



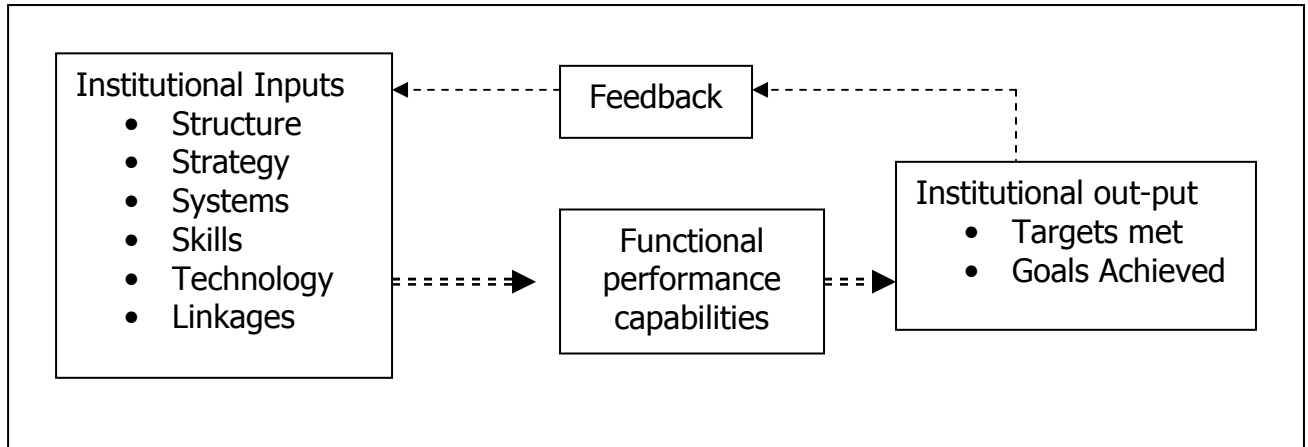
8.0 INSTITUTIONAL DEVELOPMENT AND CAPACITY BUILDING

8.1 The Perspective

8.1.1 Institutional development (ID) is interpreted differently by different people, depending upon the context and purpose. For some, it is training of institutional staff for enhancement of skills, to others it is dealing with non-technical issues and human capacity. The World Bank, however, defines it as the “process of creating or strengthening the capacity of institutions to make more effective use of available human, financial and other resources”. An institution essentially consists of a group of individuals who work together to achieve identified goals and targets. In order to help or facilitate them to achieve the expected goals and targets, it is necessary to create, develop, and maintain specific institutional performance capabilities in different functional areas. This is made possible with the help of various institutional inputs, like organizational structure, technology, systems and procedures, operational strategies and other related factors. In the context of KCBTMP, the purpose of institutional development is strengthening the Tank Management Institution’s (TMI’s) self-sustaining capabilities to help fulfill the objectives and purposes for which it has been established. The focus is on the capacity building of the individuals or groups of stakeholders in TMI through educational trainings, reorientating management skills to take up O & M functions after handing over the tank system to the community. The organizational and functional frame for ID is as follows:



Chart I – Organizational and Functional Framework for ID



8.1.2 In the context of KCBTMP, the structure is the TMI/TUG. The strategy is participatory and the systems are multi-level – state, district, cluster and the village – with functional linkages. The institutional performance tracking is done through self assessment carried out by the functionaries of the respective institutions, facilitated by the M & E team. Self assessment formats were prepared and the piloting was done to capacitate the respective functionaries to carry out the task. In the context of the present study, the systems at the village level are taken into account for addressing the issues related to institutional development and capacity building. The systems at the village level are established by the community facilitated and guided by the Cluster Facilitation Team (CFT). TMI/TUG is formed at the village level in a General Body Meeting. Management Committee is elected called as Tank Users’ Committee (TUC), consisting of president, Vice-president, Treasurer and other members. The number of members in TUC depends upon the total population of the village and the membership taken. Further, a provision is made to form five sub-committees to help implementing activities related to tank systems improvement expeditiously and also to ensure qualitatively better works are put in place. The development of necessary skills for capacity building is done by a logically sequenced modules of trainings to cater to the needs of different functionaries in



the TUG/TUC. Linkages with different line departments to augment or supplement resources necessary for tank management, acquire technology and managerial skills related to agriculture, horticulture, fisheries and other associated aspects, should be established to ensure the sustainability of the TMI.

8.1.3 Given the backdrop mentioned above, the issues and problems related to institutional development and capacity building have been addressed in the present study. Some of the key indicators examined for impact evaluation are:

- Enabling environment created;
- Regularity in holding meetings, renewal of society registration and membership;
- Participatory management systems in place;
- Resource mobilization for sustainability;
- Linkages with line departments established;
- Improvement in knowledge and management skills;
- Participation in the trainings and other programmes; and
- Creation of para professionals at the village level

Data have been collected through a structured format by interviewing the TUC functionaries and also from the records of TMI/CFT, depending upon the information needs. The beneficiaries covered under various training programmes were also interviewed to know their perceptions about the utility of trainings and how they have helped to improve their knowledge and skills related to tank management. The results of survey data analyses are presented in the following pages.

8.2 Institutional development:

Enabling Environment Created

The primary requisite to promote an institution is to motivate or encourage people to take membership by explaining the potential benefits from the project



to different social groups or stakeholders in the village. The KCBTMP provides for taking membership for two persons – one male and one female – per household. All the households in the village, irrespective of land ownership in the tank command area, are eligible to take membership. Minimum 60 percent of the households should take membership to register the TMI. The remaining households may have to be persuaded to become members subsequently. Keeping this as backdrop, the status of membership enrolment, in the TMIs and other related aspects have been analyzed and presented in what follows.

8.2.1 It could be seen from the data presented in Table 8.1, the average number of households per sample village is 169. As per the project design, all the households are entitled to take membership in the TMI/TUG. But the survey data reveals that only 70.4 percent of the households have taken membership. It shows that the mandatory requirement of 60 percent of the total households should take membership to register the society has been met. Even so, there is a need to motivate the remaining 30 percent households to take membership in future, so that the objective of the project is fulfilled. After registration of the TMI, enough efforts seems to have not been made to enroll the remaining households. At the rate of 2 persons per household, the average number of members per TUG/TMI is 238, since 119 households per sample village had taken membership.



