



11th SWAJAL ANNUAL PROGRESS REPORT

(FROM 1st APRIL 2011 TO 31st MARCH, 2012)

UTTARAKHAND RURAL WATER SUPPLY & SANITATION PROJECT (SWAJAL)

PROJECT MANAGEMENT UNIT

(DEPARTMENT OF DRINKING WATER, UTTARAKHAND)

MUSSOORIE DIVERSION ROAD, MAKKAWALA, DEHRADUN

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“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.

“Providing key to drinking water security and habitation 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 2011-12



Students Rally for awareness generation regarding TSC



ATD GP Koti, Block Karnprayag, Chamoli



Woman beneficiary with Stand post, Pauri Garhwal



CWR & chlorinator of a W/S scheme Riva. GP Boharakot



IHHSI toilet constructed in GP Dewalchoun of District Bageshwar

Highlights of Annual Progress Report 2011-12 (Physical & Financial)

S.N.	Name of Program	Particulars	Physical Achievement		
			upto March,2011	During 2011-12	Upto March 2012
1	Uttarakhand Rural Water Supply and Sanitation Project	Project End Target - 2348 Habitations			
		Preplanning (habitations)	7505	201	7706
		Planning (habitations)	2949	348	3297
		Implementation phase (habitations)	1752	581 (Schemes:349)	2333 (Schemes:1297)
		Commissioned Water Supply schemes Habitations	1055	618 (Schemes:332)	1673 (Schemes:915)
2	T otal Sanitation Campaign	Program End Target of Individual household latrines- 886301			
		Program End Target of School toilets: 3925			
		Individual Household latrines	581348	125051	706399
		School Toilets	2645	183	2828
3	NRDWP Support (NRDWQM & SP)	Trainings program for Block level training for GP level functionaries	34759	405	35164
		Grassroots level awareness camp	786	74	860
		Mass media campaigns	1044	22	1066
		Sanitary Survey	553	19	572
		Inter-personnel communication	1062	76	1138
	NRDWP Support (Communication & Capacity Development Unit(CCDU))	Workshops	905	157	1062
		Training Program	753	111	864
		Cross Visit	621	308	929

(R in Lakh)

S.N	Name of Program	Financial Progress				
		Opening Balance as on 1st April, 2011	During Year 2011-12			
			Release & others	Total Available Fund	Payment (Expenses & Advance paid)	Closing Balance as on 31 st March 2012
1	Uttarakhand Rural Water Supply and Sanitation Project	1731.68	5061.58	6793.26	6219.01	574.25
2	Total Sanitation Campaign	2203.78	1209.36	3413.14	2405.61	1007.53
3	NRDWP-Program fund (Sustainability)	181.27	112.91	294.18	94.38	199.80
4	NRDWP-Support Fund (CCDU and WQM&SP)	389.46	17.48	406.94	249.32	157.62
Total		4506.19	6401.33	10907.52	8968.32	1939.2

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-1)**
- **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 the aegis of Society:**
 - A) Programs under Implementation**
 - World Bank assisted Uttarakhand Rural Water Supply and Sanitation Project :URWSSP
 - GoI & GoUK financed Total Sanitation Campaign (TSC); Now known as NBA (Nirmal Bharat Abhiyan)
 - GoI & GoUK financed National Rural Drinking Water Program (NRDWP)
- **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 the 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 Nov 2006 the society took an innovative World Bank funded program called Uttarakhand Rural Water Supply and Sanitation Project popularly known as Swajal-II (Sector Program) and by adopting sector wide Approach (SWAp) principles in the state. Uttarakhand has become one of the premier state in water & sanitation sector reform principle.

The State Government has 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 working in the rural water supply sector. Currently the PMU-Swajal is executing the following programs in rural areas of the state.

