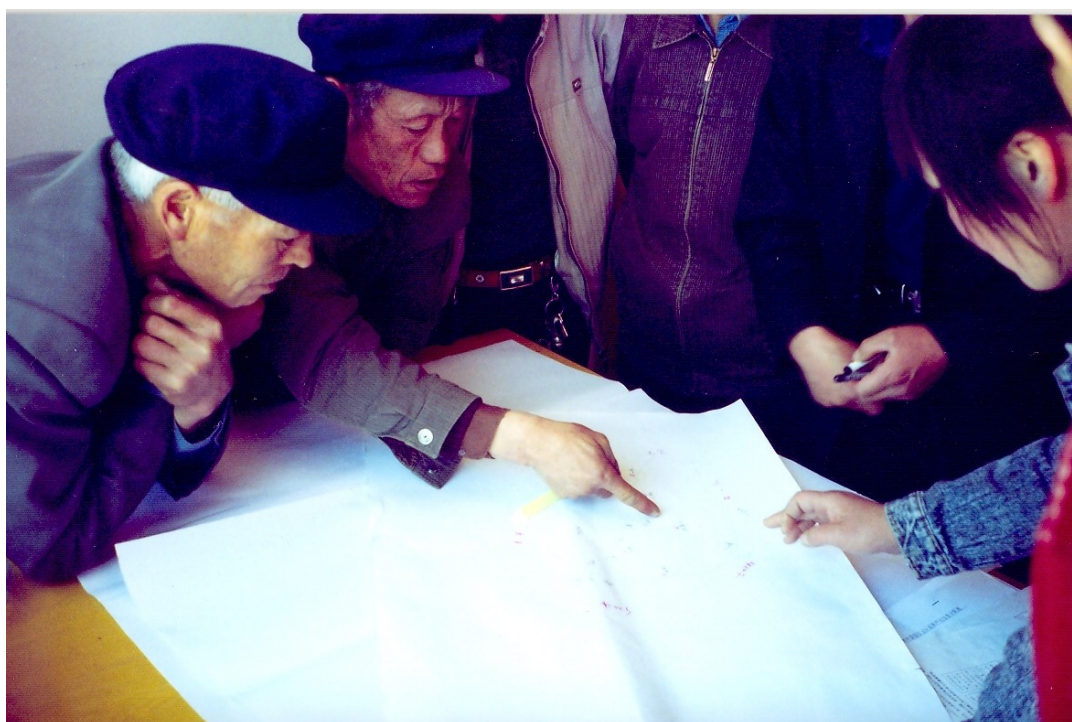


China – UK, WRDMAP Integrated Water Resources Management Document Series

Advisory Note 6.2/1: Administrative Steps for Developing Strong Water User Associations (WUAs)

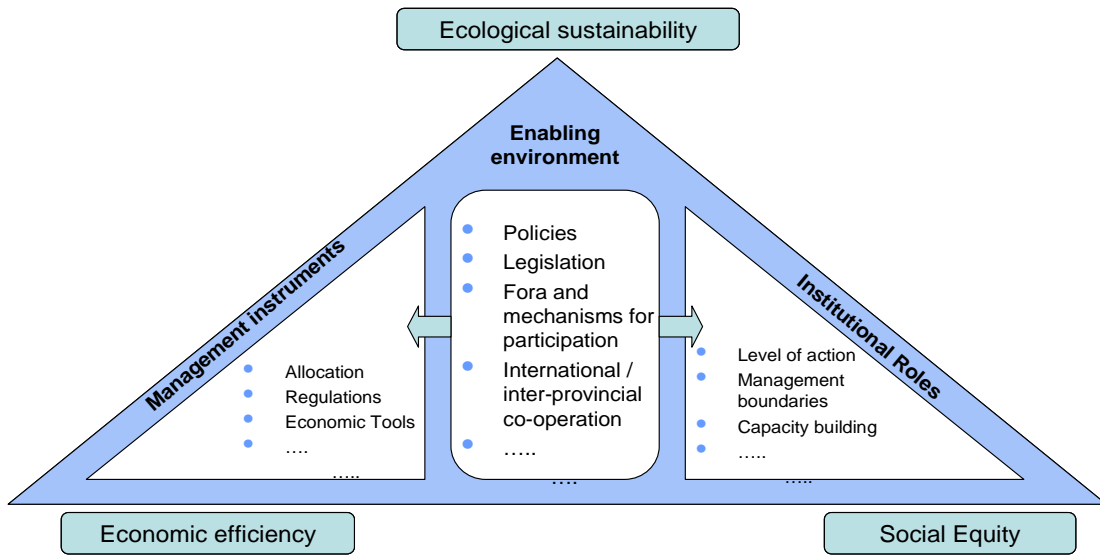
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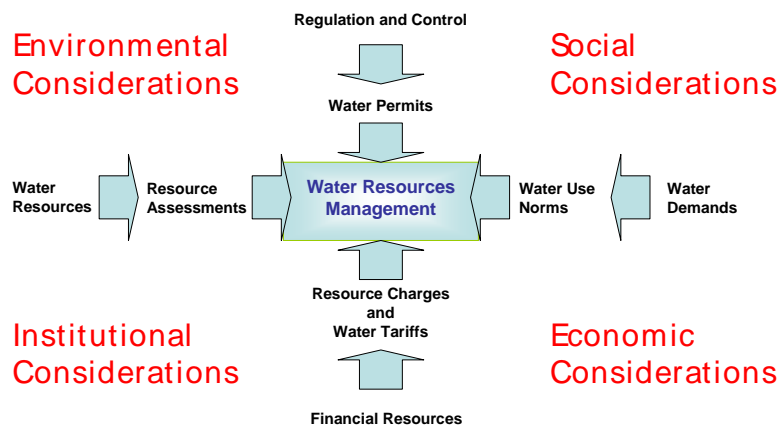
6.
Water
Saving
Society

Integrated Water Resources Management (IWRM)

(Basics after Global Water Partnership)



Driving Elements of Integrated Water Resources Management



(Second figure after WRDMAP)

Summary: This document is intended for Water Affairs Bureaus and Water Management Divisions. It outlines the recommended steps for establishing Water User Associations (WUAs) so that they can become effective for managing irrigation at a local level, ensuring participation by all groups of villagers, and assisting with water savings.

