

CHAPTER-3

Planning and Monitoring

This Chapter examines the institutional framework established at various levels to monitor and implement JJM and adoption of bottom-up planning approach.

3.1 Non-adoption of bottom-up approach in planning the JJM schemes for a village

The JJM was designed as a community-driven scheme by adopting a bottom-up approach. For this, Village Action Plan (VAP) was envisioned as a comprehensive and full solution to the drinking water problem of a village for the next 30 years. VAP was to be prepared by the Gram Panchayat/VWSC with the support of Implementation Support Agency (ISA) based on baseline survey, resource mapping and felt needs of the village community. The VAPs of all the villages of a district were to be consolidated to prepare a District Action Plan (DAP) by the District Water and Sanitation Mission (DWSM), and all the DAPs were to be consolidated to prepare the State Action Plan.

Under JJM, the village community, through GP/VWSC, was made responsible to plan, design, implement and supervise the in-village infrastructure to be created by the PHED and also for post operational management of the in-village infrastructure.

Scrutiny of records of 28 selected villages revealed that 24 VAPs were prepared after 19 days to 17 months from the date of approval of the Water Supply Schemes by SLSSC, thereby defeating the very purpose of bottom-up planning. These timelines indicate an absence of planning at the village community level, as was envisaged in the Scheme.

The lack of participatory planning and informed choice contradicts the core principles of JJM, potentially leading to misaligned infrastructure, low community ownership, and risks to long-term sustainability.

Additionally, as per Clause 3.5 (xxvii) of the Operational Guidelines, the PHED was required to present three options with possible least cost of water supply system to GP/VWSC, along with a complete techno-economic and socio-economic survey for consideration of the best suitable option for their village.

However, the audit noticed that no options were provided to the GP/VWSC in any of the selected villages by PHED. This also indicates that bottom-up planning was not adopted, and feedback from the village community was not considered when designing the water supply schemes for the village.

Moreover, the SWSM/DWSM also did not ensure community participation in designing their own village schemes, which is a key principle of JJM. One Focus Group Discussion (FGD) in every district was conducted by the audit during the field study, wherein interactions with the beneficiary community, members of VWSC and GP were made. In five FGDs out of seven, it was found that the

PHED did not submit design of in-village water supply scheme to GPs for approval.

The State Government, while acknowledging the audit observation, stated (November 2025) that instructions have now been issued to ensure timely preparation of VAPs, *i.e.*, before DPR finalisation. Further, it was also stated that the field officers are being directed to present alternative designs to VWSCs wherever applicable, in adherence to the Operational Guidelines of JJM.

3.2 Inadequate planning for tap connections at three delivery points

As per clause 3.5(ii) of JJM Operational Guidelines, water supply schemes for the village were to be planned to provide three delivery points to every household, *viz.*, kitchen, washing & bathing area and toilet area. However, out of three taps, only one tap was to be funded under JJM, while the remaining two were expected to be installed through convergence or household support.

Out of the 560 households surveyed across 28 selected villages, the audit found that the facility of three delivery points was provided to only 36 households in eight villages. The implementing agencies failed to extend this provision to the remaining households, thereby depriving them of the intended benefits of hygiene, convenience, and functionality.

Further, the guidelines mandated that at least one tap connection be installed on a vertical support with a platform to ensure hygienic usage and minimise water wastage. However, it was found to be constructed only in three villages¹, undermining the hygiene and operational goals of the scheme.

These deficiencies point to a significant deviation from JJM's household service delivery standards, potentially reducing the health impact of the initiative and increasing daily inconvenience for rural households.

The State Government, while accepting the audit observation, stated (November 2025) that the field functionaries have been directed to comply with hygiene and design norms in future, including vertical support and platform to enhance functionality and minimise wastage in future installations.

