

# Accelerated Rural Water Supply Programme Guidelines, 1999

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International Environment House, Chemin de Balexert 7, 1219 Geneva, Switzerland +41 (0)22 797 26 23 – info@ielrc.org – www.ielrc.org

# **ARWSP GUIDELINES**

#### 1.1 BACKGROUND

Drinking Water Supply is a State subject. Funds have been provided in the budgets of the States for the drinking water supply right from the commencement of the first Five Year Plan. A national water supply and sanitation programme was introduced in the social welfare sector in the year 1954. The Government of India provided assistance to the States to establish special investigation divisions in the Fourth Five Year Plan to carry out identification of the problem villages. Taking into account the magnitude of the problem and to accelerate the pace of coverage of problem villages, the Central Government introduced the Accelerated Rural Water Supply Programme (ARWSP) in 1972-73 to assist the States and the Union Territories with 100% grants-in-aid to implement the schemes in such villages. This programme continued till 1973-74. But with the introduction of the Minimum Needs Programme(MNP) during the Fifth Five Year Plan (from 1974-75), it was withdrawn. The programme was, however, reintroduced in 1977-78 when the progress of supply of safe drinking water to the identified problem villages under the Minimum Needs Programme was not found to be satisfactory.

#### **1.2 National Drinking Water Mission**

The entire programme was given a Mission approach when the Technology Mission on Drinking Water and Related Water Management, also called the National Drinking Water Mission (NDWM) was introduced as one of the five Societal Missions in 1986. NDWM was renamed as Rajiv Gandhi National Drinking Water Mission in 1991.

- The following were the objectives of the NDWM in 1986:-
- Cover 1,37,155 residual problem villages as on 1.4.86 with safe drinking water;
- Evolve appropriate technology mix;
- Improve performance and cost effectiveness of the ongoing programmes;
- Create awareness on the use of safe drinking water;
- Take conservation measures for the sustained supply of water.

ARWSP continued to be implemented till 1998-99 though it was envisaged that all the rural habitations in the country would be covered during the 8th Plan period and the implementation of the programme would be discontinued by the end of the 8th Plan period. However, the objectives of the programme could not be attained as envisaged due to lack of sufficient funds and re-emergence of Not Covered habitations etc. and the programme continues to be implemented during the 9th Plan.

## 1.3 Need for change

The strategies of Rural Water Supply Programme hitherto adopted revolve around the basic premise that provision of safe drinking water is the responsibility of the Government. Increased outlay by the Government, particularly in the last one decade and, a change in technology focus to handpumps fitted on tube wells and bore wells, had resulted in an impressive increase in the total rural water supply coverage. However, the availability of potable drinking water in rural areas, especially during the summer months, is still not satisfactory. Eventhough about 1 lakh habitations are covered every year, the number of problem habitations has not declined proportionately. The reasons identified for uncovered villages were:

- Fast depletion of ground water level, which also increases incidence of quality problems of Arsenic and Fluoride etc.
- Sources go dry and defunct due to deforestation with consequent reduced recharge and lack of protection.
- Heavy emphasis on new construction and poor attention to maintenance.
- Non-involvement of people in operations and maintenance.
- Neglect of traditional water management practices/systems.

This revised guidelines is envisaged to be a tool to energise the system towards overcoming the above and to achieve the goal of providing safe and sustainable drinking water to all rural habitations of the country during the Ninth Plan period by exercising over the following:

- Control on over-extraction of groundwater
- More funds for repairs and rehabilitation
- Increasing people's participation
- Reserve 20% funds for states promoting sector reforms
- Water to be treated as a socio-economic good
- Stronger links with watershed development programmes

Hence, the prime objectives of these guidelines are as under:

- To ensure coverage of all rural habitations especially to reach the un-reached with access to safe drinking water.
- To ensure Sustainability of the systems and sources.
- To preserve quality of water by institutionalising water quality monitoring and surveillance through a Catchment Area approach.

1.4 Programmes of RGNDWM (w.e.f. April 1, 1999):

Funds are provided to the States by the Rajiv Gandhi National Drinking Water Mission under the following programmes:

a) Accelerated Rural Water Supply Programme(ARWSP): To supplement the efforts of the State Governments in providing access to safe drinking water to all rural habitations of the country.

b) Sector reform programme: Funds would be provided for institutionalising community participation in capital cost sharing, Operation & Maintenance and Water Quality Monitoring & Surveillance in identified pilot districts.

c) Sub Missions: Five Sub Missions on problems of water quality and sources drying up needing construction of water conservation and recharge structures and other measures with the States planning and approving them on their own.

d) Human Resource Development(HRD).

e) Research & Development(R&D).

f) Information, Education and Communication(IEC).

g) Management Information System(MIS).

h) Provision of water supply in rural schools.

i) Monitoring & Investigation Units, Purchase of Rigs, Water Quality Monitoring & Surveillance, Monitoring & Evaluation Activity, Solar Voltaic Pumps and innovative projects.

## 1.5 Evolution of ARWSP guidelines

Though ARWSP was in existence from 1972, comprehensive guidelines for implementation of ARWSP were first issued in 1986. The present guidelines are based on the revisions made and the following important developments that took place since 1986:-

• National Water Policy, 1987. (Annexure-I)

Revised criteria for allocation of ARWSP funds to States/UTs based on poverty criteria as was applicable to other Poverty Alleviation programmes.

Earmarking of minimum of 25% of the ARWSP funds for SCs and another minimum of 10% for STs.

Provision for utilisation of 10% funds for O&M.

Introduction of ARWSP in DDP areas without the condition of matching funds under the MNP.

Introduction of central assistance at 75% for drinking water supply schemes for sub-missions including water harvesting structures/water conservation, SPV pumping systems.

Central assistance for district level laboratories.

Guidelines issued by the Mission, on Human Resources Development.

Guidelines issued by the Mission, on Research & Development.

Guidelines issued by the Mission, on Information, Education and Communication (IEC).

Guidelines issued by the Mission, on Computerisation; MIS in rural water supply programme.

Complete delegation of powers to States to give technical and administrative approval for schemes under ARWSP in 1995.

Complete delegation of powers to States to give technical and administrative approval for schemes under Sub-Mission following the procedure adopted for sanctioning normal ARWSP schemes w.e.f. 1-4-1998.

The Government of India, in March 1999, approved major policy changes for implementation of Rural Water Supply Programme during 9th Plan period.

## CHAPTER – 2

## IMPLEMENTATION OF THE ACCELERATED RURAL WATER SUPPLY PROGRAMME (ARWSP)

## 2.1 IMPLEMENTING AGENCIES

2.1.1 The implementing agencies for the programme may be decided by the State Government. The implementation may be through the PHED or Rural Development Department / Panchayati Raj Department / Board, Corporation or Authority. The implementation should be entrusted to one single department in the State and not to a number of departments, with a view to better implementation, monitoring of the progress, etc. If the programme has to be implemented in more than one department in the State due to unavoidable and certain special considerations, one of the departments should be designated as the Nodal Department for coordinating the rural water supply programmes and sending consolidated progress to the Central Government.

2.1.2 The Panchayati Raj Institutions should also be involved in the implementation of schemes, particularly in selecting the location of standpost, spot sources, operation and maintenance, fixing of cess/water tariff, etc.

2.1.3 While formulating the schemes, name of the implementing agency may be indicated for each scheme.

2.1.4 The Nodal Department in the State Government will have the overall responsibility for planning, implementation, supervision and monitoring, of the approved schemes.

2.1.5 In case the implementation is entrusted to the District Rural Development Agency (DRDA), there should be a close coordination between the State Nodal Department and the DRDA so as to ensure avoidance of duplication of efforts and dovetailing of the activities with the normal schemes under MNP and ARWSP. The implementation of specific schemes through DRDAs should not mean reduction or

stoppage of flow of funds to the particular scheme/area under State Sector MNP.

## 2.2 NORMS FOR PROVIDING POTABLE DRINKING WATER

2.2.1 While implementing the Rural Water Supply Schemes, the following norms may be adopted for providing potable drinking water to the population:

40 litres per capita per day (lpcd) for humans to meet the following requirements.

Purpose	Quantity (LPCD)
Drinking	3
Cooking	5
Bathing	15
Washing utensils & house	7
Ablution	10

2.2.2 In addition, provision should be allowed at 30 lpcd for animals in hot and cold desert/ecosystems in 227 blocks of 36 DDP districts already identified in the States of Andhra Pradesh, Gujarat, Haryana, H.P., J&K, Karnataka and Rajasthan.

2.2.3 With normal output of 12 litres per minute, one handpump or standpost is estimated for every 250 persons. In case of an independent habitation/hamlet/Wadi/Tola/Majra/Mohra etc, if their population is less than 250 persons and there is no potable water source within its location, one source may be provided. A rural habitation not having any safe water source with a permanently settled population of 20 households or 100 persons, whichever is more, may be taken as the unit for coverage with funds under the ARWSP. However, the State Government could cover any habitation regardless of its size/population/number of households with funds under the MNP.

2.2.4 DDP areas and SC/ST habitations with less than 100 persons can, however, be covered under the ARWSP.

## 2.3 CRITERIA FOR IDENTIFICATION OF PROBLEM HABITATIONS

A habitation which fulfills the following criteria may be categorised as a Not Covered (NC) / No Safe Source (NSS) habitation :

a) The drinking water source/point does not exist within 1.6 km of the habitations in plains or 100 meter elevation in hilly areas. The source/point may either be public or private in nature. However, habitations drawing drinking water from a private source may be deemed as covered only when the water is safe, of adequate capacity and, is accessible to all.

b) Habitations which have a water source but are affected with quality problems such as excess salinity, iron, fluoride, arsenic or other toxic elements or biologically contaminated.

c) Habitation where the quantum of availability of safe water from any source is not enough to meet drinking and cooking needs.

Hence, in case of quality effected habitations, even if they are fully covered as per the earlier norms it would be considered as a NSS habitation if it does not provide safe water at least for the purpose of drinking and cooking.

Habitations which have a safe drinking water source/point(either private or public) within 1.6 km. in plains and 100 meter in hill areas but the capacity of the system ranges between 10 lpcd to 40 lpcd, the habitation could be categorised as "Partially Covered (PC)". These habitations would, however, be considered as "Safe Source (SS)" habitations, subject to the water quality parameters.

All the remaining habitations may be categorised as "Fully Covered (FC)".

**2.3.1** Once the task of providing every habitation with safe drinking water source is completed as per the norms and criteria indicated at para 2.2.1 and para 2.3 (a) respectively, in the entire State, the State Government may consider relaxation of norms with the prior approval of the Government of India, subject to the condition that beneficiaries of the relaxed norms are willing to share a part (which should not be less than 20%) of the capital cost and shoulder full responsibilities of subsequent O & M and replacement so as to meet their enhanced service expectations.

## 2.4 PRIORITY FOR COVERAGE OF NO SAFE SOURCE HABITATIONS

The following priorities should be adopted:

- Coverage of No Safe Source (NSS) habitations. Among them priority may be given to the ones inhabited exclusively by SC/ST or having larger SC/ST population enumerated in the Status Report of 1994 (Survey) and resurveyed in 1996-97.

- Coverage of quality affected habitations with acute toxicity first and the others later.

- Upgradation of source level of safe source habitations which get less than 40 lpcd water to the level of 40 lpcd.

- Coverage of schools and Anganwadis where safe drinking water sources could not be provided under the outlays allocated by the Tenth Finance Commission.

## 2.5 Criteria for allocation of funds under ARWSP

Criteria for allocation of funds to the States under the ARWSP w.e.f. 1.4.99 will be as under:

Weightage for	Percentage (%)
(a) Rural Population	40
(b) States under DDP, DPAP, HADP & special category hill States in terms of rural areas	35
(c) NC/PC villages (at 2:1 ratio)	10
(d) Quality affected villages (40:40:15:5)	5
(e) Overall water resource availability (un-irrigated over irrigated area)	10
Total	100

However, the proportion of Union Territories, North Eastern States, and Sikkim is retained at the level of their allocation for 1986-87.

**2.5.1** The allocation of Central Assistance under the ARWSP is subject to the matching provision/ expenditure by the States under the State Sector MNP. Releases under the ARWSP would not exceed the provision for Rural Water Supply made by the State Governments under their MNP. The shortfall in actual expenditure under the MNP vis-à-vis expenditure under the ARWSP during the previous year shall be deducted from the last installment of the ARWSP funds for the current financial year. The allocation of central assistance under the ARWSP for a financial year would be communicated to the States/UTs at the beginning of the financial year.

