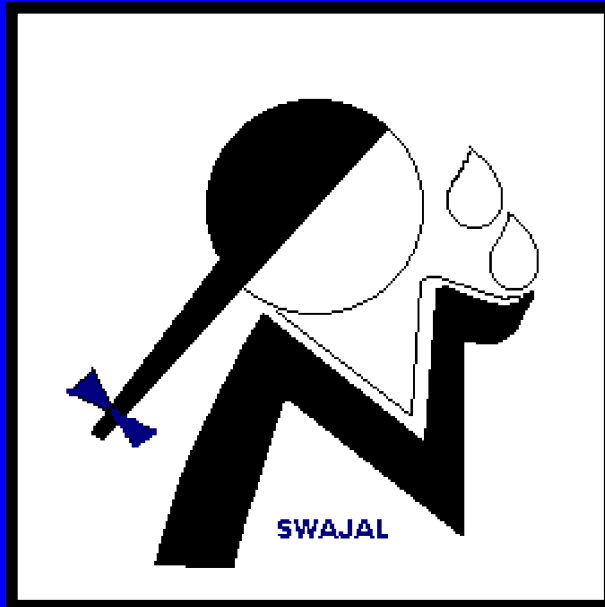


7th

Annual Progress Report

(From 1st April 2007 to 31st March, 2008)



Uttarakhand Rural Water Supply &
Environmental Sanitation
(Swajal Project)
Project Management Unit

“Uttarakhand Rural Water Supply & Environmental Sanitation (Swajal Project) Project Management Unit is a society established by the Government of Uttarakhand to promote, facilitate, and empower rural communities and village Panchayat to own, operate and manage their village water supply and sanitation systems.”



Society's Governance Philosophy

The essential character of Swajal revolves around values based on transparency, integrity, professionalism and accountability. Swajal is all about:

- ✓ Working towards sustainable development
- ✓ Helping people to help themselves
- ✓ Making WATSAN management PRI's concern; and
- ✓ Choice and voice of the people.

“Providing key to drinking water security and habitat improvement by empowering local communities to manage their water resources and sanitation needs”



Empowered Women - Empowered Community

MILLENNIUM DEVELOPMENT GOAL AND UTTARAKHAND SECTOR VISION -2012

The Millennium Development Goal (MDG) Regarding Water & Sanitation sector, states that by year 2015 "Reduce by half the proportion of people without suitable access to drinking water and basic sanitation"

Vision -2012 of Uttarakhand Rural Water Supply & Sanitation Sector has realization of MDG.

The Government of Uttarakhand (GoUK) has prioritized RWSS as a key area of its development agenda in its Tenth Plan (2003-07). GoUK envisages universal coverage of safe and potable water and sanitation by the end of its Eleventh Plan (2008-12). The vision also delineates the renewed institutional structure of the state as: "the rural local government in partnership with rural communities, shall plan, design, construct, operate, and maintain their water supply and sanitation schemes; so that they get potable water and attain health and hygiene benefits; GoUK and its sector institutions shall act as supporter, facilitator, and co-financier and as per need shall provide technical assistance, training and cater for bigger construction works and sectoral contingencies. The institutional, legal, and financial changes will be brought in by 31st March 2007 and ultimate realization of the VISION will be expected in year 2012."

