

SIXTH ANNUAL PROGRESS REPORT

(From 1st April 2006 to 31st March, 2007)



Project Management Unit,
The Swajal Project,
UTTARAKHAND RURAL WATER SUPPLY & SANITATION PROJECT
(Department of Drinking Water, Government of Uttarakhand)

“Uttarakhand Rural Water Supply & Environmental Sanitation (Swajal) Project Management Unit is a society established by the Government of Uttaranchal 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”

Our Events and Intervention Districts



Demonstration of SARAR tools



Secretary, Director & Other officials attending the UWSSC Meeting



IEC activity at School



View of catchments area development



Wall writing in the village



Water Storage Tank - Swajal



Toilets constructed by Community



Folk Performance on Program



Adl. Director's involvement in Plantation



NGP Award ceremony 2007



IEC Stall at Uttarakhand Mahotsava - 2007



CDOs Workshop at ATI, Nainital

MILLENNIUM DEVELOPMENT GOAL

Factor	Goal	Target - 2015
Water & Sanitation	Ensure environmental sustainability.	Reduce by half the proportion of people without sustainable access to drinking water and basic sanitation.
Poverty	Eradicate extreme poverty & hunger.	Reduce by half the proportion of people living on less than a dollar a day.
Primary Education	Achieve universal primary education.	Ensure that all boys & girls complete a full course of primary schooling.
Gender Equality	Promote gender equality and empower women.	Eliminate gender disparity in primary and secondary education preferably by 2005 and at all levels by 2015.
Child Survival	Reduce child mortality.	Reduce by two thirds the mortality rate among children under five.
Families & Women Health	Improve maternal health combat HIV/ AIDS Malaria and other diseases.	Reduce by three quarters the maternal mortality rate halt and begin to reverse the spread of HIV/AIDS. Halt and begin to reverse the incidence of Malaria and other major diseases.

Source: - UNICEF the state of the World's Children 2005.

Government of Uttarakhand Vision 2012

For Rural water Supply and Sanitation Sector

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."

URWSS Society

(A society of Department of Drinking Water, Government of Uttarakhand)

Project Management Unit, Swajal Project

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URWSS Society, 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. The objectives of the society are:

- 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.

The society is presently engaged in implementation of Global first project of rural water supply and sanitation based on Sector Wide Approach (SWAp) and national level schemes such as Swajaldhara, Total Sanitation Campaign, National Rural Drinking Water Quality Monitoring and Surveillance program and Community & Capacity Development Unit among other program.

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.

***Uttarakhand Rural Water Supply and Environmental Sanitation
(Swajal) Project Management Unit***
(A Society Registered Under Societies Registration Act, 1860
Registration No. 854)

Executive Summary

One Step Further

‘Uttarakhand Rural Water Supply and Sanitation Society’, 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. A Society under the name “Uttarakhand Rural Water Supply and Environmental Sanitation (Swajal) Project Management Unit” 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 programme; (iv) to act as HRD Cell under GoI’s funding; (v) to implement Information, Education & Communication (IEC) programme; (vi) to implement Total Sanitation Campaign (TSC) programme; (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 in 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 2006-07, this Society implemented/managed the activities of following five Projects/Programmes (i) Uttarakhand Rural Water Supply and Sanitation Programme (Sector Programme) jointly financed by Govt. of India, Govt. of Uttarakhand and the World Bank; (ii) Swajaldhara Programme, 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 Programme (NRDWQM&SP), financed by the Govt. of India.

The year 2006-07 was very eventful for this Society and the State of Uttarakhand as it marked (i) **Signing of Financing Agreement** between Govt. of India & the World Bank and **Project Agreement** between Govt. of Uttarakhand and the World Bank for Uttarakhand Rural Water Supply and Sanitation Program on October 16, 2006; (ii) Beginning of IDA Credit effectiveness (Credit No. 4232-IN) with effect from 30th November, 2006; (iii) Launching of Planning Phase activities in 60 Gram Panchayats spread over 12 districts (except district Haridwar) for Water Supply and Sanitation Schemes on SWAp principles and (iv) Nirmal Gram Puraskar to 109 Gram Panchayats.

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/programmes 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 GoUA 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 2006-07, Shri M. Ramchandran, Chief Secretary presided over the EC& GB meetings upto 30.10.2006. Mr. S.K. Das, Chief Secretary presided over the EC & GB meeting between 31.10.2006 to 31st March 2007.

Shri S. Raju, Secretary Drinking Water remained as Vice Chairman of the Society upto 27.5.2006, Dr. S.S. Sandhu, Secretary Drinking Water was the Vice Chairman of the Society between 27.5.2006 to 10.1.2007. During the latter part of the F.Y. Dr. Ranbir Singh, Secretary Drinking Water took over as Vice Chairman of the Society from 12.1.2007 and is continuing presently, after the closure of the F.Y. 2006-07.

