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**Approach Paper on
expanded base of community participation (ECP)
in the rural water supply and sanitation in the
IDC programme in Uttar Pradesh
&
Workshop Recommendations**



PROGRAMME SUPPORT UNIT
Indo-Dutch Co-operation

822-92-11824



Approach Paper

Expanded base of community participation (ECP) in the rural water supply and sanitation in the Indo-Dutch Cooperation (IDC) programme in Uttar Pradesh

1. Background

This approach paper is an outcome of the experience of four years of intense activities to foster community participation in the Indo-Dutch Cooperation (IDC) rural water supply and sanitation programme in Uttar Pradesh. In an effort to mobilise the community to respond positively to the facilities being provided, certain elements, having the potential to sustain the programme, have emerged. It was realised that these elements need to be given wider coverage for ensuring community participation and the inputs of relevant departments should be integrated. With this in mind a number of discussions with State government officials, implementing agencies and the representatives of the funding government were held and it was concluded that the base of community participation needs to be extended.

2. Scope

The approach envisaged in this document has scope for wider coverage, with possibilities of eventual replication in the entire rural water and sanitation sector in U.P. It is to be noted that this approach, requiring specific skills in the field of community participation, has evolved out of IDC's limited experience within the framework of the existing government structure.

3. Rationale for expansion of base of community participation

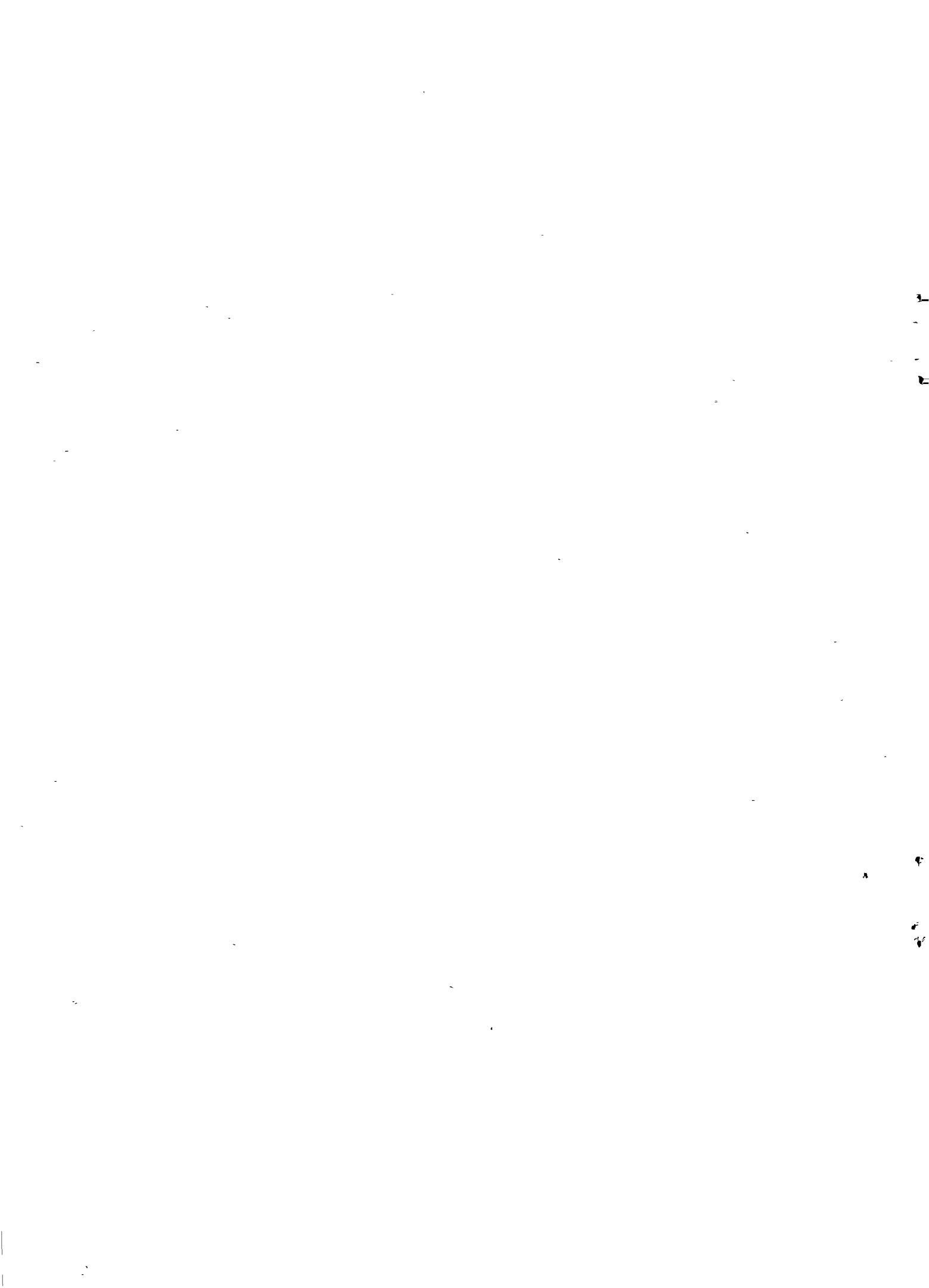
3.1 Need for community participation in the water and sanitation sector

Although the water and sanitation programme in U.P. has completed around fourteen years of technical and financial cooperation with the Netherlands government, community participation as a critical pre-requisite was only introduced as late as 1988 March, with the setting-up of PSU.

The concept of community participation in water and sanitation stemmed from few basic needs :

- the need to create awareness and thereby encourage the optimum use of safe water and sanitary facilities;
- the need to ensure an effective decentralised system of operation and maintenance of facilities;
- the need to involve women at all levels of implementation;
- the need to strengthen or create, as the case may be, grass-root organisations to support the programme; and
- the eventual need to ensure the sustainability of the programme.

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3.2 Effecting community participation under IDC

A pragmatic and meticulously planned situation specific field oriented approach has been adopted for ensuring effective community participation (Fig. 1.1 and 1.2). This involves several steps and activities, the critical one's being :

- identifying social and technical inputs and striking a critical balance between them;
- formulating a district specific participatory plan of action alongwith Jal Nigam;
- facilitating participation of local community, especially women and children and the Gram Panchayat, for selecting socially and technically acceptable sites alongwith UP Jal Nigam;
- undertaking intensive awareness creation drives through inter-personal communication, house to house contacts, health camps and group meetings;
- establishing a local network by identifying and orienting village level workers/resource persons for supporting the programme and contributing towards its sustainability;
- facilitating and supporting the formation of village level participatory structures like Jal Samitis and identifying and training caretakers for effective preventive maintenance; and
- attempting to mobilise other relevant district agencies and programmes like Health, Education, the Nehru Yuvak Kendra and Mahila Mandals, to provide supplementary and support services to the programme.

4. Initial activities related to broad-basing community participation

4.1 Need

Expanding the base of community participation has emerged more as a need-based process rather than a concept. The necessity arose due to the following reasons :

- the need to intensify the contact with each and every project village which a single Social Scientist was unable to achieve;
- the felt need to supplement the water and sanitation programme with supportive programmes like Health and Education; and
- the need to institutionalise the concept of community participation.

4.2 Initial activities

So far the activities leading towards the expansion of the base of community participation have been :

- the formation of District Coordination Committees (vide letter no. 207T/CGA/9-2-92 dated September 5, 1992) for facilitating community participation in the IDC water and sanitation programme;
- constant interaction with Block Development Committees (BDCs) which are forums/areas for integration with various government departments like Health and Education and also a meeting point for Gram Pradhans;
- supporting non-formal education as an auxiliary component of formal education. An "each-one-teach-one" approach has been adopted in Gonda and informal schools are being initiated and supported in Rae-Bareli; and
- training handpump caretakers and mechanics in preventive maintenance of handpump and also break-down maintenance.

