

W-11044/1/2018-Water-Part(4)
Government of India
Ministry of Drinking Water and Sanitation

Pt. Deendayal Antyodaya Bhawan, 4th Floor,
CGO Complex, Lodi Road, New Delhi-110003

Date: The 06 April, 2018

To

The Principal Secretary / Secretary
(In-charge of Rural Water Supply/PHED/Boards)
All State Governments

Subject: Launching of Swajal Pilot Project in 115 Aspirational Districts declared by NITI Aayog- reg..

Madam / Sir,

I am directed to inform you that the Swajal Pilot Project has been launched by the Hon'ble Union Minister (Drinking Water and Sanitation) Sushree Uma Bharati in Uttarkashi district (Uttarakhand) and Karauli District (Rajasthan). In this respect, a **National Consultation on Swajal: Community Approaches in Rural Water** was also convened by the Ministry which was held on 22.03.2018 at New Delhi.

2. With the approval of competent authority, it has been decided to implement the Swajal Project in all 115 aspirational districts declared by the NITI Aayog. The guidelines of the Swajal Project is enclosed herewith for reference.
3. It is, therefore, requested to select a Gram Panchayat in the aspirational districts of your State to adopt and implement the Swajal Pilot Project approach in accordance with the aforesaid guidelines.
4. Action taken in this regard may please be furnished to this Ministry.

Encl.: -'**As above**' (in website)

Yours faithfully,



(Dr. Dinesh Chand)
Addl. Adv.(PHE)

Tel.No.011-2436 6660(Off.)

Copy to :

The Chief Engineers/Engineer-in-Chief/MDs(In-charge of Rural Water Supply/
PHED/Boards),all State Governments

Guidelines for “Swajal” under National Rural Drinking Water Programme

1. Background:

Ministry of Drinking Water and Sanitation aims to provide every rural person with adequate safe water for drinking, cooking and other domestic basic needs on a sustainable basis. This basic requirement should meet minimum water quality standards and be readily and conveniently accessible at all times and in all situations. Ministry has initiated a pilot project in the name of “Swajal” that is designed as a demand driven and community centred program to provide sustainable access to drinking water to people in rural areas.

In first phase, it is proposed to select pilot project district in six States, viz., Uttar Pradesh, Maharashtra, Uttarakhand, Madhya Pradesh, Rajasthan & Bihar under NRDWP. This will be implemented through convergence of other programmes like MGNREGS, PMKSY, RRR etc. The districts are to be identified by the States to start the project formulation in fast track mode.

2. Vision

Community–led drinking water projects to be called ‘Swajal’ aiming at providing sustainable and adequate drinking water in an integrated manner to the rural masses on pilot basis. It is envisaged that the State government in partnership with rural communities; shall plan, design, construct, operate and maintain their water supply and sanitation schemes; so that they get potable water and attain health and hygiene benefits; the State Government and its sector institutions shall act as supporter, facilitator and co-financier and as per need shall provide technical assistance, training and cater for bigger construction works and sectoral contingencies.

3. Rationale of the Swajal Pilot Project:

The demonstrated success of reform in rural water supply and sanitation sector based on demand driven approaches has contributed a lot to the replication of such models in other states, leading to the formulation of a central government level program for mainstreaming Swajal principles countrywide. The lessons learnt from earlier models based on demand driven and community centred principles include, but not limited to:

- Partnership between village communities, NGOs and the government as the facilitator and co-financing has worked successfully.

- The possibility of misappropriating and misusing the funds becomes minimal if transparency at each stage is adhered and monitored by stakeholders.
- Empowerment of PRIs is a viable and sustainable option for scaling up the decentralized service delivery model.
- The change from a supply based model to demand based model requires a new mind set and investment at different levels for acceptance of the new model.
- Good facilitation and appropriate techniques have to be put in place in community management model.
- Some form of external support to communities is imperative to ensure long term sustainability;

4. Investment Guidelines:

The investment guidelines for new investments under Swajal Pilot Project shall follow the steps mentioned below. Monitoring and Evaluation would be part of all these steps.

