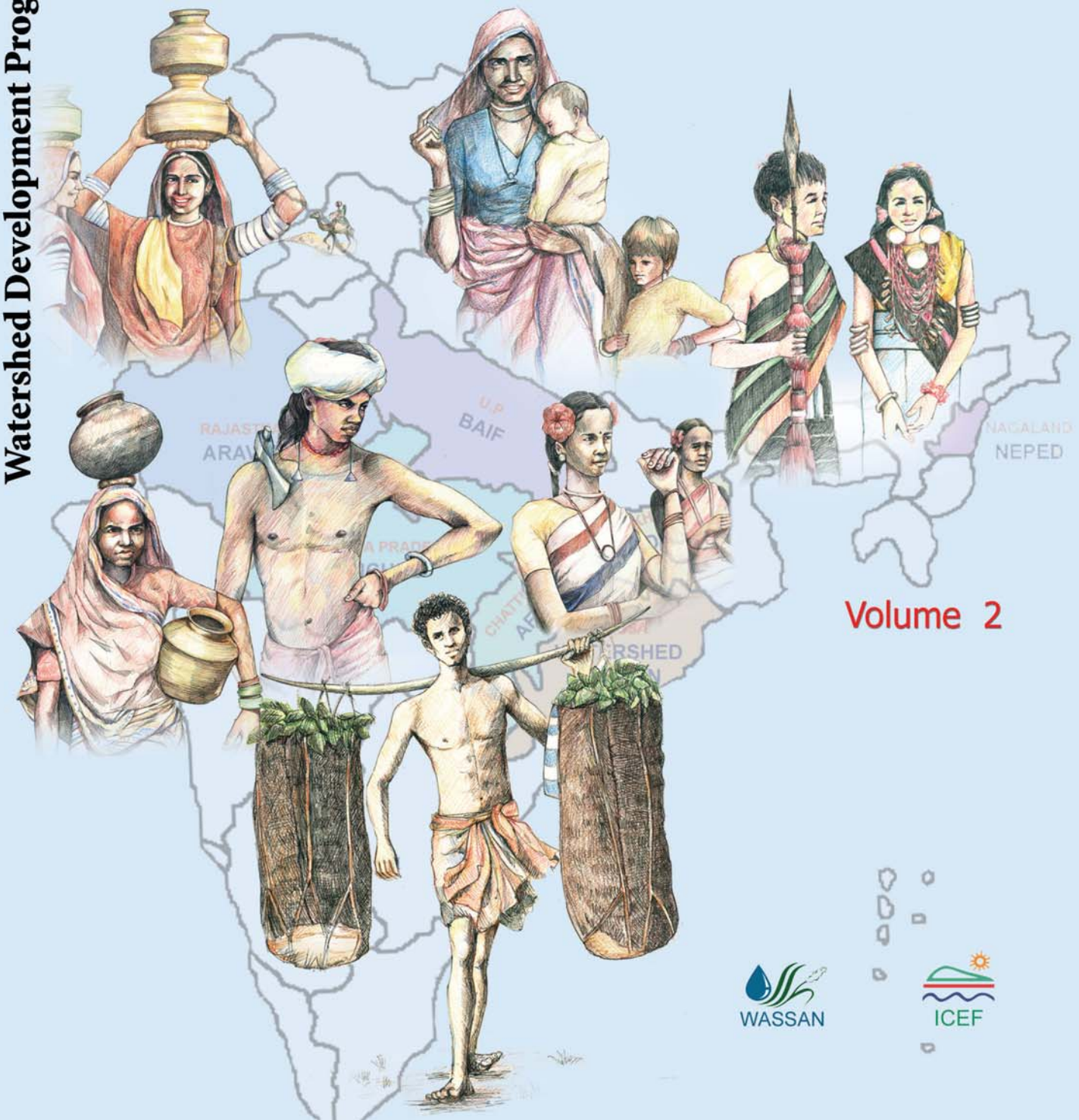
Understanding Processes of
Watershed Development Program in India

Process Index



Volume 2

WASSAN

ICEF

Report of the Study anchored by WASSAN and Facilitated by ICEF

Understanding Processes of Watershed Development Program in India

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Process Index

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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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Editing : K Suresh and Ramesh

Layout : Ankush Graphics, Hyderabad

Cover Page : Srikanth

Published : September, 2006

No. of Copies : 1000

Published by

WASSAN

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12-13-452, Street No 1, TARNAKA, Secunderabad - 17
Andhra Pradesh, INDIA
Tel/Fax: 040-27015295/96
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Printed at : Charitha Impressions, Hyderabad, Ph: 040 - 27678411

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Acknowledgements

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.

B N Yugandhar, Member Planning Commission was the inspiration to the process study. He always thought that the strong participatory processes could address several key concerns of the current watershed projects. He believed that developing a set of tools that could systematically diagnosis the watershed processes is an important requirement of the project. I hope this study meets some of his expectations. I thank him for his support and guidance from time to time, during the course of the process study.

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.

Narasimha Reddy, Sivaiah, Udaya, Narasimha Rao (Poverty Learning Foundation), Usha Seetamahakshimi and Ipsita Basu provided professional help for preparing the report (data compilation, preparation of first drafts of the reports). I thank all of them for their timely and quality support.

I also thank V Sampath, Director General (NIRD) for providing institutional support for conducting data analysis. I sincerely thank Dr Bidari and Ms Jayashree (NIRD) for providing necessary support for data analysis.

Writing reports is one side of the story, while giving constructive and creative feedback is another story. I immensely benefited by the feedback I received from MV Sastry (Center for World Solidarity), Uday Shankar (Trustee WASSAN), Rama Mohan (CWS), Dr N K Sanghi, Ravindra, K Suresh (WASSAN), Dr Amita Shah (Gujarat Institute of Development Studies), Dr J Venkateswarlu, Ram Kumar (Inter Cooperation) and members of nodal agencies. I thank all of them. In this context, I would like to particularly thank M V Sastry and Dr Amita Shah for the insights they provided, after a careful reading of the report. Their feed back challenged me to explore deeper insights of the processes of watershed development projects.

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

"Understanding 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**

INTRODUCTION

From Process Data to Process Index

Step by Step Methodology for Conducting 3 Dimensional Analyses of Processes

The process study documented the processes at all key events of the watershed project and developed the patterns of processes followed in different scenarios (states, types of projects and PIAs). There are mainly "three dimensions" to this process data.

Dimension	Description
Dimension 1	Processes (Nature of process/ Description of Process)
Dimension 2	Location of Project (Different States)
Dimension 3	Category of Projects - Donor (GoI/ Bilateral/ INGO) and Type of PIA (NGO/ GO)

The process data tables are presented in the following manner.

- ☆ Patterns of process (What type of processes are followed in each key event)
- ☆ Percentage of watersheds following a particular pattern in each state
- ☆ Percentage of watersheds following a particular pattern under a particular type of project (GoI/ Bilateral/ INGO funded projects) and category of Project Implementing Agency (NGO and GO PIAs).

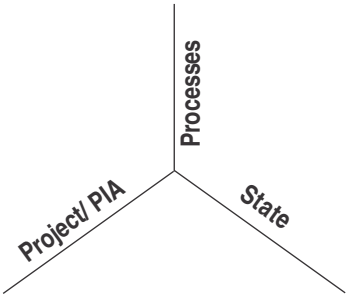
For simplicity in analysis and drawing conclusions, a "Two-Dimensional Analysis" was carried out in Volume 1. The analytical framework adopted for Volume 1 is briefly presented below.

- ☆ Process Variations in different states:
- ☆ In this analysis, variations in processes (dimension 1) in different locations of the project (dimension 2) are presented.
- ☆ Process Variations across different projects/ PIAs
- ☆ In this analysis, variations in processes (dimension 1) in different projects (dimension 3) supported by different donors (GoI/ Bilateral/ INGO) and facilitated by different types of PIAs (NGO/ GO), are presented.

The main advantage of the above 2 D Analysis is that the direct relationship between processes and influencing factors such as states and nature of donors/ facilitating agencies is presented. The details of processes were discussed and analyzed in respective scenarios. Based on the above analysis, relevant conclusions/ recommendations were drawn. However, the above analysis has the following limitations.

- ☆ It could not give a consolidated picture of the processes followed in different states, under different donors/ facilitated by different types of PIAs.
- ☆ It could not quantify the process related data (except stating number of watersheds following a particular type of process in different states/ projects) under different scenarios.
- ☆ It could not be used as a "tool" for measuring the "health" of processes in different scenarios. As a result, it could not be used as a "monitoring tool" either.

Based on the above understanding, a "Three Dimensional Analysis – 3 D Analysis" was conducted based on the process data base of the process study. Apart from overcoming the limitations of 2 D Analysis of processes, the 3 D Analysis has several advantages. The following are the main objectives of the 3 D Analysis of the processes.



1. To present a consolidated picture of the nature of process followed in each key event/ cluster of events in states and projects, simultaneously.
2. To develop a "process index" for each key event of the projects, operating in different states funded by different donors (GoI/ Bilateral/ INGO) and facilitated by different types of PIAs (NGO/ GO).
3. To rank the watersheds on the "process scale" based on the process index.
4. To develop a monitoring tool for measuring the health of processes that could be used by project facilitators, donors and communities for taking necessary steps for improving the same.

In this volume a "Three Dimensional Analysis" of processes is carried out, by adopting the following methodology/ steps.

Step 1 – Developing the Process Data Tables

Each watershed is given a code, while preparing the process data tables. The relatively "non-participatory" processes occupied the top rows of the table and relatively "better- participatory" processes occupied lower rows of each table. Each state is given a column. Watersheds from each state following a particular process are placed in the respective rows in each column (using the codes of watersheds in each state). In this manner, process table is completed for each key event covering all states and all watersheds. There are about 65 such key issues in the entire project cycle of the watershed development program. In each table, the processes are arranged in an ascending order (weakest to better) from top to bottom (Refer Table No A).

Step 2 – Giving Scores to Each Watershed for Each Key Event

The process at the bottom most row of the process table is considered to be "best" possible process in the given set of sample watersheds, in terms of the participation of the communities in that key event. Some times, this "best" process could be much below the expected (or desired/ designed) process or it could be better than the expected processes. Similarly, the processes at the top most row of the table is considered to be "weakest" process. The "best" process is given a score of "100" and the "weakest" process is given a score of "0".

A "Basic Value" is arrived at by dividing the maximum score (100) by the total number of rows (i.e., number of different processes followed in that key event by the sample watersheds) of the process table for that key event. This basic value depends on the total number of processes

Table No: A

Diagnosis of Cluster of Processes in GoI Funded and GO PIA Facilitated Projects

Theme of Clusters		*GoI Funded and GO PIA facilitated Projects*						
		M	**C**	**J**	**R**	**U**	**O**	**N**
Knowledge of Communities about the selection of Village	CL1	21	24	64	41	32	56	60
Awareness Levels	CL2	59	39	44	63	25	77	46
Resolution from the village	CL3	45	19	57	39	16	55	70
EPA 1	CL4	82	77	30	47	15	51	20
EPA 2	CL5	59	51	38	53	14	41	13
Base Line Survey	CL6	55	56	30	50	20	100	60
Existing Groups	CL7	30	18	8	21	0	52	56
UGs	CL8	88	7	33	21	5	73	23
SHG	CL9	80	18	49	24	0	53	40
WC Formation	CL10	78	66	84	78	25	83	64
Watershed Delineation	CL11	43	59	50	60	38	69	49
Problem Analysis - Planning 1	CL12	24	28	46	43	7	34	40
Site Selection - Planning 2	CL13	48	58	22	63	12	61	26
ITK - Planning 3	CL14	0	21	82	64	6	11	9
Group and Individual Plans – Planning 4	CL 15	54	44	63	17	19	0	43
Discussion on Non Negotiables - Planning 5	CL 16	92	53	58	25	0	83	44
Designs and Estimates - Planning 6	CL 17	17	30	41	37	10	34	48
Consolidation of Action Plans - Planning 7	CL 18	14	14	30	10	16	40	25
Approval of Action Plans - Planning 8	CL 19	33	56	85	38	47	80	50
Mobilization -Implementation 1	CL 20	41	35	43	40	25	43	42
Knowledge of WDF- Implementation 2	CL 21	45	30	63	40	0	48	51
Execution of Works Implementation 3	CL 22	26	20	56	38	19	40	26
Measurements -Implementation 4	CL 23	32	40	67	73	24	53	37
Payments Implementation 5	CL 24	78	72	33	76	16	64	36
Project Completion 1 (Extension)	CL 25	71	83	0	88	68	68	86
Project Completion 2 (Use of WDF)	CL 26	62	17	13	38	26	60	23
Project Completion 3 Withdrawal of PIA	CL 27	44	33	75	33	25	78	66
Number of Clusters with Weak Processes		9	13	8	7	24	3	8
Number of Clusters with Average Processes		11	11	14	16	2	15	17
Number of Clusters with Strong Processes		7	3	5	4	1	9	2
Total Number of Clusters		**27**	**27**	**27**	**27**	**27**	**27**	**27**

followed in a particular key event. (E.g.: If a process table for a particular key event has five different processes, the basic value of this particular process table is 20; Similarly, if another process table has 9 different processes, the basic value of this process table is 11). After finding out the basic value, each row is given a score. The top most row gets a score of 0 and second row gets a score of "0+Basic Value"; third row will get a score of "0+2 X Basic Value. In this way, each row gets its respective score and the last row gets 100 score. All watersheds belonging to a particular row would get the score of that particular row (Refer Table A).

A Score Board of Processes

A score board is developed with watersheds in the columns and key events in the rows. The scores obtained by each watershed in a given key event are presented in the respective "cell". In this way, the entire process data is converted into a "Score Board". This score board has 55 rows (equal to the total sample of watersheds) and 65 columns (equal to the total number of key events of the watershed development project) and total 3575 cells (55 X 65). Each cell has a particular score (0 to 100), depending on the nature of process followed in that particular watershed for that key event.

Developing Cluster of Key Events and Process Matrix

The above score board is an elaborate one with several columns, each column indicating a particular key event. Though this is needed, such a huge score board is unwieldy for conducting any analysis. This score board is further simplified in the form of a "Process Matrix". Based on the project management cycle, set of events are "grouped" together to form "Clusters of Key Events". Thus from 65 key issues "27 Clusters of Key Events" are arrived at. (E.g.: If Entry Point Activity has five key events, the average score of all these five key events is put together in a single "Cluster of Processes" related to Entry Point Activity). In this process, the elaborate score board is simplified into a "Process Matrix" consisting of 55 rows (equal to total number of watersheds) and 27 columns (equal to total number of Clusters of Key Events) and 1485 cells. Each cell has a consolidated score of that cluster of key events.

The Project Management Cycle is presented here with Main Phases and Clusters of Key Events are:

Main Clusters/ Phases	*Themes of Sub Clusters/ Key Events*
Initial Phase	1. Knowledge of Communities about the selection of project 2. Awareness Generation 3. Resolution from the village 4. EPA – 1 5. EPA – 2 6. Base Line Surveys
Institution Development Phase	7. Existing Groups 8. New Groups (User Groups) 9. New Groups (SHGs) 10. Formation of Watershed Committee
Participatory Planning Phase	11. Planning Process – 1 Watershed Delineation 12. Planning Process – 2 Problem Analysis for Planning 13. Planning Process -3 Site Selection 14. Planning Process -4 Local Volunteers and ITK 15. Planning Process – 5 Group/ Individual Plans 16. Planning Process – 6 Discussions on Non-

Negotiables
17. Planning Process -7 Designs and Estimates
18. Planning Process – 8 Consolidation of Action Plans and Changes in Action Plans
19. Planning Process – 9 Approval of Action Plans

Implementation Phase

20. Implementation – 1 Mobilization of Contribution
21. Implementation -2 Knowledge of Communities on WDF
22. Implementation -3 Execution of Works
23. Implementation -4 Measurements
24. Implementation -5 Payments

Post Project Issues

25. Project Completion -1Extension of Project Period
26. Project Completion -2 Use of WDF
27. Project Completion -3 Withdrawal of PIA

Process Indices

Now the scores enable to present nature of processes followed in different states under different types of projects/ PIAs. A summary table for each cluster of key events is prepared in which the states are in the first column and projects/ PIAs in the rows. The "total scores" under each category of projects in a given state are presented in the respective cells of each table (Refer Table B).

Table B
Total Scores of All Watersheds under a particular category of watersheds-Cluster of Key Events Selection of Village - Cluster 1

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	43	136	21	-	71	271
C	121	93	-	-	71	286
J	129	221	-	-	71	421
R	164	118	-	71	71	425
U	129	121	-	-	143	393
O	279	21	21	0	71	393
N	479	-	-	-	-	479
Total	1343	711	21	71	500	2668

Since the sample is not uniformly distributed across the states and types of projects; there is a need to convert the scores to reflect the nature of processes followed in "a typical watershed" under a particular category (E.g.: What is the nature of processes followed in a typical watershed in UP funded by GoI and facilitated by NGO PIA?). For arriving at these tables, the "total score" in each cell in Table B is divided by the number of sample watersheds under that category (sample watersheds – Table C). By adopting this method, the entire process data for each key event is "reduced" to reflect the nature of process of "a typical watershed". This uniformity helps to compare one category of watersheds with another with the help of scores. (E.g.: One can compare a typical watershed in Rajasthan funded by INGO and facilitated by NGO PIA with another watershed in Nagaland funded by GoI and facilitated by GO PIA, using a numerical score.

Table C
Sample Distribution Of Selected Watersheds

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	2	4	1	0	1	8
C	5	2	-	0	1	8
J	2	4	-	0	1	7
R	4	2	-	1	1	8
U	4	2	-	-	2	8
O	5	1	1	0	1	8
N	8	-	-	-	-	8
Total	30	15	2	1	7	55

The score of watersheds at this stage is called "Process Index" (Refer Table D). The process index is a numerical value/ score, which indicates the health of the process followed by a particular watershed in a given cluster of key

events. The higher the value of Process Index (score), healthier the process (in terms of participation of communities); lower the value of Process Index (score), weaker the processes. Thus, in the above Table D, the values of Process Index of all projects funded by INGO and facilitated by NGO PIA are highest (71) and value of Process Index in case of GoI funded projects and facilitated by GO PIAs is the lowest (21). The Process Index of bilateral projects facilitated by GO PIA in MP and NGO PIA in Orissa has the same value (21). Remaining watersheds in the sample fall in between these two extremes. This value of Process Index indicates the health of processes followed in the above watersheds and makes the process analysis a "three dimensional analysis" (Combining all three dimensions – processes, states and category of projects in a single table). Based on this methodology, the "Process Indices" are developed for all clusters of processes of watershed development project and analysis carried out

Table D
Process Index Cluster of Key Events (Village Selection Cluster 1)
(After dividing the Scores in Table B with sample size in Table C)

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	21	34	21	-	71	34
C	24	46	-	-	71	36
J	64	55	-	-	71	60
R	41	59	-	71	71	53
U	32	61	-	-	71	49
O	56	21	21	0	71	49
N	60	-	-	-	-	60
Ave	43	46	21	71	71	49

Three Dimensional Analysis of Processes in Watershed Projects – Process Index

As mentioned earlier, the project management cycle of watershed development projects is conceptualized in the broad framework of Guidelines of MoRD (1994). The clusters of key events are also arrived at, by following the same framework. While each of these clusters has a specific focus/ theme; they together become a part of the project management cycle. As indicated in the previous section, 88 key events/ issues are clubbed together to form 27 clusters of key events. The main focus of each cluster is explained here. The detailed analysis of each cluster of key events is made subsequently, using the "Process Index" of each category of watersheds in each state.

While analyzing the data related to "process index", the following system is followed.

- ☆ The values of Process Index are broadly divided into three ranges; each range is indicated by a particular color:

Range of Value – Process Index and its Color

Nature of Process (Broad and Indicative)

0 to 33 RED

- ☆ Low level of participation of communities.
- ☆ Communities are either ignorant or have very little knowledge of the process followed in that key event/ cluster
- ☆ Project facilitating agency dominates the process and takes the decision making role.

34 to 66 YELLOW

- ☆ Medium level participation of communities
- ☆ Communities are involved in the project related processes and play some active role. Knowledge of the project is limited to some key institutions/ persons in the village.
- ☆ Project facilitating agency and village institutions/ leaders collaborate with each other in several key tasks of the project.
- ☆ Local communities have reasonable expertise in managing the project affairs.

67 to 100 GREEN

- ☆ High level of participation of communities.
- ☆ Local institutions are active in several project related processes and take part in decision making processes.
- ☆ Entire community is involved in all key stages of the project
- ☆ Local institutions take decisions and active role implementing the decisions, while the Project Facilitating Agencies play a supportive role.
- ☆ Communities learn the project management skills while implementing the projects.

Different types of projects (operating in any state/ funded by any type of donor/ facilitated by NGO/ GO PIAs) could get the same value of Process Index for a given cluster of key events. This indicates that a similar process was followed in all these watersheds (irrespective of other factors). On the contrary, the value of Process Index for a particular type of projects (E.g.: GO PIAs funded by GoI in Rajasthan) might vary different from the values of other projects. This indicates the "special nature of the processes" operational in these watersheds. The analysis of processes using "Process Index" will bring such variations and present a "three dimensional" picture. The nature of processes in "RED; YELLOW and GREEN" categories of Process Index is explained for each cluster of key processes.

The analysis of processes using Process Index is presented for every key cluster, in subsequent sections of the report. In the analysis, the states are indicated by the starting alphabet of each state (Eg: Madhya Pradesh by M; Chatishghar by C; Jharkhand by J; Rajasthan by R; Utter Pradesh by U; Orissa by O and Nagaland by N). Projects funded GoI and facilitated by GO PIAs are refered as GoI GO projects; projects funded by GoI and facilitated by NGO PIAs are refered as GoI NGO projects; Bilateral Projects are refered as Bilateral GO projects and Bilateral NGO projects and projects funded by International NGOs and faciliated by NGOs are refered as INGO NGO projects.

Part 1

Process Index

Application of the Tool for Quantifying, Comparing and Assessing the Processes in Each Cluster of Processes

Process Index – Cluster 1

Knowledge of the Communities on the Selection Process of their village for watershed project.

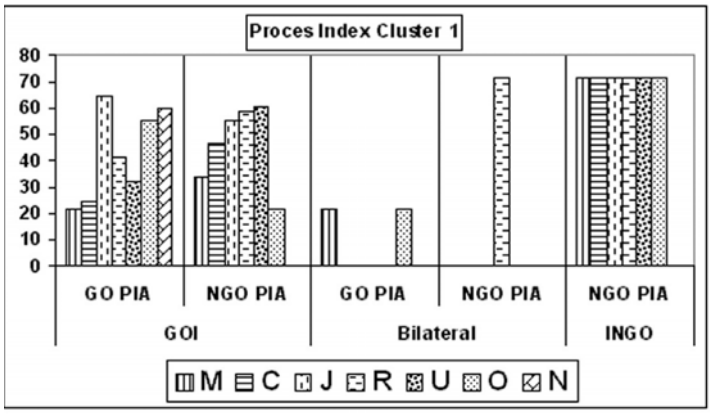
Cluster of Processes 1 - Knowledge of Communities about the Selection of Villages

Key Questions/ Issues

- Who brought the program to your village?
- Whether PIA has any previous relationship with the villagers?

Process Index – Cluster 1

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	21	34	21	-	71	34
C	24	46	-	-	71	36
J	64	55	-	-	71	60
R	41	59	-	71	71	53
U	32	61	-	-	71	49
O	56	21	21	-	71	49
N	60	-	-	-	-	60
Ave	**43**	**46**	**21**	**71**	**71**	**49**



The selection of villages for watershed projects followed several process routes. Top driven processes (in which communities have no role) to demand driven processes (in which communities demanded the projects for their village). The knowledge levels of the communities about the selection process vary in these two processes.

