Provided by Universiti Putra Malaysia Institutional Repositor



UNIVERSITI PUTRA MALAYSIA

COLLECTIVE PARTICIPATION OF WATER USERS IN IRRIGATION MANAGEMENT: A CASE FROM NEPAL

SHYAM S. KHADKA

FEP 1992 4



COLLECTIVE PARTICIPATION OF WATER USERS IN IRRIGATION MANAGEMENT: A CASE FROM NEPAL

BY

SHYAM S. KHADKA

Thesis submitted in Fulfillment of the Requirements for the Degree of Doctor of Philosophy in Rural Sociology in the Faculty of Human Ecology
Universiti Pertanian Malaysia

September 1992



Dedicated

to

my much revered late grandmother Shreemati Damber Kumari Devi Khadka



ACKNOWLEDGEMENTS

I profoundly thank the Malaysian Government for granting me a scholarship through the Malaysian Technical Cooperation Programme that made my doctoral studies possible. Sincere gratitude is expressed to the Agricultural Projects Services Centre for granting me study leave and to Winrock International for providing financial support to conduct the field research of this study.

I express sincere appreciation and deep gratitude to Assoc. Prof. Dr Nazaruddin Mohd. Jali, chairman of my committee for his wise counsel, guidance, support and encouragement throughout the entire graduate programme. Grateful appreciation is extended to Assoc. Prof. Dr Abdul Halin Hamid and Assoc Prof. Dr Ghazali Basri for serving on my committee and providing invaluable support, suggestions and comments at the various stages of this study.

My special thanks goes to Assoc. Prof. Dr Mohd. Fadzilah Kamsah for advising on the statistical procedures and Mr. Zahid Emby for providing useful comments and suggestions during the earlier phase of the study. Sincere appreciation is also expressed to Mr.Abdul Aziz Bahsir, Senior Assistant Registrar



and Miss Fadzlon for their comments that improved the manuscript of this dissertation.

Sincere appreciation is extended to Mr. Uday Gurung Executive Director / APROSC and Dr Gerald J. Gill for providing much needed encouragement and support when I needed most at the last moment.

I am very much grateful to Prof. Dr Ahmad Mahdzan Ayob

Dean of Graduate School and external examiners Dr Mohammad

Halib and Dr Groenfeldt for providing enlightening scholastic

comments that improved the quality of this dissertation at the

final stage.

A grateful thank you is extended to Dr Durgesh Man Singh, former Member of the National Planning Commission for providing much needed academic encouragement. My thanks also goes to Dr Ganesh Thapa, Dr Govinda Koirala, Dr Lokendra Poudyal, Dr Janardan K. C. and Dr Ujjwal Pradhan for helping me to locate new literatures relating to irrigation management in Nepal.

I am very much grateful to many people, particularly the Project Manager, Mr Purushottam Mishra, and the officials of various government agencies who helped me in various ways while conducting field survey in Nawalparasi District. The good grace of the farmers of the study site in allowing us to



instrument their responses and for patiently answering all the questions is notable and appreciated. I am also thankful to Mr. Ramesh Gharti and Mr. Sushil Gaditaula for their assistance in data collection.

Fellow students Shree Chandra, Fayyaz, Thakur, Suresh, Indu, Neeraj, Ram and Ramesh provided encouragement and warm friendship. In particular, Banik lent considerable support and offered some help in computer work. In addition, the kindness and hospitality of Jasbir and his brother Sarjit Singh is well remembered. Thanks to you all.

Sincere appreciation is extended to Ms. Yee Leng for so ably putting the manuscript into the word processor and to all the staffs of the Department of Social Sciences especially, Ms. Normah, for their support and friendship.

Finally, I am deeply appreciative of my wife, Shanta for her sacrifices, understanding and support throughout the entire period of my graduate study. Finally, I am especially grateful to my loving daughters -- Sworupa and Pranisha -- who, with their patience and understanding, were a constant source of inspiration.

Above all, my humble praises to "THE GODDESS OF LEARNING" and "MANAKAMANA MAI" who made it possible.

Once again THANK YOU SO MUCH.

