

**Uttarakhand
Decentralized Watershed Development II Project
(GRAMYA – II)**

Project Operation Manual



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| FORMATS | ES-1 to ES-6 | Related to ESMF |
| | A-1 to A4 | Related to MoUs with GP |
| | VGf-1 | Related to VG Fund |
| | GP-1 | Related to GPWDP |
| | F-1 to F-8 | Related to Finance & Procurement |
| | E-5 & W-5 | Related to Procurement of Goods & Works through shopping |

ABBREVIATIONS

| | |
|-------|--|
| ABSO | Agribusiness Support Organization |
| AA | Accounts Assistant |
| AWP | Annual Work Plan |
| BAIF | Bharatiya Agro Industries Foundation |
| CBOs | Community-based Organizations |
| CPD | Chief Project Director |
| DPD | Deputy Project Director |
| EC | Executive Committee of the Revenue Village Committee |
| ESMF | Environmental and Social Management Framework |
| ESCP | Environment and Social Code of Practice |
| EDP | Entrepreneurship Development Program |
| ESG | Environment and Social Guidelines |
| FIG | Farmer Interest Group |
| FF | Farmers Federation |
| FNGO | Field Non-Governmental Organization |
| GP | Gram Panchayat |
| GPWDP | Gram Panchayat Watershed Development Plan |
| GS | Gram Sabha |
| IGA | Income Generating Activity |
| M&L | Monitoring and Learning |
| MB | Measurement Book |
| MDT | Multi-Disciplinary Team |
| MWS | Micro-Watershed |
| O&M | Operations and Maintenance |
| PC | Procurement Sub-Committee |
| PD | Project Director |
| PNGO | Partner Non-Governmental Organization |
| PPP | Public-Private Partnership |
| POM | Project Operational Manual |
| PRA | Participatory Rural Appraisal |
| PRIs | Panchayati Raj Institutions |
| RF | Revolving Fund |
| RFQ | Request for Quotation |
| RVC | Revenue Village Committee |
| SC | Scheduled Castes |
| SHG | Self-Help Group |
| SPA | Sub-Project Agreement |
| ST | Scheduled Tribes |
| UDWDP | Uttarakhand Decentralized Watershed Development Project (Gramya) |
| UK | Uttarakhand |
| VGf | Vulnerable Group Fund |
| VM | Village Motivator |
| VP | Van Panchayat |
| WMD | Watershed Management Directorate |
| WWMC | Water & Watershed Management Committee |

ABOUT THE MANUAL

This Operation Manual (OM) has been prepared by the project management to facilitate the fullest participation of all the project stakeholders in the planning, implementation and monitoring of Uttarakhand Decentralized Watershed Development Project Phase-II (UDWDP-II).

The OM describes the project objectives and the project components and the arrangements proposed to attain the project objectives. It also describes the various partners in the project and the role and responsibility of each of them. The arrangements made for the various institutions at village, district or state level who will be involved in the implementation of activities in the project are also described. The arrangements made for sustainability of village level institutions and for the long term operation and maintenance of assets developed in rural areas by facilitation of the project are also described. The salient features of formulation of the Gram Panchayat Watershed Development Plan, the mechanism of fund flow to and by Gram Panchayats, the provisions for procurement by Gram Panchayat are enumerated. The Monitoring and Evaluation arrangements for the key indicators of Project development objectives are enclosed.

The OM is a live document and may be changed as and when required as learning accumulates within the project. All participants in the UDWDP-II are encouraged to share their learning from their experience of the project implementation so as to improve the arrangements made for implementation of UDWDP-II to attain the project objectives.

CHAPTER-1

INTRODUCTION

WATERSHED CONCEPT

Watershed is a hydrological unit from which the runoff drains to a common outlet. It is also a catchment area of a particular stream or river. More simply, it refers to an area where the water to a particular drainage system, like a river or stream, comes from. Every stream, tributary, or river has an associated watershed, and small watersheds aggregate together to become larger watersheds.

WATERSHED DEVELOPMENT

Watersheds are occupied, utilized and altered by human beings. Some communities evolve naturally and adapt their survival and livelihood strategies in accordance with the ecological flow of watershed. On the other hand some communities fight with the natural system to use it for their profit in shorter period of time and consequently affect it adversely. Therefore watershed development should aim at the conservation, regeneration and judicious use of all the resources-natural (land, water, plants, animals) and human in a particular watershed. It must try to bring about the best possible balance in the environment between natural resources on one side, and human and other living beings on the other because people and their environment are interdependent and a degraded environment will always result in a degraded quality of life of the people. Efforts to reduce poverty and improve the standard of living of the people must aim at improving the environment they live in.

A watershed provides a natural and ideal environmental unit for planning development initiatives. Projects that operate at level of watershed comprising villages, primarily focus on conserving soil and water for rain fed agriculture, recharging of underground water and capturing surface runoff into ponds, trenches and other similar structures meant for water storage. Therefore activities in a good watershed programme will always attempt to manage hydrological relationship to optimize the use of natural resources i.e. forests, land and water for conservation, production and alleviation of the watershed and therefore the watershed development has become an important component of rural development.

WATERSHED DEVELOPMENT IN UTTARAKHAND

Uttarakhand being a hilly state is prone to soil erosion and landslides. Besides numerous resources like forests, pastures, and water sources are often a common property in a watershed. A huge landslide in 1970 which created a lake on the river Alaknanda caused severe damage to the downstream villages due to its burst. Another devastating flood caused by the river Bhagirathi in 1978 in the district Uttarkashi forced the then government of Uttar Pradesh to take remedial and corrective measures. Consequently Watershed Management Directorate was established in 1982 under the forest department to take care of watershed management in hills of Uttar Pradesh now known as a separate state of Uttarakhand. Since then, the WMD has taken up eight externally aided watershed projects.

The last UDWDP-I, which was successfully implemented by the WMD and ranked satisfactory by the World Bank. Learning of this project will be the platform for the UDWDP Phase-II.

Learning of the UDWDP-I

- Innovative approaches which are sustainable, can be up-scaled and replicated
- Involvement of women social mobilization workers at different levels ;
 - ❖ Village level – Through village motivators
 - ❖ Cluster of Gram Panchayat level – Through Woman Facilitator
 - ❖ Divisional level – Through Woman Coordinator
 - ❖ Regional level – Through Woman Convener
 - ❖ State level – Through Social Development Specialist
- Women Aam-Sabha – to ensure and address problems of women through the project
- Financial empowerment to Gram Panchayat – The Project fund is disbursed from a dedicated account operated jointly by Gram Pradhan and a Woman Ward Member.
- A dedicated Account Assistant at Gram Panchayat level to assist the Panchayat in keeping the Financial & Audit records.

- Involvement of Non Government Organizations (NGOs) as Partner NGOs, Field NGOs, Agribusiness Support Agency and External Agency for Monitoring & Evaluation.
- Vulnerable Group Fund for livelihood interventions for vulnerable households.
- Social audit through Participatory Monitoring & Evaluation (PME) by Stakeholders.
- Involvement of community in planning, implementation and Cost sharing.
- Alternate Energy Programme through Pine Briquetting interventions
- Enhancing administrative and financial management capacity of the GPs through training and exposure visit.
- Sustainability of Assets through the involvement of User's Groups and other village level entities.
- Agribusiness interventions supported by Divisional Support Agency, through FIGs, Federations.
- Establishment of processing units for value addition of the products and market linkages.

Based upon learnings of the past projects run by WMD, it is imperative that the project objectives are best achieved when the community is the primary driver of the project and takes most decisions in planning and implementation. Gradual changes in the planning process of India also indicate the increasing role of PRIs and communities and this change has become more noticeable after 73rd amendment of the Constitution by which panchayat were accorded a constitutional status and consequently vested in with more powers and responsibility to take up different works at panchayat level. Therefore, it becomes more than essential to involve PRIs and village community in planning and implementation of the project. In parallel, science and cutting-edge technology in hydrology cannot be overemphasized: watershed development should balance participation and science in its design and implementation. Keeping these things and past learnings of the different projects, UDWDP-II has been designed as a project which will be driven, owned, managed, planned and implemented by the community through participatory approach involving all stake holders at GP level. The project staff and NGOs will be there as facilitators to facilitate community regarding planning, implementation and management of the project.

The project is based on joint relationship of three different but inseparable entities: (i) Village community and GPs; (ii) Multidisciplinary Team of WMD (iii) NGOs and other service providers. All these will discharge their respective roles and responsibilities for the project to make it a successful one.

Fundamentals of Participatory Approach in the Project

Ownership: It is in the best interest of project and community when each member of the village community takes full and effective participation in the project. The community can display its strong sense of ownership by agreeing to share project costs by contributing time and money for project activities.

Accountability: All individuals, RVCs, User Groups, livelihood activity groups and the Water and Watershed Management Committee (WWMC) of the GP will report to and implement decisions taken by the Gram-Sabha. It must be understood that the GP, WWMC and the RVC have been formed to represent the community, not to replace them. Therefore, they must honor the priorities of the community and work towards meeting their needs. Further, it shall be the responsibility of the GP and RVCs to keep everyone well informed on all developments and decisions and consult the community regularly on all issues.

Transparency: All proceeding and records of the project will be accessible to all. This shall be joint responsibility of the Gram Pradhan, WWMC and the Account Assistant. All transactions should be recorded immediately. Both these requirements will ensure a high level of trust among the community members for each other. Some specific provisions to ensure complete transparency are:

- Display of the annual physical and financial achievements GPWDP through wall paintings on a public place accessible to all .
- The GP shall present the accounts of the project to the Gram Sabha at least once in a quarter.

Cost-effectiveness: The project money belongs to the community and everyone has to treat it that way. Best quality has to be achieved through least expenditure. Savings may be achieved in purchase of goods, in negotiating with a contractor, or through better

management of implementation plans. However, at no point, quality of the work or material should be compromised.

Participation of disadvantaged groups: Care must be taken that the disadvantaged groups are profited equally from this project. The GPWDP will also incorporate provisions to benefit women, the poor, landless laborers, marginal farmers, members of the Scheduled Castes and Tribes, and transhumant populations. Social equity which is a must for overall development of the village, will be cornerstone of this project.

The present project which will be based on the broad parameters of community participation given above will strive to achieve its objective. The project description, its components and modalities of planning, implementation and consolidation are given in detail in forthcoming chapters. The project team sincerely hopes that this manual will be a great help to project functionaries.



CHAPTER-2

THE PROJECT

PROJECT STRATEGY

In the hill State of Uttarakhand water, agriculture, forestry and energy are some of the issues which form the core strategy for the State's future growth. In the State, over three-fourth of the total population depends upon agriculture for its livelihood and most of the landholdings are small and scattered. Out of the total 4.96 lakh hectares cultivated area in the hill districts, nearly 80% is rainfed. Poverty is a serious problem with 36.5% of the State's population living below the poverty line and the situation is even worse in mountain areas where about 38.5% of the population is living below the poverty line. It is vital for the development strategy of the State to incorporate the natural resource friendly practices in a participatory way.

Watershed development is of primary focus as it encompasses all the available natural resources in the given region. It is viewed, as a means of sustainably increasing productivity of rainfed agriculture in the ecologically fragile and erosion prone areas of our State.

The State has valuable experiences of implementing a number of externally aided watershed development projects. The previous World Bank Aided Uttarakhand Decentralized Watershed Development Project (UDWDP) IDA 3907-IN was implemented by the Watershed Management Directorate. The project with a period of seven years was completed by March, 2012. The project had considerable success in achieving its development objective targets.

The Project implementation envisages a decentralized and participatory approach with financial autonomy to the PRIs, (legal institution under 73rd amendment) thereby improving and ensuring efficient process delivery system. Institution building at the community level is the prime focus of the Project. Community-based Organizations (CBOs) in the Project areas would be consolidated and strengthened through various capacity development initiatives so that they are sustainable – developing forward and backward linkages between the farmers and market. Capacity development of the human

resources at all the levels i.e. the stakeholders and the Project implementation team is a continuous process and would be one of the major components of the proposed Project.

The Project will bring together various rural development schemes on one synergetic platform. At the time of Project planning all the activities proposed by the community are incorporated subjected to ESMF guideline and the GP budget, in the Gram Panchayat Watershed Development Plans and is a useful tool for convergence with various rural development programmes.

Through the Project the gender issues will be addressed by ensuring 50% participation of women in all the activities. Women general body meeting (Mahila Aam Sabha) is a unique feature in the Project for decision making. Improvement in income of the rural inhabitants and reduced drudgery amongst women, would improve their food, nutritional and health security indicators.

The proposed Project would be based on various environmentally sustainable and energy efficient approaches like organic farming, use of various alternate fuel based devices, initiatives towards fuel switch, various soil and moisture conservation activities to improve the moisture regime for agriculture. The Project would envisage an increase in vegetation and biomass index with increase in bio diversity for enhanced carbon sequestration.

Many best practices have been evolved at the Watershed Management Directorate level through implementation of various externally aided Projects. Practices like- Interventions for transhumant population, support to Vulnerable Groups for income generation activities, Pine Briquetting, Agribusiness would improve the livelihood status of community on a sustainable basis, while other best practices like - Transparency, Accountability and Grievance Redressal Mechanism and Participatory Monitoring And Evaluation (PME) would ensure a transparent social audit system in place for an adequate term.

The proposed Project would be implementing various improvement measures in the accounting system and would provide financial autonomy to the Panchayati Raj Institutions. The co-signatory at the Gram Panchayat level would be the Gram Pradhan and women ward member. Through Participatory Monitoring and Evaluation as a social audit tool, the community ensures total transparency in physical and financial progress of

the Project. PME is also a very effective tool for grievance redressal and conflict resolution. The farmer federations in the Project area are being registered under the Self Reliant Cooperative Act, 2003¹ to ensure sustenance of the agribusiness initiatives in the Project. All Agribusiness activities would be sustained through federations in a PPP mode.

The proposed Project seeks to strengthen the PRIs by ensuring that the community plans, implements, manages and monitors the Project itself. The Project team is using Financial Management Information System (FMIS) in monitoring the physical and financial progress of the Project. Modern tools like the Geographical Information System (GIS), Global Positioning System (GPS), Weather Stations and Remote Sensing are used for planning, monitoring and evaluation of the Project. The e-procurement initiated in the State would also be used in the Project. Apart from above, online submission of reimbursement, the Citizen Charter and regularly updated Website are steps towards e-governance.

The entire Project design is based on increasing community mobilization, and awareness which can be upscaled and replicated in other Government programmes and schemes. Community management of the assets created is one of the major underlying themes of the Project. Chir pine briquetting, Agribusiness models, Napier grass plantation etc. are few innovative elements of the Project which have reasonable chances of changing the life of community for betterment.

The proposed Project would ensure financial sustainability and O&M of various assets created through beneficiary contribution, formation of user groups and collection of user charges, thus creating a revolving fund at community level. The marginalized and the socio economically backward community would be provided income generating activities through the Vulnerable Group Fund and converging them with NRLM schemes for their sustainability. The Farmers Interest Groups (FIGs) created would be federated and registered to make these institutions financially sustainable in the future.

The proposed Project would use a different financial modality in treating the Reserve Forests areas through Van Panchayats. The funding for which would be routed through the Gram Panchayats. Another innovative modality is replacing Panchayat Secretary as a co-signatory with an elected women ward member of the Gram Panchayat. Similarly all

¹ <http://www.cdf-sahavikasa.net/Uttaranchal%20Act.pdf>

the procurement agencies would be receiving the fund from GP. A dedicated Account Assistant at GP level and a mandatory Annual Audit of GP would ensure transparent financial transactions at GP level.

The Project proposes to catalyze private sector financing to up-scale and consolidate the Agribusiness initiatives in the Project area where PPPs of the farmer federations, private entrepreneurs (Divisional Support Agency) with market and Project team would provide for forward and backward linkages to the farmers.

PROJECT DEVELOPMENT OBJECTIVE (PDO)

To increase the efficiency of natural resource use and productivity of rain-fed agriculture by participating communities in selected micro watersheds of the Uttarakhand state.

PROJECT PERIOD

The project will be implemented in seven years from 2014 to 2021. This period will be divided in three phases: The Preparatory phase, Implementation and Consolidation phase.

