raj, Lucknow.

Discussions with Dr P.C. Saxena, State Health Education Bureau, Lucknow.

Discussions at UNICEF, Upper India Office with Mr J.R. Van Renselaar, Programme Officer and Mr G.S. Srinivasan, Asst. Programme Officer.

30 December 1986

Discussions with Mr J.C. Pant, Secretary, Education, Government of U.P.

Discussions with Dr Kanchanlata Sabarwal, Chairperson, Bharatiya Gramin Mahila Sangh; Hony. Secretary, U.P. Mahila Sahayak Sangh; Chief Commissioner, Bharat Scouts and Guides.

Discussions with Mr Shyam Suri, Secretary, Health, Govt. of U.P.

Discussions with Mr V.K. Gupta, Secretary, Management, Jal Nigam

Discussions with Mr Karan Bhai, Chairman, Alternative Technology Development Association (ATDA), Lucknow.

31 December 1986

Discussions with Mr Ram Ratan Ram, Director, Panchayat Raj.

Discussions with Dr Kanchanlata Sabarwal.

Discussions with UNICEF, Upper India Office Officials

Discussions with Dr G.C. Pande, Chief, Rural Development Division, Uttar Pradesh Development Systems Corporation (UPDESCO), Lucknow.

1 January 1987

Arrival at Allahabad

Discussions with Mr S.R. Dikshit, Supdt. Engineer, Jal Nigam.

Discussions with Mr Arvind K. Singh, Dist. Panchayat Raj Officer (DPRO).

2 January 1987

Discussions with Mrs. Ansuiya Sharma, Secretary, Bharatiya Gramin Mahila Sangh, Allahabad Branch.

Discussions with Mr Arvind K. Singh, DPRO and Bahadurpur/Phoolpur Panchayat Udyog Staff.

Field visit: Saidabad, Pratap pur, Phoolpur, Bahadurpur, Leelahat, Karuadeeh.

3 January 1987

Discussions with Mr P.C. Chaturvedi, dist. Magistrate, Allahabad.

Discussions with Mr Niraj Kumar Gupta, Chief Development Officer (CDO), Allahabad.

Discussions with Dr R.N. Misra, Director, State Instt. f Education (SIE), Allahabad.

Discussions with the Head, Department of Preventive and Social Medicine, Motilal Nehru College, Allahabad.

Discussions with Mr Dikshit, Supdt. Engineer, Jal Nigam.

4 January 1987

Arrival at Varanasi

Discussions with Mr V.K. Aggarwal, Executive Engineer and field staff, UP Jal Nigam, Varanasi.

Field visit, discussions and interviews at Kari village in Varanasi.

5 January 1987

Discussions with Mr R.M. Srivastava, Chief Dev. Officer, Varanasi.

Field visit: Kasi Vidyapith Panchayat Udyog and discussions with Panchayat Udyog staff.

Discussions at BHU with Dr Udipi, Principal Investigator, WHO/ICMR project on health services research.

Discussions with Mr Dilip Kumar, Dist. Magistrate, Varanasi.

6 January 1987

Discussions with Mr Sharma, Supdt. Engineer, and field staff of UP Jal Nigam, Varanasi.

Arrival at Lucknow.

7 January 1987

Discussions with Mrs Krishna Singh, Director, Women's Development and Nutrition Programme, Govt. of UP, Lucknow.

Discussions with Mr Ram Ratan Ram, Director, Panchayat Raj

Discussions with Managing Director and senior staff of UP Jal Nigam.

Discussions with Mr A.P. Singh, Secretary, Dept., of Housing and Urban Development, Govt. of UP.

8 January 1987

Discussions with Mr O.P. Sharma, Special Secretary, Dept. of Harijan and social Welfare, Govt. of UP.

Discussions with Mr Bholanath Tiwari, Secretary, Planning, Govt. of UP.

Discussions with Mr Shahzad Bahadur, Sepcial Secretary, Planning, Govt. of UP.

Discussions with Mr G.S. Srinivasan, UNICEF, Lucknow.

Discussions with Managing Director, Jal Nigam

Discussions with Mr K.C. Awasthy, PRAD.