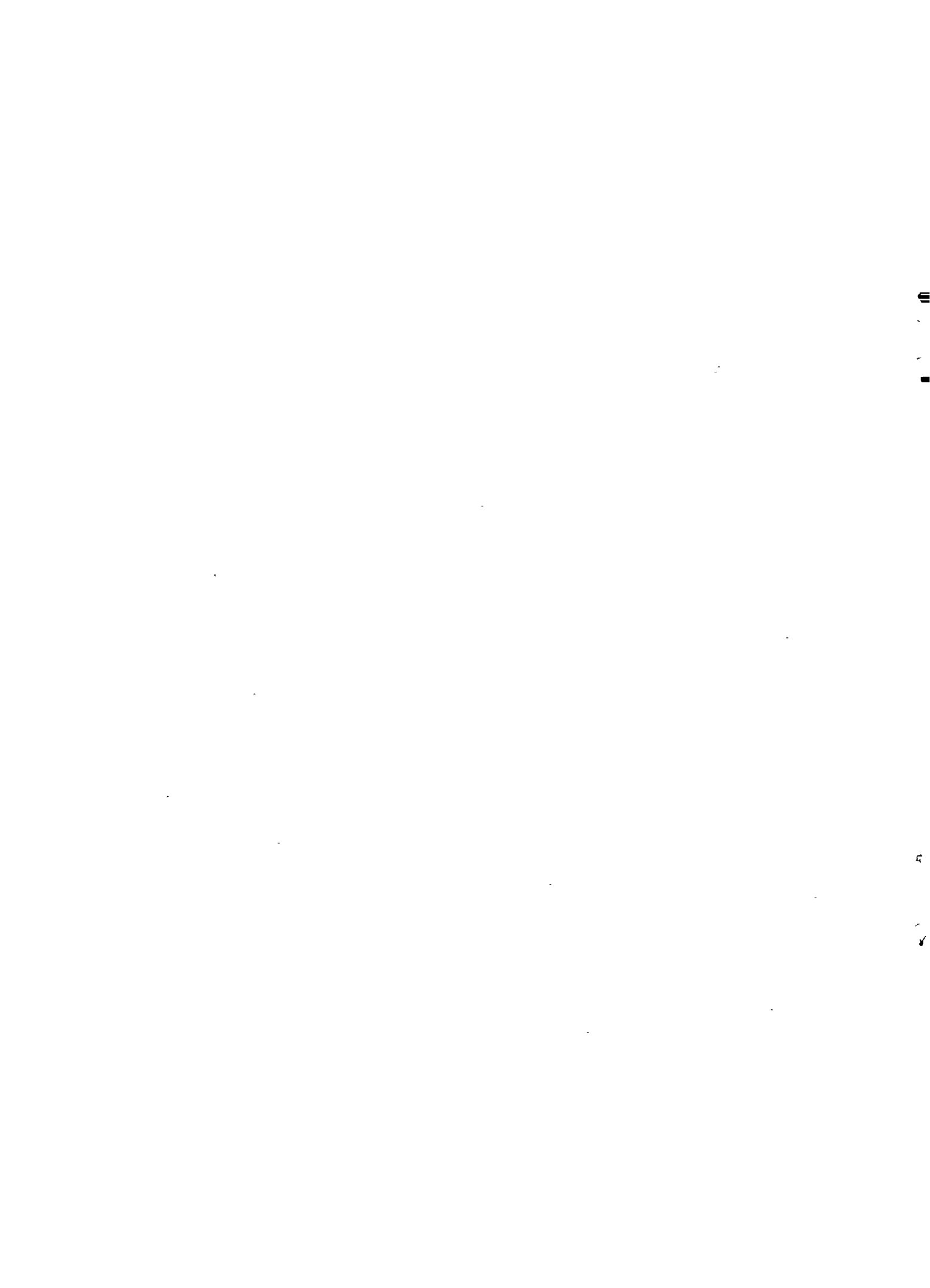
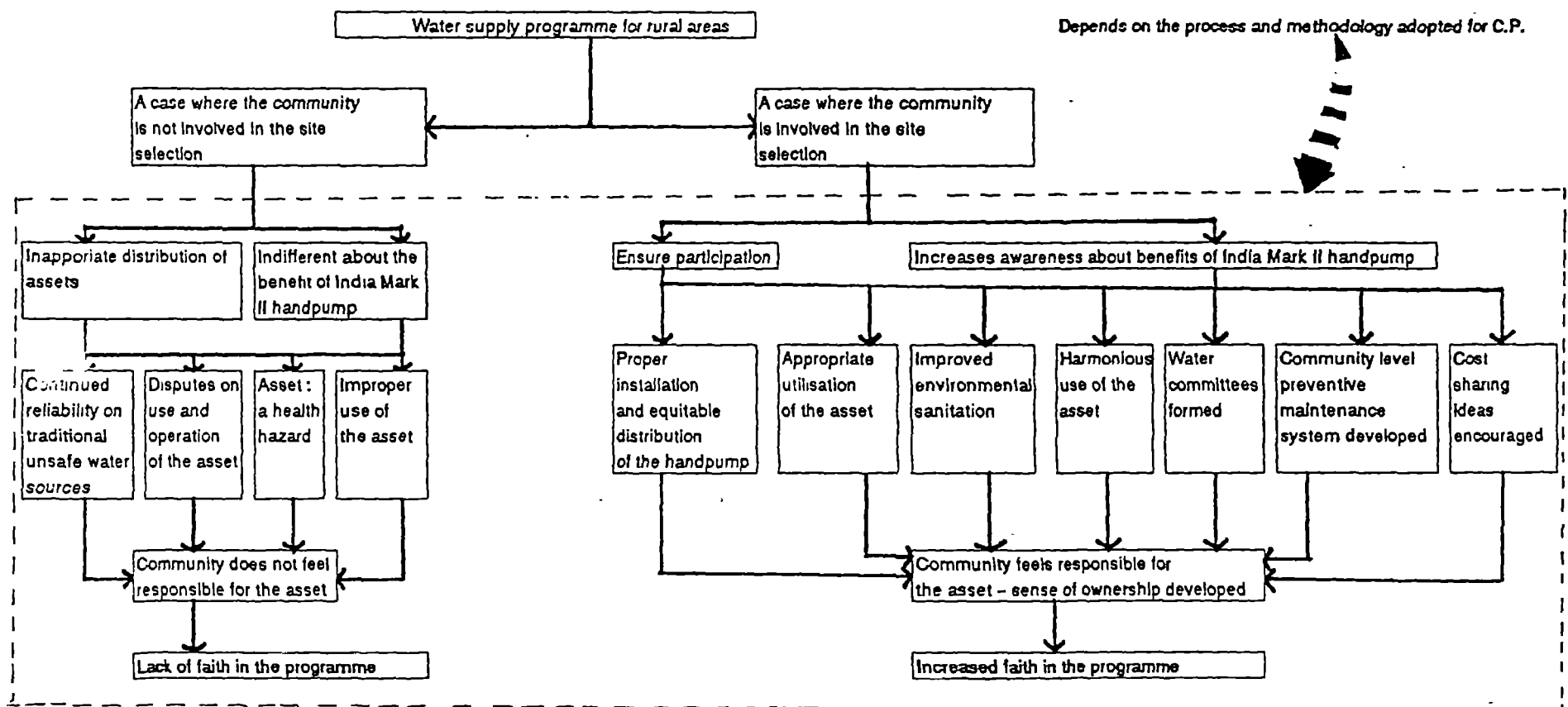