PROJECT AREA

UDWDP-II is proposed to be implemented in the villages of 82 micro watersheds of middle Himalayas, lying between 700m and 2700 m above sea level. The focus of this project is to develop and enhance productivity of rain fed areas by adopting a participatory watershed management approach therefore about 509 GPs of state which have maximum problems of erosion, poverty and lack of infrastructure facilities have been chosen for the implementation of the project. The details are as given below:-



Details of Project Area Selected for UDWDP - II

| DISTRICT | Development Blocks | No. of MWS | Area (Ha.) | Forest Area (Ha.) | Agriculture Area (Ha.) | Blank (Ha.) | Gram Panchayat | | | No of Revenue Villages |
|-------------|-------------------------------|------------|------------|-------------------|------------------------|-------------|----------------|------------|------------|------------------------|
| | | | | | | | No. | Aera (Ha.) | Population | |
| Almora | Dhauladevi, Bhasiyanchana | 9 | 28396 | 14987 | 12303 | 1106 | 90 | 24740.32 | 49747 | 192 |
| Uttarkashi | Mori, Naugaon, Purola | 17 | 45103 | 31233 | 9727 | 4143 | 62 | 10330.82 | 43672 | 119 |
| Dehradun | Kalsi, Chakrata | 9 | 29242 | 8778 | 8270 | 12194 | 58 | 22604.77 | 37332 | 79 |
| Tehri | Jaunpur | 13 | 31730 | 11977 | 8306 | 11447 | 78 | 17668.78 | 36582 | 148 |
| Rudraprayag | Ukhimath, Jakholi, Augustmuni | 6 | 19201 | 11609 | 7449 | 143 | 64 | 8731.10 | 49812 | 118 |
| Pithoragarh | Munsiyari, Didihat, Berinag | 9 | 25739 | 17206 | 6350 | 2383 | 64 | 22018.61 | 25684 | 142 |
| Bageshwar | Kapkot | 11 | 55296 | 35666 | 6672 | 12920 | 43 | 35059.60 | 33420 | 78 |
| Pauri | Pokhara, Ekeshwar | 7 | 26713 | 9373 | 10980 | 6360 | 64 | 12643.38 | 22921 | 185 |
| Model MWS | Raipur | 1 | 2417 | 1365 | 789 | 95 | 7 | 4118.95 | 2928 | 23 |
| 8 | 18 | 82 | 263837 | 142194 | 70846 | 50791 | 530 | 157916.34 | 302098 | 1084 |

Note: The list of GPs and Revenue Villages is available on following WMD websites:
www.wmduk.gov.in, www.gramya.in

PROJECT COMPONENTS

The project funds will be used in following main areas:

Component 1: Social Mobilization and Participatory Watershed Planning

This component which will cover the planning phase of the project in 509 targeted GPs of 82 selected micro watersheds would promote social capital formation and develop effective, integrated and coordinated Gram Panchayat Watershed Development Plans (GPWDPs). These GPWDPs would be supported by a comprehensive digital database and new decision-support tools, as well as orientation and awareness-building activities about the vision, scope and proposed interventions under the Project. Participating GPs would be assisted in social mobilization and preparation of comprehensive GPWDPs covering arable land in all revenue villages in the GP. As under the Gramya I, Services of FNGOs will be used for social mobilization under Gramya II. The GPWDPs would be prepared by the GPs assisted by FNGOs following a participatory bottom-up planning process with technical backstopping by a Multi-Disciplinary Team (MDT) in WMD. The GPWDPs would describe in detail what is to be done, where, when and by whom, and may include any activity which is: (a) the felt need of the community; (b) conducive to and technically appropriate for watershed treatment; and (c) consistent with the PDO and the criteria set forth in the Project Operating Manual. In addition to various watershed development and agriculture activities, these GPWDPs would also include entry-point activities as well as livelihood enhancing and income-generating activities for the landless and poor that would not directly benefit from land-based activities. Treatment plans for the reserve forest and inter-GP areas would be included in GPWDPs with the participation of the VP of the concerned revenue village. Gramya II would support WMD in: (a) capacity building and training of GPs, WMD and other project staff; (b) building social capital in project villages; (c) hiring and capacity building of NGOs, account assistants and village motivators; and (d) participatory rural appraisal and other activities for preparing, reviewing and approving GPWDPs.

Component 2: Watershed Treatment and Rainfed Area Development

This component forms the core of the project, constituting 53% of total investment. The Component would enhance biomass production, increase productivity of rainfed and irrigated crops, and improve discharge from the identified water sources. This Component would support GPs in implementing GPWDPs; it has two sub-components: (a) Watershed Treatment and Water Source Sustainability; and (b) Rainfed Agriculture Development.

Sub-Component 2a - Watershed Treatment and Water Source Sustainability

This sub-component would focus on GPWDP implementation for effective management of land and water resources for improving groundwater recharge, reducing runoff and soil loss, and harvesting rainwater for irrigation. This sub-component would: (a) enhance area-specific efficiency of natural resource use through catchment treatment and forestry activities on 200,000 ha of non-arable land; and (b) expand the irrigated area by converting about 20% of 40,000 ha of arable rain fed land (7,800 ha) into irrigated land in the targeted GPs.

Watershed treatment:

An indicative list of supported watershed treatment activities for inclusion in each GPWDP would include, among others:

- Construction and rehabilitation of check dams, ponds, irrigation channels, irrigation tanks, and roof water harvesting structures, for improving existing irrigation facilities and expanding the irrigated area;
- Repair of agriculture terraces and vegetative field boundaries for reducing soil loss and improving agricultural productivity; and
- Rehabilitation of bridle paths, small bridges and culverts for improving rural connectivity.

Water source sustainability:

The GPWDP would include: (i) activities for enhancing the sustainability of the identified water sources; and (ii) water source identification and various treatment works to be implemented to enhance and sustain water discharge from these sources. The GP, with assistance from the MDT, VP and DPD, will be responsible for implementing and monitoring these activities and the water discharge from the identified water sources. An indicative list of treatment works includes the following:

- Construction and rehabilitation of soil conservation structures, recharge pits, ponds, vegetative structures, forest plantations, vegetative trenches, etc., for rejuvenation and recharging of water sources;
- Construction and rehabilitation of vegetative, stone and crate wire check dams, retaining walls, spurs and diversion drains for drainage line treatment and soil conservation;
- Construction and rehabilitation of water channels, rainwater harvesting tanks, and installation of drip irrigation systems for improving and expanding minor irrigation networks and rainwater harvesting tanks;
- Perimeter rehabilitation with Napier and other grasses for improved fodder availability;
- Plantation of trees for improving vegetative cover, fuel and fodder availability;
- Setting up forest nurseries; and
- Promotion of alternate energy sources such as biogas plants, solar cookers, water mills and pine briquette production to reduce dependence on forest fuelwood and promote energy conservation.

Sub-Component 2b - Rain fed Area Development

This sub-component would increase the productivity of field and horticultural (mainly vegetables) crops grown in the project watersheds. Because of topographic constraints only about 20% of the cultivated land in the project watersheds can be brought under irrigation by implementing various watershed treatment measures outlined in sub-

component 2a. The following approach will be followed for agriculture development in the rain fed and irrigated areas:

Rain fed areas:

For enhancing rain fed crop productivity, the main thrust will be on improved seeds adoption of low water-requiring crops like finger millet, wheat, maize, other nutritious cereals, pulses and oilseeds. This would be combined with improved crop husbandry and rainwater conservation practices, including life-saving irrigation with stored rainwater at critical stages of crop growth for maximizing productivity. Promising technologies for rainfed areas of Uttarakhand developed by GB Pant University of Agriculture and Technology (Pantnagar), the Central Soil and Water Conservation Research and Training Institute (Dehradun), Vivekananda Parvatiya Krishi Anusandhan Sansthan (Almora) and the Center for Research in Dryland Areas will be promoted. Special attention will be paid to increase the area under pulses for improving soil fertility, reducing soil erosion and supplementing farmer incomes, since the Uttarakhand pulses command a premium price in the market. Gramya II would educate farmers about the benefits of growing short-duration crop varieties suitable for rainfed conditions, and adopting critical practices like fertilizer application to the crop immediately after a rainfall event in early stages of crop growth.

On-farm integrated crop management demonstrations and the associated farmer training would be a central project intervention and the main vehicle for the dissemination of improved technologies to the farmers. These demonstrations will include the complete package of practices for a particular crop from land preparation to crop harvesting (including use of seed of improved high-yielding varieties/hybrids, seed treatment, soil testing-based application of fertilizers, weed control, carrying out all cultural practices at the optimum stage of crop, etc.). Special effort will be made to promote adoption of improved in situ moisture conservation, rainwater capture and storage practices, and use of crop residues as mulches. On-farm demonstrations will also promote resource conservation technologies, and popularize climate-smart agricultural practices. Since improved seeds act as a catalyst for adoption of better crop management practices and seed replacement rates in Uttarakhand are very low, special attention would be paid to production and distribution of quality seeds. The crop demonstrations would be

integrated with the on-farm water conservation structures developed under sub-component 2a. Following the year in which the on-farm demonstrations and farmer trainings are organized, Gramya II would provide adoption support in terms of critical inputs like seed to groups of farmers linked to the demonstrations and who are willing to adopt the demonstrated technologies. The detailed guidelines for organizing and monitoring demonstrations and providing adoption support have been developed by the project and are included in this manual.

Irrigated areas:

Building on the success of Gramya I, the focus in irrigated areas would promote diversification to high-value vegetable crops. Because of cooler climate, the farmers of Uttarakhand can produce off-season vegetables which command a high price in the large urban markets in the plains. Special attention will be given to growing disease-free seedlings of new hybrids and high-yielding vegetable crops, and promoting adoption of recommended plant population, integrated nutrient and pest management strategies and productivity-enhancing innovative practices like trellis systems of vegetable cultivation using locally-available materials. Village- and GP-level groups of vegetable growers would be formed into FIGs and facilitated to unite under block- and district-level FFs. Technical assistance will be provided to these FFs for planning and sequencing of vegetable production. The project would also facilitate linking of FFs with output and input markets and with training institutes and multiple sources of knowledge for accessing new technologies. Support would also be provided for adopting greenhouses and tunnels for promoting protected vegetable production, and for producing bio-fertilizers and vermi-compost. Since some of the irrigated areas will remain under field crops, new technologies for enhancing productivity of irrigated maize, wheat and other crops would also be introduced through demonstrations, farmer training and adoption support.

The project would also provide need-based support for planting of new orchards, rejuvenation of old orchards, and homestead plantation. Support would also be provided for construction of mangers and animal shelters, setting up animal breeding and artificial insemination centers, and a fodder production program for improving livestock productivity. Rain fed and irrigated agriculture development activities would be

implemented by WMD with the help of concerned line departments, NGOs and Agribusiness Support Organizations.

Component 3: Enhancing Livelihood Opportunities

This component would support agribusiness development, improve livelihoods of vulnerable groups, and assist Gramya-I GPs in consolidating watershed development activities. The component has three sub-components: (a) Agribusiness Support; (b) Income-generating Activities; and (c) Consolidation of Gramya-I Activities.

Sub-Component 3a - Agribusiness Support

This sub- component would promote agribusiness development in Gramya II areas and support: (a) formation and capacity building of FIGs and their consolidation into FFs; (b) development of agribusiness plans and supply chains (including marketing support, collection, grading, packaging and processing centers) with technical backstopping by agribusiness support organizations; and (c) capacity building of community-based institutions (FIGs and water harvesting structure user groups). Along with promotion of good agricultural practices, vegetable growers would be linked to markets through different supply chain models.

In selected areas, agribusiness activities would be phased in to demonstrate a variety of good practices and develop sustainable and innovative grassroots support from NGOs to farmer groups. Emphasis would be on: (a) formation of viable FIGs for providing scale and voice to the farmers as well as a collective entry point for suppliers and marketing initiatives; (b) dissemination of technologies and provision of advisory services and brand creation; (c) production and distribution of quality seeds and seedlings; (d) training through demonstrations in integrated vegetable crop management practices, improved greenhouses and tunnels and organic farming practices; and (e) establishment of linkages between FIGs, FFs and suppliers for processing and marketing of vegetables, other agriculture commodities and certified organic produce.

The watershed development interventions would be backed by a supply chain development agri-business model. It is planned to develop best practices for production and post-harvest handling of high-value perishable commodities that will not only feed

into the national IWMP program but also support enforcement of necessary regulatory reforms - particularly for improving the licensing system to farmers' interest groups for various agriculture products, and making them self-sustaining producer businesses. For achieving economies of scale and developing compact supply chains, farmers would be selected to adopt agribusiness promotion activities in a cluster of two to three villages. One or two crops would be promoted in each cluster for bulk production so that effective models can be developed for dissemination of technology and collective marketing of produce.

Sub-Component 3b - Support for Vulnerable Groups

This sub-component would promote equity in project benefit through support to vulnerable transhumant, landless and marginal farmer households for improving their livelihoods. Income generating activities, e.g., carpet weaving, handicrafts, livestock rearing, etc. would be supported through livelihood activities supported under the GPWDPs and the formation of livelihood groups of landless and marginal farmers owning less than 0.1 ha land. The support would finance skill-oriented training, seed capital and marketing assistance. A TAP has been prepared for improving the socio-economic condition of transhumant Bhotya-Anwal and Gujjar communities. The Bhotya-Anwals rear small ruminants (goat and sheep) and migrate, leaving their families behind. The Gujjars rear dairy cattle (cow and buffalo) and migrate with their families. The TAP aims to promote livestock health and nutrition, fodder production, human health, education and other relevant activities for raising the socio-economic condition of these transhumant communities.

Sub-Component 3c - Consolidation of Gramya I Activities

This sub-component would repair the damaged assets created in Gramya I and strengthen the business planning and management capacity of 27 FFs formed under Gramya I to develop them as sustainable producer businesses. The support for agribusiness development will be provided by local NGOs.

Component 4: Knowledge Management and Project

This component would ensure effective implementation of project activities, and monitor and evaluate project implementation progress, outputs and outcomes, building on the

Gramya I implementation experience with a view to scale up successful approaches. This component would support strengthening of WMD and various community institutions set up under the project. The proposed interventions under Gramya II have relevance to other watershed and rural development programs like the National Integrated Watershed Management Program (IWMP) and Gol's flagship MGNREGA. This component would include capacity development of all stakeholders for promoting convergence in selected micro watersheds. This component would support extensive consultation and planning exercises between IWMP, Department of Rural Development and WMD. In facilitating knowledge management at state, division, and local levels, WMD would establish a Center of Excellence for Watershed Management. A decision support system would be created in coordination with the Indian institute of Technology Roorkee, GB Pant University of Agriculture and Technology and National Hydrological Institute, Roorkee. The component has two sub-components: (i) Knowledge Management; and (ii) Project Coordination.

Sub-component 4a - Knowledge Management

This sub-component would finance institutional strengthening and capacity development activities covering a variety of thrust areas ranging from natural resources management, agriculture systems, development, skill development, livelihood enterprise development, gender sensitization, governance, legal issues, institutional strengthening, general awareness building etc. for GPs, VPs, farmers, livelihood groups, project staff, NGOs and other stakeholders. These would include training and workshops, skill development, exposure visits, farmer field schools, hands on demonstrations, etc. for different groups of stakeholders. Other institutional strengthening activities would include establishment of division-level training cells and development of model microwatersheds as on-site demonstration and training sites for training farmers, village communities and project functionaries. The sub-component would also finance the establishment of a Center of Excellence in Watershed Development to serve as a knowledge hub of participatory watershed development, natural resource conservation, rainfed agricultural development, and agribusiness development, both in Uttarakhand and nationwide. The project would regularly update the communication strategy and develop targeted awareness messages about the project's participatory and transparent approaches. It would also coordinate

development of other messages, such as improved technologies for rainfed and irrigated agriculture, livestock production, marketing, agribusiness development, quality control, food and nutrition security, energy conservation, etc.

The sub-component would also finance social accountability measures, such as social audits. Other M&E and learning activities would include: (a) third-party monitoring and evaluation of project activities; (b) input-output monitoring; (c) participatory monitoring and evaluation, social audits and grievance redress mechanisms; (d) evidence-based monitoring, and (e) hydrological monitoring. The hydrological monitoring would be a new tool to monitor the sustainability of watershed treatment at the micro-watershed level and would support hydrological assessment and monitoring of identified water sources in the project area where comprehensive treatment would be undertaken. This monitoring would focus on assessing the water availability prior to implantation and impact of soil- and water-based interventions, and identifies effective structures for future replication. The project would partner with leading national institutes, such as IIT Roorkee, National Institute of Hydrology (NIH), Indian Institute of Science (IISC), in conducting the monitoring and assessment studies. The hydrological monitoring would focus on the following:

- a. Analysis of the changes in land use and land cover in representative micro watersheds using past remote sensing data, toposheets, digital elevation models, available maps, etc.;
- b. Identification of water sources and assessment of available water resources in each representative micro watersheds using past data;
- c. Quantification of soil erosion in each representative micro watershed using available past land use and land cover data, soil data, etc. on local and/or regional level;
- d. Monitoring of changes in land use and land cover patterns induced by the watershed development initiatives implemented in each representative micro watershed using remote sensing data;
- e. Progressive assessment of the impacts of watershed development initiatives for rejuvenating water resources on water availability in each representative micro watershed using observed data; and

- f. Progressive assessment of soil erosion in representative micro watersheds using observed data.