Table 8.1 – Zone-wise – Distributions of Sample villages by Enrolment of Membership, fee collected and maintenance of Registers

Zone	No. of villages	Av. No. of HHs Per Village	Av. No. of HHs taken membership in TUG	Av. No of members enrolled (persons)	Av Membership fee collected (Rs.)	Maintained membership registers with upto date entries
CDZ	37	172	170 (98.8)	329	3750 (11.4)	35 (94.6)
EDZ	89	129	82 (63.6)	174	3419 (19.6)	63 (70.8)
NDZ	20	259	172 (66.4)	344	5250 (15.3)	18 (90.0)
NEDZ	11	256	116 (45.5)	237	2035 (8.6)	9 (81.8)
NETZ	4	438	182 (41.5)	163	2234 (13.7)	4 (100.0)
NTZ	21	152	130 (85.5)	262	3608 (13.7)	19 (90.5)
Total	182	169	119 (70.4)	238	2753 (11.6)	148 (81.3)

Note: Figure in parantheses are percentages

Figures in parantheses under the column 'Av. Membership fee collected' are Rs. Per member.

8.2.2 Membership fee to be collected as per the project design is Rs.11 per head. But in reality, variations are found across the villages. Depending upon the local dynamics, different rates of membership have been collected, ranging from Rs.11 to Rs.50 in different villages. But the average comes to Rs.11.6. per person. Zone-wise analysis, however, brings out the differential rates of membership fee. Maintenance of the membership register and membership fee register is essential to ensure accountability and transparency. But the data reveals that not all the TMIs have maintained upto date records. About 81 percent of the sample TMI's have maintained correct records, with all the details. The remaining ones have not maintained the registers properly. Inadequate training and the consequent lack of proper skills seems to have contributed to improper or lack of maintenance of the registers.



Across the zones, the average number of households varies from 129 in EDZ to 438 in NETZ. The average number of households in CDZ is 172, followed by 259 in EDZ, 256 in NEDZ and 152 in NTZ. The sample villages from NETZ are relatively bigger with 438 households per village.

The performance of CDZ in mobilizing membership is the best among the six zones, where 98.8 percent of the households have become members. On the other hand, NEDZ and NETZ lag behind with only 41.5 percent and 45.5 percent, respectively. It is not clear as to how the registration of TMI has been managed with less than mandatory requirement of 60 percent households to become members. If we look at the status of maintenance of register, it is relatively low in NEDZ when compared to others. It could be one of the reasons for lesser percentage. In the case of EDZ and NDZ, the mandatory requirement of 60 percent is met, while it is more than mandatory requirement in NTZ with 85 percent enrolment. During the discussions at the time of survey, it was understood that the TMI's, after meeting the mandatory requirement, are not taking further initiative to mobilize membership. The project management need to impress upon the TMI's about the need for persuading all the households in the village to become members of the TUG.

The membership fee is more or less same across the zones. It is slightly more than the project norms of Rs. 11 per head in CDZ and much less than the norms in NEDZ, where it works out only Rs. 8.6 per head. Among the zones, EDZ has collected relatively higher rate of membership fee (Rs. 19.6 per head), followed by Rs. 15.3 in NDZ, Rs. 13.7 in NETZ and Rs. 13.8 in NTZ.

The maintenance of registers is relatively poor in EDZ where 70.8 percent of the TMIs have maintained records well. In NEDZ it is slightly better with 81.8 percent. All the sample TMIs in NETZ have maintained records upto date. In CDZ, NDZ and NTZ the records maintenance is fairly good. More than 90 percent of the TMIs in these zones have maintained their records well.



8.3 Mobilization of contribution:

8.3.1 In order to create sense of belonging and accountability, the community contribution to share the cost of tanks rehabilitation has been made mandatory. According to the project guidelines, the community has to share 12 percent of the ITDP cost. Out of this, 6 percent contribution through Shramadan in implementing certain works and the remaining 6 percent is cash contribution in two installments of 3 percent each. The 1st installment of 3 percent contribution should be paid before the release of the 1st LOE. This norm was adopted upto the 3rd batch tanks. From 4th batch on wards the norm for 1st installment contribution has been changed. It should be paid before the ITDP is placed for appraisal. The second installment of 3 percent contribution should be paid before the release of 3rd LOE. According to these guidelines the TMIs have collected contribution from the community and deposited accordingly. But the ways and means of collecting the contribution money varied across the villages. Different procedures, methods and means were adopted, though the primary stakeholders, i.e farmers in the tanks command area, are expected to pay the cash contribution. The survey data on these aspects is presented in the Table. 8.2.

8.3.2 The survey data presented above shows that all the 182 sample villages have paid the cash contribution. Since the release of LOE is linked to the depositing of beneficiaries' contribution, they have no option but to pay.

8.3.3 The means adopted may be different, depending upon the circumstances, which will be discussed later. The average amount collected per TMI as 1st 3 percent contribution works out o Rs.28,266/- and that of 2nd 3 percent contribution to Rs.24,580/-. The total 6 percent contribution from the beneficiaries works out to Rs.52,846per TMI. This money has been invariably kept in fixed deposits in the banks.



Table 8.2



It is interesting to note the kind of strategies and means adopted for collection of the beneficiary contribution. Interesting because, if we look at the range of strategies adopted, the dynamism of the community to rise to a given occasion is reflected. That is the reason why, we should tell the community what is to be done, leaving the option of how to do it to them. Depending upon the need, circumstances and limitations they evolve strategies to meet the requirement. As per the guidelines, the primary stakeholders are expected to pay 6 percent contribution, while Shramadan should be contributed by all the community members. The survey data reveals that in 120 out of 182 TMIs (65.9 percent) the contribution money was paid by the primary stakeholders only, as per the project guidelines. The contribution was essentially on pro-rata basis of the land holdings (per acre) of the concerned farmers. However, in some places depending upon the economic status of the farmers, the contribution was paid, irrespective of the size of holding.