Society in Brief

- **Name - Uttarakhand Rural Water Supply and Environmental Sanitation (Swajal) Project Management Unit**
- **State Govt's Controlling Department: Department of Drinking Water**
- **Date of Registration: 5th March 2001**
- **Registration Number: 854/2001**
- **Head Office: Mussoorie Diversion Road, Makkawala, Dehradun,**
 - Phone: 91-135-2733380, 2733455; Fax: 91-135-2733381
- **Website & Email ID: www.gov.ua.ni.in/swajal E-mail: pmu_uttaranchal@rediffmail.com**
- **District Level Offices:**
 - (i) Dehradun; (ii) Haridwar; (iii) Pauri; (iv) Tehri; (v) Uttarkashi; (vi) Chamoli;
 - (vii) Rudraprayag; (viii) Almora; (ix) Bageshwar; (x) Pithoragarh; (xi) Champawat; (xii) Nainital; (xiii) Udham Singh Nagar
- **Chairman: Chief Secretary, Govt. of Uttarakhand**
- **Vice Chairman: Secretary, Drinking Water, Govt. of Uttarakhand**
- **Member Secretary: Director, Project Management Unit (Swajal)**
- **Objectives:**
 - to deliver sustainable health and hygiene benefits to the rural population through improvements in water supply and environmental sanitation services which will increase rural income through time savings and income opportunities for women, test an alternative to the current supply driven service delivery mechanism and promote sanitation and gender awareness;
 - to promote the long-term sustainability of the rural water supply and sanitation sector by providing assistance to Government of Uttarakhand to identify and implement an appropriate policy framework and strategic plan.
 - to function as a resource organization for bringing about the sectoral reforms in the rural water & sanitation sector.
- **Programs under Implementation:**
 - World Bank assisted Uttarakhand Rural Water Supply and Sanitation Project (Sector Program)
 - GoI financed Swajaldhara;
 - GoI & GoUK financed Total Sanitation Campaign (TSC);
 - GoI financed Communication & Capacity Development Unit (CCDU); and
 - GoI financed National Rural Drinking Water Quality Monitoring & Surveillance Program (NRDWQM&SP)
- **Management Structure:**
 - General Body (GB)
 - Executive Committee (EC)
 - Finance Committee (FC)



Executive Summary

Executive Summary

'Uttarakhand Rural Water Supply and Environmental Sanitation (Swajal) Project Management Unit', Dehradun, an autonomous society of the Department of Drinking Water, Govt. of Uttarakhand, is a premier rural water supply and sanitation facilitator in the WATSAN sector. This society was registered on 5th March 2001 under the department of Drinking Water Supply, Government of Uttarakhand with twin objectives: (i) to coordinate and monitor the implementation of World Bank assisted Rural Water Supply and Environmental Sanitation (Swajal Project) and (ii) to implement Sector Reform Project and other projects sponsored by the Government of India.

The society currently has 13 District Project Management Units (DPMUs) located at Dehradun, Tehri, Uttarkashi, Chamoli, Srinagar (Pauri), Rudraprayag, Haridwar, Bhimtal (Nainital), Udham Singh Nagar, Almora, Bageshwar, Champawat and Pithoragarh catering to the needs of three tier Panchayati Raj Institutions in delivery of rural water supply and sanitation schemes based on participative demand responsive and community implementation approaches.

The World Bank assisted Swajal Project came to an orderly closure on 31st May 2003. However, the State Government vide G.O. No. 53/UK&2/01 dated 25th June 2003 took a decision that the PMU established for the Swajal Project will continue with State Government funding. The revised mandate included the following (i) to prepare the follow-on-project of Swajal Project (Phase-I); (ii) to do loan closing of Swajal Project Phase-I and sustainability monitoring of assets created therein; (iii) to provide technical assistance for community development and to do monitoring and evaluation of implementation of Swajaldhara program; (iv) to act as HRD Cell under GoI's funding; (v) to implement Information, Education & Communication (IEC) program; (vi) to implement Total Sanitation Campaign (TSC) program; (vii) to oversee the implementation of Sector Reform Project, Haridwar; and (viii) to do any other work assigned by the GoI & GoUA.

Apart from this the State Government vide G.O. No. 3033/UK&2-04/2003 dated 7th February 2004 designated PMU also to function as State Water and Sanitation Mission (SWSM) to coordinate and monitor the implementation of Swajaldhara & Total Sanitation Campaign (TSC) in the State.

The State Govt. vide G.O. 2426/Nineteen/04-2(22 Pey)/2004 dated 31st May 2005 had created an Apex body of the State Water and Sanitation Mission (SWSM) under which the three sector institutions namely Rural Water Supply & Environmental Sanitation Society (PMU, Swajal), Uttarakhand Peyjal Sansadhan Vikas Evam Nirman Nigam (UJN) & Uttarakhand Jal Sansthan (UJS) are required to function. The URWSS Society (PMU, Swajal) was named as Secretariat of the SWSM. The matter has been further reconsidered by the State Government and the Secretariat of SWSM has been separated from PMU (Swajal) vide GO no. 2542/Nineteen/6-2(22 pey)/2004 dated 21st November 2006. Now all the three sector institutions namely **Rural Water Supply & Environmental Sanitation Society (Swajal)**, Uttaranchal Peyjal Sansadhan Avam Nirman Nigam & Uttaranchal Jal Sansthan will function under the SWSM through SWSM Cell of which Secretary, Drinking Water is Chief Executive Officer.