**2.5.2** These are dynamic figures and allocations for the subsequent years will be made based on the data on items on 2.5 (c), (d) and (e) above as on 31st March of the previous year. This can vary subject to changes on (c), (d) and (e) above on an annual basis .

**2.5.3** The funding pattern for Sub Mission projects taken up after 1-4-1999 will be in the ratio of 75:25 by the Central and State Governments. No separate funds will be released for this purpose. Upto 20% of the ARWSP funds released to the States can be used for these projects as per the details given in para 5.2.

#### 2.6 ARWSP in DDP Areas

A fixed amount (of about 5%) of annual central plan allocation is earmarked for Rural Water Supply in DDP areas in Andhra Pradesh, Gujarat, Haryana, Himachal Pradesh, J&K, Karnataka and Rajasthan without the condition of the States providing matching provisions under their MNP. The share of these States will be determined in proportion to the number of NSS habitations without safe source.

## 2.7 OPERATION & MAINTENANCE

Upto 15% of the funds released every year under the ARWSP to the States/UTs may be utilised for operation and maintenance of assets created, subject to (i) ceiling of matching grant provided by the States out of the MNP provision and (ii) the approved norms already circulated to all the States/UTs. The funds earmarked for operation and maintenance of assets is not to be permitted for creation of capital assets.

## 2.8 EARMARKING OF ALLOCATION FOR SCs/STs

2.8.1 The State/UTs are required to earmark and utilise at least 25% of the ARWSP funds for drinking water supply to the SCs and another minimum 10% for the STs. Where the percentage of SC or ST population in a particular State is considerably high warranting earmarking/utilisation of more than stipulated provisions, additional funds can be utilised. As a measure of flexibility, States may utilise at least 35% of the ARWSP funds for the benefit of SCs/STs, particularly in those states where SC/ST coverage is less than the coverage of the general population.

2.8.2 Diversion of funds earmarked for the SC/ST Sector to other sectors is not permitted. In cases wherein the States have achieved substantial coverage of SC/ST habitations and, do not have sufficient SC/ST population left out so as to utilise 35% of the ARWSP and the MNP allocations, such States may be allowed by the Rajiv Gandhi National Drinking Water Mission, to incur lower level of expenditure on the coverage of SC/ST habitations, on a case to case basis, in consultation with the Ministry of Social Justice and Empowerment and the National Commission for SC/ST. In such cases, States are required to submit separate proposals giving detailed justification for availing of such relaxation.

2.8.3 The State Governments may list out the SC/ST habitations separately and their coverage may be monitored as a distinct component of the programme.

#### 2.9 INVOLVEMENT OF WOMEN

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Since women are the principal beneficiaries of this programme, it is of crucial importance that women are involved at all the stages of Rural Water Supply Schemes, particularly while making decisions on the location of the standpost/spot sources in the villages/habitations. Information about sources of water should be obtained from women by the surveyors of the schemes. They should also be involved in the following manner:-

a) At least 30% of handpump mistries under NHRD, TRYSEM and other training schemes, should be women of the local areas/habitations as they can take better care of the operation and maintenance of the handpump schemes than others.

b) There should be women caretakers for handpumps in the habitations.

c) Certificate about satisfactory completion of the schemes may be obtained from women groups in the habitations.

d) Prominent women from the habitation should be represented on the village level water monitoring committees.

Experience has shown that where women are involved in such consultation and in the maintenance of the spot sources, the performance of the water supply systems has been effective. This aspect should be kept in view and ensured by the implementing agencies at the time of formulation, implementation and maintenance of the schemes. Each scheme/project for Rural Water Supply should mention the extent of the involvement of women.

#### 2.10 ANNUAL ACTION PLAN

2.10.1 The main objectives of the Annual Action Plan are to provide a definite direction to the programme, and also to ensure monthly and quarterly monitoring of physical and financial progress during the course of the financial year vis-à-vis (i) the target as included in the Action Plan and (ii) the priorities mentioned in para 2.4.

2.10.2 The States/UTs shall prepare Annual Action Plans six months before the commencement of the financial year on the basis of the shelf of schemes, the likely size of the allocation under State Sector MNP, ARWSP as well as likely carry over funds, if any, and submit them to the RGNDWM, by the beginning of October of the year for use at the Annual Plan discussions.

2.10.3 While preparing the Annual Action Plans, completion of the incomplete works shall be given priority over taking up of new works. It should be ensured that the works taken up are completed as per schedule and that there should not be any delay in execution which would result in cost escalation, non-utilisation of assets created, etc.

2.10.4 As soon as final outlay is decided, the Annual Action Plans prepared earlier may be reviewed and finalised. It should be forwarded to the Central Govt. latest by the 30th April of the financial year to which they pertain. The Action Plans should indicate the following aspects also:-

- Target of coverage of NC/PC habitations with their names, block, district, etc with reference of serial number from the appropriate survey list,
- Whether the habitations will be covered fully or partially. If partially, the extent of such partial coverage in terms of either additional segment of population to be benefited or the number of sources to be added to the sources existing at the end of the previous financial year,
- Steps taken by the implementing agency for functioning in a mission-mode,
- In house plan for HRD and how these have bearing on the projects,
- The activities to be taken up under sub-missions, magnitude of the problem, steps to tackle it, the oranisational structure for handling the sub-missions, details of IEC activities,.
- Population to be benefited indicating separately the SC/ST population; and,
- Clean environment around drinking water sources including handpumps, proper O&M and involvement of the Panchayati Raj Institutions.

2.10.5 **Dual Water Supply Policy** may be adopted for rural habitations facing acute water quality problems. In these habitations even if safe water is provided upto 10 LPCD, which would be sufficient for drinking and cooking purposes, it may be considered as a habitation with a safe source of drinking water. For other activities like washing, ablution etc. water available from the unsafe sources can be utilised without any problem.

2.11.2 The second installment to cover the balance of the annual allocation will be released on fulfillment of the following conditions:-

(a) Receipt of a specific proposal from the State/UT Govt. in prescribed proforma (Annexure II) with progress reports and returns by the end of December in each year,

(b) Utilisation of 60% of the available resources under the ARWSP and the MNP (unutilised opening balance, if any, from the previous years plus funds released as the first installment),

(c) Receipt of certificate of actual expenditure under the MNP and the ARWSP from the Accountant General upto the year preceding the previous financial year,

(d) Receipt of utilisation certificate (in the prescribed proforma as at Annexure-III) under the MNP and the ARWSP signed by the Chief Engineer and countersigned by the Secretary, for the previous financial year,

(e) Certificate that the unfinished works are given priority for completion,

(f) Certificate that no work started more than three years ago remains incomplete,

(g) Certificate that schemes technically cleared six months ago have been taken up for implementation,

(h) Proposal for release of the second installment of funds under the ARWSP, complete in all respects as indicated above, should reach the Mission by the 31st December. Such proposals will be entitled for receipt of full allocated amount under the ARWSP. Proposals received after the 31st December will be subjected to progressive cuts as indicated below:

Month of receipt of proposal for release of second installment of ARWSP fund	Cut on the total allocated amount of ARWSP fund
December	Nil
January	10%

February	20%
March	30%

(i) The expenditure on O&M should not exceed 15% of the ARWSP and 15% of the MNP funds. Excess expenditure in the previous year, if any, will be deducted at the time of release of the 2nd installment of funds for the year; and

(j) Any other condition(s) that may be imposed from time to time.

2.11.3 Release of funds for other schemes/projects will also be regulated in two installments and as per the need-based approach. In other words, funds will be released based on the specific proposals from the State Governments indicating the actual requirement during the remaining part of the year and utilisation of prescribed percentage of funds already released.

2.11.4 While releasing the central assistance, the quantum of unutilised funds available with the States/UTs in relation to the total allocation for the financial year will be kept in view. From 1.4.99, a carry over of funds, to the extent of 20% of the total allocation for the year will only be allowed. The maximum carryover of funds on 1.4.99 (from 1998-99 to 1999-2000) permissible is 20% of the total allocation. However, from 1.4.2000, the carry over of funds, only to the extent of 15% of the total allocation for the year will be allowed. Final instalment for the year will be reduced by the amount the carry over funds exceed this limit.

2.11.5 The States/UTs shall release the entire amount of central assistance received along with the matching MNP share to the executing agency/agencies without any delay and in any case not later than 15 days after its receipt.

2.11.6 In the States where the programmes are implemented through Statutory Bodies like Boards, Nigam and Authority etc, central assistance will be released direct to such Bodies and not through the States. In such cases, expenditure incurred under the ARWSP should confirm submitting the utilisation of Central funds should be subjected to audit either by the Accountant General of the State concerned or by Chartered Accountants. The expenditure incurred under the ARWSP should be confirmed by submitting the certificate of actual expenditure from Accountant General or Chartered Accountant which shall be acceptable. The Audit of Central funds is mandatory from the financial year 1999-2000 onwards. In respect of expenditure incurred under the Minimum Needs Programme the statutory audit by the Accountant General concerned upto the year preceding the previous financial year is necessary and hence the Certificate of expenditure incurred from the AG clearly indicating the audited expenditure figures will have to be necessarily submitted

2.11.7 Copies of orders for release of funds by the State Governments both under the ARWSP and the MNP should be invariably endorsed to the Central Govt. to ensure funds are released on time.

2.11.8 Vigilance and Monitoring Committee at State, District and Village level may be set up as indicated in the Ministry of Rural Areas & Employment letter No.V-24011/27/95-RE-III dated 16-10-95 and regular meetings of the same held. This would also be a pre-condition for release of funds henceforth.

2.11.9 Amount released under the ARWSP cannot be utilised/adjusted against any cost escalation of schemes or excess expenditure over the approved cost of schemes in the previous years.

2.11.10An official of the Mission should be invited to the meeting of the Scheme Clearance Committee of the State.

2.11.11The unutilised fund under the ARWSP, due to non drawl / non utilisation of the allocated amount by any state government will be redistributed to the better performing states, towards the end of the financial year, as per the allocation criteria.

## CHAPTER – 3

## SECTOR REFORMS - COMMUNITY PARTICIPATION IN RURAL WATER SUPPLY PROGRAMME

## 3.1 Background

Water is today perceived by the rural public as a social right, to be provided free by the Government, rather than as a scarce resource which must be managed locally as a socio-economic good in order to ensure its effective use. This perception has been grown out of the fact that the present rural water supply systems are designed and executed by the Department/Boards and, imposed on end-users. Demand preferences of the people are not taken into account while executing the schemes. In other words, rural water supply programme till now has been adopting a supply driven approach. Experience has shown that the present approach has led to the failure of a large number of water supply systems/schemes due to poor operation and maintenance.

Now that substantial investment has been made in the sector and huge infrastructure and systems built up, it is paramount that they are made functional to a great degree to achieve sustainability. There is a general recognition that a transformation from a target based, supplydriven approach which pays little attention to the actual practices and/or preferences of the end users, to a demand-based approach where users get the service they want and are willing to pay for is urgently required. Implementation of a participatory demand driven approach will ensure that the public obtain the level of service they desire and can afford to pay. Further, full cost recovery of operations and maintenance and replacement costs will ensure the financial viability and sustainability of the schemes

The conditions under which people would be willing to maintain and operate water supply schemes are:-

If they own the assets,

- If they have themselves installed the handpump, or being actively involved throughout,
- If they have been trained to do simple repairs,
- If they know the government will not maintain the asset,
- If they have sufficient funds for maintenance, and
- If they have to pay for O&M.

Hence, it is possible to institutionalise community based rural drinking water supply programme if the Panchayati Raj Institutions/local communities are empowered to generate resources and are trained and equipped to plan, implement, use, maintain and replace water supply schemes themselves in coordination with the Government agencies/Private Sector/NGOs.

#### 3.2 Incentives to States for institutionalising community participation:

3.2.1 From the financial year 1999-2000 onwards, incentives would be given to the States which initiate steps for institutionalising community participation in the rural water supply programme in the form of additional funds, as indicated below:

(a) 20% of the annual outlay will be earmarked in accordance with the ARWSP criteria to those Sate Governments which keeping in view the principles of sector reform process discussed above, will implement the following broader elements:

- adoption of a demand-driven approach based on empowerment of villagers to ensure their full participation in the project through a
  decision making role in the choice of scheme design and management arrangement;
- focus on village level capacity building (Village Water and Sanitation Committees);
- ensure an integrated service delivery mechanism by streamlining the functions of the agencies involved in project implementation and;
- 10% (at least) capital cost sharing and 100% sharing of O&M cost by users. The proportion of capital cost shared should increase proportionately with increasing service demand. This contribution can be in the form of cash or kind (labour, land or material).
- Taking up of conservation measures for sustained supply of water through rainwater harvesting and ground water recharge structures.