- (a) Preparatory Steps:** This includes dissemination of the Swajal Pilot Project details and principles in the state and compilation of existing water sources database, and institutional mobilization to implement the program.
- (b) Scheme Selection:** Schemes to be covered under various categories are identified and pre-feasibility studies to collect basic data of the schemes is collected
- (c) Implementation of the Project Cycle:** Planning and Implementation of the schemes, following a set of defined principles and activities and involving the community.
- (d) Post-Implementation Support:** Support to the GPs post-implementation to undertake operation and maintenance and monitor sustainability

4.1 Process for Each Step

(a) Preparatory Steps

Dissemination of Swajal Pilot Project: The first activity shall focus on the dissemination of the principles and other details of the Swajal Pilot Project at the State, District and Block levels. Workshops will be carried out at each level by the District Implementing Agency to make the PRIs, Government Institutions, and other stakeholders aware of the Swajal Pilot Project, the main principles, and the roles and responsibilities of the program partners. Various IEC tools shall be utilized in this process. Service Agencies will be hired to assist the State and District Governments in carrying out these activities.

Water Resources Database: Using the existing information regarding the water sources, the State/District shall create and compile a database of water resources. The critical areas with

source depletion etc shall be demarcated on district wise basis. Coordination will be ensured between the various implementing agencies in carrying out these activities.

Constitution of district level Technical Review Committee (TRC): A district level TRC shall be constituted comprising engineers of PHED and representatives of PRIs. The roles of TRC are to review the technological options proposed by the various User Groups, analyse the justification of Single Village Schemes (SVS)/Multi Villages Schemes (MVS), and to finalize the Scheme Identification Plan for SVS/MVS.

District Schedule of Rates: The district schedule of rates for various engineering items/works/materials (local and non-local) shall be prepared by the implementing agency based on the existing analysis of rates and shall be approved by the District Water & Sanitation Mission (DWSM). This schedule of rates shall be updated on yearly basis or as and when needed. There shall be a single set of schedule of rates for each district and for all the implementing agencies.

Staff Mobilization: The requisite staff for carrying out the various activities as per the Swajal Pilot Project shall be deployed by the Implementing Agency at State and District levels. The implementing agency would establish its district units with staff strength as required.

Selection of Support Organizations: Support Organizations would help the implementing agencies and Gram Panchayats in planning and implementation of the SVS/MVS. The SO selection process shall be initiated at the DWSM level through advertisement in the newspapers. The district level engineer of implementing agency shall be responsible for this activity. A shortlist of eligible SOs based on desk review and field assessment would be prepared by implementing agency at the district level to finalize the short listed SOs. The DWSM would approve the final list of the SOs.

(b) Scheme/Village Selection

The broad principles for resource allocation are as under. This priority shall be guided by the existing ground realities.

- *Village agrees to the principles of Swajal Project*
- First priority to Not Covered(NC) Habitations
- Second priority to Partially Covered(PC) Habitations in the following order:
 - ✓ Habitations with 0 to 25% population coverage/LPCD availability <10

- ✓ Habitations with 25 to 50% population coverage/ $10 \leq \text{LPCD availability} < 20$
 - ✓ Habitations with 50 to 75% population coverage/ $20 \leq \text{LPCD availability} < 30$
 - ✓ Habitations with 75 to 100% population coverage/ $30 \leq \text{LPCD availability} < 40$
 - ✓ Habitations with 100% population coverage/ $\text{LPCD availability} \geq 40$
- In certain cases it may be possible that as per IMIS data the village/habitation is fully covered, however, the ground reality may show that the village is under NC/PC category. In such case a team comprising members of RD and Panchayat and PHED Engineers shall jointly visit the village and assess the existing water availability. Based on the findings of the committee appropriate decision will be taken at DWSSM level.
 - The detailed format for collection of data for prioritization of village/habitation from the field is as per **Annexure 1**.