Sub-component 4b - Project Coordination

This sub-component would finance the management and supervision of Project implementation including: (a) incremental expenditures incurred by the Project Implementing Entity for Project implementation, management and supervision; (b) financial management and annual external audits; (c) incremental contractual staff salaries (other than consultants), excluding salaries of civil servants deputed to the Project; and (d) dissemination of Project-related information, including GIS upgrades and establishment of MIS data center; (e) office rental and leasing operation and maintenance of equipment; (f) office supplies and utilities; (g) travel and boarding/lodging allowances; (h) leasing, operation and maintenance of vehicles; (i) advertising and communication expenses; and (j) bank charges.

PROJECT BENEFITS

Capacity development: The project will enhance the knowledge about watershed management amongst the community and the means required to ensure long-term health and productivity of their lands, forests and water resources. It will also enable them to employ ways and means to constantly improve their income levels by availing skills-based training opportunities and technical assistance from experts.

Enhancing equity for the disadvantaged groups: Traditionally, the landed farmers tend to benefit more from watershed activities. However, this project takes into account the concerns of all members of the village community. It lays special emphasis on inclusion of women in the entire decision-making and implementation process. Landless workers, marginal farmers and women group members can undergo technical training provided by the project to improve their skills. Funds will be available to undertake income-generating activities, including marketing linkages and value addition to farm produce.

Sustainable solutions: As the community itself will make the entire plan and implement, it is ensured that the solutions brought about through this project are sustainable and best meet their real needs. This will be made certain by judiciously following the measures

outlined in the project's Environment and Social Management Framework (ESMF). To ensure sustainability of various assets created in project these groups will be formed.

Financial control: The community will have complete financial control over the portion of money allocated to its GP. The community members will learn better financial management of their resources and be able to use this funds in the most effective and efficient manner.

Self-managed development: This project enables the community to plan its own development. Further, it will give them confidence in planning and implementing all future development activities. It will also demonstrate that village communities are capable to taking their own decisions and chartering their own path of development.

Increased output from farmlands: The project will result in better management of water resources, increased water availability, decreased soil erosion, and adoption of better farming practices and techniques. This will mean increased productivity of the farmlands and higher of agricultural produce.

Healthier and more productive livestock: Better management of forests and farmlands will also mean more fodder and water for the animals. Selection of superior breed of livestock and veterinary services will also be arranged for by the project. This will translate into more milk, meat and wool per livestock and reduced incidence of diseases.

Increased quantities of water for domestic and farm uses: Watershed management will mean sufficient water to meet the household and irrigation needs. Not only will the quantity of water increase, the communities will also learn to use this precious resource more efficiently and productivity.

Opportunity to shift to high value crops: The project gives financial and technical assistance to shift to cash and high value crops. Field demonstrations will give the farmers an opportunity to learn firsthand the methodology of planting new and better varieties of cereals, vegetables, fruits, medicinal plants and fodder crops. This will ensure higher cash incomes for the farmers.

Increased quantity of fodder and fuel wood over long-term: In the villages, the burden of collecting fodder and fuel wood falls upon the women. Often, it means a daily walk of several kilometers just to get a single head-load. Healthier forests in the village's vicinity

will reduce the drudgery of women and provide adequate quantities of fodder and fuel wood to meet every household's need in the village.

Improved rural infrastructure: The community can select the option of improving the quality of village's existing bridle paths and culverts or constructing new ones. This may mean several benefits easier access to schools for children, reduced travel time, safer routes, and improved access to facilities such as hospitals, markets and government offices.

Higher income levels: All the above-mentioned benefits will result in higher cash incomes for each participating rural households.

Livelihood Enhancing Activities for Vulnerable Households: Poor villagers and those from disadvantaged groups, women and men, may form groups to undertake income generating activities. The project partly finance such initiatives as well as work towards ensuring skills-based training, adoption of superior production technologies, linkages with banks and improved market access. It is important to note that all such activities will be decided by the GP based on the needs of these individuals.

Alternate energy sources: The project will encourage and partly finance the adoption of environment-friendly energy sources such as biogas plants, solar power and pine briquetting. Such alternate energy sources mean less exploitation of the forest resources and reduced drudgery for women.

WHAT IS NEW IN THE UDWDP-II

- Focus on Watershed Treatment and Water source sustainability along with Rain fed Area Development.
- Comprehensive watershed treatment at the micro watershed level to treat effectively inter-GP areas and reserve forests, ensuring reduced soil erosion which was first taken up during Gramya-I (in GEF grant SLEM project) in treating 20 micro watersheds engaging GPs and VPs .The proposed Gramya II would scale up treatment at the microwatershed level to cover the entire landscape, from ridge to valley.
- Mitigation measures for disaster affected areas in UDWDP-II with Special emphasis on Terrace repair, source rejuvenation, Bridal path improvement, animal shelters and

watershed treatment; and (ii) investment in livelihoods activities for affected vulnerable groups and repair and rehabilitation to damaged UDWDP-I structures.

- Consolidation of UDWDP- I activities - would strengthen the business planning and management capacity of 27 FFs formed under Gramya I to develop them as sustainable institutions.
- Establishment of a Center of Excellence in Watershed Development to serve as a hub of knowledge centre for participatory watershed development, natural resource conservation, rain fed agricultural development and agribusiness development, both in Uttarakhand and nationwide. The project would regularly update the communication strategy and develop targeted awareness messages about the project's participatory and transparent approaches. It would also act as a platform for dissemination of improved technologies for rain fed and irrigated agriculture, livestock production, marketing, agribusiness development, quality control, food and nutrition security, energy conservation, etc.
- Hydrological monitoring would be a new tool to monitor the sustainability of watershed treatment at the micro-watershed level and would support hydrological assessment and monitoring of identified water sources in the project area where comprehensive treatment would be undertaken.



CHAPTER-3

PROJECT INSTITUTIONS AND ORGANIZATIONAL STRUCTURE

The UDWDP-II is based on joint relationship among three entities: (i) Village communities and GPs; (ii) WMD; and (iii) NGOs and other service providers. All these stakeholders will fulfill their respective roles and responsibilities for the project to be successful. Roles of each entity are:

Village Community and GP: Will plan and implement the project

WMD: Provide overall coordination and technical assistance to the village communities and GPs with the help of its field offices.

NGOs: Carry out social mobilization, provide technical assistance and undertake other activities as agreed to with GPs and WMD

ROLES AND RESPONSIBILITIES

A. Panchayat-level Institutions

| S. No. | Institution | Composition | Role | Accountable to |
|--------|----------------|---------------------------------------|---|--------------------|
| 1. | Gram Sabha | All adult voters of the Gram Sabha | <ul style="list-style-type: none">•To discuss & approve all major decisions related to GPWDP•Ensure inclusion of disadvantaged groups such as women, poor, SC/ST, transhumant•Monitoring the working of GP and Implementers | Village community |
| 2. | Gram Panchayat | Gram Pradhan & All Ward Members of GP | <ul style="list-style-type: none">•Sign all necessary and appropriate agreements related to the project with WMD or its representative•Convene Gram Sabha meetings•Assist NGOs in mobilization of village communities•Initiate and complete the preparation of GPWDP as per project guidelines•Open project bank account & judiciously manage project funds and | Gram Sabha and WMD |

| S. No. | Institution | Composition | Role | Accountable to |
|--------|---|---|--|----------------|
| | | | expenditure as per AWP of GPWDP <ul style="list-style-type: none"> • Ensure complete transparency & accountability by all GP-level institutions & individuals involved in the project • Ensure the Collection of Beneficiary Contribution. | |
| 3. | Water & Watershed Management Committee (WWMC) | A Committee of GP headed by the Gram Pradhan | <ul style="list-style-type: none"> • Assist NGOs in mobilization of village communities • Lead the process of planning, preparation & implementation of GPWDP • Manage the Vulnerable Groups Fund • May delegate responsibility for implementation of Village Watershed Development Plans to RVCs (this will include financial management and procurement responsibilities) • Submit timely monthly and annual financial reports to WMD • Ensure the audit of GP annual accounts on a timely basis and submission of the audit report to the WMD | Gram Panchayat |
| 4. | Revenue Village Committee (RVC) | RVC will be headed by Gram Pradhan/ Ward Member and consist of remaining ward members of that revenue village, members from SHG, Mahila/ Yuvak Mangal Dal and other village level institutions. At least 50% of the members of RVC will be women. | <ul style="list-style-type: none"> • Lead the process of preparing RVC Proposals • If contracted by the GP, implement GPWDP activities at the village level • Ensure equity for all, especially the disadvantaged groups | Gram Panchayat |

| S. No. | Institution | Composition | Role | Accountable to |
|---------------|---|---|---|---|
| 5. | Mahila Aam Sabha | All adult Women voters of GP | <ul style="list-style-type: none"> • Ensure incorporation of Mahila Aam Sabha proposals into the GPWDP | Gram Panchayat |
| 6. | Van Panchayat (VP) | A committee constituted as per provisions of Uttarakhand Van Panchayat Act 2005 | <ul style="list-style-type: none"> • Preparation of inter GP space plan • Implement all plantation related activities under the project • Coordinate with concerned Forest Department office for technical and management issues. | Gram Panchayat |
| 7. | Women Motivator | Designated woman at the revenue village level , having passed at least Highschool or equivalent examination. | <ul style="list-style-type: none"> • Mobilize women of the village to ensure their effective participation in the project through Mahila Aam Sabha. • Facilitate formation of livelihood groups of vulnerable households & extending all possible support to them | RVC & MDT |
| 8. | Co-Signatory WWMC | Elected Women ward member nominated by the GP as co-signatory for operating project account | <ul style="list-style-type: none"> • Act as co-signatory along with Gram Pradhan to operate the Watershed Development Project account | GP |
| 9. | Panchayat Secretary (Village Development Officer) | Employed by the State Government and Member Secretary of WWMC | <ul style="list-style-type: none"> • Convening of Gram Sabha meetings and upkeep of minutes of the meeting • Record the assets created under the project in the asset register prescribed under Panchayat Raj Act. | Gram Sabha and GP. |
| 9. | Account Assistant (AA) | A person having passed at least Intermediate with accounts/mathematics and nominated by GP and trained by project | <ul style="list-style-type: none"> • Maintain all accounts books and records related to the project • Make all vouchers & prepare cheques • Collect dues from beneficiaries & issue receipts • Prepare all financial documents & reports as required by the project • Assist RVCs and other beneficiaries in preparation of bills, formats and other accounts related documents of the project | GP for Project reporting system to WMD. |

B. Field level institutions

| S. No. | Institution | Composition | Role | Accountable to |
|--------|--------------|---|---|----------------|
| 1. | MDT | 4-5 experts from Forest, Agri/Horti, Animal Husbandry, Civil engineering and Facilitators from FNGO | <ul style="list-style-type: none"> • Provide technical guidance to GP & village communities for planning and preparing GPWDP and Inter GP space plans , their consolidation into MWS plans and implementation of these plans • Ensure compliance of ESMF at all levels of planning and implementation of GPWDP and MWS plans. • Sign running and final bills & completion reports of activities after due verification along with member of the RVC and Chairperson. | WMD & GP |
| 2. | FNGO | Hired by WMD | <ul style="list-style-type: none"> • Mobilize village communities & provide complete information on the project • Facilitate PRAs with MDT at the Revenue Village and GP levels; focus on gender sensitization & social equity as per the ESCP • Assist GP to plan and implement the project • Facilitate conduction of women Aam Sabha, formation of livelihood enhancing vulnerable groups • Conduction of PME. • Ensure Monitoring of project interventions and timely reporting to WMD. | DPD/PD and WMD |
| 3. | Unit officer | Appointed by WMD | <ul style="list-style-type: none"> • Coordinate between MDT , FNGOs and GPs • Provide technical guidance to GP & village communities; ensure compliance of ESCP guidelines in all project interventions. • Ensure proper verification of bills and required reports on activities • Ensure signing of bills and reports by | DPD |

| S. No. | Institution | Composition | Role | Accountable to |
|--------|-------------|--|---|---|
| | | | <p>concerned persons.</p> <ul style="list-style-type: none"> • Coordinate between different stake holders in the development of MWS plans for inter-GP spaces . • Field appraisal of GPWDPs and MWS plans during preparation stage and its compliance. • Technical review and implementation of GPWDP and MWS plan. | |
| 4. | PNGO | Hired by WMD for project implementation in certain project areas | <ul style="list-style-type: none"> • Mobilize village communities & provide complete information on the project • Facilitate PRAs at the Revenue Village and GP levels; focus on gender sensitization & social equity as per the ESCP • Assist GP to plan and implement the project • Provide technical guidance to GP & village communities • Sign bills & completion reports of activities after due verification • Coordinate between different stake holders in the development of MWS plans for inter-GP spaces. • Technical review and implementation of GPWDP and MWS plan. • Ensure Monitoring of project interventions and timely reporting to WMD. • Administrative and financial head at the division level will be responsible to plan implement and monitor project at division level. • Represent project at all district level committees • As member secretary, convene district level | WMD Responsible to follow a contract agreement as per TOR |

| S. No. | Institution | Composition | Role | Accountable to |
|--------|--|------------------|---|--|
| | | | Watershed Committee meetings at district levels and recording its proceedings. | |
| 5. | Agribusiness Support Organization (ABSO) | Hired by WMD | <ul style="list-style-type: none"> • To facilitate formation of FIGs and FFs in the project area and provide technical support for agribusiness activities in the project. • To provide marketing support for agribusiness activities. • Ensure compliance of ESCP in all Agribusiness interventions. • Ensure Monitoring of Agribusiness interventions and timely reporting to WMD. | WMD Responsible to follow a contract agreement as per TOR |
| 6. | Deputy Project Director (DPD) | Appointed by WMD | <ul style="list-style-type: none"> • Responsible to plan, implement and monitor project at division level as Administrative and financial head • Technical review and approval of GPWDP and MWS plan as per ESCP guidelines • Ensure implementation of GPWDP & MWS plans as per project guidelines • Provide technical support to MDT, FNGOs and ABSO. • Sign project agreements with GPs and transfer project funds to it. • Conflict resolution among GPs, MDTs and FNGOs. • Ensure timely submission of all project level and other reports to WMD. • Represent project at all district level committees • As member secretary, convene district level Watershed Committee meetings at district level and recording of proceedings. | WMD |

| S. No. | Institution | Composition | Role | Accountable to |
|--------|------------------------------------|---|---|------------------|
| 7. | District Level Watershed Committee | Comprises district level officers, Chaired by the Zila Panchayat Chairperson and members secretary concerning DPD | <ul style="list-style-type: none"> Facilitate inter-departmental coordination and convergence with other programmes. | State Government |

C. State level institutions

| S. No. | Institution | Composition | Role | Accountable to |
|--------|--|--|--|------------------|
| 1. | Project Director (PD) | Appointed by WMD | <ul style="list-style-type: none"> Overall supervision, approval of proposals & direction, coordination and monitoring at regional level Monitoring the progress of project activities . Timely submission of reports to WMD | WMD |
| 2. | Watershed Management Directorate (WMD) | Headed by Chief Project Director | <ul style="list-style-type: none"> Overall planning, supervision, approval of proposals & direction, support, coordination and monitoring of the project at state level. Ensure capacity building of project staff, GPs, RVCs, UGs and individuals to ensure effective implementation of the project as per its objectives Coordinate with external stakeholders such as the State Government and the World Bank Resolve all disputes placed before it | State Government |
| 3. | State Steering Committee | Comprises Secretary level officers and concerning Head of Department | <ul style="list-style-type: none"> Facilitate inter-departmental coordination, policy decisions Overall approval to work plans of WMD | State Government |

| | | | | |
|--|--|---|--|--|
| | | Chaired by the Forest and Rural Development Commissioner (FRDC) Govt. of Uttarakhand | | |
|--|--|---|--|--|

CONFLICT RESOLUTION

For all conflicts at the Gram Sabha, every attempt should be made to resolve all conflicts at that level itself . The NGOs and MDT will facilitate the villagers in this regard.