8.3.4 Surprisingly, even the catchment area farmers and those whose lands are away from the tank command have come forward to pay the contribution, along with the command area farmers, in 15 of the sample villages (8.2 percent). In some other villages, because of drought and other factors, nobody was able to pay contribution. It happened in 5 of the sample villages (2.7 percent). In that situation, the office bearers (TUC members) had to pay the contribution amount in order to avail the opportunity, which has come to their door step for improving the tanks system. It was told at the time of survey that the concerned stakeholders seem to have promised to pay their share of contribution after the harvesting or through some other means.

8.3.5 When all the primary stakeholders were not in a position to pay the contribution, the TUC members have supplemented, to get the timely releases of LOEs. In 13 of the sample villages (7.1 percent), the primary stakeholders (command area farmers) and some of the TUC functionaries have together paid the contribution on time. What is most interesting is the cohesiveness of the community and their



commitment to share the burden of contribution demonstrated in one of the sample villages. In Rampur village in Koppal district, all the households in the village, irrespective of their land ownership, have come forward to pay the contribution amount. This is an outstanding example for effective community participation. In some places, even the brick manufacturers have shared the contribution. Since they were getting benefits by using the tank silt for brick making, they have come forward to pay the contribution. It happened in one of the sample villages in NDZ. In 4 villages from EDZ, the office bearers, secretary, president and treasurer have paid the contribution on behalf of the community. This seems to have led to some undesirable consequences. For example, the office bearers who have contributed have taken it as a matter of right to do the things the way they want, with out taking the community into confidence.

8.3.6 In 3 of the sample villages, one from EDZ and 2 from NDZ, the agency entrusted with desiltation job, has paid the contribution money. As reported by the community, it happened due to the inability of the community and also the TUC members to pay the contribution money. This, perhaps, is not a healthy trend. Because, the agency might have some other motive behind this to manipulate the quantity of silt removed, to compensate their investment in advance. In such cases the concerned CFT/DPU functionaries should be vigilant and take the necessary precautions not to allow any manipulations in desiltation.

8.3.7 Across the zones, the primary stakeholders' contribution is fairly good in EDZ, NETZ and CDZ with 84.3 percent, 75 percent and 64.9 percent, respectively. The lowest is in NTZ, where only in 14.3 percent of the sample villages the primary stakeholders shared the responsibility of paying the contribution money. In NEDZ and NDZ it is moderate.

8.3.8 The foregoing analyses of survey data brought out the dynamics associated with the collection of contribution from the community members. People have adopted different strategies, depending upon the local conditions and constraints to collect the contribution. It is noteworthy that in tow-thirds of the sample



villages, the primary stakeholders have paid the contribution according to the project guidelines. Different combinations of contributors in the rest of the sample villages reflects the interest of the communities in collective and participatory management of the tank systems.

8.4 Contribution through voluntary Labour:

8.4.1 After detailed analysis and presentation about the status of cash contribution (6 percent) by the beneficiary household, a brief account of the voluntary labour contribution is presented here. As mentioned earlier, the community has to bear 12 percent of the ITDP cost. Since it will be a burden on the community to bear entire cost in cash, a provision is made to pay 50 percent of it (6 percent) through labour, for some of the works like cleaning the weeds in the tank bed, tank bund, Main canals, Feeder channels etc. the number of works executed through labour and person days contributed are presented in Table. 8.3.

Table: 8.3 – Contribution by Voluntary Labour in TMIs

Zone	No. of villages		No. of villages reported	No of works implemented	Av. No of person days
Central Dry Zone	37	33 (89.2)	33	187	453
Eastern Dry Zone	89	60 (67.4)	60	127	133
Northern Dry Zone	20	19 (95.0)	19	223	2241
North Eastern Dry Zone	11	3 (27.3)	3	3	66
North Eastern Transitional Zone	4	-	-	-	-
North Transitional Zone	21	3 (14.3)	3	55	176
Project	182	118 (64.8)	118	595	3069

Note: Figures in parantheses are percentages.



- 8.4.2** As seen from the data presented above, 64.8 percent of the sample TMIs have reported that some of the works have been carried out through voluntary labour. The works carried out and the number of person days contributed are mostly based on recall memory of the TUC functionaries. Because, no where NMR registers are maintained properly and regularly with all details. It was also told, that the community by and large is not favorably disposed to contribute voluntary labour. They seem to have some misconceptions about the very concept of voluntary labour. In some places they argue, when the budgetary provisions are made for all the works in ITDP, why should community work freely, In some other places, they have been motivated to contribute labour for deweeding the tank bed and tank bund and completed those works through voluntary labour only. This is particularly true upto 3rd batch tanks. Since it is mandatory to contribute voluntary labour, it was shown on records that the works were carried out through voluntary labour, though in reality the works were executed through paid labour.
- 8.4.3** One possible way to over come this problem is to identify the specific works to be completed through voluntary labour and insist to complete them before the first LOE is released. By then, the community would not have seen the execution of works through paid labour. The mindset, therefore, would not have been set towards commercial out look. Other wise, voluntary labour by and large remains as a book adjustment.
- 8.4.4** Across the zones, the number of TMIs reporting voluntary labour contribution is the highest in CDZ, with 89.2 percent, followed by 67.4 percent in EDZ. None from NETZ have reported voluntary labour contribution. In the remaining zones it is very marginal. The over all assessment is that the voluntary labour contribution has not been effective enough.



8.5 Transparency in Institution Building

8.5.1 The sustainability of institution building through collective community efforts depends to a great extent on the transparent ways and means of running the organization. Confidence and faith among the members should be developed by making available the basic information on the organizational functioning and activities. Some of the ways of displaying transparency have been identified and examined whether they were followed by the TMIs or not. The survey data has been analyzed and the details are presented in Table 8.4.

Table: 8.4 – Transparency through information display in the TMI office – Zone-wise.