The URWSS Society (Swajal) now has the same constitution as provided in the GO no. 36/UK&2(272 pey)/2001 dated 28th February, 2001 and will retain its original name and roles & responsibilities. The Registrar of Societies, Chits & Firms has been informed accordingly for making amendments in their records.

During the Financial Year 2007-08, this Society implemented/managed the activities of following five Projects/Programs (i) Uttarakhand Rural Water Supply and Sanitation Program (Sector Program) jointly financed by Govt. of India, Govt. of Uttarakhand and the World Bank; (ii) Swajaldhara Program, financed by the Govt. of India; (iii) Total Sanitation Campaign (TSC) jointly financed by Govt. of India & GoUA; (iv) Communication and Capacity Development Unit (CCDU), financed by Govt. of India and (v) National Rural Drinking Water Quality Monitoring & Surveillance Program (NRDWQM&SP), financed by the Govt. of India.

The Management Structure

There are three Committees in this society to provide policy guidance and to monitor physical and financial performance and management of the rural water supply and sanitation projects/programs under the aegis of the State Water and Sanitation Mission (SWSM). The Apex Committee known as General Body (GB) is headed by the Chief Secretary and comprises seventeen members. Executive Committee (EC) has ten members in all and the Chief Secretary of GoUK is the Chairman of the EC. Apart from the GB and EC,

there is also a Finance Committee (FC) under the chairmanship of the Secretary, Drinking Water (GoUA) to manage the routine affairs of the SWSM.

During 2007-08, Mr. S.K. Das, Chief Secretary presided over the EC & GB meeting. Dr. Ranbir Singh, Secretary Drinking Water remained as Vice Chairman of the Society upto 03.10.2007. During the latter part of the F.Y. Mr. M.H. Khan, Secretary Drinking Water took over as Vice Chairman of the Society from 04.10.2007 to 31.03.2008. Mr. Gambhir Singh worked as Director of the PMU and Member Secretary of the Society during the year in retrospect.

The Chairman, Vice Chairman and Hon'ble members of FC, EC and GB gave effective guidance and directions for expeditious, implementation of the projects/ programs undertaken by this society. The GB and EC members of the society met once and twice respectively during F.Y. 2007-08 to provide overall policy guidance and to monitor physical and financial performance of various projects/ programs being executed under the aegis of this society. The FC members met five times in the F.Y 2007-08 to steer activities and ensure management of the society.

In a nutshell, the progress of various programs is as under:

(i) World Bank assisted Swajal-II Project

The World Bank, GoI, GoUK and Community financed project – Uttarakhand Rural Water Supply and Sanitation Program (Sector Program) was formally launched on 27th April, 2007 by the Hon'ble Minister for Drinking Water, Flood Control and Irrigation. The ceremony was attended by the representatives of the three-tier PRIs, World Bank, state government officers, including officers from sector institutions UJN, UJS and Swajal, Non-governmental Organizations and members of the Gram Panchayats and User Water Sanitation Committees working as SOs, etc. The physical and financial progress under this program is given in brief in the following paragraphs:

• Physical Progress

§ Prefeasibility Studies were completed in 278 GPs (1955 habitations) and Agreements with 75 NGOs were signed for planning phase activities in identified habitations and 291 UWSSCs were formed. In Batch 2 Pre-planning activities including selection of NGOs was completed.

§ 131 water supply schemes covering 250 habitations were taken up. Out of which 7 schemes were completed during the financial year 07-08 and remaining 124 water supply schemes were under different stages of construction.

• Financial Progress

§ Total available funds during the year were Rs.2003.77 lakhs which includes opening balance, releases during the year and bank interest. An expenditure amounting to Rs.1527.06 lakhs was incurred during the year in retrospect. Cumulative expenditure since the launch of the program is Rs.2081.85 lakhs.