Similarly, the rapport between the villagers and facilitating agency before the project was actually initiated (previous partnership between the villagers and the facilitating agencies) makes considerable difference in the project implementation. In the sample watersheds, the experiences of previous relationship between the villagers and the facilitating agencies also varied – from very long partnership to complete strangers. The process study teams put together related data on this cluster of processes, which analyzed the

knowledge of communities on the process of village selection and the previous relationship between the villagers and communities. A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index for this cluster of key events ranged between 21 and 71.
- ☆ The average value of Process Index for this cluster is 49.
- ☆ Project funded by INGOs and facilitated by NGOs in all states have the highest value of Process Index (71).
- ☆ Projects funded by GoI and facilitated by GO PIAs have the lowest value of Process Index (21).The value of Process Index of projects funded by bilateral projects and facilitated by GO PIAs also is the lowest (21).
- ☆ The highest value of Process Index was scored by one watershed project in Orissa, which was funded by GoI and facilitated by GO PIA (93 – O5).
- ☆ The lowest value of Process Index was scored by two watershed projects – C4 in Chattisghad funded by GoI and facilitated by GO PIAs and J1 in Jharkhand funded by GoI and facilitated by NGO PIA.
- ☆ The value of Process Index is 71 in about 24 watersheds. This value of the Process Index is the most commonly occurring value.

Understanding the Value of Process Index – Knowledge of Villagers on the Selection Process of Villages

Processes followed in Projects with Process Index Value of 0 to 33 (Red)

Number of Projects: 24 out of 55.

Community was largely ignorant about the selection process of the village. The project is given to them without any efforts by the community or knowledge of the community. The process of village selection was largely "supply-driven", in which the role of communities was very passive. However, occasionally an influential local persons (politically well connected person) tried hard to influence the selection process and succeeded. The Project Facilitating Agency is an absolute stranger to the communities in this category of projects, where the value of Process Index is less than 33.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow)

Number of Projects: 4 out of 55.

Communities thought that the Project Facilitating Agency played a key role in getting the watershed project to their village. In this category also, the projects were largely "supply-driven" in majority of cases, as the projects were sanctioned to the villages without much efforts by the community. However, in a limited number of cases, the local leader(s) from Grama Panchayati/ Village Council (Sarpanch) actively pursued with DRDA for getting a watershed project to their village. The relationship between the villagers and the facilitating agency was established before the watershed project actually began.

Processes followed in Projects with Process Index Value of 67 to 100 (Green)

Number of Projects: 27 out of 55

Communities could connect the sanctioning of the project to their village with the PIA, in this category also. However, there are also experiences in this category, where villagers made collective efforts to get the project to their village either by approaching the local NGO or government department. Similarly, the project authorities also recognized the history of "collective action"

in the villages (E.g.: Protecting the village forests) and sanctioned the project to the village. In a way, the watershed project was a "reward" to the village, which demonstrated its strength in the context of community based natural resources management.

The previous relationship between the villagers and facilitating agency has positive correlation. The facilitating agency worked in these villages even before the project is actually started. They established several institutions (mainly SHGs) and worked on projects like livestock, education, etc., before the watershed project was sanctioned to the villages. In some cases, project facilitating agencies actively interacted with donors (both DRDA/ INGO) and recommended the candidature of these villages for watershed projects. In fact, the higher score of Process Index was mainly a contribution of the previous relationship between the villagers and facilitating agency.

Process Index –Cluster 2

Awareness Generation

Several methodologies are used to generate awareness. The main purpose of creating awareness is to communicate the purpose, benefits and non-negotiables of the watershed project. It is expected that the facilitating agencies make special efforts to reach out to the poor and women in sharing the basic information of the project. In the sample watersheds, the efforts made by facilitating agencies range between "no efforts" to "consistent efforts to reach out to every hamlet/ family". Similarly, in case of reaching out to women, the processes range from "completely ignoring women" to "making special efforts" to share the message of the project with them. The efforts made by DRDA in several cases also supplemented the communication campaigns. However, one main limitation seems to be the continuity, consistency and content of the communication campaigns. A brief summary of the 3 D analysis of process of this cluster is presented here:

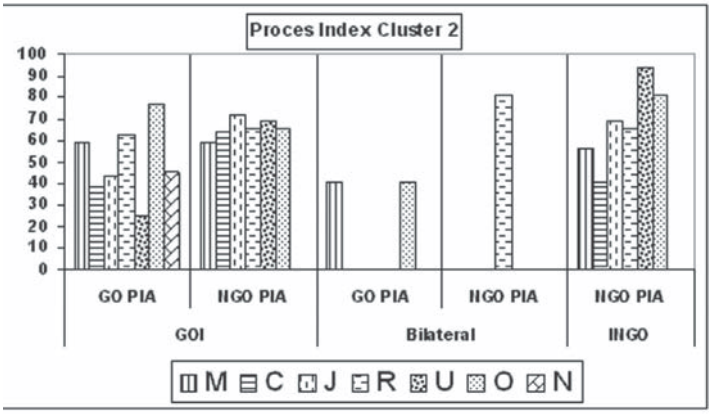
Cluster of Processes 2 - Awareness Generation

Key Questions/ Issues

- ❑ What are the methods of generating awareness?
- ❑ Whether women and poor are specially targeted in awareness campaigns?

Process Index – Cluster 2

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	59	59	41	0	56	57
C	39	64	0	0	41	45
J	44	72	0	0	69	63
R	63	66	0	81	66	66
U	25	69	0	0	94	53
O	77	66	41	0	81	71
N	46	0	0	0	0	46
Ave	**50**	**66**	**41**	**81**	**68**	**57**



- ☆ The values of Process Index ranged from 25 to 94. The average value of Process Index is 58.
- ☆ There is no uniform trend or pattern in the values of Process Index in this cluster. This indicates that all categories of projects/ facilitating agencies/ states performed differently responding to the local situation. However, the value of

Process Index in case of NGO PIAs under GoI funded projects is consistently above average (58) in all states.

- ☆ The projects funded by GoI and facilitated by GO PIAs in UP have lowest value of Process Index (25). The projects funded by INGO and facilitated by NGOs in the same state have highest value of Process Index (95). Thus UP state had two extremes in the entire spectrum of watersheds, in this cluster.
- ☆ One project facilitated by GO PIA under GoI funded projects in Chattisghad has lowest value (0 –C1). The PIA did not make any kind of efforts to generate awareness in the village and directly implemented the project.
- ☆ One project funded by GoI and facilitated by GO PIA in Orissa has the highest score (100 – O2). Even in this case, the PIA by itself did not make any efforts to share the details of the watershed project. But the villagers themselves demanded the PIA to organize communication campaigns (grama sabha/ others) to share the details of the project. PIA had to yield to this request and organized awareness campaigns in the village.
- ☆ The most commonly occurring value of Process Index is 56. About 8 watershed projects have this value.

Understanding the Value of Process Index – Awareness Generation

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 24 out of 55.

In limited number of projects, the facilitating agency did not make any efforts to organize communication campaigns and to reach out to women. In remaining watersheds the methodologies used for sharing the details of watershed project are "one-way" communication processes and largely one time events. These events have limited effect on the communities. Events like sports competition, campaign/ chetna rally (in which government officers also participated) were organized. Though not directly connected to watershed projects, they generated some interest among the communities and helped to build the relationship between villagers and facilitating agency. Another important method used is grama sabha to share the details of the watershed development program. Women were completely ignored during this process.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 29 out of 55.

In this category of watersheds, the PIA followed several methodologies that facilitated "two-way" communication between the villagers and facilitating agency. Exposure visits and trainings were also part of this process. Reading material/ leaflets were distributed to the villagers giving clear details of the watershed projects. Copies of Guidelines (prepared in local language) were shared with the communities. This helped to retain the "message" of watershed projects for a longer period. Similarly, the training programs/ exposure visits helped to "convince" the communities on the need for establishing community based institutions (such as SHG and UG). Awareness campaigns were organized through local folk media (folk songs/ Kala Jatha), which were well received. The medium of communication was in local dialect/ language. However, even in this category, facilitating agency did not make "any" special efforts to reach out to women and share the project details with them. Women were considered as one among the entire village and their participation in these communication campaigns is not a facilitated process.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 18 out of 55.

The communication campaigns in this category of projects were sustained efforts and gave scope to "two way" communications processes at community, group and personal level. Facilitating agency met the community members at neighborhood/ group/ personal level on a number of occasions. Family level/ field level meetings were also organized to share the message of the project with them and also to understand their situation. Use of audio visual aids was an important methodology that had a good impact on the communities. One key difference between this category of projects and the previous categories is the "regularity' of meetings and other communication events at the village/ group/ individual level. A systematic approach to organize meetings was adopted by some facilitating agencies. These systems are setting the agenda, circulating the agenda and taking signatures of the community members, public display of details of the meeting, etc. WDTs also made night halts in the villages to develop rapport with the villagers. Such systems not only helped to increase the transparency but also participation of villagers in these meetings. Another important feature that made a difference is to organize special meetings with women and share the details of project with them.

Process Index –Cluster 3

Resolution from the village

Resolution from grama sabha is a mandatory requirement, which binds the village with the project. This is also an occasion to discuss the non-negotiables of the project and confirm the commitment of the communities. Values of Process Index indicate a wide range of processes with "no resolution" to "a detailed consensus" based resolution" from the village, which took considerable efforts (meetings and time) by the facilitating agency. A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The values of Process Index ranged from 0 to 84. The average value of Process Index is 47.
- ☆ The value of Process Index in all categories of projects in Chattisghad is very low (10 to 21).
- ☆ The range is highest (19 to 79) in UP. The value of Process Index in GO PIA funded by GoI in UP has lowest value (19) and NGO PIA funded by GoI has highest value (79).
- ☆ Majority of watersheds funded by INGOs got higher values. Except in two cases, the value of Process Index

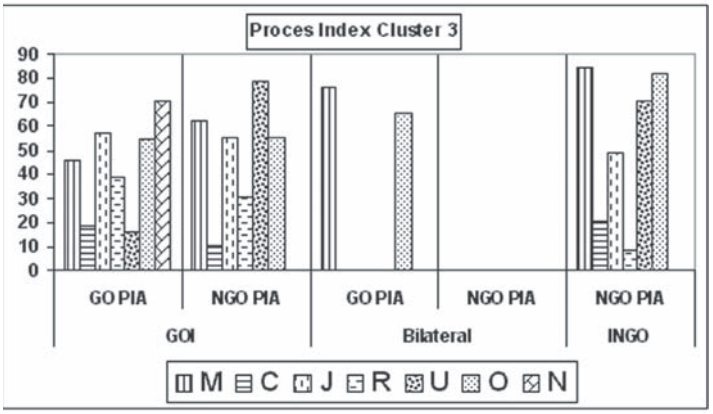
Cluster of Process 3 - Resolution from the village

Key Questions/ Issues

- ❑ How the resolution from grama sabha obtained before the commencement of the program?
- ❑ Time Taken for resolution
- ❑ How many meeting it took to obtain the resolution from the Gram Sabha for the commencement of the programme
- ❑ Contents of Resolution

Process Index – Cluster 3

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	45	62	76	0	84	63
C	19	10	0	0	21	17
J	57	55	0	0	49	55
R	39	30	0	0	8	28
U	16	79	0	0	71	45
O	55	55	66	0	82	60
N	70	0	0	0	0	70
Ave	**43**	**49**	**71**	**0**	**53**	**48**



in case of INGO funded projects is above average value.

- ☆ The value of Process Index in 10 projects is 0. This is the most commonly occurring value. 80% of these watersheds were funded by GoI and facilitated by GO PIAs. It indicates that the GO PIAs ignored the formal processes in which consent of Grama Panchayati/ grama sabha is an important requirement.

Understanding the Value of Process Index – Resolution from the village

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 16 out of 55.

In this category of projects, the formal processes of getting consent of village were completely ignored. The project works were initiated without actually taking the Grama Panchayati/ grama sabha into confidence.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 24 out of 55.

In this category of projects, informal resolutions and processes were followed to get the consent from the villagers. The general meetings at village level during the initial phases of communication campaigns were used as platforms to get the "consent" of the watershed communities. This process was quickly completed in about one to two months time period and sometimes within the first meeting itself. In very limited number of watersheds, a formal consent was also taken. But the contents of such resolution were also very indicative and do not "bind" anyone (either villagers or facilitating agencies). In all practical purposes, this resolution was equal to "not taking" any resolution.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 15 out of 55.

The consent from the Grama Panchayati/ grama sabha was a formal written consent. The facilitating agency spent considerable time with the communities (small group/ village meetings) explaining the details and non-negotiables of the projects. Issues like contribution and need for maintenance of assets were discussed during this phase. The time taken for this process ranged from three to five months. By the end of this process, the informed communities gave their formal written consent.

Process Index - Cluster 4

Entry Point Activity – 1

Entry Point Activity related processes are divided into two parts. First part largely relates to decision making processes and execution of EPA. There are examples where EPA was not implemented at all, and are participatory processes was followed for implementing the watershed projects. A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 13 to 90. The average value of Process Index for this cluster of events is 47.
- ☆ In 16 watersheds, EPA was not implemented at all, including two bilateral projects implemented by NGO PIAs.

☆ INGO supported and NGO facilitated projects in Orissa scored highest value of Process Index.

Cluster of Processes 4 - EPA 1

Key Questions/ Issues

- ❑ Who decided about EPA?
- ❑ Who implemented the EPA?
- ❑ What is the condition of work under EPA?

Understanding the Value of Process Index –Entry Point Activity 1

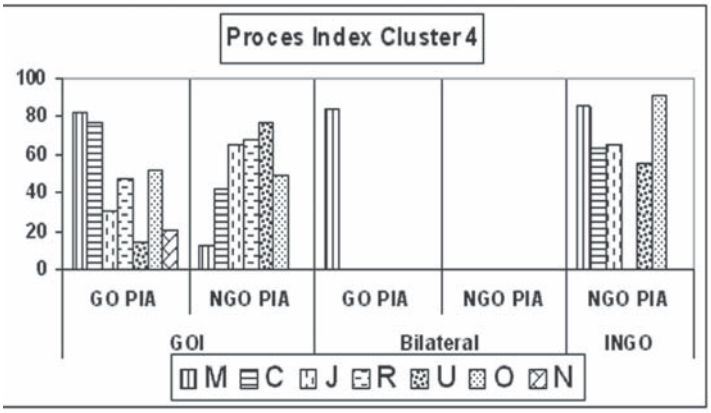
Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 18 out of 55.

In majority of these watersheds, the Entry Point Activity was not implemented at all. If it was implemented, the role of community was almost negligible. PIA decided every aspect of EPA and executed the work/ activity, without any role of the community. The status of assets is in poor condition.

Process Index – Cluster 4

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	82	13	84	0	86	48
C	77	42	0	0	63	67
J	30	65	0	0	65	55
R	47	67	0	0	0	40
U	15	77	0	0	55	40
O	51	49	0	0	90	49
N	20	0	0	0	0	20
Ave	**46**	**52**	**42**	**0**	**60**	**46**



Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 17 out of 55.

Facilitating agency collaborated with the local institutions (watershed committee; Grama Panchayati and village leaders) in all the processes related to entry point activity. The decisions were taken by facilitating agency and village leadership. The facilitating agency took the main responsibility of executing the entry point activity, while the local institutions provided necessary support. The condition of the assets created under EPA is in good condition. In limited number of cases, minor repairs were required.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 20 out of 55.

Elaborate process was adopted by facilitating agency to identify the need through consultations with several groups/ hamlets. Final decision was made in an open forum like grama sabha. Activities that benefit majority of the village were given preference. The execution of these activities was largely taken up by the local institutions (Grama Panchayati/ existing village development committee), while the facilitating agency provided necessary support/ guidance. The condition of the assets created is in good condition.

Process Index - Cluster 5

Entry Point Activity – 2

The second part of Entry Point Activity related processes mainly discuss the contribution related EPA. This cluster of processes is not relevant to watersheds where EPA was not implemented.

A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 13 to 83. The average value of Process Index for this cluster of events is 39.
- ☆ In 16 watersheds, EPA was not implemented at all, including two bilateral projects implemented by NGO PIAs.
- ☆ INGO supported and NGO facilitated projects in Orissa scored highest value of Process Index (83).

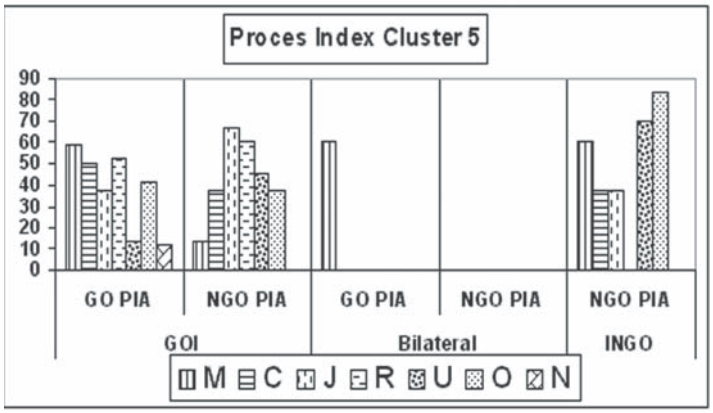
Cluster of Processes 5 - EPA 2

Key Questions/ Issues

- ❑ Whether community contributed to EPA?
- ❑ Quantification of Contribution in EPA
- ❑ Types of Contribution in EPA
- ❑ Is anyone excluded from use of EPA?

Process Index – Cluster 5

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	59	14	60	0	60	37
C	51	38	0	0	38	46
J	38	67	0	0	38	54
R	53	60	0	0	0	41
U	14	45	0	0	70	36
O	41	38	0	0	83	41
N	13	0	0	0	0	13
Ave	**38**	**43**	**30**	**0**	**48**	**38**



Understanding the Value of Process Index –Entry Point Activity 2

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 18 out of 55.

In majority of these watersheds, the Entry Point Activity was not implemented at all. If they were implemented, the role of community was almost negligible. PIA decided every aspect of EPA and executed the work/ activity, without any role of community. No one from community contributed towards the contribution.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 26 out of 55.

The communities did not contribute to EPA in a large number of cases, when they did it was largely in the form of labor and material. Though systematic records were not available, the contribution of communities is estimated to be less than 20%. The assets created are used by all sections of the village.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 11 out of 55.

Contribution from communities came in different ways. Time spared by the village leaders for executing/supervising the work and cash contribution by relatively rich families were some of the processes adopted. The assets created through EPA are accessed and used by all categories of communities.

Process Index – Cluster 6

Base Line Survey

Data collection about the village during the initial stages of the project followed several processes. In limited number of watersheds, there was no effort to collect the basic details of the village. Other watersheds followed a range of processes from very participatory to non-participatory. In several watersheds, multiple methods were used to collect the basic details of the watersheds.

A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 20 to 100. The average value of Process Index for this cluster of events is 63.
- ☆ In 24 watersheds, the value of Process Index is 100. This is the most commonly occurring value of Process Index, in this cluster.
- ☆ The average value of Process Index in Orissa based projects is fairly and uniformly high (90).
- ☆ GO PIAs funded by GoI in Orissa scored highest value (90). Close to this value, is the score by NGO PIAs under GoI funded projects in Jharkhand (88).
- ☆ The value of Process Index of all categories of projects in Rajasthan is less than the average value of the cluster of process. This indicates that the projects in Rajasthan need to improve the role of communities in data collection processes.
- ☆ The value of Process Index in case of UP based GO PIAs under GoI funded projects and Rajasthan based NGO PIAs funded by bilateral projects and INGOs is equal (20). This is the lowest value of the Process Index for this cluster.
- ☆ The value of Process Index of all GO PIAs under GoI funded projects is less than the average value of Process Index of the cluster (63), except in case of Orissa.

Cluster of Processes 6 - Base Line Survey

Key Questions/ Issues

❑ How the initial data was collected?

Process Index – Cluster 6

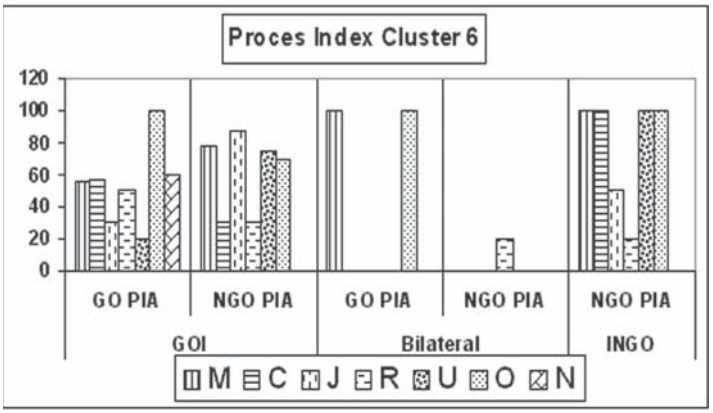
State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	55	78	100	0	100	78
C	56	30	0	0	100	55
J	30	88	0	0	50	66
R	50	30	0	20	20	38
U	20	75	0	0	100	54
O	100	70	100	0	100	96
N	60	0	0	0	0	60
Ave	**53**	**62**	**100**	**20**	**78**	**64**

Understanding the Value of Process Index –Base Line Survey

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 18 out of 55.

In this category of processes, either base line survey was not conducted or largely non-participatory processes were followed. Interviews with village leaders; secondary sources of data were the two most common processes followed for conducting base line surveys.



Dependency on local government employees (patvari/ talati) was very high in this category.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 11 out of 55.

In this category processes, the blend of participatory and not-so-participatory methods was seen for conducting base line survey. Topographical surveys, support for resource organizations and questionnaire based surveys were the common methodologies for conducting base line surveys. Several of these methodologies have considerable focus on the experts/ resource organizations. Several of these processes were accompanied by the processes/ methodologies followed in third category (Green).

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 26 out of 55.

The role of watershed communities is very significant in this category of processes. The village meetings; participatory rural appraisals transect walks were the most common methodologies used for generating the basic information of the village. Social maps, resource maps, well being ranking were used for conducting base line surveys. The data generated in this manner was cross checked during the village meetings/ focused group discussions. In limited number of watersheds, the facilitating agency organized special camps for collecting basic details of the watershed villages. Organized engineering and topographical surveys were organised in which the local trained volunteers participated.

Cluster of Processes 7 - Existing Groups

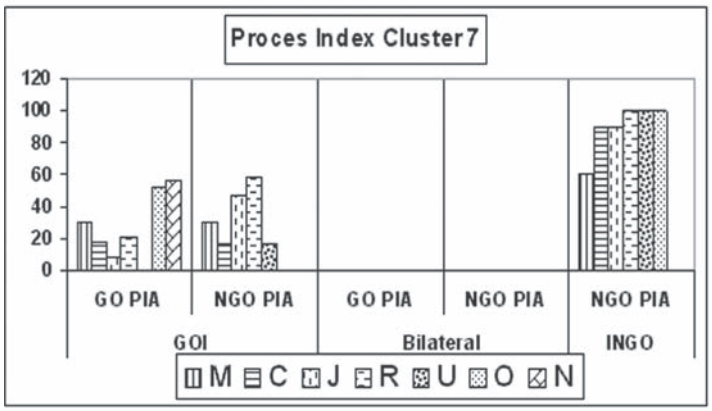
Key Questions/ Issues

- Whether Existing groups participated in watershed program? Or Are the members of these groups (women/ others) involved in watershed program? In what way?
- In what way the members of the existing Group were involved in the watershed programme?

