

Chapter-II Planning and Delivery Mechanism

2.1 Introduction

Proper planning and a well-established delivery mechanism is essential for achieving the goals set out for any programme. The Programme guidelines envisage participation of relevant agencies at National, State, District, Block and Village levels for effective planning and implementation of rural drinking water schemes.

2.2 Planning

2.2.1 Non-preparation of State Specific Sector Policy Framework

India is a geographically diverse country with varied sources of available drinking water and hence preparation of a State Specific Sector Policy Framework is essential for each State. Programme guidelines accordingly mandated preparation of a State Specific Sector Policy Framework based on the 'National Policy Framework' by each State. Subsequently, based on the State Policy Framework, each State would take up State level planning for preparing water supply schemes for the Twelfth FYP.

However, 17 States *viz.* **Andhra Pradesh, Arunachal Pradesh, Goa, Himachal Pradesh, Jharkhand, Karnataka, Kerala, Maharashtra, Manipur, Meghalaya¹, Mizoram, Nagaland, Odisha, Punjab, Sikkim, Tripura** and **Uttarakhand²** did not prepare State Specific Sector Policy Framework. In **Rajasthan**, though the Framework was stated to have been prepared, it was not made available to Audit. In **Tamil Nadu**, no information was provided to audit on this aspect.

2.2.2 Non-preparation of Water Security Plan

Water security planning is required to optimise the use of water resources within the constraints of financial and human resources in order to meet basic needs and also take decisions with regard to water resources management including investments. Water security planning is to be undertaken at the village, district and State levels.

Village Water Security Plan (VWSP) includes the demographic, physical features, water sources and other details of the village, available drinking water infrastructure and water sources, funding by dovetailing various funds available at village levels and

¹ The Department stated (October 2017) that framing of Meghalaya State Water Policy had been initiated.

² State of **Uttarakhand** has adopted National Rural Drinking Water Programme (NRDWP) guideline 2013 as policy of State to provide drinking water supply to its rural population.

requirement of funds from Rural Water Supply Programme. Based on the VWSP, District Water Security Plan (DWSP) are to be prepared. Further, under the broad goal set by each State, a five-year Comprehensive Water Security Action Plan was to be prepared.

However, Water Security Plans were not prepared at any of the three levels in 21 States *viz.* **Andhra Pradesh, Arunachal Pradesh, Assam, Bihar, Goa, Himachal Pradesh, Jammu & Kashmir, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra³, Manipur, Meghalaya, Mizoram, Nagaland, Odisha, Punjab⁴, Rajasthan⁵, Uttar Pradesh⁶ and Uttarakhand.**

In **Gujarat, Tamil Nadu** and **Tripura**, Water Security Plans were not prepared at Village and District level whereas in **Chhattisgarh** and **Telangana**, Water Security Plans were not prepared at Village and State level.

In two States of **Chhattisgarh** and **Telangana**, DWSP was not prepared in eight out of the 11 selected districts. In the remaining three⁷ districts, though the plan was stated to have been prepared, no documentary evidence was provided to audit. In **Sikkim**, Water Security Plan at State level was not prepared.

In **Tamil Nadu**, though State level plan had been prepared for the Eleventh FYP, no plan was prepared for the Twelfth FYP. In **Tripura**, the plan was only prepared in 2017 for the period 2016-17 to 2021-22.

Rajasthan

Work for preparation of VWSPs for 5,455 villages was awarded in August 2010 at a cost of ₹ 10.51 crore to be completed within three months of issue of work order. Payments for the work was linked to five milestones *viz.* (i) submission of Inspection Report (five *per cent*), (ii) submission of VWSP including DPRs (75 *per cent*), (iii) submission of final report with GIS application (10 *per cent*), (iv) approval of STA (five *per cent*) and (v) clearance by SLSSC (five *per cent*). Audit noted that 4,917 DPRs were submitted by the firms of which 4,003 were verified and ₹ 3.73 crore had been paid to firms up to January 2015. However, milestones III, IV and V were not executed. In the absence of final reports on VWSPs and approval of STAs and SLSSCs, the entire expenditure of ₹ 3.73 crore was rendered wasteful.