This document is one of a number of supporting materials on water savings and water user associations, including supporting advisory notes on institutional document guides, village level planning, and promoting and training WUAs.

This document has the following sections:

- Introduction
- Prepare for establishment of Water User Associations
- Register Water User Associations, prepare by-laws and hold elections
- Continue capacity building and long-term support services
- Establish and develop a Water User Association Federation

This document is one of a series covering topics on sustainable water resources planning, allocation and management. Details are given in the bibliography. It should be read in conjunction with the Advisory Note 6.2/2: 'WUA Institutional Document Guides' in the same series, which acts as a guide for potential contents of a WUA charter.

The Ministry of Water Resources have supported the Water Resources Demand Management Assistance Project (WRDMAP) to develop this series to support WRD/WAB at provincial, municipal and county levels in their efforts to achieve sustainable water use.

1 Introduction

This document is aimed at City and County-level Water Affairs Bureaus (WABs), together with Water Management Divisions (WMDs) and Stations (WMSs) so that they can support Water User Associations (WUAs) to become strong organisations for water management at a local level.

This guideline supports the document "*Circular On Issuing the Guideline on Implementing the Institutional Reform on Management of Small Scale Rural Water Projects*" Document Shuinong [2003] No. 603, and provides detail on practical steps for how to set up WUAs as defined in Clause B.a.3 of this document.

It also provides guidance on meeting the simplified requirements for registration of WUAs as defined in the "*Circular Concerning the Issuance of Guiding Recommendations on Strengthening the Fostering, Development, Registration, and Administration of Rural Specialized Economic Associations*" Circular 148 (10-2003) issued by the Ministry of Civil Affairs (MCA).

It incorporates the requirements of Ministry of Water Resources, National Development & Reform Commission and Ministry of Civil Affairs "*Recommendations on Strengthening the Development of Farmer Water User Associations*" Document ShuiNong [2005] No.502.

These guidelines present the process of establishing and supporting WUAs in a logical and systematic step-by-step order, as follows:

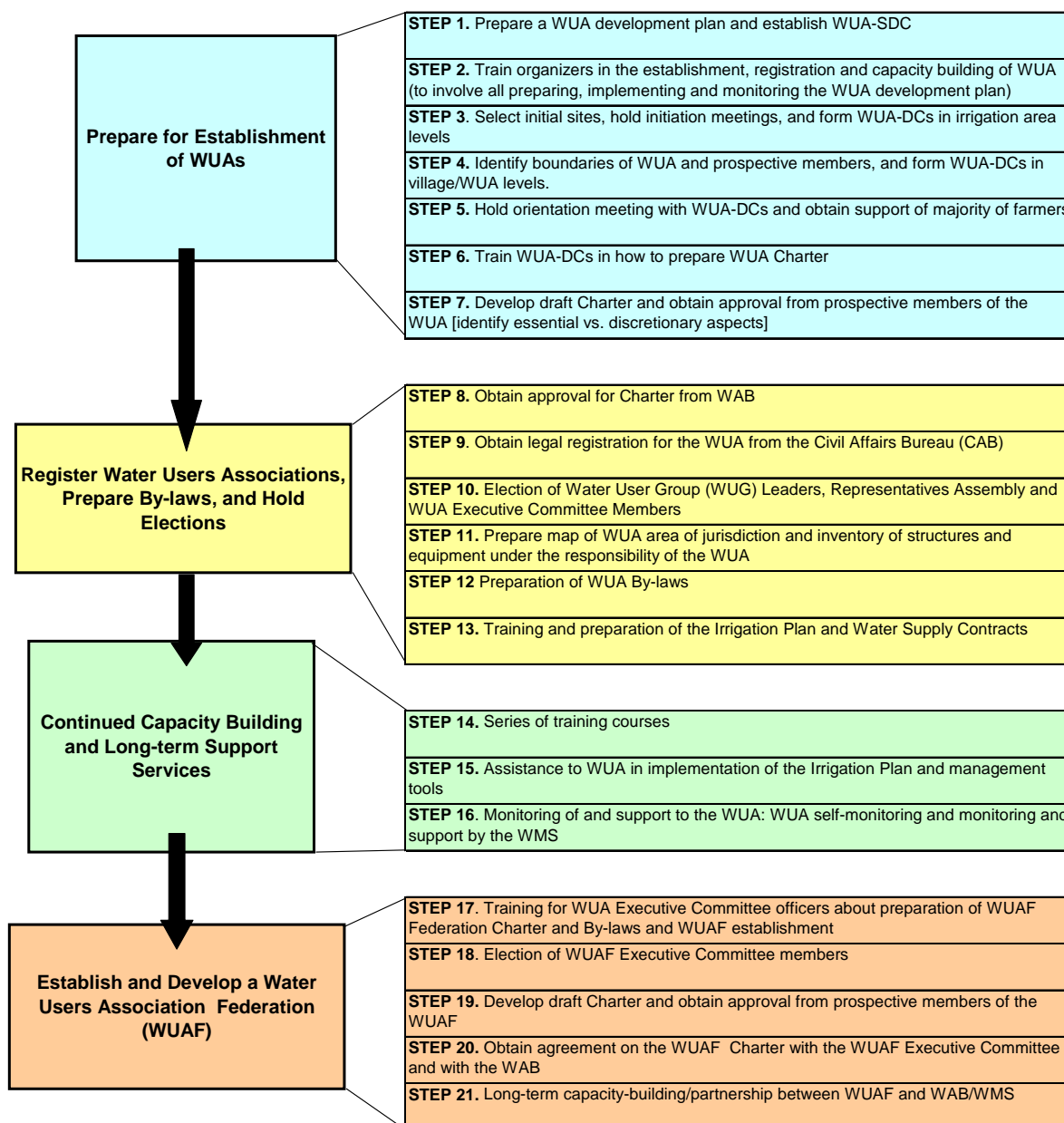
1. Prepare for Establishment of WUAs (Steps 1–7),

- 2. Registering the WUA, Preparing By-laws and Conducting WUA Elections (Steps 8-13),
- 3. Continuing capacity building and provision of support services needed by the WUA (Steps 14-16).