• World Bank Mission Visits

§ During the year three World Bank Supervision and Technical Mission visited the state.

(ii) Swajaldhara Program

Rajiv Gandhi National Drinking Water Mission of Drinking Water Department, Ministry of Rural Development, Govt. of India initiated sector reforms in rural drinking water supply sector named Swajaldhara in December 2002 across the country based on the principles of demand responsive approach, capital cost sharing by communities and 100% operation and maintenance

(O&M) by communities. This program is being implemented in all the thirteen districts of the State. Under this program, each village has to follow a scheme cycle of about 36 months consisting of four distinct phases- startup, planning, implementation and O&M.

- **Physical Progress**

§ Since the start of the program 180 rural water supply schemes were taken up, out of which 80 schemes were completed upto March 2008. This includes completion of 47 rural water supply schemes during the year F.Y. 2007-08. Remaining 100 schemes were under different stages of construction.

- **Financial Progress**

§ Total available funds during the year were Rs.1144.48 lakhs which includes opening balance, releases during the year and bank interest. An expenditure amounting to Rs.647.16 lakhs was incurred during the year in retrospect. Cumulative expenditure since the launch of the program is Rs.1447.87 lakhs

(iii) Total Sanitation Campaign (TSC)

Total Sanitation Campaign (TSC) is a vehicle of reforms in the rural sanitation sector. This campaign has been launched by the GoI with the objective of improving the quality of life of rural people and to provide privacy and dignity to women. This campaign is a demand responsive community led campaign. The funding partners are GoI, GoUA and rural communities. TSC is currently being implemented in all the districts of the State. The GoI has so far approved projects aggregating to Rs. 99.48 crores. TSC components include construction of Individual Household Latrines, Community Sanitary Complexes and School Toilets. TSC is mainly based on communication, which involves efforts to disseminate sanitation related messages through Information Education & Communication (IEC) activities at the GP, Block Panchayat and Zilla Panchayat Level. TSC discourages subsidies, and focuses on community level incentives. Under this campaign, Rs.1200/ per unit is admissible as incentive only to BPL households on construction of individual household latrines.

- **Physical Progress**

§ Despite several constraints, TSC has made steady and remarkable progress in the State. This is corroborated by the fact that a humble beginning of construction of 6503 individual household latrines (IHHL) in the year 2003-04, 21838 in the year 2004-05, 53470 IHHL, in the year 2005-06, 67011 IHHL during the year 2006-07 and 75801 IHHL during the year 2007-08. The cumulative progress of construction of individual household latrines is around 2,34,480 at the end of F.Y., 2007-08.

§ There has been considerable progress in achieving Nirmal Gram Puraskar beginning with thirteen NGPs in the year 2004-05, 109 in 2006-07 and submission of 597 applications to the GoI for the award. Till the closure of the financial year, award of NGPs has not been finalized by the Govt. of India.

- **Financial Progress**

§ Total available funds during the year were Rs.1378.02 lakhs which includes opening balance, releases during the year and bank interest. An expenditure amounting to Rs.705.79 lakhs was incurred during the year in retrospect. Cumulative expenditure since the launch of the program is Rs.1671.89 lakhs upto the March 2008.

(iv) Communication & Capacity Development Unit (CCDU)

The Govt. of India is financing the Communication & Capacity Development Unit of the state on cent percent basis from the year 2004-05. The CCDU aims at enhancing community participation and demand generation through development of strategies with effective combination of mass media and interpersonal communication for different stakeholders in the rural water supply and sanitation services. The unit also aims towards capacity development of grass root level workers, PRIs, NGOs and other stakeholders.

- **Physical Progress**

§ During the year 125 workshops (5992 participants), 102 training program (3549 participants), 04 cross visits (257 participants), one awareness camp (100 participants) were organized at various level. Besides above, hording, wall-writing, at village, district, block levels, IEC stall & TV show were also conducted.

- **Financial Progress**

§ Total available funds during the year were Rs.126.32 lakhs which includes opening balance, releases during the year and bank interest. An expenditure amounting to Rs.47.50 lakhs was incurred during the year in retrospect. Cumulative expenditure since the launch of the program is Rs.81.26 lakhs upto the March 2008.