Information Display						
Zone	No. of villages	TMI Name Board	Wall writing of ITDP	Circulars/ Brochures / Guidelines	List of office bearers & members	Circulars on day-to-day progress / activities
CDZ	37	23 (62.2)	35 (94.6)	3 (8.1)	11 (29.7)	2 (5.4)
EDZ	89	48 (53.9)	67 (75.2)	10 (11.2)	13 (14.6)	4 (4.5)
NDZ	20	16 (80.0)	17 (85.0)	4 (20.0)	11 (55.0)	0
NEDZ	11	4 (36.4)	4 (36.4)	0	2 (18.2)	0
NETZ	4	1 (25.0)	1 (25.0)	0	1 (25.0)	0
NTZ	21	20 (95.0)	19 (90.5)	6 (28.6)	16 (76.2)	2 (9.5)
Total	182	112 (61.5)	143 (78.6)	23 (12.6)	54 (29.7)	8 (4.4)

Note: Figures in parantheses are percentages.

8.5.2 As observed from the data presented above, some of the transparency methods followed are: display of TMI office name board, Various items of works included in the ITDP along with the estimated budget, circulars and operational guidelines of the project, list of office bearers of TUC and the sub-committees, and day-to-day progress of the works, activities etc completed, along with the expenditure



incurred and the savings, if any, after completing the respective works. According to the survey data, 61.5 percent of the sample TMIs have displayed the office name boards. But, almost 1/3rd of the TMIs have no office of their OWN. They are run either in a temple or school or in the house of secretary or president. They are unable to find a place in the village exclusively for TMI, and there is no financial provision for creating office, either owned or on rental basis. Display of ITDP particulars has taken place in 78.6 percent of the sample TMIs. But, the information channels like circulars, brochures operational guidelines are hardly displayed. Only 12.6 percent of TMIs have displayed such information.

8.5.3 It is unfortunate even the list of office bearers and members of the subcommittees has not been displayed in majority of the TMIs. Only in about 30 percent of the TMIs, those details are displayed. Most importantly the information on day-to-day progress of the works, the expenditure incurred and the savings generated and their utilization is not displayed at all, except in about 4 percent of TMIs. Display of this information is very crucial to ensure transparency in the institutional activities, which breeds confidence among the stakeholders in the effective functioning of the institution.

8.5.4 Across the zones, NTZ fares better than all other zones in displaying the information to demonstrate the transparency in the institutional set up and transactions. On the other hand, the performance of NETZ and NEDZ is very poor in this respect. It may be due inadequate motivation and training from the concerned CFTs in those regions. The office bearers of the TMIs need to be properly and clearly told about the need for and importance of displaying this information. They should be taken on exposure visits to the village, where these activities were done systematically and make them to interact with their counterparts in those villages to know about the advantages of displaying information. In the absence of it, unnecessary misgivings and misconceptions among the community will develop, which may ultimately jeopardize the sustainability of the institution.



8.6 Mandatory Requirements for Institutional Sustainability

8.6.1 There are other mandatory requirements to keep the institution alive. For example, renewal of society registration every year, conducting Annual General Body Meetings, auditing of accounts etc. Data from the sample TMIs have been collected on all these aspects, the details of which are presented in Table 8.5.

Table: 8.5 – Institutional Effectiveness in following the mandatory requirements to ensure sustainability

Mandatory Requirements				
Zone	No. of villages	Accounts audited (No. of Villages)	AGM held (No. of Villages)	Renewal of registration done? (No. of Villages)
CDZ	37	29 (78.4)	31 (83.8)	36 (97.3)
EDZ	89	63 (70.8)	59 (66.3)	37 (41.6)
NDZ	20	17 (85.0)	18 (90.0)	9 (45.0)
NEDZ	11	7 (63.6)	4 (36.4)	5 (45.5)
NETZ	4	3 (75.0)	3 (75.0)	3 (75.0)
NTZ	21	19 (90.5)	18 (85.7)	16 (76.2)
Total	182	138 (75.8)	133 (73.1)	106 (58.2)

Note: Figures in parantheses are percentages

8.6.2 The survey data presented above shows that the mandatory functions have not been systematically followed in all the TMIs. About 75.8 percent of the TMIs have reported that they are getting the accounts audited regularly. The rest of them have not been doing regularly and systematically. During the group discussions it was observed that the capacity building has not been adequate enough on the ways and means of getting the accounts audited, the periodicity



and other related procedures. This is particularly observed after the withdrawal of CFTs. Similarly Annual General Body Meetings (AGMs) were held in about 73 percent of the sample TMIs every year. Rest of them have not been conducting regularly. The renewal of registration has been done by about 58 percent of the TMIs. It is surprising, as to how the TMIs could remain functional with out renewing the society. There is a need to examine the renewal procedures at present and make necessary changes or amendments to suit the newly emerging local institutions.

8.6.3 Among the zones, the performance of CDZ and NTZ is relatively better in following the mandatory requirements. On the other hand, the performance of NEDZ is relatively poor. More than 50 percent of the sample TMIs have not gone for renewal of registration in NDZ and NEDZ.

8.7 Regularity in conducting Meetings and Awareness about Bye-laws

8.7.1 Institutional development provides for conducting various meetings to discuss the issues and problems at regular intervals. Bye-laws are prepared about the modalities of project operation and management, resources mobilization, procedures for conducting meetings and other operational strategies. The bye-laws thus prepared need to be made accessible to all the members. Otherwise, systematic execution of works will be Jeopardized. That is why, at the time of survey, specific questions were asked to elicit information about the awareness of the community about the bye-laws. The survey results have been analyzed and presented.

8.7.2 The data presented in Table 8.6 shows that the awareness levels about the bye-laws are not very encouraging. Because only in 54 TMIs out of 182 (29.7 percent) the awareness is good. In 73 TMIs it is moderate and in the remaining ones it is very poor. Unless all the members are aware of the bye-laws and their contents thoroughly, the implementation processes may take twists and turns, leading to several avoidable problems, which come in the way of timely and effective implementation.