- (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) Total Sanitation Campaign (TSC) financed by Govt. of India & GoUK
- (iii) National Rural Drinking Water Program (NRDWP). Financed by Govt. of India & GoUK.
 - 1) National Rural Drinking Water Program: Sustainability, Financed by Govt. of India
 - 2) National Rural Drinking Water Program: Support Activities, Financed by Govt. of India
 - a. Water Quality Monitoring & Surveillance (WQM&S)
 - b. Communication and Capacity Development

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 Units (DPMUs).

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 project/programs under the aegis of the Society. The Apex Committee known as General Body (GB) is headed by the Chief Secretary and comprises of 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 2011-12, Mr. Subhash Kumar, Chief Secretary presided over the EC & GB meetings as Chairman of the Society. Mr. U.K. Singh, Secretary Drinking Water 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 project/ programs undertaken by this society. The GB and EC members of the society met once (01) during F.Y. 2011-12 to provide overall policy guidance and to monitor physical and financial performance of various project/ programs being executed under the aegis of this society. The FC members met two times in the F.Y 2011-12 to steer activities and ensure management of the society.

Staffing

There are three types of personnel for managing the day to day activities of the society. These are (i) Deputationist from the Govt. Sector (ii) Consultants form private sector on contract (iii) Support Staff from UPNL on hired basis. Out of 362 Sanctioned posts, 310 personnel were working excluding SWSM as on 31st March, 2012. The staffing structure for the society was under revision during the year in retrospect.

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 and closure date of the project is 16 June 2014. 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, 332 single village water supply schemes covering 618 habitations were completed and commissioned. Implementation stage works for 327 single village water

supply schemes covering 581 habitations were under way. Planning phase activities were under progress in 348 Habitations including formation of 247 UWSSCs. The cumulative physical progress since launch of the project till March, 2012 are 915 water supply schemes covering 1673 habitations.

- **Financial Progress**

Total available fund during the year was R 6793.26 lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 6219.01 lakh has been made and R 574.25 lakh remained as closing balance as on 31st March, 2012.

- **World Bank Mission Visits**

1. **Eighth Implementation Supervisory Mission**

An implementation Supervisory mission comprising Ms. Smita Misra (TTL-Mission Leader, SASDU); Mr. Srinivas Rao Poddireddy (SASDU), Dr. S. Satish (SASDS), Mr. S. Krishnamurthy (SARFM), Mr. Piyush Dogra (SASDI), Mr. Dharendra Kumar (SARPS) and Mr. Josses Mugabi, visited the state from 25 to 29 April, 2011 to review the implementation progress, as part of the Supervisory mission for project. The mission observed significant progress in adopting and implementing the SWAp and policies also after implementation of sector programme, improved services have impacted quality of life of community, including personal health and hygiene, household and village sanitation.

2. **Ninth Implementation Supervisory Mission**

A Ninth Implementation Supervisory Mission 17-23 November 2011 comprising World Bank team Ms. Smita Misra (TTL-Mission Leader, SASDU); Mr. Srinivas Rao Poddireddy (SASDU), Dr. S. Satish (SASDS), Mr. S. Krishnamurthy (SARFM), Mr. Piyush Dogra (SASDI), Mr. Dharendra Kumar (SARPS) and Mr. Josses Mugabi(Co-TTL,SASDU) Martin Gambrill (SASDU), arrived and reviewed the implementation progress of the sector program . The World Bank mission also under took field visits to review the progress made in the field/ villages of the schemes completed/ ongoing in the district Uttarkashi, Almora, Nainital, Tehri, and Dehradun. The mission observed that the project has made efforts to achieve the project target and shows ascending trend in the achievement. The project closing date has been extended from June 30, 2012 to June 16, 2014.

- (ii) **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 3200.00 for Plain area, R 3700.00 for Hilly area (Center share - R 2200.00 for plain area and R 2700.00 for Hilly area, State Share – R 1000.00 both Hilly and plain areas) and Beneficiary Share R 300 per unit is admissible as incentive to BPL households with effective from 1st June 2011, 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 , 132913 IHHL during the year 2010-11 IHHL and during the current financial year 2011-12 total 125051 IHHL constructed. The cumulative progress of construction of individual household latrines is 706399 at the end of F.Y, 2011-12

§ 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, 219 in the year 2010-11 and 183 in current Financial year 2011-12. The cumulative progress is 2828 school toilets at the end of F.Y 2011-12.