Process Index - Cluster 7

Process Index – Cluster 7

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	30	30	0	0	60	30
C	18	17	0	0	90	27
J	8	48	0	0	90	42
R	21	58	0	0	100	38
U	0	17	0	0	100	29
O	52	0	0	0	100	45
N	56	0	0	0	0	56
Ave	**26**	**28**	**0**	**0**	**90**	**38**



Existing Groups

The facilitating agency is expected to develop an inventory of the existing groups in the village and explore the possibilities of their partnership with the watershed development project. Several existing groups might benefit from watershed project or significantly contribute to the processes of watershed development projects. In fact, the guidelines (1994) give preference to those villages in which the communities are already organized into homogeneous groups. In the sample watersheds, one could see that the processes related to this cluster of process have a wide variety. In some watersheds, there were no groups (before the watershed project was initiated); in some other watersheds the existing groups were ignored by the facilitating agency, while in some other watersheds the existing groups played a

critical role in several key events of the project. A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 0 to 100. The average value of Process Index for this cluster of events is 37.
- ☆ Several villages in the sample watersheds reported that they did not have any groups when the project was initiated (28 watersheds out of 55) and the value of Process Index is 0 in these villages. This value of Process Index is the most commonly occurring value among the sample watersheds.
- ☆ The value of Process Index of all bilateral projects in all states is 0. Similarly, GO PIAs funded by GoI in UP and NGO PIAs funded by GoI in Orissa do not have watersheds with existing groups. As a result, the value of Process Index is also 0, in these villages/ watersheds.
- ☆ The value of Process Index in case of INGO funded projects is very high, compared to other category of watersheds. This indicates that the INGO funded projects operate in those villages, where social capital already exists, as a result of the previous work of the facilitating NGOs in those villages.
- ☆ The value of Process Index of Nagaland based projects also has highest value of Process Index among the GoI funded projects. This indicates that the local traditional institutions played a key role in the watershed project also.

Understanding the Value of Process Index –Existing Groups

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 29 out of 55.

In this category, the selected villages did not have any groups. Even if they were existing, the facilitating agency failed to identify them in the early stages of the project or never identified them. Even if they were identified by the facilitating agency, they did not play any key role in the watershed development project. Facilitating agencies were unable to creatively define the role of existing groups in the context of watershed development project.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 8 out of 55.

In this category of processes, the watersheds had some groups before the watershed project was launched in that village. The facilitating agency identified them. The members of these groups played a role in the watershed development project. However, these members did not necessarily represent the view point of their parent group. The role of such members from the existing groups was largely limited to "roles of a beneficiary" rather than that of "decision-making" roles.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 18 out of 55.

In this category of processes, the existing groups and its members played clear and positive roles in the watershed development projects. They absorbed critical responsibilities of the project such as execution of entry point activities, etc. Several members of the existing groups became the natural choice for forming the watershed committees. They also facilitated the planning and execution processes.

Process Index - Cluster 8

New Groups (User Groups)

User groups are supposed to be the building blocks of the watershed institutional arrangement. Range of processes related to formation of user group is very interesting. In some watersheds, the concept of user groups was completely ignored by the facilitating agency, while in some other watershed projects, the self-initiated process of forming user groups was seen. The farmers/ beneficiaries themselves formed the user groups and approached the watershed committees for necessary support. A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 5 to 88. The average value of Process Index for this cluster of events is 41.
- ☆ The highest value of Process Index of MP based GoI a funded project was contested during the state level sharing workshop. (In this workshop, the state report and data were thoroughly discussed and feed back was given to the nodal agency). Like any other state, even in MP, the art and science of forming user groups could not be well-established. So the value of Process Index of MP based projects could be misleading.
- ☆ The values of Process Index in Orissa based projects are fairly high, except in case of INGO funded projects.
- ☆ The values of Process Index of Chattisghad based projects are fairly low (single digit values in all categories of projects). This indicates fairly low levels of capacities of the facilitating agencies in establishing the institutions of users at watershed level.
- ☆ The higher values of Process Index in case of bilateral projects indicate that these projects stabilized the art of forming the user groups.

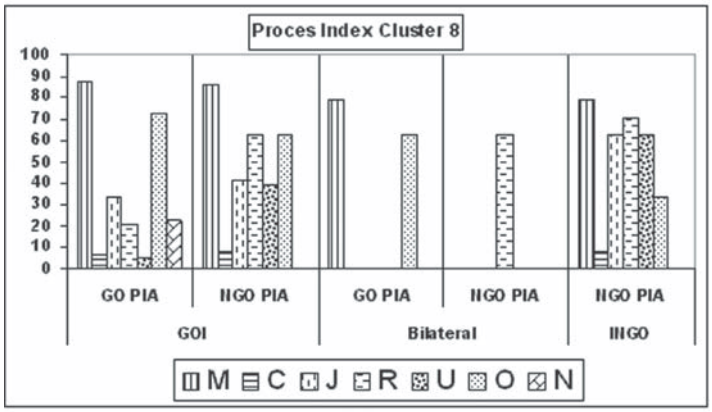
Cluster of Processes 8 - New Groups (User Groups)

Key Questions/ Issues

- ❑ Who formed new user groups?
- ❑ What are the efforts made by PIA to form User Groups?
- ❑ What is the basis for forming User Groups/ Membership Criteria?

Process Index – Cluster 8

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	88	85	79	0	79	84
C	7	8	0	0	8	7
J	33	42	0	0	63	42
R	21	63	0	63	71	43
U	5	40	0	0	63	28
O	73	63	63	0	33	65
N	23	0	0	0	0	23
Ave	**36**	**50**	**71**	**63**	**53**	**42**



Understanding the Value of Process Index –User Groups

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 23 out of 55 (42% of total sample).

In this category of processes, the facilitating agencies did not form any user groups or formed user groups only on paper, to comply the requirements of the project. A list of user groups was prepared, which was mandatory of the project authorities. Some times, the names of family members/ relatives were

put together to form the user groups. There was no process of linking the group with watershed assets. Obviously, these institutions did not take any role in the planning/ execution of works of the project, in later parts of the project.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 18 out of 55 (33% of total sample).

The user groups evolved over a period of time. The facilitating agency "reacted" to the emerging situations and formed the user groups, rather than "proactively" establishing these institutions. The WDT played a critical role in bringing the members together to form the user groups, as the need emerged, during the course of time. The groups were formed mainly to support the process of execution of works. The timing of group formation preceded the execution of works. The watershed committee was constituted first (even before the user groups were formed). This committee also helped to form the user groups. Grama Sabha acted as a platform for such processes.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 14 out of 55 (25% of total sample).

In this category of processes, facilitating agency made serious and systematic efforts to organize the user groups. Orientation programs were organized to potential members of user groups. Common interventions/ activities/ problems/ crops were identified and groups were formed around these commonalities. After some time, the villagers themselves got organized themselves into a common interest group (in the context of watershed project/ assets) and approached the facilitating agency.

Process Index - Cluster 9

New Groups (Self Help Groups)

The formation of SHG in watershed development program is considered to be an important process for addressing the issues of gender and equity. Resource poor families/ persons are organized into common interest groups and are encouraged to cultivate thrift and credit habits. Such groups are encouraged to access the benefits of watershed development program in several ways. The revolving fund available from the project funds is expected to develop their stakes over the natural resources of the village. In the sample watersheds, the efforts and experiences of facilitating agencies varied. The Process Index indicates that the integration of SHG in watershed development projects is fairly week. A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 0 to 100. The average value of Process Index for this cluster of events is 42.
- ☆ Watershed projects in Chattisghad had fairly low values of Process Index indicating weak role of SHG in watershed projects. The process study teams could not generate adequate data on the functioning of the SHGs from the sample watersheds.
- ☆ Value of Process Index is fairly low in case of GoI funded projects in Rajasthan. Both GO PIA and NGO PIAs had a very low value of Process Index.
- ☆ The projects under GoI funding in MP had highest values of Process Index. However, as in case of user groups, the values of Process Index of this cluster in case of MP could be misleading (as per the feedback on the report at state level sharing workshop) as there are several gaps in the formation and functioning of the SHGs in the state.

- ☆ The most common occurring value of Process Index is 0. Sixteen watersheds made no efforts to establish SHG in watershed development project. 75% of such watersheds were facilitated by GO PIAs.
- ☆ The value of Process Index in case of INGO funded projects is above average. The data related to INGO funded projects in Chattisghad was not available.
- ☆ In UP, one could see the two extremes of Process Index values – 0 in case of GO PIAs funded by GoI and 100 in case of NGO PIAs funded by INGOs.

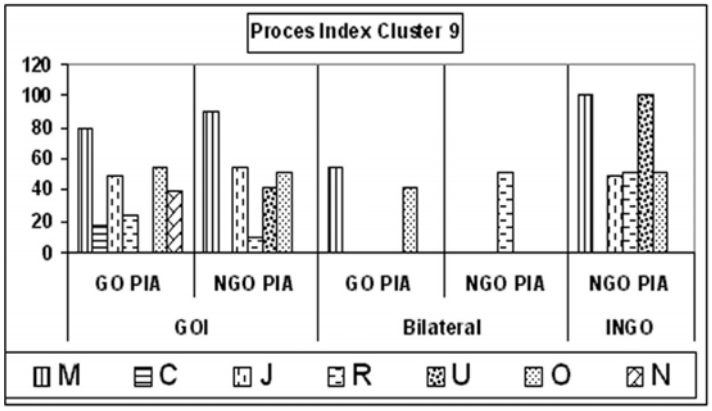
Cluster of Processes 9 - New Groups (SHGs)

Key Questions/ Issues

- ❑ What are the efforts made by PIA to form SHG?
- ❑ What are the criteria for selecting members of SHG?

Process Index – Cluster 9

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	80	90	55	0	100	84
C	18	0	0	0	0	11
J	49	55	0	0	48	52
R	24	10	0	51	51	27
U	0	41	0	0	100	35
O	53	51	42	0	51	51
N	40	0	0	0	0	40
Ave	**38**	**41**	**48**	**51**	**58**	**43**



Understanding the Value of Process Index –Self Help Groups

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 21 out of 55 (38% of total sample).

The facilitating agency did not make any efforts to form SHG. The data related to the SHGs was not available in the village, as the communities could not respond to the issues related to functioning of SHGs.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 23 out of 55 (42% of total sample).

The facilitating agency did not take any proactive role to form SHGs. They evolved during the course of project. The most common process in this category was to form SHG of interested persons in thrift and credit. Families belonging to BPL (below poverty line) category were organized into SHGs. The permission of village council/ committee was another requirement to form SHGs.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 11 out of 55 (20% of total sample).

In this category of processes, the facilitating agency made special and consistent efforts to form SHGs. The facilitating agency organized exposure visits/ meetings to orient the villagers to organize themselves into SHGs based on a common interest/ problem/ affinity. The proactive efforts of facilitating agency continued till the end of the project. Several criteria are evolved to identify members of a group. There were examples where user groups also started thrift and credit activities. Similarly, all the members of SHGs were made members of watershed association through payment of nominal membership fees.

Process Index – Cluster 10

Formation of Watershed Committee

Watershed Committee is an executive body of the watershed association. Representatives of user groups, SHGs, Grama Panchayati and WDT constitute this institution. This committee is responsible for day-to-day functions of the watershed project. PIA is expected to organize user groups and SHGs first and then form the watershed committee with the representatives of these groups. Several meetings and discussions would be necessary to ensure that right candidates are nominated from each group to the watershed committee. This might require considerable facilitation at different levels to ensure that representatives of poor and women are part of this decision making institution. It is expected that the members of this committee represent the concerns of their respective groups and take decisions related to watershed plans and execution of works. The watershed committee will receive the project grants and deposits them in a separate bank. The committee is also responsible for maintaining records/ books related to the project. A brief summary of the 3 D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 3 to 94. The average value of Process Index for this cluster of events is 66. The average value of Process Index for watershed committee is relatively high when compared with the values for UGs and SHGs. This indicates that the projects neglected the building blocks of watershed institutions (user groups and SHG), but focused on the executive committee. This has its implications on the overall performance of the project at primary institutions level.
- ☆ The bilateral project in MP scored fairly low value of Process Index as the processes followed in this watershed belong to older generation of watersheds as far as watershed committee is concerned.
- ☆ The INGO supported project in UP scored highest value of Process Index. In this watershed, the processes followed were very participatory and women members got the opportunity to lead the watershed development process as committee members.
- ☆ The value of Process Index in case of INGO funded projects is less than the average value in MP, Chattisghad, Jharkhand and Rajasthan.

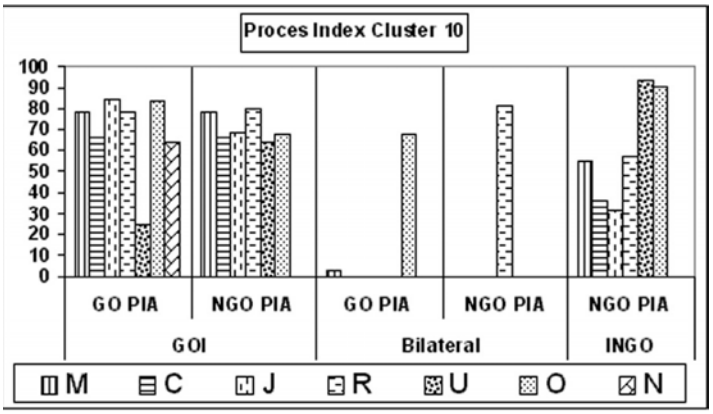
Cluster of Processes 10
Formation of Watershed Committee

Key Questions/ Issues

- ❑ Who selected watershed committee?
- ❑ What is the process of selecting WC Chairman?
- ❑ How many meetings were organized before the formation of WC? (Grama Sabha/ Village Meeting/ Hamlet Meetings)
- ❑ Whether Bank A/C for project funds is opened or not?

Process Index – Cluster 10

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	78	78	3	0	55	66
C	66	66	0	0	36	62
J	84	68	0	0	31	67
R	78	80	0	81	57	76
U	25	64	0	0	94	52
O	83	68	68	0	91	80
N	64	0	0	0	0	64
Ave	**68**	**71**	**35**	**81**	**61**	**67**



- ☆ The most common occurring value of Process Index is 84. Value of Process Index is 84 in 11 watersheds.
- ☆ Value of Process Index in Rajasthan and Orissa is higher than other projects in all categories and in all states.

Understanding the Value of Process Index –Watershed Committee

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 5 out of 55 (9% of total sample).

The watershed committee was formed by the PIA and the role of communities was fairly weak in this process. Some of the members of the committee were not even aware that they are members of the committee. The committee never functioned as a "committee" in the entire project period. The committee chairman was also selected in the same process. The PIA made the local leaders or a person, who follows the instructions of PIA is nominated as the chairman of the committee. The communities were not even aware of any process related to the formation of watershed committee and selection of watershed chairman. The bank account of the project was either not opened or the details are not known to the watershed committee members/ common villagers.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 23 out of 55 (27% of total sample).

In this category, formation of watershed committee was a joint exercise in which the community and the PIA played equal roles. About tow to three meetings were organized specially with an agenda of forming watershed committee. The candidature of the watershed committee chairman was thoroughly discussed in these meetings (including application and formal interviews) and appropriate person was identified as chairman. In case of NGO PIAs, the existing village development committee/ council was recognized as watershed committee and the responsibility of the watershed project was given to such existing committee. The bank account of this committee was used for watershed project also.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 35 out of 55 (64% of total sample).

The evolution of watershed committee was participatory process in this category. Representatives were selected from the hamlets/ user group/ SHGs based on their capacities and interest. Elaborate discussions were organized at individual/ group/ hamlet/ village level on the need, process and criteria related to watershed committees. In limited number of watersheds, preference was given to women and representatives of poor families, as an explicit policy. The facilitating agencies spent about three to five months time in the above process and several meetings were organized for this purpose. The role of facilitating agencies was mainly to explain the purpose and influence the decision making process favorable to women resource poor.

Process Index – Cluster 11

Planning Process 1 - Watershed Delineation

Watershed delineation is an important task of the watershed development team in the initial phase of the project. Using relevant maps (cadastral/ top sheets and other surveys) and transact walk along with the communities, watershed area is to be delineated. Each watershed will be further divided into sub-watersheds to identify the exact boundaries and dependent

communities (user groups). This process is essential for identification of appropriate technical interventions for each sub watershed. The maps of delineated watersheds will be part of the watershed action plan. A copy of the map should be available at the watershed committee level and generally painted on a common wall in the village, giving the details of the watershed area and proposed plan. A brief summary of the 3 D analysis of process of this cluster is presented here:

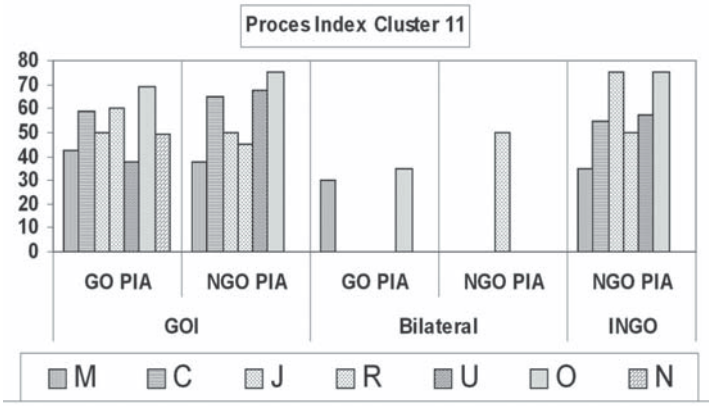
Process Index – Cluster 11 - Watershed Delineation

Key Questions/ Issues

- ❑ How was the watershed delineated?
- ❑ Is there a map of delineated watershed in the village?

Process Index – Cluster 11

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	43	38	30	0	35	38
C	59	65	0	0	55	60
J	50	50	0	0	75	54
R	60	45	0	50	50	54
U	38	68	0	0	58	50
O	69	75	35	0	75	66
N	49	0	0	0	0	49
Ave	**52**	**57**	**33**	**50**	**58**	**53**



- ☆ The value of Process Index ranged from 30 to 75. The overall average value of Process Index for this cluster is 53. The bilateral project implemented by GO PIA in MP got lowest score, while the projects implemented by NGO PIAs in Orissa and Jharkhand got highest value for the Process Index.
- ☆ The higher value of Process Index in case of NGO PIAs (in general, in all states/projects) indicates that NGO PIAs paid good attention to the technical aspects of the watershed projects such as delineation of watershed area.
- ☆ Value of Process Index in 11 watersheds is 75, which is the most commonly occurring value of the Process Index in this cluster.
- ☆ All categories of projects in MP got relatively lower values of Process Index (below average of the cluster). On the other hand, the projects in Orissa scored higher values of the Process Index in all categories of projects (except in case of bilateral projects).
- ☆ The value of Process Index of bilateral projects is also fairly low, indicating the low attention given to the technical delineation of watersheds.

Understanding the Value of Process Index –Watershed Delineation

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 9 out of 55 (16% of total sample).

Watershed delineation was considered as a technical agenda and PIA alone completed this task, without any involvement of the local communities. The PIA used toposheets/ block level maps to delineate the area. Generally, this process is considered as an administrative requirement that should be completed to go to next step. The delineated watersheds maps were not available anywhere (either with PIA or WDT or watershed committee or village walls). Watershed committee and community were not aware of the location of the watershed map. It was not used in any other stage of the watershed project.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 30 out of 55 (55% of total sample).

In this category of process, the technical aspects of watershed delineation were blended with the social processes. The government supplied maps (remote sensing and topo sheets) were used. Services of technical support organization were also used to do a perfect job of watershed delineation. The technical process was cross checked with the communities for making this process transparent, participatory and realistic. The map is either with PIA or with Zilla Parishad or with watershed committee/ painted on wall.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 16 out of 55 (29% of total sample).

In this category of processes, the watershed area was largely defined by the villagers through participatory exercise such as PRA (resource mapping) and transect walk. The boundaries of watershed area were revised several times as per the needs of the villagers. It is not perceived as a rigid limit. In limited number of cases, entire village was adopted as watershed unit and sub watersheds were delineated within the village. The watershed maps were available with PIA, watershed committee/ secretary and painted on the common wall of the village.

Process Index – Cluster 12

Planning Process – 2 Problem Analysis for Planning

Process Index 12 – Problem Analysis for Planning

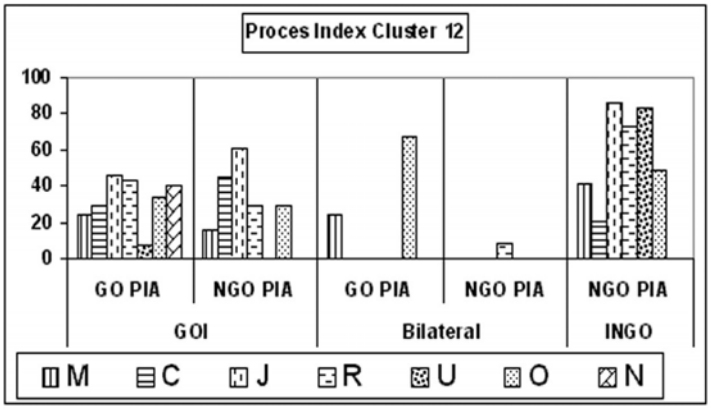
Key Questions/ Issues

- What was the process of problem analysis?
- Whether any special attention was given to problems of women and weaker section?

Planning process begins with a systematic situational analysis and identification of problems and effected communities. WDT is expected to organize series of meetings with several groups of the community and find out the main concerns in terms of the natural resource management and their relationship with the same. Problems related to productivity, degradation of natural resources, access & control issues are to be identified and appropriate solutions/ options need to be explored in a participatory manner. This process of problem analysis provides the basis for institution building and identification of specific interventions. In this process, it is important to give priority to the problems faced by women and poorer sections of the community. The watershed plans need to be proactively and positively biased towards the needs of women and resource poor families. A brief summary of the 3D analysis of process of this cluster is presented here:

Process Index – Cluster 12

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	24	16	24	0	41	22
C	28	45	0	0	21	31
J	46	61	0	0	86	60
R	43	29	0	8	73	39
U	7	0	0	0	83	24
O	34	29	67	0	48	39
N	40	0	0	0	0	40
Ave	**32**	**30**	**45**	**8**	**59**	**37**



- ☆ The value of Process Index of this cluster ranged from 0 to 86. The average value of Process Index is 38. There is a wide range in the values of Process Index in this cluster, indicating the process variations.
- ☆ The most commonly occurring value of Process Index is 29. Seven watersheds got Process Index whose value is 29.
- ☆ The value of Process Index in MP is fairly low, indicating "top-down" process followed in problem analysis and identification. Similarly, the GoI funded projects in UP also got very low values of Process Index. It is clear that the problem analysis is not carried out in these projects.
- ☆ The value of Process Index was in Jharkhand is fairly high in this cluster, indicating high level of participation of communities.

Understanding the Value of Process Index –Problem Analysis for Planning

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 28 out of 55 (51% of total sample).

In this category of processes, problem analysis was not carried out in majority of watersheds. If this task was done, PIA itself identified the problems and "informed' to the communities. There was no attention given to women and resource poor families.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 15 out of 55 (27% of total sample).

In this category of processes, the problem analysis was carried out by the village leadership, government functionaries and the PIA/WDT. The village meetings formed the basis for identification of problems and analysis. A cursory attention was paid to the problems of women and weaker section of the community in this context.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 12 out of 55 (22% of total sample).

