

10th
ANNUAL PROGRESS REPORT
(FROM 1ST APRIL 2010 TO 31ST MARCH, 2011)

SWAJAL

UTTARAKHAND RURAL WATER SUPPLY & SANITATION PROJECT (SWAJAL)
PROJECT MANAGEMENT UNIT
(DEPARTMENT OF DRINKING WATER, UTTARAKHAND)
MUSSOORIE DIVERSION ROAD, MAKKAWALA, DEHRADUN

“Uttarakhand Rural Water Supply & 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.”

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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.
- ✓ Strengthening Panchayat Raj system.

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

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.

VISION: 2012

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."



Activities at a glance during the year 2010-11



Students Rally for awareness generation regarding TSC



ATD meeting UWSSC-Bamansari GP-kherda



CWR & chlorinator of a W/S scheme



IHHSL toilet constructed in GP- Kharani of Betalghat Block

Society in Brief

- **Name - Uttarakhand Rural Water Supply and Sanitation Project (Swajal), Project Management Unit**
- **State Govt's Controlling Department: Department of Drinking Water**
- **Date of Registration: 5th March 2001**
- **Registration Number: 854/2001 (Annexure-I)**
- **Head Office: Project Management Unit (PMU) Swajal Project, Mussoorie Diversion Road, Makkawala, Dehradun, Phone: 91-135-2733380, 2733455; Fax: 91-135-2733381.**
- **Website & Email ID:** <http://swajalsis.uk.gov.in> E-mail: pmu_uttaranchal@rediffmail.com
- **District Level Offices: District Project Management Unit (DPMU) Swajal Project.**
 - (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: Principal 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 undertaken by the Society:**
 - A) Programs under Implementation**
 - World Bank assisted Uttarakhand Rural Water Supply and Sanitation Project (Sector Program)
 - GoI & GoUK financed Total Sanitation Campaign (TSC);
 - GoI financed Communication & Capacity Development Unit (CCDU); and
 - GoI financed Water Quality Monitoring & Surveillance (WQM&S)
 - B) Program Completed**
 - GoI financed Swajaldhara; - (Completed on 31 March 2010)
- **Organization Management Structure:**
 - General Body (GB)
 - Executive Committee (EC)
 - Finance Committee (FC)

Executive Summary

Executive Summary

'Uttarakhand Rural Water Supply and 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 and Uttarakhand.

After orderly closure of the World Bank Assisted Swajal Project in May 2003, the State Government of Uttarakhand decided to continue the PMU and DPMUs offices with objectives namely (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 & GoUK.

Location of Offices: The Society has its state level office in Dehradun which is known as Project Management Unit (PMU). In addition, the Society has 13 District Project Management Unit (DPMUs)

During the Financial Year 2010-11, this Society implemented/managed the activities of following five Projects/Programs (i) Uttarakhand Rural Water Supply and Sanitation Project (Sector Program) jointly financed by Govt. of India, Govt. of Uttarakhand, Communities and the World Bank; (ii) Swajaldhara Program, financed by the Govt. of India; (iii) Total Sanitation Campaign (TSC) jointly financed by Govt. of India & GoUK; (iv) Communication and Capacity Development Unit (CCDU), financed by Govt. of India and (v) Water Quality Monitoring & Surveillance (WQM&S), financed by the Govt. of India.

The Management Structure

There are three Management Committees 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 Society. 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 Principal Secretary, Drinking Water (GoUK) to manage the routine affairs of the PMU.

During F.Y 2010-11, Mr. N.S Napalchyal, Chief Secretary presided over the EC & GB meetings upto second week of September 2010. During the later part of the F.Y. Mr. Subhash Kumar,

Chief Secretary took over as Chairman of the Society. Mr. M.H. Khan, Secretary Drinking Water as Vice Chairman of the Society till first week of August, 2010 During the later part of the F.Y. Mr. U.K. Singh, Principal Secretary took over as Vice Chairman of the Society. During the year Mr. Kapil Lall has worked as Director of the PMU and Member Secretary of the Society.

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 (01) during F.Y. 2010-11 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 three times in the F.Y 2010-11 to steer activities and ensure management of the society. The minutes of GB, EC & FC meetings are placed as "Annexure-2".

Staffing

There are three types of personnels for managing the day to day activities of the society. These are (i) Deputationists from the Govt. Sector (ii) Consultants from private sector on contract (iii) Support Staff from UPNAL on hired basis. Out of 421 Sanctioned posts, 283 personnels were working as on 31st March, 2011. The staffing structure for the society was under revision during the year in retrospect. The details are as per "Annexure-3"

The progress of various programs is as below

(i) World Bank assisted Uttarakhand Rural Water Supply & Sanitation Project (URWSSP) Sector Program :

The URWSS Project, supporting a sector wide approach (SWAp) for rural water supply and sanitation in the state has been effective since 30th November, 2006. This project is jointly financed by the World Bank, Government of India, Government of Uttarakhand and Community. There are three implementing agencies, PMU Swajal, Uttarakhand Jal Sansthan (UJS) and Uttarakhand Peyjal Nigam (UJN) for execution of the project. The total project cost is US\$ 224 million of which the World Bank will contribute maximum of US\$120 million.