Table 8.6



8.7.3 Across the zone, the awareness level is very poor in NDZ. Only in 5 percent of the sample TMIs the awareness level was found to be good. On the contrary, in NETZ 3 out of 4 sample TMIs are found to have good awareness. In majority of the sample TMIs in all the zones, the awareness levels are moderate to poor.

8.7.4 The guidelines about the frequency and number of meetings to be conducted are stipulated in the bye-laws. But those guidelines are hardly followed. The TUC meetings are conducted once in a fortnight to 2 months. Generally, the meetings are conducted as and when it is required, not necessarily in a particular frequency. The frequency of TUC meetings is relatively more during the implementation phase, when compared to other phases. In the post-implementation phase, hardly any meetings are conducted. It is particularly so, if the tank has not received water. Gramasabhas are held once in 4 to 6 months or as and when required. Frequency of conducting Gramasabhas was found to be more in the pre-planning and planning phases. AGM is conducted once in a year. But in some TMIs, as pointed earlier, AGM was not conducted every year. The mandatory requirement of conducting AGM every year needs to be made clear to the members, explaining the implications of not conducting. The regularity in conducting the meetings to discuss the issues related to various aspects of project implementation and management is one of the indicators of institutional sustainability.

8.8 The Status of Book Keeping and Record Maintenance

8.8.1 One of the indicators of institutional accountability is maintenance of records properly. Some of the aspects which need to be properly documented and maintained are minutes of various meetings conducted, books of accounts, bank pass book and vouchers for different expenditures. The data on all these aspects were collected from the TMIs after physically verifying the respective records, the details of which are presented in Table 8.7.



Table 8.7



8.8.2 As revealed by the survey data, the status of record keeping is fairly good in the sample TMIs. More than 90 percent of the TMIs have maintained the records related to meetings conducted and the minutes, accounts books and bank pass books. But the maintenance of vouchers has been done by about 87 percent of the TMIs. Though the records are maintained, the updation is not done regularly, particularly the voucher files. While 76 percent of the TMIs have updated their minute's books regularly, only 61 percent has updated accounts and bank pass books. The reasons given by some of the TUC functionaries for not updating the records are, lack of adequate training and capacity to write the records and consequent dependence on the CFT functionaries. They have to wait till the concerned person finds time to go to the village. This is happening particularly in the TMIs where the office bearers are not qualified to understand and write the records.

8.8.3 Across the zones, the record keeping and documentation was found to be very good in NETZ, NEDZ and NTZ, when compared to other zones. The updating of records seems to be very poor in EDZ. Because, the percentage of TMIs, which have updated the records is not even 50 percent. It is only 41 percent in respect of updating voucher files. It is in this aspect more than 50 percent sample TMIs felt the need for further training to the community members. They need handholding assistance at least for one year, after handling over the systems, to improve the skills for record maintenance.

8.9 Participatory Implementation

8.9.1 The approach for KCBTMP implementation is participatory and people-centric. Various systems are in place to facilitate collective participation in implementation and execution of works and ensure qualitatively better structures. The provision for five sub-committees is made in the project design. As per the project guidelines the sub-committees are formed at the time of PRA and recorded. But in reality their participation seems to be very marginal. In



almost all TMIs the sub-committees are not participating, except a very few. The survey data collected on these aspects are presented in Table 8.8.

Table: 8.8 – Involvement of Sub-committees and WIG in Implementation

Zone	No. of committees/WIG involved		Range of works/activities implemented	Effectiveness of its Functioning
	Sub-committees	WIG		
CDZ	1	1	Bund Turfing	Quality of work is good
EDZ	8	6	Turfing, Foreshore plantation, Canal Lining (SSM) Washing slabs cum steps, waste-weir repair, Slab lining in command area S.C, Boulder checks in catchment - catchment area S.C, Bund weeding, Deweeding on tank bed.	Quality of works are good
NDZ			-	-
NEDZ	0	0	-	-
NETZ	0	0	-	-
NTZ	1	0	6 works were implemented in this village .Each committee has taken the responsibility of their respective tasks and implemented	Quality of works are good
Total	10	7	Washing slabs cum steps to bund, waste-weir repair, Turfing, Slab lining in command-command area S.C, Boulder check in catchment - catchment area S.C, Foreshore plantation, Bund weeding, Deweeding on tank bed. All the tank works (Badamgatti)	Quality of works are good



8.9.2 According to the survey data available, the sub-committees have participated effectively in implementation and execution of works in only 10 sample TMIs, out of 182. Though on record sub-committees are formed in all the TMIs, their involvement is not ensured. Similarly, Women Interest Groups (WIG) in several villages were found to be very dynamic and interested in taking up the works. In 7 of the sample TMIs they have been entrusted with some works. Wherever the sub-committees and WIGs have participated in implementation of works, there are qualitatively better works in place. The concerned members took interest and got themselves involved to complete the qualitatively better works on time. The involvement of WIGs has created employment opportunities for the women in those villages.

8.9.3 The range of activities they have participated and their effectiveness, as reported by the community during discussions in the respective villages, have been distilled and presented above. Their involvement ranges from simple works like deweeding, turfing and fore-shore plantation to technical skill-oriented civil activities like slab lining, check dams and repairs to waste weirs and other structures. The communities expressed their satisfaction about the quality works carried out by them. Taking these learnings into account, the involvement of sub-committees and other local groups like WIG need to be encouraged in future. This will not only ensure timely and qualitatively better works, but also provide wage labour opportunities to locals, particularly women.

8.10 Capacity Building

8.10.1 The detailed discussion on the requirements for institutional development and sustainability presented so far, leads us to examine the issues or factors related to capacity building. Since KCBTMP project is of a special nature and implemented for the first time in the state, it tends to have special requirements. It warrants, therefore, to assess the current capabilities of the institution in place and identify the specific types of institutional assistance. Given such need, the JSYS had developed, initially 21 modules, which were subsequently reduced to 14, after taking the ground realities into account, to build the capacity of the



members to enable them manage the tank system, when handed over to the community. These modules include ways and means for skill enhancement, systems, standards and procedures for development, upgraded technology related to crop and water management and engineering aspects, adjustments and coordination to establish linkages, to mention a few. They have been sequenced to be administered in different phases of project implementation with logically interconnected operational plan. In order to examine the relevance and adequacy of the capacity building strategies, data have been collected from the sample TMIs, analyzed and presented in Table 8.9.