3.3 Formation and functioning of State Water and Sanitation Mission

The concept of State Water and Sanitation Mission (SWSM) started in 1999 for coordination, convergence and policy guidance at the State level, relating to supply of drinking water. The Operational Guideline of JJM visualised SWSM as a key institutional body for overall policy guidance for implementing JJM in the State. The SWSM is headed by the Chief Secretary to the State Government and the Principal Secretary, PHED works as Mission Director. The SWSM consists of two committees, *i.e.*, the Apex Committee headed by the Chief Secretary to the State Government and the Executive Committee headed by the Mission Director (JJM). The functions of the Apex Committee are to provide

¹ Ratanpura, Prempura and 13HMH.

policy guidance for overall implementation of the JJM in the State, while the Executive Committee is constituted for monitoring the physical and financial performance and management of the water supply projects. Scrutiny of records of the Additional Chief Engineer (Support activities) revealed the following irregularities:

3.3.1 Non-Compliance with prescribed norms of holding SWSM Meetings

As per the Operational Guidelines of JJM, the Apex Committee is required to meet at least twice a year. Audit observed that no meetings were conducted in 2019-20 and 2020-21. In the subsequent period from 2021 to 2024, only four meetings were held. As per the guidelines, the Apex Committee is required to meet at least ten times in the period from 2019-20 to 2023-24.

Similarly, the Executive Committee did not convene any meeting in 2019-20. Although a decision was taken in the Executive Committee meeting held on 25 February 2021 to conduct meetings on a monthly basis so as to monitor all important functions, however, this resolution was not implemented.

In absence of conducting regular meetings by both the Apex Committee and the Executive Committee, important functions like physical and financial progress, management of water supply projects, promotion of new innovations/technologies, *etc.*, could not be monitored properly.

The State Government, while accepting the facts, stated (November 2025) that it would be ensured to hold regular meetings of the Executive Committee and the Apex Committee of SWSM as prescribed in the guidelines.

3.3.2 Mandated key functions of SWSM

The Operational Guideline of JJM specified the functions to be carried out by the Apex Committee and the Executive Committee of SWSM. Audit observed the following shortfalls in functioning of the Apex Committee and the Executive Committee of SWSM:

3.3.2.1 Absence of a policy for incentive mechanism

Clause 7.13 of the Operational Guidelines of JJM provided that the GPs/VWSCs are eligible for incentives after successfully managing the scheme for one year. To qualify, they must ensure that all rural households under the scheme receive an adequate quantity of water of the prescribed quality on a regular basis, and that water tariffs for operation and maintenance (O&M) are collected regularly. The SWSM was responsible for developing a tangible and transparent criteria to incentivize these GPs/VWSCs, with the goal of encouraging sustainable water supply systems and effective O&M.

Under this incentive, upto 10 *per cent* of the cost of in-village water supply infrastructure was to be distributed among the GPs/VWSC from JJM funds in a phased manner over a period of five years. This incentive fund was intended to serve as a revolving fund for meeting any urgent repair costs of in-village water

supply infrastructure that could disrupt water supply. The revolving fund is supposed to generate interest or returns which can be used for maintenance work.

However, audit observed that the SWSM did not establish any such criteria. As a result, no GPs/VWSCs have been incentivised till date, undermining efforts to strengthen local management and ensure uninterrupted water supply operations.

The State Government, while accepting the facts, stated (November 2025) that the O&M policy, consisting of the provisions to incentivise GPs/VWSCs for successful operations of JJM schemes, is under the process of approval.

3.3.2.2 Lack of finalisation of O&M policy for in-village water supply schemes

The JJM guidelines provide that States introduce nominal user charges/water fees so that recurring O&M costs are met by the users, instilling a sense of ownership.

Under Clause 5.2 (xvii) of Operational Guidelines of JJM, the responsibility of developing an O&M strategy and determining monthly tariff/user charges to ensure the financial sustainability of the village water supply system was assigned to the Apex Committee of SWSM.

Keeping this in view, the local communities through GPs/VWSCs were given a pivotal role in planning, implementation, management, operation and maintenance of in-village water supply systems, including drinking water sources under JJM. Meanwhile, the State Government and PHED were to play a true role of facilitator.

Audit observed that, as of August 2024, several years after the scheme's rollout, the SWSM had not finalised any formal O&M strategy or tariff structure. The matter was still under consideration, with no clear timeline for resolution. In the absence of a defined tariff policy, most GPs and VWSCs lacked a consistent mechanism for collecting user charges, making it difficult to fund routine maintenance or address urgent repair needs.