(b) The share of the States which do not introduce the reforms will be given to the States implementing the reforms measures for coverage of NC/PC quality affected habitations as an incentive.

Explanation: 20% of the ARWSP central outlay will be earmarked and kept aside for implementation of the sector reforms (implementation of the pilot projects), and only the balance amount will be intimated to the respective states, as their allocation at the beginning of the financial year. The unutilised sector reform funds of any state would be given to the states reporting better implementation of sector reforms. If funds are still not fully utilised, the balance available funds would be distributed to all the eligible states as per the allocation criteria, as additional central assistance under ARWSP(Normal).

3.2.2 The State Governments are required to prepare projects incorporating the above elements as per the operational guidelines explained in Chapter –4, indicating institutional arrangements and sequencing of project activities.

3.2.3 States are now required to implement the project reports in the identified pilot districts in accordance with the project concept.

#### 3.3 National Scheme Sanctioning Committee

A National Scheme Sanctioning Committee consisting of experts drawn from the sector/field will appraise the project and approve it for implementation. A six monthly visit by subject matter specialists/experts will review the implementation in accordance with the guidelines and recommend remedial action and release of funds.

#### 3.4 Release of funds

3.4.1 For districts which have District Water & Sanitation Mission (DWSM) (PRAKALP) constituted as per Para 3.8.1.b, funds will be released directly to the District Water and Sanitation Mission which will have their own separate Bank accounts (SBI or its associate banks) to receive and disburse the funds for project implementation.

For any alternative district level implementing agency constituted as per para 3.8.1.b funds would be directly released to them. The implementing agency is required to have a separate Bank account (SBI or its associate banks) to directly receive and disburse funds for project implementation.

3.4.2 30% of the funds will be released immediately after the approval of the National scheme Sanctioning Committee. Further releases will be made periodically depending upon the progress of implementation based on the recommendations of the experts visiting the projects.

3.5 The successful experiences of implementation of the projects in identified pilot districts will be replicated all over the State subsequently in the second phase.

3.6 Some States like Maharashtra, Karnataka, Mizoram, Goa, Kerala, etc. have already made a beginning in the concept of community participation in rural water supply programme. All States are required to endeavour to bring in this concept throughout the State outside the pilot districts also. Panchayati Raj Institutions and the user community should be encouraged to adopt the concept of community participation in rural water supply programme.

3.7 Gradually, over a period of time in all the districts of all the States/UTs community participation in rural water supply programme will be institutionalised. On completion of the projects, the States/UTs will take upon the responsibility to plan, approve and implement such projects based on their experience gained from implementing the pilot projects. Consequently ARWSP(Normal) may cease to exist as a Centrally Sponsored Scheme. In order not to lose any time, States/UTs shall initiate activities for final adoption of the three principles of sector reforms in the rural water supply sector on the conclusion of the pilot projects during the implementation of the pilot project itself. Finally at the end of the 9th Plan, States will strive to strengthen the concept of community participation in rural water supply programme all over the country and continue to plan and implement rural water supply schemes on their own.

#### 3.8 Institutional set up

3.8.1.a Constitution of Water and Sanitation Mission (WSM) at the State Level:

Ideally there should be a single department in the States/UTs looking after both water and sanitation. As a first step towards achieving this objective, it is proposed to have a Water and Sanitation Mission at the State/UT level. It shall be a registered society under the aegis of the Department/Board/ Nigam/ Authority/Agency implementing rural water supply programme in the State. It will be providing the operational flexibility to the States/UTs, so that the desired thrust is made available for an integrated implementation of institutionalising community participation under Rural Water Supply Programme and Total Sanitation Campaign (TSC) under the Rural Sanitation Programme.

The State level Water and Sanitation Mission shall consist of :

i. an Apex Committee headed by the Chief Secretary/Additional Chief Secretary and Secretaries in-charge of PHED, Rural Development (RD), Panchayati Raj (PR), Finance, Health, Education, Information and Public Relations (I&PR) as members. Secretary(PHED) (or the Department concerned with rural water supply) shall be the nodal Secretary responsible for all the Mission activities and for convening the meetings of the Apex Committee. The Apex Committee shall meet atleast twice in a year.

ii. an Executive Committee shall be constituted by the Apex Committee and shall be headed by an officer of PHED (or the Department concerned with rural water supply), not below the rank of Joint Secretary, who shall be its Executive Officer. Officers from the Departments of Rural Development, PHED(Chief Engineer), Panchayati Raj, Health, Education, Social Welfare, Information and Public Relations shall be nominated by the respective State Departments and shall be the ex-officio members of the executive committee. Experts in the field of IEC, HRD, MIS, Media and NGOs not exceeding six, may be co-opted as members. It may be ensured that the strength of the Executive Committee does not exceed 15. The State HRD cells, IEC cells and MIS shall work within the State Water and Sanitation Mission.

iii. However, the States may continue with their existing institutional set up or constitute appropriate institutional set up as deemed fit, to supervise the implementation of the pilot projects at the State level, so as to demonstrate implementation of community based rural water supply programme in the pilot districts with a view to encourage PRIs to take up similar initiatives in other districts in conformity with the principles envisaged in the 73rd Constitution Amendment.

## 3.8.1.b Constitution of Water and Sanitation Mission at the District Level:

The District Water and Sanitation Mission(DWSM) constituted at the district level shall be called as "PRAKALP", which shall be a registered society under the overall State laws and should function under the supervision, control and guidance of Zilla Parishad subject to the following:

(1) Wherever Panchayati Raj Institutions are firmly in place and are ready and willing to take up the responsibility of effective implementation of Sector Reform Project and the PRIs are strong enough to do so, they may be allowed to implement the project in those districts instead of the DWSM. In such districts constitution of DWSM may not be mandatory. However, the districts need to ensure that separate bank account in State Bank of India or any of its Associate Bank is opened to receive the central funds and are not mixed up with other funds provided to the Panchayati Raj Institutions for carrying out other activities. Such districts may ensure proper methodology for ensuring proper and accurate monitoring and utilisation of the funds and intimate the mechanism to the Dept. of Drinking Water Supply, Government of India.

(2) Districts which do not have a proper PRI set up in place and desire to supervise the working of the DWSM through alternative mechanism, may prepare a detailed proposal explaining the mechanism through which the project is intended to be supervised and submit the same to the RGNDWM for consideration.

The Governing Body shall invariably be headed by Chairman of Zilla Parishad. In Districts where Zilla Parishads have not been constituted and there is no Chairman in place, the Chairman of the District Planning Committee or the District Collector/Deputy Commissioner, as may be decided by the State Water & Sanitation Mission / State Govt / institutional set up created at the State level (as the case may be) will be the Chairman of the Governing Body. The members would be - all MPs/MLAs and MLCs of the District; Chairman of the Standing Committees of the Zilla Parishad; District Collector/Deputy Commissioner, District Officers of Education, Health, Panchayati Raj, Social Welfare, ICDS, PHED, Information and Public Relation; Project Director, DRDA. CEO of the Zilla Parishad would be the Member Secretary. The Governing Body shall meet atleast twice a year. In case of MPs / MLAs / MLCs of the district who are also Ministers in Central/State Governments, they may be allowed to depute one representative each on their behalf to the Governing Body of the District Water and Sanitation Mission.

The actual implementation of institutionalising community participation in rural water supply programme and TSC at District level would be done by the CEO of ZP/District Collector, as the case may be, and shall be the chairperson of the district level Water and Sanitation Committee(DWSC), comprising of the Executive Engineer of PHED/Executive Engineer, ZP; District Education Officer, District Health Officer (Civil Surgeon), Project Director DRDA, District Panchayati Raj Officer, District Social Welfare Officer, Community Development Project Officers (CDPOs of ICDS) and District Information & Public Relations Officer. NGOs (not exceeding 3 in number) shall be identified by the District Water & Sanitation Committees and co-opted into the Committee as members with the prior approval of the Government of India. The Executive Engineer of PHED/District Engineer of the ZP shall be the Member Secretary and the Drawing and Disbursing Officer. The Member Secretary shall ensure utilisation of the existing infrastructure with him for administrative support for day to-day functioning. No additional post shall be created for this purpose

## **CHAPTER - 4**

# OPERATIONAL GUIDELINES FOR SECTOR REFORM PROJECTS FOR IMPLEMENTING COMMUNITY BASED RURAL WATER SUPPLY PROGRAMME

## (Extracts from the Project Concept Document, as amended)

## 4.1 Funding of the project

Funding is governed by paras 3.2.1 and 3.4. The fund kept aside for sector reforms is to be utilised inter-alia for implementation of approved sector reform projects in identified pilot districts, which would be fully financed by the Govt. of India. . The unutilised sector reform funds of any state would be given to the states reporting better implementation of sector reforms. If funds are still not fully utilised, the balance available funds would be distributed to all the eligible States as per the allocation criteria, as additional central assistance under ARWSP (normal).

As such, normal ARWSP funds allocated to each State should not be utilised for Rural Water Supply activities in the pilot districts once the sector reform pilot project proposal in respect of identified districts are approved. However, ongoing schemes may be completed under normal programme simultaneously.

#### 4.2 Institutional Arrangements

The State government and its lead sector institution viz. PHED/Water Supply and Sanitation Boards/Nigams/Authority would be the coordinating agency for the project. However, their role in the project would primarily be that of a facilitator rather than that of an implementor. An exclusive institutional structure consisting of State-level and district-level and grass root level units would be set up for project implementation. The salient features of the institutional framework are as under.

The new institutional framework would:

(a) promote adoption of a demand driven and participatory approach to service delivery through maximum empowerment of villagers in decision making on the choice of service levels;

(b) provide government at State, district and village level (PHED or Water Suppy and Sanitation Boards, Zilla Panchayat and Gram Panchayat) with a facilitating role in scheme selection, and effective monitoring and evaluation mechanisms to ensure a high-quality of construction and sustainability of investments;

(c) ensure the effective integration and co-ordination of project components at the village and district level;

(d) have sufficient autonomy to take decisions and implement them promptly;

(e) have an incentive structure conducive to hiring and retaining highly qualified staff;

(f) have a good mix of professionals from private sector, NGOs and government and reflect an adequate gender balance; and

(g) be replicable for district-wide and eventually state-wide transformation of service delivery system.

#### 4.2.1 The State level Water and Sanitation Mission (SWSM) would be overall responsible for the following

(i) Overall policy guidance

(ii) Liaison and coordination with various concerned departments of the State Government and other sector partners

(iii) Monitoring and Evaluation of the project implementation

(iv) Ensure coordination among various pilot districts

(v) Ensuring of Audit by competent authority

(vi) Interaction with the Central Government

## 4.2.2 The role of District Water and Sanitation Mission (DWSMs)

(i) Formulation and management of project implementation in the district and ensuring that the project development objectives are achieved in the district.

(ii) Receipt of central funds for the project and its management for effective implementation of the project.

(iii) Selection, of private sector agencies and/or NGOs on a competitive basis, and signing MOU with them for project implementation and overall supervision.

(iv) Sensitizing the Panchayati Raj functionaries, related Govt. officials, local opinion makers, and politicians regarding the merits and modalities of the community managed programme.

(v) Formation of Village Level Water and Sanitation Committee (VWSC) at every Gram Panchayat(GP) level after generation of demand for any particular scheme as per the sector reforms concept.

(vi) For taking up the scheme under this programme there should be a bi/tripartite agreement between VWSC, GP/Block Level Panchayat Samiti as the case may be and the DWSM. Contract documents may be prepared by DWSM in consultation with the VWSC and GP.

(vii) Should tie up with key institutions for imparting training on all aspects of the programme with special emphasis on community managed programme implementation to all levels of stakeholders.

(viii) Carrying out IEC (awareness) campaign and Training (HRD) activities.

(ix) Interaction with Government of India

## 4.2.3 Village Water and Sanitation Committees(VWSCs)

(i) To be set up after the demand for any particular water supply scheme is generated as per the sector reforms concept explained above.

(ii) To be set up in each Gram Panchayat for implementation of Water Supply Scheme of their own choice with active participation of the villagers. In case the scheme covers more than one GP, such Committee may be constituted by involving representatives from all concerned Panchayats.