- 4. Establish and Develop a Water Users Association Federation (Steps 17—21)

These steps are illustrated in the flow chart shown in Figure 1.

Figure 1 Flow chart summarising administrative steps for developing strong WUAs



In addition, supporting documents describe in more detail the following topics:

Step(s)	Topic	Document
4, 5	Participatory learning and planning visits	Advisory Note 6.2/3 'Village Level Planning of WUAs'
7, 12, 19	WUA Charters and By-laws	Advisory Note 6.2/2 'WUA Institutional Document Guides'
14	Training and capacity building programmes	Advisory Note 6.2/4 'Promoting and Training of WUAs'

Technical guidance on surface and groundwater monitoring is provided separately.



WUA training

The concept, structure, functions and operations Water User Associations (WUAs) have been refined over the past decade to suit various types of irrigation systems in China. Five principles for successful and sustainable WUAs have emerged; these are consistent with Chinese laws and adaptable to many irrigation conditions:

1. The WUA should be the farmers' own organization.
2. The WUA jurisdiction should be based as far as possible on the hydraulic boundaries of the water distribution system.
3. Water supplied to the WUA should be measured, and water charges based on the volume of water delivered.
4. The WUA should collect water charges from its members and pay them directly to the water supplier.
5. The WUA should have a predictable water supply and distribution system.

This document provides guidelines for setting up WUAs over a large area in accordance with these five guiding principles.

2 Prepare for Establishment of Water Users Associations

STEP 1: Prepare WUA development plan

A program to establish and develop water users associations should be based on a WUA Development Plan. We recommend that this should first be done at the level of the river basin or municipality and then in more detail at county level. It is important that there is a strong high-level commitment among Water Affairs Bureaus (WABs) not only to establish WUA but also to support them in the long term and build their capacity to function well. There should also be a commitment to ensuring that WUAs cover the whole irrigated area so that they take a coherent approach to irrigation management and to water savings.

The plan should be prepared initially by the County WAB, but they should form a WUA Development Support Committees (WUA – DSC) at an early stage. This will have members from the Bureau of Agriculture as well as WAB and other offices agreed by them. A division of roles and tasks for all offices should be prepared and agreed upon.

The steps in preparing the plan are to:

- Identify, locate and assess status of any existing WUAs.
- Agree on and adopt criteria for prioritizing areas for formation of new WUAs or improvement of existing WUAs: WUAs should cover the whole area, but cannot all be formed simultaneously.
- Identify expected results from WUA development in order to make a realistic appraisal of the

timeframe, input requirements, infrastructure improvements, etc.

- Arrange stakeholder consultations on a draft plan, involving both government organisations and water users in order to refine the plan and develop an implementation strategy and schedule according to the priorities of need and available resources (financial, human, etc).
- Designate offices and supporting agencies for implementation in each area, and provide seminars to all of them in order to ensure a common understanding and approach.
- Design and carry out a system of monitoring, evaluation and reporting of implementation and operation progress at all levels, with results aggregated at municipality or river basin level.

Table 1: Steps and roles of organisations for key action: “Prepare for Establishment of Water Users”

Key Action	Steps	Organisations															Relevant Guidance Documents					
		County Level CAB (Civil Affairs Bureau)	WAB (Water Affairs Bureau)	WUA-DSC (WUA Dev Support Committee)	WMD (Water Management District)	WMS (Water Management Station)	WUAF (WUA Federation) Executive Committee	WUAF members	WUA-DC (WUA Development Committee)	WUA Executive Committee	WUA Representative Committee	WUA members	Village and Production Group Leaders	WUG Group leaders	Farmers							
Prepare for Establishment of WUAs	1. Prepare a WUA development plan and establish WUA-SDC		♦																			
	establish WUA-DSC (to include members of Ministries of Agriculture and of Cooperatives as well as WAB and other offices)			♦																		
	2. Train organizers in the establishment, registration and capacity building of WUA (to involve all preparing, implementing and monitoring the WUA development)			♦															ShuiNong[2005] No.502, Recommendations On Strengthening the Development of Farmer Water User Associations.			
	3. Select initial sites, hold initiation meetings, and form WUA-DCs.			♦																		
	form WUA-DCs at irrigation district level																					
	4. Identify boundaries of WUA and prospective members, and form WUA-DCs.			♦																ShuiNong[2005] No.502, Recommendations On Strengthening the Development of Farmer Water User Associations.		
	form WUA-DCs at village/WUA level																					
	5. Hold orientation meeting with WUA-DCs and obtain support of majority of farmers																					
	6. Train WUA-DCs in how to prepare WUA Charter																					
	7. Develop draft Charter and obtain approval from prospective members of the WUA [identify essential vs. discretionary aspects]																			Guide for Potential Contents of WUA Charter (refer to AN6.2/2:WUA Institutional Document Guides) ; ShuiNong[2005] No.502, Recommendations On Strengthening the Development of Farmer Water		
		<p style="text-align: center;">KEY</p> <table border="1" style="width: 100%;"> <tr> <td>Organisations/ people involved in implementation of step</td> <td style="background-color: #00b0f0;"></td> </tr> <tr> <td>Organisation with the responsibility for implementation of step</td> <td style="background-color: #00b0f0; text-align: center;">♦</td> </tr> <tr> <td>Organisation formed through implementing step</td> <td style="background-color: #ff0000;"></td> </tr> </table>															Organisations/ people involved in implementation of step		Organisation with the responsibility for implementation of step	♦	Organisation formed through implementing step	
Organisations/ people involved in implementation of step																						
Organisation with the responsibility for implementation of step	♦																					
Organisation formed through implementing step																						

STEP 2: Train organizers in the establishment, registration and capacity building of water users associations

A training course should be prepared and implemented for all public servants and non-government organizations who are expected to be involved in preparing, implementing and monitoring the WUA Development Plan. This is accordance with ShuiNong [2005] No. 502 which states, with regard to farmer water user association establishment, that it is necessary to “carry out dissemination, mobilization and training activities extensively”.