The Chairman, Vice Chairman and Hon'ble members of FC, EC and GB gave effective guidance and directions for expeditious, implementation of the projects/ programmes undertaken by this society. The GB and EC members of the society met once during F.Y. 2006-07 to provide overall policy guidance and to monitor physical and financial performance of various projects/ programmes being executed under the aegis of this society. The FC members met three times in the F.Y 2006-07 to steer activities and ensure management of the society.

Global First

Some 1.2 million people will receive clean water under the new Uttaranchal Rural Water Supply and Sanitation Project, which will make Uttaranchal the first State in the World to adopt 'Sector Wide Common Policies' for improving the delivery of its water supply and sanitation services to rural areas.

Source: World Bank Bulletin, JAN 2007

The project/programmewise progress in a nutshell is as presented below:

(i) World Bank assisted Swajal-II Project

This project is being implemented by PMU Swajal, Uttarakhand Jal Sansthan and Uttarakhand Peyjal Nigam. To scale up reforms and to bring about a positive change in the rural water supply and sanitation sector, the Uttarakhand Rural Water Supply and Sanitation Project (Sector Programme) based on 'Sector Wide Approach (SWAp) jointly financed by the World Bank, Govt. of India and Government of Uttarakhand was launched during this year. The essence of 'SWAp' is that a consistent policy is to be followed for all new investments in the rural water supply and service delivery irrespective of the source of financing.

The proactiveness of the State Government and efforts of all the stakeholders- PeyJal Nigam, Jal Sansthan, Swajal, Panchayati Raj Institutions etc. ultimately culminated in reaching the final stage of the Project preparation negotiations at New Delhi during April 3-5 and July 2007. The Financing Agreement between the World Bank and Govt. of India; Project Agreement between the World Bank and Government of Uttarakhand were signed on 16th October, 2007. After signing of the agreements and fulfillment of conditionalities, the Credit became effective with effect from 30th November, 2006. It is heartening to note that as per Agreement conditions, the expenditure incurred by the Project Management Unit between 1st Jan, 2006 to 15th Oct, 2006 is reimbursable under Retroactive Financing.

Two World Bank Appraisal Missions visited the State prior to signing of the Financing & Project Agreement. First was Appraisal Mission (February 20-27, 2006) which consisted of Ms. Midori Makino, Ms. Smita Mishra, Mr. Oscar Alverado, Mr. Tashi Tenzing, Mr. N.V.V. Raghava, Mr. Ranjan Samantary, Mr. Man Mohan Bajaj, Mt. Ivor Beazely, Mr. Mark Ellery and Ms. Neha Kaul. The Mission came to appraise the Uttaranchal Rural Water Supply and Sanitation Project (Sector Programme) with the objective of confirming readiness for implementation. Second Mission visited during 8-10th, April 2007 to discuss the Procurement issues

Another Mission Short Technical Implementation Review Mission visited the State during Nov 1-3, 2006. This mission members' Messrs/Mmes. Smita Misra (Mission Leader, SASEI), Oscar E. Alvarado (SASEI), visited Dehradun to carryout a review of progress regarding the UA RWSS Project initial implementation activities, preparation for project launch and the work program for the first calendar year. During the mission, all three executing institutions worked out a common understanding about project

implementation issues and challenges and agreed to work in closer cooperation, especially during the initial implementation phase.

It is to be recognized that very careful and precise advance planning enabled the PMU to initiate and complete planning phase activities in its first batch-1A comprising sixty Gram Panchayats spread over twelve districts (except Haridwar) in planning phase. Three Consulting Firms were hired for carrying out initial IEC activities at the grass root level and also for providing technical assistance to GPs, Support Organizations and Users Water and Sanitation Sub Committees (UWSSCs). Information and dissemination of the Sector Program was initiated at the State, district, block and village level supported by capacity building activities such as workshops, exhibitions, exposure visits etc. Apart from this specially designed trainings were intensively carried out to facilitate a change in mindset of Sector Institutions from traditional 'Supply driven' programmes to 'Demand-responsive' programme. Against available funds during the year amounting to Rs. 711.10 lakh, an expenditure and advances amounting to Rs. 530.41 lakh were incurred in this particular year.

(ii) Govt. of India financed Swajaldhara Programme

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

The Govt. of India released Rs.984.60 lakh during the year. An expenditure of Rs. 63.54 lakh was incurred and advance of Rs. 502.95 was given during the year for execution of 19 completed rural water supply schemes and 96 schemes under other stage of scheme cycle such as planning or implementation. The operation and maintenance activities of 19 completed schemes are being done by concerned Users Water and Sanitation Communities and Gram Panchayats.

