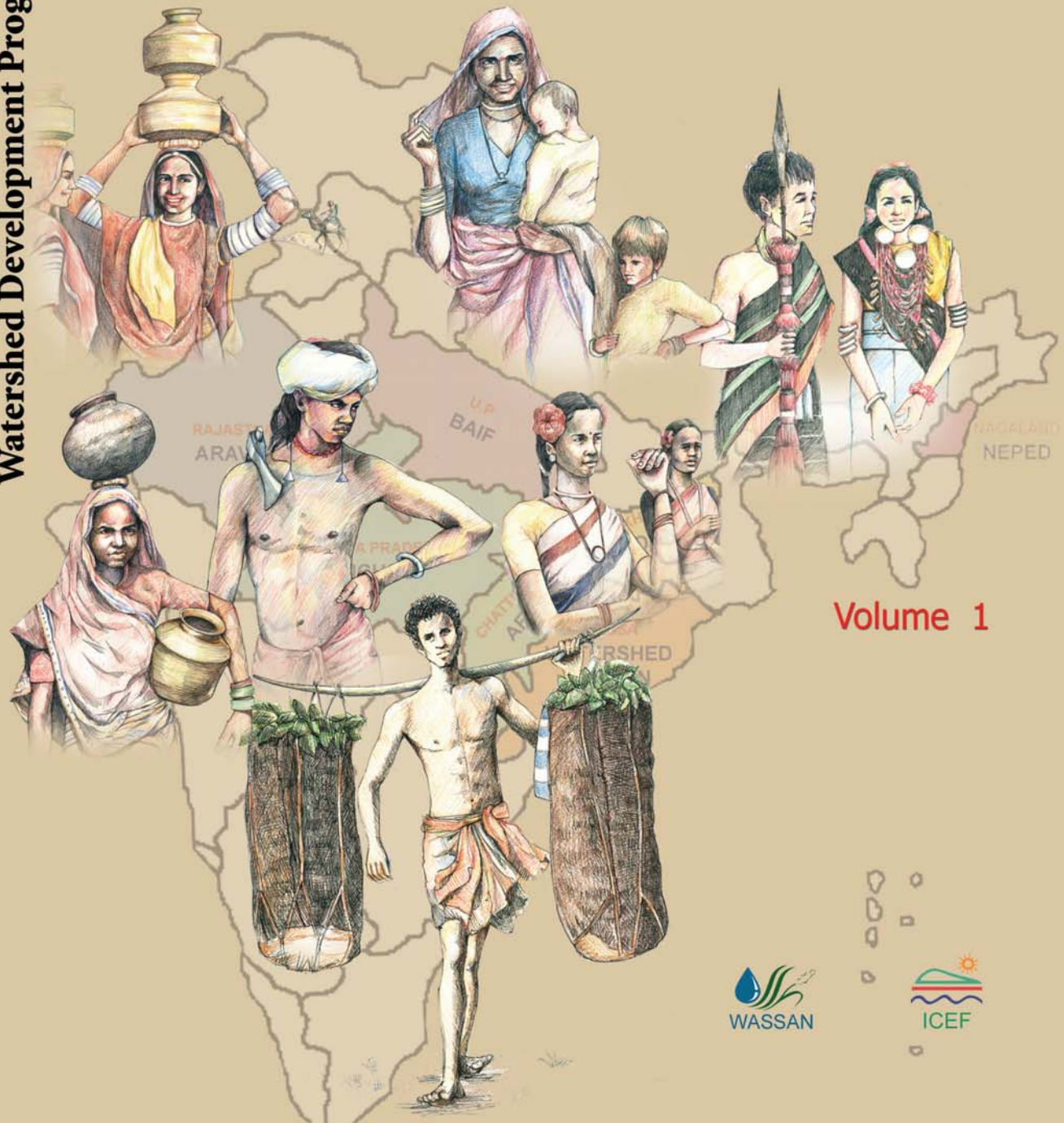
Watershed Development Program in India

Birds Eye View of Processes

Status across States, Facilitators and Donors



Volume 1

WASSAN

ICEF

Report of the Study anchored by WASSAN and Facilitated by ICEF

Understanding Processes of Watershed Development Program in India

Report of the Study anchored by WASSAN and Facilitated by ICEF

Volume 1	:	**Birds Eye View of Processes: Status across States, Facilitators and Donors**
Volume 2	:	Process Index
Volume 3	:	Indepth View of Critical Themes: Institutions, Finances and Equity
Volume 4	:	Policies and Possibilities: Compilation of Good Practices
Volume 5	:	Making them Better: Gap Analysis, Enabling &Disabling Factors And Recommendations
Volume 6	:	Recommendations at a Glance

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Understanding Processes in Watershed Development Projects in India is an interesting experience for me. It gave an opportunity to visit and see different villages in different parts of the country; interact with the villagers and understand their life; develop friendship with facilitating agencies (government and non government) and understand their efforts and finally to put them together in the form a report….

I do not claim to have made a perfect job this gigantic task. "Understanding" of processes means developing clear insights into the culture, history of voluntary action, roles of state, civil society organizations, communities in development processes and making sense of watershed projects in the local context. Study teams made their best efforts to grapple with the above issues and captured the processes at the field level in different states.

The study is largely conceived as a local initiative, to set an agenda for action at the field level in each state. Thus the role of study partners in the study is very important not only in conducting the field study but also in taking the agenda forward. I sincerely thank all of the study partners for their active engagement, support and interest in the agenda of strengthening processes in watershed development projects. I particularly thank the coordinators of the study teams Yogesh Agarwal, Abhishek, Sanjoli (ARAVALI, Rajasthan); Rashmi, Hargovind Singh (AAK, Utter Pradesh); S Srivastava, Devangan, Ravi Kumar (AFPRO, Chattisghad); Yoganand, Alak (PRADAN, Jharkhand); K G Vyas (NCHSE, Madhya Pradesh) Bhasker Reddy, LN Padhi, Ravnder Guada, Prabhaker Nanda, Mr Das, Kalpana, Bijoy, Prabhakaer Nanda (Orissa Watersehd Development Team, Orissa); Dr Supong, Lotha (Directorate of Agriculture, Government of Nagaland). Without their support, the study could not have taken place.

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Several members of WASSAN team took responsibilities for conducting and completing the study - conceptualization, field work, comprehending field data for analysis, preparing reports and giving feed back and project management. I thank the entire team of WASSAN. Among the team, I particularly thank Neelesh K Singh, N K Sanghi, Ravindra, K Suresh, Ramesh, Sirkanth, B Rama Chander, Surendrantah, Pavan, Bakka Reddy, Sridevi, Srinivas, Narasimha, S Raju, Malati, T Ravi, for their support and cooperation in different stages of the study. I specially thank N Chandra Sekhar and Radha Shree for providing necessary support in data compilation, which was the toughest part of the report preparation.

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The study teams would have spent time with about 2500 persons in all the selected watersheds to understand the watershed related processes. These are members from watershed committees, user groups, SHGs, facilitating teams, government staff, donors and several others. I thank all of them for their support and interest in sharing their experience with our study teams.

The study and the report are the outputs of the motivation and support that we received from India Canada Environment Facility, New Delhi. I sincerely thank M Satyanarayana, Dr Mihir Maitra and Dr Jaya Chanterjee of ICEF team. Their contribution is invaluable in setting the agenda for policy advocacy in watershed development context.

During the field work and report preparation, I was away from home for long periods of time and busy with myself, even when I was at home. They missed me so much, while I was engaged with this study and its report, but also supported me in the entire process. I thank them for all their support.

I hope this report would contribute to the ever growing literature on watershed projects in India. I also hope this report would make the policy makers, academicians, donors and field level facilitators to little more sensitive to the importance of processes in watershed development projects. Ultimately, I thank the readers and users of the reports.

Thanks...

M V Rama Chandrudu
WASSAN

FOREWORD

India – Canada Environment Facility (ICEF) was established in 1992 consequent to the signing of a Memorandum of Understanding between the Governments of India and Canada. ICEF was set up with the mandate of enhancing the capacity of Indian organizations to undertake environmentally sustainable development and management of land, water and energy resources, providing support for programs that specifically address the inter – relationships between poverty and environmental degradation, community participation and for public awareness of environmental issues.

In keeping with the importance of watershed management as an integrated approach for arresting environmental degradation, improving livelihoods and sustaining ecological balance, and its potential for boosting the national economy, ICEF has supported several watershed development projects all over the country, from Nagaland in the east to Gujarat in the west, and from Uttaranchal in the north to Kerala in the South. These projects provided replicable models for sites with vastly diverse topography environmental challenges and cultural regimes. In several cases follow up initiatives were funded by ICEF to strengthen community processes in the post watershed development phase of projects completed earlier. The projects were implemented in partnerships with government departments, institutions and NGOs.

ICEF projects gained considerable success in transforming their areas and influencing similar practices in the region and elsewhere, largely due to the participatory processes followed, which bonded all the key stakeholders and elicited from them self motivated participation. The project for Strengthening Participatory Processes in Watershed Development Program in India, supported by ICEF and implemented by Watershed Support Services and Activities Network, (WASSAN), Hyderabad seeks to synthesize processes followed across projects and create synergies and best practice guidelines to help policy makes and practitioners alike. It focused on the way watershed projects are planned, implemented and managed by communities, and captured the roles of the various actors. The study also provides an opportunity for several key players in the sector to conduct a "reality check" to constantly update themselves with the field level realities.

The process study conducted with the support of ICEF is an innovative study in several ways – the focus of the study is on "processes" of the watershed projects, unlike many studies which focus on "impacts"; it is also conducted by a variety of actors – NGOs, government officials, academicians, resource organizations and others; it covered several states and involved several organizations; the observations were shared and analyzed collectively by the study teams.

The study also captured the roles performed by several actors in this process. Comparisons were made possible with the help of "Process Index" which is an interesting and useful contribution of the study. The concept of "Process Index" has high potential and wider applications. Policy makers can take a serious note of such instrument which can establish the health of processes of any large scale development project.

I commend the efforts of WASSAN and its partners in documenting and disseminating the wealth of experience and lessons the project has garnered. I am sure that it will lead to better practices and enhanced results for the benefit of the millions who depend on effective watershed management for improving their quality of life. These reports call for urgent action to improve policy support for helping communities to manage their own resources.

M. Satyanarayana, IFS

Director
ICEF

About the Study and Reports

*"U*nderstanding Processes in Watershed Development Projects in India" is an attempt to bring focus on the processes of the watershed development projects. It is an attempt to provide feed back to the policy makers, donors and field level facilitators on the processes at the field level. It is an attempt to assess, diagnose and compare process at field level in different projects. The main purpose of the study is to strengthen the participatory processes in watershed development projects and its policies.

The study was conducted in seven states of India – Rajasthan, Uttar Pradesh, Jharkhand, Chattisghad, Orissa, Madhya Pradesh and Nagaland. In each state, a local nodal agency anchored the study. A detailed methodology consisting of several tools was designed together by WASSAN and its partners. Through these methodologies and tools, experiences and responses of several actors in the field were gathered and carefully documented. A total of 55 watersheds were profiled in the seven states. 30 projects were from Government of India supported and Line Department facilitated projects; 15 projects were from Government of India supported and NGO facilitated projects; 3 projects were funded by bilateral projects; 7 projects were funded by International NGO Donors and facilitated by local NGOs.

Each state team prepared a report profiling the watershed processes of the state. Processes from all watersheds from all states were consolidated by all nodal agencies together. Based on this process data, the process analysis of the watershed development projects was conducted. The process data generated from the field work has rich contents, depth and numerous dimensions. To justify the objectives of the study and present various dimensions of watershed processes, the report is presented in six volumes. This note gives a brief profile of each of these volumes.

Volume 1 : **Birds Eye View of Processes: Status across States, Facilitators and Donors:** This volume presents the basic features of the process study – objectives,methodology, sample, conceptual framework and basic analysis of the processes. The project management cycle of the watershed projects was taken as the basis for conducting the process analysis (Phases, Key Events and Clusters of Key Events). The "process data" is presented for every key event, as per the project management cycle. A "Two-Dimensional" analysis was conducted to reflect the variations of processes in various states (Dimension 1- Regional influences) and various projects (Dimension 2 - Donor and Facilitator combinations). At the end of process data analysis, processes are classified into "most common processes" and "rare processes". Specific conclusions and further analysis of process is not done in this volume.

Volume 2 : **Process Index:** In this volume, the process data is further analyzed to make it "comparable". An attempt was made to "quantify" processes of each key event, based on the nature of process practiced in that watershed. The "non-participatory" processes get low scores, while "participatory" process get high scores. Based on this scoring, "Process Index" was developed for every key event of the watershed project. This "Process Index" was used to assess the health of processes at each cluster of key events, compare one type of project with another (a project in UP funded by Government of India and facilitated by line department could be compared with another project in Rajasthan, funded by International NGO and facilitated by local NGO). The application of Process Index is discussed in this volume in terms of diagnosing, measuring, monitoring and identifying the solutions to the weak processes. This analysis combines three dimensions of the process data – Process followed in a Key Event; Region in which the project is located and Facilitating Agency (Donor and Facilitator combination). So this analysis is called "Three Dimensional" analysis of watershed processes.

Volume 3 **: Indepth View of Critical Themes: Institutions, Finances and Equity:** There are several themes of special interest in watershed projects. Of these important and interesting themes were analyzed in this volume: Institutions, Financial Aspects and Equity Issues. Process dimensions of the above three themes and other related data was systematically analyzed from the sample watersheds. Several tools were used to analyze the data on the above issues and draw lessons (Adequacy analysis, frequency distribution, Analysis of PRA data, etc). The main conclusions of the analysis are presented at the end of each section. Limited experiences indicate the feasibility of integrating strong institutional processes; equity based approaches and financial prudence in watershed development projects. However, they could only establish the possibilities. It is important to develop such enabling conditions when the project is implemented on a large scale. The integration of above concerns in watershed projects is also largely a result of concern, commitment and orientation of the project facilitating agencies. Without this basic ingredient, it is difficult to expect watershed development projects to be sensitive to concerns like participation, equity, gender and transparency. The choice of sensitive and capable facilitating agencies and policy framework of watershed projects are equally important in ensuring the integration of important concerns in the watershed projects.

Volume 4 : **Policies and Possibilities: Compilation of Good Practices:** Each village is a bundle of stories. Each person could add a new dimension to the watershed experiences. While conducting the field work, study teams gathered some interesting stories, anecdotes and experiences. They establish the possibility of an idea, an approach, and a new way of looking at the same old project. This volume consists of all such interesting experiences from several watersheds. These stories try to fill the gaps in the process analysis of previous chapters. This volume adds life to the entire set by bringing human dimension to the watershed projects and its processes. Initial idea was to integrate these experiences in to the previous volumes itself.

But this gives very little space for narrating the basic idea and does not justify the inclusion in other volumes. This volume is a bunch of flowers, exhibiting the color of watershed processes and their successes. There are also few thorns, which indicate the future challenges. Each story is an independent experience and allows the reader to start anywhere. However, it is important to note that the main purpose of these stories is to briefly narrate the possibility and establish the evidence of the experience. The stories do not give an exhaustive picture or a "complete" picture of the experience. This feature of this volume could be interpreted as both strength as well as weakness of the volume.

Volume 5 : **Making them Better: Gap Analysis, Enabling &Disabling Factors And Recommendations:** This volume conducts a detailed and systematic analysis of processes. Gap analysis is conducted for each key event of the project management cycle. The designed and desirable processes are narrated followed by processes followed on the ground (most common and rare). These are analyzed to give a picture of critical concerns and implications. The enabling and disabling factors behind the processes were also mentioned. These insights are drawn from several sources – process (soft) data, hard data, discussions with the facilitators on the selected themes, case studies, policy changes in the state/ districts, etc. Based on such a thorough analysis of processes, recommendations are proposed for making the watershed process better. As a principle, all recommendations were proposed based on "evidence" on the ground. The evidence could be from a small number of watersheds or even a single watershed. The main idea was to pick up the "real experience" and "up scale" the lessons and principles through policy reform. While making the process improvements, the need for revisiting the watershed approach itself was recognized. An attempt is made to make a distinction between "watershed project" and "watershed approach". An indicative list of complementary project is mentioned, as part of recommendations. A set of necessary instruments is proposed to ensure that processes get adequate support in the watershed projects and approach. These instruments are – project management tools, plurality of institutions and critical support systems.

For easy reference and are classified into different categories to indicate the nature of action required and given in ***Volume 6 :*** **Recommendations at a Glance**

CHAPTER - 1

ORIGIN, RATIONALE AND PARTNERS OF PROCESS STUDY

ORIGIN

From arresting siltation in the major reservoirs to improving the livelihoods of rural poor, the expectations from watershed development projects have travelled a long distance, over a period of time. While these expectations are refined and re-defined, the common understanding is that these projects offer most critical solutions for restoring ecological balance and controlling environment degradation in drought prone and poverty stricken areas of India. Supporting rain-fed farming systems is an important function of watershed approach. Government of India (GoI) has been supporting watershed development programmes for long. Drought Prone Areas Program, Desert Development Program, Integrated Wastelands Development Programmes are some such programmes supported by GoI.

Over the last two and half decades, the Government of India has allocated substantial budgetary provisions for micro-watershed development. This acknowledges the neglect of rain-fed areas during the period of the 'green revolution', and accepts a link between the degradation of rain-fed areas and the poverty of large number of people. The current strategy of various ongoing national, bilateral and internationally aided projects for development of rain-fed areas is based on the concept of integrated development of watersheds. Even the National Rural Employment Guarantee Act has a clear reference to the watershed based developmental activities.

The shift from "soil conservation focused" approaches to "participatory community based" approach is a result of the recommendations of Technical Committee, Chaired by Dr Ch Hanumantha Rao, and subsequent Guidelines of Watershed Development Programs, Ministry of Rural Development, GoI (1994). These guidelines set a new paradigm and changed the way watershed projects are perceived and implemented. The main shift was in the philosophy and approach of the watershed projects. The new guidelines (1994) created opportunities for participatory institutional arrangements and made the natural resource management processes "Community-managed" and "Community-driven". The projects funds were directly released to the institutions of watershed communities. The responsibility of planning and executing watershed projects and maintenance of assets

were in the hands of the communities. Support of facilitating agencies was provided to these rural institutions. Later on Ministry of Agriculture and CAPART also issued similar guidelines with a clear emphasis on participatory approaches.

Rationale

This shift in the policy and program approach triggered a new process of development in the country. Management of large funds by the communities is a new experience in the country. This attracted considerable attention. Though huge amounts of untargeted funds are spent in the name of subsidies (fertilizers, electricity, public distribution systems, etc), the direct funding of watershed institutions in drought prone areas was questioned and critiqued. Questions were raised on the efficacy of funding for watershed development projects. The focus of the debate remained mainly on "impacts" and "benefits" of the project. The research on watershed issues also gave higher priority to these themes. The advantages, achievements or failures of watershed development projects were seen in isolation of the context. The discussion on new approaches, enhanced role of communities in resource management, constraints and good practices, role of project authorities/ facilitating agencies in this new paradigm received less attention. The experiences of implementing watershed development projects were not captured from community's point of view. The understanding on the "process" of executing watershed development projects at community level is limited to few successful case studies/ anecdotes or a set of gross generalizations.

It is important to understand that the participatory process based projects need a particular set of enabling conditions. The project authorities/ managers need to establish these necessary and sufficient enabling conditions to ensure that participatory principles are transformed into reality. The nature of processes (participatory or non-participatory) is a result or manifestation of such enabling/disabling conditions. Success criteria of the projects should go beyond "improved yields, areas under irrigation, increased incomes/ water tables". The success of projects needs to be redefined to reflect the community's involvement in the project management and the capacities of the institutions at community level. For enabling this, it is important to understand the nature of on going processes at the watershed level in a systematic manner. Based on such deep and thorough understanding of the projects processes, the critical bottlenecks of the project could be addressed. This process helps to strengthen the watershed development projects and create an enabling policy environment.

Watershed Support Services and Activities Network (WASSAN), Hyderabad an autonomous support organization conducted process studies on watershed development projects in Andhra Pradesh with the support of Government of Andhra Pradesh (2000 to 2003). These studies made a significant contribution to the formulation of "Process Guidelines of Watershed Development Projects in Andhra Pradesh" (2002 and 2004). With this

background, WASSAN recognised the need for taking up similar initiative at the national level and contribute to the formulation of new generation watershed development policies in the country. "Understanding Processes in Watershed Development Projects in India" is an outcome of this initiative and thinking.

India Canada Environment Facility (ICEF), New Delhi provided funding support to this study. ICEF, New Delhi supported several innovative projects that demonstrated new ways of managing environmental resources by communities, in different parts of the country. Several of these projects provided important leads for new policies and programs related to conservation and management of environmental resources. This study was initiated in Feb 2004 and completed in Feb 2006.

Partners in the Study :

This study was conducted in seven states of India, namely Madhya Pradesh (M), Chattisghad (C), Jharkhand (J), Rajasthan (R), Utter Pradesh (U), Orissa (O) and Nagaland (N). As a network based organization, WASSAN collaborated with state based resource organizations/ Nodal Agencies for conducting the process study in their respective state. A brief profile of partners of the study is presented here.

ARAVALI, Rajasthan: ARAVALI is a resource organization working for creating better policy framework for development and enhancing the role of voluntary sector in this process. ARAVALI has strong partnerships with several NGOs and Government of Rajasthan.

Arthik Anusanthan Kendra, UP: AAK is a grass root level voluntary organization engaged in community managed developmental processes in natural resources management, education, entitlements, and sustainable agriculture. AAK also implemented watershed development projects and combined land rights related issues within watershed projects.

AFPRO, Chattisghad: Action for Food Production (AFPRO) is a national level technical support organization involved with several natural resource management projects across the country. They pioneered watershed development projects on technical aspects in different parts of the country.

NCHSE, Madhya Pradesh: National Center for Human Settlements and Environment, Bhopal is a state level voluntary organization engaged in several developmental initiatives at the state level. They have executed large number of watershed development projects in the state. They are also engaged in action research projects in the state.

PRADAN, Jharkhand: Professional Assistance for Development Action (PRADAN), Jharkhand is a national level professional organization that has expertise in several rural development themes including natural resource management. They have innovated and established several models and approaches of community based development. They work in several parts of the country and have strong collaborative partnerships with state governments and local NGOs.

OWDM, Orissa: Orissa Watershed Development Mission, Orissa is a specially constituted mission by Government of Orissa, for managing watershed development projects in the state. OWDM manages several types of watershed projects in the state including DFID I supported Western Orissa Rural Livelihoods Project (WORLP) in selected district of the state.

Directorate of Agriculture, Government of Nagaland: Directorate of Agriculture is responsible for implementing several agriculture and allied development projects in the state of Nagaland. They are also responsible for implementing the watershed development projects under Ministry of Agriculture.

Institutional Arrangements for Conducting the Process Study :

WASSAN developed partnerships with each of the above nodal agency from each state. These nodal agencies anchored the process study in the respective state. WASSAN provided necessary support and guidance to the members of the nodal agencies and study teams in the form of orientation programs, inception and methodology workshops, professional support during the field work and documentation of the report. A steering committee was constituted in each state consisting of representatives from concerned departments, resource organizations, NGOs and donors. The main purpose of the steering committee was to provide necessary direction and support to the study and ensure better utilization of recommendations of the process study at the state/ national level.

CHAPTER - 2

OBJECTIVES, METHODOLOGY, SAMPLE SIZE, CONCEPTUAL FRAMEWORK

In the light of the above background, the objectives of the process study were conceptualized.

Objectives of the study

The broad purpose of the study is to

- Strengthen the participatory processes in the watershed development program in India by providing feed back on the "way the projects are implemented on the ground" to all concerned - policy makers, practitioners, project administration teams, donors and academicians.
- Develop strategies for making the watershed development programs more community controlled and managed, equity and gender focussed, technically appropriate with institutional mechanisms in place for environmentally sound farming systems and sustainable livelihoods.

The process study is an important instrument for strengthening watershed development projects in the country. The observations, analysis and recommendations are expected to provide action agenda for several actors, including civil society organizations, government departments, academicians, donors, project managers, resource organizations and policy makers. The culmination events at state and national level are expected to facilitate a convergent action among several actors engaged in watershed development programs, in a consistent manner.

Methodology of the Study - Study Teams :

WASSAN prepared a tentative framework and methodology for conducting the process study. Based on the contents of Guidelines (1994, MoRD, GoI), the project management cycle was evolved as the broad framework for conducting the process study. A national inception and methodology workshop was organized during August 2004 at Hyderabad. The initial methodology was refined with the inputs from participants of this workshop. The process study was conducted in 7 states with each state having a nodal agency. Each nodal agency appointed a dedicated study team. All these members participated in the inception and methodology workshop.

Each nodal agency also identified researchers for conducting field work of the process study. These members were from academic institutions, NGOs and line departments. WASSAN and state nodal agencies provided necessary orientation and field level support on the methodology of the process study during state level orientation programs to all these members. These trained facilitators conducted the field work in each state. Each team spent about five to ten days in the field with the watershed functionaries and communities and facilitated meetings, discussions and PRAs. The observations from these discussions were carefully documented. Apart from this "soft" data, the study teams also collected "hard" data from the records of the watershed committees/ PIA to the extent possible.

Methodology of the Study -
Conceptual and Analytical Framework – Project Management Cycle :

Processes are intrinsically dependent on the project objectives and sequence of activities that are taken up in the light of the objectives. In the context of watershed development projects, the project management cycle is inherently present in the Guidelines (1994). Subsequent guidelines also followed similar pattern. For the process study Guidelines of Watershed Development Program issued by MoRD (1994) were taken as reference point for developing the conceptual and analytical framework. The processes as defined in these guidelines were taken as a bench mark for the current process study and a project management cycle was conceptualized. This

Box 1

Project Management Cycle of Watershed Development Projects Main Phases and Key Events

Initial Phase
1. Selection of project villages
2. Awareness Generation
3. Resolution from the village
4. Planning for Entry Point Activity
5. Execution of Entry Point Activity
6. Base Line Surveys

Institution Development Phase
7. Identification and strengthening of Existing Groups
8. Formation of New Groups (User Groups)
9. Formation of New Groups (SHGs)
10. Formation of Watershed Committee and Association

Participatory Planning Phase
11. Watershed Delineation
12. Problem Analysis for Planning
13. Site Selection
14. Local Functionaries and Knowledge Base
15. Preparation of Group/ Individual Plans
16. Discussions on Non-Negotiables
17. Designs and Estimates
18. Consolidation of Action Plans and Changes in Action Plans
19. Approval of Action Plans

Implementation Phase
20. Mobilization of Contribution
21. Knowledge of Communities on WDF
22. Execution of Works
23. Measurements
24. Payments

Post Project Issues
25. Extension of Project Period
26. Use of WDF
27. Withdrawal of PIA

project management cycle provided the basic framework for process study. The methodology, key questions, tools were conceptualized based on this project management cycle. The process analysis is also presented as per the project management cycle.

The project management cycle organizes the key events of the project in a systematic and sequential order, so as to achieve the set objectives. The key actors and their main functions are defined in each of these key events. The entire project is divided into phases as per the thrust of the activities. The main phases and key clusters of key events are presented in the Box 1.

It may be noted that each of the above key events would have sub activities/ events. The sequencing of activities could also vary from project to project. Projects that were supported by International NGOs could have followed different sets of key activities and sequence.

Keeping this project management cycle in mind, the facilitating teams conducted the field work. The process study teams explored "how each of the above key event was implemented?" in a given watershed project. For exploring this, a set of tools and key questions were developed. The responses to these key questions were carefully documented. Similarly, considerable data was generated around the key events through participatory rural appraisals, secondary sources such as watershed committee records/ records at facilitating agencies.

Methodology of Study -Sample of Watersheds:

A steering committee was formed in each state to provide support to the process study. The sample of watersheds was selected by the steering committee in each state, following the broad criteria.

- Majority of the watershed project should be from MoRD (3 to 4 from each state).
- Projects supported by bilateral projects/ International NGOs (INGO), depending on the availability of such projects in each state.
- Completed or nearly complete watersheds.
- Blend of GO and NGO PIAs, depending on the state specific practices.
- From different parts of the state.
- Equal sample from all states (8 Nos/state), to fit into the available budgets.

Based on the above criteria, the study was carried out in 55 selected watersheds spread over seven states in India. From each of the states eight watersheds were selected, except in Jharkhand (Table 1). In each of this category, watersheds implemented by NGOs and Line Departments (GO PIAs) were also covered. Most of the projects were initiated after 1996-97 and were completed during 2000-2002. Very limited projects belong to early 90s.

Since this sample distribution is not even, one should be careful in making gross generalizations of the observations. The watersheds from all types of projects (different donors and facilitating agencies) were selected to pick up new and innovative processes,

so that the diversity of processes could be understood in a perspective. Such sample distribution gives an opportunity to understand processes across the states in India as well as variations between the NGO PIAs and GO PIAs in projects supported by different types of donors. Thus, the sample distribution of watersheds provides a "case study" based method. To off set the discrepancy emerging out of uneven sample, percentage of each category of watersheds is taken as a basis for analysis and comparison. This small sample is neutralized with the help of "Process Index" (Refer Volume 2), which made the comparison process meaningful and consistent.

Table -1

Distribution of Sample Size – Different Types of Projects						
State	**GoI funded**		**Bilateral**		**International NGO Funded**	**All Projects Total**
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
Madhya Pradesh*	2	4	1	0	1	8
Chattisghad*	5	2	0	0	1	8
Jharkhand*	2	4	0	0	1	7
Rajasthan*	4	2	0	1	1	8
Uttar Pradesh*	4	2	0	0	2	8
Orissa* 5	1	1	0	1	8	
Nagaland*	8	0	0	0	0	8
All Projects Total	30	15	1	2	7	55

Distribution of Sample – GoI Funded Projects					
State Rural Development	**Ministry of Agriculture**		**Ministry of GOI**	**CAPART**	**Total**
	GO PIA	NGO PIA	GO PIA	NGO PIA	
Madhya Pradesh*	2	3	0	1	6
Chattisghad*	4	1	1	1	7
Jharkhand*	1	4	1	0	6
Rajasthan*	2	3	1	0	6
Uttar Pradesh*	3	2	1	0	6
Orissa* 5	4	1	1	0	6
Nagaland*	2	0	6	0	8
Total GoI	18	14	11	2	45 *
These states will be mentioned as M, C, J, R, U, O and N respectively from now onwards.					

Preparation of the Report:

Soft Data – Process Data Tables:

Generally data related to processes is considered to be "descriptive" or "narrative" or "soft". There is a notion that the "process data" cannot be quantified. While appreciating this nature and beauty of process data, an attempt is made here to quantify the process

data and convert the "soft" data into "hard" data, by evolving "patterns of processes" for each key event/ key question. Such patterns are tabulated which formed the basis for analysing the processes in selected watershed projects.

Hard Data :

Apart from the data generated from the interactions with watershed institutions, other "hard" data related to watershed projects was also collected (E.g.: Financial aspects, profiles of WDT, watershed committees, etc). This data was also analyzed as per the themes and sub themes. However, this hard data is not available in some watersheds on some themes/ sub themes. As a result, the data on the themes/ sub themes was limited to those watersheds, from which complete data is available.

For every statement in the report, the data support is taken from the process data tables/ other sub themes. The quantified data was used as a basis for making appropriate observations on processes as per the above categories. The process data was also cross checked with the facilitating agencies and research teams for making correct interpretation. The gap analysis also helped to make the analysis and interpretations realistic. This gap analysis also brought in elements that are not part of "data" and establish connections between the reality and process data. The state level meetings, reviews and workshops also helped in this process.

Structuring of Process Study Report :

The study teams collected data on several aspects of the processes at the field level and facilitator's level. This data is organized into several themes and sub themes. The report also reflects these themes and sub themes. Six volumes are prepared as part of the study.

Volume 1 : Birds Eye View of Processes : Status across States, Facilitators and Donors

Volume 2 : Process Index

Volume 3 : Indepth View of Critical Themes : Institutions, Finances and Equity

Volume 4 : Policies and Possibilities : Compilation of Good Practices

Volume 5 : Making them Better: Gap Analysis, Enabling &Disabling Factors And Recommendations

Volume 6 : Recommendations at a Glance

First volume largely capturers/ records the process data. The most common and rare processes were identified, at the end of each cluster. Second Volume developed a tool called "Process Index", which enabled the comparison of watersheds of different backgrounds. This volume also describes the application of this tool for assessing, diagnosing and finding solutions to the identified problems. Third volume is on special themes such as financial aspects of the project, equity issues, etc.

Fourth volume is on exemplary experiences or critical issues of watershed development projects as observed from the sample watersheds. This is a compilation of case studies. The fifth volume consists of gap analysis/ implications of the processes followed, enabling

and disabling factors behind the current processes and recommendations for improvement. Sixth Volume is a summary statement of all recommendations for improving the policies, processes and operational instruments of watershed development projects in the country. These volumes are expected to provide useful common ground and agenda for collective action and policy improvements.

Limitations of the Study/ Report:

The following are the limitations of the study.

- **Sample Distribution:** Sample is not same across all categories of the projects. The bilateral projects are limited in number (only 3 out of 55). The sample watersheds were picked up from each state, based on their background and some basic understanding of the projects. Data availability also guided the sample selection. This could have some implications on the observations of the processes of watershed projects.
- **Time Frame:** Completed watersheds were selected for the study. There were some incomplete watersheds also. All these projects did not belong to the same time slot.
- **Several Researchers and Field Investigators:** The field work was conducted by several investigators (about 150 persons) in different parts of the country. Though there were common and separate orientation programs to all of them, there was certainly some element of inconsistency in the process of facilitation, understanding and documentation. This was addressed through repeated review meetings and data-checks. But it is absolutely impossible to develop same level of consistency and understanding among all the investigating teams. The sensitivity of the facilitating teams is an important influencing factor on the quality of the process data.
- **Space of Innovations:** Some times, the innovative processes could not "fit" into standard process tables. When too many variations were there, there was a difficulty in making observations/ conclusions. When generalization was made (in such cases), the innovations were lost. It was difficult to balance both in all the situations.
- **Reports:** The report is prepared in six volumes. There is some over lap between each volume. This organization of themes/ volumes could also be perceived as a disintegrated way of presentation of processes or too much of repetition of the data. In some cases, the reader might feel that there are too many numbers in the process report. However, sincere attempts were made to reduce the "data load" and "repetition" and make the data analysis crisp.

CHAPTER - 3

CLUSTERS OF KEY EVENTS SET-1: Village Selection, Awareness Generation, Resolution from the village, Entry Point Activities and Base Line Surveys

Introduction

This chapter examines processes related to key events such as village selection and other initial tasks of watershed project at village level. The main purpose of these key events is to:

- Make sure that deserving and appropriate villages are selected for the project
- Bring awareness among Community on watershed project and introduce the new culture of participatory development process in the village.
- Understand the village socio economic and political situations (Base Line survey)

For achieving this, the Project Authority/Project Implementation Agency has to take up the following activities :

- Apply criteria to select villages
- Conduct Awareness camps and build rapport with Community
- Get a formal consent (resolution) from the Grama Panchayati/ Grama Sabha
- Implement Entry Point Activities
- Conduct Base Line surveys

Designed and Desirable Processes of this Set of Events :

Criteria are defined for selecting the villages (e.g. problem villages) in various guidelines. Apart from following these criteria for prioritisation, it is important to verify whether the people in the village/ Grama Panchayati are willing to take initiative and provide leadership to the project at village level.

Once villages are selected, the next step would be introducing the philosophy of the project to the community. The processes at this stage must aim at meeting different interest groups; and making them aware of resource management issues and needs. This involves informing community about project principles and conditions to be fulfilled from the community side such as equity, women representation and community contribution. Awareness programmes and cultural activities are to be organised for educating villagers on the project. This will lay foundation towards broader participation of community in evolving norms and conflict resolution mechanisms to translate project design into action.

It is equally important that PIA initiates dialogue with local institutions such as Gram Panchayat, existing community based organisations and local leadership. During this process, Grama Panchayati and other institutions would discuss among themselves and develop consensus on the required commitment from their side to the project. Grama Panchayati also has to give a formal resolution indicating their commitment to the project.

As part of this process, Entry Point Activities (EPA) will also be initiated. It is a means of building rapport between community and PIA. EPA will help in better understanding of community level collective actions. In identification of EPA, preference should be given to activities that have relevance for the majority in the village, asset building that have specific advantage to the poor and potential to reduce drudgery of women. People will have to demonstrate their ability in mobilizing voluntary labour and promoting collective action. PIAs which did not work in villages prior to watershed shall use this as first step in their community mobilisation. Planning and implementation of EPA will set standards of participation and transparency of the project and establish the project philosophy in the village.

Observations on the above key events are mentioned below.

A. Village Selection

Designed Processes :

(1994 MoRD: Chapter II para 25, 26; Chapter IV Para 56-58; WARASA, MoA: Chapter II Para 19-23)

As per Guidelines (MoRD, 1994), priority is given to those villages where there is a history of collective action and willingness at community level for participating in the watershed project. Several criteria (drinking water scarcity, resource degradation, high presence of SC/ST population, etc.) are defined to reach out the most deserving villages. Similarly WARASA defines a process through which community expresses its interest and willingness to take part in watershed projects. Based on this commitment and other criteria, villages could be selected. In case of independent donor supported projects, the implementing NGO identifies the villages from among its field area. The preparedness of the Community and level of degradation of natural resource guide this process. The common element of these three processes is "commitment of Community". The guidelines envisaged the following indicators for assessing the commitment of Community.

- *An application from village for the project*
- *A resolution from Grama Panchayati assuring public contributions and taking over the post-project operation and maintenance of assets created on CPR.*

- *Historical evidence of community action in the village (e.g. groups already exist).*
- *Willingness of any agency (PIA) to work with a particular village*

(i) Processes Followed Across States :

The study attempted to understand the perceptions of watershed community on the process of village selection for the project (the reasons, in their opinion, for selecting their village).