In this category of processes, the problem analysis was an elaborate exercise and very participatory. Several methods and tools were used to identify and analyze the problems of the communities. PRA, transect walk, house hold visits, focused group discussions were some of these methods used. Hamlet wise/ group wise meetings were organized to elicit the information on problems of the communities. WDTs stayed in the village for days together in the village to interact and develop rapport with the villagers. Village volunteers, members of watershed committee also played an active role along with WDT in this process. Separate and theme specific meetings were organized with women and weaker section communities to identify their problems.

Process Index – Cluster 13

Planning Process – 3 Site Selection

The planning process involves identification of appropriate sites for the proposed interventions. WDT, village level functionaries and members of user groups together identify the sites for watershed interventions and finalize the list of interventions. In this process, decision making opportunities are expected to be within the user groups and village level institutions. Watershed committee plays the role of mediator between conflicting interests and arrives at mutually

acceptable options. It is believed that the technical options are thrust by the WDT/ technical personnel of line departments in the name of participation. WDT is expected to educate the local communities in making appropriate decisions that are technically and socially sound. A brief summary of the 3D analysis of process of this cluster is presented here:

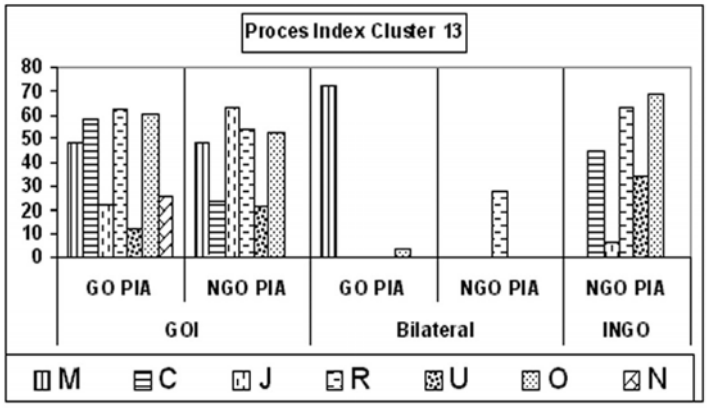
- ☆ The value of Process Index ranged from 4 to 73. The overall average of the process index for this cluster is 41.
- ☆ The values of Process Index in all projects in UP were less than average. Watershed projects in Rajasthan scored higher values in general.

Process Index 13 - Planning Process – 2 - Site Selection
Key Questions/ Issues

- ❑ Who selected the sites?
- ❑ Who decides the type of intervention (All type of interventions)

Process Index – Cluster 13

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	48	48	73	0	0	45
C	58	24	0	0	45	48
J	22	63	0	0	7	43
R	63	54	0	28	63	56
U	12	21	0	0	34	20
O	61	52	4	0	69	53
N	26	0	0	0	0	26
Ave	**41**	**44**	**38**	**28**	**36**	**42**



Understanding the Value of Process Index –Problem Analysis for Planning

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 20 out of 55 (36% of total sample).

The process has mainly two aspects – identification of sites and interventions. In this cluster of process, the sites and interventions were largely decided by the WDT/ PIA. The role of community was almost negligible. They were told what was good for them and where the activity should be implemented. The predetermined activities found their way into action plans, in this process.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 25 out of 55 (45% of total sample).

In this category of processes, the sites were decided in a consultative process. WDT/PIA and village leaders played major role. The role of WDT/ PIA was largely decisive in the site selection/ interventions. Role of technical member of WDT was very critical in this cluster of processes. Functionaries of watershed institutions joined this process and contributed in the decision making process.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 10 out of 55 (18% of total sample).

In this process, the user groups and other institutions played critical role in identification of sites and interventions. They took the initiatives to locate appropriate sites and organized meetings for facilitating decision making on these issues. They consulted WDT for advice and benefited from the same. The village leadership provided necessary support to the user groups and others in this process. The watershed committee/ village council decided on interventions and sites which were of common interest to the entire village.

Process Index – Cluster 14

Planning Process – 4 Local Volunteers and ITK

The sustainability of watershed interventions will be higher when the local technical knowledge is effectively used in watershed planning and execution. The role of volunteers is envisaged for incorporating the local knowledge and providing professional support in action planning process. This volunteer would be identified by the community and appropriately trained by WDT/ PIA in watershed related tasks. WDT develops appropriate tools for understanding, analyzing and validating the local technical practices of soil moisture conservation, agriculture, water resource management, etc. The planning process should aim at identifying such local practices and incorporate them in the action plans. The user groups themselves could implement and maintain such technical options, which are already in their domain of knowledge. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 0 to 82. The overall average of the process index for this cluster is 25. This indicates that the space for local technical processes in watershed action plans is fairly limited.
- ☆ When compared to GO PIAs, NGO PIA made more efforts to incorporate ITK in action plans.
- ☆ Most commonly occurring value of Process Index is 0. This indicates that several projects have completely ignored the role/ contribution of ITK in action planning.

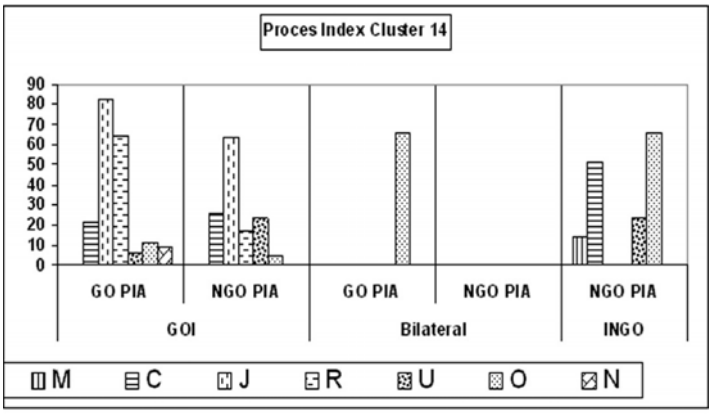
Process Index – Cluster 14 Planning Process – 3 Local Volunteers and ITK

Key Questions/ Issues

- ❑ Whether local volunteers participated during the survey/ survey/ planning?
- ❑ Whether efforts are made to identify ITK as part of planning, by PIA/ WDT?
- ❑ What types of ITK are identified

Process Index – Cluster 14

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	0	0	0	0	14	2
C	21	26	0	0	51	26
J	82	64	0	0	0	60
R	64	17	0	0	0	36
U	6	24	0	0	24	15
O	11	5	65	0	65	24
N	9	0	0	0	0	9
Ave	**28**	**22**	**33**	**0**	**26**	**25**



Understanding the Value of Process Index –Problem Analysis for Planning

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 38 out of 55 (69% of total sample).

In this category of processes, the volunteer was not identified at all or not identified during the planning stage. Communities/ WDT/ PIA could not relate/ realize the role of volunteers in the planning stage. Similarly, there were no efforts by PIA/ WDT to explore the indigenous technical knowledge and practices. As a result the local practices were not part of the action planning process.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 10 out of 55 (18% of total sample).

In this category of process, the role of volunteer (trained local person) was not very strongly established. Some youth or members of the watershed committees voluntarily contributed to the planning process. There was no systematic effort to identify the local youth and train/ equip them to contribute to the planning process. However, several local persons joined the planning process. Similarly, there were some sporadic efforts to identify the ITK by conducting meetings with the local communities. But these processes were not streamlined or systematized.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 7 out of 55 (13% of total sample).

In this category of processes, the volunteer was identified by the local communities. The PIA/ WDT trained this person and equipped them to contribute to the planning process in a systematic manner. There were special efforts to understand, explore and incorporate ITK in the action plans. WDT/ PIA devised special PRA with elder persons of the village and organized special field visits and meetings to further understand the ITK and practices. Some of these practices were also incorporated in the watershed action plan.

Process Index - Cluster 15

Planning Process – 5 Group/ Individual Plans

Action plans in watershed context would have two components. Individual plans and groups level plans. The WDT has to conduct several meetings/ visits to conceptualize the interventions at individual level and group level. The activities could be on private property resources or common property resources. This process also helps to crystallize the membership of institutions such as user groups and SHGs and strengthen the watershed development program in due course of time. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 17 to 89. The overall average of the process index for this cluster is 45.
- ☆ NGO PIAs under INGO funding performed relatively better and scored higher values of Process Index.
- ☆ The values of Process Index in case of GoI supported projects have wide range indicating significant process variations within the states and facilitating agencies.
- ☆ Most commonly occurring value of Process Index is 19. Value of Process Index in 5 projects is 19.

Understanding the Value of Process Index – Group/ Individual Plans

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 24 out of 55 (44% of total sample).

In this category of processes, the action planning process was not well defined. The group or individual level plans were not an output of systematic exploration of options. PIA decided the action plans largely and shared the final plan with the community. DRDA/ District Level Project Authorities/ PIA prescribed the interventions as part of the action plans. The needs and demands of community did not find any space in this action planning process.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 15 out of 55 (27% of total sample).

In this category of processes, the action plans were generated after several discussions at community/ village level. Participatory tools such as PRA, transect walk were part of this process. The problems faced by the community formed the main basis for identification of interventions. Several types of formats were developed by PIA to consolidate the action plans. However, there was no clear distinction between individual and group/ community level plans.

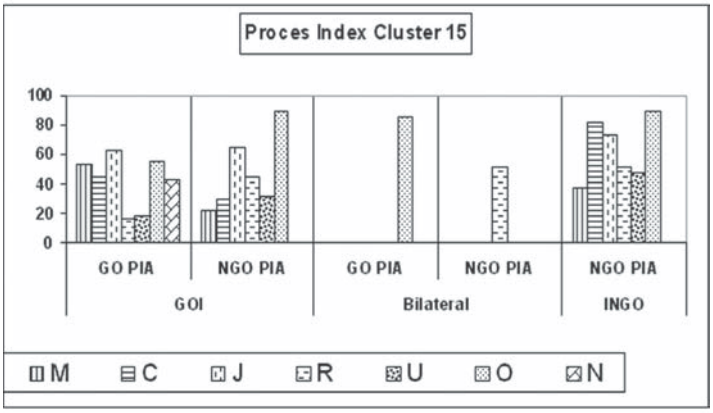
Process Index – Cluster 15 Planning Process – 4
Group/ Individual Plans

Key Questions/ Issues

❑ What was the process of preparing individual and group action plan

Process Index – Cluster 15

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	54	22	0	0	37	29
C	44	30	0	0	81	45
J	63	65	0	0	74	66
R	17	44	0	52	52	32
U	19	31	0	0	48	29
O	56	89	85	0	89	68
N	43	0	0	0	0	43
Ave	**42**	**47**	**43**	**52**	**64**	**45**



Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 16 out of 55 (29% of total sample).

In this category, the planning process was elaborate, participatory and systematic one. Several meetings/ consultations were organized at individual/ group/ hamlet/ community level to arrive at set of options. Problem analysis and identification of interventions were a result of long and multi level discussions/ consultations. The local institutions such as individuals, user groups/ SHGs, watershed committees, hamlet wise committees and volunteers played a crucial role in organizing the contents of action plans. Individual/ group/ community level activities were identified and presented in the action plan. Action plan was also prepared for five years, one year and even for one month. The available funding at WC level also guided the sequence of activities.

Process Index - Cluster 16

Planning Process - 6

Discussion on Non-Negotiables

Planning process is not just identification of activities and finalizing the budgets. There are certain "non-negotiables" which are essential for achieving the objectives of the project as well as improving the sustainability of interventions. Contribution from user groups is one of such important components in the watershed development project. While the activities and budgets are being discussed, the WDT also has to present to the community/ groups the need for genuine contribution to the assets created during the project period. The user groups are expected to genuinely contribute in the form of cash, labor or kind. This contribution will be deposited in a separate bank account "Watershed Development Fund". This fund will be used for maintenance

of the assets created, after the project period is completed. It is important that the WDT shares all these details with the community/ groups/ individuals in a clear manner and get their consent in a formal manner. Without this commitment, the project could not be initiated in the village. A brief summary of the 3D analysis of process of this cluster is presented here:

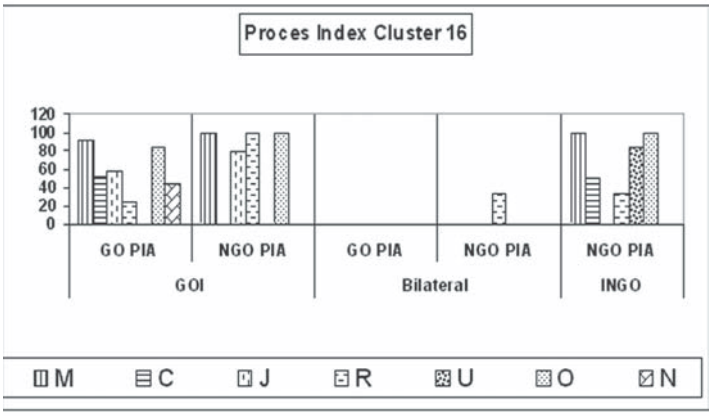
Process Index – Cluster 16 Planning Process -5
Discussion on Non Negotiables

Key Questions/ Issues

- Whether the contribution and its requirements were discussed during the planning process or not?

Process Index – Cluster 16

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	92	100	0	0	100	85
C	53	0	0	0	50	40
J	58	79	0	0	0	62
R	25	100	0	33	33	46
U	0	0	0	0	83	21
O	83	100	0	0	100	77
N	44	0	0	0	0	44
Ave	**51**	**63**	**0**	**33**	**61**	**53**



- ☆ The value of Process Index ranged from 0 to 100. The overall average of the process index for this cluster is 52.
- ☆ The bilateral projects have scored fairly low values for the Process Index.
- ☆ The variation in the value of Process Index in GoI funded projects is very high in case of NGO PIAs (0 to 100). This pattern is observed in case of INGO funded projects, facilitated by NGOs.
- ☆ The PIAs in UP (both GO and NGO) completely neglected the issues related to contribution. They did not discuss this issue at all, during the planning stage.
- ☆ NGO PIAs in MP, Jharkhand, Rajasthan and Orissa scored high values of Process Index indicating that these NGOs could facilitate the discussion on the non-negotiables even in case of GoI funded projects.
- ☆ The most commonly occurring value of Process Index is 100. About 20 watersheds got this value. Of these 20 projects, 8 projects were facilitated by GO PIA and 12 projects were facilitated by NGO PIAs.

Understanding the Value of Process Index – Discussion on Non-Negotiables

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 23 out of 55 (42% of total sample).

In this category of processes, the discussion on contribution did not take place at all. The communities did not know that they have to contribute to the watershed development projects and this contribution will be converted into watershed development fund. However, PIAs indicated this in the action plans.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 8 out of 55 (15% of total sample).

In this category of processes, the need of contribution and purpose of the WDF were discussed. But these discussions were a passing reference in the village meetings and people did not register

this point. In some cases, where the village already has long relationship with the NGO, there was already a history of community participation and contribution from the communities was a norm. So there was no further discussion on this point, as the earlier culture of contribution continued in the watershed project also.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 24 out of 55 (44% of total sample).

In this category of processes, the need for contribution was thoroughly discussed in the village meetings. Villagers raised several questions and issues related to this point and PIA clarified these points. The watershed committee played a crucial role in negotiations and supported the PIA. By the end of the process, there was a consensus on the issue of contribution at the community level.

Process Index – Cluster 17

Planning Process -7 Designs and Estimates

After identification of the activities and locations, detailed estimates are to be prepared as part of action planning. Though WDT/ PIA are expected to provide considerable inputs to this process, it does not mean that entire task is to be handled by only WDT. It is expected that the WDT takes the support of local volunteers, institutions and experienced persons in the process of estimations and designs. Local rates are an option that could be explored when they are not exploitative. Similarly, for activities that do not have SSR, it is important to develop local rates. This process is also considered to be capacity building process of the village level institutions in the technical and financial aspects of the project. It is also important to develop higher level of transparency in the process of estimations and designs. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 10 to 55. The overall average of the process index for this cluster is 35. The values of Process Index in this cluster are fairly low, in all cases. There was no considerable effort to make this process transparent and participatory.

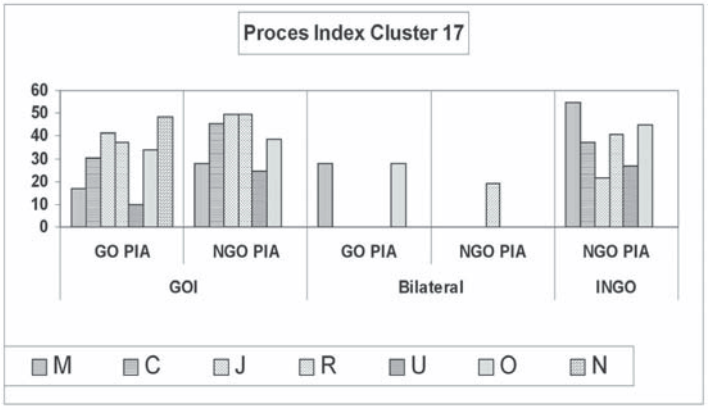
Process Index – Cluster 17 Planning Process – 6
Designs and Estimates

Key Questions/ Issues

- ❑ Who prepared the designs and estimates?
- ❑ How are the designs and estimates prepared?
- ❑ What rates were adopted in the estimation - local, SSR?

Process Index – Cluster 17

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	17	28	28	0	55	29
C	30	45	0	0	37	35
J	41	50	0	0	22	43
R	37	50	0	19	41	38
U	10	24	0	0	27	18
O	34	38	28	0	45	35
N	48	0	0	0	0	48
Ave	**31**	**39**	**28**	**19**	**38**	**35**



- ☆ The most commonly occurring value of Process Index is 28. Eight watersheds got this value of Process Index.
- ☆ The value of Process Index did not cross 50 in any GoI funded projects. Even bilateral projects have fairly low scores.
- ☆ Even in case of INGO funded projects, the designs and estimates process did not get higher values of Process Index.

Understanding the Value of Process Index – Designs and Estimates

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 29 out of 55 (53% of total sample).

In this category of processes, the estimations and designs were completely prepared by the PIA/ WDT without any involvement of the community. The community was completely ignorant about any aspect of the designs and estimates. The PIA took the support of government officers or the donors/ technical support agency. Technical person from the WDT played a critical role in this process. Communities were bitter about the process of preparing designs and estimates and the lack of transparency in the process. The local rates were adopted but they were decided by the PIA.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 21 out of 55 (38% of total sample).

In this category of processes, WDT made considerable efforts to involve the local communities in the process of designs and estimates. These consultations were largely limited to the village leadership. Watershed committee and secretary represented the village in this category of processes. The role and contribution of users was fairly low. The village meeting/ grama sabha was used as a platform to share the finer details of the designs and estimates. A combination of local and SSR were used for this purpose.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 5 out of 55 (9% of total sample).

In this category of processes, the designs and estimates were prepared by both village level functionaries and WDT. The local volunteers/ secretary were trained on the technical aspects of the project including designs and estimates. For a category of works (relatively small works), the designs were completely taken care of either by volunteer or secretary. For big works, WDT took the responsibility of preparing designs. The users groups played a considerable role in contributing the details of rates/ material, etc. In limited number of cases, the user groups completely designed and estimated their works. Local experts were specially invited to support this process. Both local and SSR were used and the rates were jointly decided by the watershed committee and WDT/PIA.

Process Index – Cluster 18

Planning Process – 8 Consolidation of Action Plans and Changes in the Action Plans

Participatory action plans require considerable flexibility and freedom to make changes and amendments. However, these changes/ amendments need to be demanded by the communities and should be based on their experiences. The consolidation of action plans requires putting together action plans of all groups and finalizing them. The changes in the action plan need to

be accommodated to reflect the actual needs. This is a continuous process and has to be repeated every year. In the process of consolidation and amending the action plans, the role of external agents should be minimum. The WDT should facilitate the process of reflection on the past experiences and arrive at newer options as part of the action plan. A brief summary of the 3D analysis of process of this cluster is presented here:

Process Index – Cluster 18 Planning Process – 7 Consolidation of Action Plans and Changes in the Action Plans

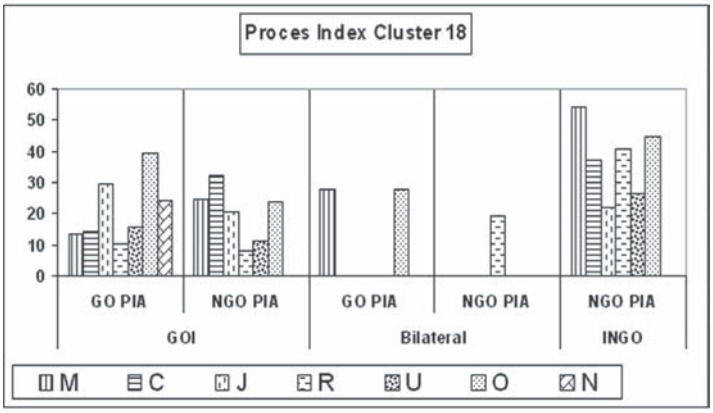
Key Questions / Issues

- ❑ How many times action planning was done? Was there a tentative action plan?
- ❑ How were the action plans consolidated?
- ❑ Reasons for changes in action plans

Process Index – Cluster 18

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	14	25	28	0	55	26
C	14	32	0	0	37	22
J	30	20	0	0	22	23
R	10	8	0	19	41	15
U	16	11	0	0	27	17
O	40	24	28	0	45	37
N	25	0	0	0	0	25
Ave	**21**	**20**	**28**	**19**	**38**	**24**

- ☆ The value of Process Index ranged from 8 to 55. The average of the process index for this cluster is 24. Participation is low in this cluster of processes.
- ☆ The most commonly occurring value of Process Index is 24. About 6 watersheds got this value. Of these 6 projects, 5 projects were facilitated by GO PIA and one project was facilitated by NGO PIA.
- ☆ Of all the states, the Process Index is slightly higher in Orissa based projects.
- ☆ Though changes are taking place in watershed action plans, the role of local institutions in this process is not significant. This dominance of external agents is clearly visible in the values of Process Index.



Understanding the Value of Process Index – Consolidation of Action Plans and Changes in the Action Plans

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 41 out of 55 (75% of total sample).

In this category of process, the action plans were changed. But the reasons for these changes were not based on the demands or needs of the community. The instructions from the administration of the project were followed by the PIAs and action plans were changed. Each year this process was repeated and action plans were consolidated. The role of communities was hardly observed in this process. However, this entire process was informal. There was no documentary evidence to prove that the action plans were changed as per the instructions of the district officers. The community receives the action plan, which was decided by the DRDA each year.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 12 out of 55 (22% of total sample).

In this category of processes, the action plans were prepared at individual/ group/ community level. These were put together in a cohesive manner by WDT/ Secretary and the consent of the

grama sabha was taken. There were several discussions before this process was completed. The contents of the action plans also changed (three to four times in the project period), but the broad framework was followed. The target group and number of activities changed in due course of time. Seasonality of activities was considered as an important reason for making the changes in action plans. The community role was fairly high in this process.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 2 out of 55 (4% of total sample).

Demand driven processes are part of this category. The watershed committee sought the application forms from the users, based on which the action plans were revised and consolidated. Similarly action plans were changed to accommodate left over target groups in the action plans. Strategic plans, yearly plans and quarterly plans were prepared and available budgets were kept in mind while implementing the works. Budgets were also reworked to provide minimum and equal wages in the action plans. The entire process was transparent participatory process. The village leadership carefully reviewed the experiences and responded to the emerging needs of the target groups.

