

Andhra Pradesh Community Based Tank Management Project

OPERATIONAL MANUAL

Volume – I of VI

WUA Operational Manual



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Irrigation & CAD Department
Government of Andhra Pradesh

OPERATIONAL MANUALS

VOLUME	I	WUA OPERATIONAL MANUAL
	II	SUPPORT ORGANIZATION MANUAL
	III	FINANCIAL MANUAL
	IV	PROCUREMENT MANUAL
	V	TECHNICAL MANUAL
	VI	QUALITY CONTROL MANUAL

Foreword

The Government of Andhra Pradesh has initiated the process of providing substantive and enabling role to farmers benefiting from irrigation projects for management, operation and maintenance of the irrigation infrastructure by enacting the APFMIS Act, 1997. Following this, I&CAD Department has carried out minimum rehabilitation of the M.I tanks through Water User Associations. Performance evaluation of the WUAs highlighted the need for investment in institution building to enable WUAs to take up irrigation system management responsibilities. This has now been initiated in the I&CAD Department as part of the ongoing sector reforms process under the flagship of “Jalayagnam” programme of Government of Andhra Pradesh in tune with the Mid-Term Appraisal of the X Plan and observation of the Sub-Group on Agriculture and Irrigation of the National Development Council.

I&CAD Department is already implementing a project on “Repair, Renovation and Restoration of water bodies directly linked to Agriculture” with assistance from Government of India in the districts of Ananthapur and Mahaboobnagar. I&CAD Department has developed a step-by-step process guideline towards scaling up of the above programme to benefit 2.5 lakh ha under 3000 tanks at an estimated cost of Rs. 1000 crores with financial assistance from the World Bank and the Government of India under the **AP Community Based Tank Management Project**. This restoration work is proposed to be undertaken in three batches over a period of next five years.

The Project Implementation Plan has been prepared to act as a guiding document, describing the activities of the project on spatial and temporal scale. In addition, a set of six Operational Manuals on various components have also been prepared to steer the project stakeholders in effective implementation of the project. Present volume is one of the series of these six manuals. Though sufficient care is taken to avoid any contradiction with the existing provisions, however in cases of any ambiguity or contradiction, the existing statutes and government orders would prevail. We welcome any suggestions for further modifications and improvement.

Commissioner,
Irrigation & CAD Department
Government of Andhra Pradesh

CONTENTS

Chapter / Section.	Chapter / Section	Page No.
1.	Introduction	1
1.1.	Purpose of the manual	1
1.2.	Whom is this manual for	1
1.3.	What is there in this manual	1
1.4.	How will WUA use this manual	1
1.5.	Let us understand the context	1
2.	About the Project	3
2.1.	Background	3
2.2.	What is the main objective of the project	3
2.3.	For whom this project is	3
2.4.	How does the project help WUAs	3
2.5.	What Activities are proposed to be carried out Under the Project	4
2.6.	Stages and process of the project	4
2.7.	Who will manage the project	7
3.	WUA Management	
3.1.	WUA membership, roles & responsibilities of WUA General Body & Management Committee (As per APFMIS Act)	10
3.2.	Organizing General Body & Management Committee Meetings of WUA (Ensuring quorum and writing minutes)	10
3.3.	Formation, roles & responsibilities of WUA Sub-committees	11
3.4.	WUA annual planning, implementation & monitoring	12
3.5.	Publication of list of works to be taken up	13
3.6.	Conflict management	13
3.7.	Working with partner institutions	13
4.	Participating in the Project	14
4.1	Why the Project Needs To Work with the WUA	14
4.2.	The tank stakeholders	14
4.3.	Why work with Catchment farmers, fishermen cooperatives, other tank users	14
4.4.	Role of WUA in project	14
5.	Making Tank Improvement and Management Plan	
5.1.	What is a TIMP	17
5.2.	The steps involved in making TIMP	17-24
6.	TIMP Approval Process	
6.1.	TIMP approval process	25
7.	Implementing the TIMP	
7.1.	TIMP implementation arrangements	26

7.2.	Procurement	27
7.3.	Implementing of physical works by WUA	28
7.4.	Procedure for payment of works being implemented by WUA	28
8.	Monitoring & Learning from the Project	
8.1.	What is participatory monitoring & learning (M&L)	29
8.2.	Why WUA need to monitor project activities	29
8.3.	Monitoring project activities by WUA	29
9.	Post-Project Operation & Maintenance of Tank System	
9.1.	What is O&M	32
9.2.	Planning and implementing O&M activities	32
9.3.	Key O& M activities	32
9.4.	Raise funds for O&M	32
9.5.	Collecting water charges	33
9.6.	Monitoring water supply and distribution by season	33
9.7.	Water budgeting	33
10.	Financial Management	34
10.1.	Sources of funds and fund flow arrangements	34
10.2.	Opening & operating Bank Accounts	34
10.3.	Book keeping procedures, maintenance of Account registers and Financial sanctions Accounting policies	34
10.4.	Auditing arrangements (Internal and external)	35
Annexure 1.	Information Display Charts.	37-41
Annexure 2.	MoU between WUA and DPU	42-44
Annexure 3.	Analysis of Environment for Participatory Planning	45-46
Annexure 4.	Agreement of TIMP	47-48
Annexure 5.	Social Audit Format.	49
Annexure 6.	Agri-business and Marketing Fund	50-53

1. INTRODUCTION

1.1 Purpose of the manual

The purpose of the Operational manual for **Water Users Association (WUA)** is to facilitate effective participation of WUA in **Andhra Pradesh Community Based Tank Management Project (APCBTMP)**. The manual will help in understanding the basic concepts and processes of the project. It will guide the WUA during planning and implementation of the Tank Improvement and Management Plan (TIMP) as well as regular Operation and Maintenance (O&M).

1.2 Whom is this manual for

This manual is primarily for the **WUAs** participating in the project. However, staff of **District Project Unit (DPU)** and **Support Organizations (SO)** and others will also find it useful.

1.3 What is there in this manual

The manual describes the various stakeholders of the tank system, the roles and responsibilities of WUAs and the financial and technical arrangements of the project. It also describes the required skills and capacities of WUAs and other stakeholders in the project, the fund flow arrangement, levels of farmer contribution, tax collection, etc.. which will help the WUAs in implementing the project.

1.4 How will WUA use this manual

The **WUA Operational Manual** is primarily **an information booklet providing guidelines** on what WUA will do and how it will implement the project. It systematically presents the concepts, processes, and procedures related to the project.

For easy use of the manual, it is structured as a step-by-step approach document. The **Table of Content** at the beginning of the book enlists all the chapters and sections.

1.5 Let us understand the context

Tanks are the main irrigation sources where there are no major rivers and irrigation projects. However, the traditional tank management systems have been undermined resulting them in becoming dilapidated and under sub optimal use. This is due to:

- a) Poor community participation
- b) Increased dependency on the government
- c) Integrated planning and management of the entire tank system not adequately addressed in regular agenda
- d) Increased population load and excessive use of natural resources worsening the situation

There is now an urgent need to think ways of improving the conditions of the tank systems involving the WUAs. This will include restoration of the physical condition of the tank systems and institutional strengthening of the WUAs to make the investment sustainable. Improving the tank systems will help in increasing agriculture productivity in rain fed districts across the state where a large percentage of rural poor are concentrated.

What is a Tank system and what is considered for the project

A Tank is a water body, where water gets collected from the catchment and stored. The physical structure of a tank consists of an earthen bund to store water, a surplus system to let off excess flows safely, sluices to release water for irrigation and a tank bed to cover the water spread when the tank is full. The canal system comprises of a main canal to carry water for irrigation of required discharge and field channels that carry water to the farmers' field. In the present project only minor irrigation tanks with more than 40 hectares of ayacut have been considered for the restoration.

Why develop a tank system

Historically, tank irrigation in Andhra Pradesh has played a vital role in the development of its agricultural economy. Andhra Pradesh has the distinction of having about 12,000 minor irrigation tanks and the largest area irrigated under tanks in India. Tanks play a significant role in irrigation and in the local ecosystem in low rainfall areas. As engineering systems, they are historically one of the oldest in their designs and financially viable structures. As social systems, the tanks serve and benefit various groups and sections of the village community i.e., farmers, fisherman, cattle growers.

2. ABOUT THE PROJECT

2.1 Background

Most of the tanks in the state perform below their designed capacity. The gap between the irrigation potential created and actual irrigated area under tanks has been reported at about 40 to 60 percent, depending upon the rainfall during a year. Thus the area under tank irrigation has declined, adversely affecting people who were traditionally dependent on tanks for their livelihoods.

The project is about developing selected minor irrigation tanks which have above 40 hectares of command in 22 districts of Andhra Pradesh. The project proposes to restore the tank systems to their original design standards with interventions such as improvements in physical structures capacity building of the WUAs and agricultural development support services using a participatory implementation approach.

2.2 What is the main objective of the project

The overall project objective is “Selected tank based producers improve agricultural productivity and water user associations manage tank system effectively.” The Project has the following inter related components:

- a) Strengthening community based institutions to assume responsibility for tank system improvement and management – including development of human resources, formation and / or strengthening of local institutions for tank improvement and management and development of mechanisms whereby the needs of traditionally vulnerable stakeholders can be addressed.
- b) Tank systems improvement – including physical investments in tank systems with command area of 40 ha and above. The actual rehabilitation work required would be determined for each system individually with an upfront Tank Improvement and Management Plan (TIMP) prepared in consultation with tank users prior to undertaking any investments. In general, investments are likely to address deficiencies in feeder channels, tank bed and structures and the water distribution and drainage systems.
- c) Agricultural livelihoods support services – including promotion of farmer interest groups, agricultural research and extension, support through public agencies and private service providers as appropriate and facilitation of credit and market linkages for agricultural producers / growers (including fisheries and livestock products).
- d) Project Management – activities under this component would help ensure effective project management at the state and district levels, information and logistic support, communications, project related consultancies and concurrent monitoring and evaluation.

2.3 For whom this project is

The project is for all the tank users who are directly or indirectly dependent on it and are willing to participate in its restoration for its efficient use and improved livelihood opportunities. Farmers, fishermen, livestock grazers, etc are the primary beneficiaries of the project.

2.4. How does the project help WUAs

The project will provide support for tank restoration by:

- a) Strengthening the WUAs to operate and manage the tank system
- b) Rectifying the feeder channel to enhance inflows into the tank
- c) Repairing the bund, sluices, surplus wires, canal system to the design standards
- d) Promoting suitable farming systems and market linkages for enhanced incomes

The expected results will be:

- a) Enhanced income through increased productivity

- b) Improved physical condition of the tank system
- c) Strengthening of WUAs
- d) Community operated and managed tank systems
- e) Agri-business and Marketing Fund established with the WUA

2.5. What Activities are proposed to be carried out Under the Project

Institution development

- a) Capacity building of WUAs and other village level institutions such as PRI, Rythu Mitra Groups, Commodity Interest Groups, Groundwater User Groups, etc, to plan, implement and monitor tank improvement and management
- b) Sensitization and collaboration with line departments

Tank system improvement

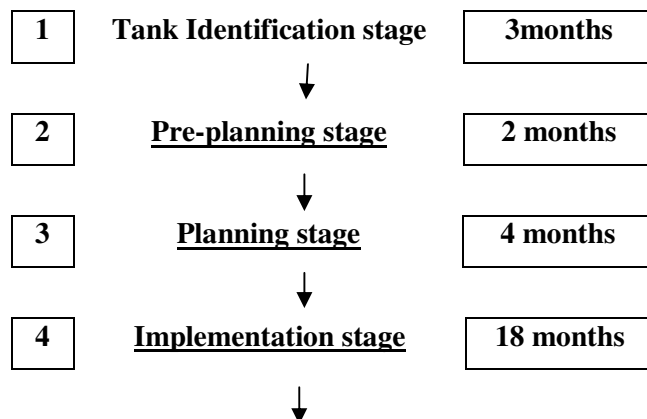
- a) Restoration of the bund, sluices, weirs (surplus arrangements), surplus course, feeder channels, and distributory system
- b) O&M works as mentioned in the APFMIS Act:
 - a) Normal operational maintenance works
 - b) Deferred maintenance works
 - c) Original works
- c) Participatory groundwater management
 - a) Groundwater hydrological assessment
 - b) Participatory hydrological monitoring
 - c) Communication strategy and dissemination
 - d) Technology promotion

Agricultural livelihoods support services

- a) Promotion of new technologies in irrigated agriculture
- b) Value addition to agricultural produce like collective purchase and collective marketing
- c) Cultivation of new varieties of fodder crops
- d) Improving tank based livelihoods opportunities
- e) Knowledge transfer and technical support including improved farming practices and techniques, market information, linkages, etc
- f) Creating market linkages for emerging opportunities for enhancing the livelihoods

2.6. Stages and process of the project

The period for restoration of a tank system will range from 24 to 33 months and will have five stages. The time period of the each stage is as follows:



5

Post implementation stage

6 months

The Project cycle

The activities to be implemented in each of the five project stages constitutes the project cycle.