³ Except district Sangli in respect of DWSP

⁴ DWSP was prepared in the shape of work programme.

⁵ Department stated that CWSAP was prepared. However, supporting documents were not produced.

⁶ 52 (out of 54) GPs test checked in respect VWSP

⁷ Nalgonda (**Telangana**) and Raipur and Kawardha (**Chhattisgarh**)

Thus, a majority of the States had failed to ensure preparation of the Water Security Plans at the required levels which was indicative of schemes being formulated without any assessment of actual requirements and available resources.

2.2.3 Annual Action Plan (AAP)

Programme guidelines⁸ require States to prepare their AAPs in a participatory manner detailing activities in the rural drinking water sector proposed to be taken up during the year and the financial costs of such proposals. In the AAP, higher priority was to be given to habitations where access to drinking water was limited up to 25 per cent of the population and to quality affected habitations. AAPs of the ensuing year were to be submitted to the Ministry by January of each year through online IMIS. These plans are thereafter discussed with the Ministry in February/March for the purpose of allocating funds to the States.

Discrepancies noted in the process of preparation and scrutiny of AAPs are discussed in the succeeding paragraphs.

2.2.3.1 Shortcomings in Processing of AAP by the Ministry

Audit examined records relating to processing of 31 AAPs of nine States (**Gujarat, Karnataka, Madhya Pradesh, Maharashtra, Mizoram, Odisha, Rajasthan, Tripura and Uttar Pradesh**) pertaining to different financial years (2012-13 to 2016-17) and observed the following:

- Compliance with instructions issued for a specific financial year such as coverage of more quality affected habitations, increasing individual tap connections, testing of drinking water sources, strengthening of infrastructure facilities in laboratories, recruitment of professionals in WSSO, DWSSM, BRC, addressing public grievances, etc., was not being reviewed by the Ministry in processing subsequent year AAPs.
- Targets projected for a specific financial year were changed by the State(s) in subsequent year while depicting achievement for that year. The reasons for the changes were however not being ascertained by the Ministry. Adherence to Programme target for provision of 55 lpcd of drinking water was not being ensured while approving AAPs and States were being permitted to fix a lower target of 40 lpcd of drinking water. Further, the format of the AAP was not such that allowed the Ministry to ensure that schemes proposed by the States were in line with the strategic goals.

⁸ Para 14

Ministry explained (September 2017) that it was not possible to monitor the AAPs minutely due to limited manpower.

2.2.3.2 Discrepancies in preparation of AAPs

In 10 States of **Andhra Pradesh, Assam, Bihar, Goa, Jharkhand, Kerala, Nagaland, Meghalaya, Mizoram and Uttar Pradesh**, Annual Action plans (AAPs) were prepared at State levels without District level AAPs being prepared. In **23 States**, audit observed shortcomings in preparation of AAPs such as delayed submission/approval of AAP, lack of local stakeholder and community involvement in preparation of AAP, absence of approval from SLSSC and non-inclusion of minimum service level of water (55 lpcd) in schemes/plan as detailed in **Annexe-2.1**.

2.3 National Drinking Water and Sanitation Council

The National Drinking Water and Sanitation Council (NDWSC)⁹ was created in July 2010 to bring greater co-ordination and convergence among different Ministries/ Departments of the Central Government and between Centre and States on issues relating to drinking water and sanitation. As per the Strategic Plan (2011-22), the Ministry, through the National Water Mission (under Ministry of Water Resources) and NDWSC, was to take a convergent approach along with the other concerned Ministries.

Audit observed that NDWSC had remained dormant during the period 2012-17. As a result, a co-ordinated and convergent approach with other stakeholders was missing in the planning and implementation of the Programme.