TABLE OF CONTENTS

			Page
ACKNO	WLE	EDGEMENTS	iii
LIST	OF	TABLES	жi
LIST	OF	FIGURES	xiv
LIST	OF	ABBREVIATIONS	xv
ABST	RACI	r	xvi
ABST	RAK		xviii
CHAP?	rer		
I		INTRODUCTION	1
		Background	1
		Statement of the Problem	10
		Objectives of the Study	12
		Significance of the Study	13
		Limitations of the Study	15
I	I	REVIEW OF LITERATURE AND CONCEPTUAL FRAMEWORK	17
		Irrigation Management Improvement	17
		Collective Action	28
		Conceptualization of Participation in relation to Irrigation Management	38
		Factors Influencing Participation in Irrigation Management	44



		Page
	Degree of Formality	50
	Decision-making Structure	5 5
	Extra-local Linkage	57
	Group Solidarity	5 8
	Leadership Effectiveness	62
	Enforcement of Sanction	66
	Perceived Benefits of Participation	70
	Interaction Process Variables	73
	A Conceptual Model	75
III	METHODOLOGY	80
	Location of the Study Area	80
	Sampling Design	83
	Instrumentation	86
	Data Collection	88
	Operationalization and Measurement of Key Concepts	90
	Dependent Variable	90
	-	92
	Independent Variables	
	Reliability Test of the Scales	101
	Unit of Analysis	103
	Statistical Analysis of Data	103
	Pearson Correlation	104
	Discriminant Analysis	104
	Multiple Regression	106



		Page
IV	THE CONTEXT OF WATER MANAGEMENT IN WEST GANDAK AREA	109
	The Study Context	109
	Physical Setting	109
	Historical Overview	111
	Socio-economic Setting	116
	Land Tenure	118
	Local Administration and Social Institutions	120
	Agricultural Support Services and Facilities	125
	Profile of Respondents	132
	Family Size	132
	Age and Organizational Affiliation	133
	Education and Occupation	135
	Farm Size Distribution and Tenurial Status	137
	Caste and Associated Socio- economic Features	140
	Adoption of Modern Farm Technology	145
	Irrigation Status of Sampled Households	148
v	PARTICIPATION IN IRRIGATION MANAGEMENT	150
	Irrigation Management Activities	150
	Allocation and Distribution of Water	150
	Canal Maintenance and Resource Mobilization	165



		Page
	Extent of Participation in Irrigation Management	172
	Summary	181
VI	DEGREE OF FORMALITY OF WATER USERS GROUPS (WUGs) AND ASSOCIATED STRUCTURAL FACTORS	184
	Organizational Characteristics of WUGs	184
	Organizational Structure	184
	Degree of Formality of WUGs	191
	Identified Organizational Characteristics of Less Formal and More Formal WUGs	191
	Structural Factors and Degree of Formality of WUGs	198
	Characterictics of Less Formal and More Formal WUGs	198
	Discriminating Structural Factors and Formality of WUGS	203
	Summary	208
VII	PARTICIPATION IN IRRIGATION MANAGEMENT AND ASSOCIATED FACTORS	210
	Relationship between Situational Factors and Participation	210
	Bivariate Relationships	210
	Overall Influence of Situational Factors on Participation	225



	and Participation	238
	Bivariate Relationships	228
	Overall Influence of Structural Factors on Participation	245
	Relationship between Interaction Process Factors and Participation	247
	Bivariate Relationships	247
	Overall Influence of Interaction Process Factors on Participation	254
	Overall Influence of Situational, Structural and Interaction Process	256
	Factors on Participation	256
	Summary	260
VIII	SUMMARY, CONCLUSION AND RECOMMENDATIONS	263
	Summary	263
	Conclusion	273
	Recommendations	279
	Recommendations for Future Research	288
	BIBLIOGRAPHY	291
	APPENDICES	304
	A Questionnaire	305
	B Interview Schedule for WUG Leaders	323
	C Relationship among Variables forming Participation Index	325
	CURRICHI IM VITAE	307



LIST OF TABLES

Table		Page
1	Distribution of WUGs by Canal Location	85
2	Reliability Coefficients of the Scales	102
3	Distribution of Number of Operational Holdings and Land Area by Tenurial Status, Nepal	119
4	Monthly Average Main Canal Intake Discharge Records (1989-90)	131
5	Distribution of Respondents by Family Size	132
6	Distribution of Respondents by Age and Organizational Affiliation	134
7	Distribution of Respondents by Education level and Occupation	136
8	Distribution of Land Ownership and Operational Land Holdings of Sampled Respondents by Size of Landholdings	138
9	Relationship between Caste, Landholding, Organizational Affiliation and Average Income	142
10	Adoption of Modern Farm Technology by Sampled Respondents	146
11	Distribution of Irrigated Area by Location and Crop Seasons	148
12	Farmers Reporting Control and Operation of Outlet and Farm Ditch Gates	153
13	Problems Associated with Water Shortage	156
14	Farmers Reporting Water Related Communication with Irrigation Officials, WUG Leaders and Fellow Farmers	157
15	Resources Mobilized for the Maintenance of Farm Ditches and Water Courses	165