Sl. No.	Activity	Institutional Responsibility		
		Primary	Secondary	Tertiary
Tank Identification Stage (3 Months)				
1	Hydrological & technical assessment of tank	APSRAC	DPU	
2	Delimitation of water spread Area up to FTL, feeder channels and command area of tank	DPU		
3	Selection of tank	DPU		
4	Assessment of groundwater recharge potential of selected tank	DPU		
5	Selection of tank for groundwater interventions	DPU		
6	Identification of groundwater unit / influence zone of the selected tank	DPU		
7	Identification of encroachment and /or additional land required in tank	DPU	WUA	
8	Selection of SO	DPU		
Pre- Planning Stage (2 Months)				
9	Social Mapping & identify all tank stakeholders (and groundwater users) in tank system area and influence zone	SO	WUA	DPU
10	Project sensitization and awareness among the tank stakeholders	SO	WUA	
11	Involve village level functionaries of line departments / PRI department	SO	WUA	DPU
12	Organize tank based consultation with all stakeholders	SO	WUA	
13	Assessment of WUA readiness for contribution towards restoration & rehabilitation of tank	SO	WUA	DPU
14	Prepare Resettlement Action (RAP)	DPU	WUA	SO
15	Agree on draft MoU between WUA & DPU	DPU	WUA	SO
16	Sign of MoU between WUA & DPU	DPU / WUA		
17	Maintenance of books and accounts by WUA	WUA	SO	
Planning Stage (4 Months)				
18	Implement RAP	DPU	WUA	SO
19a	Collect required data through Participatory Rural Appraisal*	SO	WUA	DPU
19b	Survey of technical aspects of tank, catchments area & command area / tank influence zone	DPU	WUA	SO
20	Provide initial training to WUA members on TIMP preparation	SO		
21	Constitute four Sub-committees (on Works, Finance, M&E and Training, Water Management) of WUA	SO	WUA	DPU
22	Provide training to all Sub-committee members on their roles and functions and responsibilities	SO	WUA	DPU
23	Mobilize groundwater users into groundwater user	SO/ GWD	WUA	

	groups and affiliate them to WUA			
24	Awareness generation among groundwater user groups about project groundwater interventions	SO	WUA	
25	Prepare TIMP	WUA	SO	DPU
	(i) Design, estimate of Civil works	DPU	WUA/WSC	
	(ii) Training Plan	SO	WUA/WSC	
	(iii) Livelihoods Plan	SO	WUA/WSC	
	(iv) Compilation of TIMP Document	SO		
26	Ratify TIMP in WUA GB meeting	WUA	SO	DPU
27	Identify activities for Gram Panchayat implementation and submit the list to the GP	WUA/GP	SO	DPU
28	Open WUA bank account for contribution (separate from WUA account)	WUA	DPU	
29	Mobilize cash contributions	WUA	SO	
30	Appraisal of TIMP by DPU	DPU		
31	Include TIMP in District Plan for DLIC Approval	DPU	DLIC	
32	Sign Agreement on TIMP implementation between WUA and DPU	WUA / DPU		
33	Prepare procurement plan for materials & manpower for works by WUA	WUA / DPU	SO	
34	Prepare tender documents for works to be tendered	DPU	WUA/SO	
35	Maintenance of documents, books and accounts	WUA	SO	DPU
Implementation (18 Months)				
36	Public display of project information on wall / notice board	WUA	SO	
37	Implement civil works by WUA, and other TIMP activities	WUA	SO	DPU
38	Implement civil works by contractors	Contractor	DPU	WUA
39	Supervise both type of works	WUA	SO	DPU
40	Quality assurances through agreed mechanism and reporting	NCCBM	DPU	WUA
41	Work completion report	DPU	WUA	
42	Organize trainings for WUA	SO/Resource Persons	WUA	
43	Implement participatory hydrological monitoring	WUA	SO	DPU
44	Crop-water budgeting & crop planning for groundwater based irrigation in tank influence zone	WUA	SO	DPU
45	Promote water efficient technologies in groundwater based irrigation	WUA	SO	DPU
46	Institutional strengthening of groundwater user groups	SO	WUA	DPU
47	Mobilize formation of common interest groups for agri-business promotion	SO	WUA	DPU
48	Implement livelihoods/agri-business plans etc.	SO	WUA	DPU
49	Strengthen linkages with departments, commercial banks and private sector	SO	WUA	DPU
50	Maintain documents, books and accounts	WUA	SO	DPU
51	Participatory monitoring at village level	WUA	SO	DPU
Post Implementation (6 Months & onwards)				

52	Assess WUA for refresher trainings	SO	WUA	DPU
53	Refresher Training for WUA	SO/Resource Persons	WUA	
54	Update seasonal O&M strategy, plans and estimates	DPU	WUA	SO
55	Operationalize O&M plan	WUA	DPU	SO
56	Maintenance of O&M fund	WUA	DPU	SO
57	Maintenance of documents, books and accounts	WUA	DPU	SO
58	Preparation of project completion report on agreed format	DPU	WUA	SO
59	Monitoring at WUA performance every 6 months	WUA	DPU	

2.7. Who will manage the project

State level

The project at the state level will be reviewed by a Project Steering Committee with the Chief Secretary as the Chairperson. The Project Co-ordinator (Commissioner CADA and Principal Secretary, I&CAD Department) will be the Convener of the Project Steering Committee. The other members of the Project Steering Committee will be:

- a) Principal Secretary Finance (Works & Projects)
- b) Principal Secretary, Agriculture
- c) Principal Secretary, Rural Development
- d) Principal Secretary, Animal Husbandry
- e) Principal Secretary, Fisheries
- f) Secretary, Institutional Finance
- g) Secretaries of Irrigation Department
- h) Chief Engineer, Minor Irrigation
- i) Director, Groundwater
- j) Special Commissioner, CADA and State Project Director

The state level agency responsible for implementation of the project will be the Command Area Development Authority in the Irrigation & Command Area Development Department, Government of Andhra Pradesh. The Commissioner CADA and Principal Secretary, I&CAD Department will be the Project Co-ordinator. The CADA will form a Project Management Unit (PMU), which will be headed by the State Project Director with a rank of a Commissioner / Special Commissioner, CADA to implement the Andhra Pradesh Community Based Tank Management Project as a Special Purpose Vehicle.

The PMU will constitute of five subject matter units and two administration units. These will be as follows:

Sl. No.	Unit Name	Staff Position	No. of Staff
1	Technical Unit	Superintendent Engineer (R / R)	1
		Executive Engineer	2
		Deputy Executive Engineer	4
		Assistant Executive Engineer / Assistant Engineer	12
2	Institutional Development Unit	Institutional Development Co-ordinator	1
		NGO Co-ordinator	1
		Human Resources Development Co-ordinator	1
3	Agri-Business Unit	Agri-Business Co-ordinator	1

		Agri-Extension Co-ordinator (Agriculture / Horticulture)	1
		Agri-Extension Co-ordinator (Fishery / Livestock)	1
4	Monitoring & Learning Unit	Monitoring & Evaluation Co-ordinator	1
		Research & Documentation Co-ordinator	1
5	Andhra Pradesh Information & Resource Centre	MIS Co-ordinator	1
		GMIS Co-ordinator	1
6	General Management Unit	Management Co-ordinator	1
7	Finance & Procurement Unit	Finance Officer	1
		Procurement Officer	1

The existing Chief Engineer, Minor Irrigation will be incharge for technical inputs to the Technical Unit of the PMU. A new Renovation & Restoration Unit will be established with a Superintendent Engineer, 2 Executive Engineers, 4 Deputy Executive Engineers and 12 Assistant Executive Engineers / Assistant Engineers. The engineering staff of the R & R Unit will be on deputation from the Irrigation Department and will be dedicated solely to implementation of the Andhra Pradesh Community Based Tank Management Project. The staff of the remaining six units of the PMU will be hired on contract from the open market.

The Technical Unit will be responsible for implementation of Tank Systems Improvement Component of the project. The Institutional Development Unit will be responsible for implementation of the Strengthening Community-based Institutions for Tank System Improvement and Management component of the project and the Agri-Business Unit will be responsible for the implementation of the Livelihoods Support Services for Tank System Users component of the project. The Monitoring & Learning Unit and the Andhra Pradesh Information & Resource Centre will be responsible for monitoring and evaluation of the project and management of information system for the project. The General Management Unit and the Finance & Procurement Unit will be responsible for the administration and financial management of the project.

District Level

The project at the district level will be reviewed by a District Level Implementation Committee with the District Collector as the Chairperson. The Vice Chairperson of the DLIC will be nominated from among the Support Organizations assisting project implementation in the district. The District Project Director will be the Member Secretary of the DLIC. The other members of the DLIC will be:

- a) Chief Executive Officer, Zilla Parishad
- b) Divisional Forest Officer
- c) Joint Director Agriculture
- d) Joint Director Animal Husbandry
- e) Joint Director Horticulture
- f) Project Director District Water Management Agency
- g) Project Director District Rural Development Agency
- h) Assistant Director, Fisheries
- i) District Public Relations officer
- j) Deputy Director, Groundwater
- k) Two representatives Water Users Associations (To be nominated by District Collector on annual rotation basis)

In each project district, CADA will establish a District Project Unit (DPU). The DPU will be headed by a District Project Director of the rank of an Executive Engineer. The DPU will be supported by four subject matter and a finance units. These will be as follows:

Sl. No.	Unit Name	Staff Position	No. of Staff
1	Technical Unit (Regular Division setup)	Deputy Executive Engineer	3
		Assistant Executive Engineer / Assistant Engineer	10
2	Institutional Development Unit	Project Officer - Institutional Development	1
3	Agri-Business Unit	Project Officer – Agriculture Extension	1
		Project Officer – Agri-Business	1 (where required)
4	Monitoring & Learning Unit	Project Officer – Monitoring & Evaluation	1
		Project Officer – MIS	1
5	Finance & Procurement Unit	Finance & Procurement Officer	1

The Technical Unit of the DPU will be established by deputing one Irrigation Division of the district, with its entire staff, to the DPU. This unit will be solely dedicated to implementation of the Andhra Pradesh Community Based Tank Management Project. In districts where only one Irrigation Division exists, a new Division will be established and deputed to the DPU. The PMU will have the facility to hire technical staff on contract to augment the strength of the DPU Technical Unit where required. The staff of the remaining four units of the DPU will be hired on contract from the open market.

Cluster Level

At the tank cluster level a Support Organization (SO) will facilitate community mobilization and participation. Each SO will be assigned at least one cluster of tanks consisting of 5 to 10 tanks. The DPU will be responsible for identification and selection of the SO in a district. To perform the tasks assigned to the SO, the following SO staff will be deputed for each cluster of tanks:

- a) Community Organizer
- b) Work Inspector
- c) Agriculture & Water Management Staff

Tank Level

At the tank level the project implementation will be the responsibility of the Water Users Association. To assist a WUA in performing its roles and responsibilities, each WUA will have a few para-workers linked to it. These para-workers will be educated person from the WUA area identified by the respective WUAs and trained by the project to perform specific tasks. Nominally, there will be a para-worker for institutional development, agriculture development and livelihood promotion and water management with each WUA. The para-workers will be paid a month honourium by the project through the WUA. The project will cover the full amount of the honourium of the para-workers for the first year and only a partial amount for the next year. The remaining amount will have to be borne by the WUA. From year 3 onwards, the para-workers will work on the basis of payment of service charge by the WUA or the member who utilize their services.

3. WUA MANAGEMENT

3.1. WUA membership, roles & responsibilities of WUA General Body & Management Committee (As per APFMIS Act)

This chapter deals with the roles of WUA in tank management as per the mandate defined in the Act along with the specific roles pertaining to the project.

Water Users Associations (WUAs) have been formed as per the APFMIS Act with defined set of roles and responsibilities. The WUAs are existing in all the tank systems having command area of above 40 hectares with the representations from different part of the command area.

WUA and its membership

Every WUA shall consist of the following members::

- a) All the water users who are the land holders in water users area:
 - Provided that where both the owner and the tenant are land holders in respect of the same land, the tenant will be the member of WUA.
- b) All other water users co-opted in a water user area
- c) If a person having land in more than one Territorial Constituency (TC), he can be a member of only one TC and he shall exercise his option thereof as prescribed.

Responsibilities of WUA General Body

- a) The general body will approve the operational plan for each crop season and review its implementation. As explained in chapter four, the TIMP and crop plan have to be prepared and approved by GB by duly organizing meetings and discussions with the concerned users.
- b) Allocate water amongst a various main canals according to the operation plan approved.
 - The prepared operation plan should be explained to the water management Sub-committee that arranges and provides support to watermen (neeradi) to implement operational plan.
- c) Prepare annual and long term financial and works plans and prioritize works of maintenance/repairs/ up, rehabilitation of irrigation system:
- d) Approve annual financial budget and review previous years budget
- e) Set up Sub-committees of members for various activities and functions of the organization
- f) Levy fee (water chargers or other fees) for achieving the objects of the WUA and performing its functions, and collect such fees as may be decided by the committee.
- g) Take decisions on raising of resource as follows:
 - Grants from Government as a share of the water tax collected in the area of operation of WUA.
 - Resources raised from any financing agency for undertaking any economic development activities in its area of operation.

