

Processes Guidelines

WATERSHED DEVELOPMENT PROGRAMME

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List of Acronyms

APARD:	Andhra Pradesh Academy of Rural Development
CBO:	Community Based Organizations
CAPART:	Council for Advancement of People's Action and Rural Technology
CPR:	Common Property Resources
DPAP:	Drought Prone Areas Program
DRDA:	District Rural Development Agency
GoAP:	Government of Andhra Pradesh
GOI:	Government of India
NGO:	Non Governmental Organization
PD:	Project Director
PIA:	Project Implementation Agency
PRI:	Panchayat Raj Institutions
SHG:	Self Help Group
UG:	User Group
VO:	Voluntary Organization
WA:	Watershed Associations
WC:	Watershed Committee
WDP	Watershed Development Project
WDT:	Watershed Development Team
ZP:	Zilla Parishad

Foreword

Watershed development program has been the most significant initiative undertaken so far to promote productivity of dry-land farming and to restore the ecological balance in drought prone areas of the Andhra Pradesh. The state has been in the forefront for implementation of watershed development projects. Since 1995 over 6000 watershed development projects have been taken up in the drought-prone districts and rain-fed areas of the State. A perspective plan for 10 years (1997-2007) has also been prepared to scale up in a comprehensive manner. Innovative administrative structures and measures have also been established through separate Project Directorates and Multi Disciplinary Teams for implementation of these projects at the district level.

Watershed development projects have been receiving effective guidance since the issuing of Guidelines for Watershed development by the Ministry of Rural Development, Govt. of India in 1994 and further reinforced by revising in 2001. These guidelines have been formulated on the basis of several process studies undertaken and wide-ranging consultations with all stakeholders and experts. These Operational Guidelines are intended to strengthen the processes in implementation of watershed development projects and to provide clarity and purposefulness in the implementation of watershed development projects.

In order to ensure long term sustainability a judicious mix of technical and managerial aspects have been dealt. Focus on capacity building, developing the concept of project phases in project cycle, operational flexibility, need for demystifying technology by participatory approach, focus on enhancing livelihoods strategies and convergence of development activities at watershed level are some of the key features of these guidelines.

Apart from the above key issues, these operational guidelines intend to broaden the framework of watershed program. Natural resource conservation activities together with productivity enhancement and livelihoods promotion activities are expected to go a long way in addressing the critical needs of drought prone areas. This integration also creates the space for gender and equity concerns in the watershed based approach. Adherence to these guidelines would certainly contribute for manifold improvements in the effectiveness of implementation, quality of the projects and their sustainability.

Chapter 1

Introduction

1.1. Background

Watershed development program seeks to restore productivity of land, not yielding up to its full potential, through integrated treatment measures intended for land protection, water conservation, improvements in crop production. It also seeks to provide a framework for mobilizing the resource-poor persons dependent upon land to improve their livelihoods. Watershed development program gained momentum in the drought prone areas, with the issue of Guidelines for Watershed Development by Ministry of Rural Development, GOI 1994. These Guidelines have also been revised in 2001 (Guidelines For Watershed Development Revised, 2001) reinforcing the focus on enhancement of quality and value addition to livelihoods of persons residing in drought prone and rain fed areas, based on more efficient natural resource management.

Andhra Pradesh has distinction of implementing a large number of watersheds by encouraging and involving large number of voluntary organizations in the implementation of watershed program. The experiences of Government of Andhra Pradesh and various voluntary organizations involved with this project are unique in addressing the critical issues associated with watershed program.

1.2. Need for Processes in Implementation

These “Operational Guidelines for Implementation of Watershed Development Projects” are intended to reinforce the processes involved in implementation. Often, the watershed development projects have been viewed merely as a target oriented works program connected with treatment of drainage lines and bunding of soil. The critical elements of community mobilization, institutional development, capacity building and convergence of activities to restore ecological balance and enhance livelihoods opportunities have not received adequate attention. Consequently the program has not yielded optimal benefits to the community in a sustainable manner. These guidelines are intended to improve the situation and reinforce the processes involved for effective implementation of watershed program. Processes, steps and activities laid out in these guidelines would make a significant contribution to the cost-effective implementation of watershed program, improvements in the quality of implementation, and enhancement of the capabilities of communities in natural resources management.

The operational guidelines aim at gainful and transparent utilization of public funds for watershed development to promote over all economic development as well as socio economic condition of the resource poor. Activities at all stages of the program are discussed in these Guidelines.

1.3. Main Objectives

The Guidelines for Watershed Development (Government of India 1994 and 2001) make it explicit that community participation in natural resources conservation on watershed principles is central to the program. This document elaborates over all objectives of watershed Program. These objectives as stated in **Guidelines for Watershed Development (1994)** are

a. To promote the economic development of the village community which is directly or indirectly dependent on the watershed through: -

- *Optimum utilization of the watershed's natural resources like land, water, vegetation, etc. that will mitigate the adverse effects of drought and prevent further ecological degradation.*
- *Employment generation and development of the human and other economic resources of the village in order to promote savings and other income-generation activities.*

b. To encourage restoration of ecological balance in the village through: -

- *Sustained community action for the operation and maintenance of assets created and further development of the potential of the natural resources in the watershed.*
- *Simple, easy and affordable technological solutions and institutional arrangements that make use of, and build upon, local technical knowledge and available materials.*

c. For Special emphasis to improve the economic and social condition of the resource-poor and the disadvantaged sections of the Watershed Community such as the asset less and the women through: -

- *More equitable distribution of the benefits of land and water resources development and the consequent biomass production.*
- *Greater access to income generating opportunities and focus on their human resources development.*

Within these overall objectives of the watershed program, the operational guidelines seek to achieve the following goals, specifically enumerated in the **Guidelines for Watershed Development (Revised – 2001)**.

- a. Developing wastelands/degraded lands, drought prone and desert areas on watershed basis keeping in view the capability of land, site conditions and local needs.*
- b. Promoting the overall economic development and improving the socio-economic condition of the resource poor and disadvantaged sections inhabiting the programme areas.*

- c. *Mitigating the adverse effects of extreme climatic conditions such as drought and desertification on crops, human and livestock population for their over all improvement*
- d. *Restoring ecological balance by harnessing conserving and developing natural resources i.e. land, water, vegetative cover.*
- e. *Encouraging village community for:*
 - ❖ *Sustained community action for the operational and maintenance of assets created and further development of the potential of the natural resources in the watershed.*
 - ❖ *Simple, easy and affordable technological solutions and institutional arrangements that make use of, and build upon, local technical knowledge and available materials.*
 - ❖ *Employment generation, poverty alleviation, community empowerment and development of human and other economic resources of the village.*

Guidelines for Watershed Development (Revised-2001) are intended to strengthen the salient features of the contemporary regime of watershed development projects. Some of those are discussed below.

- a. *A programme specific and focused project approach with a destination, road map and milestones.*
- b. *A probation period for new projects.*
- c. *Convergence with programmes of all relevant line departments such as rural development, agriculture, horticulture, animal husbandry, social forestry, rural works, ground water, fisheries, etc in the watershed project areas.*
- d. *An improved role for Panchayat Raj Institutions especially Gram Panchayats/ Gram Sabhas.*
- e. *Greater role/ space for women and the rural poor, especially those belonging to SCs/ STs.*
- f. *Effective use of remote sensing data in selection of watershed, formulation of action plans, etc.*
- g. *Involvement and collaborations of all local institutions and service providers in a dynamic new relationship based on partnership.*
- h. *A twin track approach for ensuring short-term quick returns, along with long term and sustainable productivity enhancement for effective poverty alleviation.*
- i. *Establishing credit linkage with financial institutions.*
- j. *Sustainability of the project after the completion of project period and support to the institutions involved in these efforts.*

Chapter 2 Perspective Plan

2.1. Introduction

The Government of Andhra Pradesh has formulated a perspective plan for watershed development program in AP.

This Perspective Plan intends to treat 49 Lakh Ha of wastelands, 45 Lakh Ha of degraded dry lands, 6 Lakh Ha of degraded forest in the state in 10 years time frame (1997-2007). Each district shall prepare 10 year action plan and a yearly plan to cover an area of 1/10th of its total degraded area under the watershed program. The perspective plan envisages providing adequate funds for this purpose through increase allocations under relevant programs/ schemes and vigorous mobilization of externally funded projects.

Box 1	
10-Year Perspective Plan Department of Rural Development, Government of Andhra Pradesh (1997)	
Total Area to be treated in 10 years	100 Lakh Ha.
Time Frame	1997 - 2007
Total Funds Required/ 10 Years (At 1997 estimates)	3718 Crores
Potential Sources of Funds	Agriculture, Rural Development (JFM, DPAP, EAS, IWDP), Horticulture, Externally Aided Projects, World Bank.
Area to be treated each year	10 Lakh Ha
Number of Projects	2000 @ 500 Ha each

Keeping the statewide perspective in view; each district will prepare a perspective plan for the development of rain-fed areas of the district with special priority to drought prone, degraded and waste lands of the district. Project Authorities have to conduct a special exercise to identify wastelands, rain-fed areas and degraded forest areas requiring treatment with the support of wasteland atlas of India and remote sensing data provided by Andhra Pradesh State Remote Sensing Applications Centre (APSRAC). Based on this exercise, the district will be divided into different macro watersheds/zones, according to status of resources as suggested by Andhra Pradesh State Remote Sensing Applications Centre. These zones are prioritized in 5 categories namely Very high, High, Medium, Low and Very low.

Based on the present inflow of funds for the watershed program, requirement of total funds for the treatment of entire rain-fed area within time frame can be developed. While allocating projects, the approach should aim at comprehensive treatment of watersheds/ zones in the district giving due consideration to implementation capabilities of facilitating agencies and community preparedness aspects. This perspective plan helps in allocation and sequencing of watershed projects in the district in an objective manner to deserving villages.

2.2. Watershed Program as an Entry Point

The Guidelines recommend a systematic process of community organization to create a strong base of primary stakeholders with clear vision of sustained development of natural resources. With such strong base, the groups can take up various issues into their agenda over a period of time and achieve the expected results. By supporting such processes, watershed project becomes like an entry point activity in the village for overall improvement of livelihoods of poor with a strong linkage to local natural resources. It is expected that the community livelihood opportunities will be enhanced by the end of this program. The watershed program shall trigger overall social and economical empowerment of the village community.

While conceptualizing the district level perspective plans, the District Level Project Authority has to keep the above role and contribution of watershed development program in the overall development of the district.

Chapter 3

Selection Criteria and Processes

Selection of suitable villages and Project Implementation Agencies is the most critical factor for ensuring success of the program. This chapter describes selection criteria and processes for the watersheds, Project Implementation Agencies and some of the key actors.

3.1. Village Selection Criteria

The watershed villages shall be selected in transparent and systematic manner based on an objective criterion. The criteria for selection of watershed villages was revised and communicated through **CRD Rc. No4355/IWDP/APRLP/2001 dated 6-10-2001** (For ready reference enclosed in **Annex-I**)

3.2. Watershed/Habitation Selection Criteria

Assessment of the preparedness of the village to adopt the community based regulations and norms for resource conservation is an important feature. To begin with, villagers from the prioritized villages shall enter in to a Memorandum of Understanding and demonstrate willingness for community action towards conservation of natural resources. Villagers should be motivated through repeated dialogues in order to express their unanimous commitment to participate in the program and fulfill their all responsibilities.