5. Delineating Community Contribution Process

(A) Contribution from stakeholders against capital cost of water supply schemes:

The Government of India and the State Government share will be as per the existing NRDWP guidelines applicable to various states.

The contribution from Gram Panchayat and communities against capital cost of water supply scheme will be taken as per following norms:

- ✓ **Gram Panchayat Contribution:** Concerned Gram Panchayat will contribute in cash 5% capital costs of water supply scheme or 25% of funds devolved from Finance Commission whichever is higher during Planning Phase.
- ✓ **Community Contribution:** The general category users will contribute INR 2000 whereas disadvantaged group (SC/ST) will contribute INR 1000 towards partial capital cost sharing. In addition the GP will contribute 15% of Annual devolved fund from Finance Commission towards O&M expenses. The users charges will be fixed on the basis of three criteria: (i) based on State Water Policy; (ii) local conditions/type of technology and (iii) consultation with the concerned Executive Engineers of Implementing Agencies so that 100% operation and maintenance cost may be met.

(B) Contribution from stakeholders against operation and maintenance of schemes:

- ✓ **GP** will contribute 15% of Annual devolved fund from Finance Commission towards O&M expenses.

- ✓ **Community:** The users charges will be fixed on three criteria: (i) based on State Water Policy; (ii) local conditions/type of technology and (iii) consultation with the Engineers of the implementing agency so that 100% operation and maintenance cost may be met.
- ✓ **Insurance during O&M phase:** The scheme will also be covered initially for two years through insurance coverage by partial (50%) cost sharing by the concerned Gram Panchayat and partial (50%) from Project cost.
- ✓ **State Government:** In case of emergencies the State Govt. will restore the defunct schemes and will also take up replacement and expansion of the schemes after expiry of the insurance period.

It is the duty of the state PHED / RWSS department in the state to take up the matter with Panchayati Raj Department and to arrange the issue necessary GO / Advisory to the GPs in the state to dovetail FFC / State funds for the above said works.

6. Institutional arrangement:

State level:

- (a) State Water and Sanitation Mission:** SWSM of the State will be the highest policy-making body for Swajal Pilot Project. The members of the SWSM will be as per earlier guidelines of NRDWP.
- (b) Department of Drinking Water & Sanitation:** DDWS or the department responsible for implementation of rural drinking water supply in the State will be the nodal agency for this Pilot Project and implement the project by coordinating with the sector stakeholders, including other sector ministries and departments such as Health, Education, PRI, Rural Development, Panchayati Raj Institutions and Watershed management.

District Level:

- (a) District Water and Sanitation Mission:** DWSM will be established in the pilot district if already not available, and report to the SWSM. DWSMs will: (i) review the implementation of the Swajal Pilot Project; (ii) guide the District Water and Sanitation Committee (DWSC) in planning, designing, and implementing O&M of water supply scheme; (iii) approve the annual budget related to the scheme; (iv) channel funds to GP and VWSSC; (v) assist GP/VWSSC in procurement and construction of schemes; and (vi) provide dispute resolution mechanism for GPs.
- (b) District Water and Sanitation Committee:** The DWSC will be established in pilot districts, if not already available, for appraising the schemes up to a certain prescribed limit (as per

decisions taken by the state government), being responsible for the selection of GPs, SOs, and carrying out M&E. The committee will be given technical support by the DWSSM.

(c) District Level Implementing Agency: For implementation of works of the Pilot Project, the implementing agencies district-level officers shall provide technical guidance and assistance to the VWSSCs according to the Swajal Pilot principles and will report to the DWSSMs.

Village Level:

(a) Gram Panchayat: The GP will mobilize and support the formation of VWSSC to ensure participatory approach. It will empower and provide capacity support to the VWSSC; ensure O&M and cost recovery of the scheme; and be responsible for fund flows, scheme approval, accounts management, auditing, M&E, and conflict resolution.