Process Index – Cluster 19

Planning Process – 9 Approval of Action Plans

The consolidated action plans are to be presented to grama sabha/ watershed association for the approval. The contents of the action plan will be thoroughly discussed and activities prioritized. The WDT/ PIA has to facilitate a process through which activities that benefit resource poor families/ women are given special attention. This is also an occasion to re-discuss and rededicate to the "non-negotiables" of the project. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 5 to 100. The overall average of the process index for this cluster is 54.
- ☆ The most commonly occurring value of Process Index is 95. About 7 watersheds got this value. Of these 6 projects, 4 projects were facilitated by GO PIAs and 3 projects were facilitated by NGO PIAs.
- ☆ Of all the states, the value of Process Index was higher in Orissa based projects.

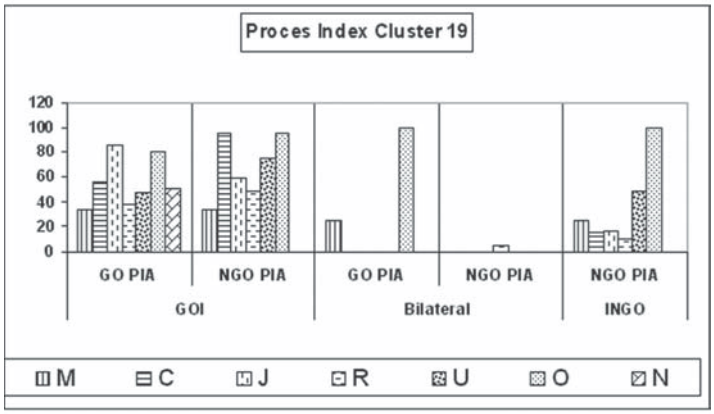
Process Index 19 – Planning Process – 8 Approval of Action Plans

Key Questions / Issues

- ❑ What criteria were used for prioritization?
- ❑ How was the consent of WA/ Grama Sabha taken for action plan?

Process Index – Cluster 19

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	33	33	25	0	25	31
C	56	95	0	0	15	61
J	85	59	0	0	17	60
R	38	48	0	5	10	33
U	47	75	0	0	48	54
O	80	95	100	0	100	87
N	50	0	0	0	0	50
Ave	**56**	**68**	**63**	**5**	**36**	**54**



- ☆ The range of variations within bilateral projects was very high (5 to 100).
- ☆ The low values of Process Index of INGO funded projects indicate a weak process in this cluster. Except in one watershed in Orissa, rest of the projects did not cross the average value of the Process Index.
- ☆ All projects in MP also scored very low values (less than average) of Process Index.

Understanding the Value of Process Index – Approval of Action Plans

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 18 out of 55 (33% of total sample).

In this category processes, the formal consent was not taken from the village/ grama sabha/ watershed association. The PIA conducted a grama sabha and "informed" the communities of the action plan and completed the formality. The community did not get any opportunity to discuss the contents of action plan and debate the priorities. There is no mention of the criteria for prioritization. The PIA's words were final.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 16 out of 55 (29% of total sample).

In this category of processes, the action plan was presented to the community in grama sabha by the WDT. The members of watershed committee actively participated in the discussions and debates. The criteria for prioritization were largely project management related –seasonality, availability of material, funds, labor etc. In these meetings, the presence of weaker section was not strong.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 21 out of 55 (38% of total sample).

In this category of processes, the watershed committee played the lead role and provided critical inputs in the approval of action plans. The committee members shared the details of the watershed plans with the entire village. Before the grama sabha, hamlet/ group wise meetings were organized and hamlet/ group wise plans were approved. Such resolutions were presented at the village level meeting. Several criteria were evolved for prioritization – equity related, gender based, project management related, type/ nature of activities (activities that benefit large number of persons/ poor families) etc. Based on these criteria, the contents of action plan were approved and prioritized.

Process Index – Cluster 20

Implementation – 1 Mobilization of Contribution

The execution/ implementation of watershed action plan begins with the mobilization of genuine contribution from the watershed communities/ user groups. The process of collecting this contribution is either in cash (in advance) or in the labor form from the user group members. The deduction of wages from laborers, who are not users, is not allowed. The watershed committee members/ secretary are expected to take major responsibility in convincing and educating the user group's members to contribute to the watershed assets. A minimum of 5% to 10% of the cost is to be contributed by the user group members. The contribution is deposited in a separate account "watershed development fund". This fund is used for maintenance of

the assets created. The role of PIA/ WDT is not to dominate the process or take direct role. This responsibility is to be taken up by the local institutions. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 19 to 75. The overall average of the process index for this cluster is 39.
- ☆ The most commonly occurring value of Process Index is 34. About 4 watersheds got this value. Of these 4 projects, 2 projects were facilitated by GO PIA and 2 projects were facilitated by NGO PIA.
- ☆ The low values of Process Index indicate that the contribution related processes are fairly weak in all states.

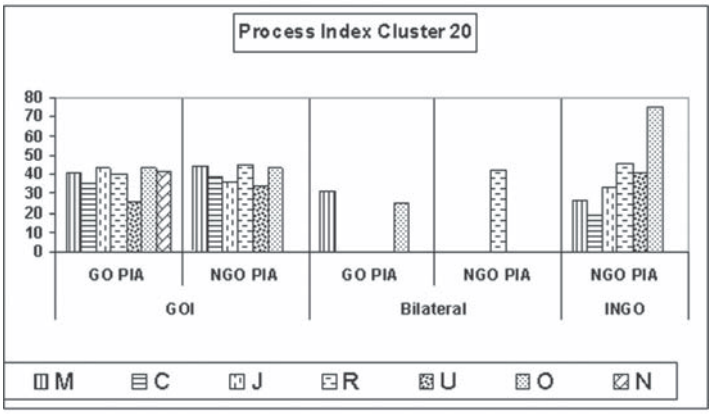
Process Index 20 – Implementation – 1
Mobilization of Contribution

Key Questions / Issues

- ❑ Who actually contributes?
- ❑ In what form, contribution is collected?
- ❑ How was the contribution mobilized?
- ❑ Who collects the contribution?
- ❑ Where is contribution deposited?

Process Index – Cluster 20

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	41	44	31	0	26	39
C	35	39	0	0	19	34
J	43	36	0	0	34	38
R	40	45	0	42	46	42
U	25	34	0	0	40	31
O	43	43	25	0	75	45
N	42	0	0	0	0	42
Ave	**38**	**40**	**28**	**42**	**40**	**39**



Understanding the Value of Process Index – Mobilization of Contribution

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 20 out of 55 (36% of total sample).

In this category, there was no emphasis on genuine contribution from user groups. The contribution was manipulated through administrative methods or mobilized from contractors, who supplied material/ transported material. The most common process of mobilizing contribution was to deduct wages from the laborers, who worked on the common lands. Occasionally, the wages were deducted from hapless laborers, even when they worked on private lands. This entire process was "facilitated" by the PIA/ WDT and watershed committee also followed them. The watershed development fund was created with the deductions of wages from laborers. PIA played a dominant role in collection (deductions) and depositing them in WDF. In limited number of cases, the contribution is also "deposited" in the bank account of the PIA.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 32 out of 55 (58% of total sample).

In this category of processes, the contribution was mobilized from user group members. The deductions from wage seekers continued in this process also. But this process was limited to the works on common lands. For all works in private lands/ assets, the user group members contributed. The contribution was in several forms – cash, kind and labor. The amount collected was deposited in a separate account for creating WDF. But in some cases, the fund was also deposited in the bank account of watershed committee (works related account).

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 3 out of 55 (5% of total sample).

In this category of processes, the village level functionaries such as secretary/ volunteer/ chairman/ member of watershed committee/ user group leaders played a key role. They met the user groups and motivated them to contribute towards the works/ assets that benefit them. They collected the contribution and deposited in the bank. A separate bank account was created for this purpose and a record was maintained by watershed secretary. The villages took a resolution "not" to deduct wages from the wage seekers in the form of contribution, but the wages of the user group (when they work as laborers) could be deducted. For works on common lands/ assets, every family in the village was asked to contribute. The local institution took care of mobilizing the contribution from each family. In limited number of watersheds, the contribution is deposited in two separate bank accounts – Watershed Development Fund and Gram Kosh. The second account was operated by the village development committee for all the purposes, as decided by the committee.

Process Index – Cluster 21

Implementation -2 Knowledge of Communities on WDF

Process Index 21 – Implementation – 2
Knowledge of Communities on WDF

Key Questions / Issues

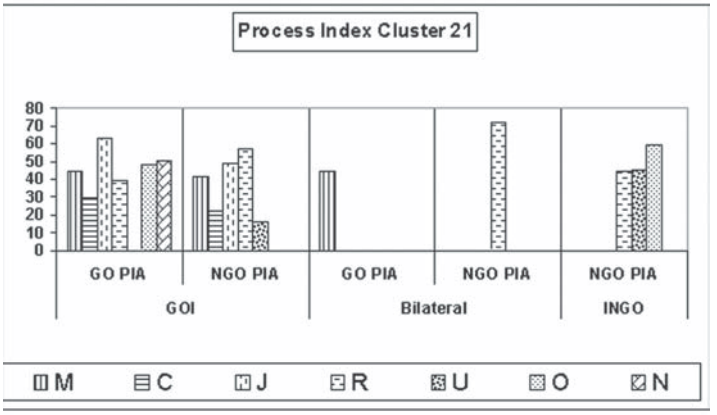
- ❑ Are receipts given for contribution?
- ❑ Is community aware of WDF?

Process Index – Cluster 21

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	45	41	45	0	0	37
C	30	22	0	0	0	24
J	63	49	0	0	0	46
R	40	57	0	72	45	49
U	0	16	0	0	45	15
O	48	0	0	0	59	37
N	51	0	0	0	0	51
Ave	**39**	**31**	**22**	**72**	**25**	**37**

The creation of WDF has a clear purpose. This fund is supposed to address the maintenance of the watershed assets, which are generally neglected. It is important that the communities are aware of the details of these funds – quantum of fund, purpose and procedural aspects of using this fund. A positive sign on these aspects indicates high level of transparency in the project operations. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 0 to 72. The overall average of the process index for this cluster is 36. Participation is low in this cluster of processes.
- ☆ The most commonly occurring value of Process Index is 0. About 14 watersheds got this value. Of these 14 projects, 9 projects were facilitated by GO PIA and 5 projects were facilitated by NGO PIA.
- ☆ Among all GO PIA under GoI funded projects, Jharkhand based PIAs scored highest values of Process



Index (63). This score is the highest among both NGO and GO PIAs under GoI and INGO funded projects.

- ☆ Several INGO funded projects do not have any norm to establish a fund for maintenance of watershed assets. As a result, these INGO funded projects scored low values of Process Index (0).

Understanding the Value of Process Index – Knowledge of Communities on WDF

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 23 out of 55 (42% of total sample).

In this category of processes, the contribution related information was not known to majority of the community. Receipts were not issued by the watershed secretary or PIA. Since the contribution was deducted from wages, the need for issuing receipts was not felt by anyone. Those laborers, who parted their wages, were not aware that a fund was created with their "contribution".

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 23 out of 55 (42% of total sample).

In this category of processes, the community members were aware of the existence of the WDF. They do not know other details such as the purpose, exact amount of fund and procedural aspects of the same. The watershed secretary/ PIA initiated several processes such as separate register for noting down the contribution, a muster roll registering the contribution in wage form, vouchers and acknowledgements in the watershed committee meetings. But all these initiatives remained incomplete and were not institutionalized.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 9 out of 55 (16% of total sample).

In this category of processes, the entire community is knowledgeable about the purpose, process of creation of WDF and exact amount of WDF. Secretary issued receipts to all contributors. The secretary also issued a card called "Contribution Card" and maintained a separate ledger for contribution. Volunteers and secretaries provided critical administrative support to the agenda of WDF.

Process Index – Cluster 22

Implementation -3 Execution of Works

Execution of watershed activities requires several technical and managerial skills. The marking of the activities on the ground and supervision of works are some of the critical responsibilities. The local trained volunteers and watershed committee members are expected to play a critical role in the execution of works. The user group members are expected to take care of quality control measures, apart from contributing to the works in the form of labor or cash. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 4 to 90. The overall average of the process index for this cluster is 33. There is a high degree of variation in the value of Process Index in this cluster indicating wide process variations.

- ☆ The most commonly occurring value of Process Index is 11. About 4 watersheds got this value. Of these 4 projects, 2 projects were facilitated by GO PIAs and 2 projects were facilitated by NGO PIAs.
- ☆ Of all the states, the Process Index has slightly higher values in Jharkhand and Orissa based projects.
- ☆ GoI funded projects in Jharkhand (both GO PIA and NGO PIA) have scored high value of Process Index indicating better processes.
- ☆ Chattisghad and MP based projects scored low Process Index in all categories of projects (less than the over all average values).

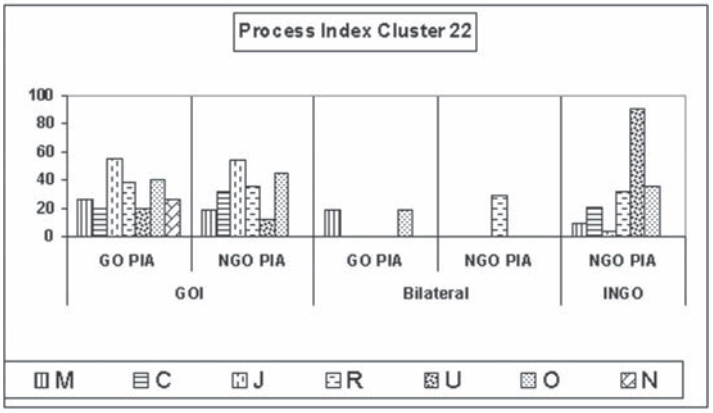
Process Index 22 – Implementation – 3
Execution of works

Key Questions / Issues

- ❑ Who marks out?
- ❑ Who supervises the works?
- ❑ How are the responsibilities among UG shared?

Process Index – Cluster 22

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	26	19	19	0	9	20
C	20	31	0	0	20	23
J	56	54	0	0	4	47
R	38	35	0	29	32	35
U	19	12	0	0	90	35
O	40	45	19	0	36	38
N	26	0	0	0	0	26
Ave	**32**	**33**	**19**	**29**	**32**	**32**



Understanding the Value of Process Index – Execution of Works

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 31 out of 55 (56% of total sample).

In this category of processes, the user groups do not exist. As a result the execution responsibilities cannot be handed over to the non-existent institutions. The entire responsibility of marking out and supervision of works was taken by the technical staff of the PIA, mainly technical person of WDT. The local community did not have any space or any capacity to handle this responsibility.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 19 out of 55 (35% of total sample).

In this category of processes, the level of involvement of local institutions was mixed. Though user groups took up several responsibilities in terms of managing the execution of works, they did not have adequate technical skills. They had to depend on the support of WDT for all the tasks of supervision and execution. Largely the user groups/ user remained as supervisors of the works.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 5 out of 55 (9% of total sample).

In this category of processes, the role of local institutions was fairly high. They were capacitated to handle the project related tasks such as supervision, marking out and quality control. The local institutions developed several alternative processes for supervision such as employing a volunteer, skilled villager, a dedicated field supervisor, a sub committee, self help groups etc. The user groups received advance from the watershed committee and maintained necessary

records. The watershed committee secretary/ volunteer supervised the user groups and supported the process of execution and book keeping. The role of WDT was critical till the systems were evolved. After that, the role was minimum. A formal agreement was also entered between the watershed committee and user group to indicate the roles and responsibilities of each actor in the execution of works.

Process Index – Cluster 23

Implementation - 4 Measurements

Each activity/ work is measured, recorded and payments are made based on such records. The WDT plays a critical role in this stage also. However, the local persons are expected to take major responsibility of taking measurements and keeping records. The measurements are to be taken in the presence of laborers and user groups, who receive the payment. The measurements are to be taken at regular intervals of the project and each group (user groups/ laborers/ watershed secretary/ volunteer/ WDT) should maintain a record for their own reference to avoid any conflicts during payments. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 12 to 76. The overall average of the process index for this cluster is 47.
- ☆ The most commonly occurring value of Process Index is 57. About 3 watersheds got this value. All these three watersheds were from Nagaland and GoI funded projects.
- ☆ The Process Index is slightly higher in Jharkhand and Rajasthan based projects.
- ☆ All categories of projects in UP got lower scores (than the average).
- ☆ NGO PIAs under GoI funded projects performed slightly better when compared to the GO PIAs under GoI funded projects.

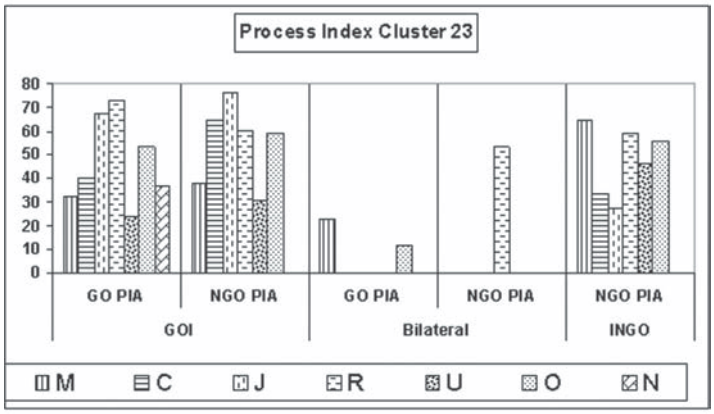
Process Index 23 – Implementation – 4 Measurements

Key Questions / Issues

- ❑ Who takes the measurements?
- ❑ Who maintains the Measurement book?
- ❑ What is the frequency of measurements?

Process Index – Cluster 23

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	32	38	23	0	64	38
C	40	64	0	0	33	45
J	67	76	0	0	27	67
R	73	60	0	54	59	66
U	24	31	0	0	46	31
O	53	59	12	0	55	49
N	37	0	0	0	0	37
Ave	**47**	**55**	**17**	**54**	**47**	**47**



Understanding the Value of Process Index – Measurements

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 15 out of 55 (27% of total sample).

In this category of processes, the measurements were not considered as an important task/ contribution towards

empowerment of community. The role of community is almost negligible. WDT (Technical staff) is mainly responsible for measurements. The community members were not aware of the details of measurements such as frequency of measurements, whether measurement book was maintained or not, where was the measurement book etc. The PIA/ WDT alone performed this task.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 33 out of 55 (60% of total sample).

In this category of processes, WDT takes the support of secretary or volunteer for making the measurements and record keeping. Measurements were made along with the secretary/ volunteer in the presence of laborers/ user group members/ watershed committee members. The measurement book was also maintained by the WDT and secretary assisted the WDT in this task. The frequency of measurements ranged from weekly to monthly or completion of works.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 7 out of 55 (13% of total sample).

In this category of processes, the measurement of works was perceived as an empowerment process. Local volunteers were trained to do several technical tasks of the project including measurements. These persons take measurements and keep a record of them in measurement book. WDT only supervises them in the initial phases and subsequently they take care of the measurements. Measurements were maintained by user groups/ laborers and secretary/ volunteers simultaneously. Daily measurements were also taken by local volunteers. Advance given to user groups was settled after the measurements were taken by the secretary/ volunteer.

Process Index – Cluster 24

Implementation -5 Payments

After measurements, making payments is the next event. Events with financial transactions have significant importance in the project cycle. Transparency and accountability make or break the project. The payments are supposed to be made based on the resolutions of watershed committee. The watershed secretary presents the progress of the project including finance related details. The committee verifies these records and agrees to make payments, on the advice of WDT. This process needs to be carefully recorded in the minutes of Watershed Committee meetings and be transparent. Payments by cheque are generally encouraged. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 16 to 78. The overall average of the process index for this cluster is 50. There is considerable variation in the value of Process Index indicating the degree of variance in the processes followed.
- ☆ The most commonly occurring value of Process Index is 67. About 11 watersheds got this value. Of these 10 projects, 3 projects were facilitated by GO PIA and 7 projects were facilitated by NGO PIA.
- ☆ The value of Process Index has higher values in case of GoI funded projects, when compared to other projects. On the other hand, the value of Process Index is fairly low in case of projects funded by INGOs.

Understanding the Value of Process Index – Payments

Process Index 24 – Implementation – 5 Payments

Key Questions / Issues

- ❑ How is the payment made?
- ❑ Who prepares the cash book?
- ❑ Who is the custodian of the financial records?

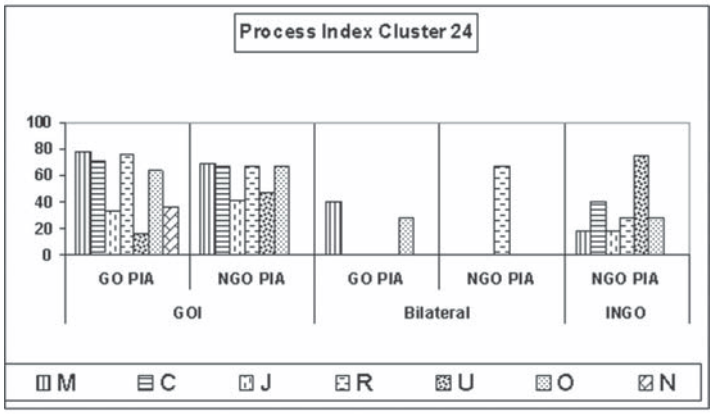
Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 21 out of 55 (38% of total sample).

In this category of processes, the level of transparency and involvement of community was fairly low. The payments were made by PIA/ WDT. Several times, the payments were made in the office of the PIA/WDT. Payments were also made in cash. The community members (users/ laborers/ watershed committee members) do not know the financial aspects of the project (how much was to be paid for what work and to whom?). The common person in the village was not aware of any details of financial records (whether these records were maintained; who maintains; what was the expenditure and balance; where is the bank account; whether bank account was opened etc). However, PIA/ WDT takes care of all these records, without any involvement of community including watershed committee. Watershed committee follows the verdict of the PIA/WDT.

Process Index – Cluster 24

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	78	68	40	0	18	61
C	72	67	0	0	40	66
J	33	41	0	0	18	35
R	76	67	0	67	29	67
U	16	48	0	0	76	39
O	64	67	29	0	29	55
N	36	0	0	0	0	36
Ave	**54**	**59**	**34**	**67**	**35**	**51**



Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 10 out of 55 (18% of total sample).

In this category of processes, the watershed committee and functionaries were involved in making payments. However, the role and dependence on WDT was fairly high. The WDT/ PIA prepares the bills/ takes the measurements along with the secretary/ volunteer. The committee verifies them and makes payment. Payments were made in both cash and cheque. Actual payments were made by the watershed secretary/ volunteer or committee members. Financial records were maintained by the watershed office (president or secretary) and community members were aware of this responsibility of watershed office.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 24 out of 55 (44% of total sample).

In this category of processes, the watershed committee was in-charge of the payments. They took the support of secretary/ volunteer and WDT for preparing the necessary records. The payments were made in a common meeting in which the laborers and users were present. Cheques were issued to the local institutions such as SHGs and leaders of user groups, who were made responsible for making payments. Several norms were developed for making payments (certain financial limits were fixed for watershed secretary/ WDT/ PIA/ DRDA).

Community members were aware that the financial records were in the custody of watershed committee (Chairman and Secretary).

Process Index – Cluster 25

Project Completion -1 Extension of Project Period

Extension of the project is necessary when the project is incomplete. There may be several reasons for the delay in the execution of the project. The extension of the project and related administrative aspects could provide considerable dilemmas at the community level and uncertainties. Funding related delays seem to be major cause of concern. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 0 to 100. The overall average of the process index for this cluster is 77. The values of Process Index are fairly high in this cluster of processes, indicating high community participation.
- ☆ The most commonly occurring value of Process Index is 100. About 33 watersheds got this value. Of these 33 projects, 18 projects were facilitated by GO PIAs and 15 projects were facilitated by NGO PIAs.
- ☆ The values of Process Index in case of INGO funded projects are very high in most of the cases.
- ☆ The GO PIAs under GoI funded projects in Jharkhand scored 0 value for Process Index, indicating low community participation.