This delay directly undermined the JJM's core objective of empowering local bodies to manage their water infrastructure independently and sustainably. Without financial clarity and strategic guidance from the state-level committee, GPs/VWSCs could not effectively operate or maintain water supply systems.

The State Government, while accepting the facts, stated (November 2025) that the O&M policy, incorporating the provisions for empowering VWSCs at the village level and various financial alternatives and tariff structure, is under process of approval.

3.3.2.3 *Absence of a policy to discourage wastage of water*

Clause 5.2 (xi) of the Operational Guideline of JJM provided that the Apex Committee of the SWSM is responsible for developing a mechanism of suitable incentives and disincentives to discourage wastage of water, as well as to meet recurring expenditure on bulk water, distribution network and household-level water supply.

However, audit observed that, as of August 2024, no such mechanism was formulated by the SWSM. In the absence of a structured system to promote efficient water usage and recover operational costs, the scheme risks unsustainable water consumption and financial shortfalls in managing rural water supply infrastructure.

The State Government, while accepting the facts, stated (November 2025) that the incentives/disincentives to discourage wastage of water are incorporated in the proposed O&M policy, and currently, wastage of water is being discouraged in the State through an outdoor media campaign.

The justification of discouraging wastage of water through an outdoor media campaign is not convincing, as a proper incentive and disincentive mechanism to address the significant aspects of promoting efficient use of water and discouraging wastage of water had not been evolved. The enquiries conducted among the members of the selected VWSCs also revealed that the social audit was not conducted there to address the issue of discouraging the wastage of water.

3.4 **Formation and functioning of District Water and Sanitation Mission**

As per the Operational Guidelines of JJM, the District Water and Sanitation Mission (DWSM) was to be constituted in each district to oversee the implementation of the mission. Headed by the District Collector, the DWSM was to include representatives from health, forest, education, agriculture, and public relations departments. The Executive Engineer (PHED) was to serve as Member-Secretary, while local MPs and experts in water management, community development, and health were to be co-opted as members.

The DWSM was mandated to hold monthly meetings to grant administrative approval to in-village water supply schemes, plan protection and preservation of village water sources, greywater management and prevention of water bodies/sources from getting polluted. It was to be supported by the District Project Management Unit (DPMU), which consisted of human resources, viz., one Project Manager and Co-ordinators for ISAs, IEC, capacity building & training, MIS and WQM&S each. Scrutiny of Superintending Engineer (Circles) of selected Districts revealed the following irregularities:

3.4.1 *Non-compliance with prescribed norms of holding DWSM Meetings*

As per the Operational Guidelines of JJM, each DWSM was required to conduct monthly meetings to oversee the planning, execution, and monitoring of JJM works at the District level.

The details of meetings required to be held and actually held are given in Table 3.1 below:

Table 3.1: Meetings held by DWSM in Rajasthan

Name of the selected District	Date of Constitution of DWSM	Meetings required to be held during 2019-24	Meetings held during 2019-24	Shortfall in organising the meetings (per cent)
Alwar	01 October 2020	42	25	17 (40.48)
Hanumangarh	27 November 2020	40	30	10 (25.00)
Baran	31 July 2020	44	33	11 (25.00)
Jaisalmer	20 November 2020	40	29	11 (27.50)
Jodhpur	26 October 2020	41	20	21 (51.21)
Pali	27 November 2020	40	30	10 (25.00)
Sirohi	27 November 2020	40	22	18 (45.00)
Total		287	189	98 (34.15)

Source: Information provided by the Secretary, DWSM in selected districts during audit.

A review of records in seven selected districts revealed that against the total requirement of 287 meetings during the period 2019-2024, only 189 meetings were conducted.

The shortfall in holding the mandated meetings hindered the effective monitoring of JJM implementation. This gap in oversight contributed to various irregularities in selected village schemes, such as delay in completion of RWSSs, irregular/excess payment to the contractors, lack of technological interventions/ innovations, failure to take source sustainability measures, non-handover of completed water supply schemes to VWSCs, etc., as discussed in succeeding Chapters.

The State Government, while accepting the facts, stated (November 2025) that efforts are being made to conduct meetings every month in accordance with the JJM guidelines.