9 January 1987

Discussions with Mr K.C. Awasthy, PRAD

Discussions at Jal Nigam Guest House, Lucknow with Mr S.H. Zaheer, Supdt. Engineer, UP Jal Nigam, Sultanpur.

Discussions at UNICEF, Upper India Office, with Mr S.C. Bhargava, Zone Representative and senior staff.

Discussions with Mr A.P. Singh, Secretary, Dept. of Housing and Urban Development.

10 January 1987

Discussions with Mr Kamal Taori, Secretary, Dept. of Rural Development and Panchayat Raj, Government of UP.

Discussions with Mrs. Taori, an office bearer of Akhansha, local NGO working for rural women.

12 January 1987

Discussions with Mr J.A. Speets, Water Supply Coordinator, Royal Netherlands Embassy.

13 January 1987

Discussions at UNICEF, New Delhi with Mr M. Akhter.

19 January 1987

Discussions with Mr A.K. Roy, Patron and Principal Adviser, Sulabh International.

ANNEX 3 - LIST OF RELEVANT PERSONS/INSTITUTIONS VISITED

Technology Advisory Group (TAG)

Mr V.R. Iyer, Institutional and Financial Adviser, UNDP
Project on low-cost sanitation.

UNICEF, New Delhi

Mr M. Akhtar, Chief, Water and Environmental Sanitation
Section.

Mr Philip Wan, Sanitation Coordinator, Water and
Environmental Sanitation Section.

UNICEF, Lucknow

Mr S.C. Bhargava, Zone Representative, Upper India Office.

Mr J.R. Van Rensellaar, Programme Officer

Mr G.S. Srinivasan, Asst. Programme Officer

Mr V. Radhakrishnan, Asst. Programme Officer

Sulabh International

Mr A.K. Roy, Patron and Principal Adviser.

Uttar Pradesh Jal Nigam

Mr S.K. Sharma, Managing Director.

Mr D.C. Garg, Secretary, Administration

Mr V.K. Gupta, Secretary, Management.

Mr P.K. Sharma, Deputy Secretary, Planning

Mr S.H. Zaheer, Superintending Engineer, Sultanpur

Mr S.R. Dikshit, Superintending Engineer, Allahabad

Mr R.K. Sharma, Superintending Engineer, Vanarasi

Mr V.K. Aggarwal, Executive Engineer, Vanarasi

Government of Uttar Pradesh, Lucknow

Mr A.P. Singh, Secretary, Dept. of Housing & Urban
Development.

Mr Bholanath Tiwari, Secretary, Planning

Mr Shyam Suri, Secretary, Health

Mr Kamal Paori, Secretary, Rural Development and Panchayati Raj.

Mr J.C. Pant, Secretary, Education

Mr Shahzad Bahadur, Special Secretary, Planning

Mr O.P. Sharma, Special Secretary, Harijan and Social Welfare

Mr Ramratan Ram, Director, panchayati Raj

Dr P.C. Vyas, Director-General, Medical and Health Services

Mr Babulal Singh, Director, Plng. Research and Action Divn. (PRAD)

Dr P.C. Saxena, Chief, State Health Education Bureau

Mrs. Krishna Singh, Director, Women's Development & Nutrition Prog.

Dr J.N. Singh Bhadoria, Rural Life Analyst, PRAD

Mr K.C. Awasthi, Research Officer, Rural Health, PRAD

Dr R.S. Srivastava, Senior Research Officer, Rural Health, PRAD

Mr S.C. Bhalla, Additional Director, Health

Mr S.C. Chandola, Assistant Director, Panchayati Raj

Dr G.S. Pande, Chief, Rural Development Division (UPDESCO)

District Officials

Mr P.C. Chaturvedi, District Magistrate, Allahabad

Mr dilip Kumar, District Magistrate, Varanasi

Mr Niraj Kumar, Chief Development Officer, Allahabad

Mr R.M. Srivastava, Chief Development Officer, Varanasi

Mr Arvind K. Singh, District Panchyati Raj Officer, Allahabad

Mr R.R. Singh Yadav, Addl. Dist. Panch. Raj Off. (Tech.)
Varanasi

Mr D.P. Verma, Inspector, Kasi Vidyapith Panchayat Udyog,
Varanasi

Mr Hiralal Sharma, Inspector, Bahadurpur Panchayat Udyog,
Allahabad

Mr Devmoni Misra, BDO, Pratap pur Block, Allahabad

Mr Harinaresh Pande, ADO, Pratap pur Block, Allahabad.