The project authorities and the Project Implementation Agency should extensively visit the village in which the watershed development project is to be taken up. If the village community is not cohesive, cooperative and willing to abide by the

Box 2

Some watersheds may encompass, in addition to arable land under private ownership, forestland under control of State Forest Department. Since nature does not recognize artificial boundaries of forest and non-forestlands in any watershed, the entire watershed is to be treated in an integrated manner. The forestlands forming part of such watersheds may also be treated simultaneously as detailed below:

- A. The Divisional Forest Officer concerned should give technical sanction of the treatment plans for the reserve forest area, within the watershed. Remaining area of watershed can be approved through the procedures prescribed in Guidelines for watershed development (Revised 2001).
- B. The Project activities within the forest area should as far as possible be implemented by Watershed Committee or Village Forest Committees (Vana Samrakshana Samiti) existing in that area. If no such Committee exists, their formation may be encouraged or else the forest department should take up the project activities in such areas falling within the forest area, through user / self help groups, which should be formed for the purpose.
- C. Village Forest Committees should be treated at par with Watershed Committee, wherever they exist. Since Village Forest Committees are registered with the Forest Department of the respective States, there would not be any need for getting them registered under the Societies Registration Act.

discipline and collective endeavor required to make the project success, it is better to leave that village alone till they develop the desired level of preparedness. Villages, which are faction ridden on one count or the other, or villages in which absentee landlords predominantly hold the lands, should be avoided in the selection process.

To facilitate this process, the district authorities would select about 10% more projects than the number of projects proposed to be sanctioned for the year and provide inputs in terms of orientation and awareness building on watershed concept. The preparedness of village community can be assessed in terms of their acceptance to the norms of watershed program voluntary contribution, willingness to support resource poor, development of community based organizations, willingness to treat community land on preferential basis, taking up water management issues and willingness to maintain structures after the project period etc.

Once the watershed area is identified, all relevant data relating to the watershed together with its physical boundaries should be delineated on the maps. The delineating of watershed has to be based on ridge to valley concept. Similarly the data from remote sensing agencies and resource particulars of the watershed such as land use map, geo hydrological details, cropping pattern, soil and drainage maps should all be gathered and made available for use in subsequent phase. Multi Disciplinary Team/ Project Implementation Agency will visit the village to arrive at net treatable area of the watersheds by first demarcating the watershed boundaries and excluding irrigated area, sheet rocks and other untreatable areas.

3.3. PIA Selection Criteria

The main objective of these criteria is to ensure that the Project Implementation Agencies have necessary capacities for proper functioning. Efforts shall be made to provide a full time PIA coordinator. Moreover those agencies/ departments without requisite track record; experience and expertise should not be selected as Project Implementation Agency.

Project Implementation Agencies can be from government agencies/ departments, Panchayat Raj Institutions, Voluntary Organizations/ Non-Governmental Organizations and Community Based Organizations. Separate criteria are developed for each category of Project Implementation Agency, which should be followed for selecting Project Implementation Agency.

Box 3
Selection Criteria for Project Implementation Agencies
Development Support Centre, an autonomous support organization in Gujarat conceptualized a set of criteria and indicators for enabling the selection process of Project Implementation Agencies. Since 1999, Government of Gujarat has adopted these criteria for selecting the PIAs in the entire state. Based on the experiences of using such selection criteria for last two and half years, the networks of voluntary organizations in Gujarat involved in watershed program expressed their satisfaction and suggested some improvements. Interestingly, DSC adopted this practice from Chittoor district, Andhra Pradesh and contextualized for Gujarat state.

Selection Process of PIA

District Level Project Authority should conduct an appraisal of potential Project Implementation Agencies, based on suggested criteria for selection. The result of appraisal shall be presented in the meetings of **District Level Watershed Committee**. This committee can take a decision on the selection of Project Implementation Agencies, using the information provided by the appraisal. The **State Level Watershed Committee** shall ensure that the selection criteria for PIAs and process of selection at district level are integrated and transparent.

Box 4
Pre Funding Appraisal of Project
Implementation Agency -a Collective
Effort...

DPAP can develop systems for pre - funding appraisals and accreditation mechanisms for selection/ de-selection of Project Implementation Agencies based on objective criteria and processes, in which different actors can contribute.

3.3.1. Government Department/ Agencies as PIAs

The selection criteria for Government Departments/ Agencies mainly look at their willingness, commitment, leadership and capability to work in a participatory time bound program. It is advisable that the Department does not change/transfer the selected agency through out the project period. Following guidelines shall be followed in this regard

- a. Willingness to provide necessary inputs/ support to the Watershed Development Team.
- b. Proposed Government Agencies/Departments should have orientation and experience, preferably three years experience, in participatory development programs
- c. Project Coordinator of Government Agencies/Departments should not have any vigilance enquiries pending on him/ her and should have established good record of participatory, responsive and accountable services.

3.3.2 Voluntary Organizations/ NGOs as PIAs

Based on the following criteria, the capacities of these organizations should be assessed in an objective manner. A separate criteria for selection of NGO which mainly include following parameters is annexed to this guideline (**Annex-II**).

- a. The organization should be a registered body, with a proven track record in rural development/ natural resource management/ social mobilization processes (of women and poorest of the poor).
- b. Should be working locally with roots in the local community and has commitment / willingness to continue its work in that region, even after the watershed project is completed.
- c. Adequate capacity of organization in terms of its staff (qualification, skills and experience) and infrastructure.

- d. Sound financial history of organization (annual budgets, programs coverage, funding sources, transparent and accountable financial systems, efficient accounting systems, etc)
- e. Audited statement of accounts for proceeding three years of organizations by a recognized chartered accountant.
- f. The Voluntary Organizations black listed by CAPART or other Departments of State Government and Government of India should not be appointed as Project Implementation Agency.

3.3.3. Community Based Organizations as PIAs

Community Based Organizations (CBOs) represent valuable social capital in our villages. These Community Based Organizations and their federations constitute an ideal resource to function as Project Implementation Agencies or in some instances as watershed committees. Their suitability can be assessed in an objective manner by adhering to the points given below.

- a. The organization should be a registered body, with a proven track record in rural development/ natural resource management/ financial management/ social mobilization processes (of women and poorest of poor).
- b. Should be working locally and has commitment to/ willingness to continue its work in that region, even after the project is completed.
- c. The maturity of the Community Based Organization in terms of conduct of business, management of finances and democratic decision-making.
- d. The ability of Community Based Organization to make arrangements and manage the technical and financial elements of the project, such as Watershed Development Teams and execution of works.

3.4. Number of Projects per PIA

The number of watershed projects that a Project Implementation Agency can handle should be proportional to its capacity. However, it may be seen that each Project Implementation Agency should get at least 5000 hectares of watershed area, which is considered to be a viable unit from administrative point of view. However, if a Panchayati Raj Institutions/Government Department has adequate infrastructure, it can be assigned more projects on the specific recommendations of the State Government.

There is no bar for a Voluntary Organization functioning as Project Implementation Agency to take up two or more cluster of projects provided it has the requisite infrastructure and capabilities. However, a Voluntary Organizations may not normally be given more than a total of 12,000 ha area in the district and 25,000 ha in the State. This will encourage more voluntary organizations to participate in watershed development programme. Due

consideration and preference should be given to those institutions, which have done their basic field work of identifying villages/watersheds/areas where they would prefer to work.

Chapter 4

Financial Norms and Release of Funds

4.1. Unit Cost

In view of cost escalation, Government of India has raised average unit cost of watershed treatment from 4000 to 6000 Rs./ Ha. with effect from 1st April 2000. Based on this unit cost, budget provisions should be worked out. Without exceeding the total amount, depending on the topography, the actual cost/ Ha may vary, within a watershed area.

The over all allocation of funds would depend on the size of the watershed area. (e.g. If the area of a village has 700 Ha treatable area, the budget for that watershed would be Rs.42,00,000/- @ 6000 Rs/ Ha; similarly if another watershed has 300 Ha, the total budget allocation to that watershed would be Rs. 18,00,000/-).

4.2. Allotment of Watersheds to a Village

A watershed is a geo-hydrological unit, which drains into common point. The watershed approach is a project based, ridge to valley approach for in-situ soil and water conservation, productive dry farming practices, bio mass development, etc. Previous experience indicates that allowing flexibility in the watershed area is necessary considering the factors like topography, size of the revenue village and need for watershed interventions. In view of this, the size of a micro watershed is suggested to about 500 Ha. The entire treatable area of the village shall be treated by sanctioning the required number of watershed projects to the village. However the initial sanction of number of watershed projects to the village can be subject to availability of suitable area. The MDT and PIAs shall visit the village and estimate the total treatable area in the village and thereafter the Project Director shall adjust the number of projects through revised sanctions. The area of each watershed project shall ordinarily be about 500 ha but it can less or more depending upon the field level conditions. However the total area to be covered in the district shall be limited to the total area sanctioned for the batch in the district (i.e. number of projects sanctioned to the district in the batchx500 Ha). .

4.3. Budget Allocations by components

Budget allocation has been broadly divided into two components.

A. Management Component (20% of the project cost) and

B. Development Component (80% of the project cost)

The **management component** is sub-divided into administration (10%), training & capacity building (5%) and community organization (5%). Keeping equity and gender concerns in

watershed context, the **development component** is sub-divided into two components a. natural resources conservation activities and b. productivity enhancement activities for resource poor.

4.3.1 Budgets for Management Component

The budgets for Management Component should be utilized for the same purpose and released to Project Implementation Agency against action plans submitted by them. Each Project Implementation Agency has to prepare half yearly action plan, indicating the purpose for which the budget for management component is required. Based on this action plan, District Level Project Authority will release budget to Project Implementation Agency.. Some of the indicative purposes for which the administration budgets can be spent are salaries of Watershed Development Team, travel, office rent & maintenance, honorarium for watershed secretary, volunteer/ activists, their travel, etc. Project Director, District Level Project Authority will monitor the use of these grants, as per the approved action plans prepared in advance.

For community organization purposes also, the Project Implementation Agency should prepare advance half yearly action plans for the approval by District Level Project Authority. Community organization budget can be spent on media material, awareness camps, cultural programs, Audio/ Visual material, exposure visits, etc. Project Director, District Level Project Authority will monitor the use of these grants, as per the approved action plans prepared in advance.

For training and capacity building purposes, the Project Implementation Agency should prepare advance half yearly action plans for the approval by District Level Project Authority. These advance action plans should comprise among others details regarding themes and participant profiles, venue charges, travel of participants/ resource persons, food and accommodation of

participants/ resource persons, honorarium for resource persons/ centers, course material, etc. Project Director, District Level Project Authority will monitor the use of these grants, as per the approved action plans prepared in advance.

For all the activities under training and community organization, District Level Project Authority will develop indicative cost norms,. For each installment of funds released, the Project Implementation Agency

Box.5		
Allocation of funds for different components and sub-components under the existing and new guidelines		
S.NO	Component	As % of Total Budget
A.	Management component:	
	- Administration	10
	- Training & Capacity Building	5
	- Community Organization	5
	Sub-total	20
B.	Development component:	
	- Natural Resource Conservation	50
	-Productivity Enhancement	30
	Sub-total	80
	Total	100

has to submit an activity completion report with details of proceedings of the programs and expenditures.

The district level Project Authorities would also prepare district level action plan for community organization and Training & Capacity Building. These action plans at district level should consist of activities for strengthening the watershed development program and securing effective implementation of projects.