3.4.2 Mandated key functions of DWSM

Clause 5.3(iv) of the Operational Guidelines of JJM mandates that DWSM was to ensure availability of funds for source sustainability works and greywater management² in villages through convergence, and the projects were to be approved only if these components are part of the DPR.

Audit scrutiny of records pertaining to 28 selected villages revealed that:

- (i) In nine villages, provisions for source sustainability were required; however, such measures were not incorporated in the in-village water supply execution in seven of these nine villages.
- (ii) Further, greywater management was also not included in any of the schemes of the selected villages.

² The process of collecting, treating and re-using wastewater from domestic activities like bathing, washing clothes and cooking to conserve freshwater resource and improve sanitation in rural areas.

This oversight undermines the long-term sustainability and environmental safeguards of the implemented schemes.

The State Government, while accepting the facts, stated (November 2025) that at present the issue of the greywater is being handled under *Swachh Bharat Mission* and time-to-time directions, as per the need, are issued to respective District Collectors for convergence issues. It was also stated that in future, the coordination and the convergence at the level of DWSM/SWSM would be done. No reply was given for the absence of provision of funds for source sustainability.

3.5 Formation and functioning of Village Water & Sanitation Committee

As per Clause 5.4 of the Operation Guidelines, the Village Water & Sanitation Committee (VWSC) was headed by the Sarpanch/Up-Sarpanch. It consisted of 10-15 members, comprising 25 *per cent* elected members of Panchayat, 50 *per cent* women members and the remaining 25 *per cent* from representatives of weaker sections of the village (SC/ST). The Panchayat Secretary was to act as Secretary in the Committee.

The VWSC was responsible for management and regular O&M of the in-village water supply scheme and local water sources. It was to discharge functions, *viz.* planning, designing, implementing, deciding seasonal supply hours, mobilising and motivating the community to contribute 5/10 *per cent* of in-village infrastructure, doing firm up and collecting water tariff/user charges and water quality testing using FTKs, *etc.* VWSC was also required to organise at least four meetings in a year.

As per the JJM IMIS reports generated on 22 April 2024, out of total 41,967 villages, VWSC was constituted in 38,057 villages and in the remaining 3,910 villages, it was not constituted. In 28 selected villages of seven districts, audit scrutinised the records of VWSCs and observed the following:

(A) Scheme handover-takeover and implementation issues

- (i) Out of 12 completed village water supply projects, only two had been handed over to the VWSCs for further O&M. During the Focus Group Discussion (FGD), in two FGDs out of seven FGDs conducted, the community expressed their unwillingness to participate in the implementation and monitoring of the scheme.
- (ii) Only 10 (35.71 *per cent*) villages achieved the prescribed minimum service level of 55 lpcd, and 18 villages (64.29 *per cent*) reported less than the prescribed level. Water supply was not started in Dhakri village despite infrastructure completion and HGJ certification (as of February 2024).

The State Government stated (August and November 2025) that the decision to hand over the rural water supply schemes is made in the Gram Sabha, and the Panchayati Raj Department is responsible for convening the Gram Sabha, while

the PHED is working for the timely handover of the RWSS. It was also stated that in some areas, the prescribed minimum service delivery was not being made due to various reasons related to source sustainability, water availability and other local factors. To address these challenges, the State Government is undertaking source sustainability initiatives. Moreover, source sustainability is also a part of VAP/DAP.

The reply is not tenable as the overall responsibility of handing over the schemes and ensuring prescribed minimum service delivery lies with the PHED, being a nodal Department for the JJM. Further, the source sustainability measures were not being taken up as mentioned in *paragraphs 4.2 to 4.8*.

(B) Community engagement and awareness

- (i) In three villages, the decision to undertake water supply schemes under JJM was not taken through a resolution in an open Gram Sabha meeting.
- (ii) Implementation Support Agency (ISA) facilitated awareness in open Gram Sabha meetings in only 22 selected villages (78.57 per cent), and in the remaining six villages (21.43 per cent), there was no such facilitation.
- (iii) No social audit was conducted in any village.

The State Government stated (August and November 2025) that the decisions to undertake the water supply schemes are taken in open Gram Sabhas, and if, for some reason, the Gram Sabha could not be held on time, the decision is ratified in the next scheduled Gram Sabha. It was also stated that the awareness activities are being undertaken by the ISA at the cluster level work, under the monitoring control of DWSM, and the social audit would be conducted after the JJM schemes are completed.