Fig. 1.1

Site selection process and the resultant consequences



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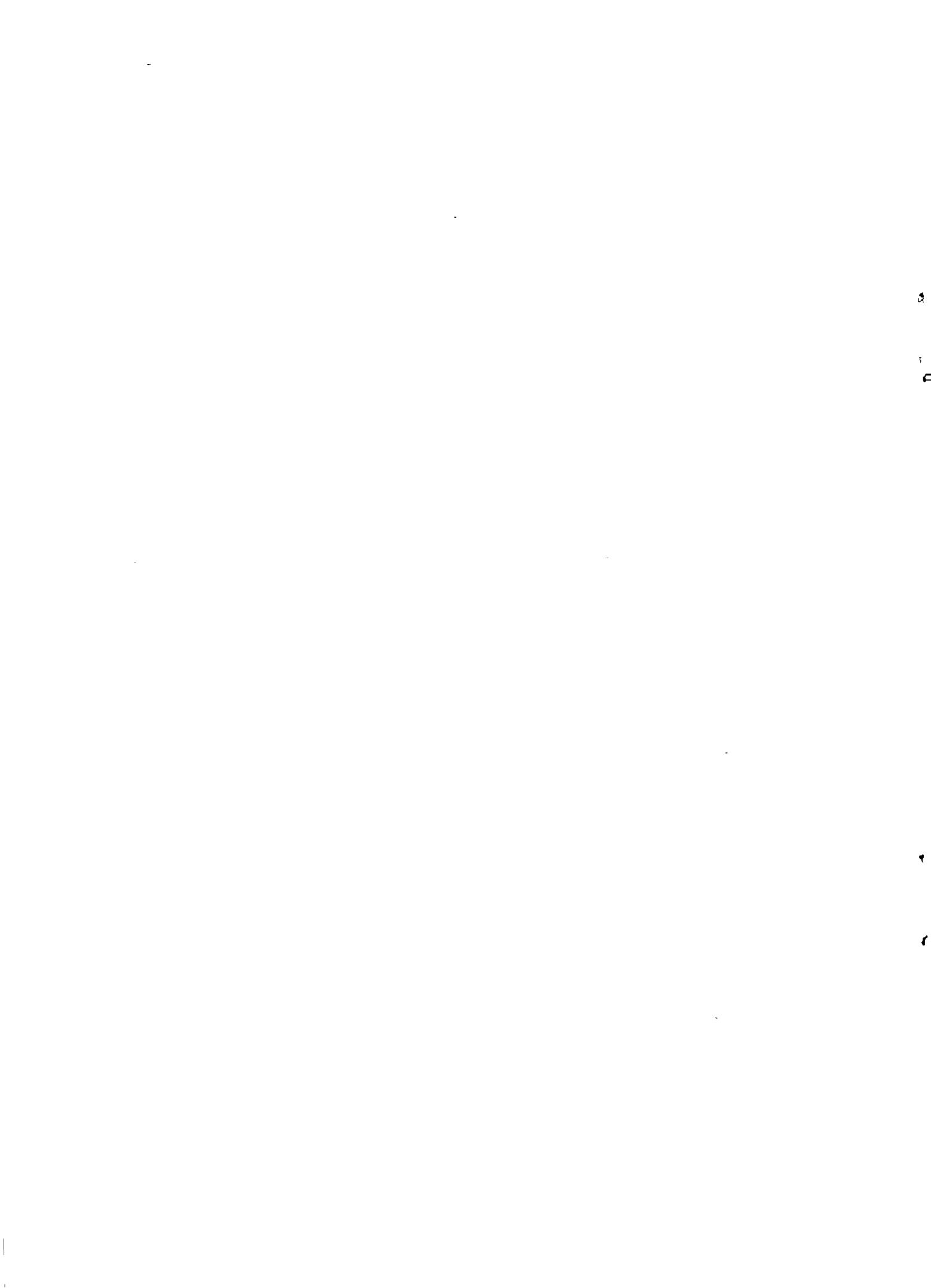
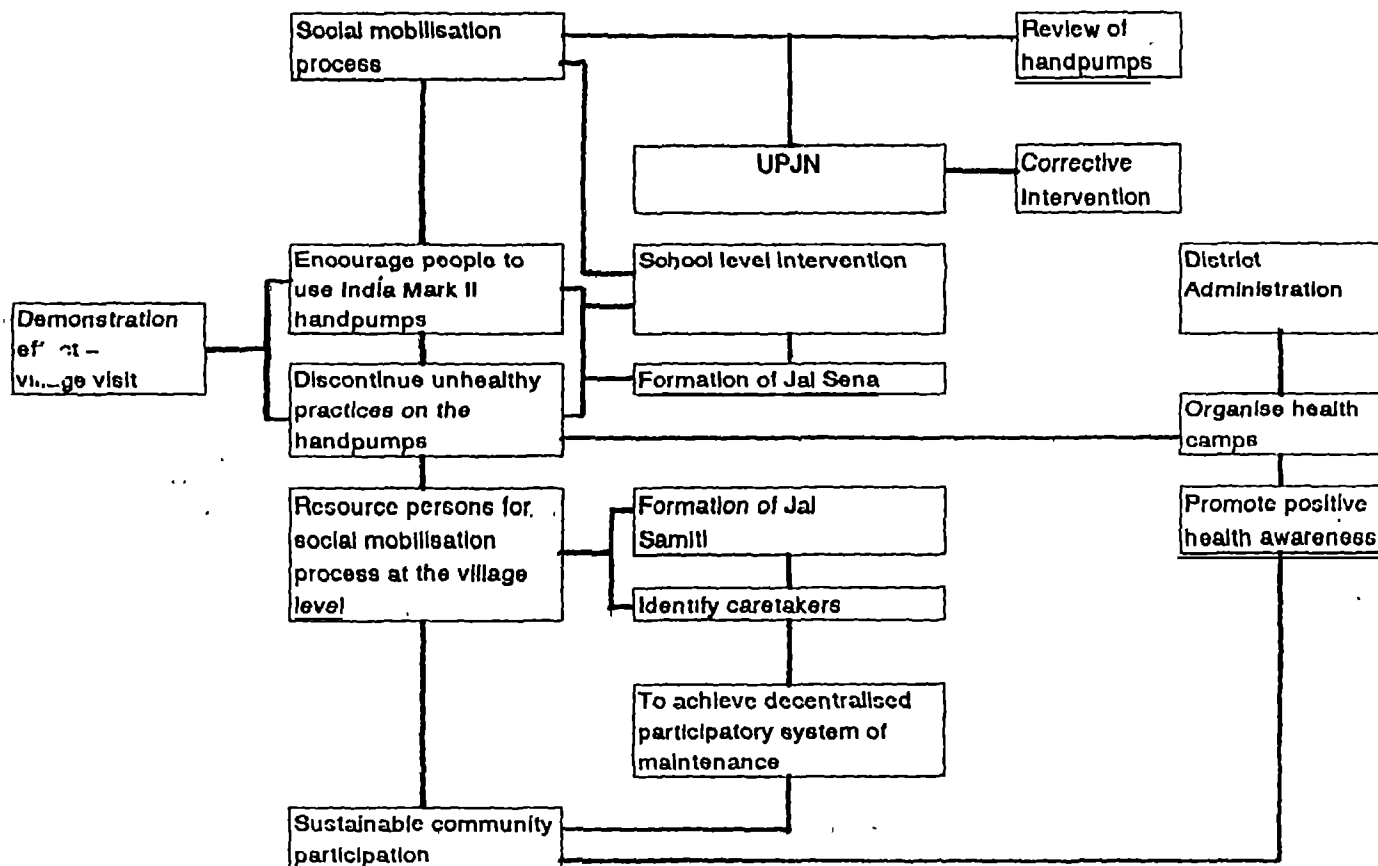
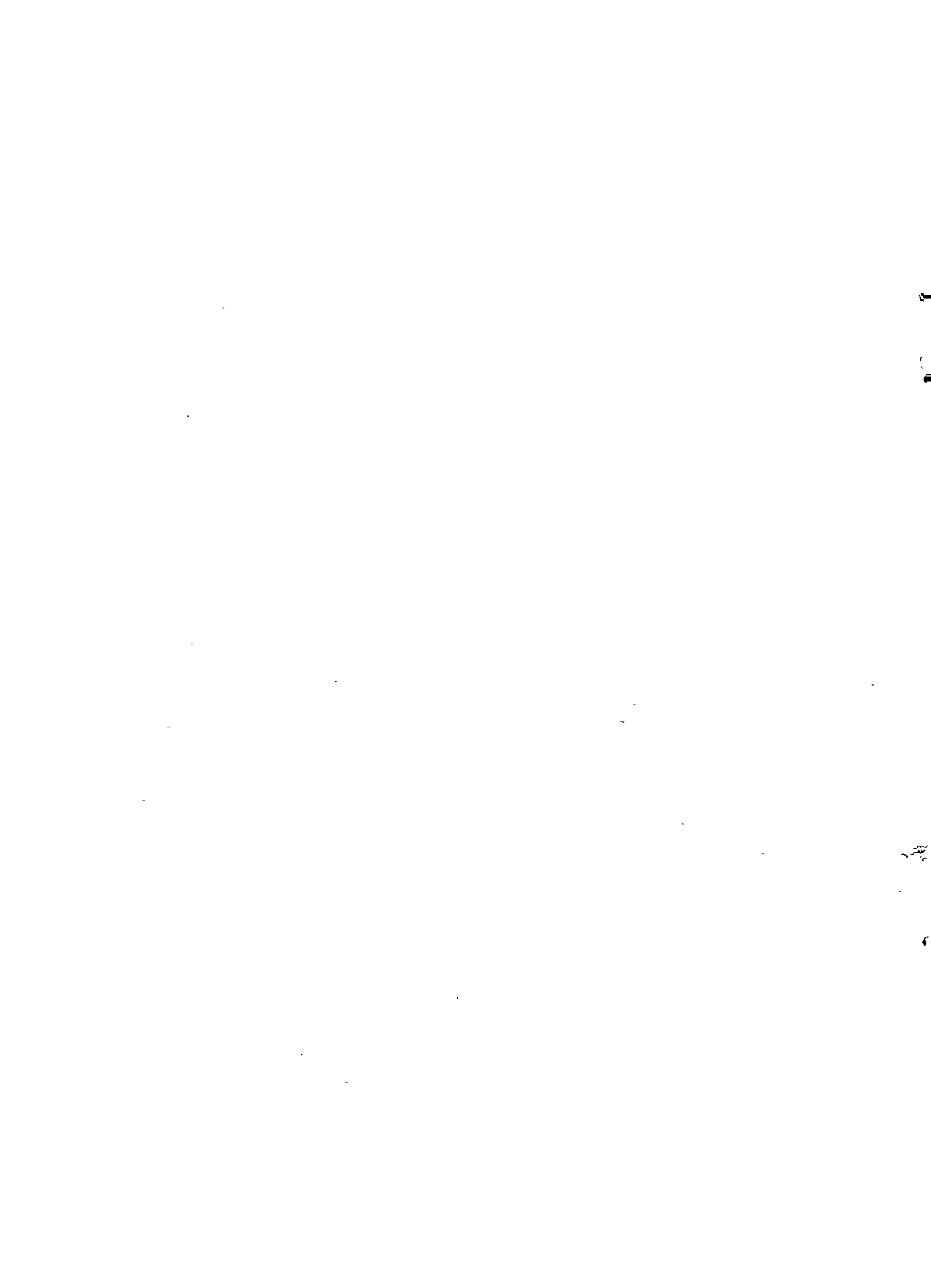