- In case of 42 out of 55 of sample watersheds (76 %), people came to know about the selection of the village through PIA. This is the most common perception across all states.
- In 7 out of 55 watersheds (13%), village Sarpanch and local leaders played a crucial role in getting the project to their village. The influence of village/ local leadership was prominent in Nagaland (3 out of 8 watersheds; 38%) and Rajasthan (2 out of 8 watersheds, 25%). In MP and UP the role of local leadership was visible in 1 watershed out of a sample of 8 (13%).
- Sanctioning of watershed project as a result of community's demand/ history of collective action happened only in 3 out of a total sample of 55 watersheds (5% of total sample). These 3 experiences are one each from Rajasthan, UP and Orissa (13% of sample watersheds in each state).
- Community recognized the role of DRDA/ Other government officers in selecting their village in one watershed in Chattisgarh and Jharkhand. The Community did not identify the role of DRDA/ government officers in selection of village in other states.
- In 1 out of total 55 sample watersheds (3%), the Community was not aware of the process of getting watershed project to their village.
- It is interesting to note that 30 out of 55 PIAs (55%) were working in selected villages prior to sanction of watershed programme. In other words, the remaining 25 PIAs started work in these villages only after the village was selected for the watershed project.
- Compared to other states, more number of PIAs in Jharkhand (6 out of 7, 86%); Nagaland (6 out of 8, 75%) and Rajasthan (5 out 8, 63%) were associated with Community prior to watershed programmes. This indicates that election process in these states favoured appropriate use of local capacities.
- On the contrary, majority of PIAs in Madhya Pradesh (6 out of 8, 75%) and Chattisgarh (5 out of 8, 63%) were new to the selected villages.
- In UP and Orissa half of the PIAs were new to selected villages and remaining half were already familiar with selected villages.

Table -2

PIA/ Project Wise Responses					Pattern of Responses on "Who brought the program to your village?"	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	
3	0	0	0	0	Community Does not Know	0	13	0	0	0	0	0	2
63	87	100	100	100	PIA brought the project	88	75	86	63	75	88	63	76
20	7	0	0	0	Sarpanch and Local Leaders (MLA/ ZP Members)	13	0	0	25	13	0	38	13
7	7	0	0	0	Project Officers (BDO, Government Officer, DRDA)	0	13	14	0	0	0	0	4
7	0	0	0	0	Community Demanded the project	0	0	0	13	13	13	0	5
Whether PIA has previous relationship with the villagers?													
53	47	100	100	0	No	75	63	14	38	50	50	25	45
47	53	0	0	100	Yes	25	38	86	63	50	50	75	55
30	**15**	**2**	**1**	**7**	**Grand Total (No)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

(ii) Process Followed by PIAs/Projects :

PIAs/ Projects are grouped into the following categories :

- Type 1: Government of India funded and Line Department facilitated projects – These projects are referred as GoI GO projects.
- Type 2: Government of India funded and NGO facilitated projects. These projects are referred as GoI NGO projects.
- Type 3: Bilateral agencies funded and Line Department facilitated projects. These projects are referred as Bilateral GO projects.
- Type 4: Bilateral agencies funded and NGO facilitated projects. These projects are referred as BilNGO projects.
- Type 5: International NGO funded projects and facilitated by NGOs. These projects are referred as INGO NGO projects.

Across different types of projects majority of the watersheds were brought by PIAs. This was the case in all bilateral (3) and INGO funded (7) projects. In case of INGO funded projects, NGO PIAs identified the most suitable villages from its field area and responded to the needs of the selected villages. In such cases, the selection process was almost like a demand-driven approach.

In case of government funded projects Sarpanch/ local leaders were involved in selection process in 9 out of 45 watersheds (20%). This process has both negative and positive shades. The powerful politicians/ well connected leaders pressurised the district administration to select their village, irrespective of its suitability (this was observed mainly in UP and MP). On the other hand, there are cases where the local experiences of collective

action in forest protection was recognized by the district/ block level officers and watershed project was allocated to them to further support the collective action in these villages.

In all types of projects several NGO PIAs had previous relationship with the watershed villages before the project was sanctioned. In INGO funded projects all NGO PIAs had previous relationship with the villages. In case of GO funded projects, nearly half of the NGO and GO PIAs had previous relationship with the selected villages. This indicates that the selection process of villages was not all that sensitive to the history of partnership between villages and the facilitating agencies.

Based on the above analysis, the knowledge of villagers on the selection process of villagers can be grouped as follows:

Most Common Process	• Community thinks that PIAs brought watersheds to villages (Desirable) • PIAs have relation with Community prior to watershed programmes. This is relatively higher in case of NGO funded and implemented projects (Desirable)
Rare Processes	• PRI role in mobilizing watershed for the village was observed only in GoI GO projects. (Desirable) • Collective action of the village (in forest protection) was considered as eligible criteria by District/ Block level project officers while sanctioning the project to the village.

B. Awareness generation and Reaching Out to Women : Designed Processes :

(1994 MoR D : Chapter IV para 54, 70, 77; WARASA, MoA: Chapter 2 Para 14 Chapter-3, Para 50)

Before commencement of the developmental activities, PIAs should generate awareness among the community members through repeated meetings, street plays, folk songs, etc. on the spirit of watershed programme. Summary version of the guidelines in local language should be distributed. Use of audio visual media to increase awareness should be encouraged. Government officers are expected to interact with Grama Panchayati members and other villagers. During this process, it is important to reach out to the women and resource poor families and explain the details of project to them. In order to establish strong foundation for the implementation of watershed programs, initial focus will have to be on strengthening the social and institutional base in watershed villages. In this regard, awareness generation process plays an important part.

Box 2

Various Ways of Generating Awareness	% of Watersheds in which these Methods were employed
No efforts	9%
Grama Sabha	65%
Exposure visits	36%
Street, cultural shows/ kala jatha	31%
Distribution of printed material	18%
Regular community meetings/ Interpersonal Meetings	18%
Display board/ wall at public places/ Posters on watershed activities	15%
Audio visual shows	13%
Campaign at household level	11%
Campaign/ Jana Chaitanya rally with involvement of Collector, local leader	7%
PRA	7%
Villagers approached PIA for awareness generation programs	4%
Inter village sports/ cultural events/ competition for youth	4%

(i) Processes Followed Across States :

B.1 General Awareness :

- PIAs used several methods to generate awareness about the project in the villages. Some of the methods were used in all villages. In some of the villages more than five types of awareness generation methods were used.
- Rajasthan used highest number of methods to generate awareness (8 Methods), while MP and Orissa used 7 Methods. Remaining states used relatively very common methods such as Grama Sabha and meetings. (Chattisgarh 5; UP 4; and Nagaland 3).
- The important means of awareness generation was meetings (In 82% of total sample of watersheds). These meetings ranged from Grama Sabha; meetings with village leaders to household level meetings. This form of awareness generation was most commonly observed in all states except in MP. In MP only 4 out of 8 watershed projects had meetings and Grama Sabhas. However, PIAs in MPused other methods of communication such as display boards, communication campaigns, etc.
- Several varieties of communication campaigns were organized such as use of folk art forms; Audio Visual Shows; sports competitions, etc. These were commonly observed in MP, Chattisgarh and Rajasthan.
- Exposure visits and distribution of print material were other methods employed to generate awareness. Jharkhand and Rajasthan were among the top in using these methods.

- People in 8 out of 55 sample watersheds (15%) felt that they gained knowledge about the project from display boards in public places, audio-visual shows and PRA exercises. This process was followed in only three states (MP, Chattisgarh and Jharkhand).
- The efforts made by the PIAs to generate awareness were limited in UP (in 4 out of 8 projects) and Chattisgarh (in 1 project). Similarly, in Orissa, in 2 projects the community demanded the PIAs for awareness campaigns, as the PIA was not sharing information about the projects adequately.

B.2 Targeting Women :

- It was observed that only in 18 out of 55 watersheds (33%), there was an attempt to specially target women and poor in awareness campaigns. Except in MPand Chattisgarh, very few of the PIAs in rest of the states made these "special" efforts to target women. 5 PIAs in Jharkhand and 6 in Orissa made special efforts to reach out to women during this phase. These special efforts included special and separate meetings with women, ensuring their participation in other general awareness campaigns, PRA on themes close to women.
- In 34 watersheds (62%), people did not observe any efforts by PIA in targeting women. PIAs in these villages believed that women were part of the village and did not require any special or separate efforts. MP and Chattisgarh are among the top in this thinking. As a result, the women's participation in awareness camps was not a facilitated intervention.
- In 3 out of total 55 projects, the PIAs completely ignored to meet women and sharing the details of the project. This practice was observed in Jharkhand and Chattisgarh.
- A participatory exercise on levels of participation of women during awareness campaigns indicates that women were out of the target groups (zero or very low levels of participation) during the awareness in 25 out of 55 watersheds (46%). This was observed more in Rajasthan, UP, Jharkhand and Nagaland.
- Higher level of women's participation during this stage was seen in case of 7 projects (13%). Projects in MP, Orissa and UPonly have higher level of women's participation.

(ii) Process Followed by PIAs/Projects :

B.3 General Awareness and Targeting Women :

- 5 out of the sample 55 projects (9%) did not make any efforts to generate awareness about the project in the villages. All these projects belong to GoI GO category (mainly in UP and Chattisgarh).
- All NGO PIAs in all categories of projects adopted grama sabha and other types of meetings.

- 21 out of 30 of GoI GO projects adopted grama sabha method (70%). In Bilateral GO projects, facilitating agencies did not organize separate Grama Sabhas.
- Awareness campaigns, exposure visits were organized by all categories of PIAs and projects. NGO PIAs used this method more than the GO PIAs.
- Display of project details (on a notice board) was seen only in case of GO funded projects and more so with NGO PIAs.
- The responses of people show that Bilateral GO projects hardly made any special efforts to reach out to women during the awareness campaigns.
- NGO PIAs in general made better efforts to reach out to women in all types of projects, when compared to GO PIAs.
- Out of 7 INGO NGO projects, special efforts were made in 4 projects (57%).
- Similarly, 13 out of 45 in GO funded projects (28%) tried to reach out to women by making special efforts to target women.

Based on the above analysis, the process of awareness generation can be grouped as follows:

Most Common Processes	Organising Grama sabha/ village meetings, exposure visits and other communication campaigns (Desirable) Variety of methods and tools (by NGO PIAs) (Desirable) Not making special efforts to reach out/ target women (Not desirable)
Rare Processes	Audio visual shows, display board in public places (Desirable) Facilitating awareness activities specially, for the poor and women (Desirable) Villagers themselves demanded the PIA to organize awareness camps (Desirable?) Sports competition, cultural events (Desirable) Household campaign and regular community meetings (Desirable) Special efforts by facilitating agencies to reach out to women (Desirable)

Table -3

PIA/ Project Wise Responses					Pattern of Responses on Ways of Creating Awareness	State Wise Response							Total
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									(%)
17	0	0	0	0	No Efforts	0	13	0	0	50	0	0	9
70	100	0	100	100	Grama Sabha/ Other Meetings	50	88	100	100	63	88	63	82
17	33	0	0	0	Distribution of Print Material	0	0	29	63	38	0	0	18
47	100	50	100	86	Communication/ Awareness Campaigns	100	100	57	100	50	38	0	73
23	47	50	100	57	Exposure Visits	25	13	71	88	38	13	13	36
10	33	0	0	0	Display boards	63	25	14	0	0	0	0	15
7	0	0	0	0	Villagers approached PIA for awareness generation programs	0	0	0	0	0	25	0	4
Whether PIA made any "SPECIAL" efforts to target women?													
7	7	0	0	0	No effort at all	0	13	29	0	0	0	0	5
63	67	100	100	43	No Special Efforts	100	88	0	63	75	25	75	62
30	27	0	0	57	Yes	0	0	71	38	25	75	25	33
30	15	2	1	7	**Grand Total (No)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

C. Grama Sabha Resolution

Designed Processes:

One of the first things to happen in a village as part of watershed implementation is to involve Gram Panchayat. This involves facilitation of Gram Panchayat to pass a resolution by convening Gram Sabha. The WDT will facilitate a resolution from the Gram Panchayat assuring people's contribution and expressing the willingness to take over, operate and maintain the physical assets that would be created as part of the watershed development project and share the benefits of CPR with the weaker sections of the society.

(1994 MoRD: Chapter II Para 25(c, d); Chapter IV Para 56-57; WARASA, MoA: Chapter II Para 30, 31; Appendix - II).

(i) Processes Followed Across States:

25 out of 55 sample watersheds (46%) did not get any resolution from the Grama Sabha or Grama Panchayati. Either the project guidelines did not require a resolution or the PIAs ignored this requirement or the villagers could not recall the event of taking a resolution. This process of ignoring the Grama Sabha/ Grama Panchayati is predominant in Chattisgarh, Rajasthan, Orissa and Nagaland.

In the remaining 30 watersheds, formal resolution was taken during this stage. Jharkhand is the only state in which formal resolution was taken in all watersheds. The time taken to get the resolution was about two to five months in this state (in 5 out of 7 watersheds). Similarly, 5 out of 8 watershed villages (63%) in MP spent considerable time to get the resolution from the Grama Panchayati.

In Rajasthan, getting a resolution from Grama Panchayati took a month's time and in a single meeting. This indicates that this was perceived as an administrative requirement, rather than a process of building confidence and understanding of the project among the members of Grama Panchayati.

Only in 4 out of 55 watersheds (7%), the process of getting a resolution was elaborate and took considerable time (more than five months). This process was observed in MP, Jharkhand and UP.

In 2 watersheds in Orissa, the resolution was limited to only entry point activities in the initial phase. Later on these villages passed a separate resolution for the main project. Chattisgarh is the only state in which only one watershed took the resolution.

(ii) Process Followed by PIAs/Projects:

63% of GoI GO projects (18 out of 30) did not get any resolution from the Grama Panchayati. 12 GoI GO projects got the resolution from Grama Panchayati. Majority of them got these resolutions within a single meeting and within two months. Interestingly, 2 GoI GO projects got resolution first for entry point activities and later for the main project.

One GO PIA in bilateral projects (50%) took the resolution from the Panchayati. More NGO PIAs (11 out of 15; 73%) got the resolutions from Grama Panchayati, when compared to that of GO PIAs.

71% of INGO NGO projects (5 out of 7) got the resolution. This indicates that NGO PIAs are serious to involve Grama Panchayati and take its consent, even if there is no formal requirement to do so. These NGO PIAs also took considerable time to get this resolution (3 of them took two to five months time). Similarly, 53% of GoI NGO projects (8 out of 15) spent about five month's time to get the resolution from the Grama Panchayati.

Table -4

PIA/ Project Wise Responses					Pattern of Responses on Process of getting the resolution from Grama Sabha	State Wise Response							Total (%)
Government WDP		Bilateral WDP		NGOs		MP	C	J	R	U	O	N	
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
33	27	50	0	29	Not Applicable	25	88	0	50	38	13	0	31
27	0	0	0	0	No Resolution/ No Data	0	0	0	0	0	50	63	15
Resolution from Grama Sabha before the commencement of the program													
40	73	50	100	71	Formal and Written Resolution	75	13	100	50	63	38	38	55
7	0	0	0	0	Initial resolution for EPA only	0	0	0	0	0	25	0	4
Time Taken for resolution													
17	20	0	100	29	One month	0	13	0	50	38	25	0	20
23	40	50	0	14	Two to five months	63	0	71	0	13	13	38	27
0	13	0	0	29	More than five months	13	0	29	0	13	0	0	7
30	15	2	1	7	Total No of Projects	8	8	7	8	8	8	8	55

D. Content of the Resolution :

(i) Processes Across the States:

As already mentioned, 46% of the watersheds did not take any resolutions. In the remaining watersheds, the resolution has several points. When the study team enquired about the contents, the committee members recalled from their memory the highlights of the resolution. The points are listed out in the box.

In case of 44 % of watersheds the resolutions are related to programme benefits and people's contribution and in 35% of watersheds the resolutions are on rules and regulations. The resolutions passed by 11 % of watersheds included planning and conflict resolution.

The contents of resolution in Nagaland mainly indicate that the PIA was able to influence the villagers to abide/ commit themselves to the requirements/ instruction of the PIA/ Guidelines. In 13% of watersheds of Nagaland, the contents of resolution covered a range of aspects like taking up permanent farming, complying with the guidelines, etc.

The program benefits and people' contribution were part of resolutions in majority cases of Jharkhand (86%) and Orissa (75%) and in Nagaland and MP (63% each).

In many cases in Jharkhand (86%) and Nagaland (63%) the contents of resolutions were on rules and regulations of the project.

In 50% of watersheds of Rajasthan it was a simple agreement. The resolution included conflict resolving aspects in 50 % of watersheds in UP, 14%in Jharkhand and 13% in Chattisgarh.

(ii) Process Followed by PIAs/Projects:

60% of GoI GO projects did not get formal resolution from the Grama Panchayati/ Grama Sabha. This trend was observed even in case of GoI NGO projects (27%) and 50% of BilNGO projects. It is interesting to see that 71% of INGO NGO projects got the resolution, even though it was not required.

Across the projects the most common trend was focus on benefits of the program, funds and contribution (In 44% of projects). This is true with 100 % of GoI GO projects and the lone BilNGO project.

Similarly the resolutions also included discussion related to rules and regulations. Conflict resolution was mentioned in 20% of GoI NGO projects whereas only 3% of GoI GO projects mentioned this point.

It is necessary that community agree on social regulations and other arrangements before starting of the project. It is equally important that these resolutions are passed after properly informing the community. Resolution also gives community agreement on roles and responsibilities during implementation and post project period. From the preceding analysis following are the most common practices in terms of obtaining resolution from Grama Panchayati.

Table -5

PIA/ Project Wise Responses					Pattern of Responses on Content of Resolution	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
60	27	100	0	29	No Resolution or informal resolution	25	88	0	50	38	63	63	46
43	40	0	100	43	Programme benefits and people's contribution	63	13	86	0	13	75	63	44
3	20	0	0	29	Planning and conflict resolution	0	13	14	0	50	0	0	11
37	40	0	100	29	Rules and regulations	38	13	86	0	0	50	63	35
10	7	0	0	0	Simple agreement from Gram Panchayats	0	0	0	50	0	0	0	7
10	0	0	0	0	To follow the instruction of the PIA and cooperate with them	0	0	0	0	0	0	38	5
3	0	0	0	0	To take up Permanent farming	0	0	0	0	0	0	13	2
3	0	0	0	0	Action to be taken if guidelines are not followed	0	0	0	0	0	0	13	2
10	0	0	0	0	To follow the Guidelines	0	0	0	0	0	0	38	5
30	**15**	**2**	**1**	**7**	**Grand Total (No)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Based on the above analysis, the process of Grama Sabha Resolution can be grouped as follows:

Most Common Processes	Resolution not obtained, more so in GoI GO projects. (Not desirable) Formal resolution (Desirable) Resolution was after several meetings with in a period of five months (Desirable) Resolutions included either 'benefits of watershed program' or 'rules and regulations' (Desirable)
Rare Processes	Obtained resolution in the first meeting itself (Not desirable) Getting a separate resolution for entry point activity (OK) Resolution obtained even though it was not mandatory (Desirable) Resolution included issues like agreement on permanent agriculture, compliance with guidelines, etc. (OK)

E. Entry Point Activity (EPA)

Designed Processes:

The PIA uses the 5 % works component to take up EPA that the watershed community finds as priority to them. This is important to establish credibility of the WDT and develop a rapport with the village community. It is also important as the community should gain experience in implementation in a transparent and accountable manner.

(1994 MoRD: Chapter IV, Para 70; WARASA, MoA: Chapter IV, Para 51, Chapter VI Para 153)

(i) Processes Followed Across the states:

Entry Point Activities are important in building rapport between community and PIA as well as preparing community for watershed implementation. However, this process was not followed in 17 out of 55 watersheds (31%). Nagaland has highest number of watersheds, which did not implement EPA. In Rajasthan, MPand UP3 out of 8 watersheds (38%) did not implement EPA.

Grama Sabha or villagers decided EPA activities in 28 out of 55 watersheds (51 %). In only 3 watersheds out of 55 (5 %), the village leadership played some critical role in deciding the EPA. Sarpanch decided EPA 3 watersheds. This process is more pronounced in Rajasthan. PIA decided the EPA in 7 out of 55 projects (13%). Jharkhand has highest number, i.e. 3 out of 7 watersheds (43%), in which EPA was decided by PIA.

PIA implemented the EPA activities in 11 out of 55 watersheds (20 %). Jharkhand again tops this list (5 out of 7 watersheds, 71%). Both PIA and WC implemented EPA in another 11 watersheds (20%). The number of projects in each state varies from 1 to 4 under this category. In Rajasthan and Nagaland, the responsibility of implementing EPA was not entirely given to the Community. Village community took lead in EPA implementation in

16 out of 55 watersheds (29%). Chattisghad has highest number project under this category (7 out of 8, 88%).

The condition of EPA was reported to be good in majority of the cases (26 out of 55, 47%) and in reasonable condition in 11 out of 55 (20%). UPis the only state, where 1 project out of 8 has reported very poor condition of EPA assets. In Orissa in majority of the watersheds (5 out 8, 63%) assets created require maintenance. 2 watersheds each in Orissa and MP (25%) have reported good condition of EPA assets, which are able to generate income to the users.

In 13 out of 55 watersheds (24%), Community did not contribute at all. 25 projects (45%) reported community contribution to EPA. In 4 out of 7 watersheds (57%) in Jharkhand where PIA dominated decision making and implementation, Community did not contribute. Even in Chattisghad, Community did not contribute in 4 out of 8 (50%) projects. Compared to other states, higher number of projects i.e. 5 each out of 8 (63%) in MP, UP and Orissa reported community contribution to EPA.

Community contributed in different forms – labour, material, time for supervision/ local management, cash, etc. However, the details of contribution (form and amount) were not available. The field study teams could not collect the related data. This problem was more in UP and Jharkhand.

The most common form of community contribution was free labour (9 out of 55 watersheds, 16%). Wage deduction from labourers was observed in 5 sample watersheds (9%). This practice was observed in 2 out of 8 watersheds in MP and Orissa (25%). Cash contribution was a rare form of contribution, which was observed only in one project in UP.

The assets created under EPA are in general accessible to entire community in majority of the cases, across the states.

(ii) Processes Followed by PIA/ Projects:

Several GoI GO projects (10 out of 30, 33%) and GoI NGO projects (4 out of 15, 27%) did not implement EPA. The lone Bilateral NGO project also did not implement EPA.

Community played major role in deciding the EPA in all categories of PIAs and projects (28 out of 55 projects, 51%). However, the level of community's involvement was better in case of NGO PIAs, when compared to that of GO PIAs.

The execution of EPA has mainly three patterns – (a) mainly by PIA (11 out of 55 projects, 20%); (b) mainly by village leaders and PIA (11 out of 55 projects, 20%) and (c) entirely by Community (16 out of 55 projects, 29%). In general GO PIAs shared more responsibilities with Community in executing the EPA, when compared to NGO PIAs.

The number of projects in which community contribution is observed is higher in case of NGO PIAs (8 out of 15 in GoI NGO projects and 4 out of 7 in INGO NGO projects). The performance of GO PIAs is also equally impressive (13 out of 30 GoI GO projects).

Table -6

PIA/ Project Wise Responses					Pattern of Responses on Processes in Entry Point Activities (EPA)	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
33	27	50	100	14	No EPA/ Community des not know	38	13	0	38	38	13	75	31
Who decided the EPA?													
13	7	0	0	29	PIA dominated	0	13	43	0	25	13	0	13
7	7	0	0	0	Village Leaders dominated	0	0	0	25	13	0	0	5
47	60	50	0	57	Village Community decided	63	75	57	38	25	75	25	51
Who implemented EPA?													
20	27	0	0	14	PIA	13	0	71	13	0	50	0	20
10	27	0	0	57	PIA with Village Leaders	13	13	14	50	38	0	13	2
37	20	50	0	14	Village Community	38	88	14	0	25	38	0	29
What is the condition of EPA?													
3	0	0	0	0	Poor Condition	0	0	0	0	13	0	0	2
7	13	0	0	0	Satisfactory condition	13	13	29	0	0	0	0	7
17	7	0	0	14	Good Condition, but requires maintenance	0	25	0	0	0	63	0	13
30	53	50	0	43	Good Condition, No need of maintenance	25	38	71	63	50	0	25	38
10	0	0	0	29	Very Good Condition, Provides incomes	25	13	0	0	0	25	0	9
Whether anyone contributed?													
23	20	0	0	29	No Contribution	0	50	57	25	13	25	0	24
43	53	50	0	57	Yes	63	25	43	38	63	63	25	45
Form of Contribution by Community for EPA													
40	27	0	0	43	No data	13	75	57	25	13	63	0	35
7	0	0	0	0	Material and Labor	0	13	0	0	0	0	13	4
10	13	0	0	0	Only laborers contributed (deducted from wages)	25	0	0	0	25	13	0	9
10	27	50	0	14	Shram daan from Community	25	0	43	25	13	0	13	16
0	7	0	0	29	Time spared by community	0	0	0	13	25	0	0	5
3	0	0	0	0	Cash contribution by rich in the village	0	0	0	0	0	13	0	2
Whether anyone is excluded from using EPA or not?													
67	67	50	0	86	Not excluded	63	88	100	63	50	88	25	67
0	7	0	0	0	Yes, Excluded	0	0	0	0	13	0	0	2
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Voluntary labour and deductions from labour were most common processes of mobilizing contribution. However, wage deduction was observed only in case of GO funded projects; with GoI GO projects (3 out of 30, 10%) and GoI NGO projects (2 out of 15, 13%). NGO PIAs valued the time spared by the villagers for taking part in the execution/ supervision and considered it as contribution. Mobilizing cash contribution from the rich families in the village was a rare practice observed in one GoI GO project (10%).

The process of EPA implementation can be grouped as follows:

Most Common Processes	EPA activities were decided by Grama Sabha or villagers or watershed committee (Desirable) Village Community played major role in executing the EPA activities (Desirable) Contribution in the form of Shramdaan (Desirable) Assets created under EPA are in good condition (Desirable) The use of assets created under EPA are accessible to all (Desirable)
Rare Processes	PIAs and Sarpanch/ Village leader had decided EPA activities (Not Desirable) Secretary of WC and GPimplemented EPA activities (Not Desirable) Poor quality of work/ assets under EPA (Not Desirable) Material Contribution (Desirable) Some people were excluded from use of assets created under EPA (Not Desirable) Contribution in cash. Contribution in time by village leaders for supervisions/ quality control (Desirable) Assets under EPA are able to generate incomes (Desirable)

F. Baseline and Benchmark Survey :

Designed Processes :

Before starting the major activities such as institution development and planning exercise, a bench marking survey is to be conducted by facilitating agency. The information collected from the villagers through PRA exercises should be verified with secondary data available with various Government departments. These surveys should be completed within six months of the commencement of the project so that they can be used as input for the Watershed Development Plan and creating institutions. The PRA exercises should lead to diagnosis of the important problems and a common understanding of the village community's priorities. Identification of poor families is an important task during this activity.

(i) Processes Followed in Different States:

Several methods were used to conduct base line survey/ initial data collection. Some of these methods were participatory and others weren't. During the period of study the reports of bench mark surveys were not available for reference.

All projects (8 out of 8) in MP used household survey and interviews with village leaders for base line survey. In 6 watersheds (75%), resource mapping was also conducted to understand the basic resources of the village resources. Use of secondary data sources was observed only in one watershed in the state (13%). House hold surveys were conducted in almost all states for bench marking. After MP, Jharkhand and Orissa used this method most.

Interviews with village leaders seemed to be the most common and popular process in Rajasthan, Nagaland, Orissa and Chattisgarh. Jharkhand did not follow this process even in one watershed.

PRA for bench marking was used in all states in 3 to 6 watersheds, except for Rajasthan where this was used in only one watershed.

Topographical surveys/ collecting maps from village patwari/ collecting data from secondary sources were done in limited number of cases. All watersheds in Rajasthan met line departments and got maps from the village Patwari. However, watersheds in Jharkhand, Nagaland and Chattisgarh did not follow this method at all. In the remaining states, this was done only in one watershed project. Topographical surveys were conducted in only three states – Rajasthan and UP (in 4 out of 8 projects; 50%) and Nagaland (in 2 out of 8 projects; 25%). In these watersheds, there was no role for local communities. However, in 2 watershed projects out of 7 in Jharkhand (29%) and in 3 out 8 in Nagaland (38%) the local community, particularly watershed committee members, participated in the topographical surveys.

(ii) Process Followed by Projects/ PIAs:

Interviews with village leaders were the most common process followed in all categories of projects and all types of PIAs. Other common processes were PRA and household surveys.

72% of INGO NGO projects (5 out of 7) conducted interviews with village leaders, house hold surveys and PRA exercises. The combination of all these three exercises gave them an opportunity to have the advantages of each process.

2 INGO NGO projects (29%) conducted topographical surveys also. There was no role for watershed committees/ communities in this process. However, 20% of GoI GO projects (only 6 projects out of 30) and 13% of GoI NGO projects (2 projects out of 15 NGO) under GoI conducted field level topographical surveys. Interestingly, local community participated in this process. Bilateral projects did not conduct any topographical surveys.

Household survey was another common process in all categories of projects. Relatively, more NGO PIAs (under GoI and INGO supported projects) conducted household surveys. GoI GO projects used this method to a lesser extent. Both GoI GO and GoI NGO projects

used methods like focused group discussions; village meetings; topographical surveys with watershed members and village level camps. No other category of projects/ PIAs used these methods.

The use of PRA tools for bench marking was relatively low in GoI supported projects, in comparison to bilateral and INGO supported projects. No such survey/ bench marking were conducted in one GO PIA under GoI supported projects (from Jharkhand).

Table -7

PIA/ Project Wise Responses					Pattern of Responses on Bench Marking and Initial Data Collection Responses	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
3	0	0	0	0	No Survey	0	0	14	0	0	0	0	2
47	53	100	100	71	Interview with village leaders	100	50	0	75	38	50	63	55
23	27	0	100	14	Secondary Data from Record of Rights, village/ cadastral map from Patwari/ Line Dept	13	0	0	100	13	13	0	20
20	13	0	0	29	Land / Resource/ Topographical Survey by WDT/ PIA	0	0	0	50	50	0	25	18
0	13	0	0	0	Hiring resource organizations/ experienced watershed activists for surveys	0	0	14	0	13	0	0	4
30	67	100	100	71	House Hold Survey With format by PIA/ Village leaders	100	38	86	25	38	50	13	49
17	27	0	0	0	Village Meeting	0	0	57	38	0	25	0	16
7	13	0	0	0	Focused Group Discussion	25	0	0	0	0	25	0	7
10	13	0	0	0	Land/ Resource/ Topographical Survey by WDT/ PIA and WC and villagers	0	0	29	0	0	0	38	9
0	7	0	0	0	Camp in the village by PIA staff	0	0	14	0	0	0	0	2
37	47	100	100	71	PRA - Resource Mapping, Transect	75	38	43	13	38	75	38	45
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Most Common Processes	• Initial data was collected through interviews with village leaders follow by household survey and PRA (Desirable)
Rare Processes	• Camp in the village by PIA staff for conducting bench mark surveys (Desirable) • Hiring resource persons for conducting bench marking surveys (Desirable)

CHAPTER - 4

CLUSTER OF KEY EVENTS – SET 2: Establishing Village Level Institution

Introduction

This chapter examines the process of establishing village level institutions in the watershed development project. The main purpose of the key events of set 2 is to:

- Establish village level institutions such as user groups, self help groups, watershed association and watershed committee.
- Ensure that resource poor families and women are organized into common interest groups

For doing this, the Project Authority/Project Implementation Agency has to take up the following activities:

- Identify the existing institutions in the village
- Identify poor families and organize them into groups
- Form user groups and SHGs
- Form Watershed Association and Watershed Committee

Designed and Desirable Processes – Set 2:

Watershed guidelines aim to facilitate people's participation in planning, implementation and management of watersheds. The technical assistance agents (government or non government agencies, trainers, researchers etc.) have to become facilitators of the participatory processes for integrated watershed management. Hence more emphasis is placed on community mobilization and capacity building of stakeholders. The focus is more on primary stakeholders so as to equip them with necessary capabilities to play these expected roles.

The following institutional arrangements are envisaged at the village level to enable the communities to take up participatory watershed management.

Self Help Groups: *The guidelines envisage formation of self help groups (SHGs) as a first step in building watershed committee. People whose livelihoods are not directly land based (common interest/activity such as dairying, agricultural labourers, etc) can be organized into Self-help Groups to plan for improved livelihoods. The above process will*

lay foundation for mobilizing women for active participation and represent their interests in planning and implementation of watersheds. The process of organizing women would also prepare women towards active participation in Watershed committee. It is also necessary to build the capabilities of women to actively participate and gain control over the management of watershed programs; and facilitate women to take part in identifying their needs and incorporate them in plans.

User Groups: *People who are directly dependent on the natural resources of the watershed area form User Groups (UGs). For Each work/activity depending upon the resource related production problem, separate UGs can be formed. These groups have to be fully involved in planning, implementation and maintenance of their respective development activity. Group wise planning helps to treat the area in an integral way .It provides a basis for collective action to deal with the common problems that they are facing. They can also be attached with thrift and credit activity that will not only bind the group together but also provide access to small loans from their savings to meet their production related requirements.*

Watershed Association: *People who are directly and indirectly dependent upon natural resources of watersheds will constitute the Watershed Association (WA). In other words, members of all the SHGs and UGs together form the WA. The Gram Sabha of the Panchayat will also be designated as WA if the watershed boundary coincides with the village Panchayat. WA should be registered as a society under the Societies Registration Act to make it a legal entity to receive funds from the government. It will elect its own president and meets at least twice in a year. The roles and responsibilities of the WA include approval of watershed action plan, prioritisation, conflict resolution, long term strategy for natural resources management, etc.*

Watershed Committee: *Watershed Committee (WC) may consist of 10-12 members who will be nominated by the WA. GP, WDT and women representation is ensured. WC operates the Bank account and facilitates the programme through functional groups. It is responsible for coordination and liaison with GP, PIA, WDT, DRDA/ ZP and other agencies. It is also responsible for day to day activities of the watershed programme and proper maintenance of accounts and records.*

Observations from the field on the process of establishing the above institutions are mentioned below.

A. Participation of existing groups in watershed program

Designed Process:

(1994 MoRD Para 25 (iii b) Not specifically Mentioned, WARASA MOA Chapter IV, Para 54) As per Guidelines (1994), preference may be given to those villages where the community is already organized into an issue based homogenous groups like thrift and credit activity, Social forestry, joint forest management committees, community based convergence of

services groups, etc. This means that the PIA has to identify the existing institutions in the village and develop rapport with them. The PIA also has to find out what functions these institutions can perform in the context of watershed project in the village.

(i) Processes Followed Across States:

28 out of the 55 sample watersheds (51%) did not have any formally organized groups. Chattisgarh, Orissa and UP have higher number of watersheds with no existing groups (5 each out of 8, 63%). 4 out of the 8 sample watersheds (50%) in Rajasthan and MP have organized groups, before the project was initiated. Nagaland has traditional institutional forms, which are fairly cohesive and strong with respect to their core mandate.

In about 6 out of 55 sample watersheds (11%), the existing groups were involved in the watershed projects. This practice was observed in four states – Chattisgarh, Jharkhand, UP and Rajasthan.

Involvement of existing groups in watershed projects was in different forms. However, main basis for this "involvement" was the "capacity of the individuals", rather than the capacity of the institutions. Those who were involved in the watershed programme did not necessarily represent the mandate of their groups. They were made part of watershed processes as they were active and capable members in the village. Perhaps, they gained these capabilities by becoming the members of the institutions.

In 11 of the total watersheds, the members of existing institutions participated in the watershed project related activities, but did not represent the mandate of the groups. This tendency was observed in MP, Rajasthan, Orissa and Nagaland.

In 10 of the 55 sample watersheds (18%) members of existing groups were selected as watershed committee members. 3 watersheds in Orissa and 3 in Jharkhand adopted this process.

One of the interesting processes observed in 7 of the total watersheds (13%) was that the implementation of entry point activities in the village was done by the existing institutions. Chattisgarh (2 out of 8); Jharkhand (2 out of 7); UP (2 out of 8) and Rajasthan (1 out of 8) practiced this process.

(ii) Processes followed by Projects/ PIAs:

In case of INGO NGO projects, all villages had some institutions before the project began. These institutions were established by the respective NGOs and in several cases the watershed project was a reward and recognition to the collective action of these institutions. All these institutions played critical roles in the watershed project functions. Though these groups did not represent their mandate in 2 of the 7 watershed projects (29%), their involvement was seen as committee members and implementers of entry point activities in 4 of the 7 projects (57%).

The watershed villages in case of bilateral projects offer a different picture. There were no organized communities, before the project began in these villages. The PIAs did not have any opportunity to benefit from the existing community based organization.

In case of GO funded projects, the field scenario projects a mixed picture of available social capital. 60% of GoI GO projects (18 out of 30 projects), did not have any organized groups. Two watersheds had existing groups, but the PIAs were not sure on the process of involving them in the watershed works.

In case of GoI NGO projects, 7 out of 15 villages (47%) did not have any institutions. Of the remaining 8 villages where the CBOs existed, NGOs could involve them only in 4 villages (27%).

In general, when compared to NGO PIAs, the GO PIAs created limited institutional space for the existing institutions.

Table -8

PIA/ Project Wise Responses					Pattern of Responses on Existing Institutions Before the project was initiated	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
60	47	100	100	0	There were no groups before the program	50	63	43	50	63	63	25	51
Whether existing groups participated in watershed program?													
6	27	0	0	0	Did not participate in WD program	0	13	14	38	13	0	0	11
In what way, members of the existing Group were involved in the watershed program?													
17	27	0	0	29	Members got involved, but did not represent their group	50	0	0	38	0	38	13	20
13	13	0	0	57	Some became Watershed committee members	0	0	14	38	25	38	13	18
3	13	0	0	57	Organized EPA and other works	0	25	29	13	25	0	0	13
30	**15**	**2**	**1**	**7**	**Grand Total (No of Projects)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Based on the above analysis, the process followed in involving the existing groups can be categorised into the following:

Most Common Processes	Existing group members became WC members, some of them organised EPA & other works (Desirable) No organized groups prior to the project (OK)
Rare Processes	Some of the existing members did not participate in Watershed Program. PIAs did not know how to involve existing institutions in the watershed project (Not Desirable) Members of existing institutions implemented the entry point activities (Desirable)

B. Formation of New Groups :

Designed Processes :

Each SHG/ UG should be homogenous having a common identity such as agricultural labourers, women, shepherds, scheduled castes/tribes, farmers or a common purpose/ activity. For each work/activity, the concerned WDT member will identify a group of people who may be affected most, either beneficially or adversely. The WDT members should take appropriate action to constitute, in consultation with the village community/ gram sabha, user groups for each work or activity to be undertaken in the watershed. (1994 MoRD Chapter IV, Para 70, 75 - 77, WARASA MOA Chapter IV, Para 53 - 59).