Process Index 25 – Project completion – 1 Extension of Project period

Key Questions / Issues

- ❑ Whether extension was given or not?
- ❑ Reasons for extension

Understanding the Value of Process Index –Extension of Project Period

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 6 out of 55 (11% of total sample).

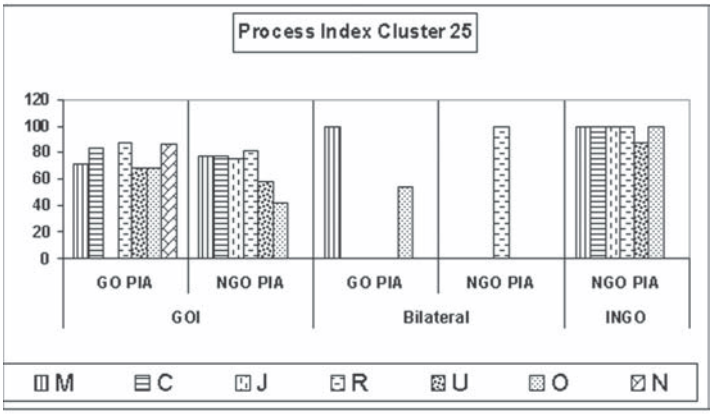
In this category of processes, the watershed project needed extension. But the extension was not given. In limited number of cases, the project was also foreclosed. Delays in fund release were important reason for project extension. However, the project did not consider these reasons and did not extend the time period.

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 14 out of 55 (25% of total sample).

Process Index – Cluster 25

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	71	77	100	0	100	81
C	83	77	0	0	100	84
J	0	75	0	0	100	57
R	88	81	0	100	100	89
U	68	58	0	0	88	70
O	68	42	54	0	100	67
N	86	0	0	0	0	86
Ave	**66**	**68**	**77**	**100**	**98**	**76**



In this case also, the project period was not adequate. The project funds were also found to be inadequate, as the area considered for treatment was very high. Administrative reasons, delays in fund releases and under utilization of funds were some of the reasons for delay in the project period. However, the project was not extended.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 35 out of 55 (64% of total sample).

In this category of projects, there was no need for extension of time period. Activities were completed within the stipulated time.

Process Index – Cluster 26

Project Completion -2 Use of WDF

Watershed Development Fund is an innovative provision for maintenance of the assets created during the project period. Generally, the maintenance is a neglected part of the project design. The Guidelines envisaged that the watershed based institutions would be capacitated sufficiently to address the maintenance related issues and use the WDF for this purpose with wisdom. So the norms for using WDF are not well defined in the Guidelines. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 0 to 83. The overall average of the process index for this cluster is 37. There is high variation in the value of Process Index across the projects/ states.
- ☆ The most commonly occurring value of Process Index is 17. About 9 watersheds got this value. Of these 9 projects, 4 projects were facilitated by GO PIA and 5 projects were facilitated by NGO PIA.
- ☆ The value of Process Index is relatively high in case of NGO PIAs under GoI funded projects. MP and Orissa based projects scored relatively high values of Process Index.

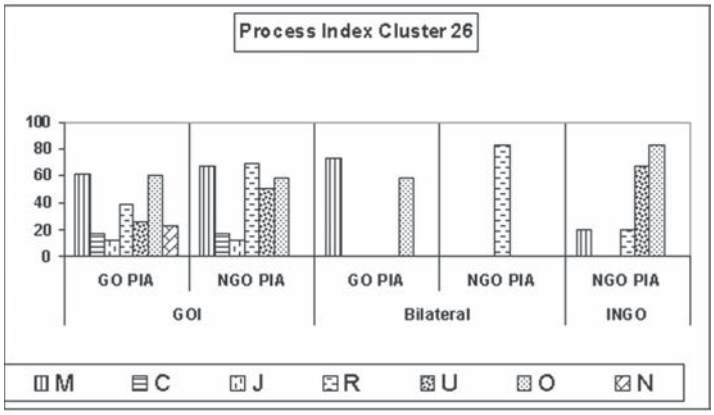
Process Index 26 – Project completion – 2
Use of WDF

Key Questions / Issues

- ❑ Who owns and operates WDF?
- ❑ Use of WDF

Process Index – Cluster 26

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	62	67	73	0	20	60
C	17	17	0	0	0	15
J	13	13	0	0	0	11
R	38	70	0	83	20	50
U	26	51	0	0	67	43
O	60	58	58	0	83	63
N	23	0	0	0	0	23
Ave	**34**	**46**	**66**	**83**	**32**	**38**



Understanding the Value of Process Index – Use of WDF

Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 27 out of 55 (49% of total sample).

In this category of processes, the watershed development fund was either not established or communities were ignorant about the same. The communities could not share any details about the WDF (existence, purpose, amount and procedure to use etc).

Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 16 out of 55 (29% of total sample).

In this category of processes, the communities were aware of the WDF. The fund was maintained by watershed committee/ Grama Panchayati. PIA was also providing necessary support to the watershed committee. The fund was not used in large number of cases. However, in limited number of cases, WDF was spent as expenditure. The WDF is depleting and there is no strategy to use this fund in a sustainable manner.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 12 out of 55 (22% of total sample).

In this category of processes, the watershed committee and association were recognized as responsible institutions for maintaining the WDF. The fund was also used for several purposes such as crop loans, reducing malaria, as revolving fund to support income generating activities etc. In this case, the fund was replenished. However, the purpose for which the fund was created is not being followed.

Process Index – Cluster 27

Post Project Issues – 3 Withdrawal of PIA

After the project period is completed, technically the role of PIA ceases to exist. Though there is a reference to exit protocol of PIA, the process of operationalizing this is not very clear. There are several arguments for and against the "withdrawal" of the PIA, after the project period is formally over. There is also a difference between the NGO PIA and GO PIA in terms of its continuity after the project period is completed. A brief summary of the 3D analysis of process of this cluster is presented here:

- ☆ The value of Process Index ranged from 21 to 96. The overall average of the process index for this cluster is 55.
- ☆ The most commonly occurring value of Process Index is 42. About 10 watersheds got this value. Of these 10 projects, 6 projects were facilitated by GO PIA and 4 projects were facilitated by NGO PIA.
- ☆ The values of Process Index in all categories of projects in MP, UP and Chattisghad are less than the average value.
- ☆ All projects in Jharkhand ad Orissa scored high values of Process Index.

Understanding the Value of Process Index – Withdrawal of PIA

Process Index 27 – Post Project Issues – 1
Withdrawal of PIA

Key Questions / Issues

- ❑ Withdrawal of PIA
- ❑ Was there any resolution from village, on maintenance of assets?

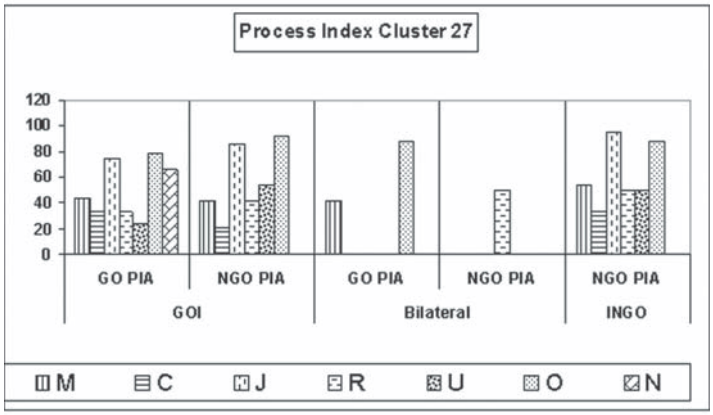
Processes followed in Projects with Process Index Value of 0 to 33 (Red):

Number of Projects: 13 out of 55 (24% of total sample).

In this category, the project was either in the final stage or foreclosed. When the project was formally closed, the WDT/ PIA just disappeared. They never visited these watershed villages again. The resolutions of the village regarding the maintenance of the assets created are not very clear. There were no resolutions at the community level in a formal or informal manner or they expected that the PIA will do something to maintain the structure created. The communities were not prepared to handle the project related, particularly maintenance issues.

Process Index – Cluster 27

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	44	42	42	0	54	44
C	33	21	0	0	33	30
J	75	85	0	0	96	84
R	33	42	0	50	50	40
U	25	54	0	0	50	39
O	78	92	88	0	88	82
N	66	0	0	0	0	66
Ave	**51**	**56**	**65**	**50**	**62**	**55**



Processes followed in Projects with Process Index Value of 34 to 66 (Yellow):

Number of Projects: 24 out of 55 (44% of total sample).

In this category of watersheds, the PIA informally "handed over" the project responsibilities to the communities. The watershed committee is in charge of the project and is confident of facing the future. The collaborations with Grama Panchayati/ line departments are some of the options considered by the watershed committee, for maintenance purpose. But there is no clear strategy of plan for the watershed committee or the PIA.

Processes followed in Projects with Process Index Value of 67 to 100 (Green):

Number of Projects: 18 out of 55 (33% of total sample).

In this category of processes, there are several diversified processes and options. The PIA formally "handed over" the project responsibilities to the watershed based institutions. In a contrasting scenario, the PIA continues in the same villages, but for some other projects/ purposes. The villagers took several decisions formally in the context of maintenance of the assets created. These norms differ for common assets and private assets. The role of user groups is also clearly defined in these discussions. However, there is no experience of implementing these decisions so far in several of these villages.

Part 2

Process Indicator 1

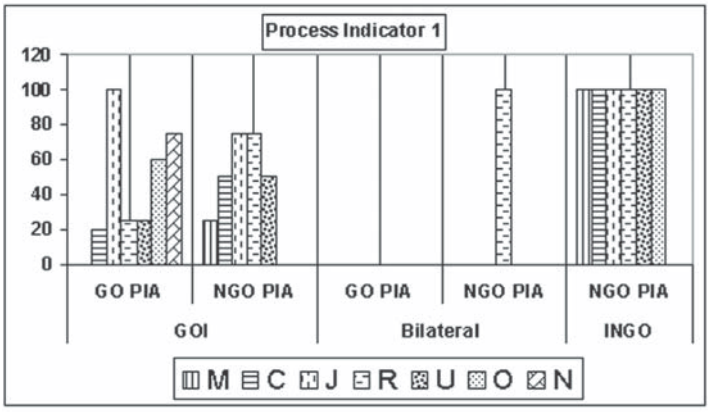
Previous Relationship between the village and PIA

Understanding the Process Indicator

- ☆ The value of Process Indicator ranged from 0 to 100. The average score is 54.
- ☆ The Process Indicator of INGO funded projects in all states is highest among all categories of projects, indicating strong partnerships between the facilitating agencies and the villages (100). The NGOs could select the most deserving village from among their field villages for the watershed project.
- ☆ The Jharkhand based watersheds under GoI funded projects also have high value of Process Indicator, which indicates similar process of selection.
- ☆ The projects facilitated by NGO PIAs have relatively higher values of Process Indicators (in general and also in GoI funded projects), when compared to the GO PIA facilitated projects.
- ☆ In MP and Chattisghad, the selection process of watersheds did not give any preference to the previous partnerships between the villagers and facilitating agency.

Process Indicator – 1
Previous Relationship Between Village and PIA

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	0	25	0	0	100	25
C	20	50	0	0	100	38
J	100	75	0	0	100	86
R	25	75	0	100	100	56
U	25	50	0	0	100	50
O	60	0	0	0	100	50
N	75	0	0	0	0	75
Ave	**44**	**46**	**0**	**100**	**100**	**54**



Triggers and Results

- ☆ Selection of village was influenced by the relationship between the village and the PIA. Facilitating Agencies (particularly NGOs) made special efforts to get watershed projects to a deserving village from among their operational areas. Thus the villages

which have a partnership with any facilitating agency tend to benefit more, when compared to those villages, which do not have such partnerships.

- ☆ The partnership of the villagers and facilitating agency also would have established some social capital in the villages, prior to the sanctioning of the watershed project. The watershed project could immensely benefit from such existing institutional base of the village.
- ☆ Rapport between the villager and PIA helps to quickly launch the project.

Process Indicator -2

Efforts Made to Reach Out to Women

Understanding the Process Indicator

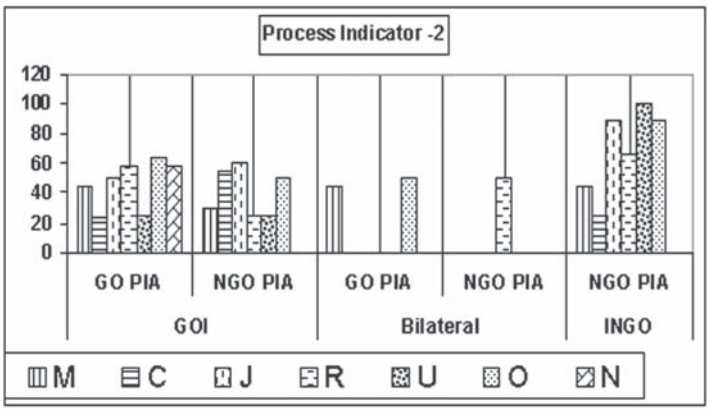
- ☆ The value of Process Indicator ranged from 0 to 100. The average value of Process Indicator is 49.
- ☆ Project funded by INGOs scored relatively higher for this indicator (except in MP and Chattisghad).
- ☆ The efforts made by MP and Chattisghad to reach to women are relatively low (24 to 55).
- ☆ In UP, the performance of GoI funded projects is fairly low, when compared to that of the INGO funded projects in the same state.
- ☆ In Orissa, the value of Process Indicator is fairly high, indicating the serious attempts made in the state.

Triggers and Results

- ☆ Focus on gender mainstreaming was very clear in the policy framework of the INGO funded projects. They sensitized the facilitating agencies to work towards gender mainstreaming in the watershed context also. Several support systems were evolved to ensure that the facilitating teams were equipped to address this issue in the project management. Series of orientation/ exposure/ training programs were organized to develop the capacities of the facilitating teams to mainstream gender at grass root level.
- ☆ Special efforts were made to reach out to women and upgrade their knowledge/ skills on watershed related aspects. The issues related to women were specially discussed and plans were prepared to address them.

Process Indicator -2
Efforts Made to Reach Out Women

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	45	30	45	0	45	38
C	24	55	0	0	25	32
J	50	60	0	0	90	61
R	58	25	0	50	65	49
U	25	25	0	0	100	44
O	63	50	50	0	90	63
N	58	0	0	0	0	58
Ave	**46**	**41**	**48**	**50**	**69**	**49**



- ☆ Collaborative and independent institutional spaces were created for women and men in the form of SHG, user groups, watershed development committees and others. The men in the village were sensitized to support women in the watershed activities. Capacities of women were augmented to handle watershed related tasks (decision making to technical/ administrative aspects). In limited number of cases, violence against women was also addressed through these institutions. Some of the tangible benefits of this process are equal wages in watershed projects; equal wage days for men and women, support to develop facilities like drinking water for human beings/ livestock etc.
- ☆ Those watersheds which got low value of Process Indicator did not make any such efforts.

Process Indicator - 3

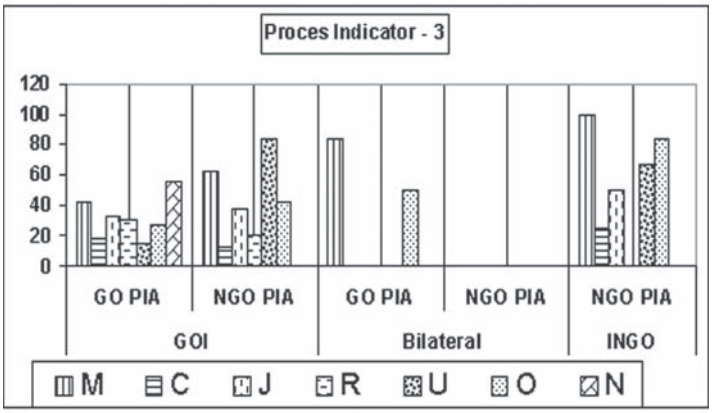
Resolution from Village

Understanding the Process Indicator

- ☆ The values of Process Indicators ranged from 15 to 100. The overall average value is 42.
- ☆ The value of Process Indicator is fairly low in case of GO PIAs under GoI funded projects in all states (except in Nagaland). This indicates that the process of getting a resolution from the village is a weak process in these projects.
- ☆ On the contrary, the value of Process Indicator is fairly high in case of INGO funded project (except in Chattisghad).
- ☆ The processes followed by bilateral projects are of average quality.
- ☆ UP based projects have extreme values of Process Indicator. The GO PIAs under GoI funded projects have fairly low values, while the INGO funded projects have scored highest in the entire sample.

Process Indicator - 3
Resolution from Village

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	42	63	83	0	100	65
C	18	13	0	0	25	18
J	33	38	0	0	50	38
R	31	21	0	0	0	21
U	15	83	0	0	67	45
O	28	42	50	0	83	40
N	56	0	0	0	0	56
Ave	**32**	**43**	**67**	**0**	**54**	**40**



Triggers and Results

- ☆ The project framework of the watershed projects required considerable commitment of the communities in terms of genuine contribution, equal roles/ opportunities to women, priority to activities that benefit poor, priority to activities on CPRs, commitment towards maintenance and management of assets etc. The facilitating agency made sincere efforts to motivate the communities on the above points and developed considerable debate/ consensus on the above issues.
- ☆ The facilitating team organized several meetings with different

groups/ hamlets to develop common approach. It took about three to six months time to arrive at agreeable norms in the village.

- ☆ Facilitating agencies perceived the process of getting the resolution/ consent as capacity building and consensus building process, rather than an administrative procedure to be completed.
- ☆ As a result of such process, the village became a cohesive group and expressed their commitment to the "non-negotiables" of the project. They got a complete picture of the project.
- ☆ The project authorities/ donors encouraged this process by supporting orientation programs/ exposure visits/ communication campaigns etc.
- ☆ When facilitating agencies did not consider this process as an important step, they took a short cut to get the resolution of the village, without community involvement.

Process Indicator - 4

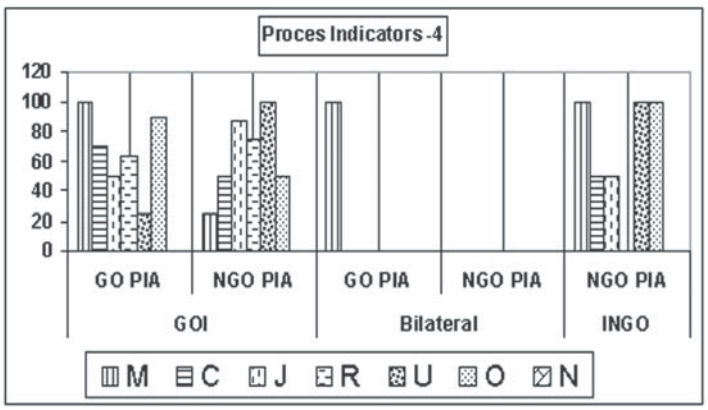
Community's Contribution to EPA

Understanding Process Indicator

- ☆ The value of Process Indicator ranged from 0 to 100. The average value of Process Indicator is 55.
- ☆ The value of Process Indicators in INGO supported projects is fairly high (Except in case of Rajasthan based NGO PIAs). Similarly, the value of Process Indicator is high in case of GO PIA in MP funded by bilateral project.
- ☆ The communities in projects in Nagaland did not contribute towards EPA. Similar process was followed in bilateral projects facilitated by NGO PIAs in Rajasthan and Orissa.
- ☆ In UP and MP, the value of Process Indicator ranged from 25 to 100. However, the value of Process Indicators in NGO PIA in MP is 25 and that of GO PIA in MP is 100. In UP, the value of Process Indicator is exactly reverse (NGO PIA in UP scored 100 and GO PIA got 25).
- ☆ This indicates that the communities contributed towards construction of EPA and participated in it.

Process Indicator - 4
Contribution from Communities for EPA

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	100	25	100	0	100	63
C	70	50	0	0	50	63
J	50	88	0	0	50	71
R	63	75	0	0	0	50
U	25	100	0	0	100	63
O	90	50	0	0	100	75
N	0	0	0	0	0	0
Ave	**57**	**65**	**50**	**0**	**67**	**55**



Triggers and Results

- ☆ When facilitating agency wanted to establish a new culture of community participation, Entry Point Activity

(EPA) was used as a right opportunity. The facilitating agency interacted with the community several times to facilitate discussions on the common needs of the community/ activities that could reach out to maximum number of families at low cost/ activities that reduce the burden of the communities and women etc. Based on these discussions, the choice of EPA was made.

- ☆ The non-negotiables such as contribution from communities, responsibility of local communities were finalized during these discussions.
- ☆ Members of existing institutions (SHGs/ other committees) were given the responsibility of handling the execution responsibilities of EPA. These members took care of quality of assets created and established necessary transparent systems (records/ books).
- ☆ The assets created were of high quality and still used by the communities, even after the project period was completed.
- ☆ The rapport between the villagers and PIA improved significantly and the communities developed considerable trust on the abilities of the PIA.
- ☆ The communities gained the experience of planning and executing the EPA. This not only helped to develop greater levels of confidence but also initiated a new culture in the village.
- ☆ In all those villages where the above processes were not followed, communities did not contribute to the EPA. The value of Process Indicator is found to be very low in such villages.
- ☆ It is also observed that if this initiative is not continued by facilitating agencies over a period of time and there is a deterioration of processes (and the value of Process Indicator in subsequent clusters).

Process Indicator - 5

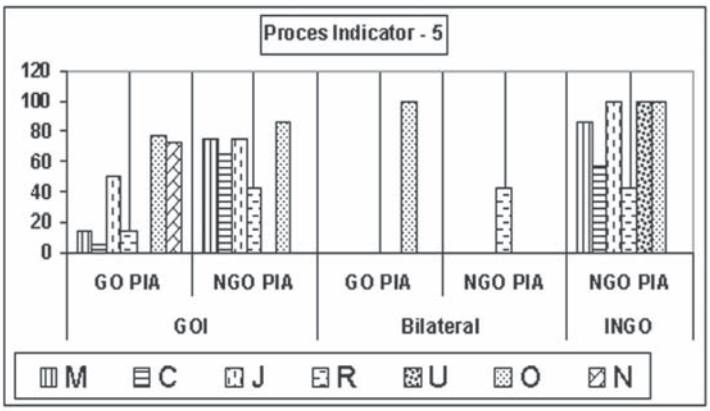
List of Poor Families

Understanding the Process Indicators

- ☆ The value of Process Indicator ranges from 0 to 100. The average value of the Process Indicator is 52.
- ☆ The value of Process Indicators is relatively high in case of INGO funded projects in all states (except in case of Rajasthan).
- ☆ The value of Process Indicators is less than the overall average value in all types of projects.
- ☆ The variation of Process Indicators is fairly high in case of GO PIAs funded by GoI (0 to 77).
- ☆ This variation is observed in case of NGO PIAs under GoI funded projects also (0 to 86).
- ☆ The value of Process Indicators is in extreme positions in UP. GoI funded

Process Indicator - 5
List of Poor Families

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	14	75	0	0	86	52
C	6	64	0	0	57	27
J	50	75	0	0	100	71
R	14	43	0	43	43	29
U	0	0	0	0	100	25
O	77	86	100	0	100	84
N	73	0	0	0	0	73
Ave	**34**	**57**	**50**	**43**	**81**	**52**



projects got "0" and INGO funded projects got 100.