State Institute of Education, Allahabad

Dr R.N. Misra, Director, State Institute of Edn.,
Allahabad.

Mr Uma Wali, Asst. Dy. Director, Project Officer, NHEES
(UNICEF Sponsored project on Nutrition, Health Education
and Environmental Sanitation).

Motilal Nehru Medical College, Allahabad

Dr S.R. Singh, Head, Preventive and Social Medicine.

Nehru Yuvak Kendra, Allahabad

Mr M.K. Duvedi, Coordinator, NYK

Literacy House, Lucknow

Mr G.S. Choudhury, Director, Literacy House

Bharatiya Gramin Mahila Sangh

Dr Kanchan Lata Sabarwal, Chairperson, Bharatiya Gramin
Mahila Sangh.

Mrs Ansuiya Sharma, Secretary, Bharatiya Gramin Mahila
Sangh, Allahabad Unit

Akhansha, Lucknow

Mr (Dr Taori, Member, Akhansha, a local level NGO working
for the rural women.

Banaras Hindu University

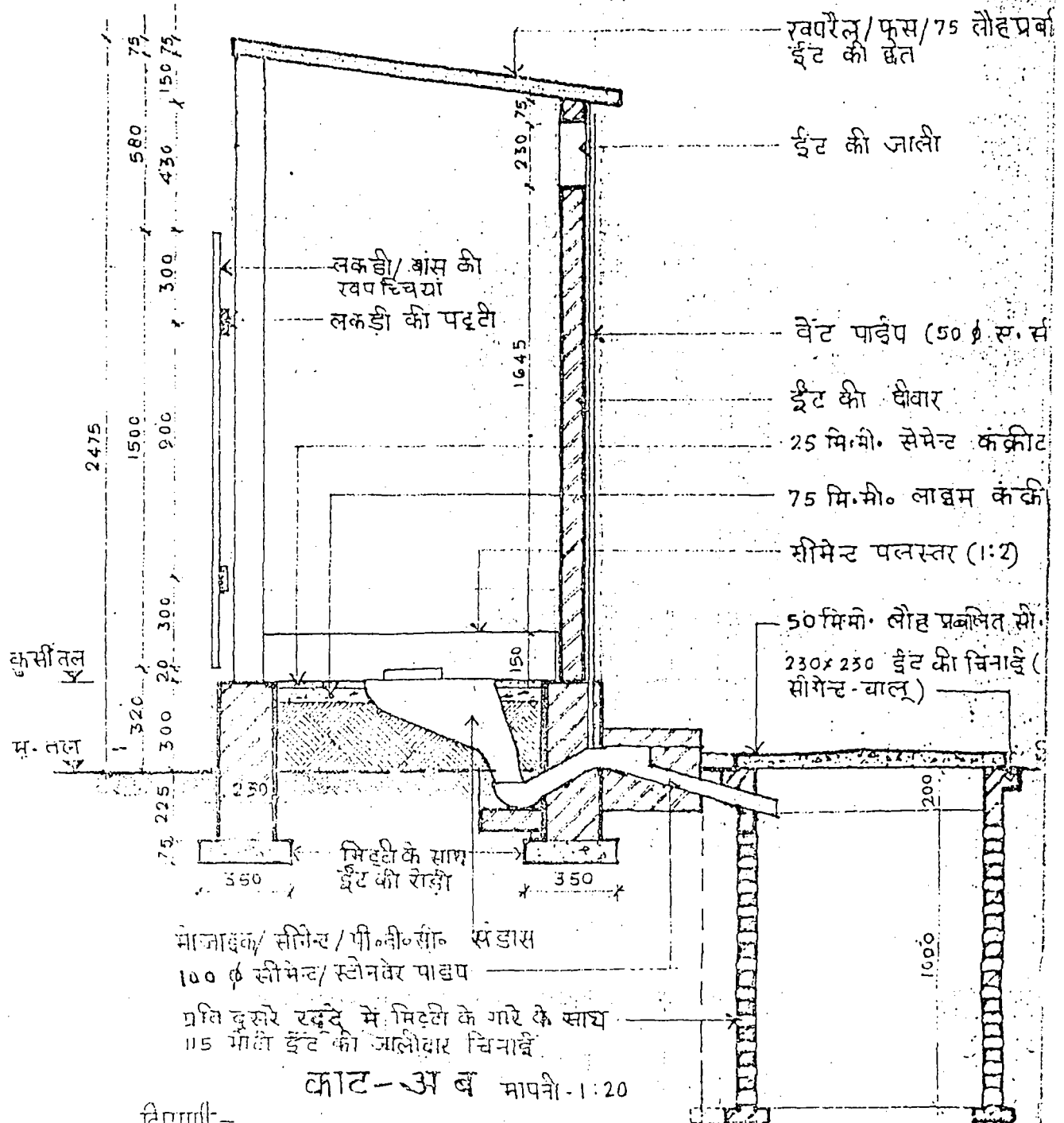
Dr Udipi, Principal Investigator, WHO/ICMR Project on
Health Services Research, BHU, Varanasi.