4.3.2 Budgets for Development Component

Timely release of the budgets for development component in accordance to the project phases is of primary importance for successful implementation of watershed development projects. The development component of watershed project would be entirely channelised through the watershed committee, which in turn would spend the amount in accordance to the action plans prepared by user groups and self help groups. The watershed association shall approve all expenditure incurred by the watershed committee. Further the watershed committee should not centralize expenditure, but should incur the development component of the budget through User groups/Self help groups/and similar functional groups of primary stakeholders within the watershed community.

The participatory action plans to be approved by the Watershed Association should be as far as possible abide by the technical guidelines issued on **“Participatory technology for Watershed Development”** by the state level technical experts committee headed by Shri T. Hanumantha Rao, Engineering In Chief (retired). (Circular No A6/169/WCM/2001 of Government of Andhra Pradesh, Water Conservation Mission, Dated 26th Sep 2001).

The flow of funds under the watershed development project should be smooth and timely. Fund releases should be tied up with progress made against action plans and satisfactory monitoring reports. At no stage the project should suffer for the want of availability of funds at village level, which will otherwise dampen the enthusiasm and momentum generated in the community.

Chapter 5

Institutional Arrangements

5.1 Introduction

Dynamic coordination between important line departments and strengthening of community-based institutions of primary stakeholders at the village level are vital elements for successful implementation of the program. Convergence and synergy of appropriate technologies, especially those relating to soil conservation, agriculture, horticulture, social forestry, animal husbandry, fisheries, water harvesting, ground water, surface irrigation, drinking water/sanitation and public works (engineering) are also essential. All the line departments dealing with these specific technologies shall be made conversant with the approach and methodologies advocated in watershed development program and learn to function in concert and upon common platforms for the benefit of the community.

Similarly the platforms for participation envisaged in the watershed program such as Watershed Association, Watershed Committee, User Groups, Self Help Groups, etc should be fully utilized by these line departments for implementation of their programme specific activities. Reorienting and making these community based organizations vibrant and vigorous is an essential element in the process of implementation. Roles and responsibilities of various key actors at state, district and project levels are discussed below.

5.2. Institutional Arrangements at District Level

District level advisory committee, Governing body of watershed programme, project authority at district level, Multi disciplinary team, resource organization are district level institutional arrangements to facilitate and coordinate watershed development programme.

District Level Watershed Development Committee

The District level committee has been constituted. Instructions issued by the State Government are enclosed at **Annex –III**. It shall perform following duties among others

- Consolidating all the plans and activities in capacity building and institutional development and ensuring that they are implemented on time .
- Ensuring proper consolidation of the action plans prepared by PIAs and Watershed Committees and other participatory institutions.
- Functioning as a platform of convergence of various development activities on watershed basis and foster local micro plans
- Organizing meetings on regular basis

Governing Body Of Watershed Program

Government of Andhra Pradesh has extended the Jurisdiction of Governing Body of DRDA for reviewing the implementation of watershed development & Neeru-Meeru activities. Instructions issued by the State Government are enclosed at Annexure-IV & V.

Project Authority at District level

The initiative of Andhra Pradesh Government in establishing separate Project Directorates for drought prone areas and for District Waters Management Agencies have certainly provided greater focus and undivided attention to the execution of watershed development projects in respective districts. The strengthening of the Project Directorate for implementing the watershed project at the district level assumes greater importance as the number of projects taken up for implementation is scaled up.

Multi Disciplinary Teams

The multi disciplinary team is an institution created especially in Andhra Pradesh to monitor, facilitate and support the implementation of the watershed projects within the district. This team is key link between field and district level. Each team would normally be in charge of 50 to 60 watershed projects. The MDT shall comprise an expert from social mobilization discipline in order to provide effective capacity building inputs. If suitable persons are not available for serving as Multi Disciplinary Team members from the line departments, they can be hired from open market or taken on deputation from Voluntary Organizations. Project Director will facilitate the process of appropriate orientation to Multi Disciplinary Teams on various issues related to participatory development programs and the knowledge, skills and attitudes it requires. The main functions of the Multi Disciplinary Team are to

- Provide social mobilization inputs
- Ensure capacity building of CBOs
- Provide technical support
- Monitor the programme progress
- Facilitate regular quality control and super check of 10% works
- Conduct impact evaluation and corrective action

Resource Organizations

The participatory methodology for implementation of natural resources management programme is being implementing from six years. Newer experiences are being generated in the field of natural resource management, which have the potential for large-scale application. Experience indicates that the Project Implementation Agency and other implementers of the

program need inputs and support on different aspects of the program. Without this support, facilitating effective community participation is difficult.

It is experienced that no single organization can alone handle the various managerial and technical requirements. It is therefore essential to take support of those organizations competent enough across the relevant fields. The state/ district administration will identify various government agencies/ departments, non-government organizations, research organizations and other training institutes based within the district, state or country to help Project Implementation Agency in their efforts. These organizations should have capacity to support the program in one or several of the following fields.

- Communication
- Capacity Building
- Technology Trouble Shooting
- Community Mobilization and use of cultural media.
- Process Monitoring
- Improvement of Management Practices

The Project Director will develop appropriate terms of reference with these organizations describing time bound delivery of outputs within sanction budgets. The budget component for training and community organization available at District Level Project Authority level can be used for hiring services of resource organizations.

5.3. Institutional Arrangements at Project Level

Project Implementation Agency

The Project Implementation Agency (PIA) is back bone of the project and success and failure largely depends on the commitment of Project Implementation Agency. All Project Implementation Agencies (Government Department/ Agency / Voluntary Organizations / Community Based Organizations) have to follow some norms to meet expectations of the project.

It is widely noticed that the Project Implementation Agencies are not devoting full time to the projects. There is imminent need for a full time coordinator representing Project Implementation Agency, whether they belong to government/ non-government organization. The roles and responsibilities of Project Implementation Agency are

- a. Recruiting Watershed Development Team and opening project account.
- b. Creating awareness through exhibition, press, kalajatha, and public meetings.

- c. Facilitating the creation of institutions of stakeholders at village level (User Groups/ Self Help Group/ WA/ WC, etc).
- d. Conducting base line surveys and collecting relevant information on villages.
- e. Facilitating preparation of action-plans that reflects concern for equity, gender and explicit bias in favor of resource poor, ridge level farmers and women.
- f. Convening and attending meetings of stakeholders at various levels.
- g. Facilitating the planning and implementation of action plans prepared by User Groups/ Self Help Groups.
- h. Converging the activities of relevant line departments like Animal Husbandry, Agriculture, Forest, Women and Child welfare etc.
- i. Reviewing expenditure, ensuring proper fund flow,
- j. verifying works through Watershed Committees and Watershed Development Team, maintaining quality and rendering of vouchers and accounts.
- j. Monitoring and Evaluation of projects in a participatory and transparent manner, using tools like social audit, etc.
- k. Facilitating the institutional arrangements for post project phase to ensure proper maintenances and sustainability of the created assets.

Watershed Development Team

Watershed Development Team is the most critical and essential support system that should be developed on full time basis by each Project Implementation Agency. A cluster of not exceeding 10 projects or a treatment area of 5000 ha can be handled by a Watershed Development Team. Each Watershed Development Team shall have at least four members one each from the disciplines of plant sciences, animal sciences, civil/ agricultural engineering and social sciences. At least one member of the Watershed Development Team should be a woman. Preferable qualification of a Watershed Development Team member would be a professional degree. One of the members should be designated as project leader. District Level Project Authority has to monitor the size of Watershed Development Team and number of projects handled by the team from time to time. Once the number of watersheds increases beyond 8 to 10, Project Implementation Agency must have flexibility in terms of organizing its staff structure & composition. Main Functions of Watershed Development Team are:

- Assisting Project Implementation Agency in the project implementation.
- Creating awareness regarding natural resource and their management.
- Creation and strengthening of institutions of stakeholders at watershed level -- (User Groups/ Self Help Group/ WA/ WC, etc).

- Identifying the capacity building needs at various levels and facilitating the inputs.
- Capacity building of jankars/volunteers, who are selected by communities.
- Facilitating the participatory action planning process with equity, gender considerations.
- Supporting the communities in preparation of estimates and implementation of action plan.
- Ensuring that the meetings of watershed committee and watershed association take place. Facilitate active participation of resource poor and women at all stages of the program.
- Developing systems of quality control of the works and 100% check measurement of work along with village level functionaries.
- Assessing the impact of the activities carried out.
- Improving delivery system of other line departments relevant for watershed development projects.

Selection Process of Watershed Development Team

Recruitment to watershed development team has to be done from available candidates based on their qualification, experiences and attitude. In each district the Project Director together with the support of State Level Training Research Institutions shall organize capacity building programs so that a pool of such watershed development professional is available for work. Networks of Voluntary Organizations/ Support organizations can make a significant contribution in the development of such professionals. The selection of Watershed Development Team is to be done by the Project Implementation Agency

5.4. Institutional Arrangements at Village Level

Watershed Association

Watershed Association will comprise of all families living within the watershed area, thus it is the gram sabha for the watershed area. Watershed Association should be registered under Societies Act to ensure administrative sanctity. To define Watershed Association as an working entity it is advisable to promote the concept of membership fee to be a member of watershed association. Members of the Watershed Association who are directly or indirectly depending upon the watershed area shall be organized into User Groups (UG) and Self Help Groups (Self Help Group),

Box 5

Enrollment of Members

Experience has shown that defined membership (enrolment by contribution) in WA helps in formalizing the association among its members and also, in providing stakes to the poor. Individuals can enroll into the Watershed Association by contributing the enrolment fees (say Rs.10 per member per year) through their respective User Group/ Self Help Groups. The enrolment fees may be collected annually. Separate enrolment/ membership registers need to be maintained at both group and WA levels. Women should be particularly encouraged to become members of the watershed association through this process.

which are basic building blocks of the project.

The Watershed Association shall meet, at least, twice a year to evolve/improve the watershed development plan, monitor and review its progress, approve the statement of accounts, formation of user groups/self-help groups, resolve differences of disputes between different user groups, self-help groups or amongst members of the user groups/self-help groups, approve the arrangements for the collection of public/voluntary donations and contributions from the community and individual members, lay down procedures for the operation and maintenance of assets created, approve the activities that can be taken up with money available in the Watershed Development Fund, nominate members of the Watershed Committee from the user groups/ self-help groups by a system of rotation, and take disciplinary action and removal of membership from the Watershed Committee or user groups and whatever other disciplinary action it deems fit. **The WA will elect its own President, who shall also be the Chairperson of the Watershed Committee.** The Watershed Secretary shall assist the President of WA in the discharge of the responsibilities entrusted. Some of key responsibilities of Watershed Association are mentioned below

- Initial approval of watershed development plans (Strategic and Annual Action Plans).
- Organization of monthly meeting of committee to review of progress of works carried out by WC during implementation phase.
- Arranging annual auditing of accounts through the Chartered Accountant out of the approved panel of Chartered Accountants.
- Addressing issues related to conflicts on account of technological intervention, organization of committee, equity for poor, empowerment of women, recovering of revolving fund, collection of contribution from beneficiaries, social fencing in common land etc.
- Encouraging Watershed Association members to get organized into one or other Self Help Group, User Group (through credit and thrift activity).
- Any other function specified in the Guidelines.