The training should enable participants to implement the steps in this Guide, comprising:

1. Prepare for Establishment of WUAs (Steps 1–7),
2. Registering the WUA, Preparing By-laws and Conducting WUA Elections (Steps 8-13),
3. Continuing capacity building and provision of support services needed by the WUA (Steps 14-16).

STEP 3: Select initial sites, hold initiation meetings, and form WUA Development Committees or Preparation Group at irrigation district level

The WUA-DSC should first select high priority sites covering an entire ID or branch canal. WUA development should not be done sporadically or in clusters, but covering the whole command area of the selected ID or canal.

At an initial visit the WUA-DSC and village leaders in this command area should discuss:

- Objectives of WUAs and how they fit into the overall structure of irrigation management
- Benefits and costs of the WUA;
- Roles, authority and responsibilities of the WUA and its members and officers;
- Principles of WUA development and methods of organizing them;
- Legal status and registration of the WUA;
- Support services; and
- Other related issues.

Village and production group leaders should be encouraged to support WUA development, but it should be clarified that not all WUA officers should be village officers although they are not excluded. The WAB and village leaders should form a WUA Development Committee (WUA-DC) at ID/canal level, with representation from experienced and respected farmers, some of whom may also be village officers.

STEP 4: Identify boundaries of WUA and prospective members, and form WUA Development Committees at village/WUA level

The WUA–DSC and WUA-DC should facilitate a participatory study with each prospective WUA. This will include definition of the boundaries for each prospective WUA and preparation of a simple map if one does not already exist. Recommendations for delineating WUAs can be found in ShuiNong [2005] No. 502.

These meetings will also enable the villagers to get a better understanding of the WUA concept, and the WUA-DSC to learn about specific local situation requirements – guidance on conducting this first learning visit is provided in Advisory Note 6.2/3 ‘Village Level Planning of WUAs’.

A meeting should be then held with village leaders to discuss the proposed boundaries of the WUA and its subdivision into WUGs. This may need to involve more than one village, depending on the recommended WUA boundaries. A WUA-DC or Preparation Group should then be formed for each WUA.

They should also identify boundaries and composition of Water User Groups (WUGs) which are subdivisions on WUAs.

If WUAs already exist, it may be necessary to adjust the WUA and WUG boundaries to be more consistent with the area irrigated by the main supply canal to the WUA. The command area may be supplied a single canal, or may comprise several tertiary blocks each served by an independent offtake from a WMS-managed supply channel.

STEP 5: Hold orientation meeting with WUA Development Committees and obtain support of majority of farmers

After the WUA-DC is formed by the villages concerned for each prospective WUA, they should hold a planning meeting that is also attended by at least two representatives from the WUA-DSC. The WUA-DSC gives further orientation to the WUA-DC about the objectives, methods and expectations of WUA development. They also discuss the boundaries and membership of the prospective WUA.

Then they help the WUA-DC to prepare a checklist of activities to be implemented. This includes legal registration of the WUA. The WUA-DSC should take care to relate to the WUA-DC more as facilitators and partners than as supervisors.

STEP 6: Train WUA Development Committees in how to prepare WUA Charter

A second meeting is then held between the WUA-DSC and WUA-DC to discuss preparation of the WUA Charter and By-laws, and procedures for election of WUA officers. A model Charter and By-laws and guides for preparing them should be given to the WUA-DC. A member of the WUA-DSC should be assigned to work with the WUA-DC to help them to prepare their own Charter in a way that is consistent with national, provincial and county policy, law and regulations as well as local conditions. It is also important to relate to the WUA-DC in such a way that they feel that the Charter is their own document.

Once the charter has been prepared it will be possible to register the WUA, and then prepare by-laws and hold elections. Procedures for these steps should also be covered in this training programme.

STEP 7: Develop draft Charter and obtain approval from prospective members of the WUA [identify essential vs. discretionary aspects]

With assistance from the WUA-DSC the WUA-DC prepares the Charter for the WUA. After it is drafted a general meeting should be held to enable water users to discuss it, make any revisions needed and approve it. This is in accordance with ShuiNong [2005] No. 502 which states that “The rules and regulations shall be voted on and

finally adopted after water users' democratic discussions".

In general, a WUA Charter should include the following chapters and topics (refer to Advisory Note 6.2/2 'WUA Institutional Document Guides'):

Chapter 1. General Principles and Jurisdiction of the Water Users Association:

scope of management, area of jurisdiction, WUA principles, WUA characteristics, ownership or use rights of the WUA, and methods for guidance and regulation of the WUA.

Chapter 2. Legal Status and Criteria for Membership

the legal status of the WUA, means for establishing and registering the WUA, regulatory authority overseeing the WUA, and criteria for membership in the WUA.

Chapter 3. Establishment of the WUA and Preparation and Adoption of Charter and By-laws.

Chapter 4. Basic roles of the Water Users Association:

for governing water and water users; provision of irrigation services, financial management and mobilization of resources; performance assessment and supervision responsibilities.

Chapter 5. Obligations of the WUA.

Chapter 6. Rights of the WUA.

Chapter 7. Obligations of members of the WUA.

Chapter 8. Rights of members of the WUA.

Chapter 9. Assembly: leadership, structure, responsibilities and elections.

This includes the structure and purposes of the Representative Assembly of the Water Users Association, Water User Groups, WUG

Representatives, WUA Executive Committee. It also describes how elections and removal of officers will be conducted.

Chapter 10. Mobilization and use of finances: water charge collection, payment of water charges, sources of funds for the WUA, use of funds, collection of additional funds from members, and the role of the WUA in financial auditing.

Chapter 11. Relations with government agencies:

may include articles on the obligation of the WUA to assist Government agencies and procedure for seeking assistance from Government agencies.

Chapter 12. Building the capacity of the Water Users Association:

may include articles on the promotion of and participation in training, representation of women and poor farmers, and the possibility of the WUA to participate in a network of water users associations.

Chapter 13. Additive principles:

authority for interpretation of the Charter by the Executive Committee and the means for holding Assembly meetings.

Signatures and Acknowledgements.

Annex 1. Supporting Policies and Legal Issuances.

Annex 2. Situation Map of the WUA.