(b) Village Water Supply and Sanitation Committee: VWSSC will be formed for each water supply scheme and for each village in the case of multi village scheme, consisting of beneficiaries of the scheme. The VWSSC will be responsible for scheme planning, designing, procurement, construction, O&M, tariff fixation and revision, community contributions (capital and O&M), accounts management, and auditing. The VWSSC will be responsible for procurement and construction of scheme.

Formation of Village Water and Sanitation Sub-Committee (VWSSC)

- i. The User Group, which is beneficiary of any water supply scheme, shall/will elect Chairman, Treasurer and Members of their Village Water and Sanitation Sub-Committee. User means the adult members of the families, which are beneficiaries of the water supply schemes.
- ii. The Village Water and Sanitation Sub-Committee will have minimum seven (7) and maximum twelve (12) members. The elected Ward members to District Panchayat, Block Panchayat and Gram Panchayat member from the concerned Village Water and Sanitation Subcommittee will be ex-officio members of the Sub-Committee. The Gram Pradhan/ Head of Gram Panchayat will be the ex-officio Chairman of all the Village Water and Sanitation Subcommittees. The subcommittee will elect the Treasurer from amongst the members of the subcommittee. The Village Water and Sanitation Sub-Committee will have at least 30% female members and 20% SC/ST representation as per the norms. For decision making by the subcommittee, 50% of the members of the Sub-Committee will constitute the quorum of meetings.

Roles and responsibilities of Village Water and Sanitation Sub-Committee

- i. The Village Water and Sanitation Sub-Committee/Sub-Committees will collect voluntary contribution (cash or labour) from the village community for capital cost of construction works of the schemes and also for operation and maintenance of the schemes. The Sub-Committees will make efforts for spreading awareness regarding sanitation and hygiene among the villagers. This Sub-Committee shall deliberate on technical alternatives of construction works and adopt the same so that the schemes being constructed are according to the expectations of the villagers.
- ii. To plan, design, implement, operate and maintain water supply and sanitation schemes.
- iii. To collect user charges from the users of the drinking water schemes for maintenance of the schemes and to take appropriate action in case of non-payment of charges.
- iv. To procure construction material as per rules and to ensure quality of the material procured.
- v. To receive capital investment amount from Gram Panchayat and to deposit the same in the capital cost account of the Village Water and Sanitation Sub-Committee and to incur expenditure as per planning of the scheme.
- vi. To maintain details of capital cost investment
- vii. To fix user charges for operation and maintenance of water supply and sanitation schemes.
- viii. To furnish monthly financial progress report to Implementing Agency.

Operation and maintenance of accounts of VWSSC

- i. Village Water and Sanitation Sub-Committees shall open two separate accounts. The Sub-Committee will maintain separate accounts for “Capital Cost” and “Operation and Maintenance”. The audit of these accounts will be carried out by the Village Water and Sanitation Sub-Committee/ Gram Panchayat.
- ii. These accounts of Village Water and Sanitation Sub-Committee will be operated and maintained by the Chairman and Treasurer of the said Sub-Committee. The Community Accountant at Gram Panchayat level provided by the implementing agency shall also assist the VWSSC in the maintenance of the accounts and auditing.
- iii. The planning, implementation, operation and maintenance of drinking water and sanitation schemes will be done by Village Water and Sanitation Sub-Committee and the same will be got approved by Gram Panchayat in its open meeting.

Roles & Responsibilities of Gram Panchayats

- i. To approve the schemes prepared by Village Water and Sanitation Sub-Committees and submitted through Jal Prabandhan Committee.
- ii. The Gram Panchayat will receive the funds from the Implementing Agency and manage the funds received for drinking water schemes and will transfer the amount received in Gram

Nidhi by cheque to the Village Water and Sanitation Sub-Committees within 15 days. Separate ledgers will be maintained for different projects.