Watershed Committee

Subject to the overall supervision and control of the Watershed Association, a Watershed Committee (WC) shall carry out the day-to-day activities of the Watershed Development Project. The Watershed Committee may consist of 10-12 members who will be nominated by the Watershed Association from the user groups (4-5), self-help groups (3-4), Gram Panchayat (2-3) and a member of the Watershed Development Team. While making nominations, it may be ensured that the Committee has at least one-third representation of women. There should be also adequate representation of members from the Scheduled Castes/Scheduled Tribes etc. Needless to stress, the Watershed Committee will be responsible for coordination and liaison

with the Gram Panchayat, the Watershed Development Team, the DRDA/ZP and Government Agencies concerned to ensure smooth implementation of the Watershed Development Project. The W.C. shall meet at least once in a month on pre decided date.

Premature and non-democratic formation of watershed committee shall not be attempted. It should be formed only after forming User Groups, Self Help Groups and only after more than 90% of resource poor households are enrolled into WA. At least 50% of the members in the WC should be resource poor; and at least half of the total members must be women. Normally it may take about 9-12 months time to establish a watershed committee and develop it on sound lines. The members of committee (particularly members from resource poor and women) should get adequate capacity building inputs specially targeted to them. The members nominated from User Group/Self Help Groups shall be represented by rotation. The capacity development of watershed committee is an important responsibility of Project Implementation Agency. This committee should meet regularly and as often as required. The entire committee together with its secretary should be trained on all aspects of watershed development project especially in democratic functioning, management of funds, participatory technology, social mobilization and livelihood issues. Their specific roles and responsibilities include.

1. Evolve or improve the watershed development plan
2. Monitor and review the progress
3. Prepare the statement of accounts and get approved from Watershed Association
4. Formation of user groups/self helps groups
5. Resolve differences/disputes between different user groups and self help groups
6. Make arrangements for collection of donations/ contributions

The Chairperson of the committee and of the association shall be selected in the manner prescribed in the guidelines of GOI. The roles and responsibilities of each functionary should be explained to the groups/ member.

Watershed Secretary

Each watershed development project shall have a Watershed Secretary (WS) engaged by the Watershed Association. He/She should preferably be a matriculate from the same village or at least from a nearby village and agree to live in the watershed village during the project period. In case of non-availability of such a person, a moderately educated person of the village with good writing and reading skills sufficient for maintaining records and accounts of the project may be engaged to function as WS. He/She will work under the direct supervision of the Chairman of the WC and will be responsible for convening meetings of the WA /WC and for carrying out all their decisions. He/She will maintain all the records of project activities and proceedings of the meetings of WC and WA. She/He should get adequate inputs and support from Watershed Development Team in performing her/his duties. Selection process of

secretary should be by the committee members and should be based on qualities (honesty, willingness to work in transparent systems, etc), skills of person, ability to give adequate time, etc. Salary/honorarium of Secretary is paid from administration budget of the project and may be linked to the quantity of work/ outputs. Some of key roles and responsibilities of Watershed Secretary are discussed below.

1. Consolidate action plan of the Watershed (WS) in collaboration with WC and Watershed Development Team during planning phase.
2. Maintenance of all records.
3. Arrange payment of works to labourer and others.
4. Facilitate the procurement of material or hiring of equipment through a committee approved by WA.
5. Prepare the proceeding and action taken report of the each meeting of WC and WA.
6. Prepare the monthly and quarterly reports on physical and financial progress and budget demands for monthly meeting of WA and District Nodal Agency.
7. Facilitate organization of WC and WS meetings.
8. Depositing of user's contribution into the bank and preparing statement on contributions collected.
9. Certificate by the concerned user regarding satisfactory completion of work;
10. Responsibility for ensuring quality works and financial accountability.

Self Help Groups

Self Help Groups are formed based on social affinity or common interest of its members. Members of a self help group believe in the principles of collective action with their own/ external resources. In the context of watershed program, efforts must be made to promote self-help and group action for improving livelihood opportunities in particular of resource poor. Accessing rights over natural resources (mainly CPRs), supporting natural resource linked livelihoods of poor, increasing productivity and value addition of resources owned by resource poor are some of the important considerations. Self Help Groups should be encouraged and involved in the following activities:

- Wage employment and Monitoring the works
- Development of common property resources
- Managing village corpus for meeting livelihood needs
- Agriculture and allied activities
- Sustained Micro Enterprise with a strong NRM linkage

Federation of Self Help Groups of resource poor

A federation consisting of representatives of all mature Self Help Groups of resource poor households and groups of person in disadvantageous position is to be formed by the end of community organization and capacity building phase. The purpose of this federation is to ensure distribution of project benefits (funds and other inputs) to resource poor including women on priority basis. In some villages, such federations of Self Help Groups at village level may also be formed as watershed committees.

User Groups

Strong and capacitated user groups will help in transparency and sustainability. A group of persons who come together to conserve and use natural resources of a watershed in a direct manner are called a user group. Owning land or any asset is not necessary for being a member in a user group, but the members of a user group should have access to watershed resources and entitlements to use them as detailed in the user plans. The user groups shall

- Prepare plan for their mini area within micro watershed.
- Get it approved in the committee
- Execute works
- Arrange advance contribution
- Maintain structures
- Implement water management plans for efficient cropping pattern.
- Continue further development of resources after the project period.

Other Groups/ Existing Groups

Other/ Existing groups of men and women (Water Users Associations, Forest Committees, Women-DWCRA groups, CMEY, etc)

Box 6

User Groups and Self Help Groups

There is a popular notion that Self Help Groups are for all landless and poor households, and User Groups are for all landowners. It may be emphasized here that any activity indirectly dependent on watershed's natural resources may be planned as a self-help activity. For example, a group of vegetable vendors arranging for transportation of their produce to a market. Similarly, farmers arranging for bulk purchase of manures / fertilizers through their group - is a self-help activity.

Activities directly aimed at conserving, increasing productivity of natural resources and using them may be taken up by a 'User Group'- a group that has a direct stake in the natural resource. For example, a group of landless taking up regeneration of a patch of revenue wasteland or fish production in a percolation tank is a User Group.

An important point here is that the group should undertake an activity, which has some elements of group action. Thrift and credit in itself cannot be an 'activity'. It is rather an essential enabling mechanism for binding and strengthening the group. For addressing the production enhancement and livelihood issues of resource poor in watershed program, all groups (User Groups and Self Help Groups) are encouraged to save and give credit to its members.

should be integrated into watershed program, by creating appropriate stakes in the program (access to program benefits/ budgets, institutional space and capacity building inputs). They can become directly Self Help Groups or User Groups depending on their dependence on watershed resources (indirect or direct) and involvement.

5.5 Role Of Panchayat Raj Institutions

The Zilla Parishads and other Panchayati Raj Institutions (PRIs) shall have very important role to play in Watershed Development Programmes. Wherever the DRDA has been made responsible for implementation of the watershed programmes, the Chief Executive Officer of the Zilla Parishad shall be a member of the DWDC. The PRIs shall have the right to monitor and review the implementation of the programme and provide guidance for improvements in the administrative arrangements and procedures with a view to ensure convergence of other programmes of Ministry of Rural Development such as JGSY, SGSY, IAY, CRSP, Rural Drinking Water Supply etc.

At the Village level, the Gram Panchayat shall be fully involved in the implementation of the programme, specially community organization and training programmes. It may use its administrative authority and financial resources to support and encourage the formation of SHGs/UGs, the operation and maintenance of the assets created during project period and the common property resources such as pasture lands, fisheries tanks, plantations on village common lands, etc. The Gram Panchayats may also ensure that funds from other developmental programmes of MORD are used to supplement and complement the Watershed Development Programmes. The Gram Panchayat shall be empowered to review and discuss the progress of watershed development programme in its meetings. The watershed action plan should have the approval of Gram Sabha and it should be a part of annual action plan of Gram Sabha. The Secretary, Watershed Committee shall provide all information in respect of action plan, funds earmarked for various activities, details of expenditure progress of works and future plan of action to the Gram Panchayat/ Gram Sabha of PRI.

Chapter 6

Preparatory Activities and Phasing

6.1. Preparatory Activities

Even before the implementation of the watershed project, several crucial activities have to be initiated by the project authorities for preparing the ground to launch successfully the project. Preparing proper environment for the project management and strengthening institutional arrangements at every level are key functions during the preparatory phase. No doubt several of these activities need to be continued through all phases of the project. These activities are

- a. Preparation of Perspective Plan
- b. Selection of Watersheds and Project Implementation Agencies.
- c. Identification and Strengthening Support/ Resource Organizations
- d. Orientation of Key Actors
- e. Project Management Components
- f. Monitoring and Information Systems

The details related to preparation of perspective plans, selection of watersheds and Project Implementation Agency are explained in previous chapters.

6.1.1. Identification/ Strengthening Resource Organizations

Project authorities should identify resource organizations/ persons to access their professional services in the fields of capacity building, support services, monitoring, participatory evaluation, etc. This arrangement is expected to bring in accountability, professionalism and innovative approaches in to the program. District Level Project Authority should develop appropriate terms of reference with these organizations, with clear time frames, outputs and budgets.

As part of preparatory work, staff of these support/ resource organizations should undergo an orientation program on the important elements of watershed development program. These organizations should develop resource material and modules for various categories of stakeholders in the program. In this process, these support/ resource organizations can benefit from various studies/ workshops organized earlier to identify capacity building needs of the project.

6.1.2. Orientation of Key Actors

Since watershed development program is multi disciplinary with emphasis upon participation and self-managed institutions at the community level, the orientation and training of all the

authorities in-charge of this program becomes extremely important. All officials dealing with the watershed program at state and district level should invariably undergo an orientation/immersion program before they assume their responsibilities. This orientation should be provided through an immersion course covering social mobilization and institution development, concept and importance of capacity building, technology facilitation and all other participatory process for implementation of watershed development projects. This immersion course should also contain exposure visits to best practices in the country. The Project Director shall ensure that no watershed functionary shall start functioning with out the immersion course.

6.1.3. Developing Program Management Systems

With expansion of watershed development projects in each district, the office of the project director should be professionally equipped to deal with the elements of management components for successful implementation. These include

- Goal Setting and Goal Tracking Systems
- Planning Systems
- Implementation Systems
- Monitoring and Review Systems
- Resource Systems (Human)
- Resource Systems (Finances)

Advance planning and developing these program management systems is critical for realizing the objectives of the program. Continuous improvements in their capabilities, diagnosing their organization strengths and weaknesses and strengthening their structure and staff to the needs of the program and its management components are vital.

6.1.4. Monitoring And Information System

District Level Project Authority should develop and institutionalize appropriate monitoring systems to increase the effectiveness of project management. Care should be taken to see that monitoring system is not reduced to inspection or supervision of works. Apart from regular physical and financial monitoring, separate systems should be developed to monitor participatory processes. This includes capacity building inputs, institution development, planning processes, etc. So that monitoring and information system emerged as learning tool rather than policing tool.

An appropriate mechanism to evaluate participatory processes at the end of each phase would be developed and institutionalized by District Level Project Authority. The results of these evaluations should be the basis for taking key decisions.