Fig. 1.2

Schematic outline of the process and methodology adopted for community participation





5. Emerging elements of sustainability

What has emerged from these efforts are certain distinct elements which would definitely contribute to the sustainability of the IDC water and sanitation programme :

- close village by village contact drive;
- enhanced involvement of women;
- inter-sectoral linkages to facilitate accessibility to health infrastructure and education;
- cost-sharing by the community in the provision and maintenance of facilities;
- local user based institutions equipped to foster community management.

6. Recommendations of the workshop

The community participation experience and the proposed approach to expand the base of community participation in IDC was deliberated at a workshop held at Lucknow on November 24, 1992. The workshop, recommending that the PSU experience should be replicated, stated that the relevant inputs of the identified departments of Rural Development, Panchayat Raj, Education and Health should be integrated with the IDC water and sanitation programme. Community participation in each IDC district will be facilitated by District Coordination Committees (DCCs) and Block Coordination Committees (BCCs) to be specially formed for this purpose. The responsibility for operation and maintenance of the water facilities should be shared by the local community after adequate preparation and ground work. PSU would play the role of a catalyst in this set-up. (Annex - Workshop Recommendations)

7. Policy for broad-basing community participation in IDC : contents and approach

7.1 In view of these developments it is felt that a definite policy for expanding the base of community participation in IDC has now to be formulated on the following lines :

- Formalising the involvement of the departments of Health, Education, Rural Development and Panchayat Raj in the programme; the ICDS and DWCRA, wherever possible, should be integrated into the programme
- Specifying the nature and level of involvement of each department. This would include identification of the grass-root functionaries, their functions, their reporting and coordinating authorities, additional remuneration in terms of honorarium, and training and logistic support
- Clearly defining the structure, role and function of the DCC as the coordinating committee for facilitating community participation in IDC water and sanitation programme
- Formalising and institutionalising the catalytic and facilitating role of PSU.

7.2 Operational plan for ECP

The entire approach to the ECP has been perceived as a bottom-up approach (BuA) where the State would positively respond to the articulated needs of the community. The crucial link for operationalising the bottom-up approach would be the DCCs. The DCCs in support with the BCCs and Social Scientists will evolve relevant linkages at blocks and villages. (Fig. 2) The operational plan at four levels may be structured with the following major tasks to be accomplished either jointly with the concerned department/agencies or independently by PSU as the case may be.