02 Gujjar Basti Schemes in Haridwar District were identified & completed including installation of 25 hand pumps from GoUA funds. During F.Y. 2006-07, an expenditure of Rs. 49.97 lakh was incurred.

(iii) Govt. of India and Govt. of Uttarakhand assisted Total Sanitation Campaign

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 through three implementing agencies PMU, UJS and UJN. 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 to BPL households on construction of individual household latrines.

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 in the F.Y. 2003-04, 21838 individual household latrines in the F.Y. 2004-05, 53470 individual household latrines in the F.Y. 2005-06, leading to around 67011 individual household latrines during the F.Y.2006-07. The cumulative progress of construction of individual household latrines is around 1,58,822 at the end of F.Y., 2006-07. Against available funds during the year amounting to Rs. 763.42 lakh (including Rs. 122.42 lakh of GoI & GoUA share and Rs. 79.10 lakh as community contribution), an expenditure and advances amounting to Rs. 558.10 lakh were incurred in this particular year. The cumulative expenditure and payments since the launch of the campaign is Rs. 978.87 lakh.

For the year 2006-07, 185 proposals were sent to Govt. of India for Nirmal Gram Puraskar (NGP), out of which 109 were qualified for the NGP. On 4th May 07 Hon'ble President Mr. A.P.J. Abdul Kalam presented



the 'NGP' to these Gram Panchayats at New Delhi.

The progress of TSC in the State has been quite encouraging with an increase in NGP awardees from 13 last year to 109 this year. Despite tough terrains and weak economical condition of the rural masses in the state, continuous efforts at the village, block, district and state level have shown some positive results in the form of increased physical and financial progress and increased number of open defecation free status villages. Keeping in view the current increase in demand for sanitation services, it is anticipated that the state will achieve full sanitation coverage in near future.

Impacts of Total Sanitation Campaign:

- As per Rajiv Gandhi Drinking Water Mission Survey (2003), Sanitation coverage in the state was 21% prior to launch of Total Sanitation Campaign Programme.
- The construction of 158822 latrines has improved the sanitation coverage from 21% to 35%. The overall cleanliness of rural areas has improved on account of implementation of TSC. This is substantiated by the fact that large numbers of applications for Nirmal Gram Puraskar have been received at the PMU level and the numbers of NGP winning Gram Panchayats have increased from 13 in the year 2005-2006 to 109 in the F.Y 2006-2007.

(iv) Communication & Capacity Development Unit

The Department of Water Supply, Ministry of Rural Development, GoI financed the State Government up to 2003-04 to establish Human Resource Development (HRD) Cell and Information Education & Communication (IEC) Cell. The objective for establishing HRD cell was to bring reforms in the WATSAN Sector through training and capacity level building of Communities, Panchayats and Sector Professionals. The objective of IEC cell was to create awareness and demand generation regarding safe and sustainable health and hygiene practices among the rural masses. The GoI restructured the above cells in the year 2004-05 and renamed as **Communication and Capacity Development Unit**.

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. The unit also aims towards capacity development of grass root level workers, PRIs, NGOs and other stakeholders.

As part of GoI capacity building program under Swajaldhara and Total Sanitation Campaign about 214 workshops, 26 trainings, 12 cross visits and 34 awareness

campaigns, 03 Sanitation rallies/camps, 02 folk performances, 01 seminar, 01 Mahila Sammelan, 01 quiz contest, 02 audio video shows, 01 IEC stall, 35 HESA Sessions, 25 wall writings and 15840 Hoardings/Banners/Posters/leaflets were distributed and placed. As part of Sector Program activities, the Lead Training Institutions and Regional Training Institutions have been identified to carryout special training programs on community mobilization and management. An expenditure and advances amounting to Rs. 26.35 lakh was incurred during the year against available funds amounting to Rs. 146.23 lakh.

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

This program 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.

This society has been identified as key resource center for conducting IEC and HRD activities of this program in the state and state level two days workshop was organized by this society to facilitate the implementation of NRDWQM&SP and sensitize the stakeholders especially the community towards the importance and need for taking up the program. The state government has designated Pollution Control Research Institute (PCRI), BHEL, Haridwar as state referral institute. An expenditure of Rs. 1.14 lakh was incurred during the year against available funds amounting to Rs. 84.75 lakhs.

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.



Auditor's Report

The Finance Committee in its 32nd Meeting vide Agenda item no. 32:06 had approved the engagement of M/S M.K. Goswami & Co. Chartered Accountants, 4/8 Asaf Ali Road, New Delhi as Auditors for this Society for F.Y. 2006-07. The Firm has completed the audit work of the Society for the year under review. 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 staff of PMU and DPMUs.

Gambhir Singh
Director