6.2. Phasing

Watershed Development activities should be planned and taken up for implementation in distinct and separate phases. Neglect of the sequential and phase wise implementation of the project distorts the processes in the implementation and dilutes quality of the works as well as sustained flow of benefits from these works. Experience suggests that several activities across these phases can be implemented simultaneously, but total neglect of some of the initial activities and concentration up on engineering elements in the action plans have led to several distortions. The time frame, main activities and flow of funds for each phase need to be properly linked so that the expected outcomes at the end of each phase are realized. The processes of implementing watershed development project can be divided into three distinct phases and detailed out in subsequent chapters. These are

Phase 1: Probation Phase

Phase 2: Main Implementation Phase

Phase 3: Post Project Phase

Chapter 7

Probation Phase

7.1. Introduction

Field experience has indicated that training input to Watershed Development Team, watershed secretary, volunteers and the community should include not only learning of skills through structured courses but also a regular follow up support for application of skills. This would require a longer period of association between trainers and trainees. During this period physical and financial progress of various works is likely to be slow which may generate a negative pressure on implementing agencies. It is therefore essential to separate out probation phase that includes building of necessary capacities of Watershed Development Teams, village level functionaries, formation and strengthening of Self Help Groups & User Groups. Probation phase shall also include a small component of implementation that facilitates experimental learning and sharing.

7.2. Major Activities during Probation Phase

Major activities to be performed in the probation phase mainly includes preparation of capacity building plan for primary and secondary stakeholders, preparation of strategic and annual action plan are detailed out in the subsequent sections.

7.2.1 Preparation of Capacity Building Plan

Capacity building is a continuous and critical process in watershed development project. Training programs alone cannot build the necessary capacities of the stakeholders. Hand holding support at field level, creating opportunities for learning, exposure to best practices, training programs, conducive administrative procedures, two way communications processes, organizing communities, etc constitute important components of the capacity building process.

The training component should be participatory and focused on social & organizational issues and demystify technology. These training programs should move away from typical “Lecture Based – Class Room” based modules to “Facilitation Based – Field Based” modules. Villagers who have successfully implemented the Watershed Development Program on innovative approaches may also be called as resource persons. Project Implementation Agency and Resource Organizations/ Centers need to provide field level support/ hand holding support, as per the need of the program. Repeated training programs need to be organized wherever required. Trainers and facilitators should be amongst those who are well versed with watershed and participatory methodologies and techniques.

Box 9

Appreciating need for continuous Capacity Building Inputs....

It is to be appreciated that relevant capacity building inputs need to be provided during the entire time frame of the project. A separate phase for capacity building is created only to emphasize the need for intensive capacity building inputs at the initial stage to trigger the process and create base for future....

Long-term investments in a large enough cadre of such trainers and facilitators are basic for success.

a. Project Implementing Agency

Community Organization and Capacity Building inputs should have strong and formal linkages with project management at all levels. These processes should not be treated in isolation. A comprehensive time-bound action plan for Community Organization and Capacity Building should be prepared keeping in view the sequence of activities and availability of support/resource organizations. Such plans may be prepared at Project Implementation Agency level first, for the villages. Afterwards these plans may be aggregated at district level by District Level Project Authority and be presented to District Level Watershed Committee for approval.

Capacity building Inputs to Watershed Development Teams

On appointment of Watershed Development Team members, Project Implementation Agency has to formally inform the project authorities with the details of their capacity building needs. Based on such requests and the needs of the project, District Level Project Authority will organize capacity building inputs to Watershed Development Team periodically. It is the responsibility of the District Level Project Authority to organize the first orientation program to Watershed Development Team immediately on appointment.

It is widely recognized that one time training input at initial stages of the project is not adequate for building the capacity of Watershed Development Teams and for preparing communities. Therefore, District Level Project Authority has to prepare an action plan for providing capacity inputs to all Watershed Development Teams consistent with project needs.

Village Level Functionaries

As indicated earlier, Project Implementation Agency / Watershed Development Team has to prepare an action for providing capacity building inputs to village level functionaries like watershed committee members, secretaries, volunteers, etc. According to this plan, Project Implementation Agency has to organize appropriate communication, orientation and training programs to spread the spirit of watershed program.

Box 10
Inputs to Watershed Development Teams
Orientation on Guidelines, Watershed Treatment Technologies, alternate land uses with emphasis on low cost structure, vegetative barriers, farmers' innovations and production technologies, Participatory Rural Appraisal Methods and Community Organization Techniques, group behavior and convergence of services, project management tools and techniques, such as work breakdown structures and activity analysis, PERT, CPM, coordination, negotiations and time management, administrative and accounting procedures, engineering works, measurement and recording procedures, inspection and audit, computerization and report writing, orientation on equity, gender and livelihoods, etc.

Key themes like regularity of meetings, ensuring attendance particularly of disadvantaged section of the society, active participation of women and poor, group based resource conservation, preparing budgets and plans, maintenance of accounts, peoples' estimates, voluntary contributions, processes to be followed for project planning management and implementation, transparency in identification and allotment of works, community verification of works, ridge to valley approach, cost effective structures, reporting, and participatory impact evaluation, administrative procedures, engineering work execution, measurement, etc are to be covered.

Experiential Learning of Communities

Community can best learn key elements of the participatory processes while operationalizing all stages of a project cycle in a small way. This arrangement provides them an opportunity for experiential learning, which is an important component of the capacity building phase. The activities under this category can be called Probation Phase Activities. A detailed action plan of a small portion of the watershed area about 50 ha associated with a selected drainage course should be prepared and implemented. This opportunity should be utilized to generate pro-poor bias in the program, by treating a patch of common land through social fencing or an area in the ridge portion belonging to poor and marginal farmers. This action would develop confidence and necessary sensitivity among the community members and prepare them for participatory implementation process. The budget for this purpose can be accessed from development component.

Support to Project Implementation Agency

Since all Project Implementation Agencies do not have necessary skills to organize training & capacity building inputs, they can take the services of resource organizations/ centers/ persons. Their services should be reimbursed, from the training & capacity building budget. For various types of programs, venues, resource persons & target groups, appropriate cost norms may be fixed at district level with consultations of APARD.

Experience indicates that there is a shortage of experienced resource persons required for supporting implementation of projects of this nature. Skills required to work with people are not available easily, therefore the Project Directors shall collaborate with resource organizations to create a pool of resource persons who can provide services to Project Implementation Agency / District Level Project Authority on various aspects of watershed development program (training, community organization, monitoring, etc).

Box 11

Tips for developing Training Modules

Well thought out modules on different watershed themes should be developed and used under the facilitation of well-trained facilitators. In this process, the most important aspect is that the facilitator himself/ herself has undergone through such learning process and is able to facilitate the learning of others in similar fashion. The emphasis is on the facilitation of processes through which the learner discovers the problem and learns the skills to deal with the problem in a systematic manner.

b. Community Based Organization

Self Help Groups and User Groups form the building blocks of watershed institutions. These groups have to plan, execute and maintain watershed activities that impinge upon them. Self Help Groups/User Groups are expected to provide necessary institutional platforms for natural resource conservation, productivity enhancement and livelihoods interventions. Identification and organization of resource poor into functional groups must precede formation of the WC. Sustainability of the watershed program depends on the maturity of these groups. For creating sustainable Self Help Groups and User Groups, it is very important to conduct regular meetings, strengthening the groups in terms of book keeping, transparent decision making processes, etc. The purpose of organizing Self Help Groups is not only to involve them in planning and implementation of watershed program but also to strengthen them as a social unit so that they may effectively plan and implement activities to enhance their own livelihoods with a strong linkage with natural resources in the watershed.

Strengthening of existing Self Help Groups

During this phase, Watershed Development Team has to make an assessment of maturity of existing Self Help Groups and corpus available with them. Based on this assessment, team shall facilitate strengthening of these group and productive use of the corpus. For this purpose, Project Implementation Agency / Watershed Development Team may develop useful collaborations with mandal level samakyas and financial institutions. With these inputs and support, it is likely that the performance of Self Help Groups improves further and groups move towards asset building stage from consumption stage. For better utilization of existing corpus, Watershed Development Team facilitates the process of evolving a defined action plan reflecting needs of all members of groups. Based on this action plan, efforts should be made to mobilize resources from watershed program and external sources (financial institutions, etc). This process may take about 6 to 12 months, if regular inputs are provided.

Process of forming Federation of Self Help Groups

After forming the self help groups of poor and vulnerable persons, process of federating these groups need to be initiated in the village. It is to be noted that this process is slow and may take 10 months to 18 months in each watershed. Before forming the federation, the roles, responsibilities of such an institutions and its advantages should be clearly explained to each group. Organizing exposure visits, facilitating interactions between effectively functioning federations are some of the means to bring awareness among members of Self Help Groups on the need for creating federation. It is observed that certain “elite” groups in a village are able to access the village corpus and external support repeatedly whereas some groups placed in disadvantaged situation are not able to access the village corpus. Formation of village level federation of Self Help Groups can address this issue and can ensure that deserving Self Help Groups consisting members of poor families would get priority in receiving the assistance/grants from the village corpus/ external funds. This approach would bring discernable change in the process of reaching out poor.

Process of Formation of Watershed Association and Committee

These institutions have governance and managerial functions in the watershed program. Details of formation of these institutions are given in Chapter 5 (Institutional Arrangements).

7.3. Preparation of Watershed Plan

Identifying Resource Poor

Identifying Resource Poor individuals and groups is a necessary first step to ensure equity in watershed plan and implementation. Individual households and groups should be given separate identity so that the process of involvement of resource poor in the project as well as the investments and the benefits accruing to them can be monitored and assessed.

<p style="text-align: center;">Box 13</p> <p style="text-align: center;">Resource Poor</p> <p>Households that depend on wage labour at any time in the year for their livelihoods, households with marginal land holdings, single women households and disabled can be considered resource poor. Much of the artisan families should also be considered under this category.</p>

Preparation of Strategic plan

It is necessary to prepare a strategic plan separately for each watershed. One of the major objectives behind preparation of strategic plan at watershed level is to carry out need-based allocation of available funds for different components and sub-components. This will avoid excessive emphasis on a particular activity during the initial phase and also, to help the community prioritize watershed investments. Strict adherence to locality specific strategic plans will help in avoiding prescriptive procedures of allocating investments to specific activities at the district or Project Implementation Agency level.

In the preparation of strategic action plan, participation of all primary stakeholders is a necessary first step. Similarly different segments of the watershed should be covered in transect walk so that the community becomes sensitive to watershed based approach and the local knowledge is fully reflected in the strategic plan. The strategic plan should be accompanied with thematic maps detailing the information generated during PRA exercises on resources, social structure and problem analysis outputs. The strategic plan would also indicate time bound proposed activities to be carried out with proper sequencing. Care should be taken that the planning process starts with the resource poor and their investment needs are given due priority.

Participatory rural appraisals shall be carried out for detailed auditing of natural resources (land, water, perennial vegetation, social resource, etc.) so that watershed-specific strategy and approach could be evolved. Based upon mutual agreement between watershed community and Watershed Development Team, a tentative allocation of development fund may be made for various components and sub-components in each watershed. Rough estimates may be used for the purpose of arriving at tentative budgets. Similarly, phasing of the strategic plan over the project period is necessary. For developing action plans from each group, the Watershed

Development Team may take the support of external resource persons/ local volunteers, for various purposes.

Preparation of Annual Action Plans

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

Apart from general details about the watershed, these annual action plans should contain the following sections. To ensure equity and gender concerns in the program, each of these sections should clearly indicate the allocations of resources to women and poor. The process to be adopted for ensuring this is mentioned subsequently.

- Plans for Capacity Building Inputs and Training.
- Lists of User Groups and Self Help Groups
- Thematic maps (Soil, drainage, land use, cropping pattern, ground water, land holding data, degree of degradation, infrastructure, etc).
- Plans for Resource Conservation

Approval by Watershed Association

The Strategic Plans thus prepared should be presented to Watershed Association, for approval. Similarly WA in the form of passing resolutions should invariably approve all annual action plans prepared. No expenditure at village level shall be incurred by the Project Authorities/ Project Implementation Agency/Committee/User Groups/Self Help Groups, without this approval. These approved strategic/ action plans form the basis for fund releases, reviews and monitoring. It should be understood that the contents in Strategic Plan would change every year, based on the experience and demand from community each year.