**ANNEX 4 - COST ESTIMATE OF CONSTRUCTION OF SANITARY LATRINES IN
RURAL AREAS IN UP BEING IMPLEMENTED BY PANCHAYATI RAJ**

Sl.	Item of Work	As per Qty	estimate Rate	Amount	cost of material	%age	Cost of Labour	%age
1	2	3	4	5	6	7	8	9
1.	Earth work in foundation	2.56M ³	5.5/M ³	14.08	—	—	14.08	100%
2.	Lean concrete in foundation with brick ballest 40 mm gauge in mud mortar.	0.26M ³	147.00/M ³	38.22	21.02	55%	17.20	45%
3.	II class brick work in mud mortar in foundation and plinth (locally made bricks)	0.72M ³	242.00/M ³	174.20	26.13	15%	148.07	85%
4.	Flush pointing with cement and sand mortar and exposed face of plinth	1.35M ²	6.7/M ²	9.10	2.27	25%	6.83	75%
5.	II class brick work (locally made) in 114 cement & sand mortar in superstructure	0.911M ³	372.00/M ³	338.09	203.33	60%	135.56	40%
6.	Supply & fixing of 15cm glazed stoneware pipe	—	L.S.	40.00	34.00	85%	6.00	15%
7.	Remmed earth in floor & approx	—	L.S.	30.00	—	—	30.00	100%
8.	Supply and fixing of Low cost latrine seat	—	L.S.	70.00	59.50	85%	10.50	15%
9.	Dry 12cm. thick honey comb brick work in wall for leaching pit (locally made bricks)	0.565/M ³	175/M ³	98.87	19.77	20%	79.10	80%
10.	7.5cm. thick R.B. Cover over the pit (pre cast unit)	0.113M ³	500/M ³	56.50	48.02	85%	8.40	15%
11.	Mild steel reinforcement for cover	10 Kg.	6.3 Kg.	63.00	56.70	90%	6.30	10%
12.	Country tile/3"RB Slab/Stone Slate/Asphalt Sheet roofing (locally made tiles/Bricks)	1.44M ²	78.00/M ²	112.32	56.16	50%	56.16	50%
13.	Bamboos/wooden ribbed door including hinges etc. Size 60 Cm X 150 cm.	1	L.S.	57.00	45.60	80%	11.40	20%
14.	Site levelling/development	L.S.	—	42.82	—	—	42.82	100%
15.	Contingencies	L.S.	—	5.00	2.50	50%	2.50	50%
Total				1150.00	575.00	50%	575.00	50%

Source : Uttar Pradesh Development Systems Corporation Limited (UPDESCO), Lucknow.

ANNEX 5 - DRAWING OF SANITARY LATRINE IN RURAL
AREAS OF UP BEING IMPLEMENTED BY
PANCHAYATI RAJ



टिपणी-
गोलाकार सीमेन्ट कंक्रीट के टक्कन में प्रबलन हेतु 6 मि.मी. सारिया दोनों दिशाओं में 150 मि.मी. की दूरी पर प्रयुक्त होगी।

updesco

उत्तर प्रदेश डेवलपमेंट सिस्टम्स कॉर्पोरेशन लिमिटेड
9 सरोजनी नाथ मार्ग, लखनऊ