- iii. The maintenance of accounts of the funds received for drinking water scheme will be done at the level of Gram Panchayat according to the proforma/formats prescribed by the Accountant General.
- iv. The Gram Panchayat will ensure auditing of Gram Nidhi account and the Village Water and Sanitation Sub-Committees will ensure auditing of the account of the Sub-committee.
- v. An account for drinking water works will be opened at Gram Panchayat level and will be operated by Gram Pradhan and Secretary of Gram Panchayat. However, if Gram Panchayat Secretary is not available, in that situation, the Project may nominate a worker as Co-Secretary. A Community Accountant shall be made available for maintenance of such accounts by the project.
- vi. Gram Panchayat will make efforts for resolving disputes relating to drinking water at Gram Panchayat level.

Post Implementation Support: As per 73rd constitutional amendment the PRIs have to manage, operate and maintain the rural water supply services in villages. Therefore, a ‘**District Level Federation**’ headed by the District Magistrate will be established to provide necessary support to GPs. The federation will comprise representatives of all project villages. A corpus fund of about INR 25 -50 Lakh will be maintained at the federation level. Each project Gram Panchayat will contribute annually 15% of funds realized from user charges to district federation account.

Project Scheme Cycle for implementation of Swajal Pilot:

The project cycle for water supply schemes that are technically and institutionally feasible to be carried out by DWSM shall comprise the following phases:-

1. Pre Planning Phase	-	2 months
2. Planning Phase	-	6 months
3. Implementation Phase	-	6 to 18 months depending on the type of chosen technology
4. Operation and Maintenance Phase	-	4 months
Total	-	14 to 30 months

For schemes needing reorganization (which may be the case for partially functioning scheme), lesser implementation time would be needed. For schemes like Tube Well and Overhead Tank technology chosen by the communities and for scattered, higher population villages where the source entails a longer gravity or supply main, the implementation period will be more and may exceed 12 months.

Pre Planning Phase (2 months)

The major out puts of the Pre Planning Phase shall be the following: -

- Initial extensive IEC in the Program villages.
- Selection of the Support Organizations (at DWSSM level).
- Prioritization/Selection of the GPs (at DWSSM/SWSSM level)
- Preparation of “Identification Plan”.

After the selection of the GPs , the implementing agency/SO shall immediately conduct initial IEC campaign and awareness creation amongst communities regarding the project – its principles and implementation approach, objectives, scope, roles and responsibilities of various project partners and mobilization, wall writings, slogans etc.

Planning Phase: (3 months)

The major activities and outcomes of the Planning Phase shall be as follows.

- Mobilization of communities for participatory planning through use of Participatory Rural Appraisal (PRA)/ Self Esteem, Associative Strength, Resourcefulness, Action Planning, Responsibility (SARAR) Tools, Problem investigation and analysis.
- Hygiene and Environmental Sanitation Awareness (HESA) -
- Identification of User Groups depending on the number of the water supply schemes to be implemented in the GP and formation of the Village Water and Sanitation Sub Committees (VWSSCs).
- Trainings on community development, feasibility and design of Water Supply Schemes, catchment area protection, accounting etc. for SO/GP/VWSSCs members-
- Identifying technology options, conducting feasibility analysis and Agree-To-Do meeting for separate User Groups.
- Preparation of Detailed Project Reports (DPR) and Community Action Plans (CAP) for each of the VWSSCs.
- ✓ Collection of contribution by Gram Panchayat: Concerned Gram Panchayat will contribute 5% capital costs of water supply scheme or 25% of funds devolved from Finance Commission whichever is higher.
- **Community Contribution:** The general category users will contribute INR 2000 whereas disadvantaged group (SC/ST) will contribute INR 1000 towards partial capital cost sharing. In addition the GP will contribute 15% of Annual devolved fund from Finance Commission towards O&M expenses.