7.4 Focused Areas Considered

To address equity and gender concerns in planning, priority is to be given for groups of poor and women. For the sustainability of the impacts by proposed interventions, all activities have to be necessarily group based. These Watershed Development Teams/ Volunteers have to facilitate discussions and analysis of resource base/ opportunities/ aspirations of groups in natural resource conservation/ productivity enhancement

The action plan proposals need to be comprehensive and result based. It may add value if the groups can indicate investment – output ratios, however approximate they are. In case of resources that need a management system (like natural regeneration/ plantation, increasing ground water), the same need to be worked out within the group and mentioned in the action plan. Watershed Development Team 's role in negotiating these arrangements is very crucial.

Ridge To Valley Approach

Communities need to be oriented on the benefits and need for ridge to valley concept. The action planning and implementation there after shall be taken up on ridge to valley approach. The watershed implementation plan shall be spread over the project period in such a fashion that during first and second year all the sub-watersheds with common lands, ridge areas and lands belonging to the poor are treated and thereafter the treatment shall proceed to valley area.

Equitable planning

Priority should be given to the treatment of marginal lands/fallow lands of resource poor. Land less persons and local laborers should be organized into groups and these groups should be given priority in employment opportunities. Project authorities should ensure minimum and equal wages.

Wherever applicable, arrangements regarding sharing of usufruct rights over the regenerated resources must be negotiated and specified very clearly. Usufruct rights over the benefits of investments in common property resources should be provided to the resource poor families.

Gender Sensitivity

Women's groups should be entrusted with the execution of watershed related works, wherever they are willing and coming forward to implement. Several Self Help Groups of women have played an important role in the execution of treatment plans and specific watershed related works. They have contributed to the elimination of contractors and middlemen and in securing economies in

Box 14

Net Planning, a Step-by-Step Process

Net planning is a methodology in which plot wise details (resources, problems and needs) of each farmer/ user are collected and action plan is prepared. Since the whole process has to be participatory, individual contact with farmers need to be planned at the level of user group. The following step-by-step approach needs to be adopted

- Conduct participatory rural appraisals to identify the watershed boundary and divide it into sub-watersheds/ small zones/blocks based on drainage lines.
- Provide intensive capacity building inputs to watershed committee members, secretary, users and volunteers.
- Collect statistics relating to individual land holdings and common property resources from Revenue "Pahani register" and tabulating the same according to User group areas.
- WDT members, secretary, watershed committee members, volunteer have to visit and conduct transact walks to individual holding along with farmer, verifying slopes, rills, gullies and farmer to decide proposed treatment/activity.
- Work out estimates of works/activity and cost under each category.
- Record the data and proposal on the Net Planning format.
- This data and proposal from each user group needs to be placed for discussion and approval by the Watershed Committee.
- Based on such discussions the action plans of all user groups for resource conservation can be developed.

the implementation of works. These are very desirable trends, which should be encouraged and replicated. Support to these groups should thus be in a variety of ways, rather than being limited to provision of revolving fund as at present.

While the strategic needs of women can be addressed by institutional membership and community organization, there is a need to address their practical needs within the watershed framework like drinking water, fuel wood, fodder, food, etc. Watershed Development Team should organize participatory exercises to identify activities that reduce women's workload increase their access and control over resources. Budgets should be allocated on a preferential basis to such activities. Sensitizing men (at all levels) and facilitating processes that establish equal and/or shared benefits, works loads and responsibilities are some of the suggested interventions to make a program gender sensitive.

Natural Resource Conservation

Apart from other participatory methodologies for planning, survey number-wise planning, popularly termed '**Net-Planning**' is found to be a useful approach for preparing group based action plans. The area of watershed should be divided into convenient blocks based on drainage lines. Both for common property resources (land or water) and private land, such blocks can be identified and relevant user groups should be formed. The User Group members along with trained volunteers and Watershed Development Team should prepare a treatment plan for the total area under that particular User Group giving details of activities, budgets, plan of implementation, contribution etc. The estimates and budgets can be prepared using 'people's estimates. The primary stakeholders should implement the works. Integration of biomass regeneration with treatment plans should be insisted upon. Action plans from each groups need to be consolidated by Watershed Committee, Secretary with the support of Watershed Development Team. Each such proposal should be presented on a map.

Development of Common Property Resources

Priority shall be given to treat common lands through groups of poor in preference to the private lands. The equity and gender concerns need be given due importance while implementing the action plans. These groups would also be given usufruct rights over the produce from these assets. As per the needs of the CPRs, the action plan for developing them can be flexible in terms of budgets (unit costs) and time frames.

Planning for Productivity Enhancement

Prosperity in drought prone areas is not feasible by imitating the production patterns of irrigated areas. Mono cropping, excessive use of water, chemical fertilizers, insecticides would nullify the advantages of watershed development. Improvements in production systems in watershed projects should involve efficient use of water, introduction of multiple cropping and intensive developments of food, fodder and fuel crops, which sustain the livelihoods of the households. These improvements together with opportunities for diversification into high value

animal husbandry and agro processing should be incorporated in action plans for productivity enhancement.

Watershed Development Team has to identify the production related problems and explore the opportunities for enhancing the productivity of natural resources in a participatory manner. Discussions with user groups, organizing exposure visits/ orientation programs on this would generate ideas/ basis for interventions. Priority has to be given to poor farmers/ areas in ridge area/ CPRs. Adequate budgets need to be allocated for this purpose.

Cost Effective Structures

The watershed projects are for in-situ soil and moisture conservation activities in contrast to big cement structures. It is also desirable that maximum area is covered with available funds by taking up cost effective structures which can result in maximum runoff reduction, water harvesting and help in reclamation of area. Technical manual prepared by Shri T Hanumantha Rao can be used for making appropriate choice of cost effective technologies. This manual also deals with improved methods regarding structural and vegetative works such as mini percolation tanks instead of costly cement based check dams, sunken pits instead of rock fill dams. Continuous contour trench design, boundary bunds, recharge of dug wells, sub surface dams, cover crops, trees and trenches along field boundaries, tree plantations are some examples..

Revival of existing water harvesting bodies, improving the status of supply channels to these water-harvesting bodies will immediately ensure participation of community. Wherever such activities involve high investments, not envisaged in watershed development guidelines, the project authorities should facilitate convergence of funds from other programs to undertake these works (Neeru Meeru, Food For the Work, RIDF, minor irrigation, JGSY, etc), without diverting watershed funds. It shall be realized that watershed development mainly deals with the catchments area of a tank; where as any development done to a tank would benefit the command area of the tank only.

Conversions of dry open well to recharge well

Advent of bore wells has resulted in drying of considerable number of open wells. The run off water from surrounding areas can be directed to these open wells at a cost of few hundred rupees, which will help in recharge of ground water. However, study of local geology is essential for effective ground water recharge. Appropriate silt separation mechanism should be part of this technique to ensure the sustainable ground water yield into the open wells. The design for this given in technical manual mentioned above. Also the recharge pit design has to be modified as given in the manual.

7.5 Assessment of Probation Phase

In view of the importance of probation phases for success of watershed development projects the Project Implementation Agency should subject the work done so far to an assessment, before commencing the main implementation phase. This assessment can be conducted any

time before 18 months after the project commencement date, by an inter-disciplinary team. For this purpose, a transparent mechanism of performance appraisal based on a set of objective performance indicators shall be devised.

If performance is found to be satisfactory the project and community will move to main implementation phase. There is a possibility of certain lacunae identified, which are not detrimental for continuation of the project. In such cases, the project can be continued on a probationary period for corrective steps. However, if the performance is found totally unsatisfactory, the Project Implementation Agency or the watershed community or both may be discontinued.

Time Frame

It is difficult to define exact time required for completion of the probation phase. However the indicative time frame for the probation phase that primarily focuses on capacity building across

the primary & secondary stakeholders and planning is felt up to 18 months. After proper appraisal of the probation phase, the project can be permitted to move into second phase of the watershed development programme.

Chapter 8

Main Implementation Phase

8.1. Time frame and activities

Time Frame for Main Implementation Phase is 3.5 Years. The main thrust of this phase is to implement the annual action plans prepared by user and self-help groups and approved by the Watershed Association. Preparation and implementation of the annual action plans should be a regular feature of this phase.

8.2 Capacity Building for Implementation of work

Leaders of groups, volunteers, secretaries, office bearers of Self Help Group federation and committee members should be oriented on the basics of project management and record keeping. Groups need inputs on themes such as quality control, measurement, responsibility sharing, conflict management, social auditing methods, etc. Watershed Development Team with the support of resource persons have to organize orientation/ training programs of short duration on these themes. Apart from this, on the job training/ hand holding support would also be very useful for ensuring transparency and quality of works.

8.3. User Groups to Implement Works

Under the participatory approach, user groups themselves are expected to implement works without hiring any contractor and machinery. In this connection the following specific points may be kept in view.

- Box 15**
Main Implementation Phase
3.5 Years.
- Participatory and Transparent Systems
 - Conservation of natural Resources,
 - Production Enhancement and Livelihood Support Activities by community.

- No work shall be started without the request and consent of user groups in writing.
- For every work, peoples estimate giving quantities in local terms and the local unit rate shall be prepared and sanctioned by Watershed Development Team and handed over to farmer. Care should be taken to see that the local rates are not exploitative and disadvantageous to women and labor.
- Implementation of work should not be started unless the concerned user has paid the required contribution (at least, some amount in cash as advance contribution).
- Allocating wage opportunities to deserving groups is an important aspect of watershed program. While the priority should be given to poor land less families, it is also important to encourage farmers to work on their lands so that sense of ownership is established. Committee and members of federation of SHG have to negotiate with user

groups and self-help groups for allocating wage opportunities, while giving due consideration to equity and gender issues.

- WC should make necessary financial provisions to make payments labourers (as per SSR) as and when partial work is completed. Care should be taken to ensure minimum wages and equal wages for men and women.
- The practice of centralized payments at the Project Implementation Agency / district level should be discontinued.
- It is to be noted that the payments should be made only for “actual expenditure”, but not for estimates. Estimates only indicate the quantum of funds requirement. This approach would help in removing the artificially created profit margins (by adopting SSR) in the program.
- Above payments should however be authorized by WC after making proper entry in Measurement book, supervision of quality by subject matter specialist, a certificate from concerned user / User Group regarding satisfactory completion of work.
- Paid office bearers of WC (secretary) should be given the overall responsibility of management of implementation phase, under the guidance of chairman WC, President WA and Watershed Development Team.

8.4 Project Components at Watershed Level

Considering the earlier experiences of watershed program, the project framework is expanded to include the following two components this approach is expected to address the concerns in droughts prone areas.

- Natural Resource Conservation
- Productivity Enhancement

For each of these components, indicative and flexible budget provision is made. For natural resource conservation activities 50%, while for productivity enhancement component 30% of budget is allocated. It is to be noted that these allocations are only indicative and can vary upto 10%. Depending on the action plans from watershed, these allocations can be changed.