3.2. Organizing General Body & Management Committee Meetings of WUA (Ensuring quorum and writing minutes) General Body (GB) and its Meeting Number of Meetings

- a) The General Body meeting shall meet at least twice in a year, once before each of the kharif and rabi seasons
- b) The General Body may also be called at any time by the President or Managing Committee members through a majority resolution or by members of the WUA through a requisition signed by not less than 1/3 of the members with voting rights
- c) A General Body meeting shall also be held on receipt of a direction to do so from the Government or from the Commissioner, CAD

Process of conducting meeting

- a) The Managing Committee members should communicate the venue and time at least one week in advance along with agenda. The managing committee should consider convenient date, as it should not be shady day, festival, etc.
- b) The meeting shall be presided over the Chairmen / President and in his absence, by one of the Managing Committee member duly elected for this purpose. The meeting should be conducted as per the norms and ground rules developed by the WUA. The Chairperson of the meeting shall discuss the agenda points and facilitate the discussion with participation of representatives of all sections.
- c) The convener should either build consensus or get majority through voting for finalization of any decision made.
- d) All the proceedings of general body shall be recorded in the minutes book maintained for the purpose and authenticated by the Chairman/President or the person who has presided over the meeting, as the case, may be sent to the authority.

3.3. Formation, roles & responsibilities of WUA Sub-committees

As per the Act, the general body of WUA may constitute specific sub-committees. Wherever the Sub-committees do not exist, they should be formed by the WUA. The SO and WUA has to convene the meeting with the members of the WUA. The information about the meeting should be intimated to the all the members with the agenda. The SO should ensure the attendance of all TC members. Though the election of the Sub-committee leader is formal activity, the selection of the members of the Sub-committee is crucial. In the meeting WUA has to identify the suitable members to Sub-committee in the meeting through consensus. In case, the WUA is not able to build consensus in selecting the candidates, voting may be conducted in same meeting with the existing members. The book **writer** shall write the proceedings of the meeting.

The composition of the Sub-committee shall be a member of Managing Committee other than the Chairman/ president, along with other members not exceeding four drawn from out of members with voting rights:

As per the Act there are four (4) types of Sub-Committees to be constituted by a Water Users Association, which are as follows:

- a) Finance and Resources sub- committee
- b) Works sub- committee
- c) Water Management sub- committee
- d) Monitoring –Evaluation and training sub- committee

The composition of the sub-committee is as follows

- a) Convener of the Sub-committee shall be a member of Managing Committee other than the Chairman/President
- b) The members of Sub-committee should not exceed four drawn out from members with voting rights
- c) No member shall represent more than one subcommittee

The functions of these Sub-committees are as follows

Finance and Resource Sub-committee

- a) to mobilize and collect resources
- b) to ensure collection of dues from Members as levied under section 20 of the Act
- c) to recommend to Managing Committee the use and deployment of resources
- d) to maintain records relating to financial matters

Works Sub-committee

- a) to recommend estimates of works for administrative approval
- b) to supervise works and ensure quality control
- c) to approve payments for the works

Water Management Sub-committee

- a) To carry out the decisions of the Managing Committee and of the general body on water regulation, schedule of water release
- b) To organize patrolling of the canal, channels and regulate the use of water
- c) to check the irrigation and drainage system regularly
- d) to record the deliveries
- e) to report to the Managing Committee any violations in the use of water
- f) To maintain the records of land owners and water users

Monitoring – Evaluation and Training Sub-committee

- a) to identify training needs and organize training to the Water Users
- b) to educate in optimum use of users
- c) to monitor specific items like area irrigated , productivity, disputes Settlement and resources building

The Sub-committee shall meet as frequently as necessary. The members of Managing Committee in charge of the Sub-committees will preside over the meetings and maintain the record of discussions and decisions. The Sub-committees shall function under the general superintendence, control and direction of the Managing Committee of the WUA.

The roles and responsibilities of the Managing Committee and subcommittees at different stages of the project is given in **Annexure – A**

3.4. WUA annual planning, implementation & monitoring

Annual Planning and its objectives

After concluding the TIMP agreement with DPU, annual plans shall be prepared by convening the meeting with the WUA Managing Committee along with all members of sub-committees. The major objectives of annual plan is

- a) To draw plans for activities to be undertaken by WUA in a particular year
- b) To identify specific interventions for tank development and institutional strengthening. The assessment of institutional strengths and weakness
- c) To coordinate efforts being made by various stakeholders like PRI, SOs, along with WUA and allied institutions
- Preparation of activity calendar, budget and responsible person/agencies and get the approval of General body meeting

Process of Planning

- a) Organise Managing Committee meeting along with the all sub-committee members. The SO and competent authority will facilitate the meeting in coordination with WUA President. The Works Sub-committee coordinator shall list out the activities planned in the TIMP and in consultation and consensus of the participants the activities to be finalised for first year implementation
- b) Managing Committee shall approve the annual plan duly identifying the person/agencies for implementation

Implementation

- a) Works as approved by the Managing Committee of the WUA shall be taken up for execution by the farmers organization itself

- b) Under no circumstances can a Chairmen / President or Managing Committee Member of the WUA execute the work directly in his individual capacity
- c) The cost of works executed shall not exceed the estimated costs
- d) The competent authority shall record the pre-measurement and final measurement for quantifying the works done for making payment by the WUA

Monitoring & Learning

Monitoring the project activities will involve checking if the activities are happening as per the design and schedule and with the prescribed quality. Since the project emphasizes participatory monitoring all stakeholder will be involved in identifying the monitoring indicators and in measuring them. The details of process of monitoring are given in chapter – 8.

3.5. Publication of list of works to be taken up

- a) The list of works to be taken up should be given wide publicity by means of display in the office of the WUA and other public places like Gram Pancayat office, Oorachavidi, or other prominent public places and institutions with in the area
- b) Along with the lists other particulars of works, estimates, values, and mode of execution should be given publicity through the charts given in **Annexure 1**
- c) If any member wishes to have access to any of the records relating to works to be taken up, he may do so on payment of the fee as fixed by the farmers organisation

3.6. Conflict management

The Managing Committee shall resolve any dispute between WUA members or difference between a member and the Managing Committee itself. Every appeal should be disposed within 15 days from the date of filing.

3.7. Working with partner institutions

The partner institutions in the project are:

- a) Support Organization – will provide services of community mobilization and institutional strengthening of the WUAs to the project.
- b) Panchayati Raj Institutions – will provide support for linkage with on going schemes such as NREGP, etc.
- c) Line Departments - will provide services of agricultural development and livelihoods promotion to the project.
- d) Training organizations - – will provide services of training and capacity building to the project.
- e) Professional Consultancy Agencies - will provide services of monitoring and learning, third party quality control, thematic studies, documentation, MIS and GMIS, knowledge management, etc. to the project
- f) Livelihood Consortium – will provide strategic guidance and develop models for livelihoods promotion for scaling up across all tanks

4. PARTICIPATING IN THE PROJECT

4.1. Why the Project Needs To Work with the WUA

The “Andhra Pradesh Farmer Managed Irrigation Schemes Act, 1997 (APFMIS Act)” created a legal entity, the Water Users Association for all irrigation systems in the state. The Act entitles the WUA to operate and maintain the irrigation system by involving all the farmers who are its members. Consequently, the primary responsibility for the management of the tank lies with the WUA. Therefore for effective restoration of the tank and for its sustainable management it is imperative that the project is implemented through the WUAs.

4.2. The tank stakeholders

The tank has two types of stakeholders i.e. direct stakeholders and indirect stakeholders:

Direct stakeholders

- a) Ayacutdars (command area farmers)
- b) Fishermen

Indirect stakeholders

- a) Washer men
- b) Cattle grazers
- c) Ground water users

4.3. Why work with Catchment farmers, fishermen cooperatives, other tank users

Sustainable restoration of the tank requires not only the co-operation of the ayacut farmers but also catchment farmers to ensure protection of the catchment area of the tank.

The fishermen have traditional rights to fishing in the tank. Existing fishermen will be continued the regular practice of fishing in the project as per the rules prescribed by the fishermen cooperatives. Wherever there are no fishermen the WUA will have option to auction the fishing rights to any group of people in consensus with the gram panchayat. The WUA also impart necessary training to the fishermen other common Interest Groups (CIGs) to improve their livelihood.

4.4. Role of WUA in project

Opening bank accounts

The WUA shall open two separate accounts in any nationalized bank. The account can be a saving or current account and should preferably be with a bank operating in the village or near by. The following are the two accounts and its procedure for operating.

- a) Opening of **regular O& M account** (where ever account does not exist). Account will be operated under the joint signatures of the President/ Chairman and one of the Managing Committee members to be nominated by the Managing Committee. The project funds will be operated through this account. The five percent of beneficiary contribution and other O& M charges can be deposited in the account.
- b) Opening of **works account**. President of WUA will operate this account jointly with competent authority. The Project will have the right to direct the bank to freeze the bank account, if project faces any problems.

Beneficiary contribution

The project strategy explicitly states that, there should be an element of beneficiary contribution in cash and kind. The rationale for this strategy is that cost sharing will instill a sense of ownership and will form the basis of longer-term sustainability.

The guidelines for beneficiary contribution specified by the project are as follows:

- a) 5% upfront of beneficiary contribution (cash) is mandatory for grounding the project. This amount will be deposited in WUA O&M account for the project period and it can be used for the purpose of O& M thereafter
- b) Another 5 percent contribution can be either in cash or in kind in a phased manner i.e. as per the progress of the project.

Assessment of participatory planning environment

To analyze the preparedness and willingness of the WUA to participate in the project an assessment of the environment for participatory planning within the WUA will be carried out. The assessment will be carried out on the following aspects:

- a) Organizational & Financial Environment
- b) Planning Environment
- c) People's Participation

The formats for carrying out the assessment of environment for participatory planning are given in **Annexure. 3.**

Agreement and signing of MoU between WUA & DPU

The objective of executing a Memorandum of Understanding (MOU) is to arrive at an agreement between the WUA and the DPU on their respective roles and responsibilities in implementation of the project. The MoU will be for a period of 30 month. The format of MoU given in Annexure 2

Planning, implementing and monitoring project activities

A participatory planning process will be adopted in the project. Through the planning process a Tank Improvement and Management Plan will be prepared by the WUA. The TIMP will include activities of all the three components of the project including the WUA training plan, the Detail Project Report for the civil works and the Agricultural Livelihoods Support Services Plan. The SO and the DPU staff will assist the WUA in the preparation of the TIMP. The details of TIMP preparation are given in the Chapter 4.

Implementing

After the preparation of TIMP and its approval by WUA general body, the District Project Unit will enter into an agreement for implementation of the TIMP. The agreement would form the basis of implementation of the TIMP, which includes::

The scope of activities to be carried out by the WUA

- a) Roles and responsibilities of the parties to the contract
- b) Utilization of funds, maintenance, and operation of bank account
- c) Collection and utilization of (beneficiary) contributions
- d) Financial management including maintenance of accounts, execution of works and payments, procurement, reporting, and audit of accounts
- e) Dispute settlement / conflict resolution

Monitoring & Learning of project activities

At the tank level, monitoring of the project activities is the joint responsibility of DPU, WUA and Support organization. It requires recording of actual field implementation compared to the plan to determine the degree of achievement and reasons for discrepancy/ies (short falls) if any. Monitoring will be carried out using both quantitative and participatory methods. The details of process of monitoring are given in chapter – 8.

Taking charge of O&M of tank system

Operation and maintenance of irrigation system is an important activity of system management. The tank system requires O&M on a regular basis comprising a set of activities carried out with local resources at WUA level. These activities are:

- a) desilting (feeder channels, irrigation channels and if required tank bed)
- b) jungle clearance in the tank system
- c) embankment repairs
- d) revetment
- e) repairs to shutters
- f) repairs to masonry and lining
- g) cleaning and oiling of screw gears and gate groves
- h) emergent breach closing works
- i) reconstruction/ repairs of sluices
- j) reconstruction / repairs to drops and regulators
- k) repairs to waste weir and surplus system

The WUA shall take over the O&M activities and bring in regularity, with collective action at village level. The WUAs have to develop a corpus fund for regular O&M through collection of water charges, fisheries auction money, contributions etc and take over the entire responsibility of O&M.

Annual crop planning

The WUA has to monitor the water inflow regularly to assess water quantity in the tank. Based on availability of water, the crop plan are to be prepared. The WUA has to facilitate the planning process. The TC member and farmers of each TC has to discuss and plan the crops for each survey number of their segment. During the planning the availability of water in the tank system has to be considered.