- Collecting 100% upfront cash and 50% cash O&M community contribution for water supply, sanitation and catchment area protection works by the end of the planning phase
- Preparation of implementation phase proposals and Implementation Phase Quadruple Agreement (IPQA).

Outputs of Planning Phase:

- Approved Feasibility Report and DPR
- Implementation Phase proposals
- Implementation Phase (6- 18 months)

The SO engaged in the planning phase will continue in the implementation phase, subject to its satisfactory performance in the planning phase. The SO shall be engaged for trainings and software activities.

Implementation Phase:

The major activities and outcomes of the Implementation Phase shall be as follows

- Construction of water supply schemes, hygiene promotion and catchment area protection works by GP/VWSSC through Community Engineer procured by DWSM.
- Independent third party construction supervision by Service Agency (SA) and facilitation & monitoring by SWSM/DWSM.
- Collecting any balance cash contribution, besides the contribution towards capital cost sharing and 50% cash O&M community contribution for water supply, sanitation and catchment area protection works by the end of the implementation phase
- Trainings on community development, women's development initiatives, book keeping, operation and maintenance (technical, institutional, financial) etc. for GP/VWSSCs members. These activities shall be carried out by the Support Organization of the planning phase.
- Preparation of the Implementation Phase Completion Reports (IPCRs). The IPCR format is provided in the Technical Manual

⇒ Outputs of Implementation Phase: IPCR

Operation and Maintenance phase (4 months)

As per 73rd constitutional amendment the PRIs have to manage, operate and maintain the rural water supply services in villages. Therefore, a '**District Level Federation**' headed by the District Magistrate will be established to provide necessary support to GPs. The federation will

comprise representatives of all project villages. A corpus fund of about INR 25 -50 Lakh will be maintained at the federation level. Each project Gram Panchayat will contribute annually 15% of funds realized from user charges to district federation account. Local experienced and skilled man power i.e. Community Engineer and Community Accountant shall be engaged by cluster of GPs (4 to 5 GPs) and their remuneration will be met from the corpus fund/contribution of participating GPs.

Implementing Agency shall provide technical assistance during the 3 months period to the VWSSCs after commissioning of the water supply schemes to place the O&M system in order. Trainings at the GP/VWSSC level will be conducted by Implementing Agency. The O&M system shall comprise the technical, financial and the institutional systems. After establishing O&M system in place and completing all the activities stipulated in the agreement, the implementing agency shall formally exit from the GP.

Annexure 1

Prioritization criteria for GPs for Swajal Pilot Project

(A)	Pre Qualification Criteria		
(i)	GP resolves to have Swajal Pilot Project through a majority resolution passed in a community wide meeting.	Yes	No
(ii)	GP is willing to share upfront 5% of the capital cost for proposed water supply scheme and catchment area protection works	Yes	No
(iii)	Community is willing to share 5% of the capital cost for proposed water supply scheme and catchment area protection works (1 % cash ; and 4 % labour or cash or composite)*	Yes	No
(iv)	GP is willing to expend 15% Per Annum Grant of Finance Commission towards Operation and Maintenance of Scheme	Yes	No
(v)	Community is willing to pay user charges as per the State Govt. policy towards Operation and Maintenance of Scheme	Yes	No
(vi)	GP is willing to pay 50% annual insurance premium charges for insurance of water supply schemes for initially two years	Yes	No
(vii)	GPs willing to renovate/repair the existing water supply schemes and willing to take over existing water supply schemes for their operation & maintenance	Yes	No
(viii)	Proposed feasible source/s are undisputed, perennial, potable and adequate (having sufficient discharge for the design population)	Yes	No
	(Proposal from GP/s regarding above is to be enclosed)		

* to be decided by State Govt.