B.1. Formation of User Groups:

Almost half of the groups were formed by PIA/ WDT. Most of the other groups were formed by WC / VDC. In a couple of cases, interested farmers came together and formed themselves into a group with the support of PIA. This interesting phenomenon was observed in few GoI GO projects.

Majority of the User Groups evolved during the course of time/ process of implementing the activities. This process was observed in all the (3) Bilateral projects. Some other groups were formed by PIA nominally. In some other cases, orientation programmes were organised by PIA. Temporary User Groups were formed along with existing groups.

i) Processes Followed Across States :

In 25 out of 55 watersheds (46%), the user groups do not exist or exist only on paper. Not a single watershed out of the 8 in Chattisgarh established this institution. Nagaland (6 out of 8, 75%) UP (5 out of 8, 63%) and Rajasthan (3 out of 8, 38%) also ignored these institutions to a large extent. On the contrary, all watersheds in MP(8 out of 8) established user groups. However, these groups are largely notional and do not have necessary institutional qualities. One could consider that these groups in MP are no better than other states such as Chattisghad, Rajasthan, UP and Nagaland.

The role of WDT/PIA was clearly established in forming these institutions in 19 out of 55 watersheds (35%). PIA and Watershed Committee constituted user groups in 5 out of 8 projects in MP (63%).

Self initiated and community based processes to form user groups were observed in 5 watersheds (9%). This was observed mainly in Nagaland, Orissa and Jharkhand.

The process of establishing user groups is not a stream lined and systematic exercise. The groups evolved during the course of time. It was observed that the efforts/ inputs made by facilitating agencies in MP and Orissa are notional and "activity oriented". Such efforts did not convert these notional institutions into vibrant functional institutions. In 49% of watersheds (27 out of 55 watersheds), the notional user groups remained notional, in the absence of facilitation support.

Jharkhand evolved different processes for forming user groups. User groups evolved from SHGs and laborers were also recognized as user group members. Another interesting process was to form user groups on the basis of hamlets. This process was observed in 1 watershed in Rajasthan.

(ii) Processes Followed by Projects/PIA:

63% of GoI GO projects (19 out of 30 projects) and 34% of GoI NGO projects (5 out of 15 projects) did not form user groups. In 14% of INGO NGO projects (one out of 7 projects), user groups were not formed. However, all the bilateral projects formed user groups.

Table -9

PIA/ Project Wise Responses					Pattern of Responses on User Groups	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
3	0	0	0	0	NO DATA	0	13	0	0	0	0	0	2
40	7	0	0	0	No efforts were made	0	0	29	13	50	0	75	24
20	27	0	0	14	On paper by PIA/ WDT.	0	88	14	25	13	0	0	20
Who formed new user groups													
20	47	100	100	57	WDT/ PIA	38	0	57	38	38	63	13	35
7	27	0	0	14	WC with the help of PIA	63	0	0	25	0	0	0	13
7	7	0	0	0	WC/ VDC	0	0	14	0	0	25	0	5
0	0	0	0	14	Groups were formed in Grama Sabha	0	0	0	0	0	13	0	2
3	0	0	0	0	Self Initiative of Farmers	0	0	0	0	0	0	13	2
What were the efforts made by PIA to form User Groups													
30	33	50	100	71	User Groups evolved during the course of time/ process, while the activities were implemented	0	0	43	63	38	100	25	38
7	33	50	0	14	Orientation programs were organized by PIA to users for identification of activities and users. These users were formed into groups.	100	0	14	0	0	0	0	16
What is the basis for forming User Groups/ Membership Criteria													
0	7	0	0	0	Close relatives	0	0	0	0	13	0	0	2
0	7	0	0	0	Temporary User Groups with existing SHGs. Beneficiaries and laborers were identified as Users	0	0	14	0	0	0	0	2
0	13	0	0	0	On the basis of hamlets	0	0	14	13	0	0	0	4
43	40	100	100	71	Beneficiaries of a particular activity (crops, structures, etc.)	100	0	43	50	38	88	25	49
30	**15**	**2**	**1**	**7**	**Grand Total (No of Projects)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Role of PIA/WDT was predominant in the formation of UGs in all categories of watersheds/ projects. The role of community in the institution building process was observed more in case of NGO PIAs. Bilateral projects did not demonstrate this process.

It is clear from the study that all categories of organizations/ projects need to evolve a clear process for forming user groups. All types of projects allowed time to shape these institutions rather than providing decisive inputs. Implementation of activities mainly crystallized the user groups. However, the main agenda of these groups was also perceived as "construction/activity completion". So they served the purpose of "completing the activities" and disappeared. Even in this ephemeral institutional process, NGO PIAs made better efforts, when compared to GO PIAs. In very limited number of cases, GoI NGO projects demonstrated different processes to form these institutions (criteria for selection of members, their functions and systems and so on).

Based on the above analysis, it is possible to categorize the processes formation of new groups into the following :

Most Common Processes	User groups were not formed or formed only on paper (Not Desirable) User Groups were formed by PIA/ WDT around activities (OK) User Groups evolved during the course of time/ process (Desirable) Temporary User Groups were formed along with existing groups (OK)
Rare Processes	Formation of User Groups on the basis of hamlets and based on the close relationship (Desirable) Farmers came together and formed themselves into a group with the support of PIA (Desirable) Defaulters of the existing groups were formed into new groups (OK)

B.2. Formation of SHGs:

General Practices

Majority of SHGs were formed by WDT/ PIA. In some watersheds, SHGs were formed in Gram Sabha/ Village Council with the help of village elders. WC/ VDC were also involved in some watersheds. In very few cases, Resource Organisations (NGOs)/ Anganwadi members formed the groups and in few other watersheds, interested members came together to form groups. In some watersheds PIA made special efforts to identify poor/ marginal & small farmers/ landless persons (women and men) and formed the SHGs. In few cases SHGs were formed with the permission of Village Council. In some watersheds, SHGs were formed after conducting exposure visits and training. Homogeneity in caste/ class/ gender/ affinity in a hamlet were taken as the main criteria for selecting members of SHG. Special problems like migration/ BPL were given next preference. Persons interested in thrift and credit were taken as members in some other watersheds. Existing common/ micro activity was taken as the criteria in few watersheds.

i) Processes Followed Across States:

The data on SHG is not available from Chattisgarh state in 7 out of the 8 sample watersheds (88%). This forms 13% of total watersheds. The PIAs made no serious efforts to form SHGs in 14 out of 55 watersheds (25%). UP with 6 watersheds (75%) and Jharkhand with 4 watersheds (43%) dominate this list.

In Madhya Pradesh, all watersheds formed SHGs in a systematic manner. The PIAs made special efforts to reach out to the poor families and formed SHGs. However, like UGs the formation of SHGs also evolved during the course of time. PIAs did not have specific methodology or process to form SHGs in 12 out of 55 watersheds. All watersheds in Orissa followed this method. Rajasthan also followed this method in 50% of watersheds. This indicates that PIAs need special inputs on the process of forming SHGs.

In 4 watersheds out of 55 (7%), SHGs were formed after conducting orientation and exposure visits to the villagers. Jharkhand and Rajasthan watersheds have followed this process.

Several criteria were adopted to identify members and form SHGs. For e.g., in 2 watersheds out of 8 (25%) in MP criteria for forming groups was members belonging to BPL families.

There was a clear focus on affinity, poor, common interest and problems while forming the SHGs. In Jharkhand, while the focus was on poorest of the poor, common interest/ affinity also formed the basis for forming groups. Jharkhand is the only state which has User Groups that started thrift and credit. Similarly SHGs of men were formed in 1 watershed in Jharkhand (14%) and in 2 in Rajasthan (25%) states only. In Nagaland, the Village Council had a clear say in the formation of SHGs. The members had to pay membership fees and be part of watershed project. The role of watershed committee and/or other village institutions was negligible in formation of SHGs in other states. PIA/ WDT played key role in formation of SHGs in all states.

ii) Processes Followed by Projects/ PIAs:

The 25% of watersheds that did not form SHGs were supported by GoI. This practice was observed with both GO and NGO PIAs. The process of formation of SHG evolved over a period of time in 12 out of 55 watersheds (22%). The lone NGO PIA under bilateral projects followed this process. 20% of GoI GO projects (6 out of the 15) also followed this process. The role of Village Council in formation of SHGs was observed in 6 projects under GoI GO projects (10%).

Efforts made by NGO PIAs in reaching out to the poor and forming their institutions were much higher than those by GO PIAs in all categories of projects. These PIAs also made efforts to orient the villagers before forming the groups.

One Bilateral GO project (50%) specially targeted the poor and landless families and formed their SHGs. This process evolved over a period of time, while the emphasis on criteria was not very explicit.

Table -10

PIA/ Project Wise Responses					Pattern of Responses on Formation of SHGs	State Wise Response							Total %
GOI GO	GOI NGO	Bilateral GO	Bilateral NGO	INGO NGO		M	C	J	R	U	O	N	
13	13	0	0	0	No data Collected	0	88	0	0	0	0	0	13
30	33	0	0	0	NO SHGs were formed by PIA or SHGs were formed only on paper	0	0	43	38	75	0	25	25
What were the efforts made by PIA to form SHG													
20	13	50	100	29	SHGs evolved during the course of process / time, while the common interest activities were being implemented.	0	0	0	50	0	100	0	22
20	0	0	0	0	Formation of any group requires permission from the village council, after doing so PIA decided the criteria and identified the members.	0	0	0	0	0	0	75	11
7	7	0	0	14	After conducting the exposure visits/ training	0	0	43	13	0	0	0	7
3	0	0	0	0	Defaulters of the existing group were formed into new group. The were originally formed by the Anganwadi teacher	0	13	0	0	0	0	0	2
7	33	50	0	43	PIA made special efforts to identify poor/ marginal & small farmers and landless persons (women and men).	100	0	14	0	25	0	0	20
What were the criteria for selecting members of SHG													
0	0	50	0	0	No Criteria	13	0	0	0	0	0	0	2
3	7	0	0	0	Persons belong to BPL	25	0	0	0	0	0	0	4
13	0	0	0	0	Persons interested in thrift and credit (men and women)	0	0	29	13	0	13	0	7
10	0	0	100	29	SHG of Women	0	0	43	38	0	0	0	11
3	7	0	100	0	SHG of men	0	0	14	25	0	0	0	5
0	7	0	0	0	Some members of User Groups (Men) formed SHG (Thrift and Credit)	0	0	14	0	0	0	0	2
10	0	50	0	0	Existing common/ micro activity	0	0	0	0	0	50	0	7
3	7	0	0	0	Special problems like migration	0	0	14	0	0	13	0	4
3	7	0	0	43	Homogeneity in caste/ class/ affinity in a hamlet	0	0	0	38	0	25	0	9
10	0	0	0	0	Must be a beneficiary of the WDP, Should have given the membership Fee to the Village Council and Should own land	0	0	0	0	0	0	38	5
7	33	0	0	57	Poor and very poor people (women and men)	63	0	43	0	25	13	0	20
30	**15**	**2**	**1**	**7**	**Total (No of Projects)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

The emphasis on poor was clearly visible in case of NGO PIAs in general. 33% of GoI NGO projects (5 out of 15 projects) and 57% of INGO NGO projects (4 out of 7 projects) clearly identified poor families to form SHGs. Similarly, INGO NGO projects formed SHGs in which members were more homogenous. Limited number of GoI NGO projects formed user groups, which started thrift and credit activities, which is considered to be a common activity of a SHG.

Based on the above analysis, it is possible to categorize the processes of forming GS into the following

Most Common Processes	• The process of forming SHG evolved over a period of time. The PIAs did not have necessary process understanding or tools to proactively establish SHGs (Not Desirable) • Identification of poor families to form SHGs (Desirable) Rare Processes
Rare Processes	• Persons interested in thrift and credit members were taken as members (Desirable) • User groups are transformed into thrift and credit groups. This process merged the boundary between the functions of SHGs and UGs (Desirable) • Village Council permits the formation of SHG (Desirable)

C. Formation of Watershed Committee

All the members of the community, who are directly or indirectly dependent upon the watershed area, will be organised into a Watershed Association, after forming of UG and SHG. The WC may consist of 10 – 12 members who will be nominated by the WA from amongst UG (4-5), SHG (3-4), Gram Panchayat (2-3), and a member of the WDT. Each Watershed Development Project shall have a Watershed Secretary, a full – time paid employee of the WA (1994 MoRD Chapter III, Para 36 - 38, WARASA MOA Chapter IV, Para 60 - 65).

General Practices:

Across the states, majority of the watershed committees were selected by PIA/ WDT. The Watershed Chairman was usually selected within the village. Sometimes PIA/ WDT also had role in the selection. Before the formation of WC, two to five meetings were organised and in few watersheds, only one meeting was organised. Women and weaker sections were taken as the important criteria in selecting Watershed Committee. The next preference was given to the educated, respectable, trustworthy and honest persons in the village. Representatives of UG/ SHG/ WA and other groups were given equal importance. In most of the watersheds, Bank Account was opened for project funds.

i) Processed Followed Across States:

In 40 out of 55 watersheds (71%) the process of forming watershed committee was largely an internal process of the village. However, this apparently very participatory process has its own gaps.

External facilitators dominated the processes in 10 out of the 55 projects (18%). In 4 out of the 8 sample watersheds in UP (50%), the watershed committee was formed by PIAs. In Chattisgarh, Jharkhand and MP also the dominant role of PIA was visible. In an extreme case, PIA itself performed the role of the watershed committee. In few cases the PIAs formed the watershed committee only on paper. The members also do not know that they are on the committee.

On the other hand, the watershed committee was formed by watershed association/ Grama Sabha in some of the watersheds. Though this process was observed in all states, Orissa and MP have maximum watersheds under this category (8 and 7 respectively). Though the members were selected from the village they did not represent any user group/ SHG, as desired by the Guidelines.

The user groups/ SHGs (beneficiaries of project) nominated their representatives to the watershed committee in only one watershed (2% of total), which is in Nagaland. Similarly, the existing village level institution was given the responsibility of implementing watershed project in only one watershed in Rajasthan.

In case of 10 watersheds out of 55 (18%), each hamlet after internal discussions nominated their representative(s) to the watershed committee. Jharkhand, Rajasthan and UP demonstrated this process, where representation of a human settlement became an important selection criteria for WC.

In 8 out 55 watersheds (15%), where PIA dominated, the community could not remember any details of forming the committees and/or the villagers could not provide any relevant data. PIA did not make any attempts to organize meetings or any other consultations for forming the committee. This process was observed in MP, Chattisgarh, UP, Orissa and Nagaland.

35 out of 55 watershed committees (65%) were formed in a single meeting or at the most two meetings. However, 7 watersheds from Chattisgarh, UP, Orissa and Nagaland (12% of total watersheds) conducted several meetings before forming the watershed committees.

Opening of a bank account converts the watershed committee into a formal institution. 42 out of 55 watersheds (76%) formally opened a bank account in their name. Though this is the common practice across all the states, only in Jharkhand, all the 7 projects opened bank accounts in the name of watershed committees.

In 8 watershed projects (15% of the total sample), the Bank account was not opened in the name of watershed committee. This was seen in case of MP, Chattisgarh, Orissa and Nagaland. In such cases, the communities/ committee members were not very clear about the details of watershed project accounts (names, authorized signatories, etc.). During the interaction with the study team the committee members in 2 watershed projects in UP realized that there should have been a bank account in the name of watershed committee which they did not know until then.

The bank account was opened in the name of existing village development committee in one watershed project in Rajasthan only.

Table -11

PIA/ Project Wise Responses					Pattern of Responses on Who selected watershed committee?	State Wise Response							Total
GOI GO	GOI NGO	Bilateral GO	Bilateral NGO	INGO NGO		M	C	J	R	U	O	N	%
0	0	0	0	14	PIA acts as WC	0	0	14	0	0	0	0	2
3	7	50	0	14	Only PIA	13	38	0	0	0	0	0	7
10	0	0	0	0	PIA formed WC. WC members do not know that they are WC members.	0	0	0	0	38	0	0	5
0	13	0	0	0	PIA with village leaders (e.g. Local Contractor)	0	0	14	0	13	0	0	4
17	0	0	0	0	PIA after discussion with Sarpanch and Panchayats; Village Council (Nagaland).	0	0	0	0	13	0	50	9
0	0	0	0	14	No new committee was formed. Already existing Village Committee was given the responsibility of Watershed Program.	0	0	0	13	0	0	0	2
7	33	0	50	29	Representatives of hamlets were nominated to WC.	0	0	43	50	38	0	0	18
60	47	50	0	29	Members of Watershed Association/ Grama Sabha selected WC in the presence PIA/ WDT.	88	63	29	38	0	100	38	51
3	0	0	0	0	Nominated by the beneficiaries who submitted the list to the PIA.	0	0	0	0	0	0	13	2
What is the process of selecting WC Chairman?													
13	20	50	0	29	Dominated by external facilitators	13	38	29	0	50	0	0	18
17	0	0	0	14	Joint Exercise of internal and external agencies	0	0	0	13	13	0	50	11
70	80	50	50	57	Largely internal exercise	88	63	63	88	38	100	50	71
30	**15**	**1**	**2**	**7**	**Total (No of Projects)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

ii) Processes Followed by PIAs/ Projects:

30% of GoI GO projects (9 out of 30 projects) adopted a procedure in which the villagers had a very limited role. 20% of GoI NGOs (3 out of 15 projects) also followed the same process. The committees in such watersheds largely remained on paper and they could not perform any of their functions.

In one watershed (under INGO NGO projects), PIA itself acted like a watershed committee. This was not observed in any other type of project/ PIA. Another project in the same category (INGO NGO) gave the responsibility of watershed project to the existing village institution. These are two extremes of participatory process.

Watershed committee members were selected in the Gram Sabha in 28 out of 55 watersheds (51%). This process was widely seen in case of GoI GO projects (18 out of 30 watersheds; 60%).

NGO PIAs in all categories of the projects have largely adopted the process where each hamlet sent its own representative to the watershed committee.

"Non-participatory" processes of forming watershed committee were observed in all categories of projects, except in case of Bilateral NGO project. When compared to NGO PIAs, more number of GO PIAs followed this process.

Watershed committee was formed in one or two meetings in large number of watersheds. The lone bilateral NGO project and GoI NGO projects (12 out of 15 projects 80%) fall in this category.

71% of INGO NGO projects (5 out of the 7 projects) took longer time and more number of meetings (ranging from three to six) to form the watershed committees.

93% of GoI NGO projects (14 out of 15) opened the Bank accounts in the name of the watershed committee. INGO NGO projects and bilateral projects either did not open the project account in the name of the watershed committees (due to constraints of foreign contribution regulation act) or opened in the name of existing village level institutions.

In 77% of GoI GO projects (23 out of 30 projects), bank accounts were opened in the name of watershed committee. However, there is considerable confusion on the issue at the field level in the remaining 7 watershed projects (23%). In these villages, community could not recall the details.

Table -12

PIA/ Project Wise Responses					Pattern of Responses on No. of meetings organized before the formation of WC? (Grama Sabha/ Village/ Hamlet Meetings)	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
3	0	0	0	0	Do not remember	0	0	0	0	0	0	25	13
10	13	50	0	14	Data Not available	63	0	0	0	38	0	0	7
13	0	0	0	0	No meetings	0	13	0	0	13	13	25	27
33	27	0	0	14	Only one meeting	0	38	57	50	25	63	38	38
33	53	50	100	14	Two to three meetings	38	13	43	50	0	13	13	7
7	7	0	0	14	Four to five meetings	0	25	0	0	25	0	0	5
0	0	0	0	43	More than five meetings	0	13	0	0				
Whether Bank A/C for project funds was opened?													
3	0	0	0	0	Data Not Available	0	13	0	0	0	0	0	2
0	0	50	0	0	Opened at the fag end of the project for depositing Village Development Fund	13	0	0	0	0	0	0	2
7	0	0	0	0	WC members do not know that the Bank A/C was opened.	0	0	0	0	25	0	0	4
13	7	50	0	29	Not opened in the name of WC	13	13	0	0	0	38	38	15
0	0	0	0	14	Opened in the name of existing Village Development Committee.	0	0	0	13	0	0	0	2
77	93	0	50	57	Opened in the name of WC	75	75	100	88	75	63	63	76
55	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Based on the above analysis, it is possible to categorize the above processes into the following:

Most Common Processes	• Meetings of Watershed Association/ Grama Sabha to form watershed committees (Desirable) • Formation of watershed committee is largely an internal process, though there are some limitations with this process (Desirable) • Watershed Committees were formed within one or two meetings (Not Desirable) • Bank A/C was opened for project funds (Desirable)
Rare Processes	• Existing village level institutions (Village Development Council) was given the responsibility of Watershed Program (Desirable) • PIA acts as Watershed Committee (Not Desirable) • Communities do not know that there is a project account (Not Desirable) • User groups/ SHGs nominated their representatives for watershed committee (Desirable) • Joint Exercise by the Villagers and PIA for selecting the Watershed Chairman (Desirable) • Five to six meetings are organized to form watershed committee (Desirable) • Each hamlet nominated their representative to the watershed committee (Desirable)

D. Watershed Association :

Watershed Association is a nebulous institution. If the watershed area is coterminous with the Grama Panchayati area the Grama Sabha is considered as watershed association. The formation of watershed association is not a clearly defined process and many communities did not recognize this institution. Wherever they were formed, it was only a formality.

Process Followed in Different States:

In 40 out of 55 watersheds (73%), the watershed association was not formed or communities could not remember its members/ functions/ role in the watershed project. In MP and Chattisgarh, the operational policy at the state itself does not have a provision for forming watershed association. Similarly, watersheds in Nagaland also did not form watershed association. The local village councils functioned as watershed associations in Nagaland. Watersheds in Orissa (6 out of 8; 75%), Rajasthan (4 out of 8; 50%), Jharkhand (1 out of 7; 14%) and UP (1 out of 8; 13%) formed watershed associations.

Both bilateral GO projects did not form watershed association. Majority of GoI supported watershed projects did not form watershed associations. 23 out of 30 GoI GO (77%) projects and 11 out of 15 GoI NGO (73%) projects fall in this category.

4 out of 15 GoI NGO projects (27%) and 6 out of 30 GoI GO projects (20%) supported projects formed the watershed associations. The lone Bilateral NGO formed watershed association. Interestingly, 1 out of 7 INGO NGO projects (14%) also formed watershed associations, though they not required.

However, functionality of these watershed associations is not a well-defined process. The bye laws of the watershed association are prepared invariably by PIA. A standard format of the bye laws are used in all cases without any discussion on the content of the bye-laws. Watershed Committee is more visible institution when compared to watershed association in most of the watersheds.

Majority of watersheds under all categories of projects/ PIAs, the formation of watershed association was a formality. When they were formed, more NGO PIAs in bilateral and GoI funded projects formed the watershed associations.

Table -13

PIA/ Project Wise Responses					Pattern of Responses on - Whether Watershed Association is formed or not?	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
77	73	50	100	57	No								
20	27	50	0	14	Yes	0	0	14	50	13	75	0	22
3	0	0	0	29	Data NA	0	13	0	13	13	0	0	5
30	**15**	**2**	**1**	**7**	**Total (No of Projects)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

CHAPTER - 5

KEY EVENTS – SET 3: Participatory Planning

Introduction

This chapter examines the process of action planning for watershed development projects. The main purpose of the key events in Set 3 activities is to:

- Develop action plans for conserving, developing and utilizing watershed resources in a participatory manner.
- Develop common understanding and consensus on the contents of action plans among different institutions at watershed level.

For achieving the above objectives, the facilitating teams were expected to undertake/ facilitate the following key activities :

a. Identification of Poor
b. Delineation of watershed area
c. Conduct problem analysis (General and Specific to women and resource poor)
d. Decisions on Interventions and Site Selection - Role of Local Volunteers
e. Identification of ITK
f. Preparation of Group/ Individual level action plans
g. Discussions on non-negotiables (Contribution, etc.)
h. Preparation of designs and estimates
i. Consolidation of Action Plans

Designed and Desirable Processes – Set 3:

Development without planning sounds like a vehicle without wheels. The term development itself envelops the process of participatory planning in which local communities come together to discuss issues & concerns and evolve appropriate options for addressing them. Contribution by local communities, internal decision making and collective thinking are some of the key features of the participatory planning. External agents function like a facilitator in the process and help them to arrive at appropriate choices. Planning process is envisaged to be an elaborate exercise extending to several days and weeks with several key steps. Watershed development team spends considerable time with the communities

and conducts situation analysis and basic surveys. Several participatory tools and methods were employed for this purpose such as Participatory Rural Appraisal (PRA), focused group discussions, problem analysis, etc.

The main emphasis is to interact with rural communities and understand their situation, relationship between their life and watershed resources. Information generation/ collection is only one of the purposes of such interactive process. The main purpose is to involve communities, particularly resource poor families and women/ dalits in the process of planning. During this process, the communities get together and understand the potential of the project and devise their own role in the entire project. The institutions such as user groups, SHG, watershed committees, Grama Panchayati also define their role during this process. Thus the watershed development planning is also seen as institution strengthening process.

Similarly, planning is also an opportunity to integrate several key concerns such as gender, equity, transparency, sustainable resource use and so on. The external teams have to facilitate negotiations between the groups/ individuals to arrive at commonly agreed norms and priorities. Sequencing of activities, contribution from users, responsibility sharing among different institutions are some of these norms are to be discussed and decided during the planning process.

The external facilitating teams (WDT/ PIA/ Project Authorities) have to support this process and ensure that choices and action plans emerge from the people who are actually facing the production related problems in the context of watershed program. The facilitating teams are expected to use several participatory tools/ methodologies that enable the people to identify, prioritise and analyse their problems and opportunities comprehensively.

One watershed is further subdivided into sub watersheds and action plan would be prepared with the concerned user groups. Action plans would be prepared to address conservation, development, management and production problems of watershed resources. The action plans prepared at individual as well as group level would be consolidated at watershed level. The Grama Sabha/watershed association is expected to approve all these action plans and prioritize them. During this process, the Grama Sabha and Grama Panchayati would formally commit themselves towards the non-negotiables of watershed project such as genuine contribution from user groups, regulated use of watershed resources, preferential allocations of watershed benefits (particularly from CPRs) to resource poor families/ women groups, etc.

The project views participatory planning as a flexible and evolutionary process to be inculcated in the community for better understanding of the resource management concepts. This process is also expected to strengthen the next steps of the project such as implementation, maintenance, etc. A participatory planning process establishes a sense of ownership among communities and boosts their confidence to exercise control over resources.

A. Identification of poor

Though this step is not an explicitly stated mandatory requirement, there is a clear indication of this focus on poor families in the watershed guidelines. The study teams enquired issues related to focus on poor to assess the levels of sensitivity of projects on poverty related issues in the watershed context.

Table -14

PIA/ Project Wise Responses					Pattern of Responses on Generating List of Poor	State Wise Response							Total
GOI GO	GOI NGO	BIla-teral GO	BIla-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
30	20	100	0	0	Not generated	13	25	29	25	75	0	0	24
17	13	0	0	0	Secondary data (BPL List)	38	25	0	25	0	0	0	13
3	0	0	0	0	WC provided the List	0	0	0	0	0	0	13	2
3	7	0	50	29	PIA already knew the poor, So the list was not generated	13	13	0	38	0	0	0	9
13	0	0	0	14	Through Village meetings	0	13	0	0	0	25	25	9
7	7	0	0	0	Interviews/ discussions with key/ senior persons	0	0	0	13	0	0	25	5
10	20	0	0	0	Household Surveys	25	13	0	0	0	38	0	11
17	33	0	50	57	Social Map/ Well Being	25	0	71	0	25	38	38	27
					Ranking for Target Listing (Caste/ food security)								
30	15	1	2	7	Grand Total (Nos)	8	8	7	8	8	8	8	**55**

(i) Processes Followed in Different States:

27 out of 55 projects (49%) did not follow any participatory process to assess the levels of poverty in the watershed villages. Of this, 24% of projects did not even attempt to generate list of poor families in the watershed villages. UP tops this category with 6 out of 8 projects (75%). In other states (mainly MP, Chattisgarh, Jharkhand and Rajasthan) made a cursory or no attempt in this regard. They used existing data base (e.g. BPL families list) or their previous knowledge of the village.

Village meetings, household surveys and Social mapping exercise were the most common tools used for identifying poor families in the village. Jharkhand was the only state with processes on the two extremes – 2 projects out of 7 (29%) did not identify poor families and 5 projects (71%) used participatory tools like social mapping. The remaining watersheds followed several processes falling between these two extremes.

(ii) Process Followed by Projects/PIAs:

Relatively more GoI GO projects ignored the process of identifying the poor. 9 out of 30 GoI GO projects (30%) and the both the Bilateral GO projects fall in this category. 3 out of 15 GoI NGO projects (20%) also ignored this process.

In case of NGO PIAs, the previous relationship with the villagers helped them in understanding the issues related to poverty. So there was no need for them (in one project each in GoI NGO projects, Bilateral NGO and in 2 projects in case of INGO NGO projects) for conducting special and separate exercise. The NGO PIAs also adopted participatory tools such as social mapping for identifying poor families in the watershed areas. GoI GO and GoI NGO projects had a wide range of processes (very negative processes to highly participatory).

Based on the above analysis, the process of identifying the poor can be categorised into the following:

Most Common Processes	• Initial data was collected through interviews with village leaders followed by household survey and PRA (Desirable) • List of poor families was not generated (Not Desirable) • Social mapping/well being ranking for identifying poor (Desirable)
Rare Processes	• Camp in the village by PIA staff for conducting bench mark surveys (Desirable) • Watershed committees providing list of poor in the village (Desirable) • Hiring resource persons for conducting bench marking surveys (Desirable) • Previous knowledge of the village helped the PIA to understand the poverty situation in the village (Desirable)

B. Delineation of Watershed Area

Delineation of watershed area had a wide variety of processes. Some of them were very participatory in which villagers also participated and others were very non-participatory in which the delineation was only on the map and PIA alone completed this task. The details of this process are mentioned below.

(i) Processes Followed in Different States:

In 7 out of 55 watersheds (13%), the communities could not remember any process related to watershed delineation. Majority of these watersheds are from MP and the remaining are from UPand Nagaland. One watershed project each in MP, Orissa and Nagaland delineated watersheds on topo sheets without any involvement of the community. The same process was followed in one project in Rajasthan using village cadastral map instead of toposheet.

In 4 out of 7 watersheds in Jharkhand (57%), the watershed was initially delineated on toposheet and later on this was confirmed with the village community. This process was followed in 3 watershed projects (38%) in Nagaland and one project (13%) in Chattisgarh.

3 watersheds in UP (38%) conducted technical surveys to delineate watersheds. One project in the same state (13%) also used the services of technical support organizations for delineating watersheds. The support from remote sensing data/ map was available to 4 watersheds in Rajasthan (50%). Support of this nature was available only in this state.

33 projects out of 55 (60%) delineated watershed using participatory tools like transect walk, resource map and discussions with villagers. During these processes resource map, cadastral map played a vital role. Chattisgarh occupies highest position in following this process (7 out of 8; 88% of watersheds); Jharkhand also followed more or less similar process. Nagaland has lowest number of watersheds under this category.

Very interestingly, the watershed was not delineated at all in 2 projects (4%). As a policy entire village was adopted "formally". This process was observed in Rajasthan where the preference of the villagers was given more importance rather and the village boundary was recognized as the watershed area.

Box 3

Where is the watershed map?	% of Watersheds
Not available	25%
WC does not know	5%
Maps are with PIAs only	13%
Maps are with Zilla Parishad, and not within the Village	11%
Only delineated maps available (topo sheet with watershed) within the village	33%
Delineated maps were painted/ displayed on wall/ board in the village	40%
Maps are with watershed committee/ village	2%
Yes	5%

(ii) Processes Followed by Projects/ PIAs:

Majority of watersheds under GoI supported projects and INGO supported projects followed a participatory process for delineating the watershed areas. 9 out of 15 GoI NGO projects (60%); 19 out of 30 GoI GO projects (63%) and 4 out of 7 INGO NGO (57%) projects are in this category.

The lone Bilateral NGO project (100%) and one INGO NGO project (out of 7; 14%) did not delineate watershed area. These projects adopted the entire village as per the priority of the villagers.

In case of 6 projects out of 45 under GoI funded projects (13%), the communities could not remember the process related to watershed delineation. This was also observed in case of bilateral GO PIA facilitated projects.

Use of toposheet and consultations with villagers (for cross verification) was observed in case of NGO PIAs (GoI and INGO funded projects) and GO PIAs under GoI. Almost same percentage of projects under each category followed this process (13% to 17% of respective categories).

Most Common Processes	• Watersheds were delineated by conducting transect walk, PRA and other relevant maps by PIA and villagers (Desirable) • Initial usage of toposheet and later confirmation by the community (Desirable) • Delineated maps were painted/ displayed on wall/ board in the village (Desirable)
Rare Processes	• Remote sensing data/ maps were provided to PIAs (Desirable) • Services of technical support organizations were hired (OK) • Availability of watershed maps with watershed committees (Desirable) • Watershed area and village area were merged to suit to the needs of the village (Desirable) • Entire village was adopted for watershed development. Watershed area was not delineated (OK)

Table -16

PIA/ Project Wise Responses					Pattern of Responses on Delineation of Watershed Area	State Wise Response							Total
GOI GO	GOI NGO	BIla-teral GO	BIla-teral NGO	INGO NGO		M	C	J	R	U	O	N	
13	13	50	0	0	Not known	50	0	0	0	25	0	13	13
3	0	0	0	14	PIA alone used maps (Toposheets)	13	0	0	0	0	13	13	5
0	7	0	0	29	Technical Survey was conducted	0	0	0	0	38	0	0	5
0	7	0	0	0	PIA based on block maps.	0	0	14	0	0	0	0	2
10	7	0	0	0	Government provided watershed maps from watershed atlas which were used as reference.	0	0	0	50	0	0	0	7
17	13	0	0	14	Initially Top sheet was used, later this was confirmed by the community.	0	13	57	0	0	0	38	15
0	7	0	0	0	PIA hired the services of Resource Organization	0	0	0	0	13	0	0	2
3	0	0	0	0	PIA and Village elders	0	0	0	0	0	0	13	2
3	0	50	0	0	PIA and WDT revised the delineated area suit to the local needs	0	0	0	25	0	0	0	4
63	60	0	0	57	PIA and villagers conducted the transect walk, PRA mapping, using cadastral map	38	88	29	75	63	88	25	58
0	0	0	100	14	Village as a whole was adopted. Special watershed area was not delineated.	0	0	0	25	0	0	0	4
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

GoI NGO projects had a wide variety of processes. Though 9 out of 15 projects (60%) followed relatively participatory process, remaining watersheds followed a combination of technical and participatory processes to delineate the watersheds. They also sought the help of technical support organizations in the delineation of watersheds.

One GO PIA under bilateral projects was not able to demonstrate a process that was either technically sound or participatory or combination of both.

Based on the above analysis, the process of delineation of watershed can be categorised into the following:

C.1. Conducting Problem Analysis - General

(i) Processes Followed in Different States:

Problem identification had a variety of processes, ranging from participatory to non-participatory. In 14 projects out of 55 (25%), the problem analysis was either absent or completely "top-driven" process, where the PIA dominated. 5 out of 8 watershed projects in UP(63%) did not conduct problem analysis at all. In MP, PIAs decided the problems in 6 out of 8 projects (75%). This process of PIA domination was also observed in Rajasthan, Orissa and Nagaland.

Grama Sabha offered a platform for identification and analysis of problems in 17 out of 55 watersheds (31%). This was the most common process observed in the entire sample of watersheds. Except UP and Orissa, all other states followed this process, with varied levels. Chattisgarh has 5 projects (31%) under this category, while Jharkhand, Rajasthan and Nagaland have almost equal percentage of watersheds under this category.

PRA was conducted in Grama Sabha to understand the problems and theme specific discussions were conducted. This process was followed in 7 out of 55 sample watersheds (13%). Two projects each in Rajasthan, Orissa and UPfall in this category.

Another popular process was a combination of tools/ methods (transect walk, Grama Sabha and discussions with individuals/ groups) to elicit the problems of the villagers. This process was followed in Rajasthan (5 out of 8; 63%); Orissa (3 out of 8; 38%); Chattisgarh (2 out of 8; 25%) and UP (1 out of 8; 13%).

Jharkhand has highest number of processes through which the problem analysis was conducted. Some interesting processes are listed here:

- PIA conducts a four day camp in the village to identify and analyse problems.
- Volunteers and WC members were involved in identification of problems and PIA supports them to consolidate the related data.

- Discussions at individual/ group/ Grama Sabha levels were organized and several participatory tools were used to identify and analyse problems. Triangulation of data was also done in Grama Sabha.
- Village Amin (Revenue Assistant) was involved in identification of problems.

(ii) Process followed by Projects/ PIAs :

Several GoI supported projects did not conduct problem analysis at all or conducted it in a very non-participatory manner. Both categories of PIAs fall into this category (23% of GoI GO Projects, 7 out of 30; 40% of GoI NGO projects, 6 out of 15). One Bilateral GO project adopted a top-down process of problem identification.

The role of village leadership in problem identification was prominent in 8 out of 55 watersheds (15%). 13% of watersheds under GoI GO projects (4 out of 30) and GoI NGO projects (2 out of 15) and 14% of INGO NGO projects (one out of 7) followed this process.

Grama Sabha was conducted to elicit problems in 17 out of 55 sample watersheds (31%). Projects funded by GoI and INGO followed this process. 37% of GoI GO projects (11 out of 30); 20% of GoI NGO projects (3 out of 15) and 43% of INGO NGO projects (3 out of 7 projects) followed this process.

A combination of tools and methods such as field surveys/ walks/ interactions with individuals and groups/ Grama Sabha were used to elicit problems, analyse them and cross check the details. This process was observed in 18 out of 55 watershed projects (33%). Almost equal share of watershed projects under GoI GO projects and GoI NGO projects used this process. The lone Bilateral NGO project and 4 out of 7 INGO NGO projects also followed this process.

GoI NGO projects demonstrated a variety of processes for identification of problems and analysis. The highest number of processes was observed in this category of projects. These diversified experiences are largely from NGO PIAs of Jharkhand state.