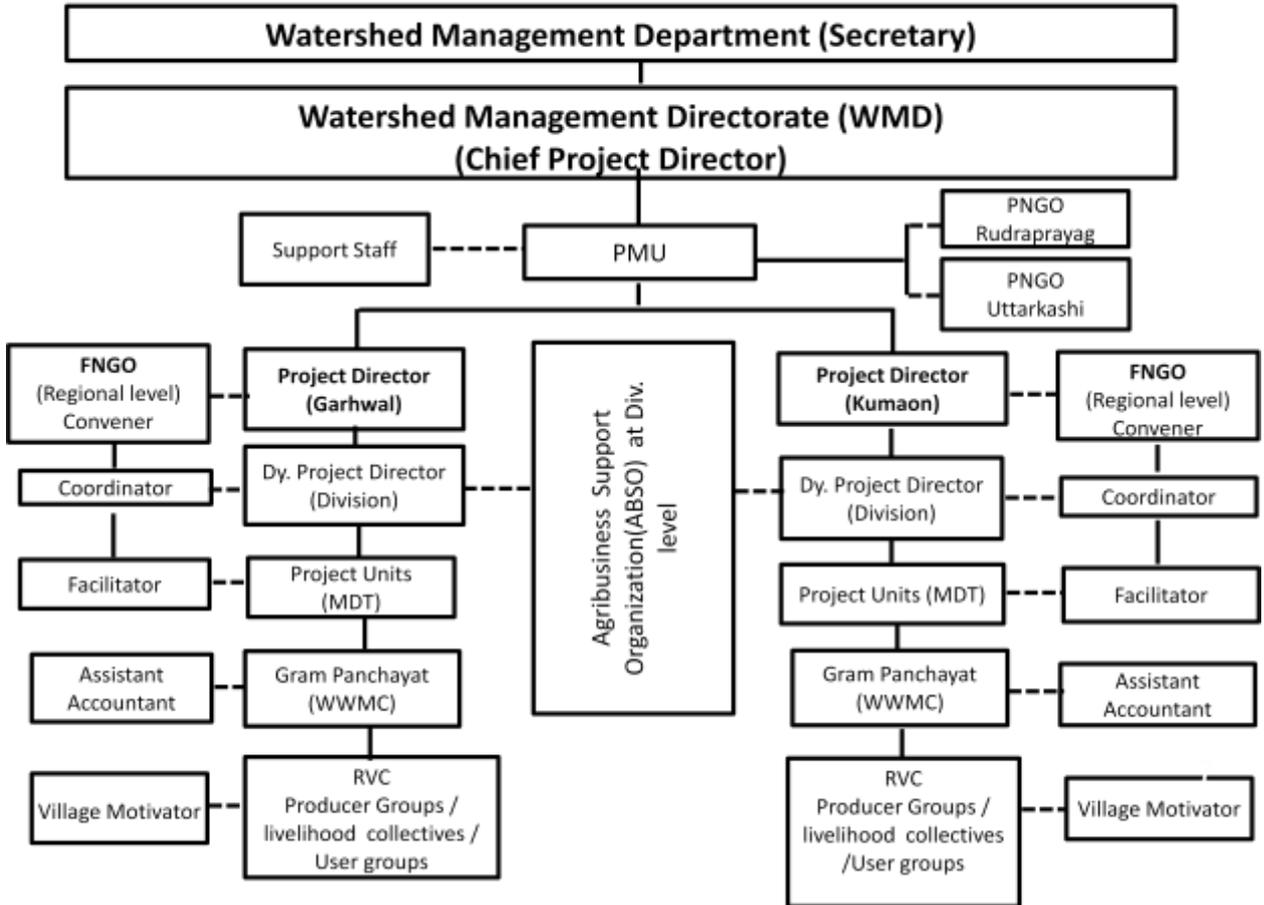
The DPD will resolve the conflict among GP, MDT and NGOs. If Gram Sabha feels that a formal arbitration is required, a three-member committee will be set up for this purpose . It shall comprise the DPD, a nominee each from the Gram Sabha and the Project Director.

In case of conflict is over an inter-GP issue, a committee will be set up with the Deputy Project Director as the chairman. The representative of the concerned Forest Division, and one nominee of each concerning GPs will be the other members of the conflict resolution committee.

In both the above cases if either party is dissatisfied with decision of the Deputy Project Director, they can appeal to appeal to Project Director of the region. The decision of the committee at Project Director Level shall be final and binding on all parties.

If PNGO, FNGO and ABSO are a party in any conflict then either party may appeal to the WMD. The WMD shall form a Conflict Resolution Committee comprising the CPD, one nominee of the concerned PNGO, FNGO and ABSO and one member representative of State Government. The decision of the WMD conflict resolution committee shall be final and binding on all parties.

UDWDP PHASE-II INSTITUTIONAL STRUCTURE



CHAPTER-4

PROJECT TIMELINES

| Activities | Months of the First Year | | | | | | | | | | | | Year | | | | Responsible | |
|--|--------------------------|---|---|---|---|---|---|---|---|----|----|----|------|-----|-----|-----|-------------|---------------------------|
| | 1* | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 2nd | 3rd | 4th | 5th | | |
| Training of project staff, including NGOs on project details, ESMF, Transhumant Strategy | | | | | | | | | | | | | | | | | | WMD |
| Signing of MOU between GP & WMD | | | | | | | | | | | | | | | | | | GP & WMD |
| Rapport building & awareness building; Selection of VM & AA | | | | | | | | | | | | | | | | | | FNGO, VM, PNGO |
| Information dissemination, baseline data collection, PRA exercise, conducting ESA & secondary data collection | | | | | | | | | | | | | | | | | | WWMC, FNGO, MDT, VM, PNGO |
| Formation of RVC, Women Aam Sabha | | | | | | | | | | | | | | | | | | WWMC |
| Preparation of RVC Proposal including proposals of Women Aam Sabha & application of ESCP | | | | | | | | | | | | | | | | | | RVC |
| Formation of Vulnerable Groups, UGs | | | | | | | | | | | | | | | | | | FNGO, VM, PNGO |
| Formation of GPWDP involving representatives of RVC, UG , Women Aam Sabha, VGs and Van Panchayat and approval by Gram Sabha, its submission to DPD/PNGO by WWMC. | | | | | | | | | | | | | | | | | | WWMC |
| Field and technical appraisal of GPWDP by DPD/ PNGO | | | | | | | | | | | | | | | | | | DPD/PNGO |
| Final approval of GPWDP by DPD/ PNGO after ensuring ESCP compliance. | | | | | | | | | | | | | | | | | | Gram Sabha |
| Preparation of detailed AAP & submission to DPD/PNGO; signing of 2 nd MOU between GP and WMD | | | | | | | | | | | | | | | | | | WWMC |
| Transfer of 10% of AWP estimate to GP's Implementation Account | | | | | | | | | | | | | | | | | | DPD/WMD |
| Implementation by the WWMC | | | | | | | | | | | | | | | | | | WWMC |
| Withdrawal phase | | | | | | | | | | | | | | | | | | WWMC, WMD |

* First month in the GP with introduction of project.

CHAPTER-5

WATERSHED PLANNING -SOCIAL MOBILIZATION PHASE

The successful planning, preparation and implementation of any community driven activity or project depend on the effective participation of the community itself and social mobilization plays an important role in ensuring it. The proposed project puts special emphasis on social mobilization for which following steps would be taken up at different levels.

I. INITIAL PREPARATION BY WMD

Who: WMD staff and NGOs

When: Before village entry

- Preparation of communication and information packages for GPs and village communities
- Training/Orientation of project functionaries (WMD, MDTs, FNGOs, PNGOs) on the vision of the project; the processes, roles and responsibilities of each project entity, and stakeholders.
- Training of project functionaries on working with GPs and village communities in preparing a GPWDP, Project Operation manual, Financial Manual, Environment and Social Management Framework (ESMF) and Procurement Guidelines.
- Development of training module for Accounts Assistants
- WMD will facilitate the external assistance of State level institutions on various aspects of the project. The institutions will be identified to carryout training programmes and to develop communication and technical skills of different level of stakeholders.

II. ORIENTING COMMUNITIES AND GPs TO THE PROJECT

Who: Project field staff supported by various communication tools

When: Soon after village entry

- MDT/NGO will give basic information on the project and try to create consensus among communities and GP to participate in the project after entry into GP.

- Signing of MOU between the GP and WMD on GP's willingness to participate in the project as per the project rules and guidelines (**Attachment A-1**).
- Social mobilization and PRA exercise at Revenue village and GP levels.
- Use of communication tools such as print material, audio-visuals, folk performances to create awareness among the community about watershed management, concept of community-driven and process-led development, concept of ownership, and details of its contribution to the project.
- MDT/NGO will provide copies of the Project Operational Manual, Environment and Social Management Framework (ESMF), the GP Financial Manual, the Community Procurement Manual and explain the provisions the manuals.
- Community will be given information on financial allocation to GPs in the form of budget envelop and details of method of its determination.
- Detailed information on the process of preparation of the RVC Proposals and its integration into GPWDP as per project and ESMF guidelines.

III. Constitution of WWMC

Who: GP and MDT

When: After signing the agreement with WMD for participation in the project

- The Water and Watershed Management Committee (WWMC) consisting of six members including the chairperson will be constituted as a committee of GP under the chairmanship of Gram Pradhan for every selected GP in the project area.
- The WWMC will consist of at least one ward member from every revenue village in the GP. Of these ward members, at least one woman, one OBC and one SC/ST ward member will be included in WWMC as members.
- One female ward member of the WWMC will be nominated by the GP as a cosignatory to operate project account with Gram Pradhan.
- If Gram Pradhan is a woman; a male ward member of WWMC may be nominated as co signatory to operate the project account.

- WWMC will assist NGOs in mobilization of village communities, lead the entire process of planning, preparation & implementation of GPWDP and ensure the strict compliance of ESMF guidelines in project formulation and implementation.
- It will manage the Vulnerable Groups Fund
- WWMC will select implementers for the project activities as per guidelines given in Chapter 11 and will also adhere to the other instructions given in Community financial management.
- It will ensure the procurement of materials as per instructions given in Community Procurement guidelines.
- It will timely submit monthly and annual financial reports to WMD
- It will ensure the audit of GP annual accounts on a timely basis and submit the audit report to the WMD

IV. FORMATION OF RVC

Who: WWMC

When: After signing MOU with WMD

- The WWMC along with the MDT will help in constitution of Revenue Village Committee (RVC) at each revenue village level of the GP in an open meeting of the revenue village. The RVC will consist of 7-11 members
- The RVC will be headed by Gram Pradhan or Ward member belonging to the concerned revenue village.
- Gram Pradhan may head the RVC of that revenue village in which he/she is a voter or he/she may nominate any ward member as chairperson of that revenue village.
- In other revenue villages, if there are more than one ward members, the villagers shall nominate one member as chairperson of the RVC through consensus in an open meeting. The remaining ward members of the revenue village will be the members of the RVC.

- At least 50% members The RVC should be Women voters from respective Revenue Village.
- To ensure a fair representation of SC/ST population, at least one male and one female belonging to SC/ST should be the members of RVC.
- The RVC will have a woman secretary, which will be selected by the members of the RVC or in the general meeting of the revenue village. If the chairperson of the RVC is a woman, than a male member can be nominated as secretary.
- The bank account of the RVC shall be operated by the joint signatures of the chairperson and secretary.
- The RVC shall be the day-to-day operating and decision-making body of the Revenue Village.
- RVC will primarily be a consultative committee which may be used for implementation.
- RVC will help in facilitating community's participation, identifying the priorities, planning and implementation of the project at revenue level.
- PNGO/MDT and FNGO, will help the community in understanding role and responsibility of the RVC vis-à-vis that of its GP and Water & Watershed Management Committee (WWMC)
- RVC, UGs and individuals will, themselves or with the help of the AA, maintain their books of accounts and records for all funds received and expenditures incurred under the project.
- All implementers of the revenue village will present the financial and physical progress to RVC and their books of accounts and all records will be open for inspection at all times to the RVC members and the AA/MDT/PNGO etc.

V. SELECTION AND TRAINING OF ACCOUNTS ASSISTANT (AA) FOR THE GP

Who: Selection by GP, training by WMD

When: After sharing complete project-related information with GP and community

- Accounts Assistant needed to help WWMC and individuals in maintaining proper accounts and records, and facilitate smooth transfer of funds.
- GP will select AA based on the guidelines and qualification developed by WMD.
- The WMD shall be responsible for providing adequate training to the selected candidate within four months.
- The AA will discharge the role and responsibility as outlined and assigned in the project manuals.
- The AA will receive his/her honorarium directly from the GP .
- The services of an AA may be terminated by the Gram Panchayat if Gram Sabha passes a resolution to this effect. The Gram Panchayat shall then nominate another AA at the earliest in consultation with the Gram Sabha who will again go through training.

VI. SELECTION AND TRAINING OF THE VILLAGE MOTIVATOR

Who: Revenue Village

When: After village entry by project staff

- A minimum high school or equivalent passed woman who is able to read, write and can fill in monitoring formats shall be selected by the community through consensus as its Village Motivator (VM) for each Revenue Village in an open meeting.
- She should have good communication and interpreting skills, ability and willingness to undergo training and exposure visits provided by WMD. She should have full acceptance of disadvantaged groups such as women, SC/ST, poor, and transhumant and also display sensitivity towards them.
- The VM shall work in coordination with RVC to help inform and mobilize women of the community

VII. FORMATION AND ORIENTATION OF VAN PANCHAYAT

Who: Village Community

When: Before formulation of RVC Proposals

- If the Revenue Village does not have a Van Panchayat (VP), then with the help and facilitation of MDT or PNGO, it may form its own VP in accordance with Uttarakhand Van Panchayat Act 2005 to undertake forestry activities under the project.
- A minimum number of required resident from the Revenue Village have to file an application with the concerned Sub Divisional Magistrate (SDM) for delineation of VP boundaries.
- After delineation of VP boundaries, elections for the nine VP Members will be held in an open meeting. There should be at least four women members, one of whom should belong to an SC/ST. There should be an additional male SC/ST Member.
- The nine elected Members will elect one member as Van Sarpanch from amongst themselves.
- The duly formed VP and the names of office holders will be notified by the concerned Sub Divisional Magistrate.
- If a Van Panchayat exists in a revenue village, then it shall be the sole body responsible for implementing all plantation activities in the VP area under the project.
- Van Panchayat shall be responsible to implement the forestry works proposed in the GPWDPs as well as works to be undertaken in Inter GP areas.

VIII. FORMATION OF USERS GROUPS

Who: WWMC and MDT

When: After identification of the community assets to be created.

- User groups will be formed after identification of community assets to be created under GPWDP. They will act as implementers of the project activities and will also be responsible for use and maintenance of the assets. They will also create funds for future Operation and Maintenance of the assets created after project withdrawal.

IX. FORMATION OF VULNERABLE GROUPS

Who: WWMC and MDT

When: After identification of vulnerable households by the Gram Sabha

- The Gram Sabha with the facilitation of WWMC and MDT will identify the vulnerable households during the PRA exercise based on criteria decided by the WMD. Thereafter the income generation activities for livelihood enhancement which can be taken up by these household either individually or in groups will be decided after consultation with the beneficiaries.
- Detailed Action Plan will be prepared for receiving funding support from the project.

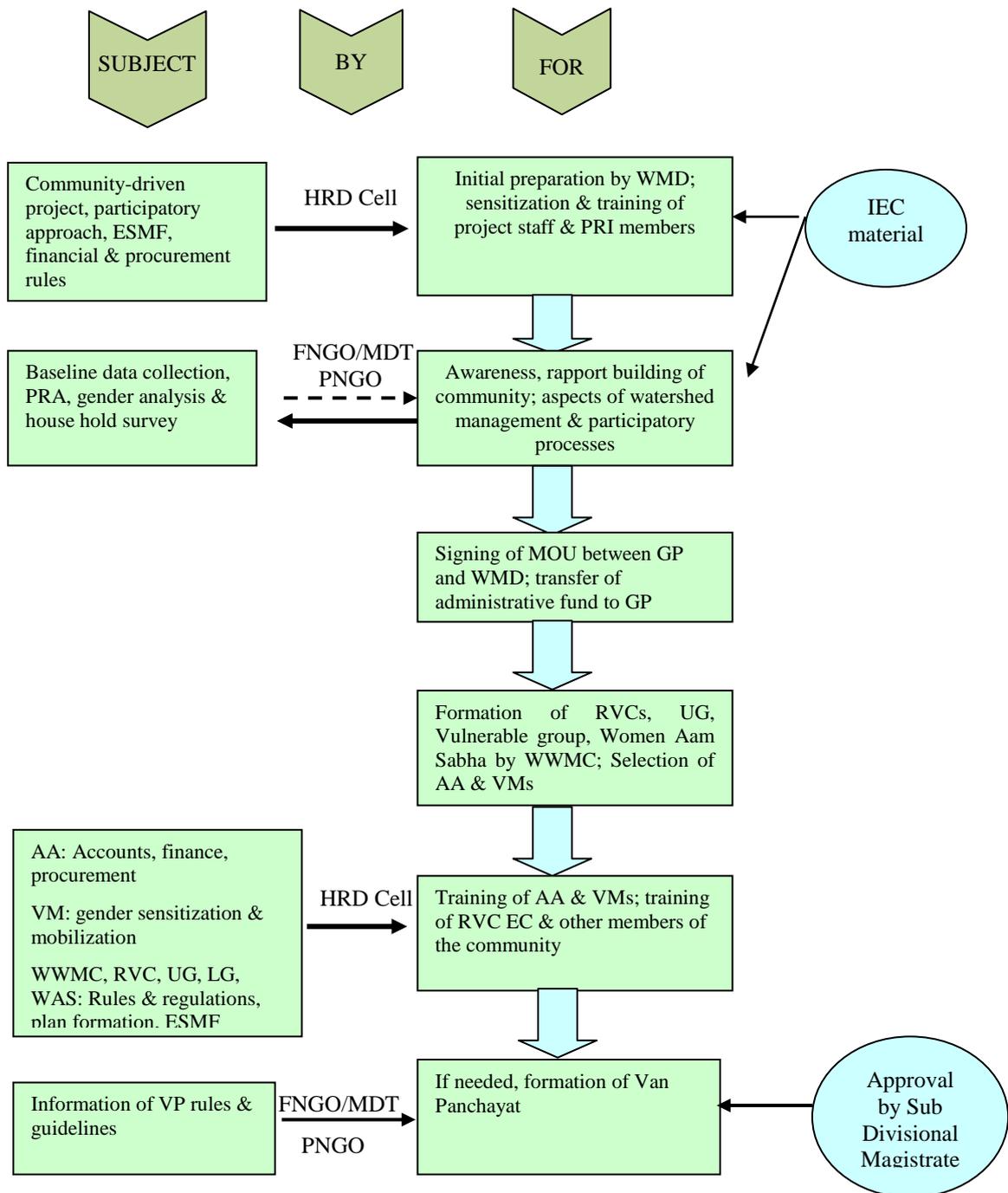
X. MAHILA AAM SABHA

Who: All woman voters of Gram Sabha will be the participants

When: During planning period

- To ensure inclusion of women specific issues and concerns into the GPWDP, Women Aam Sabha will be organized in the initial stages of the PRA exercise. The Women Aam Sabha will be a informal body consist of all the adult women voters of the respective Gram Panchayat. During the preparation of the GPWDP frequent meetings of Women Aam Sabha will be convened to include the concern of the women folk of the Panchayat. The Women Aam Sabha will identify and prioritize issues impacting the women locally. Prior to final approval of GPWDP, the Gram Sabha will ensure inclusion of issues identified by Women Aam Sabha in the GPWDP.