3 Register Water Users Associations, Prepare By-laws, and Hold Elections

STEP 8: Obtain approval for Charter from Water Affairs Bureau

After the WUA-DC has gained acceptance of the WUA Charter at the general meeting, they should send it to the County WAB for a technical review. The WAB reviews it with the WUA-DSC, and of the final version should be approved by the WAB.

STEP 9: Obtain legal registration for the WUA from the Civil Affairs Bureau

The Charter is then submitted to the county-level Civil Affairs Bureau (CAB) for review and to register the WUA as a legal entity. This is in line with ShuiNong [2005] No. 502. Along with the Charter, the WUA must submit to the CAB the agreed name of the WUA, a clearly defined location of its boundaries, the number of members, titles of the WUA officers and staff, a statement that the WUA is prepared to bear civil liabilities from damages related to its management of irrigation infrastructure, and a deposit. The CAB then registers the WUA with all the rights, privileges and responsibilities pertaining to a legal entity.

With regard to key WUA members, the WUA Executive Committee will usually have a Chairman, one or two Deputy Chairmen, a treasurer/finance officer, a secretary and other members of the Committee for technical or administrative support.

STEP 10: Election of Water User Group Leaders, Representatives and WUA Executive Committee Members

This step is in accordance with recommendations in ShuiNong [2005] No.502. The WUA-DC should next hold a general meeting at which the composition of the representative assembly should be decided. This is typically one representative per five or ten households, so that the assembly can represent the views of all sections of the community without being too large to be effective

Households should be organized into Water Users Groups (WUGs), as defined in Step 4. Each household in a Group votes to select the WUG Leader and at least one or two others (as agreed above) to represent the Group in the Representative Assembly. Each household gets one vote and decides themselves who will vote for their household. Where males are often away from the village working as migrant labourers and the female is doing most of the work on the farm it is recommended that the female adult be the one to vote. Normally, the total number of households exceeds the practical capacity to be accommodated in a general assembly meeting, so a representative assembly should be formed.

Table 2: Steps and roles of organisations for key action: “Register WUAs, prepare by-laws, hold elections”

Key Action	Steps	Organisations															Relevant Guidance Documents		
		County Level CAB (Civil Affairs Bureau)	WAB (Water Affairs Bureau)	WUA-DSC (WUA Dev Support Committee)	WMD (Water Management District)	WMS (Water Management)	WUAF (WUA Federation Executive Committee)	WUAF members	WUA-DC (WUA Development Committee)	WUA Executive Committee	WUA Representative Assembly	WUA members	Village and Production Group Leaders	WUG Group leaders	Farmers				
Register Water Users Associations, Prepare By-laws, and Hold Elections	8. Obtain approval for Charter from WAB																		ShuiNong[2005] No.502, Recommendations On Strengthening the Development of Farmer Water User Associations.
	9. Obtain legal registration for the WUA from the Civil Affairs Bureau (CAB)																		
	10. Election of Water User Group (WUG) Leaders, Representatives Assembly and WUA Executive Committee Members																		ShuiNong[2005] No.502, Recommendations On Strengthening the Development of Farmer Water User Associations.
	form WUGs, WUA representative assembly and WUA																		
	11. Prepare map of WUA area of jurisdiction and inventory of structures and equipment under the responsibility of the WUA																		
	12. Preparation of WUA By-laws																		County governmental document No. 206 [2007], Notice on approving and issuing The Guidelines for strengthening Village WUA Operation and Management in Minqin County, co
	13. Training and preparation of the Irrigation Plan and Water Supply Contracts																		

KEY	
Organisations/ people involved in implementation of step	
Organisation with the responsibility for implementation of step	◆
Organisation formed through implementing step	

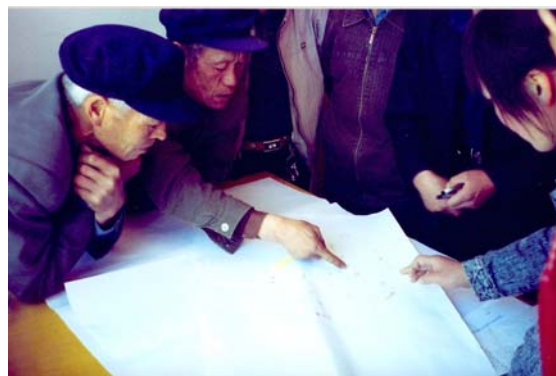
Once the WUG leaders and representatives have been elected, the WUA-DC should organize a General Representatives' Assembly meeting in order to call for nominations to each of the WUA Executive positions. At least two nominees should be identified for each position that is elected. The WUA Chairman, Deputy Chairmen, treasurer/financial officer, secretary and chief technical officer should all be elected by a majority of representatives. Other members of the Executive Committee may be nominated by the WUA Chairman and Deputy Chairmen but should be confirmed by the body of representatives. The WUA-DC members may stand for election if nominated, but it is not essential that they do so.

It should be stressed that not all WUA officers should be village officials, but other experienced and respected farmers may be elected. At least one member of the Executive Committee must be female. The same is true of WUG leaders: production group leaders should neither be automatically selected as WUG leader, nor should they be prevented from being leaders. The tasks of WUA and WUG officers can be quite demanding, and thus it can be advantageous to have farmers who do not have other formal duties in these positions.

Nominations may be done by making a verbal statement in front of the group. Confirmations may be done by raising of hands. The elections, however, should be held by secret ballot. At least one member of the WUA-DSC should attend the initial election of the WUA executive to act as witnesses and help ensure that the process is conducted properly and in accordance with the majority votes of members and representatives.

STEP 11: Prepare map of WUA area of jurisdiction and inventory of structures and equipment under the responsibility of the WUA

The WUA Executive Committee, assisted by the Water management station (WMS), should prepare a map of the WUA area of jurisdiction that indicates all canals, pumps and boundaries of the WUA and WUGs. The map should be based on the simple included in the charter, but should also include further details of the irrigable area within each tertiary/quaternary unit and well command. The inventory should list the size, type and functional condition of all canals, water control and measurement structures, and any other equipment and supplies that are under the responsibility of the WUA to use - including any borrowed or rented from the WMS or third party. The inventory should be dated and attached to the WUA By-laws.