Table -16

PIA/ Project Wise Responses					Pattern of Responses on Problem Analysis Responses	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
10	13	0	0	0	Not conducted	0	0	0	0	63	0	0	9
13	27	50	0	0	PIA identified and shared in village meetings	75	0	0	13	0	13	13	16
13	7	50	0	14	Identified by Watershed Committee/ prominent leaders of the village	0	13	0	25	0	13	38	13
0	7	0	0	0	Identified for every "Theme" with WC and prominent leaders of the village	0	0	14	0	0	0	0	2
0	7	0	0	14	Amin (Revenue Assistant) and WDT visited field and collected data on problems	0	0	29	0	0	0	0	4
37	20	0	0	43	Identified in the village meeting/ gram sabha with the facilitation of PIA/ WDT	13	63	43	50	0	0	50	31
7	7	0	0	0	Hamlets wise problems were identified	0	0	0	25	0	13	0	5
23	20	0	0	14	Field Survey, transect walk, discussions with individuals/ groups were used by WDT /WC	0	25	0	63	13	38	0	20
7	7	0	100	43	PRA on Prioritisation, Ranking and analysis of problems was done in consultation with village leaders, committee members and few others by PIA	13	0	0	25	25	25	0	13
0	7	0	0	0	WDT, WC discussed with owners in the field, recorded in the books and cross-checked with the whole community in village meeting.	0	0	14	0	0	0	0	2
0	7	0	0	0	4 Day camp for problem analysis for each hamlet	0	0	14	0	0	0	0	2
0	13	0	0	14	Data on problems was primarily collected by Volunteer/ WC members and consolidated by PIA	0	0	43	0	0	0	0	5
0	7	0	0	0	Data on problems was primarily collected by Volunteer and checked by PIA with all the families	0	0	14	0	0	0	0	2
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

C.2. Conducting Problem Analysis- Specific to Women and Resource Poor:

(i) Processes Followed in Different States:

7 out of 55 (13%) watersheds did not conduct any problem analysis and/or communities did not remember any such occasion. So the question of conducting problem analysis with specific reference to women and weaker sections does not arise in these watersheds. 63% of watersheds in UP (5 watershed projects out of 8) and 25% of watersheds projects in Orissa (2 watersheds projects out 8) belong to this category.

In 15 out of 55 watersheds (27%), there was no effort to discuss the problems of women. Except, MP all states have ignored the problems of women in watershed context. Rajasthan tops the list with 5 out of watersheds (63%), followed by Chattisgarh (4 out of 8; 50%) and Jharkhand (3 out of 7; 43%).

Similarly, in 18 out of 55 watersheds (33%), there was no effort to discuss the problems of weaker section. All states followed this process with variations. All the 8 sample projects in Rajasthan ignored the problems of weaker sections. Jharkhand (3 out of 7; 43%) and MP (3 out of 8; 38%) are also among the top. One project out of 8 (13%) in all the remaining states falls in this category.

All projects in Madhya Pradesh completely ignored the issues related to women, during problem analysis stage. All other states made at least some efforts (genuine and not so genuine) to look at the problems of women.

Based on this analysis, one could see that – 22 out of 55 watersheds (40%) completely ignored the problems of women and 25 projects (46%) ignored the problems of weaker sections. These projects did not make any special efforts to interact with poor and women and learn from them about their problems.

Discussion with weaker sections/ women to understand their problems was limited to savings and credit related issues. This pattern was observed in 9 out of 55 watershed projects (16%). 7 out of 8 projects (88%) in Nagaland and 2 projects out of 8 (25%) in Chattisgarh followed this process. Other states did not follow this process at all. Thus the attention given to problems of weaker sections was limited to thrift and credit only.

Six states among seven, discussed the issues and problems of women: Chattisgarh, Jharkhand, UP, Rajasthan, Orissa and Nagaland. Though 7 out of 8 projects (88%) in Nagaland spent time on this theme, they did not give special attention to women and their problems. In the remaining states (where they followed this process), the project teams organized separate meetings with women. Jharkhand (4 out of 7; 57%) and Chattisgarh (4 out of 8; 50%) top this list, while other states have reasonable number of projects under this category.

In Jharkhand (2 out of 7; 29%) and UP (2 out of 8; 25%), issues related to landlessness and causes for poverty were discussed. In UP, considerable efforts were made to combine land rights related issues with watershed development processes. This was not observed in other states.

(ii) Processes Followed by Projects/ PIAs:

Compared to other types of projects GoI funded projects seem to have ignored the problems of women and weaker sections to a large extent; which was observed with both NGO and GO PIAs. 43% of GoI GO projects (13 out of 30) and 47% of GoI NGO projects (7 out of 15) completely ignored the problem analysis or ignored women during this stage. Similarly, 43% of GoI GO projects (13 out of 30) and 67% of GoI NGO projects (10 out of 15) completely ignored the problem analysis and/or weaker sections during this stage.

GoI GO projects limited the discussions on issues related to women to wages, earnings, thrift and credit. Special meetings were exclusively organized with women to discuss their issues. 40% of GoI GO projects (12 out of 30) and 26% of GoI NGO projects (4 out of 15) followed this process. Only 3% of GoI GO projects (one out of 30) and 7% of GoI NGO (one project out of 15) discussed issues related to landlessness and livelihoods of weaker sections.

The lone Bilateral NGO project ignored women and weaker sections during problem analysis. 14% of INGO NGO projects (One out of 7) also ignored problems of women and weaker sections of the society, during problem analysis.

Majority of INGO NGO projects (5 out of 7; 71%) have spent considerable time and energies on understanding the problems of women and weaker sections. Similarly, 2 of these projects (29%) made considerable efforts to understand problems of landless families and address them.

Table -17

PIA/ Project Wise Responses					Pattern of Responses on Identification of Problems of Women and Weaker Section	State Wise Response							Total
GOI GO	GOI NGO	BIla-teral GO	BIla-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
10	13	0	0	0	No Problem Analysis	0	0	0	0	63	0	0	9
3	7	0	0	0	Do not know	0	0	0	0	0	25	0	4
30	27	50	0	14	No special attention was given to women problems	0	50	43	63	13	13	13	27
30	47	0	100	14	No special attention was given to weaker section problems	38	13	43	100	13	13	13	33
7	7	0	0	0	Issues related to women were discussed	0	25	0	0	0	13	0	5
7	7	50	0	14	Issues related to Weaker section were discussed	63	0	0	0	0	0	0	9
23	13	0	0	0	Issues of earnings and savings of women and weaker section were discussed.	0	25	0	0	0	0	88	16
17	13	0	0	71	Meetings with women to discuss their problems	0	0	57	38	25	38	0	22
3	7	0	0	29	Special meetings with weaker sections to discuss their problems and the reasons for landlessness.	0	0	29	0	25	0	0	7
30	**15**	**2**	**1**	**7**	**Total Number of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

PRA was the major tool used by PIA in the process of problem analysis. This was used in the lone NGO bilateral project, 3 out of 7 NGO projects (43%), 2 out of 30 GO PIAs (7%) and one out of 15 NGO PIAs (7%) of Government projects. Field Survey, transect walk, discussions with individuals, etc. were observed in many cases of GO projects (23 of GO PIA and 20 of NGO PIA) and in 14 of NGO Projects. Primary data on problems was collected by volunteers in 13 of GO NGO PIA. Hamlet-wise problems were identified only in GO projects (7 each in GO and NGO PIAs). No Problem analysis was done in some of the GO projects (10 of GO and 13 of NGO PIAs).

Special meetings with weaker sections and women to discuss their problems was mostly observed in NGO Projects (70%) and to some extent in Government projects (17 each in GO and NGO PIAs). Issues related to women and weaker sections were discussed mostly in GO PIA of bilateral (50%) and some extent in Government projects (31 of GO and 22 of NGO PIAs) and 10 of NGO projects.

Based on the above analysis, the process of conducting problem analysis can be categorised into the following:

Most Common Processes	• Problems were generally identified in the village meeting with the facilitation of PIA/ WDT (Desirable) • Problem analysis was by field survey, transect walk, discussions with individuals etc. (Desirable) • Problem analysis largely ignored problems of women and weaker sections (Not Desirable)
Rare Processes	• Amin (Revenue Officer) participated in village level problem analysis (Desirable) • Hamlet wise problem analysis was conducted (Desirable) • Issues related to landlessness were discussed during problem analysis (Desirable) • Village/ hamlet level camps were organized by the PIA to conduct problem analysis (Desirable) • Watershed functionaries played specific roles and contributed to problem analysis (Desirable)

D.1. Decisions on Interventions and Site Selection

After problem analysis, WDT members along with the farmers/users will conduct surveys to document the details like survey numbers, name of the owner, exact nature and extent of problem/opportunity and indigenous technical innovations, farmers/users concerns and constraints, suggestion of farmers/users on technical solution, etc. Field survey, field visits and PRA are the tools used for this purpose. Role of local volunteers and other institutions is important at this stage. Decisions like type of interventions, site selection, etc. are to be taken during this stage.

(i) Processes Followed in Different States:

The watershed planning process should be participatory in which external agents facilitate the discussions and help the community to arrive at common decisions.

Decisions on Interventions:

It is difficult to pinpoint a particular group/ person who took the decision. However, the discussions with the community tried to locate the decision making center amongst the key players. This section presents the processes followed in decision making related to contents of watershed action plans (interventions and location of interventions).

The decisions on interventions (what type of works and treatments) were taken by PIAs in 39 out of 55 projects (71%). 7 out of 8 projects each in MP, Chattisgarh, Rajasthan, UPand Nagaland (88%) followed this process. In these states, the role of WDT was almost negligible. Role of the WDT was seen in 2 out of 7 watersheds in Jharkhand (29%) and 6 out of 8 projects in Orissa (75%).

The role of watershed committee and user groups was seen in 13 out of 55 projects (24%). This process was not observed at all in Nagaland. Considerable role of watershed committees and user groups was seen in Rajasthan. However, the domination of PIA was equally high in these watersheds. In most of the cases the decision of PIA prevailed. The choice of interventions was made by user groups in 2 out of 7 projects in Jharkhand (29%).

Site Selection:

In 15 out of 55 projects (27%) PIA unilaterally decided the site location. All states followed this process. Highest among this category is Rajasthan followed with 6 out of 8 projects (75%). 3 out of 8 projects in UP (38%) and 2 out of 8 projects in Nagaland (25%) also followed this process.

In 35 out of 55 projects (64%) PIA and WDT played a major role and village leadership played a critical role in selecting the sites for watershed treatment. 7 out of 8 projects in MP (88%); 5 out of 7 in Jharkhand (71%); 5 out of 8 each in UP and Chattisgarh (63%) followed this process. Though the role of PIA and WDT were seen separately, both belong to same institution. They are expected to support the process of internal choice and decision making. However, the domination of PIA and WDT is subtle in some cases and explicit in many other cases.

In 9 out of 55 watersheds (16%) the choice of sites was made by watershed committee and user groups. Projects in MP and UP did not give this opportunity to the local institutions, while the remaining states provided it in a limited scale.

In states like Rajasthan, different processes were followed in the same watershed. The sites were selected by local institutions in some cases, while in other cases WDT/ PIA along with the local leaders did this.

(ii) Processes Followed by Projects/ PIAs :

Interventions :

The role of PIAs in deciding project interventions was critical. This was performed in both authoritarian and facilitating manner. In several cases, PIAs functioned in an authoritarian manner in decision making process. This was largely observed in case of GoI GO projects. In 83% of GoI GO projects (25 out of 30), facilitating agency played key role in decision making process. In 40% of GoI GO projects (12 out of 30), facilitating agency decided on the watershed interventions, without any consultation with the villagers. In 33% of GoI GO projects, (10 out of 30) PIAs conducted consultative meetings with the community and facilitated decision making process. Watershed committee was given space in decision making in only 4 watersheds (13%).

Regarding site selection the four types of processes had almost equal numbers in GoI GO projects. In 23% of projects (7 out of 30), PIA dominated the site selection. In 17 projects (57%) PIA/ WDT and watershed committee jointly identified the sites. In remaining cases, the watershed committee and user groups were given the opportunity to select the sites.

In 13 out of 15 GoI NGO projects (87%) the facilitating agencies dominated decision making process. Out of these in one project (7%) NGO PIA completely decided the watershed interventions without any consultations with the watershed community. In the other 12 watersheds, the role of NGO PIAs was to facilitate discussions and interactions within the community/ watershed committee to decide on watershed interventions. In 3 watersheds (20%) facilitated by NGO PIAs, the user groups played decisive role.

Site Selection:

In site selection the projects in which NGO PIAs dominated is higher. In only 2 projects out of 15 (13%) watershed committee and user groups decided the sites for watershed works.

In one project facilitated by GO PIAs under bilateral projects, watershed interventions and their locations were largely decided by watershed committee. NGO PIAs under this category followed mixed pattern in which PIA and watershed committee played key role in choice of interventions and site locations.

In case of INGO funded projects, the role of NGO PIAs was largely that of a facilitator, but critical decisions were taken by the NGO PIAs. Though this process is very participatory, watershed community clearly indicated the criticality of NGO PIAs' in the process. In several occasions, collective decision by NGO PIAs and watershed community was reported. Thus there is over lapping role of watershed committee and NGO PIAs in decision making processes. On some of the technical aspects, the NGO PIAs also consulted technical support organizations for advice.

Table -18

PIA/ Project Wise Responses					Pattern of Responses on Decisions on Type of Interventions	State Wise Response							Total
GOI GO	GOI NGO	BIla-teral GO	BIla-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
3	0	0	0	0	Villagers Don't Know	0	0	0	0	0	0	13	2
73	67	0	100	86	PIA played key role	88	88	43	88	88	13	88	71
10	20	50	0	14	WDT played key role	0	0	29	0	0	75	0	15
20	0	50	0	0	WC Played key role	13	13	0	38	13	13	0	13
7	20	0	0	14	Users Played Key Role	0	0	29	50	0	0	0	11
Pattern of Responses on Selection of Sites													
23	27	50	0	43	PIA dominated the process	13	13	14	75	38	13	25	27
30	47	0	0	43	PIA along with WC/ Other leaders	75	50	0	0	63	38	13	35
27	27	50	100	29	WDT with Village Level Functionaries	13	13	71	38	0	38	38	29
23	13	0	0	0	WC and Others	0	25	14	38	0	13	25	16
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

D.2. Role of Volunteers in Watershed Planning

Village level watershed volunteers are expected to support WDT locally in action planning process. PIA provides necessary capacity building inputs to these volunteers to perform their roles. The involvement of volunteers in watershed planning and beyond is discussed here.

(i) Processes Followed in Different States:

In 31 out of 55 watersheds (58%) the role of volunteers was not defined. Either they were not selected or they did not participate in planning process. This is seen in all 8 projects Rajasthan (100%); 5 out of 8 projects in MP and Nagaland (63%); 4 out of 8 projects in Chattisgarh (50%).

In 5 out of 8 projects in Orissa (63%) villagers voluntarily joined the planning process and performed several roles of a typical volunteer. In these villages, the volunteers were not formally selected during the planning stage. The watershed committee members also participated in planning and performed the roles of a volunteer in 3 watershed projects (38%).

In 11 projects out of 55 (20%) volunteers were involved during execution of works. 5 out of 8 projects in UP (63%); 4 out of 7 in Jharkhand (58%); one each in Rajasthan and Orissa (25%) involved volunteers only for executing works. In only 5 out of 55 projects (9%), volunteers contributed to the planning process. Nagaland, MP and Chattisgarh demonstrated this process. However, it is not clear whether these volunteers continued even after the planning process. Only in one project in Jharkhand the role of volunteer was well established from planning to maintenance stage.

(ii) Processes Followed by Different Projects/ PIAs:

18 out of 30 GO PIAs under GoI projects (60%) did not select volunteers. The role of volunteers was largely during execution of works and was seen in 5 projects under GoI GO projects (17%). The planning process was supported by some villagers, in a limited way, who volunteered to work along with the WDT. This process was observed in 4 watersheds of GoI GO projects (13%). In 4 watersheds the volunteers participated in action planning (13%).

10 out of 15 watersheds under GoI NGO projects (67%) did not have volunteers or there is no information about them. Here also, the role of volunteers was largely limited to execution of works. In one watershed under GoI NGO project, the role of volunteers was clearly established in data collection, planning, execution of works, maintenance, etc. The experiences on the role of volunteers in planning in watersheds funded by bilateral projects and INGO are not progressive.

Table -19

PIA/ Project Wise Responses					Pattern of Responses on Watershed Planning and Role of Volunteers	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
3	7	50	0	14	No information	50	0	0	0	0	0	0	7
33	60	50	0	14	Volunteers were not identified/ appointed	63	13	29	75	38	13	38	38
23	0	0	0	0	Volunteers did not participate	0	38	0	25	0	0	25	13
13	7	0	0	0	Some villagers/ youth took part "voluntarily" during planning process	0	0	0	0	0	63	0	9
3	7	0	0	14	Volunteers and WC members participated in planning	0	38	0	0	0	0	0	5
13	0	0	0	14	Volunteers participated	13	13	0	0	0	0	38	9
10	13	0	100	43	Volunteers participated only in execution	0	0	29	0	63	25	0	16
0	13	0	0	0	Volunteers participated only in data collection and execution	0	0	2	0	0	0	0	4
7	0	0	0	0	Volunteers participated only in execution and maintenance	0	0	0	25	0	0	0	4
0	7	0	0	0	Volunteers participated in data collection, consolidation, planning and implementation	0	0	14	0	0	0	0	2
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Based on the above analysis, the process of decision making can be categorised into the following:

Most Common Processes	• PIAs/ WDTs role is significant and critical in deciding interventions and in site selection. This critical role was performed in both authoritarian manner (largely GO PIAs) (Not Desirable) and in a facilitating mode (largely NGO PIAs) (Desirable) • Volunteers joined the project only during the execution of the project (OK)
Rare Processes	• Volunteers performed key roles in planning (Desirable) • Users and watershed committees decided sites as part of watershed plans (Desirable) • Youth took part "voluntarily" during planning process (Desirable)

E. Identification of Indigenous Technical Knowledge

Use of Indigenous Technical Knowledge (ITK) for planning was expected to strengthen community's confidence and develop higher levels of sustainability of the interventions. Problems related to natural resources could be addressed by applying ITK and related practices. The watershed project (mainly budgets and human resources support) could be

Box 4

Responses on ITK	**(% of Projects in which this ITK is identified)**
• No ITK identified	(69%)
• Mud and rock check dams	(5%)
• Gully plugging with local boulders and tree branches	(9%)
• One meter dia-farm pond	(2%)
• Local species in agri-horticulture	(18%)
• Vegetative measures in water barriers	(0%)
• Land levelling	(7%)
• Diversion channels	(9%)
• Plantation of local species on field bund	(4%)
• Forest protection	(2%)
• Strengthening the field bund	(4%)
• Seepage tank and seepage well in low land	(4%)
• Lac cultivation	(2%)
• Plantation of medicinal plants	(2%)
• Sand bags to reduce water speed and arrest silt	(2%)
• Ploughing against the slope	(2%)

deployed to strengthen and improve the indigenous knowledge and practices. Planning process is expected to explore these options and integrate them into the watershed action planning process. This section of the chapter gives the details of ITK and its application in action plans of watershed projects.

(i) Processes Followed by Different States:

In majority of watersheds, there were no efforts to identify/ explore ITK (38 out of 55; 69% of total watersheds). All types of projects in MP and UP made no efforts to explore the local practices of resource management. 7 out of 8 watersheds in Nagaland (88%) also did not find out ITK. 5 out of 7 projects in Jharkhand (71%), 4 out of 8 projects in Chattisgarh and Rajasthan (50%) made attempts to understand ITK in the watershed area.

Sensitivity, previous experience and knowledge of PIAs on ITK lead to the process of exploring ITK. Discussions with elder persons of the village, PRA on this theme and field visits were undertaken to explore ITK.

(i) Processes Followed by Projects/ PIAs:

Both GoI GO and GoI NGO projects generally ignored ITK or were ignorant about ITK. However, more number of projects under GoI NGO ignored ITK when compared GoI GO projects. 33% of GoI GO projects (10 out of 30) made efforts to look at ITK as part of planning process. However, NGO PIAs seem to have more experience of exploring ITK.

Table -19

PIA/ Project Wise Responses					Pattern of Responses on Role of ITK in Watershed Planning	State Wise Response							Total
GOI GO	GOI NGO	Bilateral GO	Bilateral NGO	INGO NGO		M	C	J	R	U	O	N	%
67	73	50	100	71	No efforts were made	100	50	29	50	100	63	88	69
10	7	50	0	29	PIA/ WDT identified some local practices	0	50	0	0	0	38	0	13
0	7	0	0	0	Separate meetings with older persons, field visits to the sites and impact analysis was conducted by PIA	0	0	14	0	0	0	0	2
20	13	0	0	0	PIA knows the local practices and promoted them	0	0	57	50	0	0	0	15
3	0	0	0	0	PRA Exercise with the community in village level meeting	0	0	0	0	0	0	13	2
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Based on the above analysis, the process of identifying ITK can be categorised into the following:

Most Common Processes	• No efforts were made to identify ITK (Not Desirable)
Rare Processes	• PIA knew the local practices and promoted them during the planning process (Desirable) • Tools for exploring ITK: PRA exercise with the community in village level meeting and separate meetings with older persons, field visits to the sites and conducting impact analysis (Desirable)

F. Preparation of Group/ Individual level Action Plans

After completing the field level surveys and interactions, the WDT has to facilitate the evolution of action plans at individual and/or group level. Several minute details need to be worked out at this stage to evolve the final action plan. The processes observed in each watershed are explained in this section.

(i) Processes Followed in Different States and by Different Projects/ PIAs :

Action planning has highest diversity of processes. There were about 29 different processes for action planning that were practiced in 55 watershed projects. Some times, different processes were practiced in the same watershed project. The only possible classification of these processes is as follows:

Table -20

PIA/ Project Wise Responses					Pattern of Responses on Category of Planning Processes	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
30	20	100	0	0	Not generated	13	25	29	25	75	0	0	24
40	33	50	0	0	Low Levels of Participation	50	13	0	63	63	13	13	33
21	13	0	0	14	Average Level of Participation	38	0	14	0	0	0	63	18
37	60	50	100	86	High Level of Participation	12	88	86	38	38	75	25	50
30	15	2	1	7	Total No of Projects	8	8	7	8	8	8	8	55

Planning Processes with Low Level of Participation :

In this category of watersheds, either watershed development plans were not prepared at all or prepared by PIA without any interaction/ consultation with communities. The consultations, if any, were limited to dominant section of the village. 22 out of 55 watersheds (40%) had low levels of participation. 5 out of 8 watersheds in UP and Rajasthan (63%) and 4 out of 8 projects in MP(50%) exhibited this trend. No watershed in Jharkhand is in this category.

Relatively, more number of GoI GO projects fall in this category. 53% of GoI GO projects (16 out of 30) and one Bilateral GO projects were in this category. 33% of GoI NGO (5 out of 15) projects were also in this category. However, NGO PIA under bilateral and INGO supported projects did not show this trend.

Planning Processes with Average Level of Participation :

The processes in this category were mainly driven by the pre-determined set of activities. These activities were largely decided by PIA itself (either a format was given or interventions were supposed to be picked up by the communities). 8 out of 55 watersheds (15%) fall in this category. Only MPand Nagaland showed this trend. Except in case of bilateral projects, watersheds under remaining categories were in this category.

Planning Process with High Level of Participation :

Processes in this category also have a wide range in terms of participation of local communities and role of facilitating agencies. These process range from consultation based decision making processes to expression of demands by the user community for a particular activity. Applications from user groups/ individuals were also followed in this category of process. The village level committee and PIA/ WDT played a critical role in decision making processes at this stage.

28 watersheds out of 55 (50%) fall in this category. Majority of projects in Chattisgarh, Jharkhand and Orissa showed this trend. More projects under NGO PIAs were in this category – 86% of INGO NGO projects (6 out of 7), the lone project under bilateral NGO projects (100%) and 60% of GoI NGO projects (9 out of 15) followed planning processes that are relatively more participatory.

Based on the above analysis, the process of preparing individual level action plans can be categorised into the following:

Most Common Processes	• More than one type of process was operational in a single watershed (OK) • Low level of participation of the communities (Not Desirable) • Action planning process showed high level of participation (Desirable) • Domination by leaders (Not Desirable)
Rare Processes	• Formats were developed for preparing action plans (OK). • Available funds were kept in mind, while preparing action plans (Desirable). • Applications from users were collected for preparing action plans (Desirable). • Hamlet wise action plans were prepared (Desirable) • Monthly action plans were prepared based on the fund availability and needs of the community (Desirable)

G. Discussion on Non Negotiables

Contribution from communities is an important non-negotiable of the project. During planning process, the PIA/ WDT have to inform about the need for contribution and facilitate an informed decision at the user group/ community level. The processes related to this theme are explained in this section.

(i) Processes Followed in Different States:

In 19 out of 55 watersheds (34%) discussion on contribution did not take place. This process was observed in all states with minimum of 13% (1 each in Jharkhand and Nagaland) to a maximum of 75% watersheds (in UP; 6 out of 8 watersheds did not mention the need for contribution during planning stage).

The need for contribution was discussed in a cursory manner in 13 out of 55 watersheds (24%). In 2 out of 8 watersheds in Rajasthan (25%) the previous experiences of PIA already established the need for contribution. So the culture of contribution continued in the watershed projects also. In the remaining watershed projects, the discussions on contributions largely remained inconclusive.

The discussion on contribution took place in 23 out of 55 watersheds (43%). The discussions were limited to village leadership/ watershed committees in 3 out of 55 watersheds (5%). This process was observed in UP (2 out of 8 projects; 25%) and MP (1 out of 8; 13%). In one watershed (from Chattisgarh) out of a total 55, the discussions on contribution took place while the works were being executed. In the remaining 19 watersheds under this category, the discussions on contribution were elaborate. Majority of projects in MP, Orissa and Jharkhand followed a process in which the issues related to contribution were discussed during Grama Sabha and the doubts of community were clarified.

(ii) Processes Followed by Projects/ PIAs :

One Bilateral GO project did not discuss the need for contribution during planning stage. Almost equal share of GoI GO and GoI NGO projects did not discuss the need for contribution.

In case of NGO PIAs under both bilateral and INGO supported projects, the need for discussing the contribution was not there, as these NGOs already established the culture of contribution in these villages. So this practice continued in watershed projects also.

In GoI supported projects, the NGO PIAs made better efforts to explain the need for contribution during planning process. 67% of GoI NGO projects (10 out of 15) conducted elaborate meetings on the issues related to contribution, while only 27% of GoI GO projects (8 out of 30) did this exercise. Under INGO NGO projects also, NGOs made efforts to reach out to the village leadership and common persons in the village, on the need for contribution in the watershed context.

Table -21

PIA/ Project Wise Responses					Pattern of Processes related to Discussions on Contribution	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
0	0	50	0	0	Response Not Available	13	0	0	0	0	0	0	2
7	0	0	0	0	Majority of the community does not know	0	0	0	25	0	0	0	4
23	27	50	0	0	Not discussed.	0	38	0	0	75	25	13	22
7	0	0	0	0	As part of policy there is no equirement/ rcondition for contribution	0	0	0	13	0	0	13	4
0	0	0	0	14	PIA did not discuss with community. But, the contribution was indicated in Plan (by hiking the unit cost).	0	0	14	0	0	0	0	2
7	7	0	0	0	PIA mentioned about the need for contribution. But there is no thorough discussion.	0	0	29	0	0	13	0	5
0	0	0	100	14	PIA's previous programs have a policy of contribution. Communities know about it. So there was no separate discussion.	0	0	0	25	0	0	0	4
23	0	0	0	14	Discussed (Details are not available)	0	25	14	0	0	0	63	15
3	0	0	0	0	PIA explained about the contribution during the implementation of work. But not during planning.	0	13	0	0	0	0	0	2
3	0	0	0	29	PIA discussed with President and Secretary of WC.	13	0	0	0	25	0	0	5
27	67	0	0	29	PIA explained about the need for contribution in Grama Sabha before planning process. Villagers enquired about it in detail. Community agreed to contribute	75	13	57	38	0	63	13	36
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**7**	**8**	**8**	**8**	**8**	**8**	**55**

Based on the above analysis, the processes related to discussions on contribution can be categorised into the following:

Most Common Processes	• Previous experience of NGO PIAs established the culture of contribution in the watershed villages (Desirable) • No discussion on contribution in 34% of watersheds (Not desirable). • Cursory discussion on contribution in 24% of watersheds (Not desirable) • Detailed discussion on contribution in 43% of watersheds (Desirable).
Rare Processes	• Discussions were limited to village leadership. (Not desirable). • Previous practices/ culture of contribution continued to the watershed development project also (Desirable).

Box 5

A	Description of Planning Process % of Watersheds Following this process	
1	No clear response from community	4%
2	PIA did not adopt any participatory process	2%
3	PIA did not prepare any plan	9%
4	PIA prepared action plan and informed the community	2%
5	Prescription	5%
6	PIA prepared action plan according to the needs identified by community	5%
7	Number and location for certain activities decided at the time of project preparation by PIA	9%
8	Dominant persons decide action plan with PIA	4%
B	**Planning Processes with Average Level of Participation**	
9	Department and Beneficiaries	4%
10	Survey/ PRA driven plans	4%
11	Some Plans tried to address the problems	2%
12	PIA provided the formats for the plan. WDT and WC decided the interventions	5%
C	**Planning Processes with High Level of Participation**	
13	PIA and communities generated action plans after several discussions	7%
14	WDT led WC meetings and prepared monthly Action Plans	2%
15	PIA, Community and WC make monthly plans and approved in the same place.	4%
16	PIA sets annual financial targets. Users submit their plan	4%
17	WDT on different aspects allocates the budget on different broad areas and annual plan is made	2%
18	In Village meeting options are generated, gets verified in the field with users	2%
19	In hamlet meeting activities list is generated and is submitted to WDT/WC.	4%
20	In hamlet meeting activities list is generated, priorities and consolidated at watershed level.	2%
21	Delineated broad head activities by the PIA and one day meeting with the villagers finalize the users.	2%
22	WA member (office bearers) and WDT prepared plan in the office	4%
23	WC members and Village Council	2%
24	WC and Community Prepare action plan in a meeting	5%
25	WDT, WC and community sat together and decided individual, group and common activities. WDT prepared final action plan for individual, group and common activities	9%
26	Field Organizer and youth prepared action plan and Submitted to PIA for final approval (Without Gram Sabha approval).	2%
27	WDT, WC, SHG and Village Council	2%
28	Groups demanded certain works as per their needs	2%
29	Beneficiaries propose to WC members through applications	2%

H. Preparation of designs and estimates

Preparation of designs and estimates is the final step in giving a concrete shape to the project plan. The process of preparing designs and estimates in the context of watershed development project is explained here.

(i) Processes Followed by Different States:

Preparation of designs was the prerogative of PIA/ WDT in watershed projects. 51 out of 55 watersheds (91%) followed this process. In MP, Chattisgarh, UP and Orissa, estimates and designs were prepared by only WDT/ PIA. There was no role for watershed committee or other functionaries. In UP even the WDT did not have any role in preparing the design. In Rajasthan, Jharkhand and Nagaland, the role of watershed committees was visible in preparation of designs and estimates.

The process of preparation of estimates had a wide range. In 10 out of 55 watersheds (17%), the community was not aware of this process. Projects from UP dominate this category (7 out of 8 projects; 88%).

In several watersheds in MP and Orissa details of estimations and designs were announced in the Grama Sabha by the PIA. This was observed in 9 out of 55 watersheds (16%), largely in MP (7 out of 8 watersheds; 88%) and Orissa (2 out of 8 watersheds; 25%).

In Rajasthan, Chattisgarh and Jharkhand, WDT made efforts to consult local experts in the village (such as masons) for preparing the estimates and designs. Equal number of watershed projects experimented with this process, in all these three states.

In 34 out of 55 watersheds (62%), SSR was used for preparing estimates. Except Nagaland (2 out of 8 watershed; 25%), all states followed this process in a major way (4 to 7 out of 8; 50% to 83%). In 5 out of 8 watersheds in Nagaland (63%), the communities decided the rates for estimates. This process was also followed in 1 watershed in MP (13%). In 7 out of 55 watersheds (13%) PIA decided the local rates and estimates were prepared accordingly. UP (4 out of 8; 50%); Jharkhand (1 out of 7; 14%) and Rajasthan (2 out of 8; 25%) followed this process. The interest of the PIA in deciding the local rates is not very clear (particularly in GoI supported project).

(ii) Processes Followed by Projects/ PIAs:

In case of bilateral projects, all designs and estimates were prepared by only PIAs. Almost equal share of projects under GoI funded and INGO funded projects have followed a process in which the PIA played a major role in design and estimates. About 50% of projects in all these categories followed this process. Role of WDT in this process was also almost equal in GoI and INGO supported projects (about 40% projects). Interestingly, GoI supported projects have experimented with the process of preparing designs and estimates in which the watershed committees played a dominant role.

In 20% of GoI GO projects (6 out of 30) and 7% of GoI NGO projects (1 out of 15) communities were not aware of this process of preparing estimates and designs.

Both the GO PIAs under bilateral projects followed a process in which the estimations were announced in the Grama Sabha. This process was also followed by 27% of projects under GoI NGO projects (4 out of 15) and by 14% of INGO NGO projects (1 out of 7).

14% of GoI NGO projects (2 out of 15) experimented with a process in which expertise was sourced from local experts such as masons in the village. Similar process was adopted in 7% of GoI GO projects also (2 out of 30).

14% of watersheds under INGO NGO projects (1 out of 7) followed the local rates, which were decided by the local communities. This process was also observed in case of GO PIAs under GoI funded watersheds (mainly from Nagaland).

In 43% of INGO NGO projects (3 out of 7), NGO PIAs decided to use the local rates to fit into the available budgets. About 29% of INGO NGO projects used a combination of local rates and SSR. NGO PIAs also consulted local communities to arrive at a combination of local rates and SSR in one watershed. Thus the NGO PIAs under INGO funded projects experimented with several processes in preparing the estimates.

Equal percentage of GoI GO projects and GoI NGO projects (7%, 2 out of 30 and 1 in 15 respectively) adopted local rates, without consulting local communities and project authorities. This process was adopted in the lone NGO facilitated bilateral project also. Such processes bring out the issues of transparency in the watershed budgets/ estimates.

In GoI funded projects, SSR was largely used by both NGO PIAs (14 out of 15 projects; 93%) and GO PIAs (18 out of 30 projects; 60%). However, in case of 10% of GoI GO projects (3 out of 30), the communities were not aware of rates with which estimates were prepared.

Based on the above analysis, the processes in preparing designs and estimates can be categorised into the following:

Most Common Processes	• PIA and WDT played a major role in designs and estimates (Not Desirable) • There are several processes of preparing estimates (Desirable) • Use of SSR for estimates (Desirable)
Rare Processes	• Use of local expertise for design and estimates (volunteers/ masons) (Desirable) • Technical experts (sent by Donors) also participated in the estimate and design process (Desirable) • Local rates were used (OK) • Community members consulted local mason to prepare estimates of the watershed works (Desirable) • A combination of local rates and SSR is used for estimates (Desirable) • Rates and estimates were presented in the Grama Sabha (Desirable)

Table -22

PIA/ Project Wise Responses					Pattern of Responses on "Who prepared designs and estimates?"	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
50	53	100	100	57	PIA played the key role	88	88	0	25	100	25	50	55
40	33	0	0	43	WDT Played Key Role	13	13	86	38	0	75	38	36
10	13	0	0	0	WC Played Key Role with other functionaries	0	0	14	38	0	0	13	9
Patterns of Responses On Rates Adopted in Estimations (Local/ SSR)													
10	0	0	0	0	Rates not known to community	13	13	0	0	0	0	13	5
7	7	0	100	43	Local rates as decided by the PIA	0	0	14	25	50	0	0	13
60	93	100	0	0	As per SSR	75	75	86	63	50	63	25	62
7	0	0	0	29	As per SSR and local rate.	0	0	0	13	0	38	0	7
0	0	0	0	14	Local rates were decided by the Community and PIA	0	13	0	0	0	0	0	2
17	0	0	0	14	Local rates as decided by community	13	0	0	0	0	0	63	11
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

I. Consolidation of Action Plans

The processes under consolidation of action plans across the states and projects are described here.

(i) Processes Followed in Different States:

Majority of projects in Chattisgarh (4 out of 8; 50%), Rajasthan (6 out of 8; 75%), UP (6 out of 8; 75%) and Nagaland (4 out of 8; 50%) followed relatively non-participatory process of consolidation of action plans wherein the PIA alone was involved. In these watersheds the action plans were not prepared for individuals or at group level. The set of interventions were broadly decided at the watershed level. None of the projects in Jharkhand followed such non-participatory processes.

In 8 out of 55 projects (15%) WDT supported PIA in consolidating the action plans. This process was observed in Chattisgarh, Jharkhand, Rajasthan and UP. These consolidated action plans were shared in the Grama Sabha in some of projects and not shared in others.

Another important process was to involve watershed committee members to consolidate action plans. 11 out of 55 watershed projects followed this process (20%). This was observed in 5 out of 8 projects in MP (63%) and 3 each in Orissa and Nagaland (38%). Other states did not follow this process.

Majority of projects in Jharkhand (4 out of 7; 57%) followed a participatory process of compiling watershed action plans. The watershed based institutions such as watershed

associations/ committees/ volunteers played a key role in putting together the demands of communities/ groups. Grama Sabha provided the platform for such occasions. The final action plan for the entire project period was prepared in this manner. This process was not followed in any other state.

Another innovative approach was to seek application forms from user groups/ individuals for different types of works. The watershed committee/ village committee put together these applications with the support of WDT. The action plans were prepared either for each year or for the entire project period. This process was observed in Jharkhand and Rajasthan. Another important institutional arrangement that was observed in Orissa was to form a "Sub-Committee" to consolidate action plans. This process was observed in one watershed project in Orissa.

(ii) Processes Followed by Projects/ PIAs:

The action plans were prepared at watershed level in case the lone NGO PIA facilitated watershed under bilateral projects (100%). In these watersheds there were no action plans at group/ individual level. Considerable number of projects under GoI GO projects (6 out of 30; 20%) and GoI NGO (4 out of 15; 27%) followed this process.