Human Resource Development in the project



Capacity Building Activities

- Sensitization and training of project staff (WMD and PNGOs) and GPs to facilitate the implementation of a community driven watershed project
- Comprehensive information, training and capacity building of individuals and CBOs in the village communities to participate effectively in the project
- Training of project staff, GPs and RVCs on the rules and regulations of the project including ESMF and Financial and Procurement Guidelines
- Training of AA to provide services to the GP
- Training of VM to motivate and mobilize village communities



CHAPTER-6

WATERSHED PLANNING

PREPARATION OF GPWDP AND MWS PLANS

The effective watershed planning will be key to the success of the project and to ensure it, elaborate procedures which are as follows have been spelled out in the project operation manual.

ALLOCATION OF FUNDS TO GP AS BUDGET ENVELOP

To plan and prepare the Gram Panchayat Watershed Development Plan (GPWDP) at GP level, every GP will be given a fund by WMD in the form of a budget envelop which will be based on the formula given below in the box. The budget envelop will be determined by giving 65% weightage to the area and 35% weightage to the population of GP. The budget envelope will be subjected to a maximum a minimum cap.

Formula for Allocation of Funds to GPs

$$R_m = \{0.65(0.8R)A_m/A + 0.35(0.8R)P_m/P\} + R_{mnrn} + R_{admn}$$

Where

R_m is the total Fund allocation to a particular GP in Rupees

R is the total Fund for allocation to all GPs under the project

A_m is the geographical area of a GP in Hectare

A is the total geographical area of all the GPs under the project

P_m is population of a GP

P is the total population of all GPs under the project

R_{mnrn} is the amount for treatment of inter-GP spaces to be allocated to a GP

R_{admn} is a fixed amount for administrative expenses to a GP

Note :1 There will be a minimum and maximum ceiling for R_m .

Note :2 The amount indicated within { } shall be indicated to GP in form of 'Budget

GPWDP of a GP prepared on the basis of budget envelop allocated to it in accordance with formula given above will consist of only those activities which are to be implemented in the areas which fall in the jurisdiction of GP. However, there are areas which are out of the jurisdiction of the GP but lie in the MWS (these areas are primarily reserve forest areas). To treat these areas, additional fund to the tune of approximately 20% of the total fund available for watershed treatment and water source sustainability under the component, Watershed Treatment and Rain Fed Area Development is available with the Watershed Management Directorate. This fund will be used by GPs and VPs for undertaking activities in inter-GP spaces within the MWS to ensure the comprehensive treatment of watershed in a manner that complements the GPWDPs. The inter GP space treatment plan will be prepared by WWMC and Van Panchayat with help, coordination and consultation of MDT and concerned Forest Division. The plan so prepared will be submitted to the concerned Divisional Forest officer who will review and appraise it and accord his approval.

The Vulnerable Group fund will be used to support the Livelihood Initiatives for the Vulnerable Households in order to assist women, SC/ST, the poor populations. This fund will be provided to the vulnerable individuals/groups as a grant to finance IGA. The purpose of Vulnerable Group fund is to enhance social equity in villages through the project and to assist those who are hardly benefitted from the land based activities of the project.

Following Steps will be taken up while preparing GPWDP and Inter GP Space plans

I. DISCLOSURE OF BUDGET ENVELOP

Who By WMD

When After project entry in the GP

- Budget Envelop will be disclosed by the project team to the selected Gram Panchayat, once the project team enters the GP and GP signs an agreement with WMD to participate in the project.

II. DEVELOPMENT OF REVENUE VILLAGE PROPOSALS

Who: Revenue Village

When: After receiving complete information and initial training on the project

- The Revenue Village is responsible for developing its proposals under the project known as the revenue village proposals which will be incorporated into GPWDP.
- Each member of the revenue village shall get the opportunity to present his/her views on what activities should be included in the Proposal.
- It should be ensured that copies of the Environment and Social Management Framework (ESMF), the GP Financial Manual, the Project Procurement Manual, and the Project Operational Manual are available with revenue village and provisions of these manuals have been clearly explained to them by the project team.

III. APPLICATION OF ESMF TO RVC PROPOSAL

Who: RVC

When: Upon selection of activities

Environment and Social Management Framework (ESMF) plays an important and deciding role in selection of the project activities because no activity which are not in accordance with the provisions of the ESMF will be allowed to be incorporated in the GPWDP. Since preparation of GPWDP is initiated at revenue village level and completed at GP level, it is mandatory for every stakeholder at revenue village and GP level to clearly go through carefully through the ESMF provisions.

- Provisions of ESMF are applied to ensure that the effects of the project activities are long lasting, sustainable, socially acceptable and environmentally viable.
- Provisions of 1(a) of ESMF (**Attachment-ES-1**) are applied to ensure that no activity in the negative list of the project is selected.

- Activities which satisfy the provisions of 1(a) are subjected to the provisions of 1(b) of ESMF (**Attachment-ES-2**). Those activities which fulfill the provisions of 1(b) will be subjected to mitigating measures. Only after going through mitigating measures, if the activity is found to be as per ESMF, it can be accepted and included in the revenue village Proposals.
- The RVC must ensure the following things while preparing its proposals:
 - Proposals should meet the vision and objectives of the project
 - It should bring about social equity with regard to benefits which are likely to be achieved by the village community
 - In preparing the proposals, adequate preference should be given to the proposals of women, poor, SC/ST and tribal/transhumant population
 - Adequate mitigation measures should be incorporated in the revenue village proposals as per the Environmental and Social code of Practices (ESCP) (**Attachment-ES-3**) for reducing negative impacts on the environment as listed in **Attachment-ES-4**.
- **Attachment ES-5** (Format-2) should be filled with the help of Table-6 of ESMF (**Attachment ES-6**) to ensure compliance of ESMF guidelines of the project. Completed copy of Format 2 shall be part of the RVC Plan.
- Efforts will be made to ensure the minimum use of pesticides and if pesticides are used it should be only as per the Integrated Pest Management (IPM) Strategy, which will be an integral part of the Project's ESMF safeguards.
- RVC Proposals thus prepared will be submitted to the WWMC.

IV. CONDUCTION OF MAHILA AAM SABHA

All female voters of Gram Sabha can participate in Mahila Aam Sabha. Organising Mahila Aam Sabha to ensure inclusion of women specific issues and concerns into the GPWDP is a must before finalizing GPWDP .

V. DEVELOPMENT OF GPWDP PLANS

Who: WWMC, Gram Panchayat and MDT

When: After receipt of RVC Proposals

- After receiving RVC Proposals from all its Revenue Villages, the WWMC shall integrate all these RVC Proposals to form Gram Panchayat Watershed Development Plan (GPWDP) (**Format GP-1**). The MDT will facilitate the structured presentation of the RVC Proposals to ensure easy consolidation of the proposals into GPWDP.
- The WWMC shall ensure that the GPWDP conforms to ESMF guidelines of the project. It is mandatory for the WWMC to go through the RV proposals to ensure that they are in conformity with the provisions of 1(a), 1(b) and ES-4 (Format 2 of ESMF).
- If the proposals deviate ESMF guidelines, the WWMC may make appropriate changes to ensure compliance with the ESMF guidelines
- The WWMC will also ensure that the cost of proposals does not exceed the budget envelop allocated to the GP. In case it exceeds, the WWMC will make changes in the GPWDP to ensure that the proposed expenditure in the GPWDP does not exceed the budget envelop.
- The GPWDP shall include an implementation plan for four years which will include a withdrawal strategy in the last year of the plan, after first year of preparation. Thus in each GP the project period will be of five years.
- The WWMC shall submit the GPWDP to the Gram Sabha for discussion and approval.
- The WWMC, through MDT, will submit the GPWDP approved by the Gram Sabha to the concerned DPD or PNGO for review, appraisal and approval.

VI. DEVELOPMENT OF MWS / INTER GP TREATMENT PLANS

Who: WWMC, Van Panchayat, MDT and the concerned Forest Division

When: After project initiation

- The inter GP space treatment plan will be prepared by WWMC and Van Panchayat with the help of MDT and concerned Forest Division.
- The activities to be incorporated in the inter GP space plan, should be as per norms prescribed through Government orders for the Reserve Forest Area.

REVIEW AND APPRAISAL OF GPWDP

Who: DPD or PNGO

When: After receiving approved GPWDP from WWMC

- The DPD office will appraise the GPWDPs using the guidelines for appraisal provided in the Project Operation Manual.
- After appraisal, if the GPWDP is as per budget envelop and ESMF guidelines, it will be approved.
- If the cost of proposals exceeds the budget envelop or deviates ESMF guidelines, it will be returned back to the GP with observations for restructuring the proposals.
- The WWMC shall consider these observations and will make appropriate changes in the GPWDP and if needed, the approval of Gram Sabha will be taken.
- The final GPWDP shall be resubmitted to DPD/PNGO for approval.
- The GP will be bound to accept the suggestions in respect to ESMF guidelines of the project.
- It must be remembered that WMD will not finance any activity which is in the negative list of the Project.

VII. APPROVAL OF MWS/INTER GP TREATMENT PLANS

Who: WWMC, Van Panchayat, MDT and concerned Forest Division

When: After project initiation

Approval: Technical approval by Concerned DFO

- The inter GP space treatment plan prepared by WWMC and Van Panchayat with consultation of MDT and concerned Forest Division should be duly approved by the concerned DFO.
- The activities proposed for inter GP spaces should be incorporated in the MWS plan.

VIII. CONSOLIDATION OF GPWDPs AND INTER GP TREATMENT PLANS

Who: WWMC, Van Panchayat, Concerned Forest Division, MDT, DPD

When: All the GPWDPs of an MWS and inter GP space treatment plans are ready.

- All GPWDPs and Inter GP space plans of a particular MWS will be integrated to prepare a comprehensive MWS treatment plan with the help of MDT and DPD.
- The MWS plan so prepared will be reviewed and appraised by concerned PD for the compliance of ESMF and accordingly final approval will be granted by him.

IX. USE OF GIS AND MIS IN PLANNING (DEVELOPMENT OF DATABASE)

Who: WWMC, MDT, GIS and MIS Cell

When: After approval of GPWDPs and MWS Plan

- All information generated during PRA exercises for GPWDP preparation will be captured by the MIS cell in uniform format to create project baseline database.
- The land base activities such as community assets, proposed plantation areas, fodder and orchard development etc. will be captured using GPS to develop GIS. A GIS map of each GPWDP would be prepared by the DPD and Geo referenced on the project maps in the GIS cell at WMD level. In case of any change or deviation the DPD will take prior approval of the WMD.
- Process monitoring and onsite monitoring of GPWDP and MWS plan implementation using GIS tools will be carried out by M&E cell of WMD.

X. PAYMENT TO GP

Who: DPD

When: After approval of final GPWDP by Gram Panchayat & submission of AWP

- After approval of GPWDP, Signing of 2nd MOU between GP and WMD will take place. (**Attachment A-2**)
- The WWMC shall prepare a detailed Annual Work Plan (AWP) for the first year on the basis of approved GPWDP (**Attachment F-5**). This will contain details of

activities to be funded and implemented, Implementers, beneficiaries and their contribution, and the cost to be incurred on each activity.

- 'On-account payment' amounting to the extent of 10% of the approved AWP will be transferred to GP's account by the DPD. Subsequent payments will be made as per the provisions outlined in Implementation and Financial Management.
- The GP will maintain and submit books of accounts and other documents while claiming reimbursement.



CHAPTER-7

WATERSHED TREATMENT, WATER SOURCE SUSTAINABILITY AND RAINFED AREA DEVELOPMENT

PROJECT ACTIVITIES

The primary purpose of the project is to improve the income levels and quality of life of the village communities by enhancing the productivity of rain fed area. Therefore every attempt should be made to take up such activities in the project which help in fulfilling project objectives. The project activities may include soil conservation, drainage line treatment, afforestation, water harvesting, water recharging , agriculture, horticulture, high value crops, value addition of farm produce, livestock management and breeding activities, fodder production, income-generating enterprises, repair of rural roads and culverts and non-conventional energy programs like Pine briquetting, solar energy, water mills, biogas etc. The above mentioned list is only an illustrative one. There may be many other activities which may be relevant and need based. The village community will be at liberty to choose any activity which is allowed in the project and is in accordance with ESMF guidelines of the project. However those activities which are outside the purview of the broad Project objectives shall not be taken up under the GPWDP.

COST SHARING

To ensure the sustainability of activities that enhance productivity and incomes of the rural population, the project lays emphasis on sharing of costs by the individual beneficiaries. Thus, for all the activities undertaken in the GPWDP for which funds will be drawn from the 'Budget Envelop' of the GP, there will be a provision of beneficiary contribution.

SOCIAL MOBILIZATION

The project is decentralized one and therefore it lays great emphasis on community participation in all three stages, namely planning, implementation and management of the assets created by the project. This needs intensive community mobilization involving all stakeholders at GP level. Learning from the experience of similar past projects, it is evident that the Field NGOs play an important role in successful mobilization and implementation

of project. The ability to mobilize local community, especially women folk, understanding the diverse issues related with communities and ensuring their participation in a project are the strengths of FNGO.

FNGO would be required to give its services from the Project Director Level to the village level. A team of dedicated social staff led by the Convener will lend its services at the Project Director Level. At Division and Unit Level, FNGO will provide the services of coordinators and facilitators respectively to mobilize the villager community. The FNGO will not work in isolation but it would be an integral part of the Multidisciplinary Team (MDT) both at the unit level as well as Divisional level. The MDT would comprise of FNGO and the Agri/ Horti/ Forestry, Livestock and Civil engineering experts from WMD and it will work as a unit and cooperate with each other.

The MDT (FNGO & WMD technical staff) at unit level will be collectively responsible for the overall planning, implementation and supervision of the project in a cluster of GPs. The FNGO along with other members of the MDT will disseminate the key information regarding project amongst the villagers, facilitate and encourage the participation of local communities in the planning process of GPWDP, assist RVC in preparing its proposals, help community in identification of vulnerable individuals and organize them into groups and take lead role in preparing income generating activity plan for them. The MDT will also make community aware- about the need for soil conservation, water resource management, ESMF and other NRM interventions. The MDT will also ensure that science and innovation are incorporated into the planning process of the GPWDP. They will assist in the formation of User's groups and also help build the capacities of these institutions during the project period. FNGO, which will be the key constituent of MDT in social mobilization, should have the expertise in the following areas;

- Integrated Watershed Development
- PRA tools for awareness and community mobilization
- Formation of local institutions and its capacity building to make them sustainable

- Communication skills
- Gender Issues
- Micro Credit, Micro Enterprises development
- Networking and Market Linkages
- Process documentation and report writing

WATERSHED TREATMENT

The WWMC may propose following activities in GPWDP:

- **Creation of new and improvement of existing irrigation facilities for rain fed area development:** Village ponds, Irrigation Channel, Irrigation Tank, Roof Water Harvesting Tank and LDPE Tank.
- **Agriculture:** Repair of agriculture terraces and vegetative field boundary.
- **Horticulture:** New orchard development, rejuvenation of old orchards, homestead plantation, high value vegetable crops.
- **Animal Husbandry:** Stall feeding programme, Mangers, Animal shelter, natural breeding centre and artificial insemination.
- **Improvement Of Rural Connectivity:** Improvement of bridle path, small Bridge, culverts.