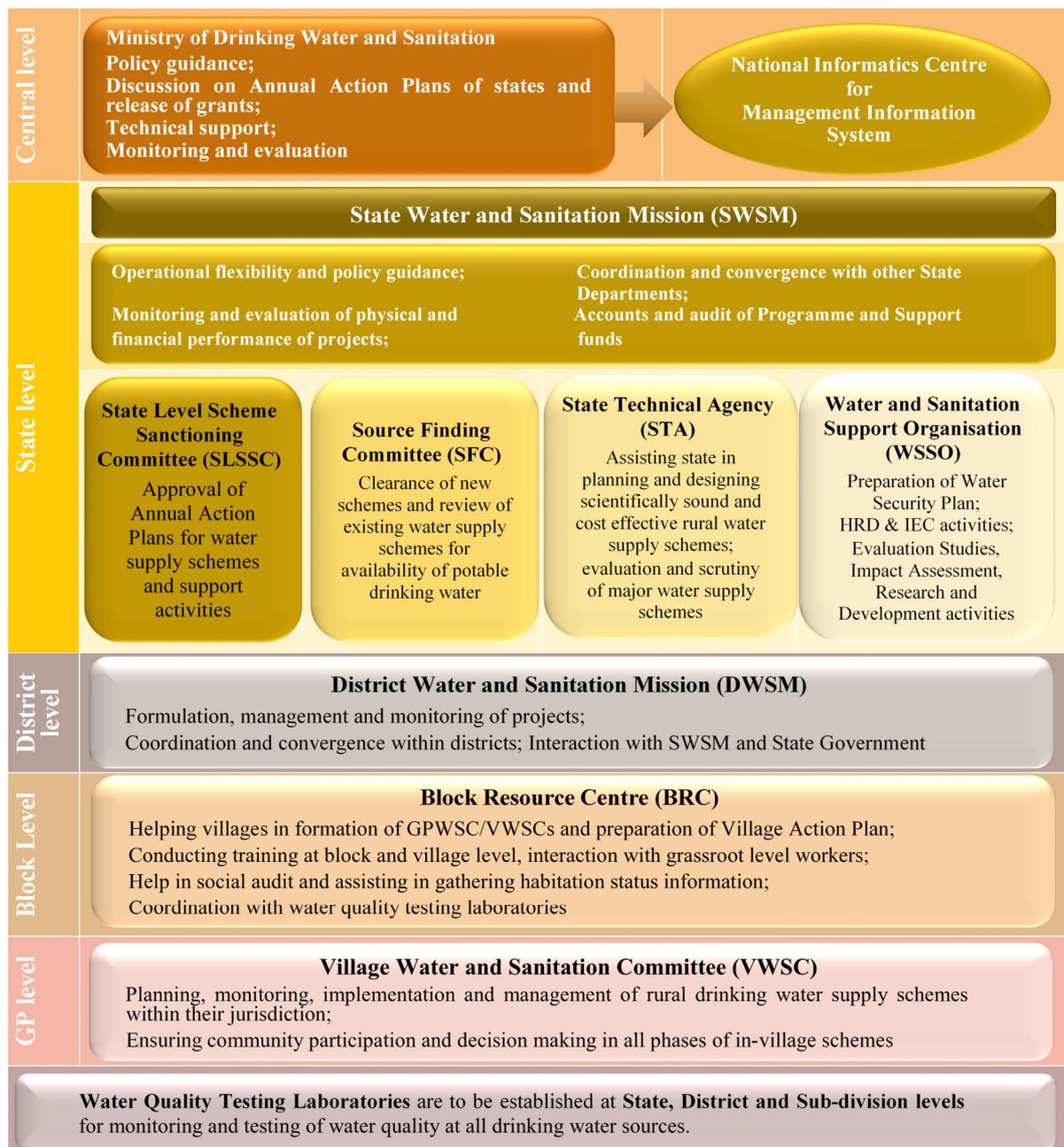
The Ministry accepted (September 2017) that no meeting had been held after the first two meetings (prior to 2012) and stated that co-ordination and convergence was being achieved through alternate means. However, the fact remains that the Ministry was deprived of the benefits of a high level forum for addressing issues requiring coordination and convergence.

⁹ Consisting of representatives of different Departments, five State secretaries and ten members drawn from expert organisations/Civil society organisations/Educational & scientific institutions/Zila Panchayats/Apex Industry associations.