(iii) The membership of a VWSC may consist of about 6 to 12 persons, comprising members of Panchayat. Women, SC/STs and poor sections of the village may be given due representation in the VWSC. Provision may also be made for co-option of other stakeholders, subject matter specialists, etc.

(iv) This Committee shall function as a Committee on Water and Sanitation of the Gram Panchayat. In case a scheme encompasses more than one GP, a similar Committee may be constituted under the Block level Panchayat Samiti. These committees should be an integral part of the Village Panchayat / Block Panchayat for which, if necessary, appropriate amendments in the State Panchayati Raj Acts / Rules / Bylaws may be made.

(v) The composition and functions of the VWSCs can be regulated by a set of by-laws under the State Panchayati Raj Acts.

(vi) Till such time as States make suitable amendments in accordance with the above for composition and functions of VWSCs, suitable

Government orders to that effect may be issued.

## 4.2.4 Role of Village Water and Sanitation Committee (VWSC)

(i) ensuring that the GPs take up the issues related to this programme in each Gram Sabha meeting;

(ii) ensuring community participation and decision making in all scheme activities;

(iii) arranging community contributions to capital costs, both in cash and kind (land, labour or materials);

(iv) opening and managing bank accounts for depositing community cash contributions and for management of project funds that may be solely channelled through them;

- signing on behalf of the community, various agreements with the DWSM;
- planning of water and sanitation activities;

(v) Procuring construction materials/goods and selection of contractors for construction activities related to RWS and Sanitation sectors; (vi) supervision of construction activities related to RWS and sanitation sectors;

(vii) signing off on all completed works and community development activities;

(viii) commissioning and eventual takeover of completed water supply and sanitation works through a joint inspection with DWSM; creating hygiene awareness;

collection of funds through a tariff system for O&M of water supply and sanitation works;

- (ix) managing and financing of O&M of the services, on a sustainable basis;
- (x) Empowering of women of the villages for O&M and day to day affairs of the scheme;
- (xi) Participation in HRD and IEC activities in other villages after completion of the scheme in own village

## 4.2.5 Role of Women

(i) The project envisages empowerment of community through VWSCs and GPs. It is a well known fact that collection of drinking water in a village is primarily done by women. These women can thus involve themselves in implementation of water supply schemes by functioning in close coordination with the VWSCs.

(ii) To strengthen women's participation in the project activities, specially in the area of sustainability of the system, formation of user groups comprising exclusively of women in each village may be taken up. These women groups shall act as sub-committees functioning in close coordination with VWSCs. Since this approach is new, different methodologies based on local situation may be evolved. Lessons learnt from other programmes may be useful.

(iii) The overall objective is to improve the user owned sustainable water supply maintenance system and related sanitation conditions through empowering the women from all sections of the society into the mainstream of water supply maintenance process and the immediate objectives are:

- to create awareness about the importance of community participation in establishing sustainable water supply maintenance system and maintaining a clean environment;
- to sensitise women to take active role in the process of maintenance of water supply and sanitation systems;
- to create a sense of empowerment and ownership responsibilities among the users;
- to improve the knowledge and transfer technical skills on the preventive maintenance/minor repairs;
- to identify suitable means for fund raising process and ensuring maintenance fund availability at all times;
- to create awareness on handling and management of water supply.

#### **4.3 Sequencing Project Activities**

## **Scheme Cycle**

During project preparation, a detailed project implementation schedule would be developed for a three-year project implementation period. The project would follow a scheme cycle not exceeding 36 months consisting of four distinct phases and a post project completion phase:-

## 4.3.1 Institutionalising Phase -Not more than 3 months: This comprises of

- Formation of SWSM, DWSM and DWSC and establish linkages vis-à-vis PRIs
- Opening of bank accounts for receipt of funds from the Centre at the district level
- Generation of base line data
- Identification of NGOs/ training institutes, etc. for various activities
- Monitoring mechanism to be put in place (familiarising the proforma, questionnaire for obtaining information from the field and submitting information to the Government of India).
- Initiate action for amendment of State Panchayati Raj Acts/Rules / Bylaws for constitution of VWSC

## 4.3.2 Sensitisation and Identification phase - Not more than 12 months: This would involve -

Sensitizing and awareness creation among implementers (Government functionaries/ political representatives/PRIs/NGOs/etc.) at all levels through various communication channels about the programme

Assessment and analysis of the existing water supply and sanitation systems (village-wise) through primary data collection

Analysis and Identification of the villages to be taken up in the various phases depending on demand by the beneficiaries and the available resources. (a) For Water Supply – each phase may comprise of construction of new schemes, augmentation and/or rejuvenation of the

existing system and handing over of the complete (acceptable) system to village Panchayats. (b) For Sanitation – The phase may comprise of setting up of RSM/Production Centre (PC) as an alternate delivery mechanism - Habitations where implementation is to commence immediately to be identified (preferably NC/PC habitations and those where the success rate is likely to be fast, higher and sure ) and intimated to the Government of India.

Agencies for IEC, HRD to be identified and intimated to the Government of India along with explanation of HRD and IEC strategy.

Agencies for IEC, HRD to be identified and intimated to the Government of India along with explanation of HRD and IEC strategy

IEC campaign for awareness creation and demand generation

IEC campaign should clearly give the following messages:

- 1. The beneficiaries will own the assets created;
- 2. The government will not maintain the assets created;
- 3. This is the one time investment in the district;
- 4. On completion of the project, the district will be considered fully covered;
- 5. Two or more alternative technologies suitable to a particular area along with information regarding its capital cost, the beneficiary share, the O & M cost, the replacement cost etc. in respect of each technology;
- 6. Full O & M and replacement cost and part capital cost is to be borne by the beneficiaries;
- 7. Importance of water quality monitoring & surveillance;
- 8. Importance and benefits of water recharging activities;
- 9. Possible technologies for water recharging activities in the area;
- 10. Any other local issues pertaining to the area.

Various IEC modules to be prepared accordingly giving the above information.

IEC modules to be prepared in the local language also.

Agencies for preparation of the above modules and carrying out IEC activity to be identified.

Training activities to equip the villagers for implementation and operation and maintenance and management of schemes of their choice

Training to be given at the following levels:

- 1. Departmental Level
- a) Behavioural sciences interaction with the villagers.
- b) Sociological aspects
- c) Importance of traditional schemes needs to be propagated.
- d) Trainers' training to train villagers for installation, O & M, water quality testing, water recharging and harvesting technologies

## 2. District Level and NGOs

a) Managing and supervision of project implementation

- b) Identification and selection of agencies for various activities of the project
- c) Recruitment (on contract basis) of experts as per the requirement
- d) Monitoring of physical and financial progress collection of data and submission to the Govt. of India
- e) Various IEC campaigns to be carried out and related behavioural sciences interaction with people.
- f) Record keeping and documentation of project implementation both progress and process activities.
- 3. Village Level (VWSC)
- a) Record keeping financial management, transparency, maintenance of minutes of proceedings of VWSC meetings

b) Communication with villagers - IEC activities

- c) Technical matters like installation, specification of various components, procurement procedures, contracting procedures, etc.
- d) Matters related to O & M, replacement of the schemes, water quality monitoring, water harvesting structures etc. (during and after implementation of the chosen scheme)
- e) Collection of funds capital cost share, monthly O & M cost, maintaining its records

f) Crisis/conflict management

## 4. Villagers (selected/interested villagers)

a) Technical matters like installation, specification of various components, procurement procedures, contracting procedures, etc.

b) Matters related to O & M, replacement of the schemes, water quality monitoring, water harvesting structures etc. (during and after implementation of the chosen scheme)

c) Collection of funds - capital cost share, monthly O & M cost, maintaining its records

d) Crisis/conflict management

Preparation of manuals/modules for the above training including in the local language.

Identification of agencies for the above agencies and getting it done.

Getting the schemes of their choice identified by the villagers (decision making process).

Creation of Village Water and Sanitation Committee (VWSC) and opening their accounts.

## 4.3.3 Scheme/System Planning - Not more than 9 months: This comprises of -

Rough design and estimation of the water and sanitation schemes/units based on the community's choice.

Consensus on the most appropriate scheme based on affordability and technical feasibility

Further awareness and training campaigns for collection of people's contribution and its deposit in VWSC account.

Collection of part (percentage to be decided by **DWSM in consultation with the VWSC**) of the beneficiary's contribution for starting detailed planning and design of the water supply schemes. In case of sanitation, it may be as per the Restructured CRSP guidelines (TSC).

Detailed designing, planning, estimation and seeking approval of the competent authority as decided by the DWSM. In case of household latrines, it should be as per the beneficiary's choice and affordability.

Identification of the contractors and assigning the job for implementation.

Release of Government share from DWSM to VWSC account.

#### 4.3.4 Implementation and Commissioning/Handing over - 12 months: This comprises of -

Collection of the balance beneficiary contribution in terms of cash/kind/labour (contribution in terms of labour and kind should be quantified and treated as the cash contribution of such contributors and a proper record of the same must be maintained)

Procurement of materials – the VWSCs shall purchase the materials. No centralised purchasing be done. However, in exceptional cases and as the situation demands w.r.t. certain items, centralised purchasing may be opted but only with due consultation with the VWSCs. The DWSM shall guide and assist VWSCs to ensure that standard quality of materials is purchased.

Execution of work – actual implementation of the scheme of choice of the villagers

Supervision by VWSC and DWSM for water supply and community based sanitation schemes. In case of household latrines, joint supervision by the NGO and the beneficiary

Completion, commissioning and handing over of completed scheme to the villagers / PRIs / VWSCs for its continued O&M and replacement.

Awareness and training campaigns for water quality monitoring and surveillance

Development of data base with updating mechanism

Training to VWSC and selected villagers for O & M, etc. as explained earlier at sensitizing stage

Monitoring and evaluation of the scheme by the VWSC

Participation of the VWSC whose scheme has been completed in awareness and training campaigns in other parts of the district

- A continuous process of monitoring and evaluation, review and mid-course correction (if any required ) will be carried out by the DWSM, SWSM/State Government, RGNDWM and implementing agencies.
- All the above four stages may co-exist at the same time at any given point of time in various places within the same district.

4.4 Concurrent activities during and post project implementation: This would involve the following activities –

- Introduce community based appropriate water quality monitoring and surveillance;
- Development of data base with mechanism of updating;
- Monitoring and evaluation of all aspects of the project;
- Analysis of the data base generated and taking up corrective measures, if required;

## 4.5 Technology Options and Choices

As these projects are proposed to be community participation oriented, a part (minimum of 10% for the proposal with designs as per the RWSP criteria) of the capital cost should be borne by the community themselves. The balance amount would fully be provided by the Government of India.

The selection of water supply technology for a given locality (e.g. habitation, Gram Panchayat) could be determined by a number of factors, such as technical feasibility (e.g. water quality conditions), user preferences and requirements combined with affordability and willingness to contribute towards implementation, (capital cost), and O & M

In some cases, specially in the southern and western parts of the country, the limiting factors in relation to technololgy options and choices are mainly related to the scarce groundwater resources and/or the groundwater quality.

The principles for the choice of water supply technology should be that:

i) the level of service shall, if at all possible, be in accordance with the user preferences and expressed demands, their level of affordability and their willingness and ability to take active part in planning, implementation and maintenance at village and Gram Panchayat level.

ii) The criteria and technologies applied should emphasize least-cost solutions and should allow for flexibility since the community based demand driven approach might call for a flexible interpretation of existing norms. This implies that minor deviations from the present design criteria and standards should be allowed for, as per the requirement of the community provided they are willing to pay more for the relaxed criteria.

iii) Highest priority should be given to rehabilitation and/or extension of existing schemes, whenever feasible, in order to gain most benefit from previous investments.

In case of sanitation programme the vertical upgradation should be encouraged keeping in view the affordability of the economically weaker sections of the society.

#### 4.6 Other Issues:

- The water supply and sanitation, including health and hygiene component for rural schools should form an integral part of the project
- Water Quality monitoring and surveillance: The community based water quality monitoring and surveillance involving schools, Institutions viz. Health Department etc. as indicated in the Rural Water Supply Programme guidelines should also form an integral part of the project.
- Documentation (both in print & video) of the implementation of the project should be integral part of the project.

#### CHAPTER – 5

#### SUB-MISSION

#### **5.1 SUB MISSION PROJECTS**

Sub Mission projects are undertaken by the States for providing safe drinking water to the rural habitations facing water quality problems like Fluorosis, Arsenic, Brackishness, Excess Iron etc. Sub Mission projects are also taken up for ensuring source sustainability through rain water harvesting, artificial recharge etc.