Season wise water distribution & management

Water distribution at the field level is the most important issue that needs to be planned and managed efficiently by the WUA. The water availability in the tank is transparent and the farmers see inflows. In the project it is proposed to strengthen WUA with adequate capacities to deal the issue in existing traditional practice. Based on the water available in the system, the water management Sub-committee shall prepare the water distribution plan in accordance with the demand of the farmers. The Sub-committee gets endorsement of plan from management committee. The plan can be implemented through the lashkar (watermen). These water men can be a government personnel or traditional practitioner. (Neeradi or Neeruganti).

5. MAKING TANK IMPROVEMENT AND MANAGEMENT PLAN (TIMP)

5.1. What is a TIMP

The TIMP is an integrated plan document that will provide the details of all the activities to be implemented in a tank system. The Water Users Association will have to prepare a **Tank Improvement and Management Plan (TIMP)** for its tank to implement the project. The DPU staff and the SO staff will assist the WUA in preparing the TIMP.

5.2. The steps involved in making TIMP

Awareness generation on project

The process of Tank Improvement and Management Plan preparation will start with awareness generation about the project in the tank system area villages. Village level meetings will be organized in each of the tank area villages. At least a weeks notice about the meeting will be given in the villages through the WUA. During the meeting the villagers will be informed about the project, its objectives, approach and processes, possible interventions and expected benefits. The villagers will also be informed about the role of the WUA in the project and in the future operation and maintenance of the tank system. A number of meetings will be organized in each tank area village, besides the awareness generation process, including Kalajatha, wall writings, audio-visual shows, etc.

Identification of all tank stakeholders

As awareness about the project develops among the villagers, social mapping of the villages will be carried out to identify the various social and economic groups among them. During the process the various stakeholders of the tank will be identified, including the groundwater users in the tank influence zone, by listing out all the ways in which the villagers are using the tank and the household in each user category. This will be recorded on the social maps. Once all the tank stakeholders have been identified a Detailed Internal Interest Analysis Matrix will be prepared of all the tank stakeholders (**Annex 1**).

Assessment of WUA preparedness and willingness

To analyze the preparedness and willingness of the WUA to participate in the project an assessment of the WUAs will be carried out on the following aspects:

- a) Organizational & Financial Management
- b) Preparedness for Planning
- c) People's Participation

The formats for carrying out the assessment of environment for participatory planning are given in **Annexure 3**.

Signing of MoU between WUA and District Project Director

At the completion of the awareness generation process and the assessment of environment for participatory planning, the willingness of the WUA in participating in the project will be determined. If the WUA is willing to participate in the project a Memorandum of Understanding will be agreed upon and signed between the WUA and the District Project Director (DPD – Executive Engineer), which will delineate the commitments and the mandates of the two agencies towards each other. This will include the willingness of both the WUA and DPD to take the roles and responsibilities specified below:

Roles and Responsibilities of WUA:

- a) mobilize community contribution for the project from among the tank users at the rate of 10 percent of the total civil works (5 percent in cash and 5 percent in kind). The 5 % contribution in cash will be deposited in the WUA O&M Account for future O&M activities

- b) prepare a Tank Improvement and Management Plan to carry out restoration and revival of the tank system
- c) supervise and actively participate the TIMP implementation
- d) assist the Revenue Department in making assessment of demand for water charges and collection of water charges from its members as per the rates notified by GoAP from time to time
- e) undertake management and O&M works of the tank system from the water charges collected as per the provisions of the APFMIS Act (1997) covering the following activities:
 - a) desilting (feeder channels, irrigation channels and tank bed if required)
 - b)jungle clearance in the tank system
 - c)embankment repairs
 - d)revetment
 - e)repairs to shutters
 - f)repairs to masonry and lining
 - g)cleaning and oiling of screw gears and gate groves
 - h)emergent breach closing works
 - i)reconstruction/ repairs of sluices
 - j)reconstruction / repairs to drops and regulators
 - k)repairs to waste weir and surplus system
- f) distribute water among all the tank users equitably
- g) create an awareness on economic use of water and promote efficient water use technologies & practices among the tank users
- h) collectively prepare water use and agricultural plans for each irrigation season
- i) arbitrate and resolve any disputes over distribution of water among the tank users
- j) prevent future encroachment and protect tank system
- k) maintain execution of works and supervise the quality
- l) open and operate two bank accounts in any Nationalized Bank
 - a) O&M Account: for depositing water charges collected, O&M funds, 5 % contribution towards share of the WUA in rehabilitation of the tank. This account will be operated jointly by WUA President and Vice President, on behalf of the WUA Managing Committee
 - b) Works Account: for the purpose of rehabilitation works taken up by the WUA under the project. This account is to be operated jointly by WUA President (on behalf of the WUA Managing Committee) and the project technical staff (DPU staff co-opted into the works sub-committee).
- m) maintain regular ledgers and accounts of the WUA as required under the project
- n) perform any other functions to accomplish the objectives of the project as and when required under the project

Role and responsibilities of District Project Director (DPD):

- a) provide finances, resources, technical support, supervision and training to WUA to carry out restoration and revival of the tank system
- b) provide finances, technical support, supervision and training to WUA to carry out all WUA functions and activities listed above
- c) ensure quality of civil works carried out under the project
- d) provide continued technical support, supervision and training to the WUA subsequent to the handing over of the tank system to the WUA
- e) provide resources to carry out repairs of the tank system for damages caused by natural calamities, subsequent to restoration

Data collection for preparing TIMP – PRA / technical surveys

After signing of the MoU between the WUA and the DPD the process for TIMP preparation will start. This will begin with a Participatory Rural Appraisal of the tank area villages. PRA will be carried out over a period of 5 days schedule using the following tools:

Day	PRA Tools	Output of the Tool
Day 1	Resource Mapping / Transect	To assess the nature and levels of production system in the tank area and identify the problems in the tank system and the influence zone that would require restoration
Day 2	Production System & Livelihoods Mapping	
Day 3	Institutional Mapping / Infrastructure ,Service Availability & Mobility Mapping	To assess the social and physical capital existing in the tank area and the linkages and networks through which inputs and services are acquired by the tank users and markets accessed by them
Day 4	Time Line / Seasonality Chart / Trend Analysis of Groundwater based Irrigation	To assess the significant historical trends and annual events that has influenced the prevailing condition of the tank system / groundwater use in the tank influence zone
Day 5	Problem Tree / Problem Identification / Problem Prioritization / Identification of interventions	

Problem identification and prioritization will lead to the identification of the root problems of the tank system and the effect of this on the tank users. This will be done through construction of a Problem Tree of the core problem of tank system deterioration. The construction of a Problem Tree will result in list out the causes and effects of the tank system deterioration. Once the causes and effects have been listed, they will be converted into objective statements based on which the required interventions will be identified. The interventions so identified by the tank system stakeholders can not be changed by the project staff without the approval of the WUA. The identified interventions will be segregated into the following categories:

- a) Civil Works
- b) Land / Water Resources Management Activities
- c) Production / Livelihood Activities
- d) Social / Environmental Management Activities
- e) Institutional / Management Aspects
- f) Trainings

The proposed interventions will also be segregated into categories based on the resources to be used to implement them. The resources to be used are:

- a) Community resources
- b) Project resources
- c) Convergence / linkage with other programmes
- d) Credit financing

During this time also the interventions for the Environmental Management Plan, the Tribal Development Plan (if required) will be identified.

Components of the TIMP

Preparation of work designs and cost estimates

After identification of the interventions the design and cost estimates for the civil works will be prepared by the project technical staff in association with the Works Sub-Committee members of the WUA. During the same time the cost estimate and implementation strategy for the other interventions will be prepared by the other relevant project staff in association with the Works Sub-Committee and other members of the WUA.

With respect to interventions to be implemented through convergence / linkages with on-going government schemes like National Rural Employment Guarantee Programme (NREGP), the WUA will pass a resolution to that effect and present it to the concerned Gram Panchayat for consideration through its co-opted Gram Panchayat members. The WUA Gram Panchayat members will represent the WUA's interest in the Gram Panchayat meeting and will follow up on inclusion of these interventions into the Gram Panchayat NREGP plan.

Agricultural Livelihood Support Services Plan

The specific interventions to be undertaken in a tank will be included in the Agricultural Livelihood Support Services Plan (ALSSP), which will be a part of the TIMP. The ALSSP will be prepared by each WUA with support of the SO, the DPU staff and technical staff from relevant line departments as a part of the TIMP preparation process. It will be developed in a participatory manner and will take account of the existing production systems, agro-climatic and socio-economic conditions, water availability and distribution and emerging market opportunities. The ALSSP will include development plans for field and horticultural crops, livestock, fisheries, foreshore plantations and agribusiness and marketing. Depending upon the local agro-ecological and market conditions, only a subset of these activities may be undertaken in a particular tank.

Preparing WUA training plan

Capacity building and Training is a developmental activity. All the norms and functions applicable to development are also applicable in this project in its appropriate form. In the process WUA will get suitable capacities for effective participation planning, implementation, monitoring & evaluation of the tank rehabilitation project through community participation. The objectives of training plan are:

- a) To strengthen all the stakeholders participation in the restoration of tank and its management.
- b) To strengthen the institutional functioning with well defined role of sub-committees.
- c) To facilitate water and land resource management.
- d) To improve the productive potential of tanks system providing technical support in the areas of agriculture, horticulture, agro-forestry, fisheries, live stock, tank-ecology, catchment treatment, GIS & knowledge base and tank related income generation activities.

The first step in preparation of Capacity building and training plan is starts with assessment of the training needs. The Training organization or SO or both organizations collectively assess the needs of different stakeholders of WUA in a separate meeting/s. The facilitators should plan the event by fixing date, time and venue with advance intimation to the concerned participants. The needs should be classified as per the project four stages. The following training shall be organized to different stakeholders of WUA.

Training of WUA Members

- a) Participatory Irrigation Management & WUA
- b) Role and Responsibilities of WUA
- c) Group norms, group revitalization and conflict resolution
- d) Preparation and implementation of WUA annual action plan
- e) Water charge estimation and collection
- f) Water audit and crop planning
- g) Water distribution and sharing
- h) Community based monitoring of WUA activities

Training of WUA Management Committee Members

- a) Participatory Rural Appraisal
- b) Preparation of TIMP
- c) Preparation of WUA procurement strategy and plan
- d) Supervision of civil works
- e) Participatory Irrigation Management & WUA
- f) Roles and responsibilities of WUA
- g) Roles and responsibilities of WUA management committee members
- h) Maintenance of WUA records books and accounts
- i) Group norms, group revitalization and conflict resolution
- j) Preparation and implementation of WUA annual action plan
- k) Water charge estimation and collection
- l) Planning and implementation of O&M of the irrigation system
- m) Resource mobilization
- n) Water audit and crop planning
- o) Water distribution and sharing
- p) Community based monitoring of WUA activities

Training of WUA Sub-Committee Members

- a) Roles and responsibilities of WUA
- b) Roles and responsibilities of WUA sub -committee
- c) Maintenance of WUA records books and accounts
- d) Preparation and implementation of WUA annual action plan
- e) Water charge estimation and collection
- f) Planning and implementation of O&M of the irrigation system
- g) Resource mobilization
- h) Water audit and crop planning
- i) Water distribution and sharing
- j) Community based monitoring of WUA activities

Training of Beneficiaries in Agricultural Production / Livelihoods / Agri-business

- a) Water management in different cropping system
- b) Improved cropping systems and farm mechanization
- c) SRI paddy / ID crops / Organic farming
- d) Post harvest processing and value addition
- e) Agri-business development
- f) Value addition to agri-produce
- g) Other tank based livelihoods
- h) Livestock improvement
- i) Fishery development
- j) Plantation

Training of WUA Para Workers

- a) Community Organization
- b) WUA Management
- c) Water Management
- d) Livestock Management

Selection of Para-workers (Lead farmers)

To assist a WUA in performing its roles and responsibilities, each WUA will have a few para-workers linked to it. These para-workers will be educated person from the WUA area identified by the respective

WUAs and trained by the project to perform specific tasks. Nominally, there will be a para-worker for institutional development, agriculture development and livelihood promotion and water management with each WUA. The para-workers will be paid a month honourarium by the project through the WUA. The project will cover the full amount of the honourarium of the para-workers for the first year and only a partial amount for the next year. The remaining amount will have to be borne by the WUA. From year 3 onwards, the para-workers will work on the basis of payment of service charge by the WUA or the member who utilize their services.