PIA alone consolidated watershed action plans in 27% of GoI GO projects (7 out of 30). Equal percentage of projects under GoI NGO (13% - 2 out of 15) and INGO NGO projects (14% - 1 out of 7) also followed this process. This process was not observed in case of bilateral projects.

Another process adopted largely by NGO PIAs (2 out of 15 projects under GoI; 14% and 3 out of 7 INGO supported projects; 43%) is to take the support of external resource persons to consolidate the action plans. The action plans of individuals and groups were put together by PIA/ WDT with the support of village leaders/ resource persons. The action plan was also shared with the villagers in a meeting. Though this process is not very participatory, the external support to NGO PIAs from resource organizations seems to be a requirement in case of some NGO PIAs.

The PIAs and WC together consolidated action plans in majority of the cases in bilateral projects. This was the most common process in other projects/ PIAs.

In 14% of GoI GO projects (4 out of 30), the watershed association/ committee consolidated the action plans without any external support from PIA/ WDT. In a similar process, users also joined in one watershed. This process in which local institutions completely took the responsibility of consolidation was observed only in case of GO PIAs.

Another interesting process facilitated by one GoI GO project and one watershed under INGO NGO projects was to make the action plans "demand-driven". Application forms from user groups/ individuals formed the basis for consolidating action plans. The watershed

Table -23

State Wise Response							Pattern of Responses On consolidation of Action Plans	PIA/ Project Wise Responses					Total
M	C	J	R	U	O	N		GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO	%
13	0	0	0	0	0	0	People do not know	3	0	0	0	0	2
0	0	0	75	63	0	0	Plans were prepared at watershed level only, hence no need for consolidation.	23	20	0	100	0	20
13	50	0	0	13	13	50	PIA alone	27	13	0	0	14	20
0	13	0	0	0	0	0	By PO and WC (four year tentative plan)	3	0	0	0	0	2
13	0	0	0	0	0	0	By PIA with WC and shared in grama sabha	0	7	0	0	0	2
0	13	0	0	0	0	0	At village level by PIA and PO.	3	0	0	0	0	2
0	0	0	13	25	0	0	By PIA with WDT support in a village meeting.	0	7	0	0	29	5
0	0	14	0	0	0	0	Part by WDT and Village leaders in PIA office; Part by WDT and Resource Persons from donors in PIA office.	0	0	0	0	14	2
0	0	14	0	0	0	0	By prominent leaders, WC and WDT, Based on recommended activities	0	7	0	0	0	2
63	0	0	0	0	38	38	By WC with the help of WDT/ PIA	17	20	100	0	14	20
0	0	57	0	0	0	0	By selected members of WA/ WC/ Volunteer and WDT in WC/						
							Grama Sabha meetings	3	20	0	0	0	7
0	0	0	0	0	25	0	By WA after deciding the sequence of activities	7	0	0	0	0	4
0	13	0	0	0	13	0	By WC alone	7	0	0	0	0	4
0	0	0	0	0	0	13	By WC and the project beneficiaries after series of awareness campaigns	3	0	0	0	0	2
0	13	0	0	0	0	0	By WC in the village meeting	0	7	0	0	0	2
0	0	0	0	0	13	0	By sub committee formed for the purpose by WA/ WC	0	0	0	0	14	2
0	0	14	0	0	0	0	By WC Secretary, WDT based on the applications from Users in WC office (Year Wise Plans).	3	0	0	0	0	2
0	0	0	13	0	0	0	Village Committee approved applications from Users and PIA prepared Year Wise Plans.	0	0	0	0	14	2
8	**8**	**7**	**8**	**8**	**8**	**8**	**Total No of Projects**	**30**	**15**	**2**	**1**	**7**	**55**

committee/ secretary played a key role in seeking the application forms and putting them together. Such consolidated plans were approved by watershed/ village committees.

Based on the above analysis, the process of action plan preparation and consolidation can be categorised into the following:

Most Common Processes	• Watershed plans are not prepared at group/ individual farmer level (Not Desirable) • PIA alone consolidates the action plans without any involvement of local institutions (Not Desirable) • Watershed committee with PIA/ WDT consolidates action plans (Not Desirable)
Rare Processes	• Applications from user groups formed the basis for consolidating the action plans. This demand driven action plans are approved by watershed committees (Desirable) • Watershed committee/ association alone consolidate action plans without any external support from WDT/ PIA (Desirable) • Technical support from external resource organization was provided to NGO PIAs for consolidating the action plans (OK) • Action plans were consolidated as per the application form from the user groups received by watershed secretary. (Desirable).

CHAPTER - 6

KEY EVENTS SET 4 : Approval of Action Plans

Introduction

In this chapter, the processes related to approval of action plans are examined. The main purpose of the key events during this stage is:

To prioritize activities and arrive at collective decisions on the contents of action plan. For achieving this, the WDT/PIA/ WC/WA have to engage in the following key events:

- Develop set of criteria and prioritization of activities in action plans
- Approval/ consent from the Grama Sabha/ Watershed association.
- Submission of action plans to PIA/ DRDA/ Donor
- Modification of action plans (if necessary)

Designed and Desirable Processes of this set of events :
After the action plans are consolidated, these plans are shared in the meetings of grama sabha or WA. The members of WA decide on the priorities of the project plan and ensure that project benefits are appropriately allocated to different groups. After the approval, these action plans are submitted by watershed committee to DRDA through PIA with the covering/ recommendation letter of PIA for release of funds. DRDA processes these plans and releases funds. In case of INGO funded projects, the procedure is different.

Decision Making and Prioritization at WA/ WC level :
The capacity building of the people involved in the project has to be linked with the art of articulation and taking right decisions with consensus. The users have to decide on what is to be done in individual as well as common lands. All the decisions relating to the programme are to be debated and decided upon in WC and WA meetings. WA is a legal/ registered body constituted at the village level for resolving the conflicts in a democratic way and ensuring justice for the marginalized sections (Women & Poor Farmers).

The objective of decentralised decision making is to discourage the contractor system and the red-tapism. Decision making at local level is also important to ensure the holistic development of the area. Issues like equity and gender are to be given highest priority. Individuals should be organized into common interest groups so that they can articulate

their major concerns. This process is expected to ensure the inclusion of most marginalized sections of the society.

Approval by Watershed Association:

The Watershed Association is the ultimate body at the village level for the approval of the plans and passing resolutions whenever needed. No expenditure at village level should be incurred without this approval. These approved strategic action plans form the basis for fund release, reviews and monitoring.

Preparation of Annual Action Plans/ Revision of Action Plans:

The strategic/ perspective plan defines the broad outline of watershed development program for the entire project period. This strategic plan would contain indicative plans for the entire area of the watershed and also for all the eligible components in order to achieve an integrated development. It is observed that the available funds are usually inadequate to meet the requirement of the entire watershed area. On the other hand, based on the experiences of the first year the user groups might want to reconsider their earlier plan. In such circumstances, the strategic plan should not come in the way of future demands of the user groups. In order to keep space for such future demands of user groups/Self Help Groups, there is a need for a detailed "Annual Action Plan", which is prepared every year.

Observations on the above processes are mentioned below.

A. Criteria and Process of Prioritization of Activities in Action Plans:

(i) Processes Observed in Different States :

27 out of 55 sample watersheds (48%) did not use any criteria for prioritization or they simply followed the directions of WDT. In the remaining 28 watersheds (52%), several criteria were used to prioritize watershed activities.

The process of prioritization did not take place at all in 18 out of 55 watersheds (33%). 5 projects each under MP and Chattisghad out of 8 (63%) did not follow any criteria for prioritization. Similarly, 3 projects each in Nagaland and Rajasthan (38%) also did not have any criteria. It is obvious that in these projects the PIA/ WDT/ Project authorities dominated and the role of communities in decision making processes (related to prioritization) was very nominal.

The role of WDT/ PIA in prioritization was fairly strong in 8 out of 55 projects (15%). The bias is usually towards the rich families of the village or convenience of project implementation (availability of funds; labour, etc). 4 out of 8 projects in UP(50%) followed the directions/ decisions of WDT for prioritization. This process was observed in three states namely – Jharkhand, UP and Rajasthan.

In 28 out of 55 watersheds (52%) several criteria were used for prioritizing the activities in the watershed action plan. These criteria mainly fall into the following categories:

- Location related criteria (E.g.: preference to ridge to valley)
- Project management related criteria (availability of labour, funds, etc.)
- Target group related criteria (E.g.: Women, SC families, etc.)
- Component based criteria (E.g.: Water resources, soil moisture conservations, etc.).

There are several sub-criteria under each category. A single watershed used several types of criteria for prioritization (E.g.: Soil moister conservation activities at ridge area were given priority).

6 out of 8 projects in UP (75%) followed the convenience of WDT. The timeliness of activity was given higher priority (availability of funds, labour, material). This process was observed only in UP. In all other states, WDT were little more considerate to the local needs, rather than their own convenience.

The location related criteria included ridge to valley; benefits to maximum persons and hamlet wise benefits. Except Chattisghad, all other states followed these criteria. Jharkhand (5 out of 7; 71%) and Rajasthan (4 out of 8; 50%) topped this category.

Box 6

Criteria for Prioritization	% of Watersheds
No Criteria	33
Criteria as decided by WDT/ Project Authorities:	15
• Landed people • PIA and Panchayat decided on the basis of the present work of Panchayat • Department's approval • Engineer and some government officials decided the priority. • WDT and some influential person of the community decided the prioritization • WDT Decided on the basis of Emphasis given by the Higher officials • Activities proposed by dominant community or PIA	
Project Management Related Criteria	11
• Availability of material in a given season • Availability of the labourers • Fund Availability • Capacity of people for construction • Based on the application and fund available	
Location Related Criteria	31
• Benefits should go to each hamlet • Ridge to valley was given priority • Activities that benefit larger number of families	
Target Group Related Criteria	38
• Poorest of the poor from all sections • Poor SC/ ST/ Weaker Sections • Problems related to women • Urgent needs of community	
Component Based Criteria	35
• Severity of problem • Water resource dev. for drinking • Water resource dev. for agriculture • Crop production • Sustainability of intervention • Soil Conservation Activities • Land Development • Plantation • Poor Quality land • CPR Land • Capacity Building • Simple, Low cost tech. and Local tech. • Fallow land or land available for treatment	

Majority of the watersheds (20 out of 55; 37%) adopted target specific criteria. Orissa and Jharkhand have highest number of watersheds that aimed at reaching out to the specific target groups. In MPand Nagaland this process was not followed even in a single watershed. In Jharkhand and UPwatershed projects tried to combine location related criteria and target group related criteria.

Specific component of the project was given priority in 19 out of 55 watersheds (35%). All states followed this process, except MP. Orissa (8 out of 8; 100%) and Nagaland projects (5 out of 8; 63%) predominantly followed this process.

(i) Processes Followed by Projects/ PIAs :

All categories of projects and PIAs ignored the process of prioritization of activities. One GO PIA under bilateral projects did not attempt this process. Even 43% of INGO NGO projects (3 out of 7) did not follow prioritization. Equal percentage of GoI NGO projects and GoI GO projects did not prioritize (about 30%).

The dominance of WDT and project management related criteria were observed only in case of GoI funded projects. 30% of GoI GO projects (9 out of 30) and 33% of GoI NGO projects (5 out of 15) showed such a trend. Projects funded by bilateral projects and INGO did not have dominance of the WDT.

40% of GoI NGO projects (6 out of 15) followed several criteria and combined several concerns in this process – location related criteria, target population related criteria and project component related criteria. This trend was observed in case of NGO PIA under bilateral projects also.

Highest percentage of projects (57%) under INGO NGO projects aimed at reaching out to the selected target groups and prioritized their needs.

Table -24

PIA/ Project Wise Responses					Pattern of Responses on Criteria for Prioritization of Activities in Watershed Action Plans	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
30	27	50	100	43	NO PRIORITY	63	63	0	38	25	0	38	33
20	13	0	0	0	Decided by WDT in favour of rich	0	0	29	25	50	0	0	15
10	20	0	0	0	Project Management Related Criteria	0	0	0	0	75	0	0	11
27	40	0	0	43	Location related criteria	38	0	71	51	25	25	13	31
30	40	50	0	57	Priority given to Specific Target Groups	0	38	71	26	25	100	0	37
37	40	50	0	14	Component Based Criteria	0	13	29	13	25	100	63	35
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Based on the above analysis, the process of prioritisation of action plans can be categorised into the following:

Most Common Processes	• No criteria for prioritization and consolidation in 33% of projects (Not Desirable) • Water resource development for agriculture was used as the major (22%) criteria for prioritisation (Desirable)
Rare Processes	• Problems related to women, Crop production, Ridge to valley, and Soil Conservation activities as criteria for prioritisation (Desirable) • Reaching out to a specific target group was considered as criteria in 37% of projects. (Desirable). • Soil conservation activities, Ridge to valley and Crop production were given importance (Desirable) • Capacity of people for construction and in which season what material can reach the site was followed (Desirable) • WDT decided the priority on the basis of emphasis given by the Higher officials and some influential persons of the community (Not Desirable)

B. Approval/ Consent by Grama Sabha/ Watershed Association —

The prioritized activities become part of the action plan. This action plan would be presented before the watershed association/ grama sabha, which will approve the watershed action plans. The processes followed in this regard are described here.

(i) Process followed by Different States:

The process of getting the approval from the watershed association/ grama sabha was treated as a formality rather than as a process of building confidence among the village community. This was observed in 19 out of 55 watersheds (36%). Highest number of watersheds under this category was in Rajasthan (6 out of 8; 75%), Jharkhand (5 out of 7; 71%) and Nagaland (5 out of 8; 63%). When the PIA has long term partnership with the local Grama Panchayati/ villagers, the process of taking consent is given low priority or it is taken for granted. Similarly, when Sarpanch was closely associated with the watershed committee, the consent from grama sabha/ watershed association was taken for granted or informal consent was obtained.

Domination by PIA was seen in 18 out of 55 projects (33%). Except Rajasthan and Nagaland, this process was followed in the other states. All projects (8 out of 8) in MP followed this process. 5 out of 8 projects in UP (63%) also followed this process. Since the watershed was sanctioned to a Nagar Panchayat in UP, several of the watershed processes were not very relevant. Majority of the non participatory processes in this category were seen in UP.

Box 7

Process of Approval from Grama Sabha	% of Watersheds
No formal consent taken from grama sabha/ WA. • No formal consent taken from grama sabha/ WA • Since the Sarpanch is the Chairperson of WC, the formal consent was not taken. The action plan details are shared in the grama sabha. • PIA enjoys trust of the community. So no consent is taken from grama sabha, but the contents are shared in the village meeting. • PIA enjoys trust of the community and Grama Panchayat. So the action plan was not formally presented to grama sabha. Informal Consent of Ward Members was taken by PIA.	36%
PIA Played key role in taking the consent of grama sabha/ Grama Panchayati. • PIA informed the contents of action plan to the WC. The consent of village was taken in the village meeting. • The project was under Nagar Panchayat so no formal Gram sabha was called. PIA discussed the action plan with chairperson of the \ Nagar Panchayat. • PIA called the Gram sabha to discuss the action plan but the gram sabha did not have the representation of the weaker section. • The consent was taken during the Field survey by PIA. • WDT presented the plan to WA, adding the consent of WA approval is taken from Village Council in a village meeting in the presence of Women and weaker sections also. • PIA and WC presented action plan in village meeting. It was discussed and approved.	33%
WC Played key role in taking the consent of grama sabha/ Grama Panchayati • Action Plan is discussed with selected members of WA in the presence of WDT. Their consent is taken as final consent. • WC presented the contents of action plan to WA. After a detailed discussion in WA/ Grama Sabha, action plan is approved. • WC presented the contents of action plan to WA. After a detailed discussion in WA with adequate representation from women and weaker section, the action plan was approved. • Plan was discussed in individual village meetings (hamlets). The local villages (hamlets) passed on a resolution. Then the WC members present it to the WA. Final approval is taken, in the presence of WDT, who facilitates the meeting.	31%

In some cases, watershed committee played a key role in getting the consent of WA. This process was largely seen in Orissa and Chattisghad. Though on a small scale, the processes in Jharkhand in this category were more participatory than other states wherein the watershed committee shared the contents of action plan (hamlet wise action plans) with watershed association. The consent of the hamlet was also presented in the watershed association meeting.

(ii) Process Followed by Projects/ PIAs:

43% of GoI GO projects (13 out of 30) did not take the formal consent from the grama sabha/watershed association.

NGO PIAs performed better in this regard, where they made special efforts to get the consent of the grama sabha. 33% of GoI NGO projects (5 out of 15) and 57% of INGO NGO projects (4 out of 7) got the approval from grama sabha.

Several watershed committees facilitated by NGOs were more proactive and empowered to get the consent from the grama sabha. This was observed in 40% of GoI NGO projects (6 out of 15); the lone Bilateral NGO project (100%) and 14% of INGO NGO projects (one out of 7). 30% of GoI GO projects (9 out of 30) also followed this process.

Table -25

PIA/ Project Wise Responses					Patterns of Response on the Process of Taking Consent from Grama Sabha/ WA	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
43	27	0	100	29	No formal consent taken	0	13	71	75	38	0	63	36
27	33	50	0	57	PIA Played key role in taking the consent	100	13	14	0	63	38	0	33
30	40	50	0	14	WC Played key role in taking the consent	0	75	14	25	0	63	38	31
30	15	2	1	7	Grand Total	8	8	7	8	8	8	8	55

Based on the above analysis, the process of taking consent of Gram Panchayat for action plans can be categorised into the following:

Most Common Processes	• Consent from Grama Sabha/ Watershed Association was not taken in 36% of watersheds (Not Desirable). • Key role in taking the consent from the Gram Sabha/ GP was played by PIA (Not Desirable)
Rare Processes	• WC role in taking the consent from the Gram Sabha/GP (Desirable) • Hamlet wise action plans were presented and approval was taken (Desirable) • When Sarpanch is the Chairperson of the watershed committee, formal consent was not taken. (Not Desirable).

C. Submission of Action Plans

Watershed action plans are to be submitted to DRDA/ Project Authorities, through PIAs. There are several steps in this process. Typically, the plans are first submitted by watershed committee to PIA. In the second step, PIA submits the action plans to DRDA/ Project Authorities. The DRDA/ Project Authorities send relevant details to state/central departments. Though these steps differ from project to project, the broad process should ideally remain the same. The awareness levels of this process at community level indicate their involvement and participation in the program. The observations in the first two steps are analyzed here.

(i) Processes Followed by Different States :

From Watershed Committee to PIA:

In 12 out of 55 watersheds (22%), the first step of this process was not clear to the communities. In 9 out of 55 projects (16%), the first step was not at the community level. It may be recalled that planning processes were dominated by PIA in considerable number of watersheds. In such watersheds, the action plans were generally submitted by PIAs directly. This process was observed in all states, except in MPand Rajasthan. Communities were unclear about this process in MPand UP. However, the number of such projects in each state did not cross 3 out of 8 (38%) projects.

In UP, two different processes were followed, which are not observed in other states. One of them is positive and the other is negative. In one case the special committee constituted for watershed project, which is called NRM committee consisting of all women submitted the action plan from the village to the facilitating agency (an NGO). In the other case, the village leader (who is also a small time contractor) submitted the action plan from village. The role of existing committees in submission of action plans was seen in Rajasthan (2 out of 8 projects; 25%) and Orissa (1 out of 8; 13%).

Watershed action plans were sent by the watershed committees in 37 out of 55 watersheds (69%). Majority of the projects in all the states followed this process, except in UP. In each state, at least 5 out of 8 projects (63%) followed this process.

From PIA to Project Authority:

This obviously is the role of PIA. In 50 out of 55 projects (89%), the action plans were submitted to project authorities by PIAs/WDT. This was observed in more than 6 out of 8 projects (75%) in all the states. However, in MP, UP and Orissa, the local communities were not aware of this process. 1 to 2 projects in these three states (13% to 25%) fall in this category.

(i) Processes Followed by Projects/ PIAs :

From Watershed Committee to PIA :

Villagers in 30% of GoI GO projects (9 out of 30) do not have idea about the process of forwarding the action plans. In these projects, the action plans were largely prepared and

submitted by GO PIAs. Villagers in 14% of INGO NGO projects (one out of 7) were also ignorant about this process.

NGO PIAs experimented with several institutional forms; and the initial steps were taken by them. NRM Committees, Village Committees and watershed committees were part of this process.

In case of GoI funded projects, the watershed committees played a key role in submitting the action plans. 14 out of 15 projects implemented by NGO PIAs (93%) followed this process.

From PIA to Project Authority:

The communities were relatively ignorant about what happens above PIA, in case of Bilateral NGO project and INGO NGO projects. The role of PIA and WDT was fairly established in the remaining watersheds. The PIAs submitted these action plans to project authorities in almost 100% cases under GoI funded projects.

Table -26

PIA/ Project Wise Responses					Patterns of Response on the Process of Submitting the Action Plan	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
27	0	0	0	14	NIL	0	13	14	0	38	25	25	**16**
3	0	0	0	0	Villagers didn't know	0	0	0	0	13	0	0	**2**
0	0	50	0	14	Not clear	25	0	0	0	0	0	0	**4**
0	7	0	0	0	Village Leaders	0	0	0	0	13	0	0	**2**
0	0	0	0	14	NRM Committee	0	0	0	0	13	0	0	**2**
0	0	0	100	29	Village Committee	0	0	0	25	0	13	0	**5**
70	93	50	0	29	WC	75	88	86	75	25	63	75	**69**
Second Step (From PIA to Project Authority)													
3	0	100	0	43	VILLAGERS DIDN'T KNOW	25	0	0	29	13	13	0	11
97	100	0	0	57	PIA	75	100	88	86	88	75	100	87
0	0	0	100	0	WDT	0	0	0	0	0	13	0	2
30	**15**	**2**	**1**	**7**	**Grand Total**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

D. Modification of Action Plans (If necessary):

Participatory development programs are dynamic in nature and there would be several occasions in which the action plans need to be changed. Such flexibility is necessary to incorporate the emerging needs of the communities. The processes related to changes in action plans are described here.

(i) Processes Followed by Different States :

In 9 out of 55 watersheds (16%) the relevant data was not available. In one watershed (from Nagaland) out of total 55 (2%) watershed communities clearly indicated that they were not aware of any changes in action plans.

In 19 out of 55 watersheds (36%) the action plans were not changed formally by the project authorities. This practice was predominantly observed in MP (5 out of 8; 63%) and Rajasthan (6 out of 8; 75%). In Chattisghad, UP and Nagaland, this process was not reported.

In 23 out of 55 watersheds (43%) action plans were changed formally. The plans were changed from one to six times. Majority of watersheds made changes only once (13 out of 55; 24% of watersheds). Rajasthan (6 out of 8; 75%); UP (5 out of 8; 63%) and Chattisghad (4 out of 8; 50%) were among the top in this list. Only one watershed (from Orissa) in the entire sample reported that action plan was changed six times.

Similar process of revision based on the needs of the communities, was reported in UP and Orissa. The communities sat together to revise their action plan based on their current needs. This process was observed in about 4 out of 55 watersheds (7%).

The reasons for changes are not clearly known to the watershed communities in 17 watersheds (mostly from Chattisghad and Nagaland) out of 55 projects (31%).

Availability of funds seems to have influenced the process of changing the action plans. This was observed mainly in UP and Nagaland. The funds released in each instalment triggered the process of revision of action plan in Nagaland (in 2 out of 8 projects, 25%). In one project in UP (13%) the change of donor triggered the process of revision of action plans.

Action plans were revised for incorporating minimum wages (in Rajasthan and UP) and to incorporate new designs and activities (In MP, UP and Orissa). Only in limited number of cases (one each in Jharkhand and UP), the action plans were changed as per the directions of project officers without any involvement of local institutions/ demands.

Among all the states, projects in UP revised action plans due to diversified reasons. Though some of these reasons are top driven, many of them have a sound reasoning – such as new target groups, minimum wages, etc.

(ii) Processes Followed by Projects/ PIAs:

Several projects under GoI GO (9 out of 30; 30%) and GoI NGO (8 out of 15; 53%) and one project by GO PIA under bilateral projects (50%) did not change the action plans.

About 43% of projects under GoI GO and GoI NGO changed action plans, most of them only once.

Another process that was observed was annual revision of plans in which communities take active role. This process was mostly observed in case of NGO PIA under bilateral projects.

Table -27

PIA/ Project Wise Responses					Pattern of Responses on Changes Made in Action Plans	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
20	7	0	100	14	Data Not Available	0	13	57	13	0	25	13	16
3	0	0	0	0	Community Doesn't Know	0	0	0	0	0	0	13	2
30	53	50	0	29	No Change	63	0	29	75	50	38	0	36
23	33	0	0	14	Only Once	25	50	0	0	63	0	25	24
3	7	0	0	0	Revised two times	13	0	0	0	0	0	13	4
10	13	0	0	14	Changed three times	0	38	14	13	13	0	0	11
3	0	0	0	0	Four Times	0	0	0	0	0	0	13	2
3	0	0	0	0	Changed for six times	0	0	0	0	0	13	0	2
7	0	0	0	0	One time for one instalment and annually for five year budget plan	0	0	0	0	0	0	25	4
0	0	50	0	0	Annual revision of action plans by community	0	0	0	0	0	13	0	2
					Reasons for Changes in Action Plans								
43	20	0	0	14	Data Not Available	25	88	0	0	0	0	100	31
30	53	100	0	29	No Change	63	0	29	75	50	38	0	36
3	7	0	0	0	Community Didn't Know	0	0	14	0	13	0	0	4
0	0	0	0	14	Change of donor	0	0	0	0	13	0	0	2
7	7	0	0	14	Activities were not changed, but change in targets	0	0	57	0	0	0	0	7
10	7	0	0	14	To incorporate new works and designs	13	0	0	0	13	38	0	9
0	7	0	0	0	Seasonal action plans were prepared	0	13	0	0	0	0	0	2
3	0	0	0	0	According to community demands	0	0	0	13	0	0	0	2
3	0	0	100	0	To incorporate minimum wages	0	0	0	13	13	0	0	4
0	0	50	0	14	To accommodate left out individuals/ groups	0	0	0	0	0	25	0	4
3	0	0	0	28	By community according to their needs	0	0	0	0	25	13	0	5
30	**15**	**2**	**1**	**7**	**Total Number of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Except in bilateral projects, the action plans were revised to accommodate new plans and interventions in GoI and INGO supported projects. Another process that was observed only in GoI and INGO supported projects was to revise target of the action plan without changing the component. Revision of action plans based on the availability of funds (for that year/ instalment) was observed only in case of GoI GO PIAs.

NGO PIA under bilateral and INGO funded projects revised action plans to accommodate uncovered population/specially target a particular category of population. One out of 15 projects under GoI NGO PIAs (7%) revised the action plans according to the seasonal requirements, which was not found in any other category of projects/ PIAs.

Based on the above analysis, the process of submission of action plan and its modification can be categorised into the following:

Most Common Processes	• WC in the first step, PIA in the second step and Project Director in the third step submitted the plans for approval to project authority (Desirable). • Community is not aware of the processes at PIA level on the issue of submission of action plans. (Not Desirable) • Changes in action plans were made formally (43%) (Desirable).
Rare Processes	• Plans were not changed in 36% of watersheds (Not Desirable). • Village committee submitted the plan in the first step. (Desirable) • Village leaders submitted the plan in the first step (OK). • Annual plans are prepared based on experience and availability of budgets (Desirable). • Action plans were changed to accommodate minimum wages, include left over families and new needs (Desirable).

CHAPTER - 7

KEY EVENTS SET 5: Implementation

Introduction

Once the Action plan is approved by the concerned authorities and funds released, the implementation begins. The time frame for main implementation phase is 3.5 years. The main purpose of the set of activities under this key event is mentioned below.

- Create assets that conserve, develop and help the management of natural resources of watershed area
- Develop sense of ownership among the user groups and other institutions on the assets created
- Establish transparent processes for implementing the watershed development program.

For achieving the above objectives, the following activities should be carried out by PIA/ WDT and other watershed based institutions.

- Collection of contribution from users and Establishing Watershed Development Fund (WDF)
- Execution of Works
    - o Marking out the activities (transferring the plans onto the ground)
    - o Supervision of works
    - o Responsibility Sharing among the user group members
- Measurements of works
- Making payments and Maintenance of records/ finances

The activities in this key event set are :

1. Mobilization of Contribution
2. Knowledge of Communities on WDF
3. Execution of Works
4. Measurements
5. Payments

Designed and Desirable Processes :

Implementation of works is the longest phase in the project. In this phase, the watershed plans are implemented by the user groups under the supervision of watershed committee

and WDT. The priorities in action plans guide the implementation process. Before implementation, the user groups are expected to make demands for executing the works (as per the approved action plan). Detailed estimates are prepared by a trained local volunteer and WDT.

Based on these estimates, the respective user groups have to contribute their share in the form of cash, material or labour. The contribution is mandatory and the minimum percentage of contributions is fixed for various categories. The contributions are deposited in a separate fund known as Watershed Development Fund (WDF). Collection of fees, charges, fines and voluntary donations are also encouraged. The contribution is considered an indicator of people's participation. The WDF account is jointly operated by the chairperson of WC and the president of WA. It is a non-operational account during the project period and can be used for maintenance of community works/common property resources only after completion of the project. The watershed committee and association are expected to develop appropriate norms for maintenance and use of WDF.

The volunteers/ secretary/ watershed committee members and WDT provide necessary technical guidance and supervise the implementation. They will also make measurements and maintain the records for works. Regular WC meetings and periodic WA/Gram Sabha meetings are emphasized in the guidelines to review physical and financial progress of the programme. Withdrawals and disbursement of money can be done as per locally decided norms and procedures. Displaying these details in public places and sending copies of statements of expenditure to Grama Panchayati will avoid misunderstandings and mistrust among the local institutions. Transparency in all the transactions of watershed programme is both cause and effect of people's participation. Based on such transparent processes and systems, the payments are made to the respective user groups.

In this process, the preference is given to creation of wage opportunities to the local people, who are dependent on wages. The systems established during the initial phase are repeated for every type of work. The execution of each activity is the responsibility of the respective user group. The execution of works should not be taken over by the watershed committee members/ WDT/ PIA. Similarly the role of contractors and use of machinery in execution of works should be completely avoided. In this section the processes followed for executing the works are described and analyzed.

A. Collection of contribution from users and Establishing WDF

Peoples' participation should be assured through voluntary donations/ contributions in terms of labour, kind and cash for the developmental activities as well as for the operation and maintenance of the assets created *(1994 MoRD, Chapter II Para 25 I, Chapter III Para 45, Chapter IV Para 84, 98; WARASA, MOA Chapter VI Para 157, Chapter V 79, 80 and 81)*

(i) Processes Followed in Different States :

Who contributes?

This process is one of the most controversial issues in the watershed project. The processes related to mobilization of contribution are not uniform and participatory in several watersheds. One of the most common forms of mobilizing the contribution is in the form of labour. This option is given as many users are poor and may not be able to contribute in cash. This same provision which is supposed to help the poor families has become a hurdle for them. While the mandatory contribution is mobilized in several projects, the controversy remains on the issue "Who is actually contributing?"

Wage seekers are contributing to WDF in majority of watersheds (36 out of 55 watersheds; 65%). There are several ways in which they contribute or are made to contribute. Ideally, wage seekers should not contribute to the works. When any labourer works, s/he is expected to get complete payment as per SSR/ minimum wages. The users of the assets created are the beneficiaries of this investment/ asset and they are expected to contribute.

In majority of watershed projects in MP (7 out of 8; 88%), the labour and users worked together and both of them contributed. Similar process was observed in Chattisgarh and Nagaland also (in one watershed each; 13%). 9 watersheds out of 55 followed this process (17%).

Another common process was to deduct wages from local labourers. This process was followed for works on both private and public lands. Only watersheds in MP (1 out of 8; 13%); Chattisgarh (7 out of 8; 88%); Jharkhand (5 out of 7; 71%) and Rajasthan (1 out of 8; 13%) followed this process. Only consolation of this process is that wages of non-local labourers were not deducted.

In some cases the wages of labourers were deducted when they worked on CPRs. This process was mainly observed in Orissa (2 out of 8; 25%) and UP (1 out of 8; 13%). In Rajasthan (2 out of 8; 25%) and UP (1 out of 8; 13%) the suppliers of material/ owners of machinery (tractors, etc.) contributed on behalf of user groups.

In 18 out of 55 projects (33%) the users (individuals and groups) contributed genuinely. These were observed in Jharkhand (2 out of 7; 29%); Rajasthan (5 out of 8; 63%); UP (4 out of 8; 50%); Orissa (3 out of 8; 38%) and Nagaland (4 out of 8; 50%) states. MP and Chattisgarh did not have a single watershed in this category.

In what form?

The form in which the contribution is made indicates the health of watershed project. The forms of contribution range from "non-participatory to participatory". The conflict with "labour" contributing was already explained. When most of the contribution is mobilized in the form of labour, the labourers were forced to "contribute" to the WDF. Since the wage seekers were some times getting higher wages (than the local rates), they did not make any objections to forego part of their daily wages as contribution. Since this is most practical and

easy method of mobilizing contribution, many PIAs/WDT followed it. Though this process is marred with inherent inequity and exploitation it became the most common process across the country.

For majority of works in CPRs, the contribution was mobilized from the wage seekers (who may or may not be users). This process was followed in all states except in Rajasthan. MP (7 out of 8; 88%) and UP (6 out of 8; 75%) are at the top of the list.

Another similar process was shrama daan by the labourers/ users. 17 out of a total 55 projects (31%) made contribution in this form. All projects in Rajasthan followed this process.

Other processes that are not very participatory are – deductions from contractor payments/ transport charges, etc. These processes were observed in UP (2 out of 8; 25%) and Nagaland (3 out of 8; 38%). This arrangement was largely made by PIA and the role of communities was relatively low in this process.

Majority of the watersheds in Nagaland (5 out of 8; 63%) followed mostly participatory process, in which the user groups paid the contribution in the form of labour and material. This was not observed in any other state.

Who collected the contribution?

In 14 out of 55 watershed projects (25%) the PIA/ WDT played a key role in collecting the contribution. The roles played by them are not necessarily participatory and enabling. They replaced the local level institutions and directly performed the functions that are to be performed by the watershed committee/ secretaries. 4 out of 8 projects in UP and Nagaland (50%) followed these processes. One project each in MP, Chattisgarh and Orissa (13%) followed this process. No watershed in Jharkhand and Rajasthan followed the process.

In 23 out of 55 projects (42%) the secretary played the key role in collection of contributions. This process was observed in more than 50% projects in MP, Chattisgarh, Jharkhand and Rajasthan. The role of secretary was negligible in Nagaland.

In 6 out of 55 watersheds (11%) watershed committee took the responsibility of collecting the contribution. This process was observed only in Rajasthan (3 out of 8; 38%), UP (1 out of 8; 13%) and Orissa (2 out of 8; 25% of projects).

In 8 out of total 55 projects (14%) the role of watershed committee, secretary, volunteers and leaders of user groups was observed. These members performed different roles and supported the watershed committee. However, no watershed projects in Rajasthan, UP and Nagaland followed this process. Where this process was followed, the number of such watersheds ranged between 1 and 2 (13% and 25% of that state).

Where is the contribution deposited?

The details of WDF are not available in 2 out of 55 watersheds (4%). These watersheds are from UPand Orissa. In 11 out of 55 watersheds (20%) the project guidelines/ framework did

not require WDF to be created. These projects are mainly in MP (1 out of 8; 13%), Chattisgarh (2 out of 8; 25%), Jharkhand (1 out of 7; 14%); Rajasthan (3 out of 8; 38%), Orissa (1 out of 8; 13%) and Nagaland (3 out of 8; 38%).

In 37 out of 55 projects (67%) separate account was created to deposit the donations/ contributions. About 4 to 5 projects in each state (50% to 75%) created separate bank account for WDF.

In one project in Jharkhand (14%) and two in MP (25%) the contribution of communities was deposited in two separate accounts. One of them is watershed development fund and the second one is – "Gram Kosh (Village Development Fund)". This process is an innovation and supports the needs of village development fund.

In 5 out of a total of 55 watersheds (9%) the contribution was deposited in Watershed Project Account. This mixing up of funds (bank accounts) was observed only in Rajasthan and UP. Another process was to deposit the contribution in the bank account of PIA. This practice was observed only in Jharkhand.

(ii) Process Followed by Projects/ PIAs :

Who contributes?

27% of GoI NGO projects (4 out of 15) and 13% of GoI GO projects (4 out of 30) followed processes that were not very participatory.

Material/ machinery supplier and labourers shared part of their income/ wages towards the mandatory contribution in case of GoI funded projects only. The actual users/ beneficiaries did not contribute anything.

23% of GoI GO projects (7 out of 30), 33% of GoI NGO projects (5 out of 15) and 29% of INGO NGO projects (2 out of 7) followed a process in which labourers sacrificed their income/ wage towards the contribution. This process was not seen in case of bilateral projects.

The users and labourers worked together and their wages were deducted towards contribution in 17% of total projects (9 out of 55) for works on CPRs and private lands. One GO PIA under bilateral projects, 10% of GoI GO projects (3 out of 30) and 27% of GoI NGO projects (4 out of 15) fall into this category.

All categories of projects and PIAs showed genuine contribution to some extent, except one GO PIA under bilateral projects. 33% of GoI GO projects (10 out of 30); one NGO PIA under bilateral projects and 57% of INGO NGO projects (4 out of 7) followed this process in which the actual beneficiaries/ users only contributed, for all types of works. Only 13% of GoI NGO projects (2 out of 15) followed this process.

In what form?

Wage deduction was the most common process that was followed in majority of projects under different categories of PIAs. 13 out of 30 GoI GO projects (43%) and 8 out of 15 GoI NGO projects (53%); one GO PIA under bilateral projects and 43% of INGO NGO projects followed this process. The labourers and owners/ user of assets together contributed to WDF by parting a portion of their wages, for all types of works. Direct contribution in labour form was also seen in several watershed projects. Number of NGO PIAs under this category is relatively high in this case.

20% of GoI GO projects (6 out of 30) mobilized contribution by deducting from the payments to contractors/ transporters. GO PIAs sought contribution in the form of cash and kind from the actual users in 5 out of 30 GoI GO projects (17%) and no other category of watersheds/ PIAs/ projects showed this trend. The contribution in the form of material was observed in one GoI funded project facilitated by GO PIA (3%).

Who collected the contribution?