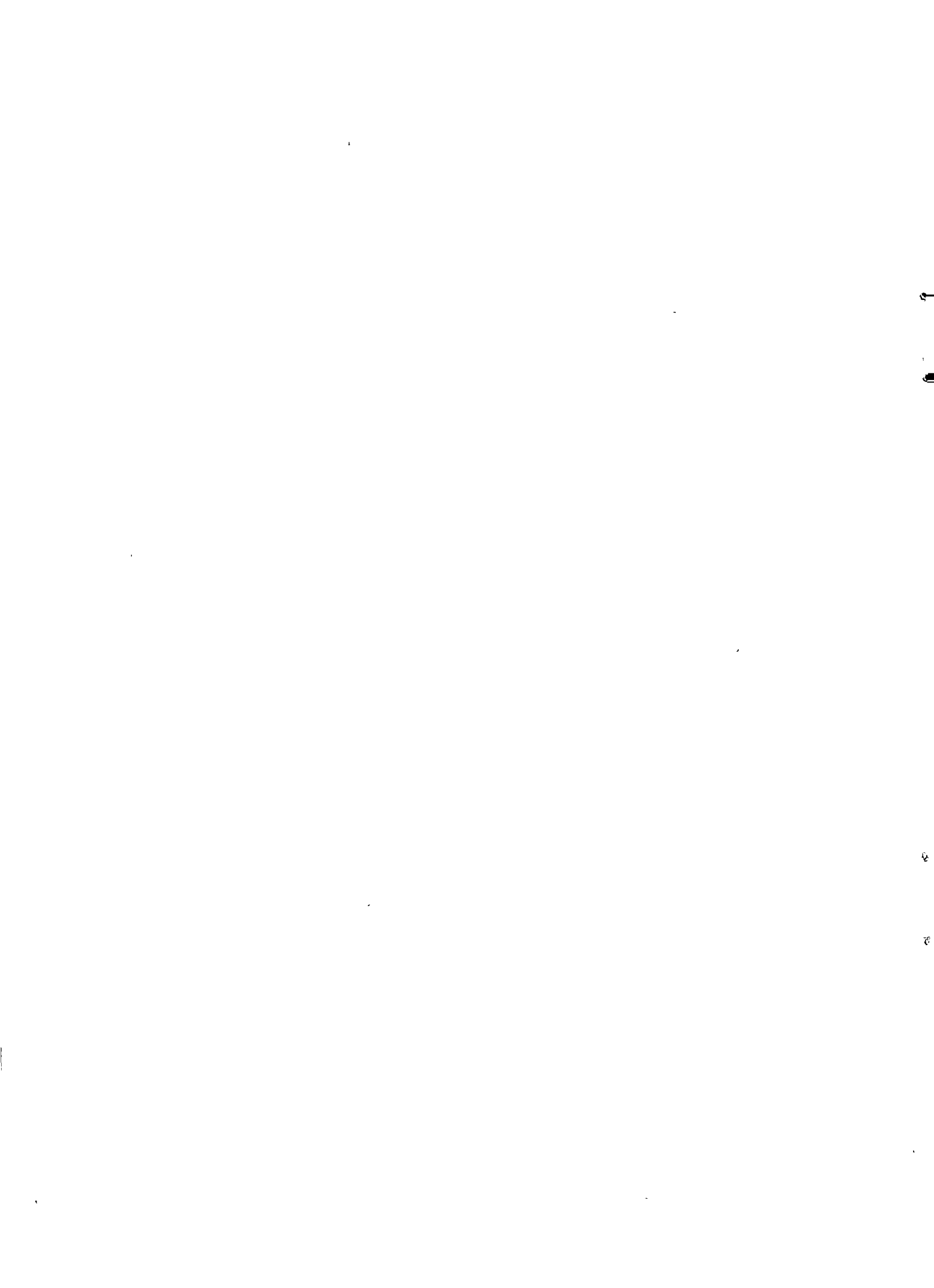
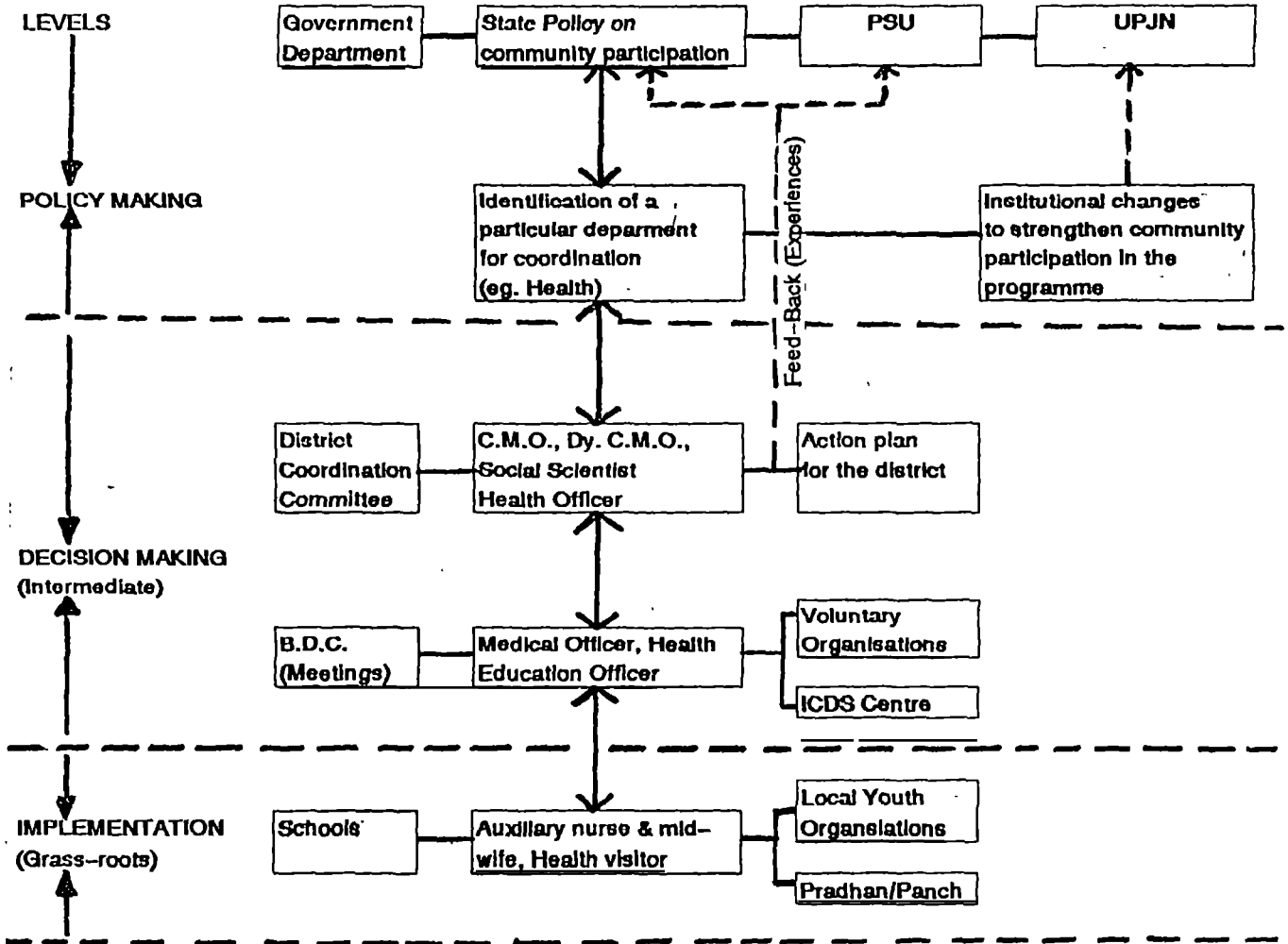
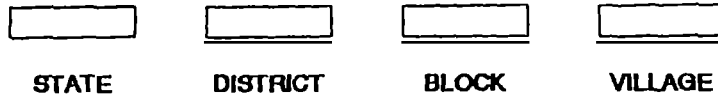
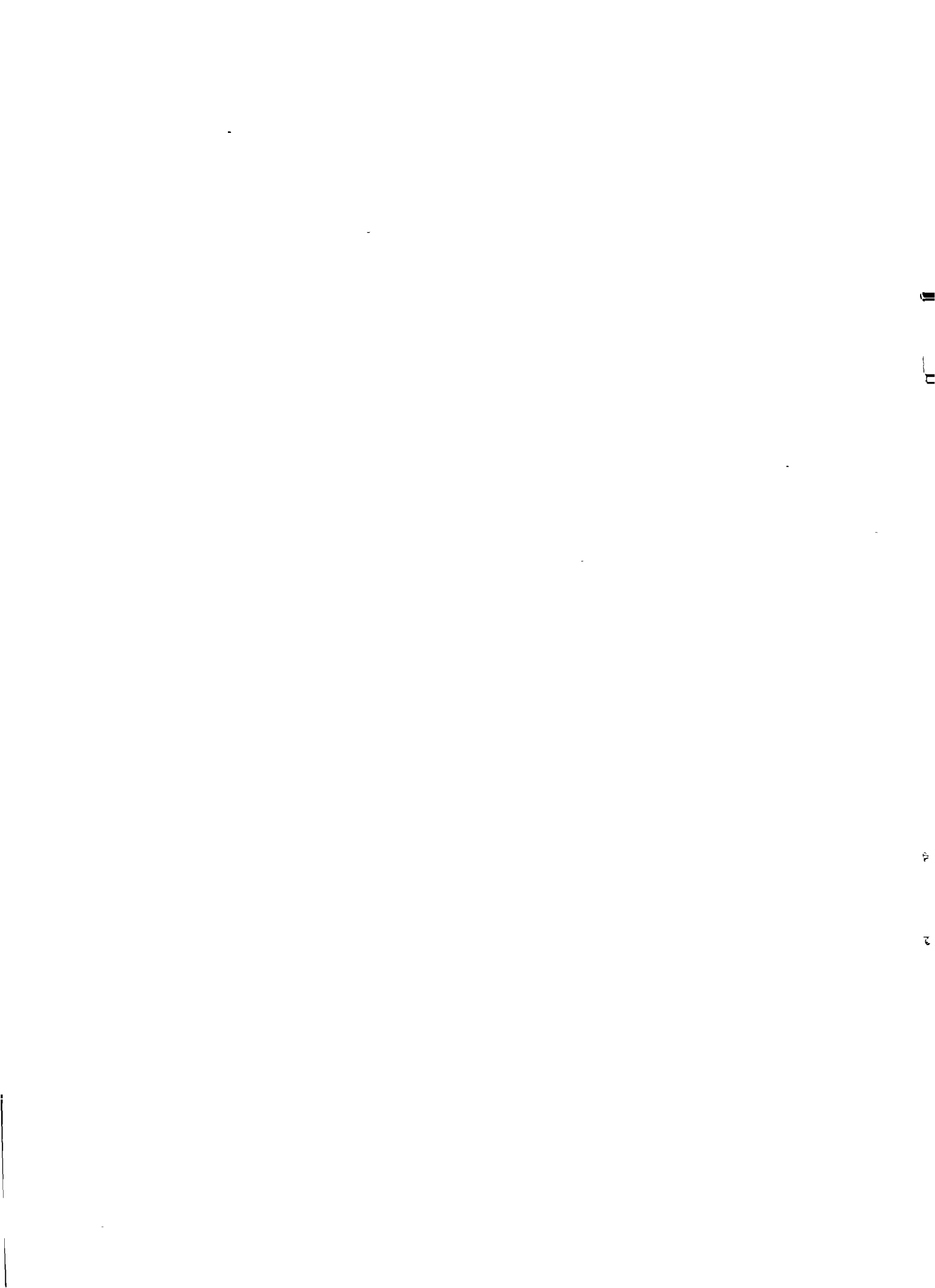