The WUA will convene a meeting to identify the paraprofessionals (she / he) taking in consideration their education level and interest in the work. The selection criteria for the para-workers is as follows:

Should be a member of the WUA, a practicing farmer and a resident in the village

Should be able to read and write

Should have good relationships with all WUA members and be willing to work with all of them

Should be willing to give the required time for the job along with his/her time for any other livelihood

Duties

Para-worker (Community mobilization)

The para-worker will assist the SO in carrying out community mobilization in the WUA. This will involve the following duties:

- a) Assisting the WUA in book keeping
- b) Assist in organizing regular meetings (Managing Committee, Sub-committees and General Body)
- c) Assist the Support Organization activities like aware generation, conducting PRA, preparation of TIMP, village level trainings, etc
- d) Conducting quarterly self assessment by WUAs (PSA)
- e) Submitting progress reports, etc

Para-worker (Agriculture)

In addition to assisting the SO in mobilizing farmers for the agricultural support services activities, the other duties will be:

- a) Developing demonstration plots (seed production and fodder multiplication)
- b) Mobilizing farmers for trainings
- c) Assisting the WUA in water audit and crop planning
- d) Motivating farmers in adoption of new technologies
- e) Mobilize CIG members for trainings and exposures
- f) Maintaining contacts with traders and market
- g) Publicize market information among the WUA member
- h) Maintaining business accounts

Para-worker (Works & Water management)

In addition to assisting the SO in mobilizing farmers for the groundwater management activities, the other duties will be:

- a) Mobilize groundwater users into forming members groundwater users groups
- b) Mobilizing groundwater users for trainings and exposure
- c) Assisting the WUA in water audit and crop planning
- d) Motivating groundwater users in adoption of new technologies

Identification of the demo plots

The project considers the best way to build capacities of the tank command area farmers in terms of orientation on new technologies and adoption of improved technologies is through demonstration and adoption, i.e. through the principles of ‘learning by doing’ and ‘seeing is believing’. The approach has training, capacity building and demonstrations as integral part of the system. A demonstration plot (DP)

of about ½ acre will be selected in each tank for this purpose. The concerned Support Organization and the DPU staff will identify the demo plots (Farmers Field School) in each tank area in consultation with the WUA. The selection criteria for the location of the demo plots are:

- a) Easy accessibility from the tank villages
- b) Road side plot
- c) Plot soil represents majority soils type in the tank area
- d) The plot owner is either para-worker or progressive farmer

For learning and adoption from the demo plots, each WUA shall identify two progressive farmers from among its members. These two farmers will be given frequent training at the demo plots. There will be **incentives** to the progressive farmer from the project for improved practices in their fields.

Formation of Commodity Interest Groups (CIGs)

The purpose for forming CIGs is to improve productivity, collective procurement of inputs, collective marketing and value addition. The CIG will be formed out of 10-15 willing command area farmers or out of existing Rytu Mitra Groups in the command area of the tank. These could include farmers, fisher men and livestock rearers, etc.

To develop skills among the CIG members capacity building and training plan will be prepared as per the identified needs. The CIG shall prepare its own business plan (action plan) for the activities proposed by them. The project will support the CIG in implementation of the plan by providing necessary inputs and credit. Simultaneously, the line departments will also support the CIGs in implementing their activities.

Some of the activities that the CIG has to perform are:

- a) Preparation of livelihood and business plan
- b) Estimation of working capital requirement
- c) Product and market identification with help of commodity specialist and DPU
- d) Making preparations for organizing de-worming, vaccination and medical camps for livestock
- e) Maintenance of fodder multiplication plots
- f) Participation in the fish marketing and intensive aqua culture practices
- g) Supply of selected product to the collection center

Agribusiness and Marketing Development Fund

Working capital support will also be provided to eligible groups of agri-entrepreneurs (CIGs) who are interested in setting up agri-business ventures involving post-harvest processing or management of produce or related value-addition activities. The Agribusiness and marketing fund will be utilized for the following purposes:

- a) Promoting access to non traditional markets by collective marketing groups
- b) Post harvest processing and other value addition activities
- c) Agri-business ventures

At least 20% of fund will be reserved for women and tribal CIGs (at least 10 % for women and 10 % for tribals). The modalities (for these groups) will be worked out during implementation for addressing the specific needs identified.

The eligibility criteria for WUAs for availing fund support are as follows:

- a) The representing tank should be identified in the scoping studies for particular commodity
- b) The WUA should get minimum “ B+” overall rating (Institutional and financial management) assessed for business development by DPU
- c) WUA should get minimum “B+” rating in financial management, assessed for business development by DPU
- d) The WUA should be willing to agree to the operational modalities of fund.
- e) WUA should have operating Cash Credit account with bank.

The selected WUA for funding support will have to enter into a MoU with the DPU before release of fund regarding management of the fund, agreed conditions and agreed activities.

The funds will be provided to the WUA to support activities of the CIGs. The eligibility criteria for CIG for collective marketing are as follows:

- a) They should have CCL from a bank
- b) The CIG should be registered as Rytu Mitra Group (RMG)/FCS
- c) It should have group bank account
- d) CIGs should raise their own corpus and contribute an agreed share to the projected credit need, which will be at least of 10% of the amount.

The eligibility criteria for CIG for agribusiness ventures are as follows:

- a) The CIG should prepare an acceptable, bankable business plan with partnership to raise capital
- b) CIG should have group bank account
- c) CIG should have a CCL with a bank.
- d) CIGs should raise their own corpus and contribute an agreed share to the projected credit need, which will be at least of 10% of the amount.

The details about the Agribusiness and Marketing Development Fund is provided in Annexure 6.

Preparation of TIMP document

After the design, cost estimates and the implementation plan for all the interventions have been prepared, it will be compiled into the TIMP document. The TIMP document will be prepared in a log frame format and with GANTT charts, designs and estimates and cost sheets. It will also include a brief profile of the tank system area and the tank stakeholders.

TIMP contents and details (including social and environmental management plans)

The identified interventions will be segregated in the following categories:

- a) Civil Works
- b) Land / Water Resources Management Activities
- c) Production / Livelihood Activities
- d) Social / Environmental Management Activities
- e) Institutional / Management Aspects
- f) Trainings

The proposed interventions will also be segregated into categories based on the resources to be used to implement them. The resources to be used are:

- a) Community resources
- b) Project resources
- c) Convergence / linkage with other programmes
- d) Credit financing

6. TIMP APPROVAL PROCESS

6.1. TIMP approval process

Once the draft TIMP document is ready it will be presented to the WUA General Body for discussion and approval. The General Body meeting of the WUA will be organized at least within a fortnight of the draft TIMP document is ready. During this intervening period the SO in-charge of the WUA will discuss and clarify all queries of the WUA members related to the implementation plan, designs and cost estimates. Based on the discussions, any required modification of the TIMP will be carried out. After the final TIMP has been agreed upon, the extent of the community contribution and its collection strategy and schedule will be agreed upon.

Once the TIMP has been agreed upon and finalized, a General Body meeting of the WUA will be held to pass a resolution approving and adopting the TIMP. The WUA Managing Committee will then fill up the TIMP Implementation Agreement (**Annex 5**). Two copies of the approved TIMP and the Agreement will be prepared by the WUA and submit them to the DPU for approval. On receiving DPU approval, one copy of the TIMP and Agreement will be kept with the WUA for its records and one copy will be kept with the DPU. The DPU will compile all the TIMPs prepared in one project phase in the District Action Plan and submit it to the District Level Implementation Committee (DLIC) for approval.

7. IMPLEMENTING THE TIMP

7.1. TIMP implementation arrangements

The WUA will operate two bank accounts. In account 1 (the O&M Account) the beneficiary contribution (the cash component) and the water charges collected from the WUA members will be deposited. This account will be operated jointly by the President and the Vice-President of the WUA. In account 2 (the Works Account) the project funds for the works and the livelihoods funds will be deposited. This account will be jointly operated by the President of the WUA and the project technical staff deputed to the WUA. A schedule for implementing various works in relation to the available time for implementation and the seasonal conditions will be drawn for different works under each component. The works under each component will be prioritized for implementation by the WUA in association with the DPU and SO. Subject to the financial limits set by the government, the WUA will identify works to be implemented by WUA. If necessary the requisite capacity of the WUA will be developed for this. The remaining works will be listed separately for implementation through the tendering process.

The Managing Committee of WUA will co-opt the technical staff (AE / AEE) into the Works Sub-Committee for technical guidance and capacity building of the members during execution of works. The sub-committee will obtain technical sanction for all the works as per the departmental norms and entrust works that can be handled by WUA to the WUA.

An advance up to 40 % of the cost of the work will be provided, if required, in installments to WUA to be deposited in the works account through a Letter of Credit by the District Project Director for WUA to start work. Transfer of funds to the Works Account, however, is subject to full and proper training of the concerned WUA members in maintaining books of accounts and on verification of the capacity of the WUA in maintaining them by the DPU. The measurement / check measurement for various works / items will be done by the concerned project technical staff in association with the work sub-committee, following departmental norms.

The progress of the work, quality and quantity of work done will be closely monitored by the works sub-committee of the WUA facilitated by the project technical staff and approved jointly by them. Regular bills may be made at different stages of completion of work. The payment to the bills will be made by the DLIC receiving authorization from works sub-committee along with the project technical staff.

For the works, authorized by the WUA to be done through the tendering process, the District Project Director will call tenders as per the procurement norms prescribed under the project. A tripartite agreement will be signed between the District Project Director, the contractor and the WUA. Measurements and check measurements shall be recorded by the concerned project technical staff along with the work sub-Committee as per the departmental norms.

The quality and quantity of the works will be monitored by the WUA works sub-committee and project technical staff. For release of payment a resolution will be passed by the WUA works sub-committee after ensuring the work quality, authorizing the Managing Committee of WUA and the DPU for release of payments to the Contractor through the District Project Director.

All the works executed and records will be subject to independent third party quality control as per the agreement with the DPU apart from the regular quality control.

The lists of works to be taken up will be given wide publicity by means of display in the office of the WUA or other public institutions within the area. Whenever a work is taken up the estimated cost of the work, item of work proposed to be executed, details of the executing agency etc., will be exhibited on a

display board at the place of the work so that all members of the WUA are aware of the details of the works being executed and the expenditures to be incurred. The abstract of work items, quantity, rate and cost will be painted on wall of the WUA office.

7.2. Procurement

What is procurement and its importance

One of the important activities in implementation of TIMP are procuring goods, works, materials and other support services to executive the work.

Depending upon the nature the activity, in most cases, 60 % - 80 % of the cost relates to goods, materials and services. Therefore, the procurement methods used to procure these goods and services should be carefully selected for economy and efficiency. Inefficient procurement can result in:

- a) Increased cost
- b) Decreased quality of facilities and services
- c) Implementation delays

What sorts of procurement needs are at WUA level

The project will be implemented through the WUAs. with the WUA and its Sub-committees actively implementing and supervising the activities. The procurement needs at the WUA level can be classified under the following broad categories:

- a) Procurement for Works
- b) Procurement of Goods and Materials
- c) Procurement of Services

Who will do the procurement

As per the act APFMIS Act, the Managing Committee of the WUAs will organize execution of works through the Works Sub-committees. The procurement needs of the activities to be implemented by the WUA will be carried out by the Sub-committee with the support of the concerned competent authority.

In case of works allotted to contractors, the responsibility of procurement will lie with the concerned contractor. Wherever the contractor procures goods or services, the concerned WUA /Sub-committee will monitor the quality of the procurement.

What are the procurement procedures

The procedure for procurement will be as follows:

- a) Approval of TIMP and Annual Work Plan
- b) The procurement plan for goods / materials and services will be included in the TIMP and Annual Work Plan
- c) Technical and administrative approvals will be obtained, as per the regular government procedure
- d) Procurement of goods / material and services through bidding or direct purchase

Procurement for works

The WUA will enter into an agreement with the DPU to execute works below 5 lakhs cost. The works above 5 lakhs cost will be tendered by the DPU. Under the project, each structure will be treated as component and the cost for treating each component will considered as a work. No structure will be bifurcated on the basis of length or number. The following are the structure that will be treated as single component:

- a) Feeder channels
- b) Foreshore plantation
- c) Surplus wires
- d) Irrigation channels

As per the above norms, first preference for execution of works will be given to the WUA. In case the WUA is unable or unwilling to execute the works, the DPU will obtain a resolution in writing from the WUA General Body on the same. In such circumstance, the DPU will execute the work by contracting it to qualified contractors.

Procurement Goods and materials

Procurement of goods can be done either through government approved contractors or through the open market. The procedures adopted will be in consultation with the DPU staff.

7.3. Implementing of physical works by WUA

A schedule for implementing various works will be drawn up in the TIMP based on the available time and season for implementation. Works under each component will be prioritized by the WUA in association with the DPU and SO staff. Subject to the financial limits set by the government, the WUA will identify works to be implemented by itself, such as repairs to feeder channels, jungle clearance, revetments and distribution channels, etc.. The remaining works will be listed separately for implementation through the tendering process.

Technical support and supervising physical works being implemented by WUA

During the implementation of the physical works by WUAs, the Works Inspector of the Support Organization will assist the WUA on a day to day basis in activities like measurements of the structure, material ratio, quality of the instruments, time of curing, etc. The competent authorities will give guidance to the WUA at least once in a week or ten days and on need basis. The WUA Managing Committee and works Sub-committee should regularly interact with DPU and SO to ensure the quality in work carried out.