16	Distribution of Respondents Reporting Type of Structures by Maintenance Responsibilities	167
17	Distribution of Respondents by Extent of Participation in Major Decision Tasks	171
18	Distribution of Respondents by Participation Categories	175
19	Distribution of WUG Chairmen by Caste/ Ethnicity and Farm Size	178
20	Distribution of WUGs by Organizational Characterstics	186
21	Differences in Organizational Structures between Less Formal and More Formal WUGs	192
22	Descriptive Statistics for Less Formal and More Formal WUGS	199
23	Univariate F-ratio and Levels of Significance for Selected Structural Factors and Formality of WUGs	204
24	Unstandardized and Standardized Cannonical Discriminant Function Coefficients	206
25	Level of Participation by Different Caste Groups	212
26	Level of Participation by Canal Reach Location	214
27	Level of Participation by Education Level	217
28	Level of Participation by Farm Size Categories	218
29	Correlation and Significance Level of Situational Factors and Level of Participation	221
30	Agricultural Knowledge Level by Farm Size and Ethnicity	223

Page



		rage
31	Multiple Regression: Situational Factors and Level of Participation in Irrigation Management	226
32	Correlation and Level of Significance of Structural Factors and Level of Participation	229
33	Extent of Effectiveness of WUG Leadership by Caste and Ethnicity	232
34	Distribution of Respondents Reporting Extent of Sanction Applied by Activities	234
35	Previous Community Action by Farm Size and Ethnicity	237
36	Level of Participation by Types of Decision-making Structures	240
37	Multiple Regression: Structural Factors and Level of Participation in Irrigation Management	246
38	Correlation and Level of Significance of Interaction Process Variables and Level of Participation	249
39	Multiple Regression: Interaction Process Factors and Level of Participation in Irrigation Management	255
40	Multiple Regression: All Independent Variables and Level of Participation in Irrigation Management	258
41	Relationships among Variables Forming Participation Index	325
42	Interrelationships among Independent Variables Used in the Regression Analysis	326



LIST OF FIGURES

Figure		Page
1	Schematic Diagram Showing the Relationships between Different Factors and Level of Participation in Irrigation Management	78
2	Map of Nepal Showing the	01



LIST OF ABBREVIATIONS

ADB = Asian Development Bank

ADBN = Agricultural Development Bank of Nepal

APROSC = Agricultural Projects Services Centre

BC = Branch Canal

CBS = Central Bureau of Statistics

FEWUG = Federation of Water Users Organizations

FD = Farm Ditch

HMGN = His Majesty's Government of Nepal

ILO = International Labour Organization

IIMI = International Irrigation Management

Institute

LO = Local Organization

MFD = Main Farm Ditch

MC = Main Canal

VDC = Village Development Committee

WEC = Water Resources and Energy Commission

WGIP = West Gandak Irrigation Project

WUG = Water Users Group



Abstract of thesis submitted to the Senate of Universiti Pertanian Malaysia in fulfillment of the requirements for the degree of Doctor of Philosophy

COLLECTIVE PARTICIPATION OF WATER USERS IN IRRIGATION MANAGEMENT: A CASE STUDY FROM NEPAL

Ву

SHYAM S. KHADKA

September 1992

Chairman: Assoc. Prof. Dr. Nazaruddin Mohd. Jali

Faculty: Human Ecology

The study examines the factors associated with the process of collective participation among the members of the water users group (WUG) in irrigation management in one of the government-managed irrigation projects in Nepal.

Two hundred randomly selected respondents from 40 WUGs were interviewed on a pre-tested schedule. Additional insights and data were derived from official records, direct observation, informal interviews with officials and key informant farmers.

Level of participation among the members of the WUGs as measured by their involvement in group decision-making in four major tasks of irrigation management and actual resource committed (labour, cash and material) for the maintenance of tertiary structures were found to be relatively low. It was found that the way the WUGS had been structured and its

existing leadership pattern could in part be attributable to this state-of-affair.

Three sets of factors namely situational, structural and interaction process were included and their relationships with the level of participation in irrigation management examined in the study.