2.4 Delivery Mechanism

Programme guidelines envisage creation of an institutional framework spanning various levels and bodies entrusted with specific responsibilities to ensure smooth delivery of various components of the Programme. This framework is detailed in **Chart-2.1:**

Chart-2.1: Delivery mechanism at Central and State level



Source: Programme guidelines

2.4.1 State Water and Sanitation Mission

According to NRDWP guidelines, a “State Water and Sanitation Mission (SWSM)” was to be set up as a registered society at the State level under the aegis of the Department/Agency implementing the rural water supply programme in the State. SWSM was to be headed by the Chief Secretary/Additional Chief Secretary/Development Commissioner with Secretaries in-charge of PHED, Rural Development, *Panchayati Raj*, Finance, Health, Education, Women and Child Development, Water Resources, Agriculture, Information and Public Relations as members. The Mission was to be the apex level institution in the State entrusted with key functions related to policy, coordination, management and monitoring of the water supply and sanitation project in the State. The Mission was expected to meet at least twice a year.

Audit observed that SWSMs were not formed as mandated by the guidelines in **Goa, Karnataka** and **Mizoram** and its functions were being performed by other Departments/agencies. This defeated the purpose of setting up of a Mission with representation from all Departments to ensure better convergence and coordination. In nine States *viz.* **Andhra Pradesh¹⁰, Gujarat, Himachal Pradesh, Madhya Pradesh, Maharashtra, Meghalaya, Rajasthan, Tamil Nadu** and **Tripura**, SWSMs remained non-functional as no meetings were held.

In nine other States of **Arunachal Pradesh, Assam, Chhattisgarh, Jammu & Kashmir, Kerala, Manipur, Punjab, Sikkim** and **Uttar Pradesh**, the SWSMs met infrequently i.e. one to six¹¹ times during 2012-17. Records relating to meeting of the Mission were not provided to audit in **Jharkhand¹², Nagaland** and **Telangana**.

Thus, not only were Programme guidelines violated in several States, there was also no assurance that the programme received the support in terms of policy guidance, coordination, monitoring and evaluation at the apex level which is critical for ensuring its successful delivery.

2.4.2 State Level Scheme Sanctioning Committee

States were to constitute a State Level Scheme Sanctioning Committee (SLSSC) to be chaired by Secretary, PHED/Rural Water Supply Department. The SLSSC was to approve the Annual Action Plan (AAP) on habitations to be targeted under the Programme and schemes to be taken up in consultation with the Ministry. This

¹⁰ SWSM was headed by Principal Secretary, PR & RD Department.

¹¹ **Arunachal Pradesh** (6), **Assam** (5), **Chhattisgarh** (5), **Jammu & Kashmir** (1), **Kerala** (1), **Manipur** (4), **Punjab** (3), **Sikkim** (1) and **Uttar Pradesh** (3)

¹² In **Jharkhand**, Programme Management Unit (PMU) was functioning for NRDWP whereas Jharkhand State Water and Sanitation Mission (JSWSM) was functioning for World Bank projects.

Committee was to meet at least twice a year wherein, apart from sanctioning new schemes, progress, completion and commissioning of the schemes approved earlier were to be reviewed.

Audit scrutiny brought that against the required 10 meetings for each State, there were shortfalls ranging between 30 and 80 *per cent* during 2012-17 in 20 States as given in **Annexe-2.2**. In **Bihar** and **Himachal Pradesh**, the shortfall in number of meetings during 2015-17 was 50 *per cent*¹³.

In **Goa**, the committee was not functional and decisions were actually taken by the Public Works Department in place of the SLSSC. In **Meghalaya, Mizoram** and **Nagaland**, the role of the Committee was confined to only sanctioning of projects. In **Odisha**, the Committee approved works only in terms of numbers without specifying the name of the works. Therefore, evaluation of each approved work by SLSSC was not possible in subsequent meetings. In **Rajasthan**, the Committee accorded ex-post facto approval to 7,276 schemes costing ₹ 5,867.65 crore which defeated the purpose of formation of SLSSC as feasibility of the schemes and other aspects were required to be scrutinized by SLSSC before according approval.

Thus, non-performance of the assigned role and shortfall in the number of meetings undermined the objective of setting up of the SLSSCs of providing apex level policy guidance, review and coordination.