Maintaining measurements and records of works being implemented by WUA

The two Sub-committees i.e. Works and Financial Sub-committees of WUA will maintain the following records during implementation of works:

- a) Muster role.
- b) Register of technical sanctions / administrative sanction
- c) Bill register (Form –VI (C))
- d) Cash book (Form – VI (A))
- e) Cheque memo register (Form – VI (D))

7.4. Procedure for payment of works being implemented by WUA

An advance up to 40 % of the cost of the work will be provided, if required, in installments to WUA to be deposited in the Works Account by the District Project Director for WUA to start work. Transfer of funds to the Works Account, however, is subject to full and proper training of the concerned WUA members in maintaining books of accounts and on verification of the capacity of the WUA in maintaining them by the DPU. The measurement / check measurement for various works / items will be done by the concerned project technical staff in association with the work sub-committee, following departmental norms.

The progress of the work, quality and quantity of work done will be closely monitored by the works sub-committee of the WUA facilitated by the project technical staff and approved jointly by them. Regular bills may be made at different stages of completion of work. The payment to the bills will be made by the PMU receiving authorization from works sub-committee along with the project technical staff.

All payment for works above Rs. 1000 will be in cheque. The Works Sub-committee will approve the works for payments for both works carried out by the WUA or a contractor. The Financial Sub-committee will maintain records of all payment made in the cashbook.

8. MONITORING & LEARNING FROM THE PROJECT

8.1. What is participatory monitoring & learning (M&L)

In simple terms, monitoring is defined as checking, collecting and analysis of information about project activities to improve its performance. In brief it means comparing the actual situation and then taking action to bring reality and expectation together.

Participatory Monitoring differs entirely in the approach as it involves building ownership of community, building their capacity to identify issues, prioritize them identify solutions to resolve the same. Going beyond extraction of information through group-based methods, the participatory M&E process would aim to involve key stakeholders in developing a framework measuring results, evaluating achievements and learning from the project experience, i.e., as joint creator and evaluator of information. This will also help build up local capacity to reflect, analyze, propose solutions and take actions.

8.2. Why WUA need to monitor project activities

Participation under this project does not remain confined only to plan and design project activities, but to manage the project as well, including monitoring and learning from implementation.

Consequently, the WUAs need to monitor project activities to:

- a) Obtain continuous feedback and provide the data to project management
- b) Facilitate appropriate and timely decisions and to assess the outcomes and impact of the project vis-à-vis the needs identified
- c) Facilitate results-based management to focus economic gains and equity
- d) Learning from within the project

8.3. Monitoring project activities by WUA

Before initiating monitoring, it is important that the WUA is acquainted with the different process and tools of monitoring. The SO will orient and train the aWUA Managing Committee, Sub-committees and its members on the project result framework and give them clarity on modalities of monitoring, its aims and objectives, etc.

Monitoring may show that there is a gap between the planned situation and its implementation>. This would require immediate action. Some of these actions will be possible at the local level itself, where the WUA could take action:

- a) Delay in the works implementation
- b) Giving first priority to the inflows and water storage works rather than distributory network
- c) Organizing monthly meetings on fixed timings, etc

Some actions may not be possible at WUA level and may need to be refer to the DPU.

- a) Delay in fulfilling capacity building requirements
- b) Delay in fund flow
- c) Quality of cement and masonry works, etc

The SO will assist the WUA in taking action at their level, whenever possible.

Monitoring Physical works

WUA supervision - To ensure acceptable quality construction, rehabilitation works carried out to be monitoring on quality aspects. The Works Sub-Committee will monitor the day-to-day progress, executed either by the WUA or the contractor. During the process of monitoring the Work Inspector of SO and the competent authority will provide the necessary support to the Sub-committee. The Sub-committee will report the progress to the WUA Managing Committee week during work implementation.

Third party quality control - The quality of the physical works will also be monitored through an external agency, the National Council for Building and Materials (NCCBM). The agency will depute mobile facility to assess the works quality in the field. The mobile facility will visit the construction sites and undertake analysis of the sample and provide the reports at the site itself. The concern WUA will

provide assistance to the external agency in carrying out the third party quality control monitoring in their tanks.

Monitoring agriculture development and livelihood plan

The agriculture livelihood support services plan will have five sub-components:

- a) Agriculture and Horticulture
- b) Livestock development
- c) Fisheries
- d) Foreshore Plantation
- e) Marketing and agri-bussiness

Separate agencies / persons are responsible for monitoring activities under the five sub-components.

Component	Responsible persons
Agriculture and Horticulture	Para-workers (lead farmer) / agriculture expert
Livestock development	Gopal Mitra and Animal Husbandry Department Staff
Fisheries	Fishery Coperative Society & Fishery Department Staff
Foreshore Plantation	WUA and Forest Department Staff
Marketing and agri-bussiness	CIGs / Lead farmers and Commodity Specialist

The WUA will regularly monitor and review the progress in implementation of the activities according to the indicators identified in the TIMP will assistance from the SO..

WUA Self rating

WUA functionaries are required to perform different roles both on day to day basis and periodically. The functions are related to institution management, system management (Operation & Maintenance), water management and corpus management. The functions to be performed by different WUA functionaries are broadly defined in the APFMIS Act. The project through specific interventions targets the institutional strengthening that also requires specific roles to be performed by the WUA functionaries. Self rating enables the WUAs to assess their own performance vis-à-vis the functions related to the aforesaid areas. Self rating is designed keeping in view the simplicity in understanding, analyzing and awarding suitable marks by the WUA functionaries and other water users to their performance (**Annexure 5**). Some parameters are identified on which the performance is rated as per the marks fixed. Each sub parameter is further broken up into statements leading to measurable outcomes. Self rating will be carried out on a quarterly basis.

Participatory assessment and cross learning

Institutional strengthening is expected to result in the active participation of WUA functionaries in the project in all the stages of the projects, namely, pre planning, planning, implementation and post implementation. There are defined roles of WUA in this process enunciated in the project. They are sequential and follow a step-by-step approach linked to the project cycle with specific milestones. The processes along with the outcomes are expected to result in the overall capacity of the WUAs to manage conflicts among all the water users thereby maximizing the utilisation of the resource and system’s O&M. Livelihood component brings in new dimensions to the project with the active involvement of different tank users. Capacity building through training or exposure visits alone may not bring in the required change unless WUAs are part of the learning process. Participatory Assessment and cross learning provides space and scope for learning and improving in a collective action.

The exercise enables the WUAs understand the implementation of the project with focus on the WUA’s role in resolving issues related to stakeholder identification and the interventions proposed. It examines the sequence of activities and crossing the milestones as defined in the Project Implementation Plan (PIP)

and the Tank Improvement and Management Plan (TIMP). It also therefore throws light on understanding different interventions proposed under livelihood component in different tank systems.

A simple tool of Quantified Participatory Assessment (QPA) will be developed and used to enable WUAs to carry out the exercise. The Quantified Participatory Assessment facilitates the understanding on critical issues of implementation by providing graded answers with marks allocated to each answer. WUA members will be encouraged to understand the status, discuss on issues and processes adopted and award marks accordingly to each item.

It is proposed to involve WUAs from one tank to evaluate the other WUA performance on annual basis. This arrangement will provide a cross-learning opportunity to the WUAs. It will help them to learn about the methodologies and processes adopted by other WUAs working in similar situations as well as presenting themselves to the other WUAs. The monitoring tool is thus expected to result in exchange of ideas among the WUA functionaries while promoting constructive competition among them.

9. POST-PROJECT OPERATION & MAINTENANCE OF TANK SYSTEM

9.1. What is O&M

Operation and Maintenance (O&M) is a set of activities which need to be carried out regularly for smooth functioning of the tank system. These activities can be carried out with the funds allocated from the department or resources at the WUA level. These activities are defined in the APFMIS Act. They include periodic works such as de-silting feeder, canals, jungle clearance, maintenance of sluice, shutters, etc. The WUA has to take up regular maintenance activities during every season. However, during the project period these works will be limited and these can be given high priority in the post-implementation stage of the project.

9.2. Planning and implementing O&M activities

The WUA president along with the Managing Committee members will organize a participatory walk through survey of the tank system. Through the survey, all the critical works of the tank should be identified which need immediate repairs. The Works Sub-committee will list out the identified activities. The competent authority and Works Inspector of the SO will assist the WUA in the process of preparation of the detailed list of works to be under taken. The Managing Committee will discuss the list prepare and fix up priority of works to be taken up immediately. The competent authority will prepare estimates as per the prevailing schedule of rates for the works so prioritized. The for mat for preparation of the O& M Plan will be given to the WUA by the DPU.

9.3. Key O& M activities

The key O& M activities are as follows:

- a) desilting (feeder channels, irrigation channels and tank bed if required)
- b) jungle clearance in the tank system
- c) embankment repairs
- d) revetment
- e) repairs to shutters
- f) repairs to masonry and lining
- g) cleaning and oiling of screw gears and gate groves
- h) emergent breach closing works
- i) reconstruction/ repairs of sluices
- j) reconstruction / repairs to drops and regulators
- k) repairs to waste weir and surplus system

9.4. Raise funds for O&M

The main sources of funds for the O7M activities are:

Water charge collection ploughed back to the WUA

O&M fund created out of the 5 % beneficiary contribution collected as cash

Funds received as WUA share of the fishery auction amount of the tank

Funds raised out of the foreshore plantation

Income raised from lending out community farming equipments provided to the WUA

Apart from these sources the WUAs can also use the following options for raising O&M funds:

- a) Membership Fees
- b) Members` contribution towards meeting tank O&M works
- c) Sale proceeds of silt removed from tank beds
- d) Donations

9.5. Collecting water charges

The WUA has to conduct *joint ajomoish* with the Irrigation Department and Revenue Department staff to assess the water chargers for its members. It will also assist in raising demands and collection of the water charges from its members.

9.6. Monitoring water supply and distribution by season

The Managing Committee has to prepare the water distribution plan after receiving the water in the tank. This will done in a General Body meeting of the WUA in which all the member farmers are present. The WUA will ensure that the competent authority and other revenue personal attend the planning meeting. Wherever traditional practices such as Thaibandi, Domoshi systems, etc. still exist, they can be continued. If the tank is full, the WUA can plan for the total ayacut (command area), otherwise based on the water available, the ayacut irrigation can be planned. WUA will then distribute the water according to the plan.

9.7. Water budgeting

The water budgeting is the process of keeping an account of irrigation waters available in the tank and its utilization through regulation. The main objectives of the water budget are to:

- a) Provide irrigation to the entire command
- b) Ensuring equity and dependability in water supplies to all the farmers in all the reaches in the command
- c) Optimize production per unit quantity of water

For efficient regulation and distribution of water the WUA should have an idea of the measurements through the water releasing points. The project will install such measuring devices in all the tanks and the concerned competent authority and the SO staff will impart training to the para-worker water management in taking the measurements. Simultaneously the SO will also impart training on crop water requirements to the WUA members to facilitate preparation of cropping plan for the tank.

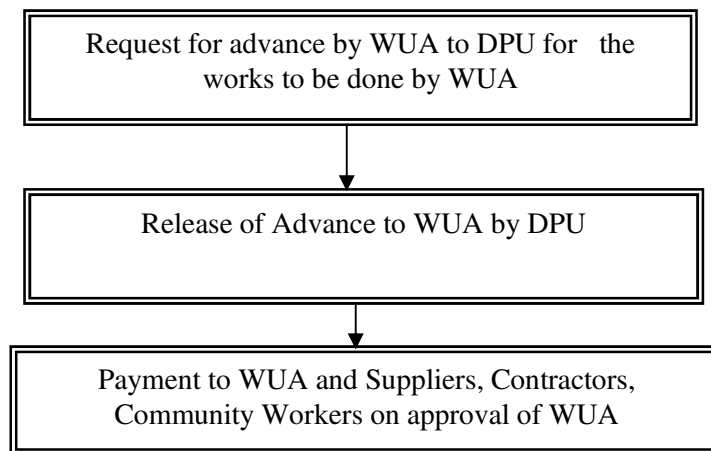
10. FINANCIAL MANAGEMENT

10.1. Sources of funds and fund flow arrangements

Annual plan and the TIMP are basis for the budgetary grant of DPU and PMU. Accordingly the funds will be provided to the WUAs through DLIC and DPU.

Subject to the financial limits set by the government, a WUA could implement some of the works such as of repairs to feeder channels, jungle clearance, revetments and distribution channels, if they so desire and have the requisite capacity. For such works, an advance up to 40 % of the cost of the work will be provided, if required, in installments to WUA and would be deposited in the works account by the District Project Director for facilitating WUA to start work.

The fund follow chart is as follows:



The District Level Implementation Committees is the authority to make assessment and release of funds to the WUA. Funds will be released to WUA in number of installments based on performance.

The WUA is required to submit the Progress reports periodically to assess the milestones of achievements.

10.2. Opening & operating Bank Accounts

- a) Opening of **regular O& M account** (where ever account does not exist). In this account the beneficiary contribution (the cash component) and the water charges collected from the WUA members will be deposited. This account will be operated jointly by the President and the Vice-President of the WUA.
- b) Opening of **works account**. In this account the project funds for the works and the livelihoods funds will be deposited. This account will be jointly operated by the President of the WUA and the competent authority of the WUA.