Fig. 2
 Conceptual Model Illustrating Intervention
 required at various levels to enhance community participation



LEGEND





i) Village

- Inventories of village level functionaries of the departments of Health, Rural Development, Panchayat Raj and Education will be prepared to identify role, functions and responsibilities of the concerned functionaries to promote community participation
- Potentials and gaps of above mentioned functionaries/institution for community participation will be evaluated in support with the concerned block level officials
- The identified village level network will assist PSU in promoting community participation, enhancing health awareness and facilitating Jal Samitis.

Pradhans and other active resource persons will be involved to evolve a broad-based village level set-up. Meetings of the Pradhans of IDC villages would be organised for necessary feed-backs. A directive to the Pradhans to continue to provide support to the IDC programme would facilitate community participation. This will also help in inter-linking the community participation activities with those that are undertaken under Jawahar Rozgar Yojna.

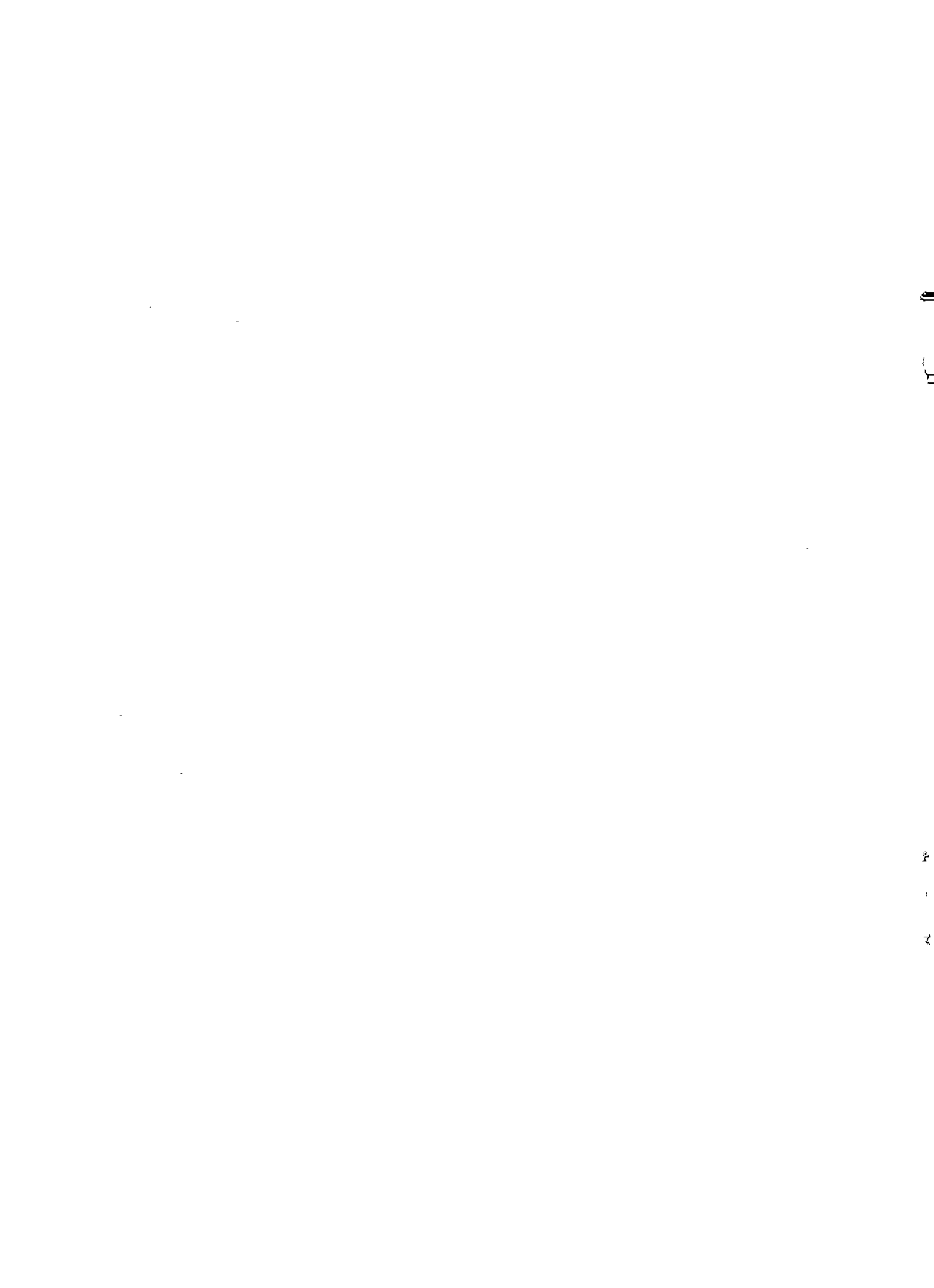
ii) Block

- A block level officer will be identified for monitoring the activities under IDC and will also be an important link in MIS established for the IDC
- The set-up at block level will also help in training and orienting the village level functionaries in support with PSU and district level officials
- Information regarding the existing resources, on going activities, and support areas at the village level will be gathered by the block staff to be forwarded to the DCC from time to time
- The training could be held at the PHC of the Block headquarters with the support of the Medical Officer-in-charge, Health Education Officer and other authorities at the block level
- The BDC meetings are being utilised for adopting an integrated approach in community participation activities. They are serving as a forum for necessary village-wise feed-back on water, health and other related issues. The follow-up required from the DCC for redressal of problems can be coordinated through these meetings or through the BCC formed exclusively for the IDC.