2.4.3 State Technical Agency

The SWSM was required to identify reputed technical institutions in consultation with the Ministry for appointment as State Technical Agency (STA). The STAs were to provide technical support to the Department in planning and design of rural water supply schemes with emphasis on sustainability of the source and assist in evaluation of major and complicated water supply schemes. The STA was also responsible for providing feedback to the SWSM/SLSSC/department on various aspects relating to planning and implementation of the scheme at the field level.

Audit observed that seven States i.e. **Andhra Pradesh**¹⁴, **Gujarat**¹⁵, **Jammu & Kashmir**¹⁶, **Meghalaya, Nagaland, Punjab** and **Telangana**¹⁷ had not identified STAs. In six States of **Assam, Chhattisgarh, Karnataka, Manipur, Rajasthan** and **Uttar**

¹³ One meeting each year during 2015-17 in both States.

¹⁴ STA was constituted in March 2012, however, after bifurcation (June 2014) of state, the agency remained non-functional.

¹⁵ State has Internal Technical Committees only.

¹⁶ Preparation, scrutiny and vetting of the DPRs were done by the Chief Engineers, PHED.

¹⁷ Both scrutiny and clearance of various items of works planned under NRDWP was done by SLSSC.

Pradesh) a Committee/Body/Agency of serving/retired officers or even the work executing agency itself was functioning as STA instead of a reputed technical institution. Other State specific findings are as below:

Arunachal Pradesh: North Eastern Regional Institute of Science & Technology (NERIST), Nirjuli, was appointed as STA in June 2014. However, none of the schemes¹⁸ were referred to STA for pre-evaluation nor was post evaluations of completed schemes carried out by the STA during 2012-17.

Chhattisgarh: Functions like assistance in planning and designing projects, preparation of action plan for hardware and software activities, evaluation and monitoring, feedback, etc., were not performed by the STA.

Himachal Pradesh: STA was identified in October 2015 for a period of one year. However, status of extension to STA beyond one year was not found on records of the Department.

Jharkhand: Though STA was identified in November 2011, their services were taken after November 2014. Till November 2014, DPRs were presented in SLSSC meetings without vetting by STA.

Kerala: Instead of engaging a reputed technical institution, State Government constituted an agency headed by the Managing Director, Kerala Water Authority (July 2010) to function as STA. However, even this agency was not functional.

Mizoram: STA was constituted in November 2009 with the Joint Secretary, PHED, as Officer-in-Charge and six other members including a public health institute¹⁹ which was responsible for engaging technical experts for scrutinising projects. However, no technical experts were engaged and the Detailed Project Reports (DPRs) were scrutinised without deliberating on technical parameters.

Odisha: DPRs/estimates of Rural Piped Water Supply works were not sent to STA for scrutiny.

Sikkim: Instead of identifying reputed technical institutions, the Water Security and Public Health Engineering Department was identified as the STA. Further, except for two²⁰ mega RWSS projects, DPRs and estimates relating to RWSS works were not vetted by the STA.

¹⁸ 828 schemes for the period 2014-17.

¹⁹ All India Institute of Hygiene & Public Health, Kolkata

²⁰ Namphing and Yangang.

Uttarakhand: The SLSSC discontinued the services of STA²¹ in December 2016 on the grounds that there were already two filter levels existing in the State i.e. Departmental Sanctioning Committee and Empowered Sanction Committee.

Thus, failure to identify and designate STAs and to ensure their proper utilisation for the prescribed tasks increased the risk of schemes being taken up which were not technically sound or feasible.

2.4.4 Source Finding Committee

The Source Finding Committee (SFC) was required to invariably review the feasibility and functioning of existing water supply schemes in terms of adequacy of availability of potable drinking water. The schemes put up for approval in the SLSSC were required to have prior clearance of the SFC.

Audit scrutiny showed that SFC was not constituted in 19 States i.e. **Arunachal Pradesh, Assam²², Bihar, Chhattisgarh, Himachal Pradesh, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Mizoram, Nagaland, Rajasthan, Sikkim, Telangana, Uttar Pradesh and Uttarakhand.** In **Gujarat**, the SFC did not assess ground water schemes as a result of which 2,052 ground water based schemes were non-functional (July 2017) mainly due to inadequate quantity of water in the concerned water sources of the schemes.