B)	Prioritization/Selection of GPs would be based on the following points:	Max. Marks	Marks Awarded	Remarks
(i)	Coverage of habitations in GP ¹	25		

¹ Calculate the marks awarded using the formula
$$\frac{NCH \times 0.75 + PCH \times 0.25}{NCH + PCH} \times 25$$
 where

NCH: No. of Not Covered Habitations; **PCH:** No. of Partially Covered Habitations; as per RGNDWM Survey 2003 of Habitations

	(ii)	Availability of drinking water source ² (for central representative household covered by the scheme)	30		
	(a)	Beyond 100 m elevation and/or beyond 1.6 km. Horizontal distance	30		
	(b)	Between 51 to 100 m elevation and/or between 1 to 1.6 km. Horizontal distance	20		
	(c)	Between 15 to between 50 meter elevation and/or between 500m to 1 km. Horizontal distance	10		
	(d)	Less than 15 meter elevation and/or less than 500 m	5		
	(iii)	GPs having defunct Schemes due to Natural Calamities (but having sustainable source)	15		
	(iv)	GPs having water supply schemes well maintained by them and demand new water supply schemes for other habitations	10		
	(v)	GP is ODF	10		
	(vi)	GPs having SC/ST population >50%	10		
		Total	100		

² For more than one existing scheme in the GP, take the average value for either elevation or horizontal distance.

Development of Community Action Plan (CAP)

The community action plans, conceived and prepared by the community on the prescribed format by District Water & Sanitation Mission (DWSM), will result from detailed discussions both at user Group, GP and entire community level. All the plans described below, which constitute the Technical Plan & Community Empowerment Plan, are discussed in detail with the community and recommended for implementation. The CAP shall be an integrated plan of the following sub-plans.

Plan I: Technical Plan (in form of DPR)

The technical design undertaken by the SO staff for (I) the chosen option of water supply, (ii) the construction works proposed under SBM-G and (iii) the Village Environment Action Plan (VEAP) will be prepared. Once the designs are prepared, the SO engineers must discuss these with the community. If the community suggests any changes, these should be considered and design should be modified accordingly. This will be part of the DPR. The form of the DPR shall be prescribed by the Implementing Agency.

Sub-Plan 1: Water Scheme Layout Plan:

The communities will prepare a Scheme Layout Plan with the help of the SO. The SO will ensure possible technology options are presented to the community explaining the capital cost implications as well as the O&M costs. The SO shall ensure that the reorganization (augmentation) of existing scheme shall be one of the options. The community will select one technology and prepare the layout plan. For piped water supply this layout will include selection of tap stand options and their sites, location of household connections, identification of sources, and approximate sites of tanks and other scheme structures in the case of gravity schemes. Similarly, sources, pumps and/or structures will be illustrated for other technology options where selected by the Community.

Each cluster of the community should be involved in discussion of the layout plan. The layout plan will be finalized in a discussion meeting with the engineering staff recruited by the SO at an “agree-to-do” meeting for which the minutes will be documented and provided. Changes will be made and agreed and this will be finalized in a community-wide meeting. As in the case of the layout, these changes and agreements will be documented in the minutes of the meeting with the SO. To arrive at the cost of the scheme, the representative of SO along with the representative of each VWSSC, shall collect the market rates of non-local material (specially pipes) at the time of preparation of DPR.

This will be the feasible plan on which further design work will continue. If the proposed source is located in the forest area or/ and forestland is proposed to be used for the scheme, than the SO has to submit a proposal to the nodal officer of the forest department to obtain their approval for the use of forestland or

land source. If the proposed water source is in possession of some other community or individual, the SO shall obtain a no objection certificate from the same.

Sub-Plan 2: Catchment Area Conservation & Management Plan

The community and the SO should discuss the source, the catchment area, and the potential sources of pollution of the source, and what would be done to ensure that the catchment area and the source are protected. The community should recognize the dangers of deforestation and soil erosion of the catchment and spell out in the plan actions to be taken to ensure the protection of the overall environment.