The findings of the study indicate that while each of the three groups of factors has its own merit in explaining the process of collective participation in irrigation management, there was greater explanatory power when all three sets of factors were combined and their relationships examined.

Among the three sets of factors examined, the strong predictable observed relationships between the level of participation and structural factors as well as interaction process variables draws attention all the more to the design and restructuring of the WUGs -- factors that can be influenced by government agencies, non-government organizations and donor agencies. The study recommends that for the structural relations that can be made to work effectively for eliciting and sustaining collective participation among water users in irrigation management, provision of predictable water supply and flexible attitude on the part of the irrigation authorities to work with the water users and their groups (WUGs) are strongly called for.

xvii



Abstrak tesis yang dikemukakan kepada Senat Universiti Pertanian Malaysia sebagai memenuhi keperluan ijazah Doktor Falsafah

> PENYERTAAN KOLEKTIF PENGGUNA AIR DALAM PENGURUSAN PENGAIRAN: SATU KAJIAN KES DI NEPAL

> > Oleh

SHYAM S. KHADKA

SEPTEMBER 1992

Pengerusi: Prof. Madya Dr Nazaruddin Mohd. Jali

Fakulti : Ekologi Manusia

Kajian ini menyiasat faktor-faktor yang berkaitan dengan proses penyertaan berkelompok petani dalam pengurusan pengairan di kalangan kelompok pengguna air (KPA). Kajian dijalankan di salah sebuah projek pengairan yang ditadbir oleh kerajaan di Nepal.

Sebanyak 200 responden daripada 40 buah KPA telah dipilih secara rawak untuk ditemubual. Satu jadual temubual yang sudah diuji digunakan untuk tujuan ini. Maklumat dan pemahaman lebih mendalam telah diperolehi melalui dokumen-dokumen rasmi, pemerhatian, serta temubual dengan pegawai-pegawai dan informan.

Tahap penyertaan ahli-ahli KPA diukur dari segi penglibatan mereka dalam membuat keputusan mengenai empat tugas utama bersangkutan dengan pengurusan pengairan. Di samping itu sumbangan langsung mereka dalam sumber sebenar

xviii

(tenaga kerja, wang dan bahan) untuk menyelenggara pengairan di peringkat sawah, juga dimasukkan ke dalam pengukuran ini. Keputusan yang didapati menunjukkan aras penyertaan mereka amnya rendah. Juga didapati bahawa cara KPA sendiri disusun dan pola kepimpinan semasanya, sengat dipengaruhi oleh aras penyertaan yang rendah itu.

Tiga set faktor telah digunakan dalam kajian ini: faktor situasi, faktor struktur dan faktor proses interaksi. Ketigatiga faktor ini dikaji dari segi hubungannya dengan aras penyertaan di dalam pengurusan pengairan.

Hasil kajian ini menunjukkan, walaupun setiap set faktor itu mempunyai kelebihannya, bagi menerangkan proses penyertaan kolektif dalam pengurusan pengairan, namun terdapat satu penjelasan yang lebih kuat apabila ketiga-tiga set faktor itu digabung sekali.

Di antara tiga set faktor itu, hubungan yang kuat dapat dijangkakan ialah di antara tahap penyertaan dengan faktor struktur dan faktor proses interaksi. Ini menekankan tentang peri mustahaknya reka bentuk dan struktur KPA itu sendiri. Kajian ini memperakukan agar pembekalan air dapat dijadualkan secara tepat, dan juga agar pihak berkuasa pengairan mengambil sikap lebih terbuka di dalam kerja sehari-hari mereka dengan pengguna-pengguna air dan KPA.

CHAPTER 1

INTRODUCTION

Background

Situated 26° 22' north to the equator, Nepal is a small landlocked country which lies between China in the north and India in the south, east and west. It is conventionally divided into three ecological zones: the Mountains in the north; the Hills -- extending across the centre from west to east; and the Terai -- a narrow strip of flat land between 10 and 30 km wide, that abuts for 850 km on to the Indo-Gangetic plain in the south. The topography thus varies from the Terai Plains, with an elevation of 60-300m above sea level, to the deep valleys and high mountains of the northern region, rising to over 8,000m in elevation. As a result, there are several climate varieties, ranging from sub-tropical to the Alpine. In all, Nepal covers an area of about 1,47,181 sq. km with an estimated population of more than 18 million people (CBS, 1990).