Table: 8.9 – Capacity building of TMIs, Participation Level in Pre-planning, Planning and Implementation Phases

Zone	No. of Villages / TMIs	Pre Planning Phase		Planning Phase		Implementation Phase	
		No. of Villages organized Training. Modules	Average Participation per Module	No. of Villages organized Training. Modules	Average Participation per Module	No. of Villages organized Training. Modules	Average Participation per Module
Central Dry Zone	37	37	53	37	49	37	24
Eastern Dry Zone	89	89	53	89	55	89	35
Northern Dry Zone	20	20	42	20	66	20	19
North Eastern Dry Zone	11	11	11	11	16	11	16
North Eastern Transitional Zone	4	4	86	4	61	4	14
North Transitional Zone	21	21	45	21	44	21	21
Project	182	182	50	182	51	182	26



8.10.2 It is a welcome trend, as observed from the survey data, that all the sample TMIs have conducted the stipulated training modules in the respective implementation phases. The same trend is observed across the zones. Some limitations have, however, been observed, while collecting data related to the trainings conducted. Documentation of the number of trainings conducted, members participated, the perceptions of the participants etc, has not been at the TMI level, except a few, may be about 10 percent. Even in those limited TMIs, they are recorded as minutes of the meetings, not as trainings conducted. The modules conducted in pre-planning and the PRA training have been recorded in most of the TMIs. The CFTs only have recorded the details to some extent. That was the major limitation for collecting data. After obtaining the details about the trainings conducted from the respective CFTs in the sample villages, the participants in each training were identified in the village, with the help of TUC office bearers and others.

8.10.3 Then the list was prepared and a sample of those participants has been interviewed to know their perceptions about the quality, content, timeliness and usefulness of the trainings they attended. The responses of the sample beneficiary respondents have been recorded and analyzed. In all, about 500 respondents have been interviewed. The average number of participants per module was about 50 persons. It ranges from 11 to 89 persons across the zones. The perceptions of the beneficiaries have been analyzed and presented in Table 8.10.

8.10.4 The survey data shows that majority of the beneficiaries, about 90 percent, are satisfied with trainings for capacity buildings. About 88 percent of the respondents have reported that the contents of 14 modules covering various aspects of project implementation are good enough. Some of the respondents (11.3 percent) feel some more details are required, mostly covering record keeping and O & M plans. The contents of each module are relevant to the project objectives and requirements, according to 95.4 percent of the



respondents. The remaining feel, that they are not so much relevant. When asked why and what aspects are not relevant, they are not able to explain explicitly. There are no complaints about the time duration provided for conducting the training modules. About 90 percent say the time provided is quite adequate. But nobody knows what the time duration for each module is, as per the project guidelines. Longer duration training programmes may not be possible, due to a number of other activities they have to attend to. Even the methods adopted for teaching and training facilities are found to be quite satisfactory, as about 95 percent has positively responded.

8.10.5 Across the zones, the trend is more less same. Almost all have responded positively. But in NTZ about 40 percent of the respondents feel, the contents of trainings are not adequate enough to equip themselves to take up institutional responsibilities. A conspicuous phenomenon observed in this zone while doing field survey was that, majority of the works were entrusted to contractors, instead of executing by the TUC or subcommittees or SHGs. In such places, the concerned agencies have not taken the trainings seriously. Because of that, the trainings seem to have not been systematically conducted, covering all the details. Therefore, some have got the feeling that contents are not adequate enough, when they tried to implement themselves without involving contractors.

8.10.6 Notwithstanding the recorded evidences to show the trainings were effectively conducted to capacitate the community, the reality at the field level is not that rosy. There are several limitations and constraints experienced by the implementing agencies. Some express their inability to conduct trainings systematically according to the guidelines because of work load to meet their targets of implementation. The community also is not able to distinguish clearly the training modules conducted at different time periods and places. For instance, some trainings, were conducted at DPU. Therefore, when they are asked about their participation and views, they are unable to recall which module of training they attended and what purpose had it served. It is, therefore,



necessary to take the present learning's into account and reorient the trainings in such a way that community is sensitized thoroughly about the training modules, purpose, duration etc. so that they can take full advantage of the trainings. Documentation of the complete proceedings of the trainings, including duration, place, number of persons attended, resource persons, and the evaluation by the participants at the end of the programme should be made mandatory. Evaluation by the participants at the end of the programme, should become part of the contents of training. It is necessary that a responsible person from the DPU/SPU M & E section need to be present, at least at the concluding time, as an observer to oversee the evaluation process.

8.10.7 Perceptions of the community collected during discussions have been distilled and presented zone-wise in a tabular form in Table 8.10.



Table 8.10





8.11 Creation of Para-Professionals

8.11.1 As part of capacity building, Samudaya Tantrika Vedike (STV) programme has been built into the project design. This is mainly to prepare Para-professionals in the village to help farmers and others in adopting modern production technology related to agriculture, animal husbandry, fisheries, maintenance of tank civil structures and other tank-related activities, by giving task-specific training to selected individuals, male as well as female, in the project villages. Under this programme, 4 persons per village, depending upon the size of the village, have to be given training. This responsibility has been given to the University of Agricultural Sciences, Bangalore and Dharwad. The related data have been presented in Table 8.11.