The Project development objective is to improve the effectiveness of rural water supply and sanitation (RWSS) services through decentralization and the increased role of the Panchayati Raj Institutions and the involvement of local communities in the state of Uttarakhand. The RWSS schemes under sector program are adopting an integrated approach for improving sustainability of water supply and maximizing health benefits. The water supply schemes are integrated with catchment area

conservation and management program, household and village environmental sanitation program, solid waste management, health and hygiene awareness promotion and safe disposal of waste water.

The physical and financial progress under this program is given in brief in the following paragraphs:

- **Physical Progress**

During the year in retrospect, 284 single village water supply schemes covering 547 habitations were completed and commissioned. Implementation stage works for 317 single village water supply schemes were under way. Planning phase activities were under progress in 739 Gram Panchayats including formation of 141 UWSSCs. The cumulative physical progress since launch of the project till March, 2011 are 583 water supply schemes covering 1055 habitations. “Annexure-5”

- **Financial Progress**

Total available fund during the year was R 5999.94 Lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 4268.26 Lakh has been made and R 1731.68 Lakh remained as closing balance as on 31st March, 2011.

The Cumulative expenditure till 31st March, 2011 since inception of program is R 13228.81 Lakh. “Annexure-8”

- **World Bank Mission Visits**

1. **Sixth Implementation Supervisory Mission**

An implementation support mission comprising Ms. Smita Misra (TTL-Mission Leader, SASDU); Mr. Srinivas Poddireddy (SASDU), Dr. S. Satish (SASDS), Ms. Preeti Jain (SARPS), Mr. S. Krishnamurthy (SARFM), Mr. Piyush Dogra (SASDI), Mr. Oscar E. Avarado (SASDU) participated from Washington DC, and Mr. Amadou Tidiane Toure Head of procurement team, visited the state from 15 to 23 April, 2010 to review the implementation progress, as part of the Supervisory mission for project. The World Bank mission also undertook field visits to review the progress made in the field/villages of the schemes completed/ ongoing in the district Dehradun, Haridwar, Nainital, Almora, Pithoragarh, and Bageshwar. The mission observed that the project has made efforts to achieve the project target and shows ascending trend in the achievement.

2. **Seventh Implementation Supervisory Mission**

A Seventh Implementation Supervisory Mission 19-23 November 2010 comprising World Bank team Ms. Smita Misra (TTL-Mission Leader, SASDU); Mr. S. Krishnamurthy (SARFM); Mr. Srinivas Poddireddy, Mr. Piyush Dogra; Dr. S. Dahasahasra; and Dharendra Kumar arrived and reviewed the implementation progress of the sector program. The mission observed that after implementation of sector program, improved services have impacted quality of life of community, including personal health and hygiene, household and village sanitation.

(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

§ In 167 Water Supply Schemes covering 224 habitations were completed and commissioned up to 31st March 2010. The Program has been discontinued on 31 March 2010 by GoI. “Annexure-10”

• Financial Progress

Total available fund during the year was R 196.98 Lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year pending liabilities of various schemes amounting to R 15.71 Lakh were paid and R 181.27 Lakh remained as closing balance as on 31st March, 2011. The closing balance will be transferred to NRDWP as per directions of GoI.

The Cumulative expenditure till 31st March, 2011 since inception of program are R 1851.64 Lakh.

(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 to 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, GoUK and rural communities. TSC is currently being implemented in all the districts of the State. The GoI has so far approved projects aggregating to R 99.48 crores TSC components include construction of Individual Household Latrines, Community Sanitary Complexes, Aanganbadi and School Toilets. TSC is mainly based on interpersonal communication, which involves efforts to disseminate sanitation related messages through Information Education & Communication (IEC) activities at the GP, Block Panchayat and Zila Panchayat Level. TSC discourages subsidies and focuses on community level incentives. Under this campaign, R 2200.00 for Plain area and R 2700.00 only for Hilly area per unit is admissible as incentive to BPL households and Govt of Uttarakhand additional incentives to BPL families R 500 for plain areas and R 800 for Hilly areas which was effective from 1st November 2010, on construction and use 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 796 individual household latrines (IHHL) in the year 2003-04, 35824 in the year 2004-05, 57108 IHHL, in the year 2005-06, 64951 IHHL in year 2006-07, 75801 IHHL during the year 2007-08 , 98884 IHHL during year 2008-09 ,115071 IHHL during the year 2009-10 and 132913 IHHL during the current financial year 2010-11. The cumulative progress of construction of individual household latrines is 581348 at the end of F.Y., 2010-11 “Annexure-11”