The process of mobilizing the contribution was dominated by PIAs/ WDT in 23% of watershed projects (13 out of 55). Majority of the projects under this category belong to GoI GO projects.

22% of GoI GO projects (7 out of 30) followed a process in which the PIA mobilized contribution, by adopting several processes, which were not participatory in most of the cases. Only one NGO PIA under GO followed this process. The dominant role of NGO PIAs is seen in bilateral and INGO funded projects (2 out of 7; 29%). However, one GO PIA under bilateral projects does not fall in this category.

In 52% of projects (29 out of 55), the secretaries and watershed committees played a key role in mobilizing the contribution. In 74% of GoI NGO projects (11 out of 15) and 47% of GoI GO projects (14 out of 30) followed this process.

One Bilateral GO project and one Bilateral NGO project gave considerable role to watershed committees/ volunteers. 29% of total projects (16 out of 55) followed this process in which the committees/ secretaries played a key role in collecting contribution.

The GoI supported projects gave more opportunities to village level functionaries such as volunteers, user group's leaders, etc. Both NGO PIAs (2 out of 15; 13%) and GO PIAs (4 out of 30; 13%) promoted different roles of other functionaries in the context of contribution.

Where is the contribution deposited?

The details of WDF were not available in one out of 30 GoI GO projects (3%) and one out of 2 Bilateral GO projects (50%). WDF was not created in 4 out of 7 INGO NGO projects (57%) and 7 out of 30 GoI GO projects (23%).

In one GoI NGO project (one out of 15; 7%), the contribution was deposited in two separate bank accounts – one watershed development fund account and the other Village Development Fund (Gram Kosh).

In majority of the INGO NGO projects (3 out of 7; 43%) and NGO projects (100%) the funds were deposited within the same account in which the grants for works were deposited. This method was practiced as these projects do not have the concept of WDF. In spite of having a norm for creating separate WDF, one project under GoI NGO projects (7%) followed this process.

Based on the above analysis, the processes related to contribution can be grouped as follows:

Most Common Processes	• Wage of labourers is deducted to create watershed development fund in 65% of watersheds (Not Desirable). • Users genuinely contributed in 33% of watersheds (Desirable). • Contribution in the form of labour, followed by cash (Desirable) • The contribution was mobilized by deducting the wages from the labourers and users. (Desirable) • Secretary played a key role in collection of contributions (Desirable) • The Watershed Development Fund was created at watershed level (Desirable)
Rare Processes	• The contribution in the form of material / machinery (Desirable) • The contribution both by material and cash (Desirable) • Watershed level functionaries (leaders of user group, chairman, volunteers) also collected contribution from user groups (Desirable) • Contribution is deposited in the same account in which the grants (funds for watershed works) are deposited (Not Desirable) • Part of the WDF is deposited in PIAs' own account (Not Desirable) • Contribution was in kind/ labour (Desirable) • Wages of labourers from neighbouring villages are not deducted for contribution (Desirable) • Contribution is deposited in two accounts. Part of the contribution was deposited in WDF account and remaining amount was deposited in "Village Development Fund (Gram Kosh)", which is created as a separate fund (Desirable) • There was no need to form watershed development fund, as per the guidelines of the project.

Table -28

PIA/ Project Wise Responses					Patterns of Response on the Process related to "Who actually contributes?"	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
7	20	0	0	0	Material/ machinery suppliers	0	0	0	25	13	0	0	5
6	7	0	0	0	Only Labour for works on CPR and private lands.	0	0	0	0	25	13	0	6
7	7	0	0	0	Labour and community members for works on CPR	0	0	0	0	0	38	0	5
23	33	0	0	29	Only village labourers (except from other villages) for all works.	13	88	71	13	0	0	0	25
10	27	50	0	14	Labour and User Group members for all types of works	88	13	0	0	0	0	13	17
33	13	50	100	57	User Group Members/ Individuals/ Owners, who benefited from works	0	0	29	63	50	38	50	33
Patterns of Response on the Process related to "In what form the contribution is collected?"													
3	0	0	0	0	No contribution	0	0	0	0	13	0	0	2
13	0	0	0	0	PIA deducted the amount from Contractor's payment	0	0	0	0	13	0	38	7
43	53	50	0	43	In cash (cut from wages of labourers) on works on CPR	88	38	29	0	75	50	25	45
23	40	50	100	29	In labour (additional work without payment)	13	50	43	100	0	25	0	31
7	13	0	0	14	Both in cash and labour	0	13	29	0	0	13	13	9
3	0	0	0	0	In the form of material	0	0	0	0	0	13	0	2
7	0	0	0	14	Labour and Material	0	0	0	0	0	13	25	5
3	0	0	0	0	Use of tractor for transporting material	0	0	0	0	13	0	0	2
17	0	0	0	0	In cash and kind from users	0	0	0	0	0	0	63	9
30	**15**	**2**	**1**	**7**	**Grand Total (No)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

B. Execution of Works

After initiating the process related to contribution the execution of works begins. The main activities at this stage are as follows:

- Marking out the activities (Transferring the plans on to the ground) at the selected sites.
- Supervision of activities
- Sharing of responsibilities among the user group members

The processes related to these activities are mentioned here.

(i) Processes Followed by Different States :

B.1. Marking Out:

In 46 out of 84 watersheds (84%) the WDT/ PIA played key role in marking out the plans on ground. Out of these in 29 cases (53%) the WDT/PIA alone conducted this task.

Table -29

PIA/ Project Wise Responses					Patterns of Response on the Process related to "Who collected the contribution?"	State Wise Response							
Government WDP		Bilateral WDP		NGOs		M	C	J	R	U	O	N	Total
GO PIA	NGO PIA	GO PIA	NGO PIA	NGOs									
0	0	50	0	14	Contribution in kind / labour, no need to collect.	0	13	0	0	0	13	0	4
3	0	0	100	0	PIA.	13	0	0	0	0	0	13	4
3	7	0	0	0	PIA by deducting from their wages at the time of payment.	0	0	0	0	25	0	0	4
10	0	0	0	0	WC and WDT	0	0	0	0	0	0	38	5
3	0	0	0	0	PIA deducted it from Contractors, Tractor suppliers.	0	0	0	0	13	0	0	2
3	0	0	0	0	WC Chairman and PIA	0	13	0	0	0	0	0	2
0	0	0	0	14	UG/ WDT/ WC	0	0	0	0	13	0	0	2
40	67	0	0	14	Secretary on behalf of WC.	63	50	71	50	25	38	0	42
7	7	100	0	29	Watershed committee.	0	0	0	38	13	25	0	11
0	7	0	0	14	Volunteer collected and submitted to Secretary.	0	0	14	0	0	13	0	4
3	0	0	0	0	Volunteer collected and deposited in WDF A/C.	0	0	14	0	0	0	0	2
3	0	0	0	0	Chairman of WC	2	0	0	0	0	0	0	2
0	13	0	0	0	Secretary or president	0	25	0	0	0	0	0	4
3	0	0	0	0	UG Leader and hands over to WC.	0	0	0	0	0	0	13	2
Where is the contribution amount deposited?													
3	0	50	0	0	Details of WDF are not available	0	0	0	0	13	13	0	4
23	0	0	0	57	Not applicable	13	25	14	38	0	13	38	20
80	67	50	0	29	Separate WDF A/c	63	88	71	50	63	75	63	67
0	20	0	0	0	Part in WDF and part in Village Development Fund (Gram Kosh)	25	0	14	0	0	0	0	5
0	7	0	100	43	Deposited in Watershed Project account	0	0	0	38	25	0	0	9
0	7	0	0	0	Part with PIA and part in WDF A/c	0	0	14	0	0	0	0	2
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

PIAs in Chattisgarh (7 out of 8; 88%); MP (6 out of 8; 75%); Jharkhand (4 out of 7; 57%), Rajasthan (4 out of 8; 50%) and UP(4 out of 8; 50%) mainly followed this process. However, in Orissa (6 out of 8; 75%) and Nagaland (5 out of 8; 63%) the PIAs/ WDT conducted this task along with the local functionaries. A minor portion of the projects in other states also followed this process.

Local level functionaries played a key role in 7 out of 55 watersheds (13%). This process was observed in UP (3 out of 8; 38%); Rajasthan (2 out of 8; 25%) and one each in Chattisgarh

Box 8

Processes Followed in Marking out	
Data Not Available	4%
PIA staff/ WDT/ technical staff of PIA	45%
Technical staff from Donors	2%
WDT Engineer	5%
PIA and WC secretary	5%
PIA and Village Council	7%
WDT, WC Members and User group	11%
WDT and Volunteers	5%
WC Secretary and WDT	2%
WC Secretary	7%
Trained volunteer for individual work and Trained volunteer, WC, and WDT engineer for group work	2%
WC and Skilled villagers	4%
Grand Total	**100%**

(13%) and Jharkhand (14%). Such local level capacities were not observed in MP, Orissa and Nagaland.

B.2. Supervision of Works :

Data from UP on this issue was not available.

In 28 out of the 55 cases the PIA/ WDT joined the watershed level functionaries for supervising the works (51%). Majority of projects in MP (7 out of 8; 88%); Rajasthan (6 out of 8; 75%) and Orissa (6 out of 8; 75%) fall under this category.

The PIA alone performed this role in 10 out of 55 watersheds (18%). Projects under Nagaland (4 out of 8; 50%) top this list, while a small percentage of watersheds followed this process in each state (except in Rajasthan).

The active and dominant role of watershed level functionaries was observed in 9 watersheds each (16%). Majority of watershed projects under Chattisgarh (5 out of 8; 63%) followed this process.

B.3. Responsibility Sharing among User Group Members :

It was already explained that several watersheds did not establish user groups. So the responsibility sharing with these non-existent institutions does not arise in such watersheds. In the remaining cases, the processes related to users group's role in the context of execution of works are described here.

In 5 out of 55 watersheds (9%), the user groups were inactive or formed only after completion of work or formed only on paper. In such situations, the role of user groups in execution of works is almost negligible.

Box 9

Role of UGs in Execution of Works	
User Groups do not exist	31%
User Groups did not show any interest in supervision of works.	2%
User groups were formed only after completion of works. PIA implemented the works.	7%
User Groups supervised the quality and quantity of works. Did not execute the works	18%
User Groups fixed the responsibilities after discussions among themselves/ problem analysis.	7%
Works were executed by User Group members under supervision of volunteer. Material was procured by PIA.	7%
Volunteers were appointed by WC, who supervised the works executed by user groups.	4%
All responsibilities of executing of works were taken by users (labour management, procumbent of material, quality of works, and conflict resolution between labours). The quality of works/ procedures is checked in village meeting.	2%
An agreement between Users and WC was made, which mentions the norms of works (70% of utilization of advance, muster role preparation, maintenance of asset, etc). Users Groups implemented works in the light of this agreement.	2%
UG executed works along with community, WDT guided them.	9%
UG executed works, WDT guided them and WC supervised them.	7%
User Groups appointed the leader. This leader assigned the work to members of user group, with the consultation of WDT.	2%
Wage opportunities were given to SC/ST User group members	2%
Grand Total	**100%**

User groups played an active role, where they existed and when given an opportunity. User groups played a key role in 23 out of 55 watersheds (42%). Majority of watersheds in Jharkhand, Orissa and Nagaland followed this process. The functions performed by these user groups are mentioned in the box. One could observe that the user groups worked along with local volunteers/ secretaries and WDT and performed the functions like execution of works; supervision; material procurement; handling of money (advance was given to user groups for executing the works).

In 10 out of 55 watersheds (18%) the role of user groups was limited to supervision of works (quality and quantity). They did not execute the works. This process was largely observed in MP (6 out of 8; 75%) and UP (2 out of 8; 25%).

(ii) Processes Followed by Projects/ PIAs:

B.1. Marking Out:

In 47% of GoI GO projects (14 out of 30), the GO PIA/WDT played a key role. In 43% of GoI GO projects (13 out of 30), the GO PIA/ WDT worked along with local functionaries in marking out the activities. Only 7% of GoI GO projects (2 projects) gave free hand to the local functionaries.

60% of GoI NGO projects (9 out of 15) were dominated by PIA/ WDT. In 20% of projects (3 out of 15), the WDT/PIA worked along with the village functionaries and in another 20% of projects (3 out of 15), only village level functionaries worked on this theme.

In bilateral projects, the role of village level functionaries was almost nil, in both the categories of PIAs. However, in 29% of INGO NGO projects (2 out of 7), local level institutions/ functionaries played a key role in marking out the plans, though in the remaining 5 watersheds (71%), the PIA/ WDT played a major role.

B.2. Supervision of Works :

WDT/ PIA worked along with village level functionaries for supervision related tasks in majority of the cases. This process was observed in 14 out of 30 GoI GO projects (47%) and in 9 out of 15 GoI NGO projects (60%). Both the watersheds under Bilateral GO projects (100%) and the lone Bilateral NGO project (100%); 3 out of 7 INGO NGO projects (43%) followed this process.

Bilateral projects did not give any opportunity to the local institutions/ functionaries for supervision of works. Relatively small share of projects were being supervised by local functionaries in all these categories of watersheds.

Supervision by PIA/ WDT alone was also practiced in NGO PIA under bilateral projects (1 out of 2; 50%) and GO PIAs under GoI funded projects (7 out of 30; 23%).

B.3. Responsibility Sharing among UG Members :

In 15 out of 30 GoI GO projects (about 50%) the user groups did not have any clear role in the execution of works. They either did not exist or did not show any interest in the execution of works. In the remaining 15 projects (50%), the user groups played active role in execution of the works. It may be noted that the majority of these projects were from Nagaland.

11 out of 15 GoI NGO projects (73%) gave space to user groups. The execution and monitoring roles by user groups were equally shared in these watersheds. In the remaining watersheds, user groups were not formed.

The INGO NGO projects mainly gave the supervision role to user groups (in 3 out of 7 projects; 43%) and in only one watershed (14%), the user groups actually executed the works. In the remaining 3 watersheds (43%), the user groups were not strong institutions to take up any role in execution of works.

Based on the above analysis, the process related to execution of works can be grouped as follows:

Most Common Processes	• PIA/WDT played major role in marking out of activities. (OK) • Supervision is largely a shared responsibility between PIA/WDT and local level functionaries (Desirable) • User groups did not exist/ execute works (Not Desirable) • User groups (when formed) are engaged in supervision and execution of works (Desirable)
Rare Processes	• PIA/WDT alone conducting all activities related to supervision (Not Desirable) • Village level functionaries engaged in supervision of activities (Desirable) • User groups are formed after the execution of works (Not Desirable) • Local trained functionaries/ volunteers perform the technical functions (Desirable) • Advances are given to user group which executes the work (Desirable) • Agreement between watershed committee and user groups for executing the works (Desirable)

Table -30

PIA/ Project Wise Responses					Patterns of Response on the Process related to "Who marks out the work?"	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
3	0	0	100	0	Data Not available	0	0	0	13	0	0	13	**4**
47	60	100	0	57	PIA/ WDT Played Key Role	75	88	57	50	50	25	25	**53**
43	20	0	0	14	PIA/ WDT along with village level functionaries	25	0	29	13	13	75	63	**31**
7	20	0	0	29	Village Level Functionaries	0	13	14	25	38	0	0	**13**
Patterns of Response on the Process related to "Who supervises the work?													
23	7	50	0	14	PIA staff alone	13	25	14	0	0	25	50	**18**
47	60	50	100	43	PIA/ WDT along with Watershed Functionaries	88	13	57	75	0	75	50	**51**
17	20	0	0	14	Watershed Functionaries played Key Role	0	63	29	25	0	0	0	**16**
Patterns of Response on the Process related to "How is the responsibility among user groups shared?"													
33	27	0	0	43	UGs do not exist	0	75	14	63	63	0	0	31
13	0	50	100	0	User Groups did not play any key role in execution of works.	25	0	0	25	0	13	0	9
3	33	50	0	43	Supervision of quality and quantity of works	75	0	0	13	25	0	13	18
50	40	0	0	14	User Groups played active role in execution of works.	0	25	86	0	13	88	88	42
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

C. Measurements of Works

Each work will be measured and appropriate records will be maintained at watershed committee level. These measurements are to be carried out by the trained local volunteers under the guidance/ supervision of WDT. Based on the measurements, the payment schedule will be prepared by the secretary. The watershed committee will also join this process of measurements and record keeping and ensures that the system is properly operating. After discussing the quantity and quality of work done, the committee will make the payment to the user groups that implemented the works. The processes related to these key events are described here.

(i) Processes Followed by Different States :

Who takes the measurements?

The process of taking measurements has several variations. These variations are presented in the box. These variations could be broadly classified into the following processes:

- PIA/ WDT played a dominating role.
- PIA/ WDT worked along with watershed level functionaries.
- Watershed level functionaries took more active and direct role.

A minor portion of watersheds in Chattisgarh, UP, Orissa and Nagaland based watersheds belong to the first category of watersheds, in which the PIA/ WDT dominated the process.

Majority of watersheds fall in the second category of processes in which the watershed committees provided local support (32 out of 55; 58%). Watershed projects in MP(8 out of 8; 100%); Orissa (8 out of 8; 75%); Nagaland (7 out of 8; 75%); UP (5 out of 8; 63%) and Jharkhand (4 out of 7; 57%) followed this process.

All watersheds in Rajasthan (8 out of 8; 100%) followed the third category of process in which the WDT supported the local functionaries for taking measurements. A considerable share of projects in Jharkhand (3 out of 7; 43%) also belongs to this category.

Who maintains the measurement book?

In 6 out of 55 watersheds (11%), the measurement books (MB) were not maintained/ its details were not available. In 25 out of 55 projects (46%), the PIA/WDT maintained the measurement book. Jharkhand (4 out of 7; 57%); UP (5 out of 8; 63%) and Orissa (4 out of 8; 50%) are among the top in this category of processes.

In 10 out of 55 watersheds (18%), the WDT/PIA and village level functionaries together maintained the MB. These projects mainly belong to MP (5 out of 8; 63%), Nagaland (4 out of 8; 50%) and UP (1 out of 8; 13%). It may be observed that this collaborative process was not observed in Chattisgarh, Jharkhand, Rajasthan and Orissa.

In 14 out of 55 projects (26%), the local level watershed functionaries completely maintained the MB. These watersheds belong to Chattisgarh (4 out of 8; 50%), Jharkhand (2 out of 7; 29%), Rajasthan (2 out of 8; 25%), UP (2 out of 8; 25%) and Orissa (2 out of 8; 50%). MP and Nagaland did not give this opportunity to the local functionaries.

Box 10

Decision Making Process for Measurements and Payments
o Data not collected (17 out of 55; 31%)
o PIA alone decided the system. Work was done by contractors (1 out of 55; 2%).
o PIA decided the system, records it, check measures it and makes the payments (5 out of 55; 9%)
o PIA decided the system of measurements; secretary and WDT records the measurements during and after the work and check measurement was done by PIA (2 out of 55; 4%)
o PIA decided the system WDT records the measurements weekly and check measurement was done by PIA/WDT and payment made by WC/ Secretary (3 out of 55; 5%)
o PIA decided the system check measurements by WDT and Community is involved in the measurements process. Payments by PIA and WDT (1 out of 55; 2%)
o Technical expert and village labourers take measurements; recording and book maintenance by PIA (5 out of 55; 9%)
o WC and PIA both decide the system for measurements (10 out of 55; 18%)
o PIA, WC, UG decided the system (2 out of 55; 4%)
o WC Decides the system, secretary along with one member records the measurements during and after completion of the work, check measurements was done by WDT and PIA (1 out of 55; 2%)
o For common lands: PIA Members WC secretary and WDT Engineer in the presence of Panchayat members and for Private Land owner is also present (1 out of 55; 2%)
o WA, WC and WDT decided the system, trained volunteer appointed by WC records the measurements in presence of Users, check measurements by WDT and payments by Volunteers (1 out of 55; 2%)
o PIA conducted the 5 days residential training to all volunteer and WC members. In Gram sabha system was discussed: volunteer will measure in presence of all labourers, owners and one WC members will be represented. After taking measurements he will submit it to the secretary and take approval from the hamlet people then WDT and WC members from other village will check Muster roll and MB through sample check (1 out of 55; 2%)
o Volunteers will take measurements in presence of labourers and submit to the secretary (2 out of 55; 4%)
o Volunteers and secretary will measure and submit to chair person of WC and after approval from the Chairperson WC he will call WDT Engineer for check measurement (1 out of 55; 2%)
o Volunteer takes the measurement in presence of SHG (women) who were allocated with the responsibility of execution and then the SHG and the volunteer will prepare the muster roll during payment and submit it to secretary. Secretary will inform to WDT for check measurement (1 out of 55; 2%)
o WC decided the system, recorded the measurements, check measurements and Payments (1 out of 55; 2%).

Frequency of Measurements :

Measurements are the most critical part of the execution of watershed works. The regularity of the measurements and community's involvement are clear indicators of the efficiency of watershed projects. Sometimes, in a single watershed, measurements were taken at different intervals, depending on the nature of work.

The communities were not aware of the processes related to measurements (particularly frequency of measurements) in 10 out of 55 projects (17%). Except Jharkhand and Rajasthan, a minor portion of watersheds (1 to 3 watersheds; 13% to 38%) in each of the remaining states followed this process.

Another practice related to measurements was to conduct this task at the end of the activity. Large number of projects in Nagaland (5 out of 8; 68%) followed this process. MP (3 out of 8; 38%); Chattisgarh and Orissa (1 out of 8; 13% each) also followed this process. Some of the interesting processes related to frequency of measurements are as follows:

The measurements were made at two levels in all projects of Rajasthan. One level was by group level, in which daily measurements were taken by Matt (labour group leader/ contractor) and users. The second level was by PIA/ WDT, in which the measurements were taken at every two months interval. This process was not observed in any other state.

Similarly measurement processes in Jharkhand offer a variety of experiences. For e.g. the measurements were taken on daily basis by secretary/ volunteer (3 out of 7; 43% of projects in Jharkhand), advances were given to user groups for executing the works. When 70% to 80% of this advance was spent, the local volunteer takes the measurements. This is a rare process in which the advance was given to user group, but also local level measurements are linked to expenditure of this advance. This process was not observed in any other state. In 4 out of 8 projects in Rajasthan (50%) the skilled local volunteer takes the measurements on weekly basis.

On the whole, the weekly measurements seem to be most common process followed for measurements (in 11 out of 55; i.e. 20% of projects). Projects from Chattisgarh (3 out of 8; 38%); Jharkhand (1 out of 7; 14%); UP (3 out of 8; 38%) and Orissa (4 out of 8; 50%) followed this process.

(ii) Processes Followed by Projects/ PIAs:

Who takes the measurements?

A minor share under GoI GO (5 out of 30; 17%) and GoI NGO projects (1 out of 15; 7%) followed a process in which the measurements were taken by the PIA/ WDT alone. The lone Bilateral NGO project also followed the same process.

Majority of watersheds under all types of projects/ PIAs followed a process in which collaborative arrangements were made between WDT/PIA and village level functionaries for

measurements. This process was more predominant in case of NGO PIAs under both INGO and GoI funded projects.

Relatively low number of watersheds gave opportunity to the local level functionaries to take the lead in the context of measurements. In this theme also, the number of projects under NGO PIAs seem to be higher than that of GO PIAs.

Who maintains measurement book ?

In all categories of projects/ PIAs, the role of PIA/ WDT was predominant in maintaining the MB. GoI GO (16 out of 30; 53%) and GoI NGO (7 out of 15; 47%); GO PIAs under bilateral projects (1 out of 2; 50%) and INGO NGO (4 out of 7; 57%) fall under this category. When all these projects are put together, they make a considerable share of total projects (31 out of 55; 57%).

Only GoI funded projects experimented with a collaborative process, in which the WDT/ PIA provides the support to the village level functionaries for maintaining the MB. Such processes were observed in 7 out of 30 GoI GO projects (24%) and 2 out of 15 GoI NGO projects (13%).

The village level functionaries took the lead in taking measurements and maintaining MB too. Higher number of projects under GoI NGO (6 out of 15; 40%) and INGO NGO (3 out of 7; 42%) projects followed this process, when compared to GoI GO projects (6 out of 30; 20%).

Box 11

Process of Taking Measurements	
Community doesn't Know	2%
Data Not Collected	2%
PIA alone	7%
WDT leader	4%
WDT/ PIA as per government procedures, community is not present.	2%
Technical expert from PIA	4%
PIA in the presence of labourer	2%
WC member with WDT	16%
WDT/ PIA in presence of Secretary and one member of WC/ President	11%
PIA/ WDT in the presence of WC member and concerned user	11%
APO/ PIA with WC Secretary/ Volunteer	15%
WDT/ Matt in presence of labourer	2%
Secretary measured the works along with WDT	11%
Skilled villagers along with Matt, measures the works and Secretary supervises the quantity of work (randomly). WDT members check the quality and quantity of work, before making the payment	4%
Trained volunteer with WC member in the presence of labourers and users and checked and verified by WDT	5%
WC alone	4%
GRAND TOTAL	**100%**

Frequency of Measurements :

Projects under GoI funded projects offered a wide variety of processes related to frequency of measurements. Both NGO and GO PIAs made attempts to innovate the process of measurements. However, the communities were ignorant abut the payments/ frequency of payments in 7 out of 30 GoI GO projects.

Taking measurements after the completion of works was a common process followed in 7 out of 30 GoI GO projects (23%) and 1 out of 15 GoI NGO projects (7%). One Bilateral GO project also followed the same process.

Another process followed by all categories of PIAs in all types of projects was to take measurements either on monthly basis or weekly basis (except one GO PIA under bilateral projects).

A system of giving advance to user groups was followed in 1 out of 30 GoI GO projects (3%) and 2 out of 15 GoI NGO projects (13%). The expenditure of this advance was linked to the measurement of the works. Measurements were taken by local trained volunteers.

Another common process was to take measurements on daily basis by Matt and users. This process was observed in 4 out of 30 GoI GO projects and 2 out of 15 GoI NGO projects and one out of 7 projects in case of INGO NGO projects (about 13% in all the cases). All these projects belong to Rajasthan state.

Based on the above analysis, the processes related to measurements of works can be grouped as follows:

Most Common Processes	• Taking measurements is the prerogative of WDT/ PIA. Watershed functionaries provided necessary support to them (Not Desirable) • PIA/ WDT maintained the Measurement book. The role of community is almost negligible (Not Desirable) • Frequency of measurements is not known to communities (Not Desirable) • Measurements are taken on completion of work (OK) • Weekly measurements (Not Desirable)
Rare Processes	• PIA/WDT alone conducted the tasks related to measurements without any involvement of local communities (Not Desirable) • Local skilled persons are involved in taking measurements and maintaining Measurement Book (Desirable) • Technical skills of local functionaries are upgraded to perform the tasks related to measurements (Desirable) • Measurement book is not maintained (Not Desirable) • Advance released to User Group. The measurements are taken by volunteer, when 70% to 80% of advance is spent (Desirable) • Village level functionaries took the lead and responsibility of taking measurements. PIA/WDT provided necessary technical support and guidance (Desirable) • Daily measurements by Matt/ users (Desirable) • Daily measurements by volunteers and secretary (Desirable)

Table -31

PIA/ Project Wise Responses					Pattern of Responses on "Who takes the measurements?"	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
6	0	0	0	0	Community Doesn't Know	0	0	0	0	13	0	13	4
17	7	50	0	0	PIA/ WDT alone played Key Role	0	25	0	0	25	25	13	13
53	60	50	0	86	PIA/ WDT played key role while								
					Watershed Functionaries supported the process	100	38	57	0	63	75	75	58
23	33	0	100	14	Watershed Functionaries played key role with the support of WDT/ PIA	0	38	43	100	0	0	0	25
Pattern of Responses on "Who maintains measurement book?"													
3	0	50	0	14	Community does not know/ Information not available	13	0	0	13	0	0	13	6
0	7	50	0	14	No MB maintained	0	0	14	25	0	0	0	5
27	20	0	0	14	PIA	25	50	0	0	25	13	38	22
27	20	0	100	14	WDT – Engineer	0	0	57	38	38	38	0	24
7	13	0	0	0	PIA and Secretary	50	0	0	0	0	0	0	7
17	0	0	0	0	WDT and WC	0	0	0	0	13	0	50	9
0	0	0	0	14	Watershed President and Secretary	13	0	0	0	0	0	0	2
20	20	0	0	14	Secretary	0	50	0	25	13	38	0	18
0	7	0	0	14	Volunteers	0	0	0	0	13	13	0	4
0	13	0	0	0	Volunteer and Secretary	0	0	29	0	0	0	0	4
Pattern of Responses on "What is the frequency of measurements?"													
24	7	50	0	0	Community does not know/ Information not available	13	25	0	0	13	25	38	17
23	7	50	0	14	On completion of the activity	38	13	0	0	0	13	63	18
10	7	0	0	0	As and when required, by PIA	0	25	0	0	25	0	0	7
3	13	0	0	14	During and on completion	50	0	0	0	0	0	0	7
0	7	0	0	14	Monthly	0	0	0	0	13	13	0	4
13	13	0	100	14	Bi monthly / Monthly by WDT (En) / PIA	0	0	0	100	0	0	0	15
3	0	0	0	14	Fortnightly	0	0	0	0	13	13	0	4
17	13	0	0	57	Weekly	0	38	14	0	38	50	0	20
3	7	0	100	14	Weekly twice by secretary and Skilled villagers	0	0	0	50	0	0	0	7
3	13	0	0	0	After completion of 70-80 % of that advance, Volunteer takes Measurement	0	0	43	0	0	0	0	5
13	13	0	100	14	Daily by Matt and Users	0	0	0	100	0	0	0	15
3	13	0	0	0	Daily by Volunteer and Secretary	0	0	43	0	0	0	0	5
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

D. Making Payments and Maintenance of Records/Finances

The WC will take necessary actions to open the bank account. This shall be operated jointly by Chairman of WC, one member of WDT and the watershed Secretary. The Watershed Secretary shall maintain the necessary records of Income and expenditures from the Account.

Box 12

Inventory of Processes for Making Payments
o PIA pays (7 out of 55; 13%)
o PIA prepares the bills and muster roll and pays by cash in his office (1 out of 55; 2%)
o WDT/PIA prepares the bill and pays in cash for wage and by cheque for procurement of material (4 out of 55; 7%)
o Secretary/ WDT prepares the bills and payment by WDT/PIA (1 out of 55; 2%)
o Secretary makes the bill and after verification by WDT and WC, PIA pays to the labourers in the office of PIA (3 out of 55; 5%)
o PIA prepares the bills and pays in the village after verification by WC (2 out of 55; 4%)
o PIA pays at the PIA Office which is 30KM away from the village, Measurements on which payment was made was less than the agreed measurement at the site. Materials were paid in Cheque by PIA. Payment was not on time (1 out of 55; 2%)
o PIA makes the payment in the presence of WC President and people were satisfied with the system (1 out of 55; 2%)
o PIA makes the payment but the people were not satisfied by the payment system (1 out of 55; 2%)
o WDT makes the payments in cash in presence of laborers and matt after getting the muster roll and bill prepared by matt and secretary (2 out of 55; 4%)
o WDT prepares the bill and volunteers appointed by WC make the payment (1 out of 55; 2%)
o Agriculture extension worker and WC secretary make the payments in kind (food grain) (1 out of 55; 2%)
o PIA and WC Secretary makes the cash payments (3 out of 55; 5%)
o WDT and WC make the payment in Cash (3 out of 55; 5%)
o Secretary/ president/ WC member prepares the bills and make payments (14 out of 55; 25%)
o Secretary and Volunteer make bills and muster roll and payment by cash and cheque after verification by the WDT (5 out of 55; 9%)
o SHG members (W), volunteers prepare bills and muster roll and payment to the laborers by SHG office bearers through cash. Cheque is issued to the SHG by secretary (1 out of 55; 2%)
o WC releases the cash to the owner and owner makes the payment to the laborer and contractors in presence of secretary/WC member (1 out of 55; 2%)
o WC president in presence of UG other than the group, whom the payment is made (2%)
o Up to 10000 by secretary and volunteer will prepare the bills and muster roll and more than 10000 to 25000 WDT leader will pay, 25000- 50000 PIA Chief and 50000 to 1 lakh by District Nodal agency and more than one lakh director agriculture (2%)

Annual auditing of accounts of the WA is to be done (1994 MoRD Chapter IV Para 83, 84, 95; WARASA, MoA Chapter IX, Para 174, 180, 181.

Each self help group/ user group shall maintain its own accounts for the works/ activities undertaken by it. The user groups shall also maintain a register of the users who have actually contributed labour and material with their monitory value (1994 MoRD Chapter IV Para 95, 96; WARASA, MoA Chapter VI Para 156, 161)

The entire project funds are converted into investments by making payments to the labourers/user groups and material suppliers. Different processes are followed to make payments. The inventory itself gives the flavour of participation and transparency in the payment systems (See Box).

While the role of PIA seems to be prerequisite in the context of payments, some PIAs made the processes very transparent and participatory, while other PIAs made the process "PIA Centric".

(i) Processes Followed by Different States :

Preparation of Cash Book:

The cash book/ measurement book are the basis for making payments. The details of measurement book are already explained in the previous section.

In 5 out of 55 watersheds (9%), the communities were not aware of cash book at all. This ignorance was mainly seen in watersheds of Jharkhand and UP.

The cash book was prepared largely by PIA/ WDT in 28 out of 55 watersheds (51%). Projects in Nagaland (7 out of 8; 88%), Chattisgarh (6 out of 8; 75%) and UP (4 out of 8; 50%); Orissa (4 out of 8; 50%) and Jharkhand (3 out of 7; 43%) followed this process.

Secretary played a key role and took the responsibility of maintaining cash book in 22 out of 55 projects (40%). Rajasthan (7 out of 8; 88%); MP and Chattisgarh (5 each out of 8; 63%); Orissa (4 out of 8; 50%) and UP (1 out of 8; 13%) followed this process. No project in Jharkhand and Nagaland gave the responsibility of maintaining cash book to watershed secretary.

Watershed President and Volunteers took the responsibility of maintaining cash book in limited number of watersheds, mainly from Chattisgarh, Jharkhand, UP and Nagaland.

Who is the custodian of financial records?

The community in one watershed in UP (13%) was not aware of any financial records. So the question of being custodian of financial records is a far fetched issue. In 3 out of 7 projects in Jharkhand (43%), relevant information was not available.

In 21 out of 55 watersheds (38%), the communities thought that PIA/WDT is the custodian of financial records and the watershed institutions do not have anything to do with them. This thinking was prevalent in all states (between 13% and 50% of projects).

In 30 out of 55 watersheds (55%), the communities said that the responsibility of keeping financial records is with watershed institutions/ functionaries such as watershed secretary (6 out of 55; 11%); watershed committee President (2 out of 55; 4%) and Watershed Committee itself (22 out of 55; 40%). Highest percentage of watersheds in Rajasthan (7 out of 8; 88%) attributed this responsibility to watershed institutions. Majority of watersheds institutions in MP (6 out of 8; 75% and Nagaland (5 out of 8; 63%); Orissa (4 out of 8; 50%) also have thought that the watershed based local institutions are the custodians of the financial records. Lowest percentage of watersheds in Jharkhand (1 out of 7; 14%) belongs to this category of thinking.

Making Payments :

In 12 out of 55 projects (22%), PIA dominated the process of making payments. Highest number of projects in UP (5 out of 8; 63%), Nagaland (4 out of 8; 50%) followed this process, while one project each in MP, Jharkhand and Rajasthan (13%) also followed the same process. Chattisgarh and Orissa did not follow this process.

A collaborative effort was observed in 20 out of 55 projects (36%). Highest number of projects from Orissa (7 out of 8; 88%) and Rajasthan (5 out of 8; 63%) followed this process. A minimum of one project in all the states followed this process (13%), in which the PIA and village level functionaries jointly shared the responsibility of payments.

Community/ watershed functionaries played a major and lead role in 22 out of 55 projects (40%) for making payments. Chattisgarh (7 out of 8; 88%); MP (6 out of 8; 75%) and Jharkhand (4 out of 7; 57%) are among the top in this list. No watershed in Nagaland followed this process, in spite of having strong local village councils.

(ii) Processed Followed by Projects/ PIAs:

Preparation of Cash Book:

The task and responsibility of preparing the cash book was with PIA/ WDT in 15 out of 30 GoI GO projects (50%). In case of GoI NGO projects, 10 out of 15 projects (67%) followed a process, in which the local functionaries (secretary, volunteer and watershed committee) prepared the cash book. However, in 6 out of 15 projects (40%), WDT/ PIA prepared the cash book.

In case of Bilateral GO projects, the PIA themselves maintained cash books in all watersheds. In case of Bilateral NGO, PIA/ WDT prepared the cash books and in the remaining 50% of watersheds, secretary prepared the cash books.

In case of INGO NGO projects, the PIA/ WDT prepared cash books in majority of cases (5 out of 7; 71%), while in 2 cases (29%), the watershed secretary prepared the cash books.

Who is the custodian of financial records?

Watershed communities identified several custodians for financial records. In 24% of GoI GO projects (7 out of 30) PIA/WDT was identified as custodian of financial records. In remaining

23 projects (76%), secretary (10 out of 30; 33%), watershed president (1 out of 30; 3%) and watershed committee (12 out of 30; 40%) were recognized as custodians of the financial records.

However, in case of GoI NGO projects, no watershed identified PIA/WDT as custodian of financial records. They identified watershed secretary (6 out of 15; 40%); president (1 out of 15; 7%) and watershed committee (9 out of 15; 60%) as custodian of the financial records.

This pattern in which the local institutions were identified as custodian of the financial records was observed in case of bilateral projects also. In case of INGO funded projects, the funds were not transferred to community level in some cases. The process of maintaining records/ financial documents does not arise in some cases under this category. However, in 5 of these projects out of 8 (71%), the secretary was identified as custodian of financial records.