#### 5.2 DELEGATION OF POWERS FOR SANCTIONING SUB-MISSION PROJECTS.

Powers have already been delegated to the States for sanctioning Sub Mission Projects w.e.f. 1-4-98. The State Governments/UTs may approve the Sub Mission projects by following the procedure being adopted for sanctioning normal ARWSP schemes without detriment to coverage, sustainability and quality aspects. The funding pattern of Sub Mission projects taken up after 1-4-99 will be in the ratio of 75:25 by the Central and State Governments and expenditure thereto met out of the ARWSP in the manner indicated in the sub-para(a) below. However, the funding pattern for the Sub Mission projects sanctioned between 1-4-98 and 31-3-1999 would remain in the ratio of 50:50 between the Central and State Governments.

The States/UTs are also required to comply with the following:

a) No separate funds would be released for implementation of Sub Mission projects. Upto 20% of the ARWSP funds are to be earmarked and utilised for the new projects under the Sub Mission activities designed to address water quality and sustainability issues. However, if the States/UTs have achieved the full coverage of habitations as per the national norms, they may utilise more funds to tackle quality problems, subject to the Ministry's specific concurrence in each case,

b) Names of habitations affected with quality problem in each district should be sent to the Central Government indicating the extent of excess arsenic, fluoride, salinity and iron with the undertaking that the schemes are taken up in the order of priority, first covering the habitations with the highest extent of chemical contamination,

c) An Action Plan for coverage of quality affected habitations in a year to be formulated immediately and sent to the Central Government for information and monitoring of the progress. The Action Plan should indicate the left over and total number of habitations affected with specific quality problems at the commencement of the year and the target for the year (with the names) of the habitations to be covered,

d) The existing Committee in the PHED with Secretary, in-charge of RWS as the Chairman and with representatives from the CGWB, NGRI, etc., constituted for the purpose of clearing the ARWSP(normal) projects may also consider and clear the Sub Mission projects,

e) Common habitations which are NC/PC and also quality affected should be first covered fully with safe drinking water facilities. The habitations already covered fully but affected by chemical and/or bacteriological contamination may be covered under separate schemes/projects,

f) The per capita cost should not ordinarily exceed the cost norms under the ARWSP and the State MNP,

g) Periodic reports on the physical/financial progress of Sub Mission projects should invariably be incorporated as a separate item in the reporting format for ARWSP schemes,

h) A representative of the Mission should invariably be associated with the Committee set up to sanction Sub Mission projects by the States/UTs; and

i) A copy of the minutes of the meeting of the State level Scheme Clearance Committee held for sanctioning Sub Mission projects should be sent to the RGNDWM immediately after any Sub Mission project is cleared.

**5.3 Dual Water Supply Policy** may be adopted for rural habitations facing acute water quality problems. In these habitations even if safe water is provided upto 10 LPCD, which would be sufficient for drinking and cooking purposes, it may be considered as habitation(s) with a safe source of drinking water. For other activities like washing, etc. water available from unsafe sources could be utilised without problem.

#### **CHAPTER – 6**

#### SUPPORT SERVICES

## 6.1 WATER QUALITY MONITORING AND SURVEILLANCE

Even though the coverage has been impressive over the last decade, various studies indicate that there is no institutionalised quality monitoring and surveillance system in the country. This is going to be critical to the entire water supply sector in the future owing to increase in pollution and depletion of water sources. The National Workshop held on 7-9 August, 1997 recommended that there is a need to institutionalise water quality monitoring and surveillance systems in the country. Establishing of water quality labs could be only one of the components of the programme. A "Catchment Area Approach" would be adopted by involving various grass root level educational and technical institutions by utilising existing resources and strengthening them by providing additional financial resources to these institutions. This may be implemented at three levels consisting of a Nodal Unit at the top level catchment like a premier technical institution, university, etc., intermediary level units like district laboratories, polytechnics, etc. and grass-root level units like (+2) level education institutions, labs, etc. Activities relating to preliminary water testing etc. could be carried out at the grass-root level itself and more complicated cases could be referred to higher levels in such a way that only focussed cases of complex nature and of value and utility at State level reach the nodal unit. The nodal units will be networked with the State headquarters(PHED). 100% funding, as per the approved norms, would be provided to the States for strengthening water quality monitoring facilities, based on projects received from the State Governments. Restructuring the State PHEDs with the required grant-in-aid support, as indicated in para 6.11, to bring in the much missed link up with the Health authorities will also be attempted as a part of institutionalising the monitoring system. Health Department officials will be increasingly involved in the surveillance activity.

#### **6.2 RIGS AND HYDRO FRACTURING UNITS**

The expenditure for purchase of Rigs/Hydro fracturing units would be made by the Central Government and State Government on 50:50 basis. The purchase of rigs on a very selective basis for sophisticated rigs for remote and difficult access areas is to be financed out of the MNP funds. The expenditure will however, be counted as matching provision for central assistance under the ARWSP.

There should be well planned and systematic programmes for training of Drilling Crew & Supervisory Staff in the States by sponsoring or conducting regular training programmes, under PHED/State Training Institutions, CGWB or State Ground Water organisations in coordination with the Mission. The personnel who have undergone the above training should preferably be posted in the field. A rig monitoring plan for the State should be drawn up right at the beginning of the year to effect optimum utilisation of these machines and the crew.

## 6.3 HUMAN RESOURCE DEVELOPMENT

A National Human Resource Development Programme (NHRDP) has been launched by the Mission from 1994 based on the Human Resource Development Policy Document evolved jointly by the central and state governments. The NHRDP, interalia, aims at training at least one grassroots level trainee through district level trainers who in turn may be trained at selected institutions forming the Indian Training Network (ITN). Under the NHRDP, the States and UTs should set up state level HRD cells for planning, designing, implementing, monitoring and evaluating an appropriate and need based HRD programme. The HRD programme should aim at empowerment of Panchayati Raj Institutions/Local Bodies with the objective of enabling them to take up operation and maintenance activities related to rural water supply systems. It should also aim at capacity building of local communities by giving requisite training to mechanics/health motivators/masons etc, especially women to operate and maintain handpumps and the components of other water supply systems as well as to generate demand for adequate sanitation facilities. To train the grass root trainees, the States/UTs may build up a pool of district level trainers who could be sent for training to the participating and key institutions. The States/UTs should establish state level HRD cells. The suggested staffing pattern, norm for equipment alongwith delineating of major functions already communicated vide D.O.Letter No. W.11038/1/94-HRD dated 15.9.94 and d.o. letter No.W-11043/1/95(Media) dated 31-12-1997. The Central Government will provide **100% assistance** during the plan period for the above activities as per the cost norms given at **Annexure-IV**.

## 6.4 INFORMATION EDUCATION & COMMUNICATION

The emphasis of IEC programme should not be on hardware aspects but should be aimed at front loading software with the objective of generating a felt need which would result in an increased demand for safe drinking water and better sanitation facilities. Awareness on matters related to water borne diseases manifestations and symptoms should be created. The services of the State Publicity/Public Relations Department should be utilised to provide publicity to the rural water supply programme through mass media to disseminate information about the programme, highlighting the achievements, emphasis on use of safe water to overcome water borne diseases, etc. The importance of using safe water, using water as a socio-economic good and the problems related to water quality in any specific area should be highlighted. This could be done by bringing to the public knowledge through appropriate methods like folk songs, folk drama, documentary films, pamphlets, brochures and other local means suited to the area. Publicity should also be given in the local newspapers about the action plan for coverage of habitations actually covered on year to year basis with other details like the type of schemes provided, the service level, delivery system, agency responsible for operation and maintenance, etc. **100% Central funds** will be provided during the plan period for activities under the IEC, as per the cost norms (Annexure-V) communicated vide GOI letter No.W-11043/75/95-Media dated 29.12.1997.

## 6.5 MONITORING AND INVESTIGATION UNITS

The Government of India has been providing assistance to the States to establish and continue special investigation divisions from the Fourth Five Year Plan to carry out investigation, planning and feasibility study of the schemes. The special monitoring cell and investigation unit at the State headquarters should be headed by an officer suitably qualified and of suitable level for monitoring and investigation with necessary supporting staff. Monitoring unit shall be responsible for collecting information from the executing agencies through prescribed reports and returns (Progress Monitoring System), maintenance of the data and timely submission of the prescribed reports and returns to the Central Government by due dates. The unit shall also be responsible for monitoring at field level of aspects of quality of water, adequacy of service and other related qualitative aspects of the programme. The Unit shall also maintain water quality data in coordination with the concerned Department, Central/State Ground Water Board, details of different technologies developed by institutions for tackling different problems and to provide the same to the field level executing agencies. The Monitoring and Investigation Units should also have technical posts of hydrologists, geophysicist, computer specialists with data entry operators, etc. A Quality Control Unit should be an integral part of M&I Units and should work in coordination with the R&D Cell. This unit will be responsible for controlling/regulating the quality of construction works in water supply schemes and will ensure practical application of latest technologies in the field. The expenditure will be borne by the Central Government and the State Governments on a 50:50 basis.

#### 6.6 MONITORING AND EVALUATION

Central Government takes up monitoring and evaluation studies through reputed organisations/institutions from time to time. The State Governments may also take up similar monitoring & evaluation studies on the implementation of the rural water supply programme. 100% financial assistance will be provided by the Centre to the States for taking up such evaluation studies with prior approval of the Mission. The reports of these studies should be made available to the Mission and immediate corrective action should be initiated as a follow up to improve the quality of programme implementation.

#### 6.7 MANAGEMENT INFORMATION SYSTEM

For effective planning monitoring and implementation of various schemes under different programme, Information Technology(IT) based Management Information System provides for the following:-

(i) Maintenance of microlevel status of water supply to ensure planning and monitoring based on microlevel data,

(ii) Assistance for computer facilities upto division level in phases to ensure latest technology for processing and storing data and its communication from one office to another through NICNET,

(iii) Assistance for conducting training programmes; and,

(iv) Development of customised software for enabling States/UTs to fully utilise for power of computer systems for planning, monitoring and implementation of various activities in the sector.

100% Central assistance will be provided for all MIS activities including training during the plan period.

#### 6.8 RESEARCH AND DEVELOPMENT

To strengthen the R&D facilities in the concerned Departments in various States, State Governments are encouraged to establish R&D cells with adequate manpower and infrastructure. R&D Cells are required to remain in touch with premier technical institutions within the State. The network of technical institutions may follow the guidelines issued by the Mission from time to time for effective implementation of the rural water supply programme. R&D Cells are also required to be in constant touch with the Monitoring & Investigation divisions and the Monitoring & Evaluation Study Reports for initiating appropriate follow up action. The R&D Cell should keep in constant touch with the documentation and information centre of the Mission and visit at the Mission's web site. The Mission will provide necessary assistance to the States.

## 6.9 PROVISION OF DRINKING WATER IN RURAL SCHOOLS

All the States are required to compile data regarding district-wise rural schools in existence and number of them having drinking water facilities. The remaining rural schools and anganwadis are to be provided with drinking water facilities. A part of this work will be accomplished through the funds provided by Tenth Finance Commission and the rest would have to be covered under the rural water supply programme, in addition to the work of covering NC and PC habitations. Expenditure for this purpose would also be shared by the Central and State Government on 50:50 basis from the funds allocated for ARWSP. States would be required to fix target for coverage of rural schools on an yearly basis and intimate its achievement to the Mission on monthly basis along with the progress reports being submitted to intimate coverage of NC and PC habitations. This activity is to be carried out in coordination with NEP, DPEP, DWCRA, Anganwadis, Department of Social Welfare and Department of Education. All the rural schools should be covered with drinking water facilities by the end of the 9th Plan.