(v) National Drinking Water Quality Monitoring and Surveillance Program (NRDWQM&SP)

This program (100% GoI financed) has been launched by the GoI across the country during F.Y. 2006-07. The objective of the program, inter-alia includes (i) decentralized monitoring and surveillance of all rural drinking water sources in the country by the community and (ii) capacity building of panchayats to own the field test kit and take up full O&M responsibility for water quality monitoring of all drinking water sources in their respective area. Under this program, funds are available, for setting up of new water testing laboratories, strengthening of existing water testing laboratories, purchase of field test kits, IEC and HRD activities and administrative expenses. The recurring cost of field test kits and other expenses are to the met from community contribution.

- **Physical Progress**

Pollution Control and Research Institute (PCRI), BHEL, Haridwar has been selected as State Referral Institute (SRI) and a MoU has been signed between PMU and PCRI, BHEL. (ii) Identification of district level laboratories for water quality testing has been done by the district project management units. (iii) Training material and training of DLKT of eight districts have been completed. (vii) Dy. CMOs of all districts have been selected as District Level Surveillance Coordinator (DLSC).

Financial Progress

§ Total available funds during the year were Rs.543.65 lakhs which includes opening balance, releases during the year and bank interest. An expenditure amounting to Rs.2.32 lakhs was incurred during the year in retrospect. Cumulative expenditure since the launch of the program is Rs.3.46 lakhs upto the March 2008.

(vi) The Right to Information Act 2005:

The society took all steps to fulfill all the obligations under the Act. This included (i) designating Public Relation Officers and Appellate Authority (ii) timely preparation and publication of 17 manuals and (iii) timely disposal of requests for obtaining information. The constant endeavor of the PMU to take steps in accordance with the requirements of the Act led to an acclamation by the Uttarakhand Information Commission.

YEAR IN RETROSPECT AS REGARDS TO FINANCIAL TRANSACTIONS

The audited annual accounts and balance sheet for the year ended March 31st, 2008 are placed as **Annexure -4A**. This balance sheet presents the financial transactions relating to operational expenses of PMU & DPMUs, expenses incurred against PHRD grant and expenses related to sector program. The **Annexure - 4B** shows the financial transactions of Govt. of India financed Communication and Capacity Development Unit and NRDWQM&SP. The expenses relating to GoI financed Total Sanitation Campaign and Swajaldhara Program are not included in this balance sheet as these programs are district based programs and the PMU is only a monitoring agency. The financial statements of the Society are prepared under the historical cost convention in accordance with generally accepted accounting principles, on cash basis. The Fixed Assets are capitalized at cost, which comprises purchase price, duties, levies and any attributable cost of bringing the assets to their working condition. The Society is following a policy of charging the depreciation on fixed assets on a pro-rate basis. The rates of depreciation are as provided under the Income Tax Act, 1961.

Auditor's Report

The Finance Committee had approved vide FC agenda item -38.05 dated 29th April, 2008 the engagement of M/S Avnish K. Rastogi & Associates, Chartered Accountants, F-10A, 11, Khushnuma Complex, 7-R.F.Bahadur Marg, Near State Guest House, and Lucknow as Auditors for this Society for F.Y. 2007-08. The Firm has completed the audit work of the Society for this F.Y.-2007-08. The Auditor's Report does not contain any qualifications

Acknowledgement

The Society thanks the Central and State Government authorities, sector institutions authorities, PRI representatives and the World Bank Mission members for their continued co-operation and support to the Society. The Society also acknowledges the valuable contribution made by the Service Agencies, Support Organizations and the M&E Unit, staff of PMU and DPMUs.

Kapil Lall
Director

“Events of Pride”

- Formal launching of the 'Global First Project' - Uttarakhand Rural Water Supply and Sanitation Project (Sector Program) on Sector Wide Approach by the Hon'ble Minister for Drinking Water, GoUK on 26th April, 2007.
- Show casing of the state of Uttarakhand at the international national level - Water Week Stockholm, Sweden by Shri Arun Dobhal, Unit Coordinator (Engineering) through a presentation on Sector wide Approach in August, 2007.