Thus the block can serve as an important intermediate level in coordinating and facilitating information flow and supporting activities related to community participation.

iii) District

- The DCCs will function to facilitate the coordination of the water and sanitation programmes and will activate the implementing set-up for the IDC. DCCs have already been formed in all the districts of SP VI
- The tasks of the DCC will be to ensure :
 - regular information flow to the concerned officials at Block and State level on programme implementation;
 - coordinate and monitor the integrated progress of community participation; and



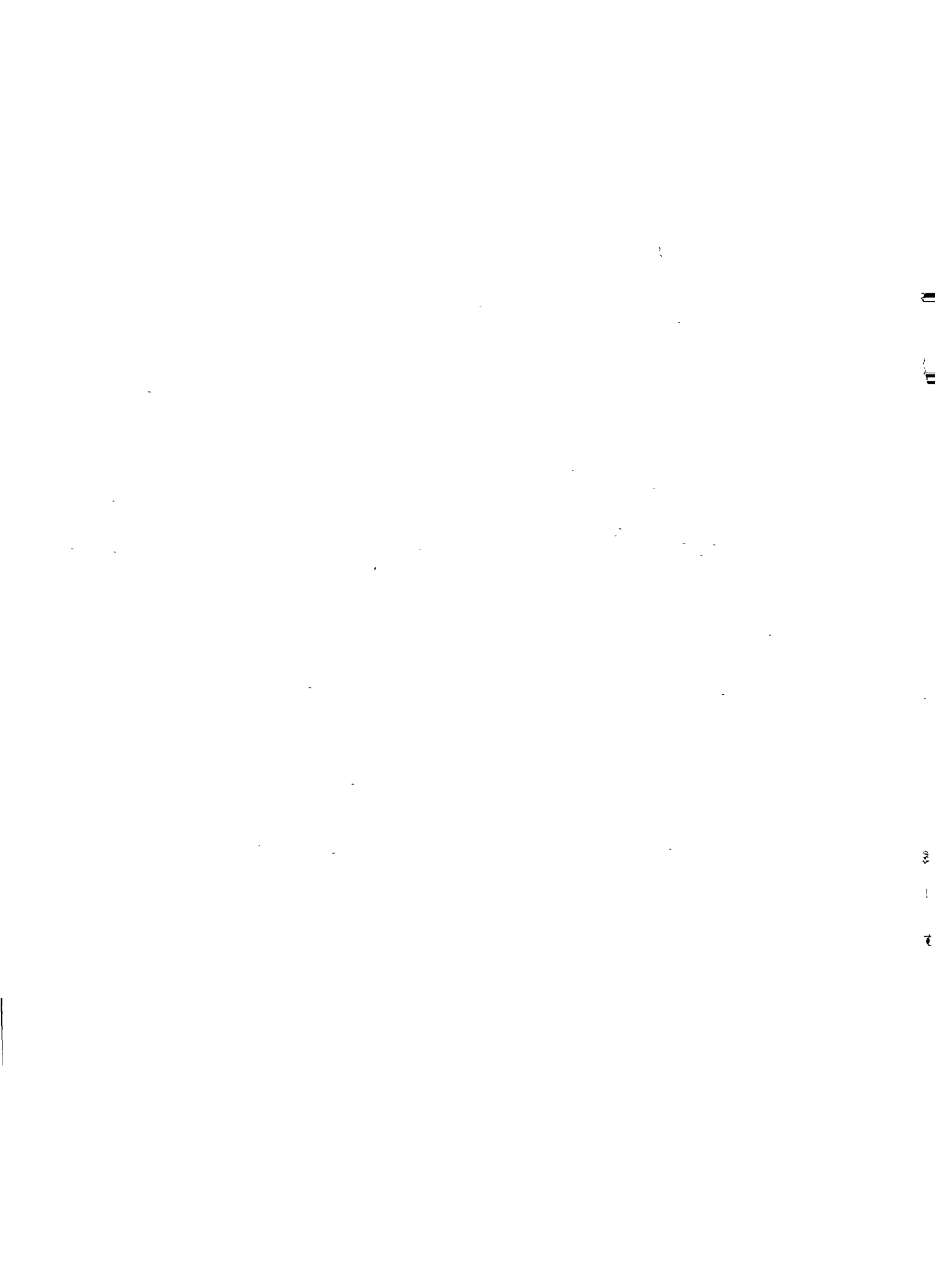
- recommend relevant policy decisions to be taken-up at the district and state level.

iv) State

The DUD, as the nodal department of IDC, with the help of PSU and UP Jal Nigam would ensure that the concerned authorities at the State level will provide necessary policy support for the participation of the departments of Health, Rural Development, Panchayat Raj and Education.

The state level officials will closely interact with the chairman of DCCs so that the progress of programme implementation is regularly monitored and necessary decisions are taken for effective implementation of CPC.

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**Workshop on Extended base of community participation (ECP)
in the Indo-Dutch Co-operation (IDC)
in rural water supply and sanitation in Uttar Pradesh
Lucknow, November 24, 1992**

1. Background

The workshop was organised to assess and formulate an appropriate approach and structure that would be efficient for extending community participation in the rural water supply and sanitation sector, specially with reference to the Indo-Dutch Co-operation (IDC) in Uttar Pradesh.

The workshop reviewed the success in community participation in water supply and sanitation achieved by Programme Support Unit (PSU) during the course of the last four years. It was felt that there is a strong need to build on the achievements so far and extend the base of community participation in the IDC and ultimately draw appropriate lessons from it to incorporate the concept of participation in other development programmes as well.

2. Major Issues

During the deliberations crucial issues related to community participation were highlighted:

- 2.1 The workshop, fully appreciating the enormity and complexity of the development process, reiterated that it was imperative that at the present stage of development the State should enter into active partnership with the community so as to reduce the community's dependence on the State by **sharing the cost** of development. This approach was supported by the fact that in the period between Independence and the start of development planning the community services were maintained by the community itself.
- 2.2 The partnership concept of development has to be extended and strengthened. not only to share the burden of the State and to ensure the viability of the development process, but also to create a **sense of participation and accountability** towards the assets for its ultimate sustainability.
- 2.3 Partnership with the community, depends on community awareness and vibrant institutions at the grass-roots. Sustainability of the development process can only come through these **locally established institutions** and through equitable distribution of the benefits of the assets.
- 2.4 At present the State is responsible for the gigantic task of maintaining around three lacs handpumps, making it most necessary to share the burden of its maintenance by evolving a **decentralised participatory system**. Since water is a critical area chances of fostering community participation in this sector are greater.