#### 6.10 Central Assistance for various components of the programme is given as under:

S.No	Programme/Scheme	Central Share	State Share
	(%age of total approved cost)		
1.	ARWSP		
	ARWSP-normal	100	Atleast Matching MNP
		Î	

a)	Purchase of rigs/Hydrofracturing units	50	50
b)	Water supply in rural schools	50	50
	Sub Mission Schemes		
c)	<ul> <li>c) Schemes for quality control of drinking water under the Sub-Missions on control of fluorosis, brackishness, arsenic, nitrates, eradication of guineaworm, removal of excess iron etc. (based on alternative safe sources from a distance or treatment plants)</li> </ul>		25
d)	Solar Photo Voltaic Pumping systems	75	25
e)	Water harvesting structures, conservation of water, recharge of aquifers	75	25
2.	ARWSP-DDP		Nil
	Other Schemes		
3.	Institutionalising Water Quality Monitoring and Surveillance Systems including suitably restructuring the PHEDs/Boards so as to promote active involvemen community/ Panchayats/ Supplier Departments / Directorates in the States		Nil
4.	Monitoring & Investigation Units:	50	50
5.	S&T and R&D projects as per the norms prescribed in the quidelines approved by SSRC	100	Nil
6.	Management Information System: Training Equipment etc	100 100	Nil Nil
7.	Human Resource Development:		
	State HRD Cell Equipment as per norms of HRD guidelines Training courses as per norms HRD Cells for the Plan Period	100 100 100	Nil Nil Nil
8.	IEC (as indicated for HRD above)	100	Nil
9.	Monitoring & Evaluation as per the prescribed norms	100	Nil

#### 6.11 Restructuring of PHEDs/Boards.

PHEDs/Boards are the primary executing agencies for commissioning water supply schemes at the state level. These organisations as they are organised, give greater emphasis on the technical parameters. They are not trained/organised to address other softer concerns and socio-political issues at the grass-root level which are essential for ensuring sustainability of sources and systems under the water supply schemes. It has, therefore, been found necessary to strengthen and restructure the existing PHEDS/Boards by making them responsive to the needs of the community and the evolving scenario by studying their strengths and weaknesses, reviewing their systems and procedures, staffing pattern, decision making process(es) of implementation, keeping in view the future role to be played by these organisations while pursuing the new policy of adopting a demand driven approach to supply, promoting community participation and cost sharing etc. of the systems under the rural water supply programme. As indicated in para 6.10 (iii), 100% Central assistance will be provided for meeting the additional requirements towards restructuring of the PHEDs/Boards during the plan period.

## CHAPTER - 7

## **EXTERNALLY AIDED PROJECTS**

#### 7.1 External Support Agencies

Various external support agencies like World Bank, DFID, KFW, JICA/OECF, DANIDA, etc. are willing to support projects in rural water supply sector. States who desire to avail such assistance may prepare project proposals as explained below.

## 7.2 PROJECT FORMULATION

7.2.1 Projects submitted for external funding should include strong component for institutionalising community-based demand driven Rural Water Supply Programme with cost sharing by the communities, gradually replacing the current Government driven centrally monitored non-people participating Rural Water Supply Programme and should adhere to the following key elements:

i) Adoption of demand driven approach.

ii) People's participation through a decision-making role in the choice of key design and management arrangements.

iii) 10% capital cost share and 100% share of O&M cost by users.

7.2.2 These projects should include software component, drinking water supply, environmental sanitation, health education, income generating and other components.

7.2.3 A shelf of integrated projects of substantial cost should be prepared in accordance with the guidelines, terms and conditions and the

formats of the respective External Support Agency and kept ready for being sent to the Central Government as and when required. The name of the Externally Support Agency need not be given as it will be for the Ministry of Finance to pose the Projects to different Agencies. Approval of State Finance and planning Departments should be obtained to ensure that counterparts of Rural Development, after receipt of the projects, will scrutinise their technical soundness and socio-economic viability.

7.2.4 Funds flow from the State should be smooth and should not result in impediments in implementation as per schedule. The feed back from various Review Missions of the External Support Agencies (ESAs), indicates that once the State Government completes the hardware part (Construction works leading to commissioning of Schemes), they are not very keen on the software aspects (Health education; awareness IEC and KAP components ) and this should be avoided. Follow up action may be taken promptly as per the observations of Review Missions.

7.2.5 The progress reports in the formats prescribed for specific projects by different ESAs should be sent to the Department of Rural Development by the scheduled dates. The progress should be monitored at the level of Secretary in the State to ensure the completion of projects on time to avoid cost overrun and to take appropriate remedial measures.

7.2.6 The claim for reimbursement of assistance should be sent by the State to the Department of Rural Development for being forwarded to the Ministry of Finance;

#### **CHAPTER – 8**

#### SUSTAINABILITY OF SOURCES

#### 8.1 Control on withdrawal of groundwater

As known, 85% of the drinking water needs are met from ground water, although only 5% of total groundwater extraction is needed for domestic water supply. Irrigation accounts for 90% of all groundwater extraction, whereas industry takes the remainder 5%.

The rapid development in groundwater based irrigation in many states has caused ground water depletion, because of which the life of drinking water supply source becomes short. Highly subsidised irrigation electricity tariffs have led to an indiscriminate and disproportionate level of ground water extraction. Although significant areas in States, such as Punjab, Haryana, Gujarat, Karnataka, Maharashtra, Rajasthan, Tamil Nadu and Uttar Pradesh (in all 144 districts in 10 States) have been declared `dark' and `grey' zones, there has been no let up in the depletion of ground water aquifers.

Recently, it has been noticed that ground water depletion has aggravated water quality problems due to excess fluoride, arsenic and brackishness, in certain areas, forcing the Public Health Engineering Departments to abandon low-cost handpump based systems and to undertake costly and complicated piped water supply schemes.

The need for regulating the extraction of ground water arises from the following considerations:

- Protection of resource against over exploitation
- Protection of resource against quality degradation
- To ensure social equity and to guarantee minimum provision to all sections of the society.

In view of the above and to regulate and develop ground water resources in a scientific manner, a Model Bill was framed by the Government of India in 1970, and was circulated to the States. Based on the experiences in the past two decades, the Bill was revised and circulated to states in 1992. The Bill has again been recently revised and circulated to States in 1996. Apart from ground water legislation, some of the other measures suggested for checking indiscriminate ground water development are (a) elimination of subsidies in electricity tariffs for irrigation and (b) formation of user groups on lines of joint forest management groups undertaking continuous monitoring of ground water to ensure that it is managed as a common property source.

The status of the legislation in various states has recently been reviewed and it was seen that except for Maharashtra, the implementation of the provisions of the legislation was not satisfactory. States have to consider this issue in all its seriousness and to avoid a definite shortage of safe drinking water in the immediate future, adopt appropriate measures to check over exploitation of ground water in the States/UTs and also take up such activities in a comprehensive manner to arrest the run off as well as to collect and store rain water.

#### 8.2 Possible strategies for conserving groundwater sources

A number of steps need to be taken urgently in order to manage ground water in a more scientific manner, especially in dark and grey zones. Firstly, there must be a Central legislation against subsidies on electricity tariffs for irrigation. One may mention here that although the World Bank has approved a drinking water project in principle for Punjab, further processing was withheld by the World Bank because of the Punjab Government's policy of providing free electricity and power for irrigation sector. In fact farmers do not stand to benefit from this due to undependable power supply and consequent disruptions in the supply of water. Many of them are forced to operate diesel generating/pump sets for ensuring supply. Studies have further indicated a reasonable power tariff with an assured power supply is beneficial and acceptable to the community. Secondly, the Model Bill framed by the Government of India and circulated to the States in 1996 should be adopted by the States and implemented seriously. Thirdly, user groups should be formed on the lines of Joint Forest Management Groups, who should do ground water monitoring and ensure that it is managed as common property resource rather than allow it to be over exploited as an open access resource.

In fine, a two pronged strategy is the need of the hour, to regulate indiscriminate groundwater withdrawal and to adopt appropriate measures for augmenting its recharge through spreading techniques in alluvial areas, check dams and percolation tanks besides direct injection methods utilising the abandoned structures available in large numbers in the hard rock region. Before undertaking direct recharge into such abandoned structures, suitability of the structure for receiving recharge and also the quality of source water should be thoroughly examined to confirm the technical feasibility. Rainwater harvesting is another attractive feasible option for conservation of water. Besides, ground water re-charge can be suitably dovetailed with watershed development programmes aimed at soil and water conservation by arresting the run-off.

#### 8.3 Earmarking of funds

State Governments can utilise up to 20% of the ARWSP funds for implementing Sub-Mission Projects for tackling Water Quality and Sustainability issues. But the projects on sustainability of sources are very few and rare. In the wake of depleting ground water level due to a variety of reasons, including over drawl, it becomes necessary to focus greater attention on projects relating to source sustainability, through rain water harvesting, artificial recharging etc. Keeping in view the relevance of sustainability measures for checking the fast depleting ground water, the State Governments may ensure that 25% of the 20% of ARWSP funds permissible for taking up Sub-Mission projects relating to sustainability of water sources from the financial year 2000-2001. While planning/sanctioning Sub-Mission projects in the States, this requirement may kindly be kept in mind.

#### CHAPTER - 9

#### **OTHER RELATED ISSUES**

## 9.1 RECORD OF ASSETS CREATED

9.1.1 Each village panchayat, block and district should have a complete inventory of the drinking water sources created under different programmes, like ARWSP, MNP, Calamity Relief Fund, Community Development and Panchayat funds, JRY funds, other sources, etc. giving date of the start and completion of the project, cost of completion, depth in case of the spot sources, agency responsible for O&M and other relevant details. The inventory of assets created should also be available with the different field functionaries of the Implementing Department or Agency concerned with implementation of rural water supply at a decentralised level for the habitations within their jurisdiction at sub-division, circle levels, etc. The overall information should be available with the PHED / Implementing Department in the State.

9.1.2 Each source should have a plaque indicating the date and programme under which commissioned, name of the executing agency, cost and agency responsible for maintenance. Numbers may be assigned to each source location-wise for easy identification and monitoring of proper maintenance.

9.1.3 There should be a proper inventory control of the materials required for execution of water supply schemes. The procurement of materials either at the headquarters or in the decentralised system should be arranged well in advance of the Action Plan for execution of schemes to synchronise with the time-frame for implementation. A coordinated approach should be adopted for timely availability of materials and funds. It has been noticed that sometimes, funds are available with the implementing agencies in the field but they do not have materials (which are purchased on centralised basis) for execution of schemes or materials are available with them but funds for other expenditure have not been made available by the State Government. This results in loss of time and idle manpower. Therefore, situations like the availability of material but non-availability of funds or vice versa should be avoided for expeditious completion of schemes.

9.1.4 A computerised data base of the above may be maintained for easy access and retrieval.

#### 9.2 Reports and Returns

The following reports and returns should be submitted by the States/Uts.

a) Annual Action Plan for the Financial year by 30th April.

b) Annual targets by 30th April covering the following aspects:

- Coverage of habitations; population to be benefited.
- No. of SC/ST habitations (with names ) to taken up.
- Scientific source finding, iron removal, eradication of guineaworm, defluoridation, desalination, arsenic, SPV pumping system, Water quality testing, clearance of schemes, training of manpower under national Human Resource Development, Bilateral/multilateral Projects and financial outlays.
  - c) (i) Monthly progress Monitoring Reports by 20th of the following month.
  - (ii) Quarterly progress Monitoring reports by 20th of the first month of the following quarter.
  - d) Annual progress report for clearance of schemes by 31st October and 30th April.
  - e) Progress of performance of drilling rigs of different types by 20th of the following month.

f) The status of functional/non-functional handpumps and other drinking water supply schemes on quarterly basis by 30th April, 31st July, 31st October & 31st January for the proceeding quarter.

g) Annual report of achievements under the programme during the year by 30th April of the succeeding financial year.

h) Monthly progress reports in respect of installation of drinking water schemes in rural schools.

i) The details of the schemes approved under the delegated powers of the State should be sent to the Mission.

j) The Statement regarding number and type of handpumps installed, piped water supply and other schemes commissioned, the

status of functional and non-functional handpumps/PWSS etc. should be sent alongwith the quarterly progress reports. The population covered under handpumps and PWS Schemes may also be reported.

k) District-wise break-up of MNP provision and ARWSP allocation may be reported to the Mission before end of May every year.

I) Monthly progress monitoring report in respect submission projects sanctioned prior to 1.4.1998

These reports would enable the Central and State authorities to monitor the progress and quality of performance and to take appropriate corrective measures.

The forms for the various reports under the programme monitoring system (PMS) are given at Annexure-VI.

#### 9.3 SCHEDULE OF INSPECTION

For effective implementation, physical monitoring through inspection is essential. For this purpose, officers from the State government headquarters should visit the district, block and villages regularly and ascertain whether the execution of schemes is in accordance with the prescribe standards and specifications, the Status of maintenance, the approval given at the time of technical clearance of the schemes, etc. Departure, if any , from the original scope of the scheme should be highlighted and brought in the inspection tour reports for appropriate action by the State and Central Government Officers, Interaction with O & M Committees/agency, NGOs and randomly selected users should form part of the inspection. Examination of the record and operators registers should be as thorough as possible. For this purpose, the states may prepare a check list to be made available to the inspection officers/teams.