10.3. Book keeping procedures, maintenance of Account registers and Financial sanctions

The bookkeeping implies keeping track of events, accounts/transactions, etc. by writing them down in separate books and timely updating the same. This helps in the following ways:

- a) If records are not maintained; decisions, events, transactions, etc. can be easily forgotten leading to confusion and conflict. In WUA, when decisions are recorded immediately in the meeting, they are recognized and respected by all the members. Book keeping helps in planning the future activities of WUA by reflecting on past experiences
- b) To operationalise these activities, the WUA requires the services of book writer /account to maintain proper books and accounts

- c) In this background it is proposed to train the works sub – committee members in book keeping and accounting. The Support organization shall plan the necessary trainings in this regard. The DPU also shall provide the guidance in book keeping and accounting process WUA

Following records and account books should be regularly maintained and updated.

- a) Cash Book (FormVI-A)
- b) Receipt Book (FormVI-B)
- c) Bill Register (FormVI-C)
- d) Contingent Register
- e) Anamath Register (Day Book)
- f) Cheque Register (FormVI-D)
- g) An up-to-date copy of the Act / Rules / Directions and orders of Commissioner / Government
- h) Maps showing:
 - The boundaries of the tank system and jurisdiction of the WUA
 - Water conveyance system within the boundaries of the WUA jurisdiction
 - The localized / notified ayacut
 - The areas under irrigation not falling within notified ayacut
- i) Registers:
 - i. Property Register and Records
 - Inventory Register
 - Register of vacant lands and building
 - Register of income on Miscellaneous property
 - Register of Machinery
 - ii. Membership Register
 - iii. Canal gauge Register
 - iv. Sanctions Register
 - Register of Administrative and Technical sanctions and payments
 - v. Special fee and tax collection Register
 - vi. Minutes Register
 - General Body
 - Managing Committee
 - Sub committees

The DPU will make available to the WUA the prescribed formats for these records.

10.4. Auditing arrangements

At the end of each financial year, and not later than three months after the commencement of the new financial year, accounts of WUA will be audited through a chartered accountant. The auditor shall take all steps necessary to scrutinise the accounts of receipts and expenditure, with thirty days of his appointment and furnish the audit report along with statement of accounts and balance sheet to the President of the concerned WUAs and DPUs, duly attesting the same. Audited report shall be submitted to the general body in its meeting for its approval.

The Accountant General would conduct the audit of WUAs account as in case of other government expenditures.

Annexures

Annexure 1

Information Displayed on Charts

Chart No – 1 Tank Details

1. Name of the Tank:
2. Year of Construction:
3. Catchment Area Ha / Ac:
 - (a) (Independent: _____ Intercepted: _____)
 - (b) No. of Feeder channels:
4. Tank bed (Ac) _____ :
5. Dimensions of Tank Bund (M): Length: Width: Height:

(Side slopes: _____ Upstream: _____ Down Stream)
6. Bund Top Level: _____ Sluice sill level: _____

Level at MFL: _____ Level at FTL level: _____

Siltated or not :
7. No. of Sluices (No.):
8. Waste weir Details: length: _____ crest height: _____ Type: _____
9. Original Storage Capacity (TMcft): _____ Present Storage (TMcft): _____

Original Dead storage (TMcft): _____ Present Dead storage (TMcft): _____
10. No. of canals (No.):
11. Total Ayacut (Acres):

12.

Canal	Length(m)	Irrigated Area 100% (Ac) Tank	Supplementat ion	Total
1				
2				
3				
4				

13. No. of Ayacutdars:

a) Marginal:	b) Small:	c) Big:
<u>No. Acre</u>	<u>No. Acre</u>	<u>No. Acre</u>

Chart II.
Details of WUA

1. Location of the office _____

2.

Name of the TC member	Area under TC (Acres)
1	
2	
3	
4	
5	
6	

2. Sub-committees

Name of Sub-committee	Name of Leader
Works	
Monitoring & Evaluation and training	
Financial	
Water management	

Chart No III - Details of Irrigated area (Tank)

1. Area irrigated under

2. Water Availability and Crops cultivated.

Crops	2001	2002	2003	2004	2005	2006
Rainfall						
No. of fillings						
Area of Crops grown (Acres)						
Kharif						
1						
2						
3						
Rabi						
1						
2						
3						

Chart No IV – Capacity Building

Module No.	Subject	Stakeholders	Date	Number Participated	Agency
1	WUA roles & responsibilities	Executive committee members			
2	Better practice of agriculture and livestock	Para professionals			
4	SRI	Farmers			

1. Books maintained

- a)
- b)
- c)
- d)
- others

2. Frequency of the Meetings

- General Body:
- Executive Body:

3. Tailend issues;

- a. Tail end area (Acres)
- b. Percentage of tail end area irrigated (year wise for last 5 years)

Chart No V – O & M arrangements

1. Tax Collection:

Year	Area Irrigated	Demand	Collected	O & M Exp.,

2. Water distribution schedule (Procedure adopted) :

3. Income from Fisheries: Yes / No

 If yes Amount collected: Rs. _____

 Who is involved?

 Any other income:

Annexure 2

Memorandum of Understanding between WUA and District Project Director

Memorandum of Understanding (MOU) between Water Users Association (WUA) and the District Project Director (DPD) on Willingness and to establish the Roles and Responsibilities of both the parties to Implement the Andhra Pradesh Community Based Tank Management Project

This MOU is signed between _____ WUA of _____ minor irrigation project situated in _____ (village) _____ (Mandal) _____ (District) (further referred to as the WUA in the MoU) and the _____ District Project Director of Andhra Pradesh Community Based Tank Management Project (further referred to as the DPD in the MoU) on this --- _____ (Day) of _____ (Month) _____ (Year).

Both the parties have desired to put in writing the contents of the MoU as follows:

1. Objectives of MOU

With the intention to provide meaningful role to WUA in the management of minor irrigation tanks, the Government of Andhra Pradesh has enacted the Andhra Pradesh Farmers Management of Irrigation System Act, 1997. As per the APFMIS Act, for the purpose of management of the minor irrigation tanks, the demarcated command area under the tank is transferred to the concerned WUA till the stipulated period (the map showing the command area is appended with the MoU). The task of management of the minor irrigation tank includes the operation and maintenance of the tank system, equitable distribution of water to all command area farmers, resolving any disputes that may arise thereof and collection of the water charges from the command area farmers and plough it back for the purpose of O&M. However, the ownership of the structures constructed for water management, the feeder channels and the lands acquired continues to rest with the Irrigation Department.

The objective of transferring the responsibility of management of minor irrigation tanks to the WUA is to ensure maximum water use efficiency and increase in productivity. Towards this, I&CAD Department is implementing the Andhra Pradesh Community Based Tank Management Project under which the tanks are proposed to be restored to their design standard by facilitating the participation of the WUAs in the process of their restoration and there management thereafter.

Therefore the objective of executing this MoU is to arrive at an agreement between the WUA and the I&CAD Department in understanding and establishing the roles and responsibilities of the respective parties in undertaking improvement of the tank system under the Andhra Pradesh Community Based Tank Management Project and for future management.

2. Roles and Responsibilities of WUA:

WUA agrees to

1. mobilize community contribution for the project from among the tank users at the rate of 10 percent of the total civil works (5 percent in cash and 5 percent in kind). The 5 % contribution in cash will be deposited in the WUA O&M Account for future O&M activities
2. prepare a Tank Improvement and Management Plan to carry out restoration and revival of the tank system
3. supervise and actively participate the TIMP implementation

4. assist the Revenue Department in making assessment of demand for water charges and collection of water charges from its members as per the rates notified by GoAP from time to time
5. undertake management and O&M works of the tank system from the water charges collected as per the provisions of the APFMIS Act (1997) covering the following activities:
 - i. desilting (feeder channels, irrigation channels and tank bed if required)
 - ii. jungle clearance in the tank system
 - iii. embankment repairs
 - iv. revetment
 - v. repairs to shutters
 - vi. repairs to masonry and lining
 - vii. cleaning and oiling of screw gears and gate grooves
 - viii. emergent breach closing works
 - ix. reconstruction/ repairs of sluices
 - x. reconstruction / repairs to drops and regulators
 - xi. repairs to waste weir and surplus system
6. distribute water among all the tank users equitably
7. create an awareness on economic use of water and promote efficient water use technologies & practices among the tank users
8. collectively prepare water use and agricultural plans for each irrigation season
9. arbitrate and resolve any disputes over distribution of water among the tank users
10. prevent future encroachment and protect tank system
11. maintain execution of works and supervise the quality
12. open and operate two bank accounts in any Nationalized Bank
 - i. O&M Account: for depositing water charges collected, O&M funds, 5 % contribution towards share of the WUA in rehabilitation of the tank. This account will be operated jointly by WUA President and Vice President, on behalf of the WUA Managing Committee
 - ii. Works Account: for the purpose of rehabilitation works taken up by the WUA under the project. This account is to be operated jointly by WUA President (on behalf of the WUA Managing Committee) and the project technical staff (DPU staff co-opted into the works sub-committee)
13. maintain regular ledgers and accounts of the WUA as required under the project
14. perform any other functions to accomplish the objectives of the project as and when required under the project

3. Role and responsibilities of District Project Director (DPD):

It is agreed that DPD is willing to:

1. provide finances, resources, technical support, supervision and training to WUA to carry out restoration and revival of the tank system
2. provide finances, technical support, supervision and training to WUA to carry out all WUA functions and activities listed above
3. ensure quality of civil works carried out under the project
4. provide continued technical support, supervision and training to the WUA subsequent to the handing over of the tank system to the WUA
5. provide resources to carry out repairs of the tank system for damages caused by natural calamities, subsequent to restoration

4. General Conditions of the MoU

This MOU is executed voluntarily between the WUA and the DPD without any undue influence and duress on either of the parties.

In implementation of the MoU, the working systems and procedures will be as per the provisions under the Andhra Pradesh Farmers Management of Irrigation System Act (1997) and the rules and orders issued by the Irrigation and CAD Department, GoAP related to the Act and the Project Implementation Plan of the Andhra Pradesh Community Based Tank Management Project.

Any dispute between the WUA and the DPD shall in principle be resolved through mutual negotiation and consensus. In case the two parties fail to resolve the dispute, it shall be referred to the District Collector and his decision shall be final and binding on both the parties.

This MoU can be terminated by either of the parties with sufficient prior notice of three months of intend in writing by stating the causes related to breach of conditions of the MoU. The other party shall be provided sufficient time to present their case before the termination procedure is initiated.

5. Duration of the MoU

This MOU will be in force for a period of _____ years from ____/____/_____ (dd / mm / yyyy) to ____/____/_____ (dd / mm / yyyy).

In acceptance to the above contents of this MoU, the WUA through its representative and the DPD give their consent to enter into the MOU. In the presence of two witnesses, both parties hereby put their hands and seals / rubber stamp on the MoU in two copies, one each to be retained by either of the party, on this day of MoU as mentioned above.

On behalf of WUA

District Project Director

President WUA

Executive Engineer

Witness 1

Witness 2

Signed this day, the ____/____/_____ (dd / mm / yyyy).

Annexure 3

Analysis of Environment for Participatory Planning

I. Organizational & Financial Environment

Sl. No.	Item	Yes / No	Remark
1	Is the WUA meeting regularly?		
2	Has the WUA carried out any O&M activity on the tank system?		
3	Has the WUA carried out any water budgeting and crop planning in the past?		
4	Has the WUA adopted any efficient water use technologies & practices?		
5	Has the sub-committees of the WUA constituted?		
6	If constituted, are the sub-committees carrying out their roles?		
7	Has the WUA collected water taxes regularly in the past?		
8	Is the WUA maintaining its records & books regularly?		
9	Does the WUA have any past experience of procurement of material and services?		
10	Does the WUA have any existing O&M funds available?		
11	Are there any other sources from which the WUA is receiving funds?		
12	Are there any funds available at the district level which can be availed by the WUA?		

II. Planning Environment

Sl. No.	Item	Yes / No	Remark
1	Has the WUA ever carried out local level planning in the past?		
2	Has there been any attempt to train and / or provide technical backstopping to WUA for local planning in the past?		

3	Is the WUA aware of its responsibility & power to carry out local level planning for the O&M of its tank system?		
4	Does the WUA have any data base available for carrying out local level planning?		
5	Does a WUA level monitoring and evaluation cell exist?		
6	Does there exist any possibility of convergence of the WUA level plans with other sector plans in the GP?		
7	Is integrated multi-sectoral planning at the WUA level possible / being done?		