- ☆ The projects in MP under bilateral projects also gained 0 value of Process Indicator.

Triggers and Results

- ☆ The explicit requirement for generating the list of poor in the watershed projects is not there in the guidelines. However, the implicit message is to identify the poor families and explore opportunities for them. The facilitating agencies understood this message of watershed guidelines and/or the donors clearly established the need for targeting the poor in a planned manner as part of their policy. This process begins with identification of the poor families.
- ☆ Several tools/ methods were developed/ used for this purpose such as social mapping to identify poor families.
- ☆ Equity based planning and institutional arrangements were given top priority by the Donors and facilitating agencies, for which the list of poor makes the beginning.
- ☆ This list of poor helps the facilitating agency in better targeting and reaching out with appropriate options/ interventions. These interventions included establishing land rights, supporting with special funds/ loans, creating irrigation facilities to poor families etc. Without the list of poor, such specific set of interventions cannot be designed/ operationalized.
- ☆ In all those villages/watersheds, where this list is not generated, the above processes were not followed. The donor did not emphasize the need of targeting poor families and facilitating agencies completely neglected this issue. As a result of this negligence, the poor families got little or no opportunities from the watershed projects.

Process Indicator - 6

Location of Delineated Watershed Map

Why this indicator is important?

Delineation of watershed could be organized in several ways (which were described in the previous sections). When the community members (user groups, watershed committee members and others) are involved in this process and when they contribute to the identification of exact blocks of watershed/ sub watersheds, they know why a sub watershed is selected and why another sub watershed is not. Their involvement enhances the transparency of the project. The final output of this entire process is a "map". It is "their" map, if they contributed to the process of identification of ridge line, drainage lines and sub watersheds. So they should keep it with them in the village (watershed committee office/ office bearers/ village wall/ other places). If it is not with them, their sense of ownership or involvement in watershed delineation process is not very high.

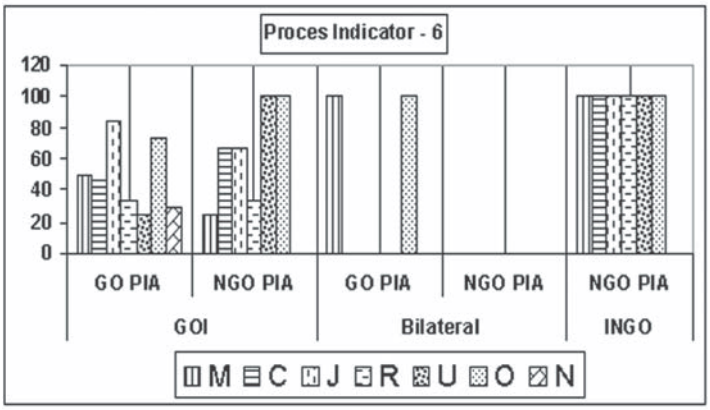
Understanding the Process Indicator

- ☆ The value of Process Indicator ranged from 0 to 100. The overall average of this indicator is 57.
- ☆ All INGO funded projects scored very high value of Process Indicator. The same value is obtained by bilateral projects in Orissa and MP; NGO PIAs under GoI funded projects in UP and Orissa.

- ☆ The bilateral project in Rajasthan implemented by NGO got lowest score of Process Indicator. Rajasthan based projects scored relatively low values of Process Indicators, in all categories of projects.
- ☆ Nagaland based projects have scored very low levels of Process Indicator.
- ☆ UP based GO PIAs scored very low value of Process Indicator among all GoI funded projects.

Process Indicator - 6
Location of Delineated Watershed Map

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	50	25	100	0	100	50
C	47	67	0	0	100	59
J	84	67	0	0	100	76
R	34	34	0	0	100	38
U	25	100	0	0	100	63
O	73	100	100	0	100	83
N	29	0	0	0	0	29
Ave	**49**	**65**	**100**	**0**	**100**	**57**



Triggers and Results

- ☆ The process of watershed delineation is combined with social processes of the villages. The physical boundaries of technically delineated watershed were combined with village boundaries. Entire village was considered for watershed project interventions and sub-watersheds were delineated within the broad boundaries of the village. This flexibility in delineation of watershed area gave scope to everyone of the village to get included in the watershed project area.
- ☆ The delineation process is very participatory and a learning one for the villagers on the technical aspects of the watershed.
- ☆ Appropriate interventions of area specific problems were identified during this process and consensus was developed among the communities, while conducting the transect walks.
- ☆ The watershed map became a symbol of this entire process and every one in the village could easily relate to the process of sub-watershed delineation and related interventions. This map was depicted on the common wall of the village with necessary details.
- ☆ When the above processes are not followed, the watershed delineation was a technically driven exercise which was completed by WDT. The role of community was almost negligible. Such attitude of the facilitating agency was the main cause of getting low value of the Process Indicator or that activity itself is not done at all. The community was not even aware of the watershed map and related processes.

Process Indicator - 7

Local Volunteer

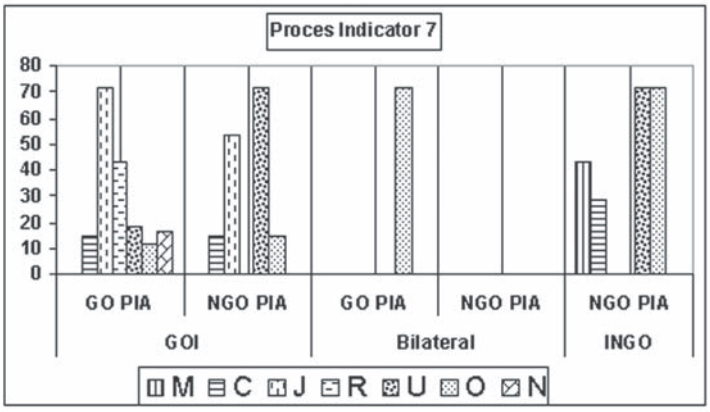
Why this indicator is important?

Though watershed technologies are not very difficult and complicated, some of them are new to the local communities. There is a need to equip the local communities on the technical aspects

of the project so that the interventions of the project are internalized in the community and sustained. Maintenance of assets would also be taken care of. For this purpose, a local volunteer is to be identified and property trained to address the project related functions (technical, institutional and administration related). A trained and experienced local volunteer/ para worker/ animator is an indicator of the capacity of the local institutions.

Process Indicator - 7
Local Volunteer

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	0	0	0	0	43	5
C	14	14	0	0	29	16
J	71	54	0	0	0	51
R	43	0	0	0	0	21
U	18	71	0	0	71	45
O	11	14	71	0	71	27
N	16	0	0	0	0	16
Ave	**25**	**26**	**36**	**0**	**36**	**26**



Understanding the Process Indicator

- ☆ The value of Process Indicator ranged from 0 to 71. The overall average of the Process Indicator is 26.
- ☆ The projects in MP did not emphasize the role of volunteer. The value of Process Indicator is only 5. Similarly, the value of Process Indicator in Chattisghad and Nagaland is also fairly low (16).
- ☆ The role of local volunteer is high in case of INGO funded projects in Orissa, UP; GO PIAs in Jharkhand and NGO PIAs in UP under GoI funded projects.

Triggers and Results

- ☆ The belief of facilitating agency on the role of local volunteer was the main trigger for establishing this institution at the village level.
- ☆ The donors supported this agenda with necessary funds for building the capacities of the volunteers. The projects also made a provision for making payments towards the technical/ organizational/ administrative services provided by these volunteers.
- ☆ The local institutions were involved in the selection process of the right candidates for the position of volunteers. Generally, the choice of volunteer was right.
- ☆ Facilitating agencies built the capacities of these volunteers in a systematic manner. Specially designed training/ orientation programs, hand holding support in the initial phases, slow transfer of responsibilities were some of the steps in this direction.
- ☆ The role of volunteers in the watershed project helped the local institutions and facilitating agencies in several ways, in smooth implementation of the project. Planning, institution development, execution of activities and special services were some of the functions performed by these volunteers.
- ☆ The volunteer also helped to decentralize the power and knowledge. Transparency of the project also improved, as the project details were available with a local person.

Process Indicator - 8

Planning Processes - Location of Action Plan

Why this indicator is important?

The sense of ownership on the watershed development program and the involvement of communities are indicated by the location of a copy of action plan. If the communities are involved and contributed to the action planning process, they would keep a copy. This could be with watershed committee/ secretary/ user groups or any member of watershed committee. The villagers would be knowledgeable about the contents and location of action plan. If this is not present in the village, one could conclude that the action planning process was not in the control of the communities.

Understanding the Process Indicator

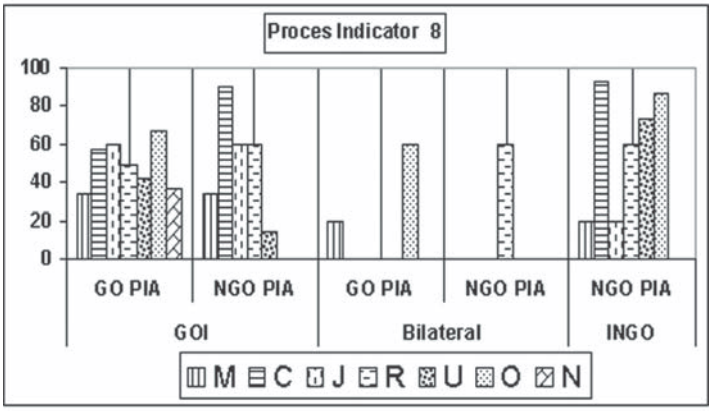
- ☆ The value of Process Indicator ranged from 0 to 93. The overall average of the Process Indicator for this cluster is 50.
- ☆ Of all the states, the Process Indicator is slightly higher in Chattisghad based projects.

Triggers and Results

- ☆ In this category of processes, the location of the watershed action plan was known to all in the village. The watershed committee certainly kept a copy of the action plan and the copies of the same are available at PIA/ WDT and DRDA/ Zilla Parishad.
- ☆ In several cases, the action plan and watershed treatment map are depicted on the common wall of the village. This wall became part of the village memory and a reference point in the village.
- ☆ The facilitating agency believed that high level of transparency was needed on all aspects of the project including action plans. Since the local institutions were involved at every stage, they were motivated to take the responsibility of keeping the copy of the action plan with them.
- ☆ This process helped them to develop greater control over the project related affairs at the community level. The project related discussions and decisions were based on the action plans at the community levels.
- ☆ When the facilitating agency did not believe in the principles of transparency and empowerment, they kept the action plans with themselves. The community was not aware of its contents and did not

Process Indicator - 8
Location of Action Plan

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	33	33	20	0	20	30
C	57	90	0	0	93	70
J	60	60	0	0	20	54
R	48	60	0	60	60	54
U	42	13	0	0	73	43
O	67	0	60	0	87	60
N	37	0	0	0	0	37
Ave	**49**	**43**	**40**	**60**	**59**	**50**



have any influence over the decisions related to watershed project. The project was largely controlled by the facilitating agency/ instructions from the district level officers. In most of such cases, the relevance of action plan itself was very low.

Process Indicator - 9

Responsibility Sharing among UG Members

What is the importance of this indicator?

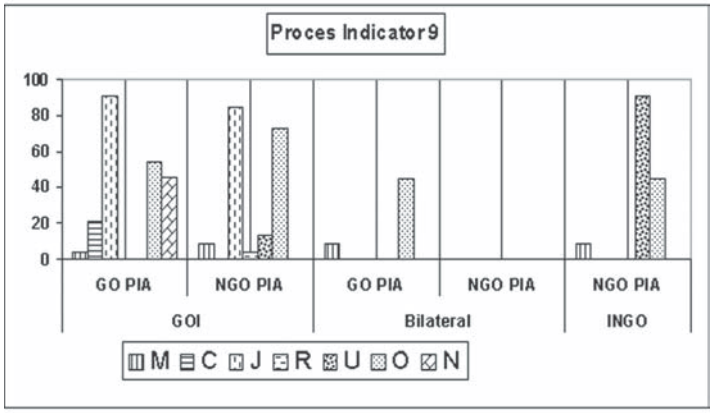
The effective functioning of the user group determines the level of participation of community in the watershed project. The members of UG need to come together to plan, execute and share the benefits of the project interventions. Before execution of the project, they are expected to make mandatory contribution towards the assets that are being established in the project village. When the user groups are empowered to execute the projects in a transparent manner with resource management as a core objective, the watershed project would have achieved its objective. This particular indicator makes an assessment of the functioning of the user group and quantifies the same.

Understanding the Process Indicator

- ☆ The value of Process Indicator ranged from 0 to 91. The overall average is 32.
- ☆ The responsibility sharing among UG was found to be relative high in Orissa and Jharkhand.
- ☆ The GO PIAs in Jharkhand under GoI funded projects and NGO facilitated projects under INGO funded projects scored highest values for Process Indicator (91).
- ☆ All projects in Rajasthan did not concentrate on the institution of user groups. The projects in this state scored lowest values of Process Indicator.
- ☆ There is no correlation between the type of facilitating agency and donor. The art and science of forming the UG and making them responsible for the project activities is yet to be perfected.

Process Indicator - 9
Responsibility Among UG Members

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	5	9	9	0	9	8
C	22	0	0	0	0	14
J	91	84	0	0	0	74
R	0	5	0	0	0	1
U	0	14	0	0	91	26
O	55	73	45	0	45	55
N	46	0	0	0	0	46
Ave	**31**	**31**	**27**	**0**	**24**	**32**



Triggers and Results

- ☆ When the facilitating agency wanted to devolve the power to the community based institutions, they found that user group was the right institution to handle the project related responsibilities during

planning and execution of the project activities.

- ☆ The facilitating agency followed systematic methodology to establish user groups and strengthen them. As a result of these inputs, User groups were able to take up the following responsibilities - common problem analysis exercises, decisions on potential activities, process of implementing activities (labor, material management), norms of contributions and record keeping.
- ☆ Facilitating agencies allocated additional/ adequate human resources for facilitating this process. The role of local volunteer was also significant in the above process.
- ☆ As a result of the above process, the user groups were empowered to take up several project functions including measurements/ payments. They also took keen interest in maintenance and management of the assets.
- ☆ The donors facilitated this process by allowing flexible time frames and providing necessary funding support.
- ☆ When the facilitating agencies did not pay attention to these support systems, the groups were not formed at all. The question of UGs taking up responsibilities did not arise at all.
- ☆ In such situations, the donors also did not insist on the role of user groups in the action planning and execution of works. The focus was more on completing the works, but not on the process of execution.

Process Indicator - 10

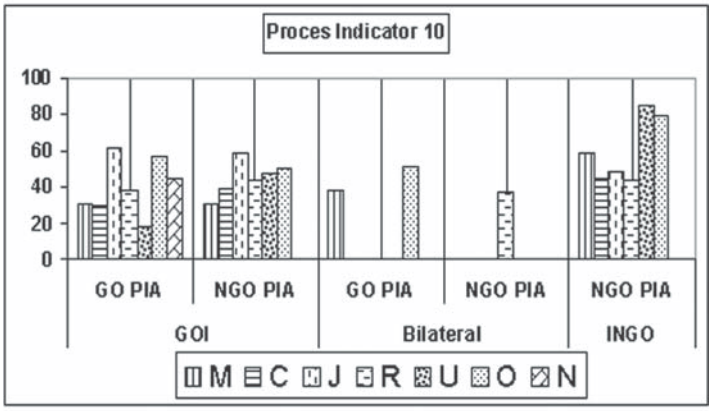
Contribution

What is the importance of this cluster?

Contribution towards the cost of the projects is found to be an important instrument for empowering the users in the project context. The contribution made by them gives them an opportunity to "demand" activities that are absolutely necessary to them, rather than receiving the list of activities from the project authorities in a passive manner. If they do not contribute or some body else contributes on their behalf, the project contents will be out of the agenda of the user groups. The correctness of processes/ genuineness of attempts made by the facilitating agency is reflected with this indicator. The practices such as issuing a receipt to the contributors go a long way in establishing transparent and robust institutional processes. This indicator verifies the existence or robustness of such processes related to contribution.

Process Indicator - 10
Contribution

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	30	31	38	0	59	35
C	30	39	0	0	45	34
J	61	59	0	0	48	58
R	38	44	0	36	43	40
U	18	47	0	0	85	42
O	56	50	51	0	80	58
N	45	0	0	0	0	45
Ave	**40**	**45**	**44**	**36**	**60**	**44**



Understanding the Process Indicator

- ☆ Lower values of Process Indicator indicate that the contribution was from non-users and no transparent systems were practiced. Higher values of Process Indicator indicate that the contribution was from the users and higher level of transparency was there, in all related processes.
- ☆ The values of Process Indicator ranged from 18 to 85. The overall average value is 45.
- ☆ The value of Process Indicator in Jharkhand and Orissa is relatively high, when compared to other states (58 in each state).
- ☆ In Orissa, the contribution for works on CPRs was not mobilized by the genuine users. Due to this, the value of Process Indicator was slightly misleading in this case.
- ☆ Chattisghad and Jharkhand based projects could not mobilize contribution from users. This is indicated by the low value of Process Indicator.
- ☆ UP and Orissa based INGO funded projects got highest values of Process Indicator (85 and 80 respectively), which indicates clear effort made by the facilitating agencies in mobilizing the contribution genuinely.
- ☆ The value of Process Indicator in UP is in extremes (18 to 85).

Triggers and Results

- ☆ Facilitating agencies have long history of facilitating community participation, of which genuine contribution from users is a "non-negotiable". Since the facilitating agencies have already established the culture of genuine contribution in the villages, the communities were also understood the value of their contribution and effortlessly contributed to the watershed project activities.
- ☆ During the initial phases of the project itself, the facilitating agencies clearly explained to the communities about the need for contribution and explained this as a "non-negotiable" of the project. They also stood firmly on this principle, without any compromise.
- ☆ The donors also supported these principles and did not let the project targets over take the process of mobilizing contribution.
- ☆ When the facilitating agencies did not pay attention to the concept of "contribution from the users", users were kept outside the agenda of watershed project (planning, execution and maintenance of the project). The contribution was mobilized by deducting the wages of laborers. The hapless laborers could not resist this ruthless practice and silently lost part of their wages.

Process Indicator - 11

Records

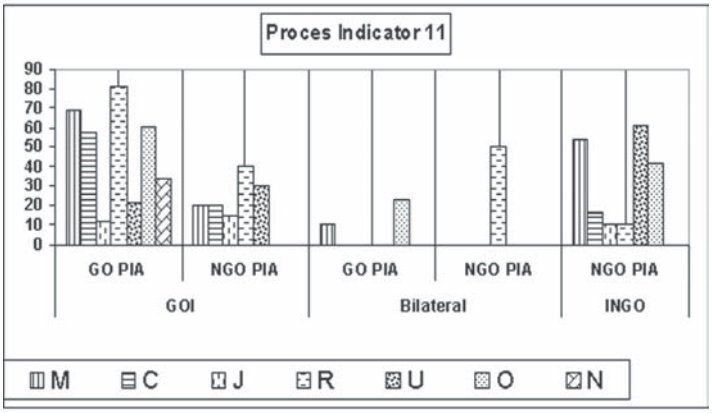
What is the importance of this indicator?

Watershed project is the first development project in India, in which substantial amount of funds are directly released to the watershed based institutions of primary stakeholders. It is expected that these institutions will develop necessary capacities, skills and accountability in maintaining this fund, with the support of facilitating agency. Though the support of facilitating agency is necessary during the initial phases, eventually the watershed committee would have

acquired necessary capacities to manage the funds on its own. The actors who maintain the important records such as cash book and measurement book and their location is an important indicator of the processes adopted in the watershed projects. In some cases (bilateral/ INGO funded projects) transfer of funds to watershed based institutions was not mandatory. Such watersheds also scored low values for this Process Indicator.

Process Indicator - 11
Records

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	69	20	10	0	54	35
C	58	20	0	0	16	43
J	13	15	0	0	10	14
R	81	40	0	50	10	58
U	22	30	0	0	61	34
O	60	0	23	0	41	46
N	34	0	0	0	0	34
Ave	**48**	**21**	**16**	**50**	**32**	**38**



Understanding the Process Indicator

- ☆ The value of Process Indicator ranged from 10 to 81. The overall average is 41.
- ☆ Higher value of Process Indicator indicates higher level of capacities at watershed based institutions and lower value indicates lower capacities.
- ☆ Rajasthan based watershed projects have fairly high values of Process Indicator.
- ☆ The projects facilitated by GO PIAs under GoI funded projects have scored high values of Process Indicator. However, Jharkhand and UP scored low values of Process Indicator under this category of projects.
- ☆ The value of Process Indicator is low in case of NGO PIAs under GoI funded projects, except in case of Rajasthan.
- ☆ As already indicated, some of the INGO funded projects did not have to transfer funds to the local institutions. So the value of Process Indicator is low in such cases.

Triggers and Results

- ☆ The policy of the donor (GOI and others) is to release funds to the local institutions of the stakeholders. This policy framework created an opportunity for the institutions of communities to develop a new skill and responsibility of fund management.
- ☆ The facilitating agencies sincerely built the capacities of the local functionaries – secretary/ president/ volunteers/ watershed committee members to perform this role. The WDT provided hand holding support to them for a long period, apart from conducting focused training programs on related subjects.
- ☆ The technical aspects of the project (measurements of the works and maintaining measurement book) were taught to the key functionaries (mainly volunteers/ secretaries) and responsible members of the watershed committee members.
- ☆ Appropriate transparent systems were developed such as – daily/ weekly/ biweekly measurements, public audit of measurements/ payments; regular discussions in the meetings of watershed committee and grama sabha etc. These systems shaped the capacities of the institutions for handling the money, measurements and related records.

☆ When facilitating agency did not give any emphasis on these aspects, they did not care to build the capacities of the local functionaries. The project authorities also did not monitor this aspect or neglected this point. All the records (measurement book and cash book) were maintained by the staff of facilitating agency itself. As a result of this process, the watershed institutions were permanently dependent on the facilitating agency and the level of transparency was also fairly low in these villages.

Process Indicator 12

Use of WDF

The creation, use and management of watershed development fund are some of the innovative provisions in the watershed development program. The contribution of users is deposited in a separate bank account to form WDF. This fund is meant for maintenance of the assets created as part of watershed development program, after the project period is completed. Afterwards there would be no support of facilitating agency. The actual use of WDF is a real test of the capacities of the institutions at the local level, without external support. The earlier inputs provided by the facilitating agency would be reflected in the actual use of WDF by the watershed committee, without any external support.

Understanding the Process Indicator

☆ The value of Process Indicator ranged from 0 to 60. The average value of Process Indicator is 21.

☆ The projects supported by INGO do not have a provision of creating WDF. The contribution mobilized is either spent as part of the project or deposited in the bank account of watershed committee (works account). As a result, separate support system was not evolved for maintenance of the assets.

☆ The values of Process Indicator in this context are fairly low, indicating the low level of achievements in utilization of WDF.

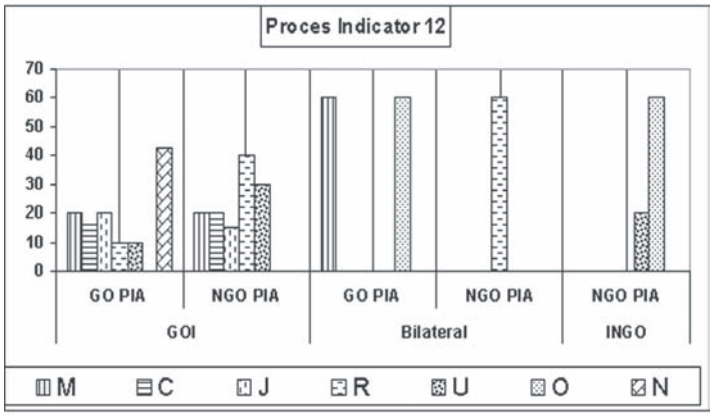
☆ Though there is a provision made in GoI funded projects, actual use of WDF is low in these projects, except in Nagaland.