- 2.5 Finally the water and sanitation sector cannot be seen in isolation as the ultimate objective of the programme is to contribute towards **improving the quality of life**. Its optimum implementation is dependent on the support it gets from other development sectors.

This would also mean more effective **sectoral co-ordination** with the departments of Health, Rural Development, Panchayat Raj and Education.

3. Recommendations

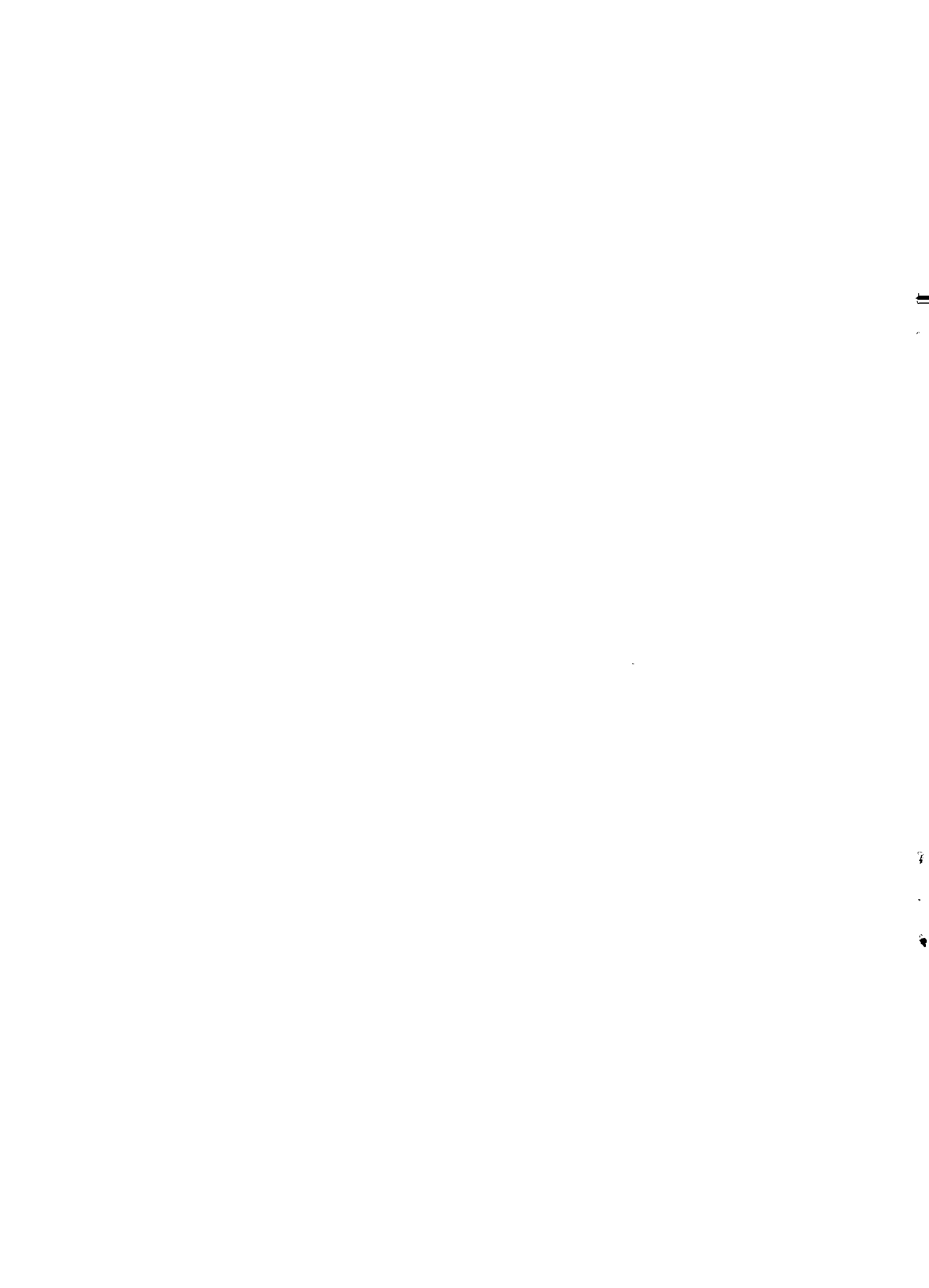
Against this background and in the light of the issues which were raised, the workshop made the following recommendations for the government to consider :

- 3.1 The workshop, underlining the importance of community participation in the development process, recommends that the experience of IDC in community participation should be incorporated in the other water supply and sanitation programmes. **In this process, PSU as a catalyst should play a facilitating role between the various departments involved at the district level, by bridging the gaps and enhancing functional relations to strengthen water and sanitation programme.**
- 3.2 PSU, based on its experience, should develop a **model** incorporating the methodology and strategy to be adopted for community participation **alongwith broad indicators** for assessing and monitoring its progress and impact.
- 3.3 The need to institutionalise community participation by creating appropriate support structures at the district and field level is emphasised and it is recommended that the **IDC water and sanitation programme be linked with other relevant programmes in the districts.**
- 3.4 The departments of **Health, Rural Development, Panchayat Raj and Education** are identified as relevant departments which could support community participation in the IDC water and sanitation sector, as their presence at the village/district is ensured through their grass-root level functionaries.

The common consensus of the workshop is to adopt a multi-agency approach with a co-ordinating agency to support community participation in the IDC. **The workshop, therefore, recommends that the inputs from the departments of Rural Development, Education, Panchayat Raj and Health should be integrated into the programme, with the co-ordinating committee being the District Coordination Committee (DCC).**

- 3.5 The workshop is of the opinion that the DCC could emerge as an important forum for supporting community participation in the water and sanitation sector. **Therefore, it recommends that DCCs should be established (according to the guidelines recommended vide Nagar Vikas's letter no. 207T/CGA/9-2-92 dated September 5, 1992) in the IDC districts, initially to support community participation in the water and sanitation sector.**

Appreciating, the criticality of the District Magistrate's role as a link institution in the development of the district the workshop recommends that the District Magistrate's **potentiality should be fully utilised in realising community participation in this crucial sector.**



- 3.6 It is recommended that the existing Block Development Committees (BDCs) should specifically lay more emphasis on community participation and health awareness activities for which grass-root functionaries available at the village level have to be activated. Alternatively, Block Coordination Committees (BCCs) consisting of the BDO, Block Pramukhs and block level senior health staff should be formed to specifically support community participation and related health awareness activities, at the block level with the PSU Social Scientist as the co-ordinating member.
- 3.7 So far, the Gram Pradhans have been found to be, by and large supportive to community participation; the workshop therefore recommends that specific directives should be issued by the State government to all the Gram Pradhans of the IDC districts, ensuring their continued active support to the programme.
- 3.8 The workshop recommends that the responsibility for operation and maintenance of the water facilities should be shared by the local community after adequate preparation and ground work in order to ensure optimum utilisation and sustainability. Initially community participation activities should be concentrated in a few districts for intensive coverage with the ultimate objective of handing over the responsibility of maintenance of assets to the community. The IDC districts, which already have sufficient experience and inputs in this area could be the pilot districts. This should be effected in the following phased manner :
- involvement of the community, especially women, in site selection for water points; the village Panchayats should play a supportive role in the process;
 - encouraging the community to construct additional and necessary works like bathing platforms, storage for water in pour flush latrines, etc. with their own resources;
 - formation of users committees or Jal Samitis (with a maximum number of women members) for use and maintenance; the committee should be conferred recognition;
 - training of user members (especially caretakers) for ensuring an effective preventive maintenance system at water point level;
 - establishing a system of efficient information flow and support for maintenance; and
 - establishing a system for resource generation/sharing cost for maintenance by the community through collection of revenue at village level.

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