8.4.1 Natural Resource Conservation

Watershed Treatment/ Development Plan should be prepared for all the arable and non - arable lands and the drainage lines. All degraded forestlands; government and community lands and private lands can be taken up for development activities. Emphasis should be on low-cost, simple and easy to operate and maintain works and activities. For preparing action plans for

this component, norms developed in Technical Guidelines issued by GoAP can be used. The items, inter alia that can be taken up are: -

- a. Land Development including in -situ soil and moisture conservation measures like contour and graded bunds, fortified by vegetation, promotion of cover crops, bench terracing in hilly terrain.
- b. Drainage line treatment with combination of vegetative and engineering structures.
- c. Development of small water harvesting structures such as low cost farm ponds, nalla bunds, check dams and percolation tanks.
- d. Nurseries rising for fodder, timber, fuel wood and horticulture.
- e. Agro-forestry including block plantations, shelter belts, sand dune stabilization, etc.
- f. Agro-forestry and horticultural development.
- g. Pasture development either by itself or in conjunction with plantations.
- h. Repair, restoration and up-gradation of existing common property assets and structures in the watershed to obtain optimum & sustained benefits from previous public investments.
- i. Basic surveys such as contour survey, hydrological surveys, benchmark, remote sensing surveys, soil classification, land capability analysis, monitoring surveys, design analysis or resolution of specific technical problems through research/ action research/operational research assignments and such other technical inputs will help that achieve better results for all or any of the activities mentioned above.

8.4.2 Productivity Enhancement

Activities under this category are to be used for increasing productivity of the investments made on watershed treatment. These activities may include the following

- Innovative practices and new technologies on a pilot basis
- Diversification of cropping pattern (through planting of horticulture, agro forestry, feed and fodder for animals, etc.)
- Adoption of proven technologies in enhancing production

For operationalizing the above activities, Watershed Development Teams have to develop user group specific action plans for each component and has to be contributory with minimum 50% contribution from the user group.

8.4.3 Prioritizing the poor

There is an explicit focus and priority for poor in the watershed program. To operationalise this objective, support to resource poor families is envisaged in all components of the program. Some of the key support features/ provisions under each component are mentioned here.

Capacity Building

- Watershed Development Team should take special care to see that resource poor families are identified and organized and occupy key positions in the watershed institutions.
- Special attention to building capacities of poor by organizing training & exposure visits and sharing information.

Support to resource poor from Natural Resource Management Component

- Creating clear entitlements to resource poor families in terms of access, control and usufruct rights over benefits from CPR management.
- Priority should be given to conservation, development and management of CPR on which resource poor families depend.
- Reclaiming fallow lands owned by poor by fully financing from the project without limitation of unit cost.

Support to resource poor from Production Enhancement Component

- A complete cycle of investments on assets of resource poor families should be made (convergence of budgets for resource conservation, productivity enhancement, marketing, etc with resource poor families) to see that the investments would contribute to over all quality enhancements of their assets.
- Investments for enhancing productivity of land and animals like inputs to agriculture, horticulture and animal husbandry.

Developing systems for linkages – seed, feed, fertilizer, marketing, processing, etc

8.5 Operational modality for collection of genuine contribution from users

Experience has shown that taking a commitment for contribution from the members of User Group and Self Help Group at the time of enrolment, collecting advance (part) contributions in cash and other participatory measures and mechanisms will help in mobilizing contribution. District Level Project Authority / Project Implementation Agency can withhold the implementation of activities in a watershed, if contribution is not forthcoming. This policy support from District Level Project Authority to Project Implementation Agency helps in

giving due importance to the concept of contribution and facilitates genuine contribution from community. Watershed Development Team and Secretary should be trained to maintain separate records for contribution and issue receipts to persons, who contributed. As earlier, the amount of contribution (cash and in labour/ material) would be deposited in a separate account Watershed Development Fund (WDF). This account is to be operated by President/Chairperson.

8.6. Fund Flow Mechanisms

- Government of India and Government of Andhra Pradesh release the funds for watershed development programme to the Project Directors, according to their respective share. The Project Directors shall release these funds under works, training, community mobilization and administrative fund component. The funds for development component shall be released to the account of watershed committees directly on the basis of approved action plan. Under no circumstances the development component shall be released to the project implementing agencies.
- The funds for community mobilization, training and administration shall be released against an approved action plan for the activities proposed by PIA, watershed committees or at district level.
- No PIA shall divert the funds from one watershed committee to another watershed committee as Government of India releases the funds by treating each watershed as a separate project. The PIA shall assess the pace of expenditure and shall request the release of funds for timely completion of the project.
- The required registers, journals and vouchers etc. shall be maintained as per the guidelines existing and all these reports shall be available at the watershed committee level. The watershed committee shall render the accounts at defined periodicity to PIA. The PIA shall scrutinize the accounts and vouchers submitted by the Watershed Committee and then submit the same to the Project Director through MDT. The Project Directors shall cause the necessary scrutiny done and adjust the vouchers against the release made to the respective agencies.
- The Project Director and PIA shall arrange the audit of the watershed accounts and the district level accounts annually as per the guidelines of the Government of India.
- The Project funds shall not be diverted even temporarily for the purpose of other than for the funds are released.
- While most of the works may be actually executed through the user groups, incurring of expenditure shall be authorized to the extent of Rs. 5000 by the Watershed Secretary, up to Rs.20, 000 by the Watershed Committee and above Rs.20, 000 by the Watershed

Committee after specific approval of the concerned technical member of the Watershed Development Team. However, withdrawal of funds from the project A/C shall be only through joint signatures as prescribed earlier & the funds will be entrusted with the Watershed Secretary.

8.7 Social Audit And Transparency

Transparency increases participation and commitment of communities during all stages of the program (planning, implementation and post project management). Watershed Development Team / Project Implementation Agency and District Level Project Authority have to maintain this principle during their interactions with community. Watershed Development Team has to ensure certain processes and procedures to ensure that transparent systems are practiced at community level. Some of the suggestion/ practices that enhance participation and transparency are

- Physical verification of all works by all/ majority of committee members and linking this field verification with payments.
- Reading out the list of users, activities and budgets/ payment in committee meetings and grama sabhas/ Janma Bhoomi Grama Sabha..
- Displaying action plan and treatment map with paint at a prominent place in the village and updating them regularly.
- Displaying rates for different works and list of labourers
- Cheque payment to labor groups
- Conducting meetings at a place, which is accessible to all.

8.8 Premature Closure of Projects

Total time duration of watershed project is five years including an initial phase of 9 -18 months for establishing the necessary institutional mechanism for execution of the project. While this process by and large, has been working satisfactorily, there seems to be instances where the Project Implementation Agency is not in a position to ground the required village level institutions due to conflicts, lack of unanimity and other vested interests in the project area. Therefore, as suggested earlier, after an assessment by an interdisciplinary team of this project, such projects can be put on probation for corrective action and removal of impediments.

If however, it is considered that the project cannot be implemented successfully for unavoidable circumstances and reasons, the District Level Project Authority shall recommend for its closure to the State Government that will consider such request on merits and send its recommendations to Department of Land Resources. Before considering

any such request, the State Government shall ensure that the amount already spent in the project area has been duly accounted for. The Department of Land Resources will formally close the projects only after approval. In such cases, the unspent amount should be refunded to the Department of Land Resources. This review may take into account the sustainability of the project, equity and other related issues. However, such requests shall not cover the cases of financial embezzlement, defalcation and other deliberate irregularities, for which responsibility is to be fixed.

8.9. Handing Over the responsibility to Watershed Association

Project Implementation Agency and Watershed Committee would organize a formal ceremony on the completion of the project. During this ceremony, the responsibility of maintaining the assets created during the watershed project period would be formally given to the respective watershed association and its groups, who have executed these works. The responsibility of maintaining these works/ assets would be with the respective user groups and Gram Panchayats. In this ceremony, the Chairperson has to share the details of all assets created (names of user groups, assets, budgets spent and location), Watershed Development Fund with the entire watershed association and Gram Panchayat. They will also be displayed in public place for every one. Systems for maintaining the assets and norms can be discussed during this ceremony and develop consensus.

Chapter 9

Post Project Phase

9.1 Introduction

As the project nears its completion, the watershed association assumes greater responsibilities. During the project period, efforts are made to conserve natural resources, to enhance the productivity of the resources and to improve the livelihood options for poor with a strong institutional foundation. The post-project activities should concentrate on *management* of the resources conserved, people's institutions and finances with an objective to sustain the flow of benefits from the natural resources.

Towards achieving the above, the Watershed Association and the PIA should proactively facilitate convergence and liaison with Panchayats, line departments of the government and other agencies. The project facilitators shall build necessary capacities to equip the community to manage the institution to meet its objective. Institutionalization processes should be started in the very initial stages of the program. The PIA should also provide capacity building support for the post implementation activities. The Watershed Development Fund (WDF) will be instrumental in this facilitation process. The WA should take greater responsibility in facilitating development in the following areas. Many of these activities are a continuum with the activities taken up earlier.

- Networking institutions
- Asset maintenance
- Managing and enhancing financial resources
- Managing and enhancing natural resources, including ensuring mechanisms of protection, benefit sharing
- Promoting group action

9.2 Networking Institutions

Networking of existing Watershed Associations can develop synergies to address issues of common concern through collective action. This process should be facilitated by the Project Implementation Agency. Networking is more relevant to watersheds in the contiguous villages. This will increase the scale of an activity like bulk purchasing of agriculture inputs, marketing, processing and sourcing modern technologies.

As the project support to the watershed secretary would be withdrawn, the WA should make necessary arrangements to seek these services from their own sources.

9.3 Asset Maintenance

Appropriate norms and mechanisms to enforce them are to be formally established for asset maintenance in the private lands. Individuals can access loans from the federation of SHGs for this purpose through their user groups or SHGs. The WA should devise relevant strategies and norms for maintenance of assets in the common property resources. Collection of user fees, voluntary labour on a fixed day annually for maintenance, establishing a revolving fund for the purpose, are some of the strategies. Interest accruals from WDF may also be used for maintenance of assets on common lands. In no circumstances, WDF shall be allowed to deplete therefore must be treated as loan rather than a grant.

9.4 Managing and enhancing financial resources

Watershed Development Fund (WDF)

WDF accrues from the membership fee, contribution, donations, and interest earnings during the project period. It is important to devise ways of enhancing the WDF and also, of using it in a sustainable way. The Watershed Development Fund shall not be a one time measure but organic in nature. Contribution to this fund will keep on accruing even after the project period is over, by way of the charges paid by the community for use of assets generated in the project e.g. water for irrigation, fuel wood, fodder etc. Contribution to this fund can be in cash or in the form of labour. Care should be taken that the contribution comes from the farmers and not from the labourers engaged to treat the private lands. It is the beneficiaries who should contribute. All such contributions shall be deposited in Watershed Development Fund, which shall be maintained separately, to be operated after the project is completed. In case, no separate institutional arrangement is done by the DRDA for post project management, Chairperson, WC and Secretary will operate this account jointly. The individuals as well as charitable institutions should be encouraged to contribute generously in the Watershed Development Fund. The proceeds of this fund shall be utilised in maintenance of assets created on community land/ for common use after completion of project period. Works taken up for individual benefits shall not be eligible for repair/maintenance out of this fund.

Linkages with Financial Institutions

Integrating the village level federation of SHGs with the Mandal level federations would further strengthen the groups and provide them access to larger resources. In addition, linkages with financial institutions like banks should start at the early stages of institution development itself. This would help in leveraging financial resources to meet the credit needs of groups for activities improving productive use of resources conserved.