§ 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 , 63 in 2010-11. The cumulative achievement of Nirmal Gram Puruskar is 525 till the end of March, 2012.

- **Financial Progress**

Total available fund during the year was R 3413.14 lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 2405.61 lakh has been made and R 1007.53 lakh remained as closing balance as on 31st March, 2012.

(iii) 1) National Rural Drinking Water Program (NRDWP)

To scale the reform in the rural water supply sector the Govt of India has initiated a program based on the decentralization principle and also in the line of the sector program from April 2009. The primary responsibility of providing drinking water facilities in the country rests with the State Governments. The Government of India supplements the efforts of State Governments by providing financial assistance under the centrally sponsored Accelerated Rural Water Supply Programme (ARWSP), now renamed as National Rural Drinking Water Programme (NRDWP). The program aims to ensure permanent drinking water security in rural India and drinking water security through measures to improve / augment existing drinking water sources and conjunctive use of ground-water, surface-water and rain water harvesting based on village water budgeting and security plan prepared by the community/ local government with enable communities to monitor and maintain surveillance on their drinking water sources.

National Rural Drinking Water Program- Sustainability

Sustainability aims to ensure lifeline drinking water security under all circumstances and at all times in the form of grid supplying metered bulk water of two GPs/Village by adopting an appropriate system of pricing. Project Management Unit is responsible for executing the sustainability related activities under the GoI supported program.

- **Physical Progress** –To ensure the water security at the individual household level as envisaged in the guidelines of the (NRDWP) the construction of Roof Top Rain Water Harvesting Tanks (RWHT) was initiated in 785 households spread over 106 habitations were 79 RWHTs constructed in different habitations during FY 2011-12.
- **Financial Progress – Financial Progress**
Total available fund during the year was R 294.18 lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 94.38 lakh has been made and R 199.80 lakh remained as closing balance as on 31st March, 2012.

2) National Rural Drinking Water Program (NRDWP): Support Activity

a) Quality Monitoring and Surveillance (WQM&S)

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

- **Physical Progress**

During the year 74 Grass root Level awareness camps, 76 Inter Personal Communication (IPC) activities, 22 Mass Media Campaigns, 1 Audio Visual Program and 19 Gram Panchayat Sanitary Survey were conducted. The cumulative progress of various HRD/IEC activities was 860 Grass root Level awareness camps, 1138 IPC activities, 1066 Mass Media Campaigns, 572 Sanitary Survey done up to the end of year March, 2012. “

b) Communication & Capacity Development Unit (CCDU)

As per the new guidelines of NRDWP (support) funds will be provided for activities under the CCDU. 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 157 workshops, 111 training programs, 328 awareness camps and 270 Cross Visits were organized at various levels. Besides above, hording, wall-writing, meeting at village, district, block levels, IEC stall & TV show were also conducted.

§ **Financial Progress National Rural Drinking Water Program (NRDWP): Support Activity**

Total available fund during the year was R 406.94 lakh which includes opening balance, releases during the year, community contribution and bank interest. During the year payment of R 249.32 lakh has been made and R 157.62 lakh remained as closing balance as on 31st March, 2012.

(iv) 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 for the second consecutive year for effective implementation of RTI-2005, transparency, accountability & good governance.

Auditor's Report

The engagement of M/S Gianender & Associates, Chartered Accountants, Plot No. 6, Site No..21, Geeta Mandir Marg, New Rajender Nagar, New Delhi - 110060 for this Society for F.Y.2011-12. There is a consolidated Balance Sheet for (i) Sector Program (ii) TSC (iii) NRDWP-Program fund and (iv) NRDWP-Support Activities in this Annual Progress Report. The Firm has completed the audit work of the Society for this F.Y.2011-12.

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**