WUA mapping

STEP 12: Preparation of WUA By-laws by WUA Executive Committee and approval by WUA members

The By-laws are the specific rules for how the WUA will implement the roles specified in the Charter. If necessary the WUA-DSC should provide training to the newly-elected WUA and WUG leaders, including some field training to discuss and observe how different functions related to water distribution

and measurement, and canal maintenance should be performed.

The by-laws should cover any requirements laid down in local legal or regulatory documents such as the “*Notice on Approving and Issuing The Guidelines for Strengthening Village WUA Operation and Management in Minqin County*”, which were promulgated by Minqin County Government in the form of county governmental document No. 206 [2007] in November 30, 2007.

The “*Guide for Potential Contents of the WUA By-laws*” (refer to Advisory Note 6.2/2 ‘WUA Institutional Document Guides’) should be used to help the WUA Executive Committee and WUG Leaders design the by-laws and the WUA-DSC should assist them.

Some important topics are sometimes neglected in WUA documents, for example:

- specific rules for water savings,
- exchanges and trading of water between WUA members,
- water distribution by WUGs to each household according to an agreed distribution schedule (this is to minimize conflicts between users and ensure that farmers do not have to use force to obtain their share, thus freeing time for other on-farm or off-farm work),
- operating costs for the WUA, in addition to any water charges payable to the supplier under the water supply contract.

The Executive Committee should prepare the draft By-laws in accordance with local management needs, priorities and capacities. The following is a summary of material that

may go into the by-laws of a WUA. Not all of this will be required in each WUA and there may be a need for additional material that is not mentioned here

Chapter 1. Purpose, contents, preparation and obedience to By-laws.

Chapter 2. Procedure for admitting and removing members: membership arrangements, register of members, membership fee (if any), participation of WMS in WUA activities, resignation and expulsion of members, settlement of debts with the WUA, and appeals against expulsion of members.

Chapter3. WUA Structure, Leadership Positions and Distribution of Responsibilities and Authority.

This may include articles that describe the Representative Assembly; election of WUA Executive Committee members; terms or lengths of office for Executive Committee positions; required qualifications for the WUA Chairman and Deputy Chairmen; responsibilities and functions of the Executive Committee; fairness and objectivity of the Executive Committee; responsibilities of the WUA Chairman and Deputy Chairmen; responsibilities of Water User Group Leaders and WUG Representatives; and an organizational chart for the WUA.

Chapter 4. Procedure for elections, tenure and removing of officers.

This may include articles on voting of members, qualifications for WUA officers, quorum sizes and voting margins, decisions on policies and plans, elections of Executive Committee members, elections of WUG Representatives, tenure of offices, resignations from WUA offices, dismissals, replacements, special provisions for women representatives,

for the representation of members of poor and vulnerable households, and conditions for ineligibility of members to vote.

Chapter 5. Meetings and records.

This may contain the following types of articles: Executive Committee quorum size and decisions, who participates in meetings, open participation in meetings, chairing and reporting of Representative Assembly meetings, subjects for Representative or General Assembly meetings, minutes of meetings, inspection of minutes, what to do in case of deadlock, calls for special assembly meetings, votes in Executive Committee meetings, frequency of meetings, and records to be kept by the WUA.

Chapter 6. Water Rights Certificates and the Annual Water Resources Allocation Plan.

This may include articles explaining implementation steps for the Household Water Rights Certificates, use of Water Rights Certificates, the Water Resources Allocation Plan, applications for water use, and water allocation for domestic and livestock needs.

Chapter 7. Water Services Contracts.

This describes the purpose and rights and responsibilities associated with Water Services Contracts between the WUA and WMSs and WMDs.

Chapter 8. Surface water delivery objectives, procedures and rules.

This may contain articles that describe the procedure for application for surface water, assignments of responsibility for water delivery through the tertiary network, supervising, monitoring and guarding water distribution, groundwater not being substitutable for surface water, how water allocation per person is designated, delivery method for

surface water, monitoring water deliveries, measurement of surface water delivery, and the WUA role in measurement of water.

Chapter 9. Delivery and regulation of groundwater.

This is about the regulation and delivery of groundwater. This may include articles on Water Abstraction Permits, level at which Permits are given, the role of the WUA in preparing Water Abstraction Permits, payment of electricity charges, water required per tubewell, water use applications, plan for irrigation deliveries, measurement of depth to the water table, water supplied after payments for water charges are made, WUA/WUG role in implementation of the IC card system, application for additional water deliveries, start up and completion of lift irrigation seasons, use of large capacity, high lift, large flow pumps, supervising distribution of water, monitoring and guarding water distribution, and rehabilitation of tubewells.

Chapter 10. Closure of Tubewells.

This is about regulated closure of tubewells. It may include articles on how the WUA is to inspect and identify illegal land reclamation and tubewells, the role of the WUA in well closures, promotion of low water consumption crops, adjustments in land and well access needed due to well closures, and assistance to WUA members whose wells have been closed.

Chapter 11. System maintenance and improvement.

This is about system maintenance and improvement. This may include articles on the role of the WUA in irrigation system maintenance, the annual maintenance plan, routine maintenance of canals, guidance of the WUA Federation and WMS, emergency repairs, major

repairs and rehabilitation, training for tubewell maintenance and monitoring, and maintenance and protection of well equipment before winter.

Chapter 12. Collection and payment of water charges. This concerns collection and payment of water charges. It may include articles about the financial status of the WUA, water charges set by Government but based on amount used, collection and submission of water charges, water charges and actual deliveries, payments by those who do not receive water, financial sources and funds for WUA operation and management, funds for WUA operations and maintenance, strict control over WUA funds collected, records of funds and assets, reporting to WUA members, contracts and control over use of funds, misappropriation of assets or funds of the WUA, the WUA bank account, compliance with Government regulations, unannounced inspections, salaries or honoraria for the Chairman and Deputy Chairmen, conditions for payment of salaries, assistance for poor households, and payments for Water Abstraction Permits.

Chapter 13. Dispute resolution and sanctions. This may include sections on the responsibility of the WUA for dispute resolution, the emphasis on negotiation, use of sanctions, sanctions against water theft, handling complaints of WUA members, and WUA not being liable for unauthorized behaviour of members.