☆ Nagaland based projects have experiences of using WDF. Similar experiences were observed in case of NGO PIAs under GoI funded projects in Rajasthan.

☆ Though there was no provision for WDF in INGO/ Bilateral funded

Process Indicator - 12
Use of WDF

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	20	20	60	0	0	23
C	16	20	0	0	0	15
J	20	15	0	0	0	14
R	10	40	0	60	0	23
U	10	30	0	0	20	18
O	0	0	60	0	60	15
N	43	0	0	0	0	43
Ave	**17**	**21**	**60**	**60**	**13**	**21**



projects, they gained experiences of using WDF/ fund for maintenance.

- ☆ The low value (below 20) of Process Indicator indicates non utilization of WDF. Higher value of Process Indicator indicates the utilization of WDF.
- ☆ All bilateral projects/ INGO funded projects used WDF, in the form of loans.
- ☆ WDF is used as loan in case of a Orissa based INGO funded project.

Triggers and Results

- ☆ Utilization or non-utilization of WDF is dependent on the following three aspects – policy direction of the donors; support by facilitating agency and capacities/ flexibility of watershed institutions. It is found that such factors were non-existent in case of several watershed projects. So the WDF was not used.
- ☆ The facilitating agency motivated the watershed institutions from the very beginning to use the WDF. The capacities of watershed institutions were improved to handle the situations related to maintenance of assets and fund management.
- ☆ The institutions were oriented to address the critical issues of watershed area, which were not necessarily part of the project plan. As a result of this orientation, several issues were addressed by these institutions.
- ☆ The institutions established during the watershed projects got a very good recognition as responsive institutions at the village level, as a result of their engagement with/ response to critical issues of the village. In other cases, the watershed based institutions were almost dormant.

Process Indicator - 13A

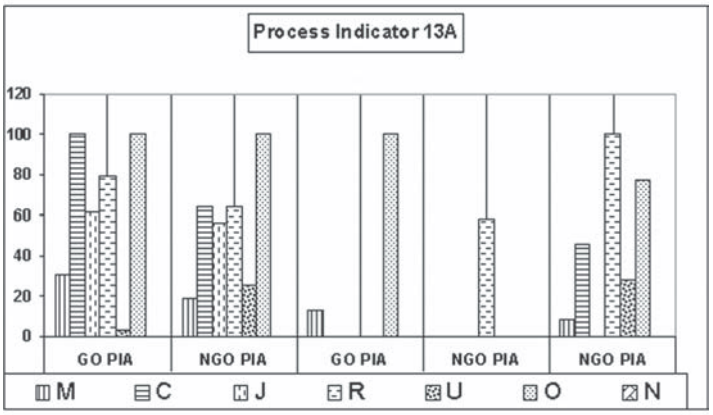
Maintenance of Assets on CPRs

What is the importance of this indicator?

One of the important post project related issues is related to the maintenance of physical assets created. The assets created on CPRs require considerable institutional support and mechanisms for use, management and maintenance. Without these inputs, the assets could soon become dysfunctional. The user groups/ watershed committee are expected to perform certain functions related to the maintenance of the assets, with the support of Grama Panchayati. The importance of formal allocation of usufruct rights to the associated groups/ families is an important requirement in the context of maintenance. The role of Grama Panchayati is very critical in

Process Indicator - 13A
Maintenance of Assets on CPRS

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	31	19	13	0	8	20
C	100	65	0	0	46	84
J	61	56	0	0	0	50
R	79	65	0	58	100	76
U	3	26	0	0	28	15
O	100	100	100	0	77	97
N	0	0	0	0	0	0
Ave	**53**	**55**	**57**	**58**	**43**	**49**



allocating these rights to the deserving groups.

Understanding the Process Indicator

- ☆ The value of Process Indicator ranges from 0 to 100. The average value of Process Indicator is 49.
- ☆ The highest value (100) indicates that the quality of assets is very high and there was no requirement for repairs/ maintenance of these assets. The lowest value (0) indicates that there are no CPRs in the watershed area (as in case of Nagaland) or there are no assets created on CPRs.
- ☆ In general, the lower values indicate poor efforts towards the maintenance of the CPRs, in spite of damages of assets on CPRs. The low values also indicate lack of responses by communities on the maintenance related issues on CPRs (which indicates lack of institutional response to this issue).

Process Indicator - 13 B

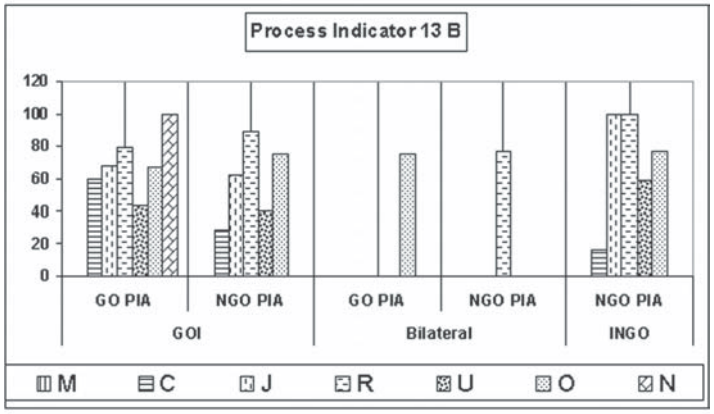
Maintenance of Assets on Private Lands

What is the importance of this indicator?

The maintenance of assets on private lands is considered to be the responsibility of the user groups/ owner of the assets. There is no clear support or indication of any provision for the maintenance of the assets created on the private lands. When the action plan is demand driven and there is a genuine contribution from the users, the assets are expected to be taken care of, by the users, without any external support. This indicator captures the experiences related to this issue in the sample watersheds.

Process Indicator - 13B
Maintenance of Assets on Private Lands

State	GOI		Bilateral		INGO	Total
	GO PIA	NGO PIA	GO PIA	NGO PIA	NGO PIA	
M	0	0	0	0	0	0
C	60	29	0	0	17	47
J	68	62	0	0	100	69
R	80	89	0	77	100	84
U	44	40	0	0	58	46
O	67	75	75	0	77	70
N	100	0	0	0	0	100
Ave	**60**	**49**	**38**	**77**	**59**	**60**



Understanding the Process Indicator

- ☆ The value of Process Indicator ranged from 0 to 100. The overall average of the Process Indicator for this cluster is 60. Some times, "0" also indicates absence of data on this issue (as in the case of MP).
- ☆ The value of Process Indicator is fairly high in case of GO PIAs supported by GoI.
- ☆ Rajasthan, Jharkhand and Orissa based projects scored relatively high values of Process Indicator, indicating better management

systems for maintenance of assets on private lands.

Triggers and Results

- ☆ In the maintenance of assets, there are two parameters. If the quality of assets is high, they may require zero or little maintenance. On the other hand, it the quality of assets is poor, the requirement for maintenance is very essential/ critical. The Process Indicator in the above issues quantifies the experiences related to these two parameters. When the value is 100, the quality of assets is high and do not require any maintenance or repairs.
- ☆ Systems/ practices such as shram daan/ use of WDF and Gram Kosh/ user's own initiatives were promoted by the members of institutions themselves, in response to the damages. Though such institutional arrangements were able to provide necessary response to the situation (mainly in case of CPRs), they are still weak institutional processes.
- ☆ In case of damages on private lands, there is no clear institutional response/ process. It is an informal and unstated practice in this regard. The users/ farmers themselves are expected to take care of assets created on their lands. In most of the watersheds, this process is operational.
- ☆ The efforts of the facilitating agency are not focused on strengthening of institutions for the post- project functions; as a result the maintenance of the assets is a neglected agenda in general (both on CPRs and private lands).

Part 3

Inventory of Process Indicators and Process Results for Key Clusters of the Project

Apart from the above Process Indicators, the inventory of processes also gave several insights on the above theme. From among the watersheds, which followed "green" path, there are very good insights on the processes -their results and indicators. An analysis of the green processes is carried out here to produce a set of "Process Indicators and Their Results". Since the green processes were already explained in the previous sections, an inventory of "Process Results and Process Indicators" is presented.

These indicators and results might sound too exhaustive and too many. The diversity of the processes (red, yellow and green) have much more potential to generate a very interesting and realistic inventory. However, only some of them are measurable and many of them are intangible. The real challenge is to feel and track the intangible and un-quantified processes and their results with effective indicators. The methodology for quantifying the processes (results and indicators) was already explained in the previous sections. An inventory is presented to the readers to provide a comprehensive picture of the processes – its diversity, results and possible indicators. The project authorities/ managers could explore ways of using some of these indicators for strengthening the project processes at different levels. These are organized as per the key clusters of the processes (as per the project management cycle).

Initial Phase

Key Clusters of Processes

Main Themes - Awareness Generation, Resolution from the village and Base Line Surveys (Situational Analysis)

Process Results

- ☆ Entire community is informed about the details of watershed development program.
- ☆ Women and poor families are particularly aware about the opportunities that they could get from the project.
- ☆ Men supported women in several watershed related activities in the village.

- ☆ Grama Panchayati members and members of facilitating agencies developed rapport with each other.
- ☆ As a result of Situation Analysis (part of Base Line Surveys), the following outputs were generated.
- ☆ Identification of important problems
- ☆ Identification of most effected population.

Process Indicators

- ☆ Levels of awareness among different communities of the village
- ☆ Women being able to speak about the watershed program
- ☆ Poor families are aware of the opportunities available to them in the project.
- ☆ Members of existing institutions of peoples (DWCRA, SHG and other institutions) being aware or able to talk about the watershed program.
- ☆ Number of occasions (meetings, events, activities) in which men and women together participated and got equal opportunities.
- ☆ Women able to speak in public forums.
- ☆ Number of public events in which all sections of village participated (men and women of all communities)
- ☆ The number of resource/ communication material accessed/ prepared/ distributed by facilitating agencies and number of such occasions.
- ☆ Number of attempts made/ methods used by facilitating agencies for conducting situation analysis/ base line survey.
- ☆ List of problems and effected population in the village generated by these exercises.
- ☆ Levels of awareness among villagers (men and women, elders and members of Grama Panchayati, SHG and farmers) on the outcome of situation analysis and outputs from these PRA exercises (E.g. By conducting a participatory exercise on institutional analysis such as Venn diagram, WDT members and common person in the village are aware of the most accessible institution in the village).
- ☆ Number of special themes on which situation analysis was conducted (E.g.: Work burden of women, access analysis of drinking water, fuel wood, wage opportunities, ITK etc).
- ☆ Number and quality of documented cases highlighting the situation of different categories of communities.

Institution Development Phase

Key Clusters of Processes

Main Themes - Existing Groups; New Groups (User Groups); New Groups (SHGs); Formation of Watershed Committee

Process Results

- ☆ Existing institutions and their experiences are recognized and given appropriate responsibilities in the project management. This process resulted in opening up several livelihoods opportunities including capacities for the members of these institutions.

- ☆ The entire process resulted in establishing variety of institutions of communities depending on their as well as the project needs. The project management also improved with this institutional arrangement (E.g.: Commodity based groups, hamlet based user groups/ committees).

Process Indicators

- ☆ List of existing institutions and their profile
- ☆ An action plan for involving the existing institutions in the watershed development action plan.
- ☆ List of poor families /women dependent families/ poor women
- ☆ A record of recognized families of wage labour.
- ☆ Record of poor people who are not members of any group.
- ☆ Calendar of watershed related trainings to be prepared.
- ☆ Number of tasks performed by members of existing institutions in the watershed context (such as EPA and others).
- ☆ Number and types of new institutions created.
- ☆ % of population enrolled in new institutions.
- ☆ Number of institutions that enrolled poor and disadvantaged members
- ☆ Number of group leaders/ activist from weaker sections of the society (men and women).
- ☆ Time (Human resources) and energy dedicated by facilitating agencies for creating new institutions and strengthening them.
- ☆ Action plans for strengthening the new institutions

Participatory Planning Phase

Key Clusters of Processes

Main Themes - Problem Analysis, Site Selection, Local Volunteers and ITK, Group/ Individual Plans, Discussions on Non-Negotiables, Designs and Estimates, Consolidation of Action Plans and Changes in Action Plans; Approval of Action Plans

Process Results

- ☆ Diversity in action plans helped to address critical concerns identified during situation analysis. Equity and gender concerns are integrated in action planning (focus on CPRs, livestock related interventions and so on). Drinking water facilities for human beings and livestock got established as part of watershed plan.
- ☆ Newer elements in the action plan got introduced as part of watershed action plans. Poor families got support from project to improve their livelihoods and productivity of their assets.
- ☆ As a result of the above process, higher levels of transparency got established and critical concerns such as gender and equity got mainstreamed in the watershed action plan. The non-negotiable issues such as contribution from users were also discussed and accepted in the watershed projects. The role of institutions in action planning process got crystallized.

Process Indicators

- ☆ Diversity of interventions in action plans on NRM.
- ☆ % of budget that is allocated to developing assets of poor families (land, water and livestock and CPRs).
- ☆ Number of interventions aimed at reducing the burden/ work load of poor and women.
- ☆ Components of action plan and budget allocations to each component.
- ☆ Number of interventions and % of budget allocated to new activities such as productivity and livelihoods promotion activities, in the action plan.
- ☆ % of poor families who got support from action plans.
- ☆ Whether gender scrutiny of action plan is conducted or not?
- ☆ % of budget that is allocated to tasks/ activities that reduce work load of women and improve their livelihood options.
- ☆ % and Number of women who benefited from interventions of action plans.
- ☆ Number of activities/ tasks that are identified and preferred by women.
- ☆ Number of activities/ tasks that are identified and preferred by poor families.
- ☆ Priority given to CPR – Lands, water bodies and livestock in action plans.
- ☆ Time taken for approval of action plans at village level/ district level.
- ☆ Whether approval of action plan was formally sent back to the facilitating agencies and village community (Watershed Committee/ Other institutions) by the district project authorities?
- ☆ Number of conflicts resolved during the approval stage of the action plan.

Implementation Phase

Key Clusters of Processes

Main Themes - Mobilization of Contribution; Knowledge of Communities on WDF; Execution of Works; Measurements; Payments

Process Results

- ☆ Greater transparency is achieved in repetitive meetings for deciding priorities and planning for actual implementation of works. Funds at user group level gave greater control to user groups in project implementation.
- ☆ This process of mobilizing genuine contribution from the user groups helped to develop greater sense of ownership among the UG members. This is reflected in their roles in the context of minor repairs and maintenance. Apart from this, the wage seekers are not exploited during the course of implementing the works (which is the most common practice in the sample watersheds). Since UG members also worked as laborers along with hired laborers, the UG members could contribute part of their wages.
- ☆ Execution responsibilities are shared by village level functionaries, mainly by user groups in these villages. The watershed committee/ user groups played an important role to supervise the user groups and making payments. In this process, the interests of both wage seekers and asset owners are taken care of.

- ☆ The payments and record keeping responsibilities are with local institutions and WDT plays the role of supporter and builds their capacities eventually. Payments are made by cheque to the leaders of groups, enhancing the transparency.

Process Indicators

- ☆ % of deviation between planned budget and released budget.
- ☆ Levels of decentralization in terms of fund releases and monitoring support provided.
- ☆ Number of bank accounts opened for taking and using funds.
- ☆ Share of funds allocated on CPR/ developing assets of poor families in the first installments.
- ☆ Deviations of action plan in terms of activities and target groups (between originally submitted plan and actually implemented plan).
- ☆ Number of meetings at community level for deciding priorities.
- ☆ Who contributes?
- ☆ Whether receipts are given to the contributors?
- ☆ % of genuine contribution mobilized from users.
- ☆ % of advance contribution mobilized from users
- ☆ Number of responsibilities/ tasks performed by local communities (user groups/ other functionaries).
- ☆ Number of responsibilities/ tasks performed by external facilitators (WDT/ MDT/ local or external Contractors/ Others).
- ☆ Who maintains the records?
- ☆ Who keeps the cheque book?
- ☆ Frequency of reviews/ audits
- ☆ % of expenditure paid through cheques
- ☆ % of expenditure paid through cash
- ☆ % of expenditure paid to labor groups

Post Project Issues

Key Clusters of Processes

Main Themes - Use of WDF and Future of Watershed Assets and withdrawal of PIA

Process Results

Decisions on the above themes and practicing those decisions are the results of all previous processes adopted in the villages. Practicing such norms would eventually help in sustainable use of watershed resources. There are no clear lessons from the processes adopted in the sample watersheds. However, based on the expressions of the communities and some indicative trends, the following process indicators are mentioned here. Some of them might be hypothetical at this point of time.

Process Indicators

- ☆ Amount reserved for maintenance
- ☆ Existence of norms for repairs and maintenance/ management
- ☆ Number of occasions in which the norms are practiced and implemented
- ☆ Number of groups who got rights over assets/ products of watershed assets.
- ☆ % of Groups engaged in repairs and management on their own

Part 4

Application of Process Index - Diagnosis and Solution Exchange

A tool like "Process Index" could be applied to different purposes such as assessing, comparing, diagnosing, quantifying, understanding a particular cluster of processes operating in different contexts (states/ donors/ facilitating agencies/ time periods/others). In this section, another application of Process Index is briefly presented.

This application is mainly in the context of "diagnosing" the health of processes in a particular project (or category of projects) and find out solutions to the identified problems. When the comparison is made across different projects with the help of Process Index, both weak processes and strong processes will be observed. The solution to a particular weak problem of a particular project (or category of projects) could be found out from several strong processes which are already in vogue. These processes could be within the same state funded by the same donor and facilitated by other type of facilitating agency OR within other projects funded by other donors in the same state/ other states. The Process Index helps the project authorities to "diagnose" the processes within their projects and facilitates the process of exploring the "solutions" from the region/ beyond the given region and helps to "fix" it. This application of the Process Index is explained below, in a step by step manner.

Step 1

Diagnosis of Processes of GoI Funded and GO PIA Facilitated Projects

To illustrate this application of Process Index, one could take the weak processes operating in GoI funded and GO PIA facilitated projects. Based on the values of Process Index, the processes in these projects are classified into weak, average and strong categories. From this categorization, one could make the following observations.

- ☆ The GO PIAs in UP have highest number of weak processes (24 out 27).
- ☆ The GO PIAs in Orissa have lowest number of weak processes (3 out of 27).
- ☆ On an average, 38% of processes are weak in all states under GO PIA facilitated projects (10 out of 27).
- ☆ 46% of processes are of average quality (and only 16% of processes are strong across the states.

Now there is a need to find out solutions to the problematic processes (weak/ average processes).

Step 2

Solution Exchange

After the above diagnosis and finding out the weak processes (problems), the project authorities could find appropriate solutions from among the on-going processes else where. For facilitating this, the following areas need to be explored.

- ☆ Are there examples of facilitating strong processes (green processes) within the same state, funded by the same donor (but facilitated by another type of facilitating agency, perhaps)?
- ☆ Are there examples of facilitating strong processes (green processes) funded by other donors and facilitated by another type of facilitating agency within the same state?
- ☆ Are there examples of facilitating strong processes (green processes), funded by other donors and facilitated by another type of facilitating agency outside the selected state?

Here again, the Process Index helps to track such "green" processes and presents them to the project authorities/ managers. Based on a clear understanding on the "triggers" (causative factors of these processes) behind these green processes, the project authorities/ managers could pick up lessons/ tips for improving the processes in those selected states. Appropriate use of such tips/ lessons will help to push processes from red to yellow to green.

Part 5

Conclusions

Based on the above analysis of process data from the selected watersheds, the following conclusions are made.

1. Process Index is a useful tool for quantifying the processes of different types of projects across different donors/states.
2. This quantified Process Index helps to perform two functions simultaneously.
   a. On one hand, it helps to neutralize the influencing factors (such as influence of donors/ facilitating agencies/ state or regional influences) by giving a particular value to a cluster of processes in a given context.
   b. On the other hand, it helps to link/connect this value with influencing factors in a rational manner and draw lessons on the influence of these factors on the processes in a given project.
3. The Process Index helps to compare similar processes (a given cluster of processes) across different types of projects facilitated by different types of agencies and funded by different donors in different states/ regions.
4. This tool could also be used for facilitating reflections among the project teams and develop new strategies for addressing the critical concerns (diagnosis of problems) and/or up scaling good processes (solution exchange).
5. Process Indicators also perform similar function. These indicators help to track the critical processes and their "triggers and results". Process Indicators also help to compare different projects on critical processes.
6. Process Indicators also help to design the project processes, if the project designers are conscious of the project and process indicators. The potential triggers and results could be identified and strengthened from the very beginning of the project so that the processes are "green/ strong".
7. Another application of the Process Index and Process Indicator is the process monitoring, diagnosis and solution exchange for improving the processes of the project.

8. The following are the necessary conditions for the application of this tool.
   a. Willingness of the project authorities/ managers/ donors to focus on participatory processes and strengthen them with complete commitment.
   b. Willingness to allocate necessary human and financial resources for developing the inventory of processes and evolve Process Index and Process Indicator from the process data base.
   c. Willingness to reflect on the processes of the project from time to time, with the help of Process Index and Process Indicator, in a systematic manner.
   d. Policy support to facilitate and continue such reflections and strategic actions towards improving the participatory processes at village/ facilitating agency/ district/ state/ national levels.

Support of capable agencies that can provide necessary professional support to the entire process in an objective manner at different levels of the project and build the capacities of the project teams on the related themes.

Table - E

Who has the action plan?

	Response	M	C	J	R	U	O	N	Basic Value	6.25
1	Community does not know.				R6	U1, U5 U6, U2			0	0
2	PIA has the action plan. But its misplaced					U4			1	6.25
3	WDT has the action plan				R1		O3		2	12.5
4	Only PIA has the action plans	M7 M8	C1 C8	J2, J5 J6, J7				N4,N8 N6	3	18.75
5	WC Secretary usually has the copy but now its with PIA					U3			4	25
6	Copies of Action plans are transferred to Project Authorities after completion of project period (DRDA -As per GO in MP - ALL PIAs transferred records to ZP/DRDA & MoArgi and JDSS)	M1 to M6							5	31.25
7	Chairman and Secretary have the plans/ know where it is. But other members do not know				R1,R2 R5				6	43.75
8	WDT and WC Chairman							N1,N2 N3,N5 N7	7	50
9	PIA + WC + WDT					U8			8	56.25
10	PIA has the action plan. Community is aware of this				R2,R4 R5,R7 R8		O1,O4 O6,O8		9	62.5
11	WC has the action plan. Community is not aware of this.				R1,R3				10	68.75
12	WC alone has the action plan. Communities know it.		C2				O5		11	75
13	The copies of action plans are available with DRDA/ ZP (Project Authorities), PIA/WDT and WC		C4			U2,U6	O2		12	81.25
14	Copies of Action Plans are with Secretary, Chairman, PIA and WDT.		C5				O7		13	87.5
15	Copies of Action Plans are with WC and Project Officer (PO)		C3,C6 C7			U7			14	93.75
16	Copies of Action Plans are with Secretary, Chairman, PIA and WDT. Community knows where the action plans are.			J1,J3 J4					15	100

Annexure

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.

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 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.

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ARAVALI
Department of Agriculture NAGALAND
NCHSE
OWDM
Pradan