Similarly, officers at the circle, division and block level shall closely monitoring all aspects of the programme through visit to work sites, particularly in interior areas to ensure quality of works.

#### Annexure-I

#### NATIONAL WATER POLICY (SEPTEMBER, 1987)

The National Water Policy stipulates water allocation priorities broadly as follows:-

#### Drinking Water

- Irrigation
- Hydro-power
- Navigation
- Industrial and other uses

However, these priorities may be modified, if necessary, in particular regions with reference to area specific considerations.

- Water resource development projects should, as far as possible, be developed as multi purpose projects. Provision for drinking water should be a primary consideration.
- Improvements in existing strategies and the innovation of new techniques based on science and technology base will be needed to
  eliminate the pollution of surface and ground water resources, to improve water quality and to step up the recycling and re-use of
  water.
- There should be a periodical re-assessment on a scientific basis of ground water potential, taking into consideration the quality of the water available and economic viability. The exploitation of ground water resources should be so regulated as not to exceed the recharging possibilities, as also to ensure social equity, integrated and coordinated development of surface and ground water, and their conjunctive used should be envisaged right from the project planning stage and should form an essential part of the project. Over-exploitation of ground water should be avoided near the coast to prevent ingress of the seawater into sweet water aquifers.
- Irrigation and multi-purpose projects should invariably include drinking water component, wherever there is no alternative source of drinking water. Providing drinking water to all human beings and animals should be the first priority.
- Both surface and ground water should be regularly monitored for quality. A phased programme should be undertaken for improving water quality.
- The efficiency of utilisation in all the diverse use of water should be improved and awareness of water as a scarce resource should be & fostered. Conservation consciousness should be promoted through education, regulation, incentives and disincentives.

The guidelines issued by the Ministry of Water Resources, Government of India, stipulate that irrigation and multi-purpose projects should invariably include a minimum of 15% of water towards drinking water component and wherever there is no alternative source, drinking water needs of all human beings and animals should be the first charge on any available source of water. The requirement of drinking water should be projected at the time of designing the irrigation projects.

Ministry of Water resources is about to bring out a new National Water Policy. However, drinking water would remain on top priority in the new policy also.

#### Annexure-II

#### Proforma for release of funds under Accelerated Rural Water Supply Programme (ARWSP)

Name of the State/UT:		(Rs. in lakh)
	ARWSP	
1. Unutilised oper	ing balance as on 1st April of the previous year	

1	
ARWSP – Normal Programme DDP – Areas	
Special assistance, if any	
2. Amount released during the previous year	
ARWSP – Normal Programme	
DDP – Areas Special assistance, if any	
3. Total Available funds during the previous year	
ARWSP – Normal Programme	
DDP – Areas Special assistance, if any	
4. Expenditure during the previous year	
ARWSP – Normal Programme	
<ul><li>(a) Expenditure for coverage related activities</li><li>(b) Expenditure for Sub-Mission projects sanctioned after 1.4.99</li></ul>	
(Nil for the year 1998-1999)	
DDP – Areas Special assistance, if any	
5. Unutilised closing balance at the end of the previous year	
ARWSP – Normal Programme	
DDP – Areas Special assistance, if any	
6. Amount released during the current financial year:	
ARWSP – Normal Programme	
DDP – Areas Special assistance, if any	
7. Total available funds during the current financial year:	
ARWSP – Normal Programme DDP – Areas	
Special assistance, if any	
8. Expenditure upto the last month preceding the date of sending this proforma	
ARWSP – Normal Programme	
(a) Expenditure for coverage related activities	
(b) Expenditure for Sub-Mission Projects sanctioned after 1.4.99	
DDP – Areas Special assistance, if any	
MNP 9. Provision during the last year	
10. Expenditure incurred during the previous year	
11. Provision during the current financial year	
12. Expenditure upto the last month	
<ul><li>(i) Expenditure for coverage related activities</li><li>(ii) Expenditure for Sub-Mission projects sanctioned after 1.4.99</li></ul>	
TOTAL EXPENDITURE	
13. Whether sites are selected under MLA Quota in your State. If so, details thereof. It may	
, , , , , , , , , , , , , , , , , , , ,	

. Expenditure incurred during the p				1	
MNP	of the total		ARWSP		
Amount	expdtr.	Amount	% of the tot	tal expdtr.	
) SCs					
otal					
. Expenditure incurred on O&M du	ring the prev	vious vear		, i j	
MNP			ARWSP	)	
Amount % of the total a		Amount	% of th	ne total alloc.	
. (a) Cost of schemes cleared upto	o trie previou	s year			
) Expenditure incurred upto the en	d of previous	s year			
) Balance liability (amount) requir t to be started	ed for comp	letion of on-g	oing incomplete	e schemes/sc	hemes
) Schemes cleared in the current fi ote:	nancial year	upto the mont	h of		
ite.					
As far as possible district-wise bre ) If the amount in (c) above is more given.					
. Number & Date of letter under w	hich following	g reports have	been sent:		
) Monthly Progress Reports upto S ) Quarterly Progress Report ending ) Annual Report for the previous fir	g 30th June				
B. The following certificates/statem parately:	ents may be	enclosed for	ARWSP, MNP,	DDP and M&	I Units
Certified Audited expenditure figure evious financial year. If not available A statement indicating district-wise ovision during the current financial Utilisation Certificate for funds re th unutilised balance as on 1st Apr	le, reasons t se data of ac year eleased duri	hereof. ctual expenditu ng previous ye	ure in the previo	ous year and	budget
) Sub-Missions on:					
) Eradication of Guineaworm ) Control of Fluorosis ) Desalination of water ) Removal of excess iron ) Any other item for which special a	assistance is	given over an	d above norma	IARWSP	
<ul> <li>Y) Utilisation Certificate of actual evious financial year (signed by ecretary)</li> </ul>					
) State Govt. is giving priority to the ven due consideration				-	
<ul> <li>Escalation in cost of ARWSP sc RWSP funds. If met from ARWSP ior approval of Govt. of India was c</li> </ul>	, please give				
ii) Monitoring & Investigation Unit:					
etails of the posts, their designatio	n, number a	nd pay scales	etc. in the anne	exure)	
Year		released by G		tual Expenditu	ire
(a) Previous year					
(b) Current financial year					
iii) Certified that:					

FORM OF UTILISATION CERTIFICATE							
				ANNEXRE-III			
S.No. Name of Estimated Cost of Expenditure Expenditure Expenditure S.No. the Project the Project incurred so far from ARWSP from MNP							
20. Funds utilised for Sub-Mission projects approved / sanctioned after 1.4.99:							
Programme Name of the Agency Amount released to Agency Order No. & Date of release MNP ARWSP							
19. Details of funds release	d in the current fina	ancial year to the im	plementing agen	cies:			
(f) In case, Rural Water Su State, please certify that M reports for the State as a wi	l&I units are coord hole.	linating activities an	d sending consol	idated progress			
(e) Expenditure on M&I un annum for UTs is met out o				d Rs.4 lakh per			
(d) The computers providec Water Supply / Rural Sani sent in computerised staten	itation Programme						
(c) The functions/activities charter of these units. The e				rom the original			
(b) No post has been created or upgraded beyond the approved staffing pattern of M&I units without the prior approval of the Central Govt.							
information is not sent.							

S.No. Letter No. & Date Amount

Certified that out of a total fund available of Rs.\_\_\_\_\_\_lakhs, including the Opening Balance as on 1st April, \_\_\_\_\_ (year) and an amount of Rs.\_\_\_\_\_\_\_lakhs received as grant in aid sanctioned during the year \_\_\_\_\_\_\_in favour of \_\_\_\_\_\_\_in favour of \_\_\_\_\_\_\_in favour of ARWSP schemes for which it was sanctioned leaving a balance of Rs.\_\_\_\_\_\_\_and it will be adjusted towards the grant in aid payable during the next year\_\_\_\_\_\_\_. It is also certified that the expenditure indicated above does not include advances lying unutilised/treated as final expenditure and civil deposit etc. treated as final expenditure. The escalation in cost of schemes has not been met out of the ARWSP funds. No expenditure on departmental/centage charges/establishment costs has been met out of the ARWSP funds.

Certified that I have satisfied that conditions in which the grant-in-aid was sanctioned have been duly fulfilled/are being fulfilled and that I have exercised the following checks to see that the money was actually utilised for the purpose for which it was sanctioned.

Kinds of checks exercised:

1. Grant-in-aid checked from the register maintained.

2. Expenditure checked from the register maintained.

Signature of Chief Engineer(PHED)

Countersignature of Secretary in-charge of Water Supply

#### COST NORMS FOR NHRD PROGRAMME

ANNEXURE.IV

The equipment, staff pattern and cost norms for training approved by the Government of India are given below:

## A EQUIPMENT FOR STATE HRD CELL

SI. No.	Item	No. of State having districts				
			< 20	21-40	>41	
1.	Computer with Printer		1+1 terminal	1+2 terminals	1+3 terminals	
2.	Photo Co	opier	1	1	2	
3.	Air-conditioners		1	2	2	
4.	Slide and Over-head Projectors		1+D*	2+D*	2+D*	
5.	Binder and Laminator		1	1	1	
6.	TV with VCR		1+D*	2+D*	3+D*	
7.	Vehicles		1 jeep +1 minibus	2 jeeps + 1 minibus	3 jeeps + 1 minibus	
8.	Electric Type-writer Machi		1+1	2+1	3+1	

#### **D\* Number of districts in State**

Central assistance may be provided upto 100% for equipment in accordance with suggested norms and salaries and permissible allowances for approved staff of HRD Cell.

## **B. STAFFING PATTERN FOR STATE HRD CELL IS AS FOLLOWS**

SI. No.	Designation	No. of State having districts				
			< 20	21-40	>41	
1.	Executive Director		1 SE/Addl. CE	1 Addl. CE	1 CE	
2.	Director/ Dy. Director		1 EE	1 SE, 1 EE	1SE, 2 EES	
	i. Nomination, Deployment of T ii. Grass Root Level Traine iii. Training Materials, Offi	es				
3.	Managers		2 AEs	4 AEs	6 AES	
4.	Field Officers		4 JEs	8 JEs	12 JEs	
5.	Steno-cum -PA		2	3	4	
6.	Data Entry Operators		1	2	2	
7.	Attendents		2	3	4	

Note: There shall be no deviation from these norms as far as contribution by Government of India is concerned.

The Govt. of India would provide 100% of the total expenditure on the salaries and allowances of HRD Cell staff.

#### SI. No. Norm Item i) a) Rs.150 per day for Govt. depts. and 1. Boarding and lodging b) Rs.200 per day for NGOs per participant for DLTs, Sector Professional Courses (residential in nature) for Officials, Engineers and other Professionals. ii) Rs. 75 per day per participant for shorter duration Courses/ Awareness Camps for grassroot level workers TA only for participants for course at 1 (i) As per actuals and eligibility but limited to II/I/II 2 AC. No air travel is permitted. above. TA and DA for guest faculty Same as at (2) above Course material Rs. 250 per participant per course 5. Rs.12 per Km. Subject to a maximum of Field trips Rs.5000/i) Rs.500/-Honorarium to course Coordinator i) Rs.250/- per 75 minutes Honorarium to faculty ii) Rs.50/- per hour per person for laboratory work. 8. 5% of the total budget Govt. Deptt. and 7% for Overheads/institutional charages NGOs.

C. COST NORMS FOR TRAINING COURSE:

Note: Travelling expenses for participants of grass root level training courses are not to be provided as these courses are planned to be organised at village/ block level. However, travelling and boarding & lodging expenses for grass root level trainers under going training are permitted as per above norms.

# D. NORMS FOR KEY AND OTHER INSTITUTIONS

The norms for financial assistance to Key and other Government institutions and non-Government institutions associated with NHRD Programme are as follows:

SI. No.	Item	Norm	
	a) GRLT	Same as indicated at Item "C" above Rs.75,000/- per course (non residential participants) for 5 days.	
	b) Sector Professional		
2.	Establishment Expences (per year)	Wages	Other Expenditure

a) Govt. Institutions b) Non-Govt. Institutions	
	Rs.1.00 lakh Rs.1.00 lakh

Note: The Sector professional Training courses may cost higher than the norms depending on the level of participants and period of course. In such cases the specific approval shall be obtained from the Mission.