Administratively, Nepal is divided into five development regions, which are sub-divided into 14 zones and 75 districts. Each district is composed of several Village Development Committees (VDCs). The Village Development Committees are the grass-root politico-administrative units of the government.



Each VDC encompasses several villages with a total population of 2000-4000 persons. In total, Nepal has 3995 VDCs and 36 Municipalities.

According to the Nepal Agriculture Sector Strategy Study (ADB/HMGN, 1982), more than 90 percent of the total population of Nepal is dependent upon agriculture for subsistence. Food grains production dominate agricultural activities and account for the major part of the agricultural production in the country. Small subsistence farms predominate in the country where more than 94 percent of the households own less than 2.67 ha of land (ADB/HMGN, 1982). A survey carried out by the National Planning Commission in 1977 revealed that more than 40 percent of rural families had incomes below poverty line.

The Nepal Agriculture Sector Strategy Study reports that the per capita food production has declined during the past few years. The same study elaborates that the overall yields per unit area have not increased and may even have declined during the past 20 years. The decline in yields of major food crops has been brought about by, <u>interalia</u>, increased cultivation of marginal lands and the inability to replenish soil nutrients with the available manure and fertilizer. While Nepal had among the highest rice yield in South Asia in 1960s



enabling her to export rice, Nepal became net importer of food grain by late 1970s (ADB/HMGN, 1982).

Nepal is thus faced with the three major problems viz.,

(i) attaining rapid and sustained increase in agricultural production to meet a growing demand for food in the country;

(ii) raising of income; and (iii) providing employment opportunities for more than 90 per cent of the country's population. To overcome these problems, the intensification of agricultural production on currently cultivated land becomes an objective of paramount importance.

With the advent of Green Revolution technologies, His Majesty's Government of Nepal (HMGN) has increasingly realized that the greatest opportunity for increased agricultural production lies in the provision of perennial irrigation facilities for most of the cultivated land in Terai region. Terai has about 70 percent of the total arable land and is regarded as the "granary" of Nepal because it produces the bulk of the country's food grain. The concern for developing Terai region with the provision of supplementary irrigation facilities for increased agricultural production was further reinforced by the World Bank, the Asian Development Bank and other donor agencies by funding major irrigation projects in Terai in the 1970s and 1980s.



According to Irrigation Sector Review (WEC, 1981), about 60 percent of the arable land in Nepal has potential for irrigation at least part of the year. It is estimated that about 500,000 hectares of the country is served by irrigation. This constitutes nearly 22 percent of the cultivated land and 26 percent of the irrigation potential (WEC, 1981). Up to the end of the Third Development Plan in 1970, the government completed most of its irrigation targets measured basically against the completion of the construction work and not necessarily the accomplishment of project's agricultural production goals. During the subsequent two plans of the 1970-80 decade, however, the achievement fell far short of the goals. This was due to an ambitious programme introduced in 1970s where many incompleted projects were carried over for implementation in succeeding plan periods (ADB/HMGN, 1982). By the end of the Sixth Five-Year Development Plan (1980/81 -1984/85), HMGN provided irrigation facilities for a total area of 371,130 ha of land. During the Seventh Plan Period (1985/86 - 1989/90), the government plans to expand irrigation facilities for an additional area of 217,845 ha of which 85 percent falls in the Terai region of the country (WEC, 1981). By far run-of-the-river diversion with gravity distribution system mainly providing supplementary irrigation during the monsoon (wet) season has been the dominant mode of past irrigation development efforts in Nepal.



A more serious problem than the lag in the completion of government-built projects, is their performance after completion. There are enough evidence to indicate that there is only a marginal improvement in agricultural production in the project areas over that of the neighbouring areas not receiving irrigation water from the project (APROSC, 1978; APROSC, 1982; WEC, 1981). In many cases less than half the proposed command areas has received water. The reasons for this bleak performance are attributed to ill-conceived, poorly designed, unsound construction, inefficient operation and negligible and untimely maintenance of the physical structures (WEC, 1981; MOA/APROSC/ADC, 1983).

It is reported that the expenditure for the operation and maintenance of completed projects has been far from adequate and has actually declined on a per hectare basis as new projects are completed (MOA/APROSC/ADC, 1983). The basic principles of Sixth Five Year Plan document recognized that the target set for irrigation development exceeded the capability of the central government acting alone (NPC, 1979:34). The document states:

According to the highest priority given to the irrigation programs within the agricultural sector only government efforts will not be enough to launch the programs. Hence, maximum importance will be given to peoples' participation.