9.5. Managing and Enhancing Natural Resources

Appropriate norms / regulations for managing the natural resources like regulation on new bore-wells should be initiated during the project period. Ensuring continued enforcement of the commonly evolved regulations, continuation of institutional arrangements like watch and ward for protection, developing appropriate conflict resolution mechanisms and protecting benefit-sharing agreements are at the core of management functions of the watershed institutions. Having written agreements and signed MOU on benefit sharing with relevant authorities would help in securing the entitlements to poor after the project is completed.

Management of Water Resources

It is observed in many watershed development projects that non-poor households invest heavily in private bore wells appropriating most of the increased ground water. This trend is leading to unsustainable and inequitable ground water management in watershed villages. To off set this trend, generating awareness on the issue and developing appropriate institutional mechanisms to use and manage ground water need to be evolved during the program implementation stage. Project Implementation Agency has to facilitate the process of monitoring of ground water potential and usage through participatory methodologies. Neeru-Meeru Campaign and other experiences have developed simple techniques and indicators for this purpose. Project Implementation Agency and Project Authorities have to make special efforts to simplify this process of ground water monitoring and facilitate collective action in ground water usage. Regulation on expansion in area under water intensive crops like paddy and sugarcane, promoting less water intensive crops, regulating the number of new bore wells and distance between bore wells, promoting group irrigation as against private sources, efficient irrigation systems, cover crops, etc are some of the options that would help in sustainable resource utilization.

Appropriate Land Use

Promoting an optimal land use in the watershed area is an important aspect of watershed development planning. The watershed association should monitor unsustainable trends in land use changes like expansion of mono-crops, increase in fallows etc. Activities that promote diversity in land use like horticulture, regeneration, sericulture etc., need to continue. The PIA should facilitate developing appropriate financial and institutional mechanisms to continue the institutional arrangements like watch and ward for protection of commons and private plantations.

9.6. Promoting Group Action

The participatory groups in watershed development are the basic building blocks for its development. In addition to completing resource conservation works, the groups would initiate various production enhancement and livelihoods support activities during the main implementation phase. These activities provide a continuous agenda for groups well beyond the project.

Group action can be in two areas viz., for organizing agriculture inputs and marketing, and technology up-gradation for productivity enhancement; the latter including diversification of farming and exploring value addition opportunities. Making the best use of their social capital,

the groups should arrange for development of important sub systems / support systems for agriculture such as seed supply, credit, fodder, manures and fertilizers. The groups should also promote sustainable agriculture technologies/ practices like integrated pest and nutrient management, introduction of new crops and varieties, promoting water use efficiency and productivity. Diversification of farming systems and occupations is an important area.

The groups need critical support (organizational, administrative and professional) to promote group action in the above areas. Livelihood support activities need much greater facilitation and resources. The accumulated revolving fund with the watershed association / federation of SHGs and WDF, linkages established with the financial institutions would be a major source of resource mobilization for the above purposes.

9.7 Convergence

The schemes with various government departments can be sourced for facilitating group action. The mature institutional base in the watershed and the corpus fund available with them provide a sound platform for convergence of schemes of different development departments. Ideally the schemes should converge on the action plans of the groups.

The obligation of providing services to these groups remains with the respective departments. Line departments can creatively harness the potential of these Community Based Organizations to reach out to larger organized communities by providing convergence of individual oriented as well as community oriented schemes available with development departments, with minimum efforts. Regular inter-face of extension functionaries of line departments with watershed committee and User Group/ Self Help Group during implementation phase will ensure convergence and permanent linkages.

9.8 Participatory Evaluation and Impact Assessment

During and at the end of the project period, the project authorities and PIA should take up a participatory evaluation exercise to make an assessment of the project implementation. The project authorities should organize a detailed impact assessment exercise after one year of completion of the watershed project on a sample basis in the district. This would be an important feedback mechanism on the project design and would help in improving the processes at the district level. Parameters for evaluation shall be developed as per the objective of the program. Following may be some of the parameters

- Watershed development should in all probability lead to ensuring adequate availability of water during normal years and also meet the bare necessities during drought years.
- Recharge of open wells and substantial increase in water levels even during summer season
- Reduction in soil loss and runoff (less turbid water in water bodies)

Annex I Watershed village Selection criteria

		Range	Mark	Weightage
1.	No. of small and marginal farmers	< 25%	5	
		> 25 & <50%	10	
		> 50%	15	15
2.	% of SC/ST holding out of total	<10%	3	
		> 10 & <25%	5	
		> 25%	10	10
3.	% of women organised in SHGs in the habitation and participating in program	< 20%	3	
		> 20% & <50%	5	
		> 50%	10	10
4.	Status of ground water	< 10 mts	2	
		> 10 & <15 mts.	3	
		> 15 mts	5	5
5.	APSRAC	VL	6	
		L	12	
		M	18	
		H	24	
		VH	30	30
6.	Live stock	<1000 (Nos.)	2	
		> 1000 & < 2000	3	
		>2000	5	5
7.	No. of families affected/involved in migration and landless people involved in wage employment	< 50	3	
		>50 & < 100	5	
		>100	10	10
8.	Contiguity and macro watershed for saturation			
		Yes	5	
		No	0	5
9.	Availability of fallow/waste/CPR for the poor to utilize usufruct and willingness of community to permit usufruct to landless	<10%	3	
		>10% & <20%	5	
		>20%	10	10
			TOTAL	100

Annex-II PIA Selection Criteria

Sl.No.	Criteria description	Range	Marks
1	Experience in Rural Survey/development projects based on participation principles since registration of organization (Maximum 10 marks)	<3 years 3-5 years 5-10 years 10-20 years >20 years	0 4 6 8 10
2	No. of employees working in the organization (Maximum 10 marks)	<10 10 to 25 26 to 50 > 50	2 4 6 10
3	Professional Employees working with developmental projects		
	3.1 Technical staff (engineer, agriculture, soil conservation) (Maximum 8 marks)	2 employees 3-5 employees 6-10 employees >10 employees	2 4 6 8
	3.2 Employees graduate in social science/Anthropology (Maximum 8 marks)	1 employee 2-4 employees 5-10 employees >10 employees	2 4 6 8
	3.3 Female professional employees in the organization (Maximum 4 marks)	<2 employees >2 employees	2 4
4	How many professional employees have experience more than 3 years (Maximum 10 marks)	<25% employees 26 to 50% employees 51 to 75% employees 76 to 100% employees	2 4 6 10
5	Villages where developmental activities carried out continuously for more than one year (Maximum 10 marks)	<5 villages 5 to 20 villages 21 to 50 villages 51 to 100 villages >100 villages	2 4 6 8 10
6	District where organization has carried out developmental activities at least in five villages in last financial year. (Maximum 5 marks)	1 district 2 to 4 districts >4 districts	2 3 5
7	Expenditure for works by organization in last financial year (Maximum 15marks)	<Rs.5 lakhs Rs.5 lakhs to Rs.25 lakhs Rs.25 lakhs to Rs.50 lakhs Rs.50 lakhs to Rs.100 lakhs >Rs.100 lakhs	2 5 8 12 15
8	Infrastructure		
	a) Office premises (Maximum 6 marks)	Separate office hired Separate office owned	2 6

		No separate office	0
	b) Vehicles (Maximum 4marks)	Only two wheelers Two wheelers and four wheelers	2 4
9.	Collection of peoples contribution (Maximum 10 Marks)	Upto 5% project cost 5 to 10% of project cost 10 to 20%of project cost More than 20% project cost	2 4 8 10
	(Maximum Marks 100)		
Categorization of PIA Category A = \geq 70 marks Category B = 45-70 marks Category C = \leq 45 marks			

DRAFT FOR G.O. ON PROCESS GUIDELINES

The Government of Andhra Pradesh is implementing the watershed development programme as priority agenda for development of dry areas and for drought proofing. The programme is being implemented under the guidelines of Government of India as issued from time to time. The Government of Andhra Pradesh considers watershed development programme as an entry point for overall development of village on community participation basis. Therefore empowerment of community based institutions and their capacity building for Natural Resource Management are critical issues for sustainability of the watershed development programme and for it to act as platform for development of villages.

It is appreciated that access to water in rainfed areas is a major equity issue. Therefore focus on resource less poor in watershed is essential to address water based inequality. The theme of community participation in government programme shall give way to government facilitating community action. Technology demystification, improvement in delivery system of various government programmes, institution and capacity building (at village level specifically), human resource development, transparency of processes and social audit are some crucial enabling issues to implement watershed programme for village development.

Emphasis on process is an effort for ensuing sustainability. It is therefore necessary that the processes involved in implementation of various components of watershed development programme are strengthened and monitored systematically. The government of Andhra Pradesh therefore issues these guidelines for processes to be followed in watershed development as annexed to this order for guidance of all involved for effective implemented of watershed development programme.

Following Annexes are to be attached

Annex II , PAGE 14 **NGO selection criteria**

Annex III , PAGE 19 **District level watershed committee**

Annex IV, PAGE 20 **Governing body**

Annex V, PAGE 41 **declaring probation phase**

Annexure - V

GOVERNMENT OF ANDHRA PRADESH

ABSTRACT

District Water Management Agency-Review of DWMA programmes by the existing governing bodies of District Rural Development Agencies/Drought Prone Area Programmes- entrusted-Orders – Issued.

Panchayat Raj and Rural Development (RD.IV) Department
G.O.Ms.NO.347,

Dated :18.09.2002
Read the following:-

G.O.Ms.No. 740 PR & RD (RD.III) Dept Dt. 30.11.1995
G.O.Ms.No. 319 PR & RD (RD.III) Dept Dt. 22.7.1998
G.O.Ms.No. 275 PR & RD (RD.II) Dept Dt. 2.9.2001
From the CRD Lr.No. 733/DPAP (1)/2002 Dt. 3.6.2002

ORDER:

In the reference 1st read above, orders were issued constituting district level Governing Bodies of District Rural Development Agency. In the reference 2nd cited, orders were issued entrusting the task relating to review of watershed related programmes being implemented by the Drought Prone Area Programmes to the existing governing bodies of District Rural Development Agencies duly including certain district officers. In the reference 3rd cited orders have been issued according sanction for creation of 10 Project Directors, District Water Management Agency in non-Drought Prone Area Programme districts.

2. In the reference 4th read above, the Commissioner, Rural Development has requested the Government to constitute district level governing bodies to monitor and review watershed related programme being implemented by District Water Management Agencies on the lines of District Rural Development Agencies/Drought Prone Area Programmes.

3. Government after careful examination of the matter hereby order that the review of the watershed related programme and other programmes being implemented by District Water Management Agencies will be entrusted to the existing governing bodies of District Rural Development Agencies/Drought Prone Area Programmes. The Project Director, District Water Management Agency will be the member-convenor for the review of DWMA programmes by the Governing Bodies of DRDAs/DPAPs.

(BY ORDER AND IN THE NAME OF THE GOVERNOR OF ANDHRA PRADESH)

S. RAY,
SPECIAL CHIEF SECRETARY TO GOVERNMENT.

To

The Commissioner, Rural Development, Hyderabad.

The Chief Executive Officer, Water Conservation Mission, Hyderabad.

All the Collectors & Chairman, District Rural Development Agency/Drought Prone Area Programmes/District Water Management Agencies.

All the Project Directors of District Rural Development Agencies/Drought Prone Area Programmes/Desert Development Programmes/District Water Management Agencies.

All the Members of the Governing Bodies (through Collectors)

All Heads of Departments concerned

Copy to: PS to M (PR&RD), Deputy Director, I &PR, Secretariat.

// Forwarded :: By Order //

SECTION OFFICER.