#### E. WORKSHOP AND SEMINARS UNDER PROGRAMME

## SCOPE

The financial assistance will be given to conduct Workshops, Seminars, Conferences etc. having bearing on NHRD Programme with special thrust on improving programme, capability and capacity of the officials and institutions like PRI functionaries, PHEDs/ Boards/ Nigams/ NGOs etc. actively involved in Rural Water Supply & Sanitation sector in the States.

## **COST NORMS**

The following fiancial assistance will be provided for conducting workshops/ seminars/ conference under the programme:

#### a) State Level

Amount - Rs.80, 000/- per day Participants - 75 (minimum)

#### **b) District Level**

Amount - Rs. 30.000/- per day Participants - 50 (minimum)

#### c) Components

The following programme components will be funded under these activities:

a) Boarding and lodging of participants and experts (for out Station only)

b) Travel cost of the participants & experts (for out-station only)

c) Handouts / materials/ publicity etc.

- d) Honorarium to faculty and experts @ Rs.250/- per 75 minutes/ presentation.
- e) Honorarium to Program Coordinators @ Rs. 500/- (Total)

f) Hiring Hall/ Venue

g) Over-head charges 10% of the total estimates

h) Field Trips, if any.

Note: The budget for the similar events of Regional and National nature will be approved by the GOI on case to case basis.

## AGENCY

The State Govt. Agency implementing NHRD activities or other agency identified by them

## Delegation of powers to the States/UTs for approval of HRD cost norms.

Copy of GOI Order No.W-11043/1/95-Media dt. 31.12.1997 regarding delegation of powers for approval of the cost norms by the State under the NHRD programme is given at Appendix to this Annexure.

Appendix to Annexure-IV

W-11043/1/95-Media Ministry of Rural Areas & Employment Rajiv Gandhi National Drinking Water Mission

> New Delhi – 110003 Date: 31.12.97.

## ORDER

## Sub: Delegation of powers for approval of the cost norms by the State under the NHRD Programme.

The national HRD Programme aiming at capacity, capability and institutional building in Rural Water Supply and Sanitation Sector in the country, was launched by the Ministry in the year 1994. Guidelines for conducting HRD activities through-out the country were issued under "the Project Profile (December 1994)".

2. Funds are provided for HRD activities under three broad sub-heads viz. Staffing, Equipment and Training. Detailed cost norms for staffing,

equipment and training courses have also been laid down in the said document.

3. During a recent review of the HRD Programme(held on 28.10.97), the State Govt. representatives highlighted the fact that the existing cost norms were too rigid and were hampering the physical implementation of the Programme.

4. The matter has been carefully considered and it has been decided to delegate to the respective State Governments the powers for

a) the revision of cost norms for conducting training courses,

b) setting/altering staff configuration in the State HRD Cells, including the regulation of their status/ salaries and

c) the purchase/ acquisition of equipment by the State Govt.

5. Further, the norms for training course expenses (including hiring of vehicles), overheads/institutional charges, equipment etc. can be henceforth modified by the Secretary-in-charge in the State Government in consultation with the Apex/ Empowered Committee as the case may be. The composition of aforesaid committee shall be as stipulated in the Project Profile document.

6. Similar measures can also be taken with regard to changes in the staffing pattern within the appropriate financial allocations, on a 50:50 sharing basis between State and Central Government.

7. These powers shall be exercised with due care within the different heads/ categories of expenditure i.e. equipment, staffing and training courses.

8. No diversion shall be allowed from one sub-head to another (i.e. from Staffing to equipment etc.)

9. Other guidelines shall remain unchanged as stipulated in the document referred herein.

10. This issues with the concurrence of Integrated Finance Division (IFD) of this Ministry.

11. Copies of the relevant orders issued by the state Govt. after this circular may be marked to this Ministry

Sd/-

(Palat Mohandas) Joint Secretary & Mission Director

#### Copy to: The Secretary/Engineer-in-Chief of all states.

## IEC COST NORMS

The project proposal for IEC activities in select districts and at State level shall be approved w.e.f. 1.1.99 as per the revised ARWSP guidelines with 100% of the total sanctioned Project cost to be borne by the Central Government, which is in revision to be the earlier cost norm of 50 : 50 project cost sharing between the GOI and the State Government (refer guidelines issued vide letter No. W-11043/1/95-Media dated 17.11.95).

The funds are to be utilised for expenses under the heads given below at the village/Panchayat, Block, District and State levels :-

- Salary/Honorarium at State, District, Block and Village/Panchayat levels.
- TA/DA, Establishment & Contingency (Village/Panchayat, Block, District & State levels).
- Media Activities, training, workshops, preparation of communication material etc. (software component) at Village/Panchayat, Block, District & State levels.

The State Government shall take immediate action to ensure that the IEC Cell is created as per the guidelines issued vide letter No. W-11043/1/95-Media dated 17.11.95 and manpower is engaged as suggested. The State Government should ensure immediate release of funds to the implementing agency for the smooth and speedy implementation of the IEC strategy.

The progress report on the IEC activities beginning from creation of IEC Cell, re-orientation/sensitisation of various level functionaries, setting up of WATSAN Committees (at every level) and carrying out the Intensive Awareness Campaign in the selected districts, may be sent to the Joint Secretary and Mission Director, Rajiv Gandhi National Drinking Water Mission on a monthly basis. The break up of approved cost (for one year) is as follows :-

## 1. DISTRICT CO-ORDINATING AGENCY (PER DISTIRCT) :

- Co-ordinator (one) : Rs.2000/- per month (honorarium) on and above their salary and TA/DA upto Rs.16000/- per year as per the State Government rules.
- Supporting Staff (three) : Rs.1500/- per month (honorarium to each) on and above their salary and TA/DA upto Rs.12000/- per year (each).
- Asstt./Steno/Typist (one) full time : Rs.1500/- per month (to be hired on contract) and TA/DA upto Rs.6000/- per year.
- Messenger (one) full time : Rs.1200/- per month (to be hired on contract) and TA/DA upto Rs.5600/- per year.
- Establishment charges : Rs.60000/- per year.

#### (Total expenses for one year/per district : Rs.2.34 lakh)

#### ANNEXURE-V

## 2. BLOCK LEVEL CO-ORDINATORS (TWO IN EACH BLOCK)

- Co-ordinator (two) : Rs.1000/- per month and TA/DA upto Rs.6000/- per year.
- Establishment expenses : Rs.24000/- per block per year.

#### (Total expenses Rs.60000/- per block per year)

## **3. VILLAGE LEVEL EXPENSES**

- Raw material/other expenses (wall writing + card making ) Rs.500/-.
- Payment to folk media (four shows Rs.150/- per show) Rs.600/-.

## (Total expenses Rs.1100/- per village)

## 4. EXPENSES ON MOTIVATOR

One motivator per village/panchayat on contract for four months at the rate of Rs.100/- per month and Rs.100/- additional as contingency and TA/DA. Total expenditure on one motivator would be Rs.500/-.

## 5. MEDIA ACTIVITIES/TRAININGS/SENSITISATION WORKSHOPS

Media activities/Training/Sensitisation workshops including software for school sanitation at district level (per year/per district )

(Total expenses Rs.10.00 lakh per district )

## 6. STATE LEVEL BUDGET (FOR ONE YEAR)

## **IEC Cell**

- Consultant (one) Rs.10000-12000/- per month average and TA/DA upto Rs.80000/- per year.
- Asstt. Engineer (water), on deployment, Rs.2000/- per month on and above their salary and TA/DA upto Rs.48000/- per year.
- Asstt. Engineer (Sanitation), on deployment, Rs.2000/- per month on and above their salary and TA/DA upto Rs.48000/- per year.
- Stenographer (one), on deployment, Rs.1500/- per month on and above their salary and TA/DA upto Rs.15000/- per year.
- Messenger/Asstt. (one), full time(on contract), Rs.2000/- per month on and above their salary and TA/DA upto Rs.10000/- per year.
- Establishment/contingency expenses upto Rs.2.00 lakh (two lakh) per year.

## **B. State Co-ordinating Agency**

A Professional Agency (15% of the total amount allotted to SCA by implementing agency for doing necessary creative work, monitoring and providing consultancy to PHED/RD/PR department.

## (Total estimated charges upto Rs.2.00 lakh)

## C. Other Activities at the State level: (upto)

1. Exhibition	Rs.02.00 lakh
<ol><li>Media/Sensitisation News letter/other activities etc.</li></ol>	Rs.10.00 lakh
3. Trainer's training	Rs.00.80 lakh
4. Re-orientation of DCA functionaries	Rs.00.80 lakh

The State and District level budget shall be sanctioned on the basis of number of blocks & villages per district : -

e.g. If the Nos. of district, blocks and villages are as follows :

DISTRICT	BLOCK	VILLAGES
Say "X" Nos.	Say "Y" Nos. in "X" no. of districts	Say "Z" Nos. in "Y" No. of blocks of "X" No. of districts

## Thus, final approved budget for one year shall be :

## DISTRICT LEVEL EXPENSES

- District Co-ordinating Agencies (Rs.2.34 lakh x "X" No. of districts)
- Block level Co-ordinator (Rs.60000 x "Y" No. of blocks)
- Village level Expenses (Rs.1100 x "Z" No. of villages)

- Expenses on Motivators (Rs.500 x "Z" no. of villages)
- Media activities/trainings/workshops including software for school sanitation at district level Rs.10.00 lakh x "X" No. of districts)

#### STATE LEVEL EXPENSES

IEC Cell	Rs.06.11 lakh
State Co-ordinating Agency	Rs.02.00 lakh
Other activities at State level	Rs.13.60 lakh

#### Center's share 100% of the approved cost

No.W-11043/75/956-Media Government of India Ministry of Rural Development Department of Rural Development Rajiv Gandhi National Drinking Water Mission

Block B-1, 9th Floor, Paryavaran Bhavan Lodhi Road, CGO Complex New Delhi – 110 003.

Dated the 29th December, 1997

## ORDER

Sub:- Modified and revised financial norms for the IEC programme in the Rural Water Supply & Sanitation Sector - Rajiv Gandhi National Drinking Water Mission.

1. IEC guidelines covering expenditure at State, district and village levels, comprising different components of IEC programmes were circulated vide letter No.W-11043/1/95-Media in February, 1996.

2. During a recent review of IEC activities, the state representatives in-charge of the IEC programme were of the view that the existing guidelines/cost norms were too restrictive and were hampering the actual implementation of the programme at the field level.

3. The matter has been carefully considered and it has been decided to delegate the powers to revise the cost norms to the State Governments. The detailed modalities will be as follows :-

i) Under approved IEC budgetary provisions, the allocation of fund is broadly classified under three major sub heads :-

a) Expenses on salary, honorarium at the State, District, Block and Village level (establishment charges).

b) Expenses on media activities, training, workshop, preparation of communication materials etc. (software components).

c) TA/DA, logistic support and other contingency expenditure etc. (contingencies).

ii) Revisions would be permissible only within each of the three broad subheads mentioned above. The State Government, acting through the Secretary-in-Charge with the concurrence of the duly constituted IEC Committee, referred to in the existing guidelines, would now be empowered to suitably readjust the norms. For example,

(a) honoraria for the coordinator, supporting staff and other staff may be enhanced or reduced as deemed fit or (b) under village level expenses, the raw material cost of Rs.500/- for wall writing and payment to folk media of Rs.150/- per show may if found necessary be suitably readjusted.

iii) However, no reallocation from one subhead to the other (i.e. from establishment charges to software expenditure or to contingencies) is permissible.

iv) The total budget of each sub-head should not be exceeded in any case.

v) The fund should be utilised only for those items of work, which have been incorporated/approved in the IEC guidelines.

vi) Quarterly progress reports, about the implementation of IEC project, should be sent to the Joint Secretary cum Mission Director, RGNDWM.

vii) The utilisation certificate for expenditure incurred during the financial year should be sent within 6 months of the close of the financial year and accounts of actual expenditure from the State Accountant General, within 18 months of the close of the year.

viii) The above flexibilities should be used only for improving the quality of the programme.

ix) This order issues in consultation with the Integrated Finance Division of this Ministry.

x) Copies of decisions taken in the context of these instructions may be markets to this Ministry.

## To :

20 IEC States (A.P., Ar. Pradesh, Assam, Gujarat, Haryana, Himachal Pradesh, Marnataka, Kerala, M.P., Maharashtra, Manipur, Mizoram, Punjab, Rajasthan, T.N., U.P., Bihar, Meghalaya, Nagaland & Orissa)