Chapter 14. Procedure for amending By-laws. This may include articles on how to amend the By-laws, the procedure for review of amendments by Government, and deference to Government laws and regulations.

Signatures and Acknowledgements. These are based upon the current

procedure for establishment and legal registration of Village Water Users Associations in the counties of the river basin and the assumption that adoption of By-laws requires less review and approval than that of the Charter.

Annex 1. Inventory of Assets. This is recommended in order to provide a formal record of all assets for which the WUA is responsible, both those owned by the WUA and those for which only use rights have been given.

The By-laws are not a legal instrument and do not require the approval of the Township or County government. They are a document for the WUA itself. However, the By-laws should be reviewed carefully and approved at the appropriate level of the Water Affairs Bureau to ensure that they are clear, practical, comprehensive and compatible with irrigation policies and regulations.

STEP 13: Training and preparation of the Irrigation Plan and Water Supply Contracts

Although the Water Resources Allocation Plan directs how water will be allocated down to the tertiary and farm levels, the WUA also plays a role in distributing water and implementing annual and seasonal maintenance activities within the tertiary block(s). So the WUA needs to have its own simple Irrigation Plan in order to ensure that it can deliver water to each household in accordance with its rights. This plan should be prepared by the WUA Executive Committee and approved by the Representative Assembly just before the irrigation season begins. It describes what actions will be taken, and when, by WUA or WUG officers or members with regard to surface and ground water distribution, water measurement, maintenance and

repairs, and collection of fees. It should specify the list of repair works that are needed, including planned date of implementation and who will provide what materials and labour.

In accordance with current regulations the WUA and WMS are supposed to prepare and sign an annual Water Supply Contract that specifies how much water will be allocated to the WUA at what times of the year. It should also state the terms and conditions that must be met by the WUA in order to be eligible to receive water, including submission of water charges to the WMS and channel cleaning prior to the irrigation season. The Contract should also state the division of responsibilities between the WMS and WUA.

4 Continue Capacity Building and Long-term Support Services

STEP 14: Series of training courses

The need for long-term capacity building is indicated in Document ShuiNong [2005] No.502.

This will include a series of training courses needed by the WUA and WMS staff over time after the WUA is organized. Likely topics will include the following: water distribution, water application, maintenance and repairs, leadership and administration, financial management, legal issues and dispute resolution, cultivation and water management for new crops for water savings, and monitoring and evaluation. International experience suggests that in order for WUA to become effective, water sector agencies need to conduct a long-term program of intermittent training events and consultation.

STEP 15: Assistance to WUA in implementation of the Irrigation Plan and management tools

The WMS should monitor and assist the WUA to implement the Irrigation Plan and provide whatever technical assistance that might be needed, including on-the-job training for the WUA. They should also remind and help the WUA to adopt management tools that were introduced in the training.

STEP 16: Monitoring of and support to the WUA – WUA self-monitoring and monitoring and support by the WMS

Self-monitoring by the WUA is an important requirement for the WUA to become a sustainable organisation, able to adapt to its changing requirements. Training is needed to help the WUA undertake this, as is outlined in Step 14. Further guidance is given on this topic in Advisory Note 6.2/4 'Promoting and Training of WUAs' with technical advice on monitoring groundwater in Advisory Note 2.6/2 'Groundwater Monitoring at Village Levels'.

The Water Management Station (WMS) should take on the role of monitoring the activities of the WUA. This should include periodic visiting of the WUA, attendance at WUA assembly meetings, attendance at some WUA Executive Committee meetings, visiting the tertiary offtake and canals during the delivery of water from the surface canal and occasional visits to tubewells that are being closed down or have already been closed down.

Table 3: Steps and roles of organisations for key action: “Continued Capacity Building and Long Term Support Services”

Key Action	Steps	Organisations														Relevant Guidance Documents										
		County Level CAB (Civil Affairs Bureau)	WAB (Water Affairs Bureau)	WUA-DSC (WUA Dev Support Committee)	WMD (Water Management District)	WMS (Water Monitoring Station)	WUAF (WUA Federation) Executive Committee	WUAF members	WUA-DC (WUA Development Committee)	WUA Executive Committee	WUA Representative Assembly	WUA members	Village and Production Group Leaders	WUG Group leaders	Farmers											
Continued Capacity Building and Long-term Support Services	14. Series of training courses																									
	15. Assistance to WUA in implementation of the Irrigation Plan and management tools																									
	16. Monitoring of and support to the WUA: WUA self-monitoring and monitoring and support by the WMS																									
<p style="text-align: center;">KEY</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 80%;">Organisations/ people involved in implementation of step</td> <td style="width: 20%; text-align: center;">■</td> </tr> <tr> <td>Organisation with the responsibility for implementation of step</td> <td style="text-align: center;">◆</td> </tr> <tr> <td>Organisation formed as part of step</td> <td style="text-align: center;">■</td> </tr> </table>																					Organisations/ people involved in implementation of step	■	Organisation with the responsibility for implementation of step	◆	Organisation formed as part of step	■
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Organisation with the responsibility for implementation of step	◆																									
Organisation formed as part of step	■																									

5 Establish and Develop a Water Users Association Federation

STEP 17: Training for WUA Executive Committee officers about preparation of WUA Federation Charter and By-laws and WUA Federation establishment

Once the WUAs are well-established the WUA-DSC should help form a Federation of WUAs (WUAF). Initially they should provide a one-day training course for selected WUA Executive Committee officers. This should focus on enabling representatives of WUA Executive Committees to prepare a Charter for establishment and functioning of the Federation of WUAs. We believe that at present it is not necessary for the Federation of WUAs to have legal status, nor is it necessary for it to prepare By-laws since its focus is on coordination rather than implementation. It can be an informal association of all WUAs that share a branch or main canal. The Federation of WUAs represents the interests of the WUAs at the branch or main canal level for decisions and activities that involve them.

The Federation of WUAs may assist in the scheduling of water deliveries and maintenance and repair of the branch or main canal. It may help arrange mobilization of emergency or incidental repair works along the branch or main canal. Over time the WUA Federation may evolve and take on additional tasks if needed and when it may become able to do so.