WATER SOURCE SUSTAINABILITY PLAN FOR TREATMENT AT MWS LEVEL

A separate plan which will include the activities to ensure sustainability of identified water sources through treatment works will be developed by the WWMC, Van Panchayat, UGs, RVCs. The MDT, concerned WWMC, Van Panchayat and DPD will be responsible for implementation and monitoring the activities and water discharge (before and after) from the treated sources for impact assessment. Following activities can be taken up for the treatment of identified water sources.

- **Water Conservation/ Recharging Measures:** Construction of trenches, dugout ponds, Dugout ponds with embankment, recharge pits, Plantation for rejuvenation of water sources, renovation of existing springs and dharas etc.
- **Drainage Line Treatment and Soil Conservation:** Construction of Vegetative Check dam, Construction of dry stone Check dam, Construction of crate-wire Check dam, Retaining Wall - Stream Bank Protection, Spur, Diversion Drain.
- **Minor Irrigation Programme:** Construction of irrigation channels, Irrigation tanks, LDPE Tanks, Drip irrigation system, sprinkler system, Water lifting pump, and rainwater harvesting tanks.
- **Fodder Production Programme** through Fodder Minikit and Napier Crop Border Plantation, Fodder row plantation with trenches.
- **Forestry:** For enhancing fuel and fodder availability, enhancing vegetative cover and source sustainability, plantation activities will be carried out in identified areas.
- **Establishment of Kisan/ Community / Mahila Nursery for Afforestation activities :** Interested farmers and woman groups will be encouraged to develop forest nursery in suitable areas.
- **Energy conservation and reducing dependence on forest based fuel wood through promotion of alternative energy measures** such as Bio-gas Plant, Solar equipment / Alternate Energy, Water mill modernization, Bio fuel-pine briquetting etc.

RAINFED AREA DEVELOPMENT

This sub-component of Watershed Treatment and Rain fed Area Development will be implemented by WMD and will include demonstration activities and adoption support for High yielding agriculture crops, high yielding vegetable crops, poly houses, poly tunnels, bio/ vermi compost pits, improved Agri/Horti tools, creation of NBCs and stall feeding facilities.

IMPLEMENTATION STRATEGY FOR WATERSHED TREATMENT AND RAINFED AREA DEVELOPMENT

- The activities under this component will be implemented by WMD and WWMC of GP.
- The WMD will carry out mainly demonstration activities in agriculture, horticulture, animal husbandry and NRM works.
- WWMC will be responsible for implementing activities incorporated in GPWDP through various implementers.
- 60% of the budget in GPWDP will be spent on soil and water conservation measures, plantation and related NRM related activities.
 - **Refer to Agriculture and Horticulture Manual, Animal Husbandry and Agribusiness Strategy for details of implementation mechanism in UDWDP-Phase-II.**
 - **Refer to subject specific Technical Manuals (Forestry manual, Soil & Water conservation manual etc.) for GPWDP and MWS plan implementation.**



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- The WMD will carry out mainly demonstration activities in agriculture, horticulture, animal husbandry and NRM works.
- WWMC will be responsible for implementing activities incorporated in GPWDP through various implementers.
- 60% of the budget in GPWDP will be spent on soil and water conservation measures, plantation and related NRM related activities.
 - **Refer to Agriculture and Horticulture Manual, Animal Husbandry and Agribusiness Strategy for details of implementation mechanism in UDWDP-Phase-II.**
 - **Refer to subject specific Technical Manuals (Forestry manual, Soil & Water conservation manual etc.) for GPWDP and MWS plan implementation.**



CHAPTER-8

ENHANCING LIVELIHOOD OPPORTUNITIES

Under **Enhancing livelihood opportunity** component, the livelihood support to the rural inhabitants shall be provided through agribusiness support to the farmers, income generating activities for the vulnerable households and the various interventions for the transhumant in the project area.

I- AGRIBUSINESS SUPPORT

This sub component would follow the learning of UDWDP-I, where marketable surplus farm produce was generated, value added and market linkage were developed with technical support of the project. Under UDWDP-II, this component will support agribusiness activities on a larger scale through following key interventions;

Proposed Key Interventions

- Identification of farmers and through proper training organise them into Farmer Interest Groups (FIGs) to take up off-season and high value vegetable production.
- Adoption of new and environment friendly technologies to promote the production of off-season and high value vegetable crops for household's consumption and sale.
- Development and implementation of sub sector strategies for on farm demonstrations at Gram Panchayat level. The support will extend for agriculture and vegetable crops followed by adoption support for two years.
- Capacity-building and institutionalization of commodity based farmers groups.
- Training and development support for value-added and micro processing enterprises.
- Facilitation for creating marketing infrastructure along with grading and packaging facilities.
- Federate FIGs into Farmers' Federations.

Agri-business Support Organization (ABSO) will be responsible for; **Institutional Strengthening, Crop Planning, Input Support Plan, Brand promotion, Market**

linkages, Infra structure for Market support, identification of satellite collection point and Sustainability of the agribusiness activities etc.

Promotion of Farmer Interest Groups (FIGs) and Farmers Federations (FFs) - The project with the help of MDT and ABSO will support farmers to organize them into FIGs. The project Multidisciplinary Teams (MDT) and Agribusiness Support Organization (ABSOs) will provide technical and marketing support to the FIGs. At a later stage, FIGs will be encouraged to federate into larger groups known as Farmers' Federations.

Training and Strengthening of FIGs - Training programme for formation and management of FIGs & federations, leadership development, off- season vegetable production technology and development of crop calendar will be organized. Technical know-how about crop planning, land preparation, seed treatment and sowing, nursery raising, spacing, insect and integrated pest management, disease management, inter culture operations, harvesting & packaging techniques, post-harvest management, marketing, livestock related management, etc. will be provided to farmers as per requirements during field days.

Production planning- A season and area specific production plan on cluster basis will be developed for each division with the support of ABSO.

Cluster approach for promotion of Agribusiness activity- Farmers will be encouraged to adopt agribusiness promotion activities in cluster of two to three villages. One or two crops will be selected per cluster for bulk production so that effective models can be developed for dissemination of technology & collective marketing of produce.

Input supply & Pilot fund support - Agribusiness input support will be provided to FIGs which may include- quality seeds, bio-pesticides, bio-fertilizers, bio-compost pits, poly-houses, poly tunnels, water lifting pumps, plant protection equipments, Packaging materials, plastic crates for easy transportation and weighing machines etc. However, production related inputs will be provided only under special circumstances after due recommendation of ABSO. Pilot fund support for innovative farm practices and improved tools and equipments will also be provided to FIGs.

II- SUPPORT FOR VULNERABLE GROUPS

Under this sub component, fund has been provided for the livelihood initiatives for vulnerable households including marginalized groups, those are not benefitted by land based activities of the project and also identified by the village community. This would not only result in poverty alleviation in tangible terms but also help marginalized section to organize themselves into sustainable vulnerable groups and collectives which will go in enhancing the productivity of the project areas.

Identification of Vulnerable HH and their needs

Who: VM, FNGO & MDT or PNGO

When: After orientation of the GP & community about the project

- Conduct Participatory Rural Appraisal (PRA) for the identification of vulnerable HH based on criteria prescribed by the project.
- Help the communities to analyze reasons of their poverty and explore opportunities through collective works.
- **Criteria for selection of the vulnerable HH-**
 - In the project, the 'C' - category households as identified by wealth ranking exercise will be considered as members of Vulnerable Groups
 - During the wealth ranking exercise the identification of 'Vulnerable HH (category-C)' will be on the basis of following criteria:-
 - Landless or having less than 5 nalis (0.10 ha.) land
 - Socially Vulnerable (widow, disabled, SC/ST, women etc.) people

Formation of Vulnerable Groups

Who: VM, FNGO/PNGO, MDT

When: After identification of vulnerable HH by RVC/ GP

- The identified vulnerable households will be organized into vulnerable groups/individual beneficiary for taking up income generating activities.

- An individual beneficiary may also be taken up for IGA which will be supported by the project.

Selection criteria of IGAs for livelihood improvement:

Following factors may be considered for the selection of a specific IGA for a specific group/ individual beneficiary.

- Existing skill (traditional / occupational) for the activity and capacity to take up such activity, e.g. carpet weaving, handicraft etc.
- Availability of resources for the activity and its market potential
- Demand of the product and risk taking capacities of the groups
- Financial inputs required
- The ESMF will also be applied at the time of the selection of IGA

Capacity Building of Vulnerable Groups

Who: WMD/PNGO

When: After identification of capacity building needs of the vulnerable groups/ individual beneficiary by MDT

- Prepare comprehensive capacity building plan for individual and groups separately.
- Training would cover the following areas:
 - Market analysis and trends, pricing, rights and rules, etc for an activity to be taken up as an IGA.
 - Technical and Production aspects of IGA.
 - Value addition, storage and marketing
 - Record keeping, bookkeeping and management of finances
 - Follow up training to meet the ever-changing needs of the market
 - Institutional development, cooperatives, federations

- **Entrepreneurship Development Program (EDP):** After selection of IGA, EDP training will be imparted to the vulnerable groups/ individual beneficiary. EDP will cover **skill Training and Exposure program.**

Action Plan for Income Generating Activities

Who: RVC & WWMC, assisted by FNGO/MDT or PNGO

When: After receipt of IGA proposals for funding from vulnerable groups/individual beneficiary

- After finalization of an IGA by the Vulnerable Individuals/groups, it will prepare a proposal for funding (**Attachment VGF-1**) and submit the same to MDT or PNGO for appraisal. After clearance the same proposal will be submitted to the RVC.
- After appraisal and approval, the RVC shall submit it to WWMC for its approval.
- If a proposal is not viable, it will be sent back to the Vulnerable Individuals/groups for appropriate changes and resubmitted to MDT or PNGO for reappraisal.

Fund Flow Arrangements:

- The Vulnerable Group Fund will be kept with the Gram Panchayat.
- Quantum of grant support as working capital will be provided by project in the following manner:

| S. No | Type of IGA | Level of grant provided by project |
|--------------|--------------------|---|
| 1. | Individual IGA | Up to 30,000.00 (Maximum Rs. 40,000.00 *) |
| 2. | Group IGA | Up to Rs. 1, 00,000.00 (Maximum Rs. 1,20,000.00*) |

*** Maximum grant support is provided only in special cases for which prior approval of the proposals by concerned Project Director will be required.**

- Funding /provision of working capital assistance for IGA from Vulnerable Group Fund will be given only after application of ESCP/ESMF and subsequent approval of IGA plans.

- For approved IGA plans, the funds will be transferred from Deputy Project Director (DPD) to the Gram Panchayat account as a grant.
- Subsequently funds from GP account will be transferred to the Vulnerable Individual/Group account as a one-time grant in installments.
- DPD will ensure that Vulnerable Group Fund transferred to GP account should be disbursed to the Vulnerable group / individual beneficiary account within a week.

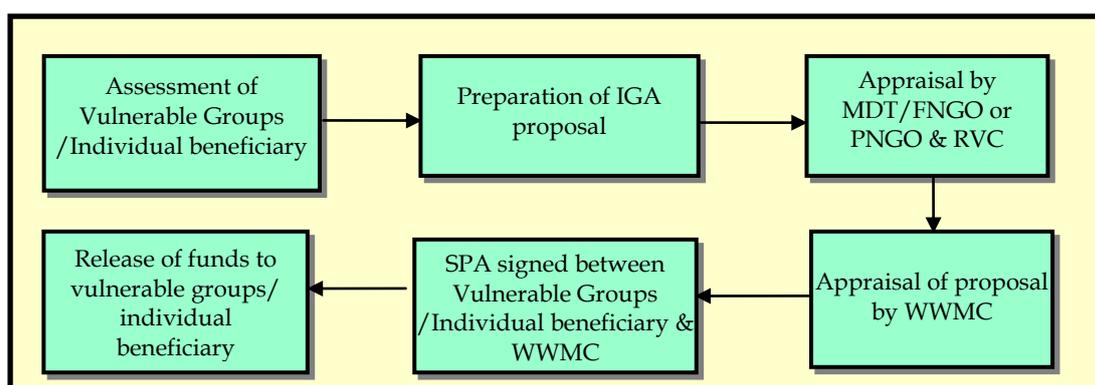
Sub-Project Agreement (SPA) and transfer of funds to vulnerable Groups/ individual beneficiary

Who: Vulnerable Groups/ individual beneficiary and WWMC

When: After approval of IGA proposal

- A Sub-Project Agreement (SPA) [**Attachment A-4**] will be signed between the **Vulnerable Groups** and **GP** for the utilization of the fund provided as grant.
- SPA will include the terms and conditions for utilization of grant.
- After SPA, the fund will be released by the GP to the **Vulnerable Groups/ individual beneficiary**.

FUND FLOW MECHANISM



TRANSHUMANT PLAN

The 'Gujjars' and 'Bhotiyas' are the primary transhumant communities and important stakeholders associated with the natural resources of the project area. Special emphasis

has been given to these groups to participate in the project activities as per ESMF guidelines. A Transhumant Action Plan is being prepared to provide the benefits of the project interventions which would result in improvement of socio-economic status of transhumant.

Preparation of Transhumant Action Plan

The MDT, FNGO or PNGO will prepare the Transhumant action plan based on the requirements of the transhumant community which will be approved by the Project Director and WMD respectively.

Project Interventions

Based on the need assessment the following project interventions would be taken up under the Transhumant Action Plan:

- **Health camps** - To take up the human health care & hygiene requirement of transhumant communities, the health camps will be organized during their stay in project area.
- **Veterinary Services** - To take up the emergent veterinary health care requirements along with increased adoption of scientific practices (vaccination, improved breeding, feeding etc), veterinary health camps would be organized for the transhumant.
- **Sensitization of local communities** - This will be done by organizing workshops and training for project staff, Gram Panchayat members and local communities towards issues of health and hygiene, NRM and Animal Husbandry practices.
- **Capacity building** - For the field staff, motivators & facilitators to sensitize them towards the problems of transhumant community.
- **Informal Education Programme**- Informal Education Programme for children and adults will be organized for the semi sedentary transhumant groups with the help of local NGOs.
- **Enhancing fodder availability** - The concern GP/VP would be sensitized towards inclusion of forestry and fodder development activities under GPWDP to meet the

fodder requirement of the transhumant population. It would be further augmented by supplying balanced concentrated feed.

- **Distribution of hard components** - Tentage, tubs for feeding & drinking of small animals, blankets, poly sheets for shelters, etc. would be distributed during the camps.

Negative list of Interventions

Following intervention will not be allowed in the project-

- Any intervention which is not as per ESMF of the Project.
- Any intervention which is not accepted by the transhumant.
- Any activity that affect their traditional rights in the forest.
- Any intervention that is against their cultural heritage and ethnic identity.

III - CONSOLIDATION OF UDWDP-I ACTIVITIES

In UDWDP Phase-I Agribusiness related activities were taken up to increase income of farmers through technical support, value addition and improving better market opportunities for their surplus farm produce. The third project component '**Enhancing livelihood opportunity**' will take care of the sustenance and strengthening of the institutions such as Farmer Interest Groups (FIGs) and Farmers Federations (FFs) which were developed during UDWDP Phase -I. Different activities would be taken up to support different cooperative/ federation, assessing their need and nature of operation.

- **Repair of damaged assets in GRAMYA-I areas:** This component will give input support to some activities of UDWDP-I within the Gram Panchayat area which have suffered damage due to disaster in the State.
- **Training and exposure visit of Farmer Federations:** The majority of the Federations were registered under the Self Reliant Cooperative Act- 2003 in the last year of the project. Value addition and marketing activities which were earlier governed by FPO/AGMRK rules are now being governed by Food Safety Act of the state. Therefore the cooperatives will be imparted training on following related aspects.
 - Self Reliant Cooperative Act- 2003 of Uttarakhand.

- Better understanding of State Food Safety Act-2011 regarding processing, value addition and marketing activities.
 - The taxation system of state and interstate business.
 - Knowledge about different institution and department who can support cooperatives in the field of institutional strengthening, marketing, technical knowhow, accounting and book-keeping, and financing for future up scaling.
 - Exposure visits to different institution and cooperatives successfully working in other states.
- **Agribusiness Support Organization:** It is proposed to engage Agri-business Support organization (ABSOS) to develop market linkages and providing technical support for three to five years period. The ABSOS would perform the following tasks:
 - Technical support to the farmers
 - Identify potential niche market opportunities and development of strong market based supply chain;
 - Establish links with private sector entrepreneurs who could help in exploiting the market potential;

Input support (Value Addition, Processing and Marketing): The project will provide agribusiness input support to the Farmers Federations after assessing their needs and capabilities. The inputs would include maintenance of created structures meant for augmenting agri-business, quality seeds, livestock related services, bio-pesticides, bio-fertilizers, bio-compost pits, poly-houses, poly tunnels, plant protection equipments, packaging materials, processing equipments, plastic crates for easy transportation and weighing machines etc.



