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Draft for discussion

GOVERNMENT OF KERALA

Department of *Water Supply and Irrigation* *

WATER SUPPLY DECENTRALISATION PROGRAMME (WSDP)

(A Pilot Demonstration Project under Netherlands Assistance)

Duration: July 1997-July 1999, 104 Weeks

1. BACKGROUND

The Netherlands Government has been supporting a First Netherlands Assisted Rural Water Supply and Sanitation Programme (First Programme) in Kerala since 1982. Following an expression of interest by the Netherlands Embassy in April 1995 to support the formulation of a Second Netherlands Assisted Programme (Second Programme) with rather wider scope than the First Programme, a Task Force Committee was constituted (vide GO No:2065/95/LAD dated 18 April 1995) to facilitate formulation of the Second Programme. The Task Force has prepared a Draft Formulation Report which was discussed during a meeting on 26 June 1997 at Mascot Hotel, Trivandrum.

As per the Inception Report, The Second Water Supply and Environmental Sanitation Programme centres around the following policy guidelines of the Government of India:

- Participation of the Panchayati-Raj Institutions and the community
- Emphasis on Integration of water supply & environmental sanitation
- Emphasis on the managerial, financial and environmental sustainability of the facilities and systems
- Emphasis on supporting software features of institutional strengthening, community development and hygiene promotion
- Promotion and development of appropriate water supply production and distribution including the use of traditional systems and methods

While the Draft Formulation Report has exhaustively covered the existing situation, the rationale for the new approach, and the general conceptual frame for the new programme, there are quite a few critical issues/areas that need addressing/further elaboration particularly in the water supply sector. The most critical areas to be addressed during the programme formulation stage pertaining to the water supply sector are as follows:

1. Institutional Issues pertaining to decentralisation of water supply sector
2. Community based planning and implementation techniques/methodologies
3. Water Conservation
4. Prototype designs for appropriate/sustainable water conservation/water supply systems
5. Prototype designs for appropriate O&M Management systems for water supply and sanitation systems
6. Monitoring/Review/Evaluation Systems

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Besides, it is also obvious that the actual decentralisation of water supply sector and development of alternative institutional arrangements, is a time consuming process. It is expected that at least two years of incubation period is required before the New Programme is ready for launching.

The Review and Support Mission of NAP who visited Kerala during the last week of April 1997 indicated the need/possibility of offering Institutional support to GoK during such an interim period under direct funding through RSM. The RNE in its letter No: rws/ke dated 7 July 1997(points 6&8), also indicated the possibility of offering such support for which adequate funds have already been earmarked.

In view of the above, it is proposed to launch a Water Supply Decentralisation Programme (WSDP) for two years on a pilot basis, covering the above mentioned areas. This is a proposal for such a Programme.

2.0 OBJECTIVES/ACTIVITIES/OUTPUTS

2.1 Broad Objective of WSDP

To study, field test and demonstrate the effectiveness and implications of decentralising the water supply and environmental sanitation systems in Kerala.

2.2 Specific Objectives of WSDP

1. To identify the main institutional issues related to the decentralisation of water supply sector In Kerala and to recommend a most effective and acceptable Management System/Organisational Structure
2. To develop, field test and demonstrate community based participatory techniques for planning, implementing and managing appropriate and sustainable rural water supply and environmental sanitation systems in an integrated manner.
3. To develop, field test and demonstrate prototype designs of appropriate and sustainable rural water supply and environmental sanitation programmes through a participatory learning process
4. To develop, field test and demonstrate prototype designs for appropriate Institutional structures for planning, designing, implementing operating maintaining and managing water supply and environmental sanitation systems at the Panchayat and user community level
5. To develop guidelines/manuals for planning, designing, implementing, operating, maintaining and managing water supply and environmental sanitation systems at the Panchayat and community level
6. To develop appropriate monitoring/review/evaluation systems
7. To facilitate finalisation of the proposal for the Second Netherlands Assisted Water Supply and Environmental Sanitation Programme

3.0 APPROACH/METHODOLOGY

3.1 Selection of Pilot Villages

Six Pilot Panchayats from the three concentration districts viz. Malappuram, Palghat, and Thiruvananthapuram will be selected as per the following geograhic critereea.