The reply is not convincing as it did not provide evidence regarding ratification of the decision to undertake water supply in the next Gram Sabhas in the pointed out villages. Also, it did not bear specific comments on gaps in ISA facilitation in the pointed out villages.

(C) Financial management and fund utilisation

- (i) Bank accounts were opened in all 28 villages for the collection of community contributions³. However:
 - No contributions were collected in 13 villages.
 - In the other 13 villages, community contributions amounting to ₹ 0.29 crore were collected, of which an amount of ₹ 0.25 crore was deposited in the bank account. However, the deposited amount was not utilised due to lack of guidelines/policy for O&M and directions for fund utilisation. While the remaining community contribution

³ 5/10 per cent of capital cost of in-village infrastructure.

of ₹ 0.04 crore was not deposited/partially deposited by three VWSCs.

- Records in respect of two VWSCs were not provided to the audit.
- (ii) User charges/tariff for O&M of in-villages infrastructure were neither decided nor collected in 27 villages (96.43 *per cent*). Only one village reported fixing and collecting user charges.
- (iii) Although cash books were opened in 10 VWSCs (35.71 *per cent*), only seven VWSCs made regular entries. Only 12 VWSCs (42.86 *per cent*) maintained basic records such as cash book, asset register, records of meetings of VWSC and material/ stock register, etc.

The State Government, while accepting the facts, stated (August and November 2025) that the ISA collected ₹ 128.24 crore on account of community contributions, but the State Government announced (February 2023) in the assembly to waive off the community contributions. It was also stated that efforts are being made to train VWSCs for maintaining cash books and managing O&M with the support of empanelled agencies.

(D) Institutional Structure and Governance

- (i) Nine VWSCs were not properly constituted as they lacked mandated representation of women (50 *per cent*) and SC/ST or weaker sections (25 *per cent*).
- (ii) None of the villages conducted the minimum required four VWSC meetings annually.

The State Government, in its reply (November 2025), did not provide specific replies on the above issues regarding institutional structure and governance.

(E) Training, Water Quality Testing, and Information Dissemination

- (i) Training on Field Test Kits (FTKs) for water quality testing was not provided to women in 21 villages (75 *per cent*). FTKs were not made available in five villages.
- (ii) Water quality testing of sources was not conducted in 17 villages (60.71 *per cent*). In nine villages, the testing was conducted, but only for 2-3 times annually, against the provision of once a month.
- (iii) Water quality test results were neither displayed on the notice board of Gram Sabha nor communicated to GP in 21 villages.

The State Government, in its reply (November 2025), did not provide specific replies on the above issues regarding training, water quality testing, and information dissemination.

Thus, the deficiencies regarding the formation and functioning of VWSC reflect systemic lapses in planning, execution, monitoring, and financial management

of in-village water supply schemes under JJM, thereby affecting the sustainability and effectiveness of the program at the grassroots level.

3.6 Summary of Findings

This Chapter revealed systemic weaknesses across all institutional levels. The mandated bottom-up approach was not followed, as Village Action Plans were mostly prepared after scheme approval, limiting genuine community participation. Most households lacked the mandated three tap delivery points and proper hygienic installations, compromising health benefits and convenience. At the State and District levels, the SWSM and the DWSMs, respectively, failed to meet regularly and did not formulate key policies relating to O&M and incentive/disincentive mechanisms. Similarly, gaps in DWSM oversight resulted in the absence of source sustainability and greywater management measures. VWSCs were either not properly constituted or not functioning as per guidelines, with deficiencies in community engagement, social audits, financial management, training, and water quality monitoring. Collectively, these shortcomings undermined transparency, accountability, and long-term sustainability of JJM schemes in the State.

3.7 Recommendations

- *The State Government may ensure timely preparation of Village Action Plans before DPR approval and community participation in scheme design and implementation.*
- *The State Government may ensure finalisation of key policies on O&M, user tariffs, and incentive/disincentive mechanisms without delay.*
- *The State Government may ensure proper constitution of VWSCs with mandated representation, training in financial management and water quality testing, and empowerment to undertake regular social audits.*