III. People's Participation

Sl. No.	Item	Yes / No	Remark
1	Has any action been taken to promote people's participation in WUA?		
2	Have people been consulted during planning of WUA activities in the past?		
3	Have people participate in terms of labour / finance in past WUA plan activities?		
4	Have people made any contribution in cash / kind in past WUA activities?		
5	Have people participate in O&M activities implemented by WUA in the past?		
6	Are the people willing to pay water charge to the WUA?		
7	Are the people willing to carry out O&M activities on the tank system under WUA co-ordination in the future?		
8	Are the people willing to carry out water audits and crop planning under the co-ordination of the WUA?		
9	Are the people willing to adopt efficient water use practices and technologies under the co-ordination of the WUA?		
10	Are the people willing to make contribution in cash & kind towards the project?		

Annexure 4

Agreement on TIMP Implementation between WUA and DPD

In continuation to the MoU signed between the _____ WUA and the DPD, District _____ dated _____ the WUA has prepared the enclosed TIMP, which has been adopted by the General Body of the WUA vide. Resolution No. _____ passed in the General Body meeting held on _____ (date). Under the TIMP, the WUA proposes to take up the following activities towards revival and restoration of the tank system. The total cost estimate for the TIMP is Rs. _____ (Rs. _____ and the community contribution Rs. _____ (Rs. _____) as per the details below.

Sl. No.	Name of Activities	Estimated Cost (Rs)	Estimated Community Contribution (Rs)	
			5 % Cash	5 % Kind
1.				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
	TOTAL			

The details of the activity design and cost estimates, the implementation schedule and the procurement plan are provided in the attached TIMP.

The WUA agrees to utilize the funds sanctioned for implementation of the TIMP as per the approved designs and estimates and according to the implementation and procurement norms of the project.

In turn, The DPD agrees to provide to the WUA the required funds, resources, technical support, supervision and training to implement the TIMP.

In acceptance to the above contents of this Agreement, the WUA through its representative and the DPD give their consent to enter into the Agreement. In the presence of two witnesses, both parties hereby put

their hands and seals / rubber stamp on the Agreement in two copies, one each to be retained by either of the party, on this day of Agreement as mentioned above.

On behalf of WUA

District Project Director

President WUA

Executive Engineer

Witness 1

Witness 2

Signed this day, the ____/____/____ (dd / mm / yyyy).

Annexure 5

Social Audit Format displayed at village

S.No.	Structure	Problems		Reasons	Activity taken	Value of work	Imp Agency	Progress
1	Catchment	1	Highly encroached and disturbed					
		2	Disturbed					
		3	Encroached					
		4	No problem					
2	Feeder channel	1	Highly blocked & disturbed					
		2	Not much blocked					
		3	Good condition					
3	Tank bed	1	Heavily silted					
		2	Moderately silted					
		3	Unilted					
		4	Heavy tree growth					
		5	Heavily weeded					
		6	Moderately weeded					
		7	No weeds					
4	Tank Bund	1	Breached					
		2	Badly dilapidated					
		3	Moderately dilapidated					
		4	Fairly good					
		5	Good					
		6	No problem					
5	Sluice(s)	1	Not working and need(s) replacement					
		2	Dilapidated and need(s)major repair					
		3	Good / minor repairs					
		4	No problem					
6	Waste weir	1	None existent					
		2	Needs replacement					
		3	Major repair					
		4	Good/minor repair					
		5	No problem					
7	Canal system	1	Non-existent					
		2	Main canal not adequate					
		3	MC needs repairs					
		4	MC needs extension					
		5	Canal is intact/good condition					

Annexure 6

Agri-business and Marketing Fund

Rationale

The project, through a participatory process of planning and implementation, aims at optimizing the outputs from WUA as an institution. The project comprising agro-based interventions focuses on production enhancement as well as maximization of returns through optimum on-farm practices through business partnerships. The outreach of the benefits that would accrue from these interventions may embrace the entire system of water users, which is beyond the farmers in the command. Collective action, for example, for produce sale as well as establishment of small agro based processing units, will provide the binding string apart from water management, and an opportunity of continuous dialogue even beyond the tank rehabilitation work.

Resources mobilization and its management at WUA level is another important area, where the project will focus the efforts. The project plans to introduce a agri-business and marketing fund placed with WUA, which will act as capital for implementation of defined set of activities. The support will be through credit from the fund on prescribed or agreed upon conditions and ground rules. The project aims at introducing the agri business and marketing fund gradually in a phased manner. It is proposed to cover about 35% of total WUAs during the project period. Detailed below are the overall operational modalities of the fund.

The Purpose

The Agribusiness and marketing fund will be utilized for the following purposes:

- a) Promoting access to non traditional markets by collective marketing groups
- b) Post harvest processing and other value addition activities
- c) Agri-business ventures

Better price realization for farm produce at the farmer's level can be, to certain extent, achieved through entering non traditional markets instead of distress sale at farm gate. The main obstacles faced by the farmers for entering into markets are i) not having sufficient volume of produce for sale ii) high transportation and other costs at the level of individual farmer iii) existing commitments for loan repayments to input providers, which force farmers into distress sales to meet the payment obligations . The collective marketing approach envisages providing financial support to complement the market development activities, technical support already proposed in the project. This will be done through formation of collective marketing groups with a purpose to i) pool together sufficient volume of produce for sale at non traditional markets ii) to provide collective transport facilities iii) enable farmers to get higher prices. The project plans to make fund available on credit basis. These requirements will be on short term basis

Marketing of fisheries at non traditional market instead of village is more profitable. This helps the community to rise up in value chain. A problem specific to fish marketing is the existing arrangement where input suppliers provide fry/fingerlings, feed etc., in return for the fish catch rather than specific price. The project will investigate whether these external input providers can be made provide inputs in return for monetary payments rather than fish catch. Otherwise as part of development of alternate marketing possibilities, in this case, support may have to be provided to impoverished FCS to procure necessary fingerlings and other inputs. It is emphasised that this "inputs/production" support is on exceptional basis for the fisheries marketing only. And as mentioned above, this support will be provided only if no other viable alternative for input procurement can be arranged. Project therefore plans to make

fund available on credit basis to FCS as CIG (no sub groups) in suitable cases for procuring fingerlings, feed supplements and transportation from agribusiness and marketing fund on credit basis.

Post harvest processing and other value addition activities having the potential to improve the farm income enormously. The project plans to support village level processing and value addition units owned and operated by groups like mini dal mills, grading centres, packing units, seed processing units etc. and agri business units depending upon need and opportunity identified. This is an indicative list and actual activities funded will depend upon field level specific situations.

The Users

The potential users are CIGs which are groups with common interest such as collective marketing, collectively owned agribusiness ventures like post harvest processing units or any other small agribusiness ventures. fish marketing etc. This includes farmers in the command, groundwater farmers in the influence zone, livestock rearers and Fishermen Cooperative Society (FCS).

At least 20% of fund will be reserved for women and tribal CIGs (at least 10 % for women and 10 % for tribals). The modalities (for these groups) will be worked out during implementation for addressing the specific needs identified.

Process

The release and utilization of fund will be taken place in a phased manner. It includes following 3 phases.

- a) Phase 1: Enabling environment
- b) Phase 2: Implementation
- c) Phase 3: Sustainability

Phase 1: Enabling environment Phase – 8-9months

This phase includes

- a) Conducting scoping studies for identification of the new business opportunities,
- b) Information sharing and motivation of WUAs
- c) Identification of the WUAs,
- d) Formation and capacity building of CIGs
- e) Partnership building involving production groups, industry and financial institutions

The process of conducting scoping studies, information sharing, WUA mobilization, Identification of WUAs will be completed within 6 months period of project initiation, the identified Agribusiness interventions would be incorporated in the concerned TIMP

Scoping Studies: The project plans to conduct scoping studies at state and district level, these studies will be conducted by individual agri business experts/firms contracted by project. This will provide insight into new business opportunities, suitable commodities and suitable tanks for business development. This will be based on existing and emerging trends in the market, social, agro-ecological and technical feasibility. PMU and DPU will coordinate the same.

Information sharing: The information generated by studies will be shared with the concerned WUAs and other stakeholders to build awareness and orient them to the existing and emerging market opportunities. SO and DPU will play prominent role in this process.

Mobilization and creating interest among WUAs: The WUAs will be motivated and mobilized on the existing and emerging opportunities and capture the same for the economic benefit and become part of the value chain. SO and Commodity specialist will get actively involved

Identification of WUAs: After receiving interest from bulk of WUAs of the tanks suggested in the studies, the project screen the suitable WUAs depend on the set of eligibility criteria which includes social and financial assessment.

Eligibility criteria

- d) The representing tank should be identified in the scoping studies for particular commodity
- e) The WUA should get minimum “ B+” overall rating (Institutional and financial management) assessed for business development by DPU
- f) WUA should get minimum “B+” rating in financial management, assessed for business development by DPU
- g) The WUA should be willing to agree to the operational modalities of fund.
- h) WUA should have operating Cash Credit account with bank.

Signing of MOU between WUA and Project: The selected WUA has to enter into MOU before the release of fund with DPU regarding management of the fund, agreed conditions and agreed activities.

Formation of CIGs: The process of formation of CIGs will start after TIMP approval, this will be completed with in 2-3 months period of TIMP approval The interested people will be formed in to commodity interest groups based on the commodity, business venture or any other agri business purpose. The SO will facilitate organising the CIGs identified by the commodity specialist/DPU.

Technical training of CIGs: The CIGs will be trained in the technical aspects like business plan preparation, business activity, basic marketing aspects or any other technical required according to need and business venture. The commodity specialist and DPU is responsible to impart these trainings and capacity building activity.

Eligibility criteria for CIG for collective marketing

- a) They should have CCL from a bank
- b) The CIG should be registered as Rytu Mitra Group (RMG)/FCS
- c) It should have group bank account
- d) CIGs should raise their own corpus and contribute an agreed share to the projected credit need, which will be at least of 10% of the amount.

Eligibility criteria for CIG for agribusiness ventures

- a) The CIG should prepare an acceptable, bankable business plan with partnership to raise capital
- e) CIG should have group bank account
- f) CIG should have a CCL with a bank.
- g) CIGs should raise their own corpus and contribute an agreed share to the projected credit need, which will be at least of 10% of the amount.

Partnership development :All the potential partners in a value chain, agri business venture and potential lenders like banks and financial institutions will brought in to common platform to share their views and build partnerships in the future by way of conducting workshops, seminars and buyer-seller meets. The potential partnership will be encouraged between production groups (CIGs), Industry and financial institutions either in the form of tripartite or mutual agreements

Phase 2: Implementation Phase

Preparation of Business plans: The CIGs have to prepare the business plans including details of:

- a) production estimates
- b) marketing strategies
- c) cash flows and fund flows
- d) loan requirement, sources of loan, period of loan, repayment schedule
- e) Benefit Cost Ratio and Internal Rate of Return.

The commodity specialist and DPU extend help in the preparation of the business plan. The business plan developed should be submitted to the concerned WUA which in turn will be forwarded to the DPU for appraisal and approval.

Business plan appraisal: The DPU will appraise the proposals, if needed with the help of relevant technical staff under the supervision of DLIC. The business plan should meet the required financial ratios, i.e., an IRR of minimum 12% and BCR of minimum 1.15:1, in addition to the social, agro-ecological and technical requirements.

Fund Management: The WUA will be responsible for the timely collection of loan repayment amounts. This will be monitored by both SO and DPU. Non-payment / exceeding delayed payments will adversely affect, the rating on financial management performance of WUA, This is expected to lead to suspension of further support from agribusiness and marketing fund to the WUAs.

Fund Flow arrangement: The fund will be placed with WUA account, closely monitored by concerned support organization. The account will be operated jointly by WUA and competent authority from department as per the act.

Monitoring and reporting mechanism: The agribusiness and marketing fund will be closely monitored by the SO and DPU from loan application to recovery of fund. Identification of suitable WUAs, CIGs and release of fund to WUAs and CIGs will be under the direct supervision of DPU. Proper utilization of the fund for the defined purpose will be monitored regularly by SO and district project M&L unit as well as the Finance officer. WUA accounts will be audited on an annual basis by an external auditor. The project ensures regular audit of WUA accounts and report will be submitted to DPU. The regular reviewing and monitoring mechanism update the same with PMU.

Phase 3: Sustainability

Nature and growth of the fund: The fund will be a grant fund to WUA and credit fund to CIGs, which can be accessed by the users during and after the project period. During the project period, loan requirements will be based on the project interventions. The WUA will accept the business proposals as per the need and priority as per agreed procedure beyond the project period.

In the post project stage, existing eligibility criteria and main fund operational modalities, developed during project implementation would continue to apply and line department staff would continue to support and monitor the WUAs. The CIGs/WUAs utilizes the services of the technical resource persons identified by line department on cost basis for business plan preparation. The business proposals will be approved by WUA in consultation with competent authority from department. It is expected that, the Banks partly lend agri business ventures, evaluate and appraise the business plans before releasing its part. The WUA will in turn to have lead responsibility for collection of loan repayments. This fund will not be used for any other purpose than defined. This will be ensured by preparing the guidelines for the annual audit of the fund which the WUA will carryout and submit to I&CAD.

These operating guidelines for the fund would further be refined during project implementation if required.