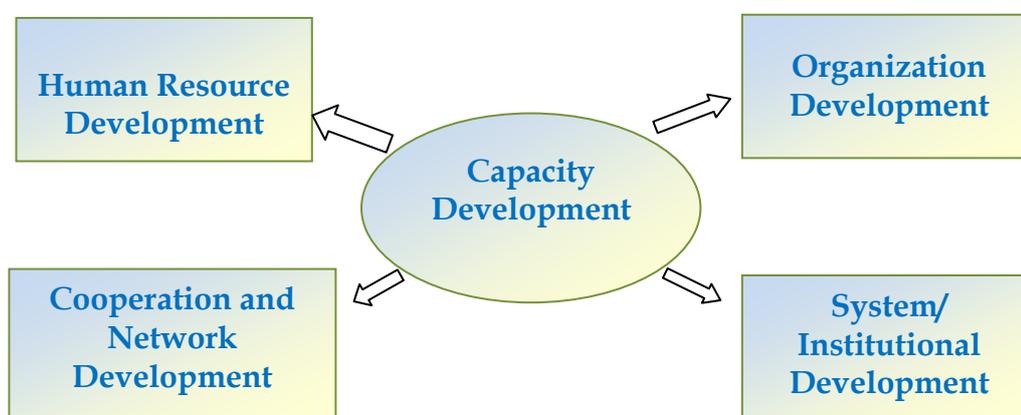
CHAPTER- 9

KNOWLEDGE MANAGEMENT AND PROJECT COORDINATION

KNOWLEDGE MANAGEMENT

1. CAPACITY DEVELOPMENT

Capacity Development programme in this project will be initiated with an objective to increase the capacity of project staff, various organizations and stake holders at GP level in managing project activities effectively and efficiently in such a way that project development objectives could be achieved on a sustainable basis. In this context, four dimensions have been distinguished:



Capacity development activities, which will be through trainings, skill development, exposure visits, farmer field schools, hands on demonstrations etc, will cover a variety of thrust areas ranging from natural resources management, development of agriculture systems, skill development, livelihood enterprise development, gender sensitization, governance, legal issues, institutional strengthening and general awareness etc. These issues will be addressed in accordance to the Capacity Development Strategy of the project.

PROJECT STAKEHOLDERS

The Capacity Development strategy aims at the following target groups:

1. Policy makers and executives of PRIs

2. Project staff/MDT/field functionaries
3. Partner NGOs/Field NGOs/Social mobilizers
4. Gram Panchayat and WWMC as PIA
5. RVC, User group, Vulnerable groups and Transhumant communities
6. Farmer interest groups, Farmer federations and other associated groups
7. Panchayat secretaries/ Accountant Assistant
8. Paraprofessional, Master Trainers to be developed under the project
9. Resource institutions to be trained under the project to meet specific project requirements
10. Any other stakeholder or target group that may need capacity building support from time to time

HUMAN RESOURCE DEVELOPMENT

- Training need assessment for different stakeholders or target audience
- Formulation of subject specific and target audience specific training modules
- Establishment of farmer field schools as centre of excellence
- Development of package of practices, best practice modules and learnings from past projects
- Conduction of exposure visits, within state , outside state and overseas
- Organization of various local, state and national level workshop
- Organization of training of trainers which will then provide decentralized training at local level
- Organization of overseas training

TRAINING MODULES

Each target group will be trained on multiple issues related to the project. Some of the key issues covered will be:

| Target Group | Capacity building issues |
|---|--|
| Policymakers, Project Staff | <ul style="list-style-type: none"> • Orientation & sensitization to community-driven projects • Concept of integrated watershed development • Project rules & regulations • Procurement procedures • Community mobilization • Application of ESMF to planning & implementation process • Tribal & transhumant strategy |
| PNGOs, FNGOs, Social mobilizer, ABSO | <ul style="list-style-type: none"> • Orientation & sensitization to community-driven projects • Concept of integrated watershed development • Project rules & regulations • Community mobilization • Application of ESMF to planning & implementation process • Agribusiness, IGA • Tribal & transhumant strategy |
| GPs including WWMCs, Village Communities, VPs, AAs, Panchayat Secretaries, RVCs, CBOs | <ul style="list-style-type: none"> • Concept of integrated watershed development • Project rules & regulations • Application of ESMF to planning & implementation process • Tribal & transhumant strategy • Financial management, procurement guidelines & maintenance of records • Technical skills in the areas of livestock, agriculture, horticulture, value addition to produce, water harvesting, livelihood improvement |

| Target Group | Capacity building issues |
|--------------------------|---|
| Vulnerable groups | <ul style="list-style-type: none"> • Entrepreneurship Development Programs (EDPs), IGA specific and skills development • Application of ESMF to planning & implementation process |
| FIGs /Farmer federations | <ul style="list-style-type: none"> • Project orientation training • Intensive training on crop cultivation and its management • Technical trainings on product development, processing, packing etc. • Training for institutional strengthening and financial management • Development of market linkages • Linkages with credit institutions • Training on legal issues |
| Transhumant communities | <ul style="list-style-type: none"> • Veterinary first aid • Fodder management • Hygienic milk production • Environment education |

ESTABLISHMENT OF DIVISION LEVEL TRAINING CELL

Training cells are proposed to be established in each administrative division under the leadership of Deputy Project Directors (DPD) to disseminate technical knowhow to community members at local level. The members of division level training cell would be provided with Training of Trainers (TOT) who will assist in meeting training requirements of MDTs and village motivators etc. Trainings will be designed in such a manner that they consume less time on classroom lectures and spent more on field visits.

2. ESTABLISHMENT OF CENTER OF EXCELLENCE FOR WATERSHED DEVELOPMENT

At state level the establishment of a Center of Excellence in Watershed Development will serve as a knowledge hub for participatory watershed development, natural resource conservation, rain fed agricultural development and agribusiness development. It will also serve as a platform for information and educational exchanges amongst various Gramya II stakeholders, training and dissemination activities for targeted local institutions e.g., GPs, VPs, water user groups, and FIGs, state-level stakeholders (NGOs, universities, and research institutions), and the GoI-supported programs, such as the Integrated Watershed Management Program (IWMP), Mahatma Gandhi National Rural Employment Guarantee Act (MNEREGA), IFAD funded ILSP and other community based programs in the state.

3. INFORMATION EDUCATION AND COMMUNICATION (IEC)

UDWDP-II is a community driven project. Therefore it is important to communicate to every village community and project functionary with complete information and right messages in such a manner which could enable them in taking appropriate collective decisions. Similarly, it is critical to receive feedback from the village communities, GPs and project functionaries to enable the project to make appropriate changes to ensure maximum effectiveness and efficiency. The project has to be understood by all in its right perspective so that they may fulfill their respective roles and responsibilities to the fullest extent possible. IEC will form an integral part of the overall implementation strategy. Its mission will be to support the realization of project objectives and bring about people-led development through the project. The communication strategy will cover all aspects of the project – implementation strategy and planning, interaction among project functionaries, interaction between the target communities and the project functionaries, preparation and execution of GPWDPs and sub-projects, gender sensitivity among project functionaries, training of various project functionaries, media outreach and involvement of external stakeholders in this project.

TARGET AUDIENCE

Primary audience: Village community and GPs,

Secondary audience: Project functionaries

Special audience: PRIs other than GPs, media, polity, bureaucracy, development professionals/organizations

KEY MESSAGES FOR SENSITIZATION AND ORIENTATION ABOUT THE PROJECT

(A) SOCIAL MOBILIZATION/ PREPARATION PHASE

- What is watershed management?
- Importance of GPWDPs in realizing long-term social and economic benefits
- Ownership by communities and GPs; government and NGOs are facilitators
- Self-determination of village watershed development plan and activities, and accompanying benefits, by the communities and GPs
- Management by communities and GPs
- Contribution of time and money by the communities/beneficiaries
- Decision-making to incorporate everyone's voice and choice
- Equal role of women in decision-making and management is necessary to develop sustainable and effective plans
- Extra efforts to include and benefit vulnerable groups; social equity to be enhanced through the project
- Seek/offer capacity building wherever and whenever required
- Complete transparency in the entire process of planning and decision-making
- To follow all set out safeguards and processes
- Each entity to fulfill its role and responsibilities towards the common objectives of the project

- Landless, marginal farmers and women can form Vulnerable Groups to undertake income-generating activities
- GPWDP is to be prepared with maximum and intensive participation of the community

(B) IMPLEMENTATION PHASE

- Complete accountability and transparency in the entire process of implementation
- Understanding and Application of ESMF and its compliance in all project interventions. Seek assistance wherever and whenever required
- Efficient and effective use of funds
- Maintenance of accounts and other documentation as per the requirements;
- Effective planning for long-term O&M of assets and natural resources
- Sensitization of stakeholders regarding post project sustainability
- Savings to be utilized for initiatives that benefit the overall village and/or vulnerable groups
- Strong monitoring by the community
- Awareness generation to increase the use of alternative energy sources
- Innovative approaches for Energy conservation
- Awareness generation regarding other Govt. projects. Awareness toward accessibility of other programs for effective watershed development
- Public participation in monitoring the project process
- Technical skill development
 - Rainfed and Irrigated area agriculture techniques
 - Soil and Water conservation
 - ICM/IPM
 - Agribusiness / Market linkage

(C) CONSOLIDATION/WITHDRAWAL PHASE

- sustainability of project interventions
- Roles, responsibilities of stakeholders and mechanisms for future O&M
- Convergence with other development programs

IMPLEMENTATION STRATEGY

- IEC activities will be carried out as part of Centre of Excellence for watershed.
- An IEC expert will be appointed in the project. The IEC expert, in consultation with project functionaries and stakeholders will develop project specific and other relevant communication materials.
- Key messages identified for different stages would be disseminated using a variety of communication tools.
- At the field level, decentralized approach for IEC would be followed through field level project functionaries, FNGOs, PNGOs and ABSO.
- Participatory communication needs assessment (PCNA) will carried out in villages and targeted communication material and messages would be developed.
- Dedicated Project name, logo and anthem will be developed.
- Use of print, News letter and films, Folk media, Audio, audio-visuals and other ICT tools
- A comprehensive media outreach strategy will be developed by the project. This will cover important dailies in Hindi and English, TV news channels and magazines. Further, comprehensive media outreach will ensure greater amount of transparency and accountability within the project.
- Site visits by the media (print and broadcast; local and national) to view and report success cases
- Enforcement of Right to information Act.
- Feedback and learning

DOCUMENTATION AND DISSEMINATION

- Documentation of success stories in the project by FNGO and MDT.

- Documentation and dissemination of good and worst practices.
- Sharing of project learning with other line departments.

4. MONITORING EVALUATION & LEARNING

The project has specific objectives and some broad goals. Monitoring helps community and project staff in understanding the relationship between the efforts/activities and the project's objectives and goals. Further, it tells us where they have reached in the process of achieving these objectives and goals.

Learning involves identification of barriers and bottlenecks that prevent various stakeholders from reaching their objectives and goals. Answers to following questions constitutes learning in the project.

- How do they surmount these barriers and remove the bottlenecks?
- What corrective measures could they undertake to increase the effectiveness and efficiency of their efforts?

The project shall be monitored on the basis of various result framework indicators and core indicators finalized for each component. The progress of each core indicator shall be tracked on six monthly basis.

Annex 1: Results Framework and Monitoring
INDIA: Uttarakhand Decentralized Watershed Development II Project

| Project Development Objective (PDO): to increase the efficiency of natural resource use and productivity of rainfed agriculture by participating communities in selected microwatersheds of the State of Uttarakhand. | | | | | | | | | | | | | | |
|--|-------------------------------------|-----------------|----------|----------------------------|-----|--------|--------|--------|--------|--------|--------------|--------------------------|---------------------------|---|
| PDO Level Results Indicators | Core | Unit of Measure | Baseline | Cumulative Target Values** | | | | | | | Frequency | Data Source/ Methodology | Resp. for Data Collection | Description (indicator definition etc.) |
| | | | | YR1 | YR2 | YR 3 | YR4 | YR 5 | YR6 | YR7 | | | | |
| Indicator One: Increase in water discharge | <input type="checkbox"/> | % | 0 | - | - | - | 10% | - | 15% | 25% | MTR Final | IE | Third Party | To be assessed in perennial water sources based on the hydrological monitoring of eight representative sample MWSs. e.g. measured as change in ltr./minute. |
| Indicator Two: Increase in biomass. | <input type="checkbox"/> | % | 0 | - | - | - | 10% | 10% | 15% | 20% | Yearly | MIS | M&E | Covers biomass produced in arable and non-arable lands |
| Indicator Three: Increase Ha of rainfed area under irrigation | <input type="checkbox"/> | No. | 5,262 | - | - | 5,525 | 6,050 | 6,578 | 7,104 | 7,800 | Yearly | MIS | M&E | Annual targets indicate cumulative additional area |
| Indicator Four: Increase in productivity in irrigated and rainfed crops | <input type="checkbox"/> | % | 0 | - | - | 20% | 30% | 45% | 45% | 50% | Yearly | MIS | M&E | Irrigated: Increase in production of major five high value vegetable crops Rainfed: Increase in production of three major rainfed crops |
| Indicator 5: Direct project beneficiaries (number), of which % of female | <input checked="" type="checkbox"/> | No. | 0 | - | - | 20,000 | 30,000 | 35,000 | 40,000 | 45,000 | Yearly | MIS | MIS | Calculated as #HHs benefiting under GPWDPs, net of HHs under Vulnerable Groups (Intermediate Indicator 8). |

| Intermediate Results Indicators | Core | Unit of Measure | Baseline | Cumulative Target Values | | | | | | | Frequency | Data Source/ Methodology | Resp. for Data Collection | Description (indicator definition etc.) |
|---|--------------------------|-----------------|----------|--------------------------|------------|------------|------------|------------|------------|------------|-----------|--------------------------|---------------------------|---|
| | | | | YR1 | YR2 | YR 3 | YR4 | YR 5 | YR6 | YR7 | | | | |
| Intermediate Result (Component 1): Social Mobilization and Participatory Watershed Planning | | | | | | | | | | | | | | |
| Intermediate Indicator 1: (i) Percent of participating HHs in the Gram Sabha meetings; and (ii) % of which are female | <input type="checkbox"/> | % | 0% | 80% 35% | 80% 40% | 80% 50% | 80% 50% | 80% 50% | 80% 50% | 80% 50% | Yearly | MIS | M&E | % of all HHs participating in the Gram Sabha meetings and their female representatives. |
| Intermediate Result (Component 2): Watershed Treatment and Rainfed Area Development | | | | | | | | | | | | | | |
| Intermediate Indicator 2: Hydrological monitoring systems fully installed and functional in sample MWS | <input type="checkbox"/> | No. | 0 | - | 8 | 8 | 8 | 8 | 8 | 8 | Yearly | MIS | M&E | Composed of Gramya II (eight) MWS |
| Intermediate Indicator 3: Targeted traditional natural water sources rejuvenated | <input type="checkbox"/> | % | 0 | - | - | - | - | 10% | 20% | 30% | Yearly | MIS | M&E | Depleting water sources mean those with 50% completely dried up. 1,500 such sources identified. |
| Intermediate Indicator 4: Natural resource conservation techniques adopted in the targeted areas | <input type="checkbox"/> | % | 0 | 0 | 0 | 10% | 25% | 33% | 50% | 70% | Yearly | MIS | M&E | Terraces with soil water conservation measures and vegetative boundaries |
| Intermediate Indicator 5: Targeted farmers adopting soil | <input type="checkbox"/> | % | 0 | 0 | 10% | 20% | 30% | 40% | 50% | 60% | Yearly | MIS | M&E | Farmers adopting demonstrated technology in at least two cropping seasons. |

| | | | | | | | | | | | | | | | |
|---|--------------------------|-----|---|---|-----|-------|-------|-------|--------|--------|-----------|-----|-------------|---|--|
| moisture conservation practices and crop production technologies | | | | | | | | | | | | | | | |
| Intermediate Result (Component 3): Enhancing Livelihood Opportunities | | | | | | | | | | | | | | | |
| Intermediate Indicator 6: Farmers organized into FIGs | <input type="checkbox"/> | No. | 0 | - | - | 4,000 | 6,000 | 8,000 | 10,000 | 10,660 | Yearly | MIS | M&E | Farmers organized as FIGs | |
| Intermediate Indicator 7: Self sustainable FFs | <input type="checkbox"/> | % | 0 | - | - | 10% | 15% | 20% | 25% | 30% | Yearly | MIS | M&E | Measured by percentage increase in the production volumes marketed by the FFs | |
| Intermediate Indicator 8: Vulnerable HHs covered by the vulnerable group activities under GPWDPs. | <input type="checkbox"/> | No. | 0 | - | 890 | 1,780 | 3,110 | 7,560 | 8,895 | 8,895 | Yearly | MIS | M&E | # of HHs considered to be vulnerable and benefiting from vulnerable group activities under approved GPWDPs. | |
| Intermediate Result (Component 4): Knowledge Management and Project Coordination | | | | | | | | | | | | | | | |
| Intermediate Indicator 9: Target GPs with satisfactory Social Audit using PME regularly | <input type="checkbox"/> | % | 0 | - | - | - | 65% | - | - | 80% | MTR Final | IE | Third Party | Satisfactory GP Social Audit as define in Project Operational Manual | |
| Intermediate Indicator 10: Target GPs with satisfactory financial audit report | <input type="checkbox"/> | % | 0 | - | - | - | 80% | - | - | 100% | MTR Final | IE | Third Party | Satisfactory GP Project Financial Audit as define in Project Operational Manual | |

Note: YR-1 will be baseline year; YR-4 - MTR will be conducted; YR-7 - Final Impact Evaluation will be conducted

EXTERNAL MONITORING

An External Monitoring consultant/ agency will be hired by WMD following World Bank procurement guideline for carrying out baseline survey, Midterm Impact Assessment and Final Impact Assessment.