Sr. No	Geograhic Critereea	Number of Panchayats			
		Malappuram	Palghat	Trivandrum	Total
1	Coastal Region	1		1	2
2	Mid Land		1		1
3	Hilly (Tribal)	1			1
4	Hilly (Non-Tribal)			1	1
5	Drought Prone		1		1
Total		2	2	2	6

In addition to the above critereea, the following critereea will also be considered while selecting the Pilot Panchayats.

- Provision of drinking water is given the highest priority by the community
- People are willing to participate in planning, implementing and managing the system and contribute towards the construction and/or O&M cost of the systems.

3.2 Approach

1. Participatory processes using Logical Framework Approach (LFA) and Participatory Rural Appraisal Techniques
2. To involve as many Stake Holders as possible
3. To make the entire process of planning, implementing and managing the systems replicable under the three-tier Panchayati Raj system

3.3 Methodology

1. Collect, desk study, compile and document available relevant information, reference materials, reports etc.
2. Carry out well moderated workshops, brainstorming sessions etc. with all the stake holders at various levels for identifying/prioritising issues and finding sustainable solutions.
4. Carry out PRA exercise in selected villages in order to develop appropriate water resource development and integrated water supply & sanitation programme plans. **These plans will be integrated to the overall Panchayat Plan.**
5. Carry out necessary field surveys to plan & design technical components
6. To monitor the technical, social & managerial performance of pilot systems
7. To build the capacity of the local institutions in planning, designing, implementing, documenting and managing water supply and environmental sanitation systems through participatory learning process, exposure trips etc.
8. Visiting/Consulting external reference centres

3.4 Programme Components/Activities

Phase I: Planning & Establishment Phase

Phase II: Implementation Phase

Phase III: Monitoring/Consolidation Phase

Phase	Duration	Activities	Outputs
I	12 months (Oct 97- Sept. 98)	1. Identifying, and resolving institutional issues related to de-centralising water supply sector 2. Technical assessment and detailed planning 3. Formation of village committees, organisation, and deployment of personnel	1. Draft guidelines for water supply de-centralisation 2. Pilot village plans 3. Inputs into Task Force
II	8 months (Oct 98-May 99)	1. Rehabilitation of schemes 2. Construction of new schemes 3. Socio-technical studies 4. Training/capacity building	Progress Reports
III	16 months (Jun 99- Sept. 2000)	1. Performance monitoring & reporting 2. Socio-technical studies 3. Training/capacity building 4. Preparation of manuals on decentralisation, planning, implementing and O&M of water supply & environmental sanitation programmes	1. Progress reports 2. Manuals 3. Final report

Annexure.1 describes the activities in detail and an Activity Chart is furnished as Annexure.2

4.0 ORGANISATION

The proposed institutional arrangement is illustrated in the following flow chart (Fig 4.1)

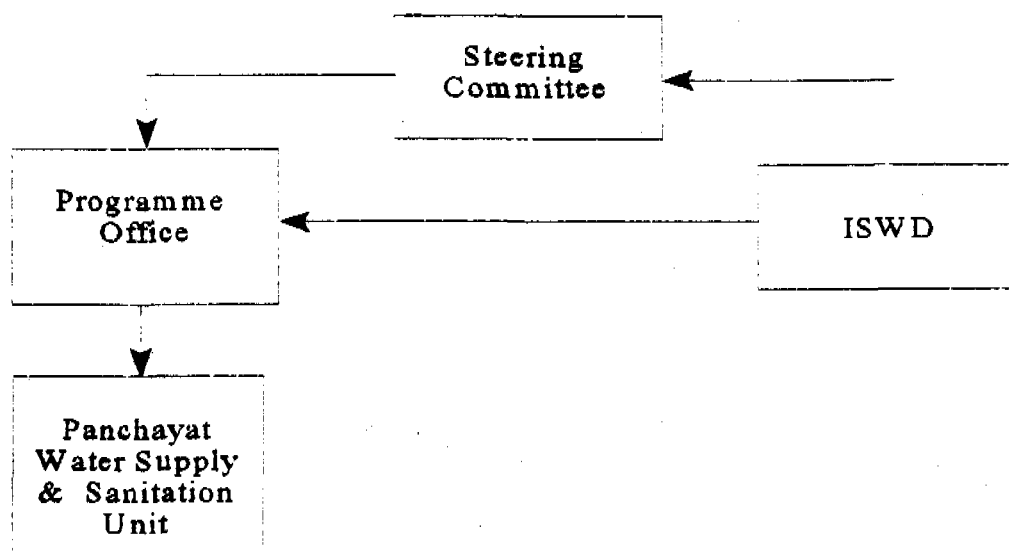


Figure 5.1 Institutional arrangement for implementing Pilot Programme

4.1 Steering Committee

The Nodal Agency for the WSDP will be, *Secretary Water Supply & Irrigation* *. In order to monitor, guide and periodically review the Programme, a Steering Committee will be formed as follows:

1. *Secretary Water Supply & Irrigation* *, Chairperson
2. Secretary, Local Administration, Convenor
3. Secretary, Planning & Economic Affairs
4. Secretary, Rural Development
5. MD, KWA
6. Team Leader, ISWD
7. Programme Manager, WSDP
8. Executive Director, SEUF

4.2 Institutional Support for Water supply Decentralisation (ISWD)

Institutional Support for Water supply Decentralisation (ISWD) is a Team of consultants under the Review and Support Mission (RSM) appointed by the Netherlands Government to provide necessary programme development support to the Government of Kerala in resolving the institutional and technical issues pertaining to decentralisation of water supply sector in Kerala. ISWD will not only provide programme support to the Steering Committee but also extend support in training the PWSSU and assist in implementation of the WSDP through the Programme Office supported by a team of selected staff including the supporting staff from SEUF(Annexure.3). Besides, the ISWD will also provide necessary support to the Task Force for finalising the Future Proposals.

4.3 Programme Office

The Programme Office will be located at a convenient place within close proximity to the Pilot Panchayats with the following responsibilities

1. To jointly assess with the concerned Panchayat Engineers, the technical and operational status of the KWA schemes destined to be handed over to the respective Panchayats, and then formally hand over the same to the Panchayat.
2. To assist the Panchayats in planning, implementation, management and performance-monitoring of the water supply and environmental sanitation systems.
3. To monitor and report the progress of the WSDP
4. To resolve any issues while implementing the programme
5. To coordinate the programme with various departments

The Programme Office will consist of the following functionaries

- | | | | |
|----|-----------------------------|---|---------------------------------|
| 1. | Programme Manager | : | An EE on deputation from KWA * |
| 2. | Assistant Programme Manager | : | An AEE on deputation from KWA * |
| 4. | Supporting Staff | : | Provided by ISWD |

The ISWD will also be attached to the same Programme Office.

4.4 Panchayat Water Supply & Sanitation Unit (PWSSU)

This will be a permanent setup at the Panchayat level who will actually implement the scheme under the guidance of the Programme Office. Since, one of the important objectives of the Programme is to build the capacity of the Panchayats to plan, implement, maintain and manage water supply and sanitation facilities, the PWSSU plays a very crucial role and is expected to carry on its own with minimum external institutional support during the implementation of the Second Netherlands Assisted Water Supply and Environmental Sanitation Programme.

The minimum full time operational staff to be deployed/recruited by the respective panchayats for the Pilot Programme are as follows:

1. Overseer
2. Gramsevika

The organisational structure will be formed as per the recommendations of the Department of Local Administration.

5.0 Budget

The budget for the WSDP can be divided into two parts as follows:

1. Support Functions
2. Programme implementation

The budget provisions for the Support Functions will include the capital cost for equipments (vehicles, computers, furniture etc.) and operational cost of the Programme Office (excluding salary and allowances of the Government Staff on deputation) and ISWD which will be reimbursed directly by the RNE through RSM and SEUF respectively. This budget can be worked out by RSM and SEUF.

The budget provisions for programme implementation includes, the cost of rehabilitating existing schemes, constructing new physical structures, training programmes, workshops/seminars, exposure trips etc. Expenditure on these items will be incurred by the PWSSU against an initial advance and periodical direct reimbursement through the Programme Office. While a portion of this budget can be directly reimbursable from the RSM budget of the Netherlands assistance, the balance can be found from the Rajiv Gandhi Mission earmarked for development of Traditional Sources.

A tentative budget is enclosed as Annexure.4

6.0 Monitoring, Review and Evaluation

The programme will be regularly monitored and the quarterly progress report submitted by the Programme Office supported by ISWD. The Steering Committee will review the programme implementation once in three months. The Programme shall be evaluated through an Evaluation Workshop towards the end of its implementation.