§ School Sanitation - From the beginning of construction 69 school toilets in the year 2004-05, 264 in the year 2005-06, 490 in the year 2006-07, 320 in the year 2007-08 and 870 in the year 2008-09 ,413 in the year 2009-10 and 219 in current Financial year 2010-11. The cumulative progress is 2645 school toilets at the end of F.Y 2010-11

§ There has been progress in achieving Nirmal Gram Puraskar beginning with thirteen NGPs in the year 2004-05, 109 in 2006-07, 160 in 2007-08, 136 in 2008-09 ,44 in 2009-10 and state submitted 291 applications of Gram Panchayats for award of Nirmal Gram Puruskar to the GoI in current F.Y. 2010-11. The cumulative achievement of Nirmal Gram Puruskar is 462 till the end of March, 2011.

- **Financial Progress**

Total available fund during the year was R 3876.40 Lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 1672.62 Lakh has been made and R 2203.78 Lakh remained as closing balance as on 31st March, 2011.

The cumulative expenditure till 31st March, 2011 since inception of program are R 4903.94 Lakh.

(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 210 workshops, 53 training programs, 203 awareness camps and 338 Information, Education and Communication (IEC) activities were organized at various levels. Besides above, hoardings, wall-writings, meetings at village, district, block levels, IEC stall & TV show were also conducted. “Annexure-12”

- **Financial Progress**

- Total available fund during the year was R 79.73 Lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 21.57 Lakh has been made and R 58.16 Lakh remained as closing balance as on 31st March, 2011.

The cumulative expenditure till 31st March, 2011 since inception of program is R 147.44 Lakh.

- (v) **Quality Monitoring and Surveillance (WQM&S)**

As per new guideline National Rural Drinking Water Program (NRDWP) issued by the GoI, in which the National Rural Drinking Water Quality Monitoring and Surveillance (NRDWQM&SP) has been renamed as Quality Monitoring and Surveillance (WQM&S) and integrated with the NRDWP. 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 be met from community contribution.

- **Physical Progress**

During the year 258 Grass root Level awareness camps, 273 Inter Personal Communication (IPC) activities, 72 Mass Media Campaigns, 25 Audio Visual Programs and 117 Gram Panchayat Sanitary Surveys were conducted. The cumulative progress of various HRD/IEC activities was 799 Grass root Levels awareness camps, 1080 IPC activities, 1045 Mass Media Campaigns, 1056 Sanitary Surveys done up to the end of year March, 2011 “Annexure-13”.

- **Financial Progress**

Total available fund during the year was R 403.04 Lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 71.74 Lakh has been made and R 331.30 Lakh remained as closing balance as on 31st March, 2011.

The cumulative expenditure till 31st March, 2011 since inception of program is R 284.60 Lakh.

- (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 Information 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 RTI Act-2005 led to an acclamation by the Uttarakhand Information Commission. The PMU was adjudged

as the best organization in the State for fulfilling all the obligations of the RTI Act for the year 2010. And the Swajal Project received the award again for the second consecutive year for effective implementation of RTI-2005, transparency, accountability & good governance.

Auditor's Report

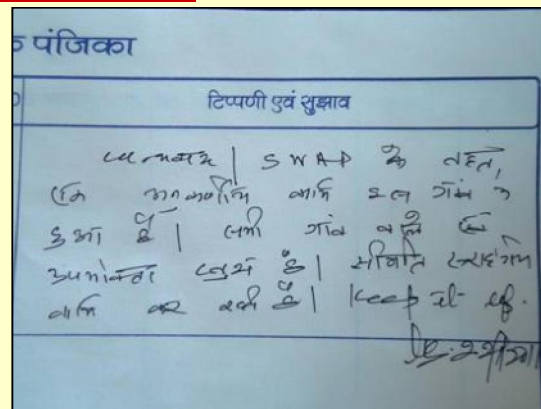
The engagement of M/S Avanish K. Rastogi & Associates, Chartered Accountants, F-10a,11, Khushnuma complex, 7-R.F.Bahadur Marg, Near State Guest House, and Lucknow as Auditor for this Society for F.Y.2010-11. There are five Balance Sheets namely (i) Sector Program (ii) TSC (iii) CCDU (iv) Swajal dhara and (v) WQM&S in this Annual Progress Report. The Firm has completed the audit work of the Society for this F.Y.2010-11. The Auditor's Report along with their observations are also part of this Annual Progress Report.

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 staff of PMU and DPMUs. The Society is continuing to work towards holistic development and remain committed in justifying the faith and trust reposed by the state government.

(Kapil Lall)
Director

Event of Pride



On 22 January, 2011 Chief Secretary, Uttarakhand visited water supply scheme of village Kandoli, Dehradun which is constructed under sector program (SWAP) and found satisfactory work during his visit.