Most Common Processes	• Village level functionaries played a key role in making payments (Desirable) • Collaborative arrangements between village level functionaries and PIA/ WDT for making payments (Desirable) • Payments are made in the presence of watershed functionaries (Desirable) • Payments in cash (OK) • PIA/ WDT prepare the cash books/ other records (Not Desirable) • Secretary maintains the financial records (cash books and others) of the watershed project (Desirable) • Secretary maintains the financial records (cash books and others) of the watershed project (Desirable) • Watershed secretary/ committee is recognized as custodian of financial records of the project (Desirable) • PIA/ WDT are recognized as custodian of financial records of the project (Not Desirable)
Rare Processes	• PIA alone makes the payments and dominated the systems of payments (Not Desirable) • PIA office is used as venue for making payments (which is 30 Km away from the village) (Not Desirable) • Watershed volunteers/ president prepare records of watershed committees (Desirable) • Communities are ignorant about the financial records/ cash book of the projects (Not Desirable) • Watershed Committee President is recognized as custodian of the financial records (Desirable) • Payments are made in the forms of food grains (OK) • SHGs receive advance and make payments to labour groups (Desirable)

Making Payments:

The processes followed by GoI GO projects were almost equally divided among the three patterns – PIA dominated processes (9 out of 30; 30% of projects); collaborative processes (9 out of 30; 30%) and the processes in which village level institutions taking the lead (11 out of 30; 37%).

In case of GoI NGO projects, the village level institutions dominated the process in higher number of projects (8 out of 15; 53%). Similarly, 6 out of 15 projects (40%) followed a process in which collaborative arrangements were made between NGO PIA and village level institutions for making payments. One could observe that several innovations were made under this category of projects (See box on payments).

In case of bilateral projects, both NGO and GO PIAs followed the process in which the communities and PIA worked together for making payments.

In case of INGO NGO projects, the PIA dominated and collaborative processes occupy equal percentage (2 each out of 7; 29%). However, the highest number of projects followed a process in which the village level institutions got a say in the process of payments.

Based on the above analysis, the processes related to making payments can be grouped as follows:

Table -32

PIA/ Project Wise Responses					Pattern of Responses	State Wise Response							Total
GOI GO	GOI NGO	Bilateral GO	Bilateral NGO	INGO NGO		M	C	J	R	U	O	N	%
3	0	0	0	0	Data Not available	0	0	0	0	0	0	13	2
30	7	0	0	29	PIA Dominated	13	0	14	13	63	0	50	22
30	40	100	100	29	PIA and Village level functionaries	13	13	29	63	13	88	38	36
37	53	0	0	43	Village level functionaries dominated	75	88	57	25	25	13	0	40
Pattern of Responses on "Who prepares the cash book?"													
7	0	0	0	0	Community Doesn't Know	0	0	14	0	13	0	0	**4**
3	7	0	0	0	Data Not Available	0	0	29	0	0	0	0	**4**
50	40	50	100	71	PIA/ WDT	38	75	43	13	50	50	88	**51**
0	7	0	0	0	WC and Volunteer	0	0	14	0	0	0	0	**2**
7	0	0	0	29	WC President	0	13	0	0	25	0	13	**7**
40	60	50	0	0	Secretary	63	63	0	88	13	50	0	**40**
Pattern of Responses on "Who is the custodian of financial records?"													
7	0	0	0	29	Community Doesn't Know	0	0	0	0	13	0	0	**2**
0	7	0	0	0	Data Not Available	0	0	43	0	0	0	0	**5**
24	0	0	0	0	PIA/ WDT	25	50	43	13	50	50	38	**38**
33	40	50	100	71	Secretary	0	50	0	13	13	0	0	**11**
3	7	0	0	0	W.C. President	0	0	0	0	13	0	13	**4**
40	60	50	0	0	WC, Office	75	0	14	75	13	50	50	**40**
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

CHAPTER - 8

KEY EVENTS – SET 7:
Maintenance of Assets, Use of WDF and Exit Protocol of PIA

Introduction

This chapter examines the processes related to Key Events such as maintenance of assets, project completion formalities and use of WDF. The main purpose of these key events is to:

- Prepare the watershed institutions to take up the post-project management issues/ activities.
- Ensure that appropriate management systems are established

For achieving this, the Project Authorities/ Project Implementing Agency will take up the following key activities/ events:

- Completion of works and Extension of Project Period
- Develop norms for management and use of WDF
- Agree upon norms for maintenance of assets created
- Evolve guidelines for management of assets after the exit of PIA.

The processes related to the above key events are described and analyzed in this section.

Desired and Designed Processes :

Phasing of the development projects gives a clear focus on specific activities that need to be completed in a given period of time. Each of the phases has a particular objective and role in building the project content and preparing the local institutions for that particular function. The sequence of phases has a meaning and logic -Preparatory phase consisting of activities like awareness generation/ rapport building; Institution building phase consisting of activities like group formation, watershed committee formation; Participatory planning phase consisting of planning related events; implementation phase consisting of activities related to execution of works, record keeping, etc.

It is expected that such a sequence of interventions make the local institutions and interventions sustainable and stable. By the end of implementation phase, the local institutions are expected to gain considerable experiences and capabilities to manage the project related activities/ functions on their own without external support. So the quality of inputs given during the initial phases would have a strong correlation with the post project sustainability of the institutions and interventions.

Once a project period ends, the management of post project activities becomes difficult if it is not planned properly and there will be none to own the responsibility. In case of watershed project, the guidelines envisage that the responsibility of post-project management will be taken over by the Watershed Association and functional groups. They can also access other resources/schemes to strengthen their production improvement activities. A very important arrangement is the creation of WDF with the contributions and donations from the user groups. The Watershed Association and Committee are expected to develop appropriate norms for maintenance of assets created on public and private lands and for sustainable use of WDF.

The processes related to the above phase are explained here.

Completion of works and Extension of Project Period :
Designed and Desirable Processes:

The works should be completed within the stipulated project period, extension is given only in deserving cases during which works budgets can be expended (1994 MoRD Chapter III, Para 41, Chapter IV 97; Chapter II Para 32, Chapter IX 184).

The processes related to completion of works and extension are described and analyzed.

(i) Processes Followed in Different States :

Extension of Period:

In 30 out of the 55 projects (60%) extension was not needed. More than 50% of projects in all states fall in this category with the following figures: Chattisgarh (6 out of 8; 75%); MP, Rajasthan and Nagaland (each 5 out of 8; 63%); Jharkhand (4 out of 7; 57%) and UP and Orissa (each 50%).

In 6 out of 55 watersheds (11%) the relevant data was not available. These watersheds are mainly from Chattisgarh and UP (each 1 out of 8; 13%) and Jharkhand (3 out of 7; 43%). One project in UP (13%) was foreclosed. The reasons for this are not available.

In 4 out of 55 projects (7%) the time and funds were found to be inadequate to cover the entire village. The extension was not given to these projects.

When projects were extended, majority of them were for one year (7 out of 55; 13% of total). Orissa (3 out of 8; 38%) and Rajasthan (2 out of 8; 25%) are among the top in this category. One project each in MP and UP (13%) also got one year extension.

2 out of 8 projects in MP (25%) got more than two years extension, while one project each in Chattisgarh, Rajasthan and Orissa (13%) got two years extension.

Reasons for Extension:

One of the major reasons for extension seems to be the delay in releases of funds. 10 out of 55 projects (18%) reported this as the main reason for extension. 4 out of 8 projects in Orissa (50%), 3 out of 8 projects in MP (38%), 2 out of 8 projects in Chattisgarh (25%) and one project in UP (13%) reported such a problem.

Funds were released for only two years in one project in UP (13% of projects). Later the project was foreclosed without any specific reason. The NGO PIA had to mobilize alternative funding support to continue with the project and keep the promises made to the villagers. Similar administrative problems were imposed in one project in Rajasthan (13%).

In one watershed in Rajasthan (13%) the watershed area was revised, which called for extension of the project period. This seems to be the only genuine case, which required extension. Rest of the reasons could be resolved through appropriate administrative instruments that ensure regular fund flows.

(ii) Processes Followed by Projects/ PIAs:

Period of Extension:

Majority of the projects under INGO funded projects did not need any extension (6 out of 7; 86%). About 50% projects under GoI GO projects and GoI NGO projects and Bilateral GO projects did not require extension.

A small portion of all categories of projects extended the time frame from one to two years. The lone NGO PIA under bilateral projects (100%) sought extension. Among GoI funded projects, 5 out of 15 GoI NGO projects (34%) needed extension whereas 5 out of 30 needed extensions in case of GoI GO projects (17%). One project out of 7 under INGO NGO projects required extension (14%).

Reasons for Extension :

Most of the GoI NGO projects faced funding related problems. 7 out of 15 NGO PIAs (43%) found that the fund releases were delayed or discontinued and several administrative problems created, which do not help in timely completion of project tasks.

In one GoI GO project (3%), revision of watershed area was reported to be the main reason for extension of the project period. Under utilization of funds was also reported to be a cause for extension/ delay in completion of project activities. The inadequacy of funds/ time was clearly expressed in case of 4 out of 30 GoI GO projects (13%).

Based on the above analysis, the processes related to the extension of project period can be summarized as below:

Most Common Processes	• Extension was not needed in majority of watershed projects (Desirable) • The extension time was for one year for many watersheds (OK) • The extension was mainly due to the delay in releases (Not Desirable) • Problems with fund flows (Not Desirable)
Rare Processes	• Under utilization of funds as the reason for extension of project (Not Desirable) • Revision of watershed area is another reason for extension of project (OK) • Project was foreclosed though work was not completed (Not Desirable)

Table -33

PIA/ Project Wise Responses					Pattern of Responses on "Extension of Project Period"	State Wise Response							Total %
GOI GO	GOI NGO	Bilateral GO	Bilateral NGO	INGO NGO		M	C	J	R	U	O	N	
10	13	0	0	0	Data Not Collected	0	13	43	0	13	0	0	9
3	3	0	0	0	Project was foreclosed	0	0	0	0	13	0	0	2
13	0	0	0	0	Extension was not given.	0	0	0	0	13	0	38	7
17	7	0	0	14	Up to 1 year	13	0	0	25	13	38	0	13
0	27	50	100	0	More than 1 year	25	13	0	13	0	13	0	9
57	53	50	0	86	Not needed	63	75	57	63	50	50	63	60
Pattern of Responses on "Reasons for Extension of Project Period"													
7	7	0	0	0	Data Not Collected	0	0	43	0	0	0	0	5
70	53	50	100	100	Not applicable	63	75	57	63	75	50	100	69
13	33	50	0	0	Delay in releases	38	25	0	0	13	50	0	18
3	3	0	0	0	Released was made only for two years	0	0	0	0	13	0	0	2
0	7	0	0	0	Administrative problems (interference of higher level officials)	0	0	0	13	0	0	0	2
3	0	0	0	0	Under utilization of the fund	0	0	0	13	0	0	0	2
3	0	0	0	0	Revision of the delineated watershed area	0	0	0	13	0	0	0	2
30	**15**	**2**	**1**	**7**	**Total No of Projects**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Management and Use of WDF:

The watershed development fund is an innovation for ensuring the maintenance of the assets created during the project period. The maintenance of assets and the use of WDF indicate the health and capacity of the watershed based institutions. The processes related to the WDF and maintenance of assets are described and analyzed here.

(i) Processes Followed by Different States:

Signatories of WDF:

The processes related to establishing WDF were already explained in earlier sections. It may be recalled that the concept of WDF is not applicable in 11 out of 55 watersheds (20%).

In 20 out of 55 projects (36%), the details of WDF were not known to the community, including the signatories of the WDF. Majority of the watersheds in Chattisgarh (6 out of 8; 75%); Jharkhand (6 out of 7; 86%); Nagaland (5 out of 8; 63%) and UP (3 out of 8; 38%) fall in this category.

In the 24 remaining cases (44% of total watersheds), the watershed development fund is operated mainly by three categories of groups:

- In 2 out of 8 projects in UP(25%) WC and PIA member operate the WDF.

- In majority of watersheds in MP (5 out of 8; 63%) and Orissa (5 out of 8; 88%), WDF is operated by WA chairman and President of watershed committee. 2 out of 8 projects in Rajasthan (25%) and 3 out of 8 projects in UP (38%) also followed this process.
- Grama Panchayat is operating the WDF in 2 out of 8 projects in MP (25%) and 3 out of 8 projects in Rajasthan (38%).

Use of WDF:

In 11 out of a total of 55 projects (20%) the concept of WDF is not relevant/ practiced. In remaining 44 projects (80%) the WDF was established. Of these, 24 watersheds (44%) did not use WDF. 20 projects (36%) have the experience of using the WDF by different processes for several purposes. The purpose(s) for which the WDF is used is mentioned here.

- In 3 out of 55 watershed projects (5%) the watershed committee formally made a request to the district project authorities for using the WDF. But the approval was not as the district authorities were not sure about the process of using WDF. This experience is from Jharkhand (3 out of 7; 43% of projects).
- 5 out of 8 projects in UP (50%) and 5 out of 8 projects in Orissa (13) used the WDF for repairing check dams.
- 1 out of 7 projects in Jharkhand (14%) used WDF for renovating irrigation channel.
- 1 out of 8 projects in Rajasthan (13%) used WDF for procuring fodder during drought.
- 1 out of 8 projects in Orissa (13%) gave loans to individual from WDF.
- 1 out of 8 projects in MP (13%) gave loans to individuals (for buying fertilizers/ opening a petty shop) from WDF
- 1 out of 8 projects in MP (13%) used funds from Gram Kosh to repair the tank bund.
- 2 out of 8 projects in UP (25%) and one project in Orissa (13%) gave loans to SHGs from WDF.
- 2 out of 8 projects in Rajasthan (25%) used WDF for making payments to the watchman, who protected the pasture lands.
- 2 out of 8 projects in Nagaland (25%) used WDF to distribute seeds, when the crops failed.
- 1 out of 8 projects in Nagaland (13%) used WDF to generate awareness about malaria.

(ii) Processes Followed by Projects/ PIAs:

Signatories of WDF:

7 out of 30 GoI GO projects (23%) did not establish WDF. 4 out of 7 INGO NGO funded projects (43%) also did not establish WDF. Together the number of watersheds that do not have WDF concept is 11 out of 55 (20%).

Communities do not know about the signatories of WDF, in considerable percentage of watershed projects facilitated by both categories of PIAs under GoI funded projects. This is observed in 47% of GoI GO projects (14 out of 30) and 40% of GoI NGO projects (6 out of 15).

WC and PIA member functioned as signatories in 13% of 15 GoI NGO projects (2 out of 15).

President of watershed committee and chairman of watershed association singed the WDF account in 20% of GoI GO projects (6 out of 30) and 40% of GoI NGO projects (6 out of 15). This process was observed one NGO PIA under bilateral projects (100%) and in 3 out of 7 INGO NGO projects (43%).

Panchayat was given the responsibility of handling WDF in 10% of projects under GoI GO projects (3 out of 30) and in 7% of GoI NGO (1 out of 15). One GO PIA under bilateral projects also followed the same process.

Use of WDF:

Majority of watersheds under GoI GO projects (9 out of 30; 30%); GoI NGO projects (10 out of 15; 67%); 4 out of 7 INGO NGO projects (57%) did not attempt to use WDF.

In 20% (3 out of 15) of GoI NGO projects, the watershed committees applied to district project authorities for allowing them to use WDF. But there was no response. Apart from this, 14% of GoI NGO projects (2 out of 15) attempted to use WDF. One GO PIA under bilateral projects (50%) and 30% of GoI GO projects (9 out of 30) used WDF.

It may be noted that 57% of INGO NGO projects (4 out of 7) did not establish WDF. Remaining 3 projects (43%) established the WDF. In stead of accumulating WDF like other projects, all these watersheds started using WDF during the project period itself for a variety of purposes. Thus several projects funded by INGOs generated experiences in using WDF.

Based on the above analysis, the processes related to WDF can be summarized as below:

Most Common Processes	• WDF is not established in several INGO funded projects. Instead the contribution was used for a variety of purposes during the project period itself. (Desirable). • Communities are not aware of complete details of WDF, particularly signatories of WDF account. (Not Desirable). • Watershed committees/ Watershed Association operate WDF. (Desirable) • WDF is not used so far. (Not Desirable)
Rare Processes	• Grama Panchayati operates WDF. (OK) • PIA is a co-signatory of the WDF account (Not Desirable). • WDF is used for a variety of purposes. (OK) • Loans/grants are given from WDF for income generating activities at individual/ group level. (Desirable) • WDF is used to paying the salaries of watchman for protection of common lands. (Desirable) • Repairs of water harvesting structures/ irrigation structures are conducted with WDF. (Desirable)

Table -34

PIA/ Project Wise Responses					Pattern of Response On "Use of WDF"	State Wise Response							Total
GOI GO	GOI NGO	Bila-teral GO	Bila-teral NGO	INGO NGO		M	C	J	R	U	O	N	%
23	0	0	0	57	No applicable	13	25	14	38	0	13	38	20
47	40	0	0	0	Don't know about the WDF								
					(including the signatories)	0	75	86	0	38	0	63	36
0	13	0	0	0	WC and PIA member	0	0	0	0	25	0	0	4
20	40	50	100	43	WA/VWC	63	0	0	25	38	88	0	31
10	7	50	0	0	Panchayat	25	0	0	38	0	0	0	9
					Use of WDF								
30	67	0	100	0	Not Used so far	63	63	29	13	38	37	13	33
0	20	0	0	0	Not used so far, since the approval was not given by district authority, even though there is an application from WC.	0	0	43	0	0	0	0	5
3	7	0	0	43	Repairs and maintenance of Check dams	0	0	0	0	50	13	0	9
0	0	0	0	14	Given as loan to individuals for IGP	0	0	0	0	0	13	0	2
0	7	0	0	0	Given as subsidy for procuring fodder, during droughts	0	0	0	13	0	0	0	2
3	0	0	0	0	(Used after the completion of project), for renovation of irrigation channel (Grant).	0	0	14	0	0	0	0	2
3	0	0	0	29	Used as revolving fund by SHGs	0	0	0	0	25	13	0	5
7	0	0	0	0	Used for paying the salary of watchman for protecting pasture lands	0	0	0	25	0	0	0	4
0	0	50	0	0	Used for buying seeds/ fertilizer, establishing petty shop as a loan. This loan is repaid with interest.	13	0	0	0	0	0	0	2
0	0	50	0	0	Money from Gram Kosh was used to repair the tank bund.	13	0	0	0	0	0	0	2
3	0	0	0	0	Used as afforestation of the project are after the completion of the project	0	0	0	0	0	0	13	2
7	0	0	0	0	In Crop Failure	0	0	0	0	0	0	25	4
3	0	0	0	0	In Malaria epidemic for awareness generation	0	0	0	0	0	0	13	2
30	**15**	**2**	**1**	**7**	**Grand Totals (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Management and Maintenance of Assets:

Desired and Designed Processes:

At the end of the Watershed Development project period the Watershed Association and the Watershed Committee will continue to function for operation and maintenance of the assets created. The Watershed Development Fund may be used for this purpose including payment of salaries to the Watershed Secretary and the Volunteers. However, it is left to the WC/ WA to decide the level of permanent staff that they would like to continue after the project period. During the project period, the WDT and the WC are expected to work out procedures for continued accruals to the Watershed Development Fund for operations and maintenance as well as further development of the Watershed assets (MoRD Guidelines, 1994).

The processes related to the maintenance of assets are described and analyzed here.

(i) Processes Followed by Different States:

The process of withdrawal or exit protocol of PIA was not envisaged in Guidelines of MoRD (1994), on the other hand the continued deployment of WDT to cover new villages (under watershed projects) was suggested. The process of withdrawal or exit protocol of PIA gained considerable attention, in recent times. In this section, the processes related to post-project arrangements are described.

Handing Over the Responsibilities to Watershed Association:

It is expected that the PIA continue to support the watershed institutions to perform their duties, even after the project period/ activities are completed. However, it is observed that there are different processes related to continuity of PIA/ WDT after the project period is over.

In 9 out of 55 watersheds (16%), the role of PIA was vague as the project was either foreclosed or WDT stopped going to the villages after the project period. 5 out of 7 projects in Jharkhand (71%) and 3 out of 8 projects in UP (38%) followed this process.

In 5 out of 55 projects (9%), the project is in the final stages and PIA is still functioning. However, there is no thinking or any preparation for formal withdrawal from the village. 3 out of 8 projects from Chattisgarh (38%); 1 out of 7 in Jharkhand (14%) and 1 out of 8 in Rajasthan (13%) fall in this category.

PIA/ WDT handed over the project related responsibilities to the watershed committees verbally. This informal process was followed in Chattisgarh (5 out of 8; 63%); Rajasthan and UP (1 each out of 8; 13%).

In 20 out of 55 watershed projects (36%), the PIA organized a formal grama sabha to hand over the responsibilities to the watershed committee/ association and formally withdrew from the project. This process was largely seen MP (8 out of 8; 100%); Orissa (7 out of 8; 88%); Rajasthan (3 out of 8; 38%) and UP (2 out of 8; 25%). No project in Chattisgarh, Jharkhand and Nagaland followed this process.

The PIA continued even after the project period was over, but continued to perform other roles/ projects. This continued presence was observed in Nagaland (8 out of 8; 100%); Rajasthan (3 out of 8; 38%); UP (2 out of 8; 25%) and Orissa (1 out of 8; 13%).

Projects in MP and Nagaland followed exactly the opposite processes – in one state the PIAs formally withdrew from all the projects, while in the other state the PIAs continued to function in the same villages, in all the projects.

Decisions on Maintenance of Assets:

The decisions related to maintenance of assets were ignored in 31 out of a total of 55 projects. The grama sabha (when organized) at the end of the project period did not discuss the issues related to maintenance of assets created or use of WDF. Majority of watersheds in MP(6 out of 8; 75%); Chattisgarh and UP (7 out of 8; 88% each) and Rajasthan (8 out of 8; 100%) followed this process.

In remaining watersheds, there were several types of decisions on maintenance of assets; use of WDF; roles and responsibilities of different functionaries. These decisions are mentioned in the table.

It is interesting to see that all projects in Jharkhand took a decision on the role of watershed committee and the users in maintaining the assets on CPRs (mainly water harvesting structures).

Similarly, the watershed projects in Orissa took a variety of decisions and evolved a set of diversified processes for maintaining the assets. The roles were allocated to PIAs, WC, Grama Panchayati, Line departments, users and SHGs. All these decisions were discussed in grama sabha formally and informally. Such diversity of processes was not observed in any other state.

The pattern of decisions indicates a clear role for user groups in majority of the cases in the maintenance of the assets with the support of watershed committee/ WDF.

(ii) Processes Followed by Projects/ PIAs:

The sudden withdrawal without any strategy is observed in case of 27% of GoI NGO and 17% of GoI GO PIAs. Other categories of projects/ PIAs did not follow this process.

A process in which the PIA informally handed over of the responsibilities to watershed committee/ association was followed by 20% of GoI NGO projects (3 out of 15), when compared to GoI GO (3 out of 30; 10%). 14% of INGO NGO projects also followed this process.

A common process that was followed across all types of projects/ PIAs was to conduct a village meeting and formally hand over the responsibilities to the watershed committee/ association. The lone NGO PIA (100%) under bilateral projects followed this process. In case of INGO NGO projects, 2 out of 7 projects (29%) followed this process. 40% of GoI

NGO projects (6 out of 15) and 33% of GoI GO projects (10 out of 33) followed this process. The continuity of PIA (after the project period is over) was relatively higher in case of the NGO PIA under bilateral (100%) and INGO funded projects (3 out of 7; 43%). However, in case of GoI funded projects, only 1 out of 15 NGO PIAs (7%) continued even after the project period was over, while 9 out of 30 GO PIAs (30%) continued.

Decisions on Maintenance of Assets:

The major chunk of projects did not make any formal or informal attempt to take decisions on the maintenance of the assets created. The patterns among different projects and PIAs give an interesting understanding of this process. There is a strong co-relationship between the formal nature of handing over the projects and fixing up the responsibilities of maintenance in case of NGO PIAs in all categories of projects (bilateral, INGO and GoI funded projects). Such co-relation does not exist in case of GO PIAs under GoI funded projects.

In case of INGO NGO projects, a clear discussion took place and decisions related to management of assets are taken (3 out of 7 projects; 43%). The village meetings (formal and informal) offered a platform for taking such decisions. The decisions or discussion (related to maintenance/ management) did not take place in projects, where the PIA is either continuing (3 out of 7 projects; 43%) or the project itself is continuing (1 out of 7 projects; 14%). This pattern was observed in 1 NGO PIA under bilateral projects also.

In case of GoI NGO projects, the formal process of handing over responsibilities (in a grama sabha) included decisions on management and maintenance of assets. (40% of the projects formally handed over the responsibilities and took decisions on maintenance of assets). In the remaining cases, the handing over process was either informal or absent and the related decisions were also absent in such cases (60% of watersheds under NGO PIAs did not take

Most Common Processes	• PIA formally handed over the project responsibilities to watershed committee/ association in a grama sabha (Desirable) • No formal resolutions/ decisions on the maintenance and management of assets created during the project period (Not Desirable) • No specific responsibility centers were established (Not Desirable)
Rare Processes	• Project was foreclosed and PIA/WDT almost disappeared from the project villages (Not Desirable) • Resolutions were taken by watershed committee and Grama Panchayati for maintenance of assets (mainly water harvesting structures on CPRs) (Desirable) • PIA uses project funds for repairs and maintenance (Not Desirable) • PIA continues in the village even after the project period is over. But engaged with other tasks (Not Desirable) • Technical Resource Organizations provided funds for repair and maintenance of assets (Desirable)

any decisions on maintenance and did not formally handed over the responsibility to the village level institutions).

However, the co-relationship between the process of formal handing over and decision making process was not clearly established in case of GoI GO projects. Though GO PIAs under bilateral projects formally handed over the project responsibilities, there was no decision/ discussion on the issues related to maintenance of assets.

Based on the above analysis, the processes related to formal exit of PIA and decision making related to management of assets can be summarized as below.

Table -35

PIA/ Project Wise Responses					Pattern of Responses on "Withdrawal Strategy of PIA"	State Wise Response							Total
GOI GO	GOI NGO	Bilateral GO	Bilateral NGO	INGO NGO		M	C	J	R	U	O	N	%
17	27	0	0	0	The project was foreclosed/ No strategy	0	0	75	0	38	0	0	16
10	7	0	0	14	Project is in the final stages	0	38	14	13	0	0	0	9
10	20	0	0	14	Verbal handover	0	63	0	13	13	0	0	13
33	40	50	100	29	Formal handing over in village meeting	100	0	0	38	25	88	0	36
30	7	50	0	43	PIA continues in the village (but for other works)	0	0	0	38	25	13	100	25
Pattern of Responses on "Was there any resolution taken from grama sabha on maintenance of assets?"													
53	60	50	100	57	No resolutions.	75	88	0	100	88	0	38	56
3	0	0	0	0	PIA will maintain as long as funds are available	0	0	0	0	0	13	0	2
0	0	0	0	14	Fund for repairs (CPR/ Private) provided by the technical supporting organization.	13	0	0	0	0	0	0	2
0	7	0	0	0	Resolution is passed but the action taken is not collected.	13	0	0	0	0	0	0	2
3	7	0	0	0	Procedure to be decided by the WC.	0	0	0	0	0	25	0	4
3	0	0	0	0	WC to maintain either through Panchayat or line department.	0	0	0	0	0	13	0	2
10	0	0	0	0	Resolution from the Village council.	0	0	0	0	0	0	38	5
0	0	0	0	14	Gram Panchayat to maintain.	0	0	0	0	0	13	0	2
10	0	0	0	0	Watershed committee to maintain using WDF.	0	0	0	0	0	13	25	5
13	27	0	0	14	WC and users concerned to maintain the water harvesting structures on CPRs by contributions.	0	0	100	0	13	13	0	16
0	0	50	0	0	WC through rotational release through SHG and UGs.	0	0	0	0	0	13	0	2
3	0	0	0	0	UG using WDF.	0	13	0	0	0	0	0	2
30	15	2	1	7	**Grand Total (No)**	8	8	7	8	8	8	8	55

Maintenance of Assets on CPRs:

The maintenance of assets is an important indicator of the involvement of the communities and their sense of ownership. The process study analyzed the processes related to the maintenance of assets created on private and public lands, during and after the project period.

(i) Processes Followed by Different States:

The CPRs do not exist in 12 out of 55 watersheds (22%). Majority of these watersheds are from Nagaland where none has CPRs. Even in UP (3 out of 8; 38%) and Jharkhand (1 out of 7; 14%), there are watersheds without CPRs. The analysis is related to the remaining watershed projects.

During the Project Period :

Related data is not available from MP (8 out of 8; 100%) and UP (5 out of 8; 63%) of watersheds. 13 out of a total of 55 watersheds (24%) belong to this category of projects. The situation in these watersheds is not clear and could not be understood/ assessed by the study teams.

In 20 out of 55 watersheds (36%), there was no damage to the assets created on CPRs. Majority of watersheds in Rajasthan and Orissa (7 each out of 8; 88%) and Chattisgarh (6 out of 8; 75%) were in this category.

10 out of 55 projects (18%) reported damages of assets on CPRs. 9 (16%) of them were minor damages and 1 (2%) major damages.

6 out of projects in Jharkhand (86%) reported minor damages of assets on CPRs, while a minor percentage of watersheds in Orissa and Chattisgarh (1 each out of 8; 13%) also reported minor damages on CPRs. Major damages were observed in case one watershed in Chattisgarh (13%). In no other state, major damages were reported.

Out of the 10 projects (18%) that reported damage to structures, in 6 projects (11%) structures were not repaired at all. 5 out of 7 projects in Jharkhand (57%) and 2 out of 8 projects in Chattisgarh (25%) belong to this category. In the remaining 4 watersheds (7%) damages were repaired using shramadaan in 3 projects (5%) and WDF in one project (2%). 2 out of 7 watersheds in Jharkhand (29%) and one out of 8 watersheds in Rajasthan (13%) repaired the assets with shramadaan and one out of 8 watersheds in Orissa (13%) used WDF for repairs.

After the Project Period:

The details on condition of CPRs after the project period are available in all watersheds. 22 out of 55 projects (40%) reported that there was no damage of assets on CPRs. All states reported this process, except Nagaland and UP. Majority of projects are in Orissa (7 out of 8; 88%); Chattisgarh (7 out of 8; 75%) and Rajasthan (7 out of 8; 50%) reported no damages of assets on CPRs, after the completion of project. A minor portion of watersheds in MP (7 out of 8; 25%) and Jharkhand (7 out of 8; 43%) also reported no damages of assets on CPRs after the project period.

21 out of 55 projects (38%) reported damages of assets on CPRs. Of these 16 projects (29%) reported minor damages and 5 projects (9%) reported major damages. Majority of the projects

in MP (6 out of 8; 75%); UP (5 out of 8; 63%) and Rajasthan (4 out of 8; 50%) reported minor damages. Chattisgarh reported one project (13%) in which minor damages occurred to assets on CPRs, after the project period was completed. Major damages to assets on CPRs were reported in 4 out of 7 projects in Jharkhand (57%) and one out of 8 projects in Chattisgarh (13%).

Of the 21 cases (38%) in which assets were reported to be damaged, 10 watershed projects (18%) did not repair them. Where the damages were repaired (in 11 watersheds; 20%), the watershed communities followed several methods in the same watershed (E.g.: using WDF and shrama daanam by users).

Each state has a mixed experience of repairing and not-repairing the watershed assets on CPRs after the project period. 4 each out of 8 watersheds in MP and Rajasthan (50%) and 2 out of 8 watersheds in Chattisgarh (25%) did not repair the assets. 3 out of 8 projects in MP (39%); 4 out of 7 in Jharkhand (57%) and 5 out of 8 in UP (63%) repaired the assets on CPRs, using WDF, shrama daan, village fund and user's own funds. User' investments for repairs seemed to be most common process, in the absence of clear norms for using watershed development fund.

(ii) Processes Followed by Projects/ PIAs:

During the Project Period:

CPRs do not exist in 11 out of 30 projects (37%) in case of GoI GO projects and one out of 7 INGO funded projects (14%). Details of damages are not available in considerable number of projects under GoI NGO projects (6 out of 15; 40%) and INGO NGO projects (3 out of 7; 43%). No damage of assets on CPRs was reported during the project period in 14 out of 30 GoI GO projects (47%) and 3 out of 15 projects under GoI NGO projects (20%) and the lone NGO PIA under bilateral projects (100%).

Minor damages were reported in case of 6 out of 15 projects under GoI NGO category (40%) and one out of 7 projects under INGO NGO projects (14%). Only 2 out of 30 projects reported to have minor damages in case of GoI GO projects (7%). Major damages of assets on CPRs during the project period were reported only in case of one out of 7 projects under INGO NGO projects (14%).

Though few watersheds reported damages of assets on CPRs in GoI GO projects, they were not repaired. Even in case of 3 out of 15 projects under GoI NGO category (20%) and one project out of 7 under INGO NGO projects (14%), the damages were not repaired. Damages were repaired only in case of GoI NGO projects and INGO NGO projects. In case of GoI NGO projects, shram daan was used and in case of INGO NGO projects, WDF was used for repairs.

After the Project:

After the project period, the damages of assets on CPR increased in all categories of projects. Minor damages occurred in case of all the 30 GoI GO projects (100%) and the lone Bilateral

NGO project (100%). 40% of GoI NGO projects (6 out of 15) and 43% of INGO NGO projects (3 out of 7) also reported minor damages of assets on CPRs. Major damages were reported in case of 20% of projects of GoI NGO projects (6 out of 15) and in 14% of INGO NGO projects (one out of 7). When compared to the situation of GoI GO projects, higher percentage of projects facilitated by GoI NGO projects reported damages (in all categories), after the project period was completed.

Regarding the repairs of structures on CPRs, there is a mixed bag of experiences. GoI NGO projects have diversified experiences – use of WDF, Village Fund, Shram Daan and user's own efforts. Such diversified efforts were not observed in case of other types of PIAs. In all categories of projects and PIAs, major damages of assets on CPRs that occurred after the project period were not repaired.

Based on the above analysis, the processes related to maintenance of assets on CPRs during and after the project period are summarized as below.

Most Common Processes	• Data on damages/ maintenance of assets on CPRs is not available (Not Desirable) • No damages (minor and major) of assets on CPRs reported during the project period (Desirable) • Whatever is the level of damages, they were not repaired (Not Desirable) • Damages of assets on CPRs increased after the project period was completed (minor and major) (Not Desirable) • The percentage of cases where damages were not repaired increased, after the project period was completed (Not Desirable) • User themselves repaired the damages of assets on CPRS after the project period was completed (Desirable)
Rare Processes	• Minor/ major damages of assets on CPRs during the project period (Not Desirable) • Village Fund used for repairs of damages of assets on CPRs (after the project period was completed) (Desirable) • WDF and Shram Daan of user were used to repair the damages of assets on CPR during and after the project period (Desirable)

Maintenance of Assets on Private Property Resources

(i) Processes Followed by Different States:

During Project Period:

The maintenance of assets on private lands is considered to be the responsibility of the owners of the lands/ assets. Details of maintenance of assets on private lands during the project period were not available in MP. The share of these projects is about 15% of total watersheds. In the remaining watersheds, the processes followed in the sample watersheds indicate the following trends.

No damage of assets on private lands was reported in any watershed from Nagaland and Rajasthan, during the project period. Majority of watersheds in Chattisgarh and Orissa (6 each out of 8; 75%) and 4 out of 7 projects in Jharkhand (57%) also did not report any damages of assets on private lands. Together, these projects make 32 out of a total of 55 projects (58%).

Minor damages occurred in 11 out of 55 watersheds (20%). Assets on private lands got damaged in 5 out of 8 projects in UP (63%); 3 out of 7 projects in Jharkhand (43%); 2 out of 8 projects in Orissa (25%) and one out of 8 projects in Chattisgarh (13%). In the remaining states, there was no damage to assets on private lands during the project period. Major damages occurred only in UP (3 out of 8; 38%) and Chattisgarh (1 out of 8; 13%). Such damages were not reported in any other state. These account for 4 out of a total of 55 projects (7%).

In 9 out of 55 watersheds (16%) the details on the repairs were not available. 7 out of 8 projects from UP(88%) and 2 out of 8 from Chattisgarh (25%) belong to this category. Though the assets were damaged in 3 out of 7 watersheds in Jharkhand (43%), none of these reported repairs. This makes about 5% of the total cases (3 out of 55). In the remaining 6% of watersheds, damages were repaired by efforts of PIA/ users and using WDF. These experiences were reported in Orissa and UP.

After the Project:

Information related to repairs on private lands (after the project period) is not available from all projects of MP and 7 out of 8 projects in Chattisgarh (88%).

In 24 out of 55 watersheds (44%), the assets on private lands were not damaged after the project period. Projects from Nagaland (8 out of 8; 100%) and Orissa (7 out of 8; 88%) are at the top of the list. A minor share of projects in Jharkhand (3 out of 7; 43%); Rajasthan (3 out of 8; 38%) and Chattisgarh (1 out of 8; 13%) also reported no damages of assets on private lands, after the project period.

11 out of 55 projects (20%) reported minor damages on private lands, after the project period. Rajasthan (5 out of 8; 63%) and Jharkhand (4 out of 7; 57%) have highest share of projects in this category. A minor share of projects in UPand Orissa (1 each out of 8; 13%) also reported minor repairs, after the project period. In 5 out of 55 projects (9%), major damages occurred. All these projects are from UP (63% of total projects in UP). No other state reported major damages of assets on private lands, after the project period.

In 4 out of 55 projects (7%) repairs to the damages were not done. Projects from UP (3 out of 8; 38%) and Rajasthan (1 out of 8; 13%) belong to this category. In Orissa (1 out of 8; 13%), PIA itself repaired the damages that occurred on the private land, even after the project period was completed. In 11 out of 55 projects (20% of total watersheds), the damages were repaired by the users themselves, after the project period. This behavior of users was observed in case of Jharkhand (4 out of 7; 57%); Rajasthan (4 out of 8; 50%) and UP (3 out of 8; 38%).

(ii) Processes Followed by Projects/ PIAs:

During the Project Period:

Higher percentage of projects facilitated by NGO PIAs (under both GoI and INGO funded projects) reported damages of assets on private lands during project period. The data on damages on private property was not available in case of bilateral projects. The repairs of damages on private property assets were not attended to a large extent in all the cases. One out of 30 GO PIAs under GoI funded projects (3%) repaired the assets created on private lands, which indicates that the project funds were used to repair the damages occurred during the project period itself. In remaining cases, WDF and user's own efforts were used to repair the assets.

0After the Project Period:

No damages to assets on private lands were reported, after the project period was completed in case of INGO funded projects. Similarly, considerable share of projects under GO PIAs and NGO PIAs under GoI funded projects and NGO PIA under bilateral projects did not report any damages of assets on private lands after the project period is completed.