* Tentative suggestions only.

Water Supply Decentralisation Programme (WSDP)

(A Netherlands assisted pilot Programme)

Description of Activities

1. Establishment

This consists of constitution of Steering Committee, Issuance of Government Orders, Constitution of ISWD Team, setting up of WSDP Programme office, setting up of PWSSU offices at Panchayat level and deployment & training of Government and Panchayat staff.

Besides, developing a panchayat-wise cadre of volunteers for data collection and resource mapping will also be completed through identification of volunteers and providing them with orientation training.

2. Identification & Resolution of Institutional Issues

This consists of identification of legal, administrative, and technical issues pertaining to Water Supply Decentralisation and developing series of draft recommendations to the Government for resolving these issues through necessary amendments in the existing Laws Acts. This will be done by studying the pertinent Laws Acts of few other States where Water Supply is already decentralised, comparing the merits and demerits in the context of Kerala, adopting the meritorious Laws Acts after necessary modifications and developing a document called "Guidelines for Decentralisation of Water Supply".

These Guidelines will be implemented in two phases.

1. Special Government Orders Ordinances for Pilot Panchayats - Immediate
2. Enact Legislation in the Assembly - Long Term

Senior retired Government officials with lot of experience in this field working under ISWD will assist in this activity

2. Basic Data Collection and Resource Mapping

This consists of collection of basic data necessary for preparation of detailed WSES plan for the panchayat through resource inventory, house hold surveys, participatory resource mapping and PRAs. PWSSU staff and the trained volunteers will take the lead under the assistance guidance of ISWD Team.

3. Community Mobilisation/Organisation

This consists of awareness campaigns, and organising the user communities, particularly women on Ward basis to assist the panchayat level efforts to plan, implement and maintain the WSES facilities.

4. Panchayat Level Planning

This is the process of preparing a perspective WSES Plan for the Panchayats by the community under guidance of the PWSSU staff (Engineers, Community Organiser) the trained volunteers and ISWD. PRA exercises can be effectively used as tool. **This plan should form part of the overall Panchayat Plan under 9th Plan.**

5. Detailed Technical Designs, Plans and estimates

After the Perspective Plans are ready, certain detailed technical surveys might become necessary, for preparation of the technical designs and estimates for rehabilitation of the existing schemes and construction of new schemes. This is done by the trained PWSSU Engineer and the trained volunteers under guidance of ISWD. The detailed technical designs and estimates will be the basis for implementation of the physical structures.

6. Handing Over Selected KWA schemes to Panchayats

This involves a detailed assessment of the technical and operational status of the small KWA schemes, destined to be transferred to panchayats, jointly undertaken by the concerned KWA and panchayat officials and then handing over the same to the panchayats either on temporary lease or on permanent asset transfer. ISWD Team shall assist in this process.

7. Monitoring the Water Sources

This is one of the most important aspects of the Pilot Project in which the change in quality and quantity of selected water sources used for domestic purposes with time will be monitored. This study will commence immediately after the basic data collection and continue through out project period. This will be done by the Panchayat Staff Volunteers under the guidance of ISWD. The methodology will be measurement of certain parameters such as yield, water level, water quality etc. at regular time intervals on selected sources before, during and after project implementation. This study will reveal the long term reliability of water sources and the impact of the project interventions on the qualitative and quantitative improvement of water sources.

8. Water Use Study

This involves the study of quantity, duration and methodology of water collection and use by different communities from different sources during different periods of the year. This will be a continuous study starting at the time of the basic data collection and continued through out the periods of implementation of the new schemes and at least one year following the implementation. The study will be done in two ways as follows:

- Interviewing selected house holds (10% sample) once in every month to get the user perception
- Weekly observations at selected public water sources (taps, wells, ponds etc.)

This study will be done by the Panchayat staff and the trained volunteers under the guidance of ISWD Team.

9. Performance monitoring

This is the most important study of the Pilot Project that determines its impact on the improvement in service quality, performance efficiency and reduction in unit cost of production. This study starts immediately after the basic data collection on selected public water supply systems and observes certain measurable parameters such as O&M cost, leakage, unit cost of water produced and supplied, regularity of supply, quality of water, frequency of breakdowns, consumer satisfaction etc. This will be done by the Panchayat staff under the guidance of ISWD.