In the absence of SFC, the nodal agencies did not obtain the required assurance with regard to availability of adequate potable water while approving and reviewing water supply schemes.

2.4.5 Water and Sanitation Support Organisation

All States were to set up a Water and Sanitation Support Organisation (WSSO) under SWSM and existing Communication and Capacity Development Unit (CCDU²³) for water and sanitation was to be merged with this organisation which was to become a Rural Water and Sanitation Management Organisation at the State level in the form of a Society²⁴ with members from reputed civil society organisations, academic institutions, technical institutes and representatives of VWSCs. The Organisation was to be mainly responsible for assisting the Panchayat Raj Institutions (PRIs) in preparation of water security plan, human resource development and IEC activities,

²¹ IIT Roorkee

²² SFC was constituted in May 2017

²³ Unit to take up IEC and HRD activities

²⁴ Under Society Registration Act.

impact assessment and evaluation studies research and development activities and use of modern IT tools for monitoring.

Audit scrutiny showed that four States *viz.* **Andhra Pradesh, Kerala, Mizoram and Sikkim** did not set up WSSO and CCDUs continued to work for the Programme. There were various shortcomings in functioning of WSSO in **13 States** such as shortage of staff, non-conduct of evaluation studies and non-involvement in preparation of water security plans as tabulated in **Annexe-2.3**.

2.4.6 District Water and Sanitation Mission

A District Water and Sanitation Mission (DWSM) was to be constituted at the district level and was to function under the supervision, control and guidance of the Zila Panchayat/Parishad. The Mission would be headed by the Chairperson of the Zila Panchayat/Parishad and would include elected representatives, Chairperson of the Standing Committee of the Zila Parishad and district level government functionaries. The Mission was to meet at least quarterly and be responsible for formulation and management of projects and monitoring its progress.

Audit scrutiny of records showed that DWSM was not formed in any of the selected districts in **Bihar, Kerala, Madhya Pradesh, Rajasthan and Tamil Nadu**. In two States i.e. **Karnataka and Maharashtra**, DWSM was not formed in five²⁵ out of the 20 selected districts. In **Nagaland**, the Department did not furnish records regarding formation of DWSM and the activities carried out by them in the selected districts.

Audit noticed shortcomings in functioning of DWSM such as non-conduct of meetings, shortfall in number of meetings, non-functional DWSMs, Mission not chaired by chairperson of Zila Parishad, non-inclusion of public representative (MP/MLA/PRI), shortage of staff and limitation of role to *Swachh Bharat Mission* in **19 States** as given in **Annexe-2.4**.

2.4.7 Block Resource Centre

Block Resource Centre (BRC) was envisaged as the nodal point at the block level to provide continuous support in terms of awareness generation, motivation, mobilisation, training and handholding of village communities, GPs and GPSC²⁶/VWSCs. The BRC was to be under the administrative control and supervision of Block *Panchayats* and serve as an extended delivery arm of DWSM.

²⁵ Bidar and Yadgir of **Karnataka** (2), Beed, Buldhana and Raigad of **Maharashtra** (3)

²⁶ *Gram Panchayat* Sanitation Committee

Audit scrutiny showed that BRCs were not established in the selected blocks in 17 States i.e. **Bihar, Goa, Gujarat, Jammu & Kashmir, Karnataka, Kerala, Madhya Pradesh, Manipur, Meghalaya, Mizoram, Nagaland, Punjab, Rajasthan, Sikkim, Tamil Nadu²⁷, Telangana and Uttarakhand**. In five other States of **Andhra Pradesh, Himachal Pradesh, Maharashtra, Odisha and Uttar Pradesh**, there was shortfall in formation of BRC upto 52 per cent in selected blocks. Other State specific comments on the functioning of BRC are as below:

Andhra Pradesh: In two districts (Guntur and West Godavari), though BRCs were constituted they remained non-functional.