Wherever the community finds that the water source in question is susceptible to pollution and depletion, remedial measures are required the community may propose the plan of the activities and the finance will be available under the project. The plan in form of DPR shall be submitted on the format prescribed by the Implementing Agency.

Plan II: Community Empowerment Plan

The Community empowerment plan includes Hygiene and Environmental Sanitation Awareness (HESA) and Women Empowerment. Proposed future plans for these should clearly spell out the activities to be undertaken, together with the expected time and other inputs to be supplied by the SO in terms of support being given to this plan. This plan should be drawn by the community as per its demand and need and will be village specific.

The Information Education Communication (IEC) material, Participatory Rural Appraisal (PRA) and Self Esteem, Associative Strength, Resource Fullness, Action Planning, Responsibility (SARAR) tools are to be maximally utilized for conveying the project message effectively to the community and facilitating the plan of action.

Sub-Plan 3: Hygiene and Environmental Sanitation Awareness (HESA)

To maximize the benefits of water supply and sanitation aspects of the project the technical and behavioural measures must go hand in hand. HESA is meant to establish link between improved facilities and user practices. The purpose of HESA in the project is to reduce the morbidity by generating a demand for safe drinking water and sanitation. Keeping the cultural differences in view the action plan will be village specific. The plan should include the following: -

- a. The information obtained from base line survey to be discussed at cluster level. This will facilitate in formulation of action plan and setting goals to improve health and hygiene in the village.
- b. Promote the concept of Healthy Home Survey and encourage them to conduct it quarterly. Community mapping depicting the environmental sanitation (along with the date) to be done along with the Healthy Home Survey exercise. Through it the need for HESA sessions, Hygiene education and other related trainings (like mother & child health, first aid training, TBA training) would come forth. Through Healthy Home Survey interventions can be monitored in the implementation phase.

- c. Support organization to organize experimental sessions on environmental hygiene. Monthly clean up campaign, quizzes, competitions, health camps, eye camps, LPG camps etc. may also be organized to disseminate the message.
- d. Contact to be established with children either through their schools or directly.
- e. Youth groups to be initiated to spread the message of health and hygiene and to encourage behavioural change.

Sub-Plan 5: Women's Empowerment Plan

The Women's Development Initiative Plan in the project is to link the women to the main stream, to develop their skills, to encourage them towards income generation and establishing market linkages. The WDI plan must be designed according to the need and demand identified after thorough discussions with the women's group. The SO is to act as a facilitator for the women and provide all information to the women.

Plan III: Contribution and Community Management Plan

Sub Plan 6: Cash and Labour Contribution Plan:

The SO is required to prepare detailed cash & labour plan. This plan will include upfront cash collected during planning phase, the month-wise plan of labour to be contributed by various households and the mode of recovery of cash to be done during Implementation Phase.

Sub-Plan 7: Community Monitoring and Evaluation Plan

The community in consultation with the SO should prepare M&E plan. A series of tools to help villagers monitor their own progress has been developed. This includes:

- a) Healthy Homes Survey;
- b) Community Resource Mapping;
- c) Time Use Analysis;

The community should develop a plan for their own M&E using these and other resources. As part of this plan it should know what are the staff inputs that the GP is expected to receive from the SO, what type of staff and for what duration they can be expected to be present in the GP. The community also should know the role of the staff provided by the SO.

Sub-Plan 8: Plan for Operation and Maintenance

The SO will help the community to prepare guidelines of O&M by the community through the each VWSSCs. This plan for Operation and Maintenance includes the statement of approximate estimate of investments required for the Operation & Maintenance.

The issues to be included in the sub-plan are fixation of tariff, amount to be collected from each household; its frequency; the name of nominated Village Maintenance Worker (VMW)/Fitter/Operator; his/her monthly salary/honorarium; responsibility for collection of O&M funds; electricity bills; least rent of forest land, if any; and, training arrangement for VMW/Fitter/Operator.