10. Project Implementation

Under this, the physical components as per the Panchayat Plan is taken up for implementation. This is divided into two categories

10.1 Rehabilitation of existing schemes

This involves repairing/renovating few selected existing schemes and rehabilitating them to full operational capacity. This category also is subdivided into two:

- Private Few representative private sources such as wells, ponds etc. are selected and technical assistance is provided to the owner who will implement the rehabilitation work under the guidance of the PWSSU staff and ISWD.
- Public Selected public water supply schemes under the control of the panchayats will be rehabilitated by the PWSSU staff under the guidance of ISWD.

10.2 New Schemes

Under this, new water supply and water conservation and environmental sanitation schemes are taken up. This category is also subdivided into two:

- Private Newly designed wells, roof water systems, water conservation systems on individual properties such as recharging wells with roof water runoff, trenching, bunding etc. and environmental sanitation schemes such as household waste water disposal, household solid waste management etc. will be taken up by selected residents under technical guidance from PWSSU and ISWD. Some financial assistance may be given for the water conservation and environmental sanitation measures.
- Public Under this, new public water supply schemes such as mini piped water supply schemes, spring development, pond improvement, community roof water harvesting systems, water conservation systems on public lands such as check dams, subsurface dams etc. and environmental sanitation schemes such as community based waste water disposal systems, solid waste management etc., will be taken up by PWSSU under technical guidance of ISWD.

11. Training Programmes/Workshops

Several Training Programmes (including a few International Training) will be offered to benefit the PWSSU functionaries, the selected volunteers and the nominated officers of the Government in the fields of planning, designing, implementing and maintaining community based water supply and sanitation programmes. Besides, Workshops will be conducted at state and district level to discuss various issues pertaining to decentralisation of water supply.

12. Impact Assessment

In addition to the monitoring studies discussed under sections 7,8 and 9, special studies will be carried out to assess the social, economical, environmental and institutional impact of the pilot project through periodical data collection by direct observation and interviews. Special data formats will be developed for this.

13. Evaluation

The project will be evaluated by an independent Team through a participatory process followed by an evaluation workshop towards the end of the project.

14. Documentation & Reporting

The entire process of planning, designing, implementing, operating, maintaining and managing the systems will be documented and reported. Besides this final report series of manuals/handbooks on various aspects of planning, designing, implementing, operating, maintaining and managing the decentralised water supply and environmental sanitation systems will also be prepared.

ISWD Team

Consultants (RSM Funding)

1.	Team Leader	Full Time
2.	Institutional Expert	Part Time (3 Months)
3.	Water Supply Engineer	Part Time (3 Months)
4.	Community Organisation Expert	Part Time (6 Months)

Full Time Supporting Staff (SEU Funding)

Office

1.	Assistant Engineer	1 No
2.	Office Manager Accountant	1 No
3.	Computer Operator	1 No
4.	Draftsman	2 Nos
5.	Peon	1 No
6.	Driver	1 No

Field

1.	Community Organisers (1 per panchayat)	6
2.	Overseers (1 per panchayat)	6

Furniture/Equipments

It is expected that the furniture, computers and equipments available with OMIP and SEU would be adequate for ISWD if an arrangement of sharing them can be worked out.

Office Name & Location

Name of the office shall be

INSTITUTIONAL SUPPORT TO WATERSUPPLY DECENTRALISATION (ISWD) (A Pilot Programme under Netherlands Assistance)

The ISWD and the SEU (North) can be brought under the same building at a convenient place to cover both Palaghat & Malappuram District, so that coordination and sharing of resources can be made very effective. It is suggested that Shoranur is an ideal place with excellent train connections and more or less centre for both the districts.

A special ISWD wing can be created at SEU, Trivandrum to coordinate the pilot programme in Trivandrum district. This will become really operational in the second year and will be manned by a team of selected staff who will get trained under the ISWD central office in the first year.

It is expected that as soon as the concerned staff on deputaion from government are deployed, the name of the office shall be changed as follows:

Government of Kerala Department of Water Supply & Irrigation WATER SUPPLY DECENTRALISATION PROGRAMME (WSDP) (A Pilot Project under Netherlands Assistance)

At that time the ISWD will consist of a cell of WSDP within the same office premises.