Documentation for WUAFs should include maps of the WUA Federation area. It should also include a list of members of the WUA Federation and procedures for electing the WUA Federation Executive Committee.

STEP 18: Election of WUA Federation Executive Committee members

Normally the WUA Federation Executive Committee will consist of a WUA Federation Chairman, two Deputy Chairmen and Representative and Alternate Representative from each WUA. This could be selected by open vote with show of hands. After this the WUA Federation Executive Committee should select a committee to prepare the draft Charter or Memorandum of Agreement.

STEP 19: Develop draft Charter and obtain approval from prospective members of the WUA Federation

The committee formed by the Federation of WUA should prepare the draft Charter. This Charter is the basic document about the role, functions and structure of the WUA Federation. The Charter will be simpler than the WUA-level Charter because the WUA Federation will not be a legal entity and will have less to do than a WUA. It is primarily a consultative and coordinating entity with the WMS and WMD – which will remain in charge of management of the branch and main canals although over time additional functions might be given to the Federation of WUA. Refer to Advisory Note 6.2/2 'WUA Institutional Document Guides'.

Table 4: Steps and roles of organisations for key action: “Continued Capacity Building and Long Term Support Services”

Key Action	Steps	Organisations														Relevant Guidance Documents	
		County Level CAB (Civil Affairs Bureau)	WAB (Water Affairs Bureau)	WUA-DSC (WUA Dev Support Committee)	WMD (Water Management District)	WMS (Water Monitoring Station)	WUAF (WUA Federation) Executive Committee	WUAF members	WUA-DC (WUA Development Committee)	WUA Executive Committee	WUA Representative Assembly	WUA members	Village and Production Group Leaders	WUG Group leaders	Farmers		
Establish and Develop a Water Users Association Federation (WUAF)	17. Training for WUA Executive Committee officers about preparation of WUAF Federation Charter and By-laws and WUAF establishment			♦													
	18. Election of WUAF Executive Committee members			♦													
	form WUAF Executive Committee																
	19. Develop draft Charter and obtain approval from prospective members of the WUAF																
	20. Obtain agreement on the WUAF Charter with the WUAF Executive Committee and with the WAB																
	21. Long-term capacity-building/partnership between WUAF and WAB/WMS																
	KEY																
	Organisations/ people involved in implementation of step																
	Organisation with the responsibility for implementation of step																
	Organisation formed through implementing step																

STEP 20: Obtain agreement on the WUA Federation Charter with the WUA Federation Executive Committee and with the Water Affairs Bureau

When the drafting committee completes preparation of the draft Charter, a meeting of the Executive Committee of the Federation of WUA is held and they discuss, revise and finalize the Charter. After any revisions are made the documents are submitted to the WAB for its review and agreement.

STEP 21: Long-term capacity-building/partnership between WUA Federation and WAB/WMS

The WAB and WMS commit themselves to a long-term relationship with the WUA Federation that is based on the principles of partnership and capacity building of the WUA Federation. This includes holding meetings with WUA Federation officers at least twice a year and discussing the Water Resources Allocation Plan and maintenance and repair priorities and what roles the WUA Federation may play in these activities.

Document Reference Sheet

Glossary:

ID	Irrigation District
Representative Assembly	An elected body of farmers vested with the responsibility and power to make decisions relating to the WUA. These decisions could include: who will collect fees, terms of reference for the executive committee, and penalties for breaking the rules.
WAB	Water Affairs Bureau (at various levels)
WMD	Water Management Division
WMS	Water Management Station
WUA Development Support Committee (WUA – DSC)	Committee chaired by staff of the Water Affairs Bureau, but including members from the Department of Agriculture and other relevant departments
WUA Development Committee (WUA-DC)	Made up of selected small groups from each village within the WUA. It is expected that it would include experienced and respected farmers,
WUA Executive Committee	An elected group with the powers to make decisions on behalf of the WUA, Likely to include a WUA Chairman, one or two WUA Deputy Chairmen, a treasurer/finance officer, a secretary and other members of the Committee for technical or administrative support.
WUA Charter	Legal document outlining the principles, functions, and organization of the WUA. Should be consistent with national, provincial and county policy, law and regulations as well as local conditions.
WUA By-Laws	The By-laws are the specific rules for how the WUA will implement the roles specified in the Charter. The Executive Committee should prepare the draft By-laws in accordance with local management needs, priorities and capacities. By-laws are not a legal instrument and do not require the approval of the Township or County government.
WUAF	<i>Federation of WUAs:</i> An informal association of all WUAs that share a branch or main canal. The Federation of WUA represents the interests of the WUA at the branch or main canal level for decisions and activities that involve them. Does not necessarily need a legal status,
WUG	Water User Group (subdivision of WUA)

Bibliography:

Circular on Issuing the Guideline on Implementing the Institutional Reform on Management of Small Scale Rural Water Projects. Document Shuinong [2003] No. 603.

Circular Concerning the Issuance of “Guiding Recommendations on Strengthening the Fostering, Development, Registration, and Administration of Rural Specialized Economic Associations” Circular 148 (10-2003). Ministry of Civil Affairs (MCA)

Recommendations on Strengthening the Development of Farmer Water User Associations. Document ShuiNong [2005] No.502. Ministry of Water Resources, National Development & Reform Commission and Ministry of Civil Affairs.

Notice on Approving and Issuing The Guidelines for Strengthening Village WUA Operation and Management in Minqin County. No. 206 [2007]. Minqin County Government.

Related materials from the MWR IWRM Document Series:

Advisory Note 6.1/1	Role of Water Use Associations in Water Saving in Groundwater
Advisory Note 6.1/2	Farmers Guide to Groundwater Water User Associations
Advisory Note 6.2/2	WUA Institutional Document Guides
Advisory Note 6.2/3	Village Level Planning of WUAs
Advisory Note 6.2/4	Promoting and Training WUAs
Thematic Paper 6.3/2	Assessing the Impact of IWRM on Women’s Status and Conditions

Where to find more information on IWRM – recommended websites:

Ministry of Water Resources: www.mwr.gov.cn

Global Water Partnership: www.gwpforum.org

WRDMAP Project Website: www.wrdmap.com

China – UK, WRDMAP

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