**Table 8.11 - Para professionals Trained - Zone-wise
(STV & SDP Trainings)**

Zone	No of TMI/Villages	No. of persons Trained		Total
		Male	Female	
CDZ	34	75	50	125 (3.7)
EDZ	89	252	68	320 (3.6)
NDZ	14	20	8	25 (2.0)
NEDZ	8	15	0	15 (1.9)
NETZ	2	2	1	3 (1.5)
NTZ	19	22	15	37 (1.9)
Total	166	386 (73.1)	142 (26.9)	528 (3.2)

Note: Data were available for 166 villages out of 182 sample villages

Figures in parentheses are number of persons per village



8.11.2 The data were available for 166 out of 182 sample villages. In all, 528 professionals were trained from 166 sample villages. It amounts to 3.2 persons per village, close to the expected target of 4 persons per village. Out of the total professionals created, 26.9 percent is women and 73.1 percent men. This variation is due to not many women coming forward to take up this training.

8.11.3 Across the zones, the programme seems to have been effectively implemented in CDZ and EDZ. Because, the target of 4 persons per village has almost been achieved, as it comes to 3.7 persons per village. When smaller villages, where there will be no scope to train 4 persons, are included in averaging, the figure tend to look less than the target. But in other zones, especially NETZ, NEDZ and NTZ the implementation of the programme appears to be poor. If this programme is implemented effectively, the skill development at the village level will improve and help reducing transaction costs to seek immediate help for the needy, apart from enhancing the opportunities for individual income generation for those trained.

8.12 Command Area Management

8.12.1 The efficient and effective management of the irrigation system depends upon, among others, the improved managerial skills obtained by the community through the capacity building training programmes. An attempt is, therefore, made to analyze the command area management plans prepared and practiced by the community across the sample villages. The survey data on various aspects are presented in Table 8.12.



Table 8.12



8.12.2 Majority of the sample TMIs (81.3 percent) have reported that they have prepared O & M plan and kept in place. But surprisingly, only 14.9 percent of them has operationalised those plan. The reasons for poor practice of O & M plans are not clear. One reasons cited often was, since the tanks have not received full storage, the scope to operationalise the plans is limited. Further more, many of the tanks have just been handed over to the community and some are yet to complete post-implementation phase. That is why the scenario of functional aspects and implementation of O & M plans are not yet clear.

8.12.3 Season-wise crop plans have been prepared by 57.7 percent of the TMIs, followed by 62.6 percent for cleaning distributory canals, 57.7 percent for regulation of water supply and distribution and 54.4 percent for irrigation water management. The actual practice is, however, only nominal. In the case of canal cleaning and regulation of water supply, putting the plans into practice is relatively more. For example, about 40 percent of the TUGs has operationalised the plans prepared for canal cleaning, before the actual release of water for irrigation. The same is true of regulation of water supply and distribution. Even if the tanks are not full, cleaning canals and regulation of supply helps to optimize water use efficiency. Infact, it is more important in the tanks with less storage.

8.12.4 Across the zones, the preparation of O & M plans is, by and large, the same, ranging between 80 to 100 percent, except in EDZ, where 70 percent of the TUGs only prepared O & M plans. But, the status of putting the plans into practice is very poor in NETZ and NEDZ and relatively better in NTZ. The tanks in NTZ receive good storage every year. Farmers, therefore, appear to be better motivated to practice O & M plans. The implementation and practicing of O & M plans on sustainable basis depends upon the financial stability of the TMIs. Financial stability depends upon their capacity to mobilize resources and build adequate corpus over a period of time. The issues related to resource mobilization have been discussed in what follows.



8.13 Resource Mobilization

8.13.1 Financial stability is one of the crucial factors to ensure institutional effectiveness and sustainability. After handing over the tanks, the community or TUG should have adequate financial resources to manage the system. The community has been sensitized about the possible sources of revenue during the course of trainings conducted. Accordingly they have started generating funds and build the corpus for future management. The detailed analysis of resource mobilization is presented in Table 8.13.

8.13.2 The major sources of resource mobilization identified, as seen from the available data are, Fisheries, Water tax, Sale of silt, Auctioning turfing grass, Brick making, Sale of Jungle on the tank bund, Usufruct rights, and others. If the number of effective TMIs mobilizing revenue through various sources is taken into account, one gets an impression that the resource mobilization across the project area is yet to start, except fisheries, where 51 sample tanks (28%) have reported income from it. Because, out of 182 sample TMIs, only 15 (8.2 percent) have reported income from water tax, followed by 6 (3.3 percent) from sale of silt for agricultural purposes, 10 (5.5 percent) from auctioning turfing grass on the bund, 3 (1.6 percent) from sale of silt for industrial purposes like brick making, 4 (2.2 percent) from sale of jungle cutting in the tanks bund/bed, 14 (7.7 percent) from the auction of usufruct rights and 6 (3.3 percent) from other sources like interest from bank deposits and other miscellaneous incomes.

8.13.3 One has to keep natural constraints and limitations in view while discussing the status of resource mobilization. For example, fisheries and water tax are the two major sources of revenue for the TMIs. But, both are dependent on nature. If there is good rainfall and tanks are full, the scope for income generation from these two sources will be high. If not, nothing can be mobilized. All other sources are not primary. They are all peripheral and depends upon the socio-economic conditions of the respective villages, and the ingenuity and commitment of the TUC office bearers in particular and the community in general, to generate income from those sources.



Table 8.13



8.13.4 Though fisheries is one of the major sources of revenue mobilization for a sustainable O&M of tank systems, it is yet to cross some threshold problems. For example, a clear cut policy with well articulated rules or leasing exclusively to the TMI is yet to be formulated. In the absence of such a policy and information to the community, some of the sample tanks, fisheries department auctioned fishing rights to private contractors. This issue was already brought to the notice of JSYS in monthly interactive reports to take necessary corrective steps. The community needs proper training and awareness about the types of fingerlings needed to different levels of water storage in the tanks and their availability at different places with necessary market linkages. The TMIs are quite enthusiastic to take up this activity after realizing its potential benefits.