In case of GO PIAs under GoI funded projects, the damages (minor damages in 5, i.e. 17% of projects and major damages in 4; 13% of projects) were repaired by users themselves. However, the users gave attention to major damages and ignored the minor damages. In one case (3%), the GO PIA itself repaired the damages on private property assets, even after the project period was completed. All damages to assets on private lands (minor damages in 5 out of 15, i.e. 33% of projects and major damages in one; i.e. 7% of projects) in NGO PIA facilitated projects were repaired by users themselves. This process was observed even in the case of NGO PIA in bilateral projects.

Based on the above analysis, the processes related to maintenance of assets on private property resources during and after the project period are summarized as below.

Most Common Processes	• The level of damages of assets on private lands is low, during the project period (Desirable) • Wherever damages are there, they are minor (Desirable) • The data on repairs of such damages is not clearly available (Not Desirable) • The level of damages of assets on private lands did not substantially increase after the project period (Desirable) • After the project period was completed majority of the repairs were taken care by users themselves (Desirable)
Rare Processes	• Major damages (Not Desirable) • WDF and User's efforts were used to repair the damages (Desirable) • PIA used project funds to repair the assets on private lands during and after the project period (Not Desirable)

Table -36

PIA/ Project Wise Responses					Pattern of Responses on "Maintenance of Assets (During and After Project)"	State Wise Response							As % of Total
GOI GO	GOI NGO	Bilateral NGO GO	Bilateral NGO	INGO NGO		M	C	J	R	U	O	N	
37	0	0	0	14	No CPR	0	0	14	0	38	0	100	22
10	40	50	0	43	Data not available	100	0	0	0	63	0	0	24
47	20	50	100	14	No damage	0	75	0	88	0	88	0	36
7	40	0	0	14	Minor	0	13	86	13	0	13	0	16
0	0	0	0	14	Major	0	13	0	0	0	0	0	2
Who paid for the repairs for repairs of assets on CPR (During the project period)?													
7	20	0	0	14	Not repaired	0	25	57	0	0	0	0	11
0	20	0	0	0	Shramdaan	0	0	29	13	0	0	0	5
0	0	0	0	14	WDF	0	0	0	0	0	13	0	2
Maintenance of assets & structures CPR, Any Damage (after the project period)?													
47	33	50	100	43	No damage	25	75	43	50	0	88	0	40
13	47	50	0	43	Minor	75	13	0	50	63	0	0	29
3	20	0	0	14	Major	0	13	57	0	0	0	0	9
		Who paid for the repairs for repairs of assets on CPR (After the project period)?											
7	33	0	100	29	Not repaired	50	25	0	50	0	0	0	18
3	0	100	0	0	WDF	13	0	0	0	13	0	0	4
0	7	0	0	0	Village fund	13	0	0	0	0	0	0	2
0	13	0	0	0	Shramdaan	13	0	0	0	13	0	0	4
3	27	0	0	29	User/ Beneficiaries	0	0	57	0	38	0	0	13
Are there any damages to assets created on private lands (during the project period)?													
7	27	100	0	14	Data not available	100	0	0	0	0	0	0	15
73	40	0	100	43	No damage	0	75	57	100	0	75	100	58
10	33	0	0	43	Minor	0	13	43	0	63	25	0	20
10	0	0	0	14	Major	0	13	0	0	38	0	0	7
Who paid for the repairs and maintenance of assets & structures on private lands (during the project)?													
10	20	0	0	43	Data not available	0	25	0	0	88	0	0	16
3	13	0	0	0	Not repaired	0	0	43	0	0	0	0	5
3	0	0	0	0	PIA	0	0	0	0	0	13	0	2
3	0	0	0	0	WDF	0	0	0	0	13	0	0	2
0	0	0	0	7	User/ Beneficiary	0	0	0	0	0	13	0	2
Are there any damages to assets created on private lands? (After the project period?)													
20	40	50	0	29	No data	100	88	0	0	0	0	0	27
50	20	0	100	71	No damage	0	13	43	38	25	88	100	44
17	33	50	0	0	Minor	0	0	57	63	13	13	0	20
13	7	0	0	0	Major	0	0	0	0	63	0	0	9
Who paid for the repairs and maintenance of assets created on private lands (After the project period)?													
13	0	0	0	0	Not repaired	0	0	0	13	38	0	0	7
3	0	0	0	0	PIA	0	0	0	0	0	13	0	2
13	40	0	50	0	User/ Beneficiary	0	0	57	50	38	0	0	20
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Functioning of Watershed Committee and Watershed Association after the project period is completed:

The key institutions of watershed project - watershed committee and watershed association are expected to function even after the project period is completed. The main functions of these institutions are to ensure proper maintenance and management of assets created during the project period. Evolving norms and ensuring the implementation of norms are critical

institutional functions at this stage. The impressions of the communities on the functioning of these institutions are presented here.

(i) Processes Followed in Different States:

Watershed Association:

The formation of watershed association was not a compulsory requirement in MP and Chattisgarh (as per the state specific guidelines). In 2 watersheds each from Jharkhand and Nagaland relevant data was not available. Watershed associations were actually established in 17 out of 55 projects (31%). The functioning of these associations is briefly mentioned here.

6 out of 55 watershed associations (11%) are not functioning. Majority of them belong to UP(5 out of 8; 63%).

A minor share of watersheds in Rajasthan (3 out of 8; 38%); UP (2 out of 8; 25%) and Orissa (3 out of 8; 38%) have functional watershed associations. 3 out of 8 projects in Orissa (38%) have watershed associations that were found to be functioning well. On the whole, the watershed associations in Orissa were found to be more functional, when compared to other states.

Watershed Committees:

The data related to functioning of watershed committee is not available from Nagaland (8 out of 8 projects; 100%) and Jharkhand (6 out of 7; 86%). A minor share of projects in other states such as Chattisgarh, Rajasthan, UP and Orissa also could not provide data on the functioning of watershed committee.

In 13 out of 55 watersheds (24%), the committees were not functioning after the project period was completed. 5 out of 8 projects in UP (63%) and 4 out of 8 projects in Rajasthan (50%) belong to this category. 2 each out of 8 projects in MPand Chattisgarh (25%) are also in this category, where the watershed committees were dysfunctional.

Majority of watershed committees in Orissa (7 out of 8; 88%) and MP (6 out of 8; 75%) were found to be functional. A small share of projects in UP and Chattisgarh (2 each out of 8; 25%) were found to have functional watershed committees. Only two watershed committees in Rajasthan (25%) were found to be functioning well, in the entire sample watersheds.

(ii) Processes Followed by Projects/ PIAs:

Watershed Associations:

The concept of watershed association is not applicable in case of several bilateral and INGO funded projects. Even in case of some GO PIA and NGO PIAs in states like MP and Chattisgarh, the watershed associations were not formed, following the state level instructions. These two categories of watersheds form about 69% of watersheds.

4 out of 30 projects facilitated by GO PIAs and 2 out of 15 NGO PIAs under GoI funded projects were found to be functional (13% of projects in each category) and similar numbers were found to be non-functional (13% of projects in each category). 2 out of 7 watershed committees were found to functional in case of INGO funded projects (29%). One watershed association in case of INGO funded projects (14%) was found to be functioning well, when

compared to any other type of projects/ PIAs. Only one watershed association facilitated by GO PIAs in GoI funded projects was found to be functional.

Watershed Committees:

Data on the functioning of watershed committees was not available in a considerable percentage of watersheds.

6 watershed committees out of 15 in case of NGO PIAs (40%) under GoI funded projects were found to be dysfunctional, when compared to that of 7 out of 30 under GO PIAs (23%).

Functional watershed committees were found in one GO PIA facilitated project (100%) and the lone NGO PIA facilitated projects (100%) under bilateral projects. More watershed committees in projects facilitated by NGO PIAs were found to be functional under INGO funded projects (4 out of 7; 57%) and GoI funded projects (5 out of 15; 34%). Watershed committees in 7 projects under GO PIAs in GoI funded projects (23%) were found to be functional, even after the project period was completed.

Based on the above analysis, the processes related to functioning of watershed associations and watershed committees after the project period are summarized as below.

Most Common Processes	• The concept of watershed association is not operational in (Not Desirable) • The data on the functionality of watershed committees is not available in several watersheds, which could be inferred as "non-performance" of watershed committees (Not Desirable) • Watershed committees became dysfunctional (Not Desirable)
Rare Processes	• Functional watershed associations (Desirable) • Watershed committees that are functioning very well (Desirable)

Table -37

PIA/ Project Wise Responses					Pattern of Responses on "Functioning of WA after the project period is completed"	State Wise Response							As % of Total
GOI GO	GOI NGO	GO Bilateral	NGO Bilateral	INGO NGO		M	C	J	R	U	O	N	
33	27	0	0	0	Data not available	0	0	86	0	0	0	100	25
37	47	50	100	57	Not Applicable	100	100	14	63	13	13	0	44
13	13	0	0	0	Not Functioning	0	0	0	0	63	13	0	11
13	13	0	0	29	Functioning	0	0	0	38	25	38	0	15
3	0	50	0	14	Functioning well	0	0	0	0	0	38	0	5
30	15	2	1	7	**Grand Total (Nos)**	8	8	7	8	8	8	8	55
Pattern of Responses on "Functioning of WC after the project period is completed"													
40	27	0	0	29	Data not available	0	38	86	25	13	13	100	38
3	0	0	0	14	Project is on going	0	13	14	0	0	0	0	4
23	40	0	0	0	Not Functioning	25	25	0	50	63	0	0	24
23	27	100	0	57	Functioning	75	25	0	0	25	88	0	31
0	7	0	100	0	Functioning well	0	0	0	25	0	0	0	4
30	**15**	**2**	**1**	**7**	**Grand Total (Nos)**	**8**	**8**	**7**	**8**	**8**	**8**	**8**	**55**

Organisations involved in the study

WASSAN, Andhra Pradesh

Watershed Support Services and Activities Network (WASSAN), Hyderabad is an autonomous support organization, which conducted process studies on watershed development projects in Andhra Pradesh with the support of Government of Andhra Pradesh (2000 to 2003). These studies made a significant contribution to the formulation of "Process Guidelines of Watershed Development Projects in Andhra Pradesh (2002 and 2004)". WASSAN recognised the need for taking up similar initiative at the national level and contribute to the formulation of new generation watershed development policies in the country. ICEF supported this study. "Understanding Processes in Watershed Development Projects in India" is an outcome of these initiatives and thinking.

ICEF, New Delhi:

India Canada Environment Facility (ICEF), New Delhi provided funding support to this study. ICEF, New Delhi supported several innovative projects that demonstrated new ways of managing environmental resources by communities, in different parts of the country. Several of these projects provided important leads for new policies and programs related to conservation and management of environmental resources.

State Nodal Agencies:

This study was conducted in seven states of India, namely Madhya Pradesh, Chattisghad, Jharkhand, Rajasthan, Utter Pradesh, Orissa and Nagaland. As a network based organization, WASSAN collaborated with state based resource organizations which were Nodal Agencies for conducting the process study in their respective state.

ARAVALI, Rajasthan:

ARAVALI is a resource organization working for creating better policy framework for development and enhancing the role of voluntary sector in this process. ARAVALI has strong partnerships with several NGOs and Government of Rajasthan.

Arthik Anusanthan Kendra, UP:

AAK is a grass root level voluntary organization engaged in community managed developmental processes in natural resources management, education, entitlements, and sustainable agriculture. AAK also implemented watershed development projects and combined land rights related issues within watershed projects.

AFPRO, Chattisghad:

Action for Food Production (AFPRO) is a national level technical support organization involved with several natural resource management projects across the country as a support

organization. They pioneered watershed development projects on technical aspects in different parts of the country.

NCHSE, Madhya Pradesh:

National Center for Human Settlements and Environment, Bhopal is a state level voluntary organization engaged in several developmental initiatives at the state level. They have executed large number of watershed development projects in the state. They are also engaged in action research projects in the state.

PRADAN, Jharkhand:

Professional Assistance for Development Action, Jharkhand is a national level professional organization that has expertise in several rural development themes including natural resource management. They have innovated and established several models and approaches of community based developmental approaches. They work in several parts of the country and have strong collaborative partnerships with state governments and local NGOs.

OWDM, Orissa:

Orissa Watershed Development Mission, Orissa is a specially constituted mission by Government of Orissa, for managing watershed development projects in the state. OWDM manages several types of watershed projects in the state including DFID I supported Western Orissa Rural Livelihoods Project (WORLP) in selected districts of the state.

Directorate of Agriculture, Government of Nagaland:

Directorate of Agriculture is responsible for implementing several agriculture and allied development projects in the state of Nagaland. They are also responsible for implementing the watershed development projects in the state under Ministry of Agriculture.

Annexure - 2

List of Watersheds selected for the study

Sl. No.	Name of Watershed	District	Type of PIA	Name of the Organization	Donor	Code	Scheme (FY)	Year of commencement
				A. MADHYA PRADESH				
1	Belabaag	Hoshangabad	NGO	NCHSE, National	MoRD	M_1	EAS	1997-98
				Highway Road, Kesla				
2	Tilgawa	Jabalpur	NGO	HIG-3, Shiv Nagar,	MoRD	M_2	EAS	1996 -97
				Domoh Road, Jabalpur				
3	Lambela	Jhabua	NGO	ASA, Jhabua	MoRD	M_3	DPAP	2000-2001
4	Dinau	Tikamgarh	GO	SDO. Irrigation sub				
				Division- Jatara	MoRD	M_4	IWDP	1999-2000
5	Chakedi Bineka	Sagar	GO	Podvar Company Till Road, Sagar	MoRD	M_5	EAS	1996-1997
6	Gopalpura	Jhabua	NGO	NCHSE	CAPART	M_6	CAPART	1999-2000
7	Undawa Nala	Raolam (Mohanpada)	GO	Danida Sahayath Samith Jal Gurha Pariyojan Karyala	Bilateral (DANIDA)	M_7	Bilateral (DANIDA)	1999-2000
8	Behratola	Mandla	NGO	J.D.SSS Office Ma ndla	International	M_8	Intl. NGO	
					NGO(Christian Aid)		(Christian Aid)	1993-1994
				B. CHATTISGARH				
9	Karmari	Basthar	GO	-	MoRD	C_1	DPAP	1996-199
10	Nalpani	Dondi(DURG)	GO	Project Office	MoRD	C_2	IWDP	1996-199
11	Arjuni Nala	Rajnod Ganu	GO	Project Office	MoRD	C_3	EAS	1996-1997
12	Devarghatta	Jhaja Giri Chacha	GO	-	MoRD	C_4	DPAP	2000-2001
13	Barpara	AFPRO	NGO	-	MoRD	C_5	EAS	1996-1997
14	Navapara Tenda	Raigad	NGO	DRDA(Capart Jalmgama)	CAPART	C_6	CAPART	2000-2001
15	Billori		NGO	-	International NGO(CRS)	C_7	Intl. NGO (CRS)	
16	Joba	Raipur	GO	Office of ASCO, Gariaband Dist.	MoA	C_8	NWDPRA	2002-2003

Sl. No.	Name of Watershed	District	Type of PIA	Name of the Organization	Donor	Code	Scheme	(FY) Year of commencement
				C. RAJASTHAN				
17	Thob	Jodhapur	GO	WD & SC, Jodhpur-II	MoRD	R_1	DDP II	2000-2001
18	Jaithliya	Banswara	GO	Forest Office, Banswara	MoRD	R_2	DPAP	2001-2002
19	Khora Meena	Jaipur	PRI	Panchayat Samith-Development Officer. Aamer	MoRD	R_3	EAS	1997
20	Thoria	Ajmer	NGO	NTGCF, NDDB Compus	MoRD	R_4	IWDP	1995-1996
21	Ramseen	Jalore	NGO	WASCO	MoRD	R_5	EAS	1997-1998
22	Dujod	Sikar	GO	Pant krishi bhawan, Jaipur	MoA	R_6	NWDPRA	90-92 to 96-97
23	Ramach	Udaipur	NGO	Sewa-Mandir Old Fatehpura, Udaipur	INGO (Plan International)	R_7	Plan India	2000
24	Thana	Bundi	NGO	M.D.M.T.C. BAIF ,PUNE	ICEF (Bilatral)	R_8	ICEF(Others)	1996-1997
				D. UTTAR PRADESH				
25	Pachpheria	Chandauli	NGO	Jal Sangraham Vilas Eyam Gramottham Samith	MoRD	U_1	IWDP	1996-97
26	Vinnoaur	Kanpur Nagar	GO	BSA Officer	MoRD	U_2	IWDP	1996-97
27	Tikaria	Chitakoot	NGO	_	MoRD	U_3	DPAP	1994-1995
28	Guret	Soulamdar	GO	BSA, DPAP	MoRD	U_4	DPAP	1995-1996
29	Daulatpur	Barabanki	NGO	BSA	MoA	U_5	NWDPRA	2001
30	Sahanpur	Vijanoor	GO	-	MoRD	U_6	EAS	1998-1999
31	Kadampura	Jalaun	NGO	Parmath	OXFAM (INGO)	U_7	OXFAM (INGO)	2001-2002
32	Kushiyara	Mirzapur	NGO	AAK	Action Aid (INGO)	U_8	Action Aid (INGO)	
				E. ORISSA				
33	Bhagirathi	Bolangir	GO	-	MoRD	O_1	EAS	1999-2000
34	Dabarchua-Nuagaon	Keonijhar	GO	A.S.C.O. -Keonjha	MoRD	O_2	IWDP	1998-1999
35	Kandaraposi	Keonijhar	NGO	Kandaraposi	MoRD	O_3	IWDP	1999-2000
36	Malkarbandha	Koraput	GO	Maheswar Mohapatra WEO Patongi, Block, Koraput	MoRD	O_4	EAS	1999-2000

Sl. No.	Name of Watershed	District	Type of PIA	Name of the Organization	Donor	Code	Scheme	(FY) Year of commencement
				E. ORISSA				
37	Indira Kanan	Kalahandi	GO	Block Dev. Officer Kesinga	MoRD	O_5	EAS	1998-1999
38	Kukudanala	Koraput	GO and NGO	K.C. Pradhan Project Director, Jeypore	Bilateral (DANDIA)	O_6	DCWDP	1995-1996
39	Bhainsadani	NUAPADA	NGO	Lok Drusti Khariar, Nuapada	INGO (German Agro Action)	O_7	INGO (GAA)	1994-1995
40	Moternala	Kalahandi	GO	S.C.O. BhawaniPatna	MoA	O_8	NWDPRA	1990-1991
				F. JHARKHAND				
41	Panchgachhiya	Dumka	NGO	Pradan	MoRD	J_1	DPAP	1996
42	Nanki Damar	Hazaribag	NGO	Holy Cross Social Service Centre	MoRD	J_2	DPAP	1996
43	Chora		NGO	Krishi Gram Vikas Kendra	MoRD	J_3		
44	Karmallower	Chatra	GO	Welfare Point At Nagawan	MoRD	J_4	DPAP	1996-1997
45	Dungri Patia		NGO	TSRDS	MoRD	J_5		
46	Jaher Nala	Ranchi	GO	D.S.C.O	MoA	J_6	NWDPRA	2002
47	Dhumdha		CWS	Pravah	INGO (CWS)	J_7		
				G. NAGALAND				
48	ATONDI	Kohima	GO	SDAO: TSEMINYU	MoA	N_1	NWDPRA	1996-1997
49	LANGLUNG	Dimapur	GO	Office of DAO, Dtc of Agri	MoA	N_2	NWDPRA	1996-1997
50	TUSURU	Phek	GO	Dtc of Agri , SDAO	MoA	N_3	NWDPRA	1996-1997
51	NZHU	Wokha	GO	DPO Land Resource DEU WORKHA	MoRD	N_4	IWDP	2000-2001
52	NGANGTING	Mon	GO	Director of land resource & DPO	MoRD	N_5	IWDP	1999-2000
53	SHOKTONG	Tusensana	GO	District Civil Conservation officer	MoA	N_6	WDPSCA	1997-1998
54	HNSHENA	Zunhedboto	GO	Director of Soil & Conservation	MoA	N_7	WDPSCA	1998-2000
55	MUNGLEU	Peren	GO	Director of Soil , Water Conservation	MoA	N_8	WDPSCA	1997-1998

Please note that the names in this list might have some spelling mistakes. Inconvenience caused is regretted.

Study team members involved in conducting the fieldwork of the Process

	Name of Study members	Address
	AFPRO Task Force, Raipur, Chattisgarh	
1.	A. Rakesh Dubi	3E, KCS
2.	A. Toganath Chandharkar	SWELS, Bhiki
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5.	K. N. Dewangan	Unit Manager ,AFRO
6.	Manhar Rataar	-
7.	Narandra Kumar	-
8.	Nelamabar Prasad Patel	-
9.	Nerupam Nath	AFRO, RAIPUR
10.	Parthap Kumar Saini	-
11.	Ravinath Kumar	-
12.	Santhosh	SWELS, Bhiki
13.	T. Raja	SWELS, Bhiki
14.	Toby Kurian	AFRO, Raipur
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3.	Dayanand	Triratma
4.	Dharmesh	AAK
5.	Jalil Ahimad Sidigr	BSA DPAPSadam
6.	Janarden	AAK
7.	Kripa Shamhi	AAK
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11.	Raj Singh	ABSS
12.	Ram Kishore	Samayer Jam Kalyan Samith
13.	Ramlalu	AAK
14.	Ratnakar	BSA
15.	Ravinder	GB Social Science
16.	Ravindra Singh	Lakshya
17.	Virendra Singh	AAK
18.	Viya Path Yadav	BSA Office
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	Association for Rural Advancement through Voluntary Action & Local Involvement (ARAVALI), Rajasthan	
1.	Abhishake Kumar	Free lance
2.	Manjeet singh	Arpan seva sansthan
3.	Pradeep Yadav	IFFDC

4.	R.K.Yadav	IFFDC
5.	Sanjoli	ARAVALI
6.	Yogesh	ARAVALI
	Directorate of Agriculture- Kohima, Nagaland	
1.	A.E. Ngullie (D.P.O)	Office of the D.P.O. Department of land Resource Mon
2.	D. Soukhrie	Director of Agriculture Nagaland: Kohima
3.	E.H. Lotha	Director of Agriculture Nagaland: Kohima
4.	Emmanual (W.D.T)	Office of the D.P.O. Department
		of land Resource Mon
5.	H. Michael	Director of Agriculture Nagaland: Kohima
6.	Ihakeung	C/o SDO (S.C) Jamkie
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9.	Lichumo	District Project Officer Land Resource Worha
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12.	Nyanghong Phom	Office of the DAO: Dimapur
13.	Nzanbeho	District Project Officer Land Resource Worha
14.	Opon Jami	District Project Officer Land Resource Worha
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17.	T. Imkunswar Aier	District Cvil conversionary Officer, Tuensang
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19.	T. R. Lotha	District Project Officer Land Resource Worha
20.	Tapa (W.D.T)	Office of the D.P.O. Department of land Resource Mon
21.	Thungellmo (W.D.T)	Office of the D.P.O. Department of land Resource Mon
22.	Vevozo Nyekha	Director of Agriculture Nagaland: Kohima
23.	Vingusano (W.D.T)	Office of the D.P.O. Department of land Resource Mon
24.	Wabang Imchen	SDO (S.C) Jamkie
25.	Zubemo	District Project Officer Land Resource Worha
	National Centre for Human Settlements & Environment (NCHSE), Bhopal	
1.	A.S. Parihar	NCHSE, Jhabua
2.	Ahirwar	-
3.	Anand Rao	J.D.SSS Office, Mandla
4.	Dr. A.K.Gupta	NCHSE, Bhopal
5.	H.B.Dwivedi	NCHSE, Jhabua
6.	I Das Gupta	1020, Subhash Nagar, Ranchi, JBP
7.	I Dasgupta	RECARS
8.	Jamant Patel	ASA, Jhabua
9.	Jamuna Yadav	-
10.	K.G.Vyas	NCHSE, Bhopal

11.	K.S. Banerjee	NCHSE, Kesla
12.	Narendra Yadav	NCHSE
13.	O.P. Gupta	RECARS, Jhabua
14.	P.S. Rahul	RECARS, Jhabua
15.	R.S.Yadav	NCHSE, Bhopal
16.	Ram Prasad Jhariya	Bholia Deori, Jabalpur
17.	RiteshTiwari	Naugaon
18.	Sanjay Joswal	-
19.	Shri Manoj Mishra	NCHSE, Kalyanpura
20.	Shri N.N.Bhargava	Poddar Col. Tili Road, Sagar
21.	T.S.Prajapathi	-
22.	V.K. Dubey	Jhirmila Kundan, Jhabua
Orissa Watershed Development Mission (OWDP), Orissa		
1.	B.K. Sahu	SVA, Bhubaneswar
2.	Dr. Alex Thomas	Agricultural Finance Corporation, Bhubaneswar
3.	J. Pradhan	Development Support Centre, Bhubaneswar
4.	K. Das	Development Support Centre, Bhubaneswar
5.	K. Mishra	SVA, Bhubaneswar
6.	K.C. Mishra	Agricultural Finance Corporation, Bhubaneswar
7.	P. Nanda	WTCER, Bhubaneswar
8.	P.K. Mohanty	Agricultural Finance Corporation, Bhubaneswar
9.	R.K. Gouda	Development Support Centre, Bhubaneswar
10.	S. Das	Sahuja Biplab, Bolangir
11.	S. Ghosh	WTCER, Bhubaneswar
12.	S.K. Jena	WTCER, Bhubaneswar
Professional Assistance for Development Action (PRADAN), Jharkhand		
1.	Achal Kumar Dubey	Welfare Point, Chatra
2.	Alak Jana	PRADAN, Ranchi
3.	Anthen Bakhia	HCSSC, Hazaribarh
4.	Azahar Ali Khan	KGVK , Gamharia
5.	Birkumaar Das	Welfare Point, Chatra
6.	G.C. Mahto	KGVK, Ranchi
7.	Jawahar Mehta	VSK, Palamu
8.	Lalit Kumar	VSK, Palamu
9.	Pascal Dungdung	HCSSC, Hazaribarh
10.	Rajendra Prasad	TSRDS, Dhanbad
11.	Tanay Chakravarty	NEEDS, Deoghar
12.	V. Tiwari	KGVK, Ranchi
13.	Yoganand Mishra	PRADAN, Ranchi

Apart from the above study team members, the senior members of the Nodal Agencies also participated and contributed to the study in several ways.

List of Key Questions Developed and Used for Field Work

KQ 1 : Who brought the program to your village?

KQ 2 : What are the methods of generating awareness?

KQ 3 : Whether women and poor are specially targeted in awareness campaigns?

KQ 4 : Whether PIA has any previous relationship with the villagers?

KQ 5 : How the resolution from grama sabha obtained before the commencement of the program?

KQ 6 : Time Taken for resolution

KQ 7 : How many meeting it took to obtain the resolution from the Gram Sabha for the commencement of the programme

KQ 8 : Contents of Resolution

KQ 9 : Who decided about EPA?

KQ 10 : Who implemented the EPA?

KQ 11 : What is the condition of work under EPA?

KQ 12 : Whether community contributed to EPA?

KQ 13 : Quantification of Contribution in EPA

KQ 14 : Types of Contribution in EPA

KQ 15 : Is anyone excluded from use of EPA?

KQ 16 : How the initial data was collected?

KQ 17 : How the list of poor was generated?

KQ 18 : Whether Existing groups participated in watershed program? Or Are the members of these groups (women/ others) involved in watershed program? In what way?

KQ 19 : In what way the members of the existing Group were involved in the watershed programme?

KQ 20 : Who formed new user groups?

KQ 21 : What are the efforts made by PIA to form User Groups?

KQ 22 : What is the basis for forming User Groups/ Membership Criteria?

KW 23 : What are the efforts made by PIA to form SHG?

KQ 24 : What are the criteria for selecting members of SHG?

KQ 25 : Who selected watershed committee?

KQ 26 : What is the process of selecting WC Chairman?

KQ 27 : How many meetings were organized before the formation of WC? (Grama Sabha/ Village Meeting/ Hamlet Meetings)

KQ 28 : Whether Bank A/C For Proejct Funds is opened or not?

KQ 29 : How was the watershed delineated?

KQ 30 : Is there a map of delineated watershed in the village?

KQ 31 : What was the process of problem analysis?

KQ 32 : Whether any special attention was given to problems of women and weaker section?

KQ 33 : Who selected the sites

KQ 34 : Whether local volunteers participated during the survey/ survey/ planning?

KQ 35 : Who decides the type of intervention (All type of interventions)?

KQ 36 : Whether efforts are made to identify ITK as part of planning, by PIA/ WDT?

KQ 37 : What types of ITK are identified

KQ 38 : What was the process of preparing individual and group action plan

KQ 39 : Whether the contribution and its requirements were discussed during the planning process or not?

KQ 40 : Who prepared the designs and estimates?

KQ 41 : How are the designs and estimates prepared?

KQ 42 : What rates were adopted in the estimation - local, SSR?

KQ 43 : How many times action planning was done? Was there a tentative action plan?

KQ 44 : Who has the action plan?

KQ 45 : How were the action plans consolidated?

KQ 46 : Reasons for changes in action plans

KQ 47 : What criteria were used for prioritization?

KQ 48 : How was the consent of WA/ Grama Sabha taken for action plan?

KQ 49 : Who marks out the work?

KQ 50 : Who supervises the work?

KQ 51 : How is the responsibility among user groups shared? What did user groups do?

KQ 52 : In what form contribution is collected?

KQ 53 : How the contribution is collected?

KQ 54 : Who actually contributes?

KQ 55 : Are receipts given for contribution? Who gives the receipts?

KQ 56 : Who collects the contribution? Where is it deposited?

KQ 57 : Where is the Contribution deposited?

KQ 58 : Is community aware of WDF?

KQ 59 : How measurement of the work was done? (Who/ when/ procedure/ frequency)

KQ 60 : Who maintains the measurement books?

KQ 61 : What is the frequency of measurements

KQ 62 : How the payment is made?

KQ 63 : Who prepares the cashbook?

KQ 64 : Who is the custodian of financial records (cash book, ledger, voucher)?

KQ 65 : Whether extension time was given?

KQ 66 : Reasons for extension

KQ 67 : Maintenance of assets & structures CPR, any damage? (During the project)

KQ 68 : Maintenance of assets & structures CPR, who pays for repairs?

KQ 69 : Maintenance of assets & structures CPR, any damage? (After the project)

KQ 70 : Maintenance of assets & structures CPR, who pays for repairs (after the project period)

KQ 71 : Maintenance of assets & structures Private, any Damage? (During the project)

KQ 72 : Maintenance of assets & structures private lands, who pays for repairs

KQ 73 : Maintenance of assets & structures Private, any damage? After the project

KQ 74 : Maintenance of assets & structures private lands, who pays for repairs

KQ 75 : Was there any resolutions taken from the gramsabha for the maintenance of assets and structures

KQ 76 : Withdrawal strategy?

KQ 77 : Functioning of WA, after the project period is completed

KQ 78 : Functioning of WC/ VC, after the project period is over

KQ 79 : Who owns/operates WDF?

KQ 80 : WDF usage?

KQ 81 : Guidelines for post project management?

Data Sheets – Watershed Profile

Part 1: Details of Investigators :

i. Names of field investigators

Sl. No.	Name of the Person	Educational Background	Age	Sex	Address of the Investigator

ii. Date(s) of Survey:
iii. Multi Disciplinary Team Area (if applicable):

Part 2: Location of Watershed

1. Name of the watershed: Village: Hamlet:
2. Mandal/ Taluka/ Block: District:
3. How many more watershed projects in the village are taken up?:
4. Watershed Under Scheme: DPAP/ DDP/ EAS/ IWDP/ others (mention):
5. Year of starting & Batch:
6. Date of commencement of the project:

Part 3: PIA Profile:

i. Category of PIA: Government / Non-government / CBO / PRI / Forest Department
ii. Addresses for Communication:

Name	Head Office	Field Office (Where the sample project is being implemented)

iii. Name and address of the Parent Department(s) of the PIA (if Govt.):
iv. Names of WDT associated with the village/ watershed

Sl. No.	Name of Person	Education	Sex	Experience in Years

v. What are the major projects / activities of the PIA (if NGO) other than watershed? (Or) additional responsibilities of the Govt. PIA

Sl. No.	Activities	Period (From – To)	Donors / Sponsored By	Remarks

Part 4: Watershed Profile:

i. Land holding in the village under different categories of farmers:

Caste	Details of Land	No of Farmers under each category of farmers[1]					
	Ownership	Landless	S & M Farmers	Medium Farmers	Large Farmers	Others	Total

[1] Define categories of farmers –Small & Marginal/ Medium/ Large as per each state

ii. Watershed Area Profile:

a) Whether watershed area follows the boundaries of Village/ Hamlet or not? –

b) Particulars of watershed area: (As available in the PIA records / Action Plan)

Sl. No.	Particulars	Area[1](ha)	Remarks (Footnotes)

c) Land Use Profile: (Data on Land Use categories as available in the action plans & other records — Include the details of common lands)

Sl. No.	Land Use[1] Particulars	Area (ha)	As % of Total Area	Remarks (Footnotes)

iii. Watershed Program:

Sl. No.	Type of Livestock	SC	ST	BC	Others	Total	Land Less	SM Farmers	Medium Farmers	Large Farmers	Total

Part 6: Profile of Institutions in Watershed Project Village:

i. Profile of Self Help Groups:

Sl.No.	Name of Group	Type of Group	Group Profile	Category of Members					Started on	Amount Rs	Frequnecy of Meetings	Functional (Y/N)	Did anyone leave the SHG? Why?	Linked with Bank
				SC	ST	BC	Other	Total						

ii. Profile of UserGroups :

Sl. No.	Name of Group	Strength	Main Activities	Group Started on	Group Profile	Number of Users under different categories									
						SC		ST		BC		Others		Total	
						Male	Female	Male	Female	Male	Female	Male	Female	Male	Female

iii. Functioning of User Groups:

Sl. No.	Name of User Group	Details of the Asset that the UG has created	Meetings		Details of Budget		Contribution			Project Management	
			Frequency	Last Meeting	Planned	Expenditure	Who gave?	How much?	In what forms?	Start Date	Completed on

Birds Eye View of Processes

iv. Profile of Watershed Committee and Watershed Association:

S. No	Office Bearer	Name of per. & hamlet	Age	Sex	Education	Caste	Land Holding	Occupation	Which group does (s)he represents ?	Other Posts	Reasons for change, if any

v. Watershed Association Profile:

a. Is the Watershed Association registered? If not, why? If yes: Regn No. Date of Regn:
b. Copy of the bylaws collected (by the study team):
c. Who has written the byelaws?
d. Given by the district administration PIA [ ] Village [ ] Others (mention)
e. Is there a minute's book for WC/ WA? If yes, fill the following table from the Minutes book:
f. Profile of the meetings last one year or the last 12 meetings:
g. Collect Total Number of Meetings so far

S.No	Date	Place of Meeting	Meeting Purpose(s) (with a special focus on major decisions)	Presence in Meetings TOTAL

vi. Entry Point Activity:

a. Was there an entry point activity (EPA)? If yes, → What activity:
b. Cost: Rs. Period of execution: Month: Year:

vii. Who are the users of this EPA?

viii. Watershed Development Fund Profile:

a. Copy the pages in WDF Pass Book.
b. Optional
c. Wage Component: Wage Rates:
d. Under different types of activities; material and wage (from muster rolls)

Year	Wage Rate Rs.per Day				Man Days	Women Days	Mesthry Days
	Total	Men	Women	Mason/ Skilled Labour/ Mesthry			

Phases/Cluster	Key Activities	1 Key Players											
		WA	WC	SHG	UG	Labour	Group	PRI	WDT	PIA	MDT	State	Others (please mention)

Capacity Building Profile for Watershed Committee Community

Sl. No.	Phase/Cluster	Activity	Key Player Group*	No. of Members	Capacity Building		Finance			Name of Resource organisation
					Classroom Training	Exposure Visit	Budget Allotted	Money Spent	Balance Training	Exposure Visit Place

Participation Profile of Meetings (ask this question to individuals of the key Player group of each phase. Select the decision-making meetings of on key issue of the phase. Select at least five members of the key group of each phase and ask on one to one basis)

Phase/Cluster	Key Issue	Key Player Group	Name of the member (preferably of weaker section or woman)	Informed about the decision	Meeting Attended	Opinion Asked	Expressed Opinion	Influenced Opinion	Agree with the decision

Financial Profile of PIA

Name of the watershed	Name of the PIA	Total Allotment				Total expenditure	Balance	% Of expenditure with respect to total
		Central Government share	State Government share	Any other (please mention)	Total allotment			

Break up of the spent and unspent Money by PIA:

Sl. No.	Budget head Year	Budget Allotted	% Of the allotted amount to the total budget	Expenditure made (amount)	Balance or unspent amount	% of unspent amount to the allotted head

Financial Profile of the Watershed Committee

Name of the watershed	Name of the WC	Allotted amount	Total Money received	% Of Money Not Received To The Total Allotment	Money	Balance

Break up of the spent and unspent Money By WC

Sl. No.	Budget head	Budget Allotted	% Of the allotted amount to the total budget	Expenditure made (amount)	Balance or unspent amount

Understanding Processes of Watershed Development Program in India

Report of the Study anchored by WASSAN and Facilitated by ICEF

Volume 1 : Birds Eye View of Processes: Status across States, Facilitators and Donors
Volume 2 : Process Index
Volume 3 : Indepth View of Critical Themes: Institutions, Finances and Equity
Volume 4 : Policies and Possibilities: Compilation of Good Practices
Volume 5 : Making them Better: Gap Analysis, Enabling &Disabling Factors And Recommendations
Volume 6 : Recommendations at a Glance

Volume 1 : Birds Eye View of Processes: Status across States, Facilitators and Donors

This volume presents the basic features of the process study – objectives, methodology, sample, conceptual framework and basic analysis of the processes. The project management cycle of the watershed projects was taken as the basis for conducting the process analysis (Phases, Key Events and Clusters of Key Events). The "process data" is presented for every key event, as per the project management cycle.

A "Two-Dimensional" analysis was conducted to reflect the variations of processes in various states (Dimension 1- Regional influences) and various projects (Dimension 2 - Donor and Facilitator combinations). At the end of process data analysis, processes are classified into "most common processes" and "rare processes". Specific conclusions and further analysis of process is not done in this volume.

आर्थिक अनुसंधान केन्द्र
AFPRO Action For Food Production
ARAVALI
Department of Agriculture NAGALAND
NCHSE
OWDM
Pradan