Arunachal Pradesh: 44 Sub-Divisional Offices of PHED were notified in January 2012 by the State Government to act as BRCs for 99 Blocks in the State. These BRCs were under the control of Executive Engineers, PHED and not the Block *Panchayats*. There was no evidence to show that BRCs conducted any awareness programmes, training activities and site visits on the matter of safe water and testing of drinking water sources using kits, etc.

Assam: Functions of BRCs were limited to only sanitation.

Chhattisgarh: BRCs were stated to be formed in eight²⁸ out of 16 selected blocks but no records were produced. No information was furnished by the remaining blocks.

Jharkhand: BRCs started functioning only from April 2013 and functioned upto March-November 2016 in the blocks of six selected districts. However, BRCs failed to perform their function as per guidelines in selected districts.

Odisha: In 24 selected Blocks, BRCs were functioning with 39 personnel against the requirement of 61 personnel. Due to shortage of staff, awareness campaign, motivation, mobilisation and training to the village communities, GPs and VWSCs was not done.

Uttar Pradesh: Only Block Co-ordinator²⁹ was posted in the BRCs. Cluster co-ordinators were not posted in any of the BRCs in the State.

The fact that BRCs were either absent or were functioning inadequately across all States indicated that the Programme was being planned and implemented without ensuring proper stake-holder involvement and support.

²⁷ Infrastructure at Block level functioning under the State Rural Development Department was co-opted to function as BRCs.

²⁸ Abhanpur, Dharsiwan, Kawardha, Bodla, Dongargarh, Khairagarh, Surajpur and Ramanujnagar

²⁹ One of the 24 functionaries of BRC

2.4.8 Village Water and Sanitation Committee

A Village Water and Sanitation Committee (GPWSC/VWSC) was to be set up in each village for implementation of water supply schemes to ensure the active participation of villagers. The Committee was to be assigned responsibility for tasks such as planning, designing and implementing in-village drinking water and sanitation activities and providing data and information to the *Gram Panchayat* for reviewing water and sanitation issues.

VWSCs were not formed in **Bihar, Kerala, Rajasthan and Tamil Nadu**³⁰. In the selected GPs of 10 States (**Assam, Goa, Karnataka, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Nagaland, Odisha and Uttarakhand**), the shortfall in formation of VWSC ranged between 29 and 96 *per cent*.

Audit observed shortcomings in functioning of VWSC in **12 States** such as non-involvement of VWSC in planning and management of the scheme, limitation of role to sanitation sector, non-ensuring the representation of SCs, STs and poorer sections of the villages, etc., as brought out in **Annexe-2.5**.

Thus, non-setting up of VWSCs indicated lack of bottom up approach in planning, designing and implementation of the Programme.

2.5 Audit Summation

The institutional mechanisms and structures intended for effective implementation of the scheme ensuring stakeholder participation were not established in most of the States and where established failed to function on a regular basis. At the Central level, the apex level Committee i.e. NDW&S Council intended for achieving coordination and convergence remained largely non-operational. At the State level, Water Security Plans were not being prepared in most States at any of the three tiers i.e. village, district and State as envisaged in the Programme guidelines signifying absence of bottom up approach and community participation in the planning of schemes. Further, structural support for delivery of the Programme was weak in States as the apex level body i.e. SWSM for policy guidance, convergence and coordination was either not functional in **12 States** or functioned with limitations. The SLSSC which is tasked with approval and monitoring progress and completion of schemes did not meet at prescribed intervals. Technical support for schemes was not ensured as State Technical Agency and Source Finding Committees were non-identified/not formed in **seven States** and **19 States** respectively. At the District level, the functioning of DWSMs though formed in

³⁰ Tamil Nadu Water Supply and Drainage (TWAD) Board was doing the work of VWSC

19 States, suffered from a variety of shortcomings which undermined their utility and effectiveness. The block level delivery body i.e. Block Resource Centre was not formed in selected blocks of **17 States**. Village Water and Sanitation Committees was not formed in several GPs across States and inadequacies were noticed in their functioning. Consequently, the Programme faced constraints both in terms of planning and delivery which ultimately affected achievement of programme's goals and targets.