8.13.5 The average income generated per effective TMI from the fisheries has been Rs. 23,677. The income reported from fisheries is the actual amount received by the TMI, not the total value of fish harvested from the tank. Reliable data on total fish harvested were not available. It works out to Rs. 540 per hectare of water spread area. From other source, the status is as follows:

- Water Tax - : Rs. 6912 per TMI - 15 TMIs
Rs. 206 per hectare
- Sale of silt for agricultural purposes - : Rs. 3863 per TMI - 6 TMIs
- Sale of grass - : Rs. 3435 per TMI - 10 TMIs
- Silt for Brick making - : Rs. 10,667 per TMI - 3 TMIs
- Sale of jungle cutting - : Rs. 6750 per TMI - 4 TMIs
- Usufruct rights / fodder- : Rs. 8489 per TMI - 14 TMIs
- Others - : Rs. 4953 per TMI - 6 TMIs



8.13.6 Across the zones, it is interesting to note that the TMIs from EDZ were able to generate income from all the sources, identified above. Even the number of tanks reported is relatively higher than other zones. Perhaps, the CFTs in this zone must have taken some proactive steps to sensitize the communities about the importance of resource mobilization.

8.13.7 Some constraints faced by the communities for taking up fisheries activity need to be sorted out in future. For example, in some places, particularly in Raichur district, the department has auctioned the fisheries with out the knowledge of TUG. In some other places the earlier lease period is not yet over. That is why some of the TUGs, inspite of better opportunities to generate income from fisheries, were unable to reap the benefits. These problems have to be solved to enable the TUGs to reap the benefits in future.

8.14 Corpus Fund

8.14.1 The concept of 'Corpus Fund' per se has not been properly advocated in the project area. The need for and importance of corpus, the ways and means of developing it, norms for its utilization and management do not seem to have been properly articulated and informed to the community. Money saved on various counts at the end of the project is, however, kept as fixed deposits in the banks. The details of such amount deposited have been collected during the survey from the respective TMIs and presented (Table 8.14).



Table: 8.14 The status of Corpus Fund Creation by TMIs

Zone	No. of Villages Covered	No. of villages/TMIs deposited corpus fund/Fixed deposit	Av. Amount deposited by each village/TMI	No. of years deposited
CDZ	37	36 (97.3)	31309 *(637.6)	1 to 5
EDZ	89	87 (97.6)	40713 (690)	1 to 5
NDZ	20	18 (90.0)	54105 (641.8)	1 to 6
NEDZ	11	10 (90.9)	40378 (1468)	2 to 3
NETZ	4	4 (100.0)	46965 (579.8)	3
NTZ	21	21 (100.0)	54373 (671.3)	3
Grand Total	182	176 (96.7)	41912 (1111.7)	1 to 6

Note: Figures in parantheses are percentages

* - Amount deposited per hectare of command area.

8.14.2 Almost all the TMIs (96.7 percent) have deposited the contribution, savings and other money in the banks. Though it is not called as corpus, deposits are made for a duration ranging from 1 to 6 years. The status of deposits presented above is as on the date of survey. The figures are based on the recorded evidence available at the TMI. On an average, an amount of Rs.41,912 per TMI has been kept as fixed deposit in the banks. In several cases, the savings money withdrawn along with the ITDP unspent budget, has not been re-released so far. Further, the proportion of money withheld from the last LOE has also not been



released, even for the handed over TMIs. When they receive all these arrears the funds position may improve. But the stability depends upon the rate of revenue generation from various sources in future and healthy financial management strategies.

8.14.3 Across the zones, the status regarding the deposits creation by the TMIs is found to be more or less same, the variations being marginal as seen from the data. But the amount deposited varies across the zones. It varies from Rs. 49,965 per TMI (579.8 per hect. Of command area) in NETZ to Rs. 54,373 (Rs. 671.3 per hect.) in NTZ. In terms of per hectare, it is relatively high in NEDZ with Rs. 1468, but in terms of per TMI it stands at 2nd position from below. Given the financial position at present, there is a greater need to motivate the communities to generate financial resources in future to become self-supporting and sufficient. The presently available deposits need to be converted as corpus fund, with necessary amendments to the bye-laws about the fund management and utilization. Other wise, in the absence of proper checks and balances, they tend to spend the entire money even for smaller and not so important works, which could be taken care of through collective efforts. Under the corpus fund management regulations, the provision for using the interest accruals only has to be made, without touching the principal. At times of emergency a loan from out of the corpus can be taken and repaid afterwards. This will ensure financial stability which is very essential for institutional sustainability.

8.15 Summary of Conclusions

8.15.1 The issues related to institutional development and capacity building presented so far gives a mixed scenario of sustainability. The initial enthusiasm and interest to mobilize membership for building the institution seems to have tapered off after the registration. Because, on an average 70 percent of the total households in the sample villages only have taken membership. There is, therefore, a need to motivate the remaining households to become members of TUG to make the institution fully community-based. The gender equality and representation of SC/ST and other



vulnerable groups is ensured as per the constitutional requirements. The contribution of the community to share the ITDP cost has been effective enough, though the ways and means of mobilizing contribution varies across the zones and villages. Given the economic status of the communities, some of the means adopted are justifiable, except a few like the contractor or JCB agencies paying the contribution, which are likely to imply ulterior motives. The issues related to transparency, though some attention is paid at present, need to be properly and adequately addressed, especially related to expenditure, progress of works and savings, if any.

8.15.2 Decentralization of activities for effective control and supervision of works needs to be strengthened by making the sub-committees more proactive and accountable. The capacity building programmes are well planned and logically sequenced to meet the project requirements. But the operationalisation needs to be much more scientific to ensure clarity about contents of each module to the community, its purpose and utility. Meetings are conducted regularly, though not as per the bye-laws, but as per the needs and requirements of the community. STV/SDP trainings to prepare para professionals at the village level have been conducted fairly well. Command area management plans have been prepared, but their operationalisation is yet to become effective, because of certain natural limitations like tanks getting full storage. The resource mobilization has started in some of the tanks. But the scale and intensity is yet to pick up. Though there is no clarity about the ways and means of building the corpus, its administration, utilization and other operational logistics, most of the TMIs have deposited moderate amounts in the Banks. There is need for handholding assistance on some of the aspects of institutional development and capacity building, a detailed account of which is presented in the report. It should be ensured that the institution becomes truly community-based with built in democratic systems of operation in place.