INTERNAL MONITORING

- Physical and Financial information will be collected through MPRs generated at Divisional, PD and consolidated at WMD level.
- The data will be captured at MIS and GIS cell.
- FMIS will capture information related to category wise detail of expenditure and disbursement.
- From time to time monitoring teams comprising members drawn from various technical wings of Directorate will regularly visit the project area.
- Random field visits (tour diary maintained by different offices), monthly meetings, checklist, brain storming with stakeholder at district and PD level will be conducted from time to time.
- At district level, a District Level Watershed Committee under Zila Panchayat Adhyaksh will monitor project progress at quarterly intervals.
- At State level, State Steering Committee under FRDC, Govt. of Uttarakhand will review the project progress at half yearly and annual intervals.
- Periodic field visit by senior govt. and project officers will be carried out.
- Capture of information for performance indicators circulated by Govt. from time to time will be carried out.
- Capture of information/ data for outcome indicators based on result framework for the project will be collected through core indicators to be submitted by concerned DPD every six month to WMD.
- Regular monitoring by World Bank Mission.

PARTICIPATORY MONITORING AND EVALUATION

PME is a tool of social audit and defined as a process where primary stakeholders (those who are benefitted / affected by the intervention) take the lead in tracking and

making sense of progress towards achievement of self-selected or jointly agreed results at the local level, and draw actionable conclusions.

Objectives of PME:

To access information, facilitate monitoring and evaluation by beneficiaries of different development activities and increase beneficiaries' commitment and understanding in designing, planning and implementing community-based development projects or programmes.

Participatory monitoring involves local beneficiaries in measuring, recording, collecting, processing and communicating information to assist local development project extension workers and local group members in decision-making.

Participatory evaluation assists in adjusting and redefining objectives, reorganizing institutional arrangements or re-allocating resources as necessary. Monitoring and evaluation system (MES) allows continuous surveillance in order to assess the project's impact on intended beneficiaries.

PME management team:

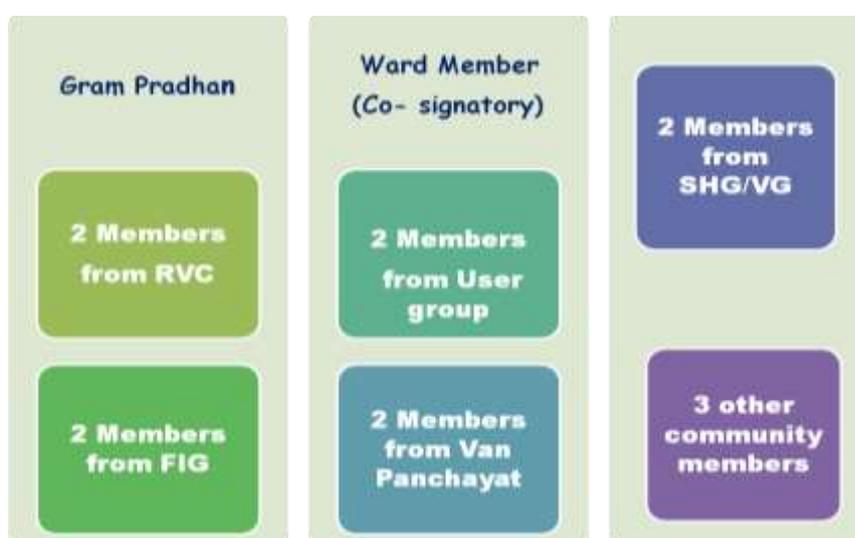
- A 'PME management team' will be set up to lead the PME process in consultation with key stakeholders. This team includes staff from the implementing agency, consultants, FNGO staff and members from different CBOs/institutions. The members of this team should understand the principles of PME and how it is built into the overall project design.
- The 'PME management team' facilitating the PME process will be provided with clear guidance and methodologies, support from subject matter specialist, follow-up training and exchange events. A workshop/training program for community facilitators therefore will be preceding the start of the PME at the community level. Understanding PME principles and ways of working, building commitment to the process and ensuring equity will be the important elements of such workshop/trainings.

Organization and Conduction of PME

- WWMC with the help of MDT would facilitate conduction and coordination of PME at GP level on half yearly basis.

- ‘PME management team’ comprising of following members representing different CBOs/ institutions will be constituted at GP level.
 1. GP/ WWMC- Gram Pradhan and Women ward member (Responsible for jointly operating watershed account)
 2. RVC members – 2 members (one male and one female) from the RVC of the concerned revenue village.
 3. SHG/ Vulnerable Group- 2 members (one male and one female).
 4. FIG- 2 members
 5. UG- 2 members
 6. Van Panchayat -2 members (Sarpanch + one SC/ST member)
 7. Other community member – 2 women + 1 SC/ ST member.

Village Motivator, Facilitator, Account Assistant and Unit level functionaries will facilitate the exercise.



Frequency of PME

- PME would be conducted on half yearly basis in all project GPs.
- The Action Required Checklist (ARCs) with corrective measures to be compiled and a report has to be generated.

Process of Participatory Monitoring & Evaluation:

PME will be conducted phase wise at GP level during project period. In the first and second year of PME, process monitoring of planning phase will be done. As the PME team comprises representatives of all community groups ,it will ensure that during planning phase also process monitoring will be done and community should be aware of project objectives and intervention so that community's needs are prioritized and included in plan. Thus Following step will be taken as a whole in project planning phase by PME team also-

- The first step to initiate participatory planning would be to make the communities aware of the various kinds of support and investments that the project will make under each component. Sensitisation about the project goal and objectives will be an important step prior to need assessment.
- The second step will be to assess the community needs and to support communities to priorities their needs and to realistically develop a perspective plan for a project period, keeping in view the different activities they can possibly be taken up under each project component. The field NGOs will take a lead in building a vision for planning and facilitate the process, with the full involvement of Gram Panchayats (GPs), and the staff of the Division offices and WMD.
- Once the community perspective plans will be drawn-up, they will be made into annual plans. Project will continue to adopt their existing annual work plan including the use of GIS.

The village community will be involved in planning and implementation, handling of funds, procurement and maintenance of assets. The continuous process of consultation with the stakeholders for the execution of interventions will be required to find out whether the planned interventions are being executed as per the intended objectives or not. If not, corrective actions need to be taken in order to realize the expected outputs. In the above context, PME would play an important role by way of active involvement of key stakeholders in the M&E process.

PME methodology

PME is not a one-time event but a continuous process. During the Participatory Learning and Action (PLA) workshop, the PLA team and the community will work

together to come up with a list of indicators, which can be monitored on a regular basis by the community members. There is no set formula that lets us know which PLA techniques will be used for PME. Below are some PLA techniques for PME which will be adopted during PME process as per the suitability:

- Mapping
- Diagramming
- Ranking/Scoring
- Seasonal Calendar
- Semi structured interviews
- Pie chart

Participatory tools

Data collection on selected participatory indicators through simple PRA methods that are flexible and suited the local context will be done. The tools applied are mainly

- Semi structured/structured interviews
- Questionnaire
- Short studies/sample surveys
- Ballot box exercise
- Focus Group Discussion
- Review of Records
- Physical verification

Compilation of Action Required Checklist (ARC)

- At the end of the PME, an Action Required Checklist with clearly spelt out responsibilities of the WWMCs, UGs etc. and project staff will be completed.
- ARC should be shared with the community in the subsequent cycle of PME.
- Actions which were addressed will be checked off the list accordingly.

PME Plan for Gramya II is a live document subject to modifications as and when required.

Key features of Participatory Monitoring & Evaluation:

PME would primarily focus on following;

- Community driven decision making, implementation and management.
- Process monitoring and implementation.
- Performance of institutions involved in project implementation.
- Responsiveness of the project to genuine needs of stakeholders.
- Empowerment of target beneficiaries and strengthening of CBOs through better programmes, accountability and transparency.
- Sustainability of institutions and created assets.

Evaluation of the best performing GPs will be decided on following indicators through PME

- Awareness about project objective and interventions;
- Awareness about budget envelop;
- Awareness about beneficiary selection for various activities of AWP; Beneficiary selection during GPWDP preparation;
- Level of transparency being maintained by the WWMC/RVC/ MDT in different activities,
- Level of Knowledge management and dissemination and Financial Management.

Performance of GPs on various indicators would be categorized by the awareness of percentage of participants. GPs performing 75% and above should be categorized as Good; 50-75% will be in categorized as Satisfactory and GPs performing < 50% will fall in moderate category.

Sample indicators for PME:

- PME indicators will be finalized through a consultative process with project staff, members of FNGO & PNGO and stakeholders. For this purpose a series of consultative village level workshops will be conducted in all selected project villages to identify and develop PME indicators. The unit level MDTs including

FNGOs will be instrumental in organizing, coordinating and conducting such workshops. Selected villages will be visited prior to consultative process to involve stakeholders in the process.

- Gender and poverty sensitive indicators will be developed to monitor and evaluate the status of women, weaker section and vulnerable groups' of the project. Gender based response will be taken from community and Grievance redress section of PME will address the gender related complaints. For sampling one division from each region i.e. Garhwal and Kumaon will be selected. Before finalizing the indicator field test will be conducted to check its feasibility.
- Seven broad objectives will be taken up for PME exercise and indicators will be developed under these broad objectives -
 - Awareness about project objectives and intervention
 - Inclusiveness and Equity
 - Transparency and Accountability
 - Financial Management
 - Knowledge Management and dissemination
 - Grievance Redress Mechanism
 - Withdrawal strategy

Refer to PME strategy of project for details

AUDIT ARRANGEMENTS

Internal Audit: Internal audit will be carried out by a firm of CA to be hired by WMD following World Bank procurement guidelines. They will audit project account at headquarter and field levels on quarterly basis.

External audit: The CAG through its offices in Uttarakhand are the statutory auditor for the project. The CAG's office will conduct annual audit of the operations of the WMD and its constituents at the regional and district levels. The CAG may audit GP project account on sample basis.

Post Review Audit: Post Review Audit will be carried out by the Bank auditor.

GP Audit Arrangement: Annual GP audit will be carried out by firm of Chartered Accountants empanelled with CAG.

USE OF GIS AND MIS IN MONITORING

It has been already explained regarding the use of MIS and GIS in chapter 6.

PROJECT COORDINATION

This includes financing of project staff including Subject Matter Specialist, Financial Review Consultancy, up-gradation of GIS and MIS systems, purchase and OM of office equipment and vehicles, office running expenditure and project incentive

ROLE OF PROJECT MANAGEMENT

At State Level:

A. Office of Chief Project Director, Watershed Management Directorate:

- Implementation of Govt. orders and to make fund available to the field functionaries
- Timely submission of reports to Govt., GOI and World Bank
- Deployment of field staff , FNGO and PNGO and other functionaries
- Coordination with line departments at state level etc.
- Approval of annual plans by State Steering Committee
- To consolidate the annual budget of various PDs and submission to the state for sanction of the Budget.
- To receive the funds from the GoUK as per Budget allocation.
- Distribution of the funds / CCL to various Project Directors, DPDs on timely basis as per the physical and financial targets.
- To submit Consolidated Statement of Expenditure to the World Bank for reimbursement of Claims.
- To monitor the activities and progress of works in regions covered by Partner NGO's with the help of PMU cell.
- To provide necessary co-ordination and ensure proper implementation of the Project.
- Conflict Resolution

B. Office of Project Management Unit (PMU) at WMD

- To approve the budget of GPs under Partner NGOs.
- To consolidate the budget of GP's provided by the Partner NGO.
- Out of CCL received from the WMD; transfer funds to Gram Panchayats.
- To approve the budget under Partner NGO, (including funds for transhumant action plan)
- To facilitate audit of accounts by A G and the Project auditors.
- To collect and consolidate the details of expenditure provided by various GPs.
- To keep an overview of activities being carried out by the Partner NGOs.
- To periodically report on the activities of the Partner NGOs to the Watershed Management Directorate.

C. At Regional Level: Office of Project Directors

- Implementation of Govt. orders and to make fund available to the field functionaries
- Timely submission of report to Directorate and Govt.
- Approval of MWS plan and Approval to LIVH plan submitted by DPDs
- Consolidation of Annual plans
- Coordination with line departments at regional level, resolving of conflict and issues.
- To consolidate the budget of various DPDs and add their own administrative budget for submission to Project Director.
- Receive and account for funds from the WMD on the basis of finalized Budget.
- To release budget to field DPDs as per approved AWP.
- To monitor Internal Audit & Financial control.
- To consolidate the activity wise expenditure summaries submitted by DPDs.
- To desk appraise the proposals in consultation with ESCP
- To monitor the Project through Multi Disciplinary Teams.
- Coordinate efforts of FNGO, Community mobiliser, technical staff and GP.
- Overall monitoring of the project and field functionaries at regional level.

At District level

D- Field DPD at division level

- DPD will be the administrative head at the divisional level and responsible for smooth implementation of the project.
- Implementation of Govt. orders, regular monitoring, to make fund available to the field functionaries and GP
- Ensure formulation of GPWDP, review and appraisal of GPWDP, preparation of Annual Plan
- To resolve of conflict and grievances of field functionaries .
- Coordinate with line departments at block and district level
- Timely submission of all reports to higher officers, monitoring of ABSO and FNGO field functionaries.
- Consolidate the Annual Action plans of all the GPs under them to make consolidated budget for GPs.
- To add their own administrative budget in the consolidated budget of GPs for further submission to Project Director.
- To receive the budget envelop from Project Director.
- To allocate budget to various GPs and execute Financial Agreements / MoUs with GPs.
- To maintain record for the amounts remitted to GPs.
- To consolidate GP wise - activity wise expense statement with assistance of Unit Officers.
- Coordinate with MDTs at division level.
- Field appraisal and to suggest alternatives in action plan.
- Assist in implementation of Action Plan.
- Assist GP in procurement of material, wherever required.
- Advise GPs on government-approved suppliers of material and services. Also help in preparation of yellow pages of recommended sources for procurement.

E- Partner NGOs:

- To consolidate the Annual Action plan of various GPs for submission to the PMU cell along with consolidated budget of GPs.
- To help GPs in reporting on monthly basis.

- To consolidate reports of various GPs and submit the same to PMU.
- Act as coordinator between the PMU and the GPs.
- Facilitate micro watershed planning in their concerned areas.
- Provide technical services including those of MDT Team.

At MWS level

F- Multi Disciplinary Team (MDT):

- Orienting the community about different aspects of the Project.
- Identify training needs of GPs.
- Participate in appraisal of need-based assessment at GP level.
- Help in preparation of various Project proposals.
- Assistance in Integration of Plans of Revenue Villages with GP.
- Disseminate Project rules.
- To verify the physical progress of works and certify running bills and completion certificates.
- To collect and consolidate details regarding expenditure and beneficiary contribution for each GP for submission to DPD.
- Act as a communicator as well as coordinator between the Deputy Project Director and the Multi Disciplinary Staff.

Capacity Building Activities

- Training and sensitization of project staff, GPs, RVC, UGs, SHGs, and individuals on the need for monitoring in the project and chosen monitoring indicators
- Training of project staff to develop participatory monitoring jointly with GPs and communities



CHAPTER-10

IMPLEMENTATION & FINANCIAL MANAGEMENT

An effective, flawless, transparent and easy to follow financial system which has adequate checks and balances to prevent misuse of money is a foremost requirement for the successful running of a time bound project. The financial management for the proposed project has been designed to meet all such requirements of a sound and transparent financial system. Under the proposed project, following two systems of drawing and disbursement of money will be followed-

1-Treasury System- Under this system, the funds will be released by the financial wing of WMD to different DDOs to pay salary of employees and meet expenditure required to be incurred for smooth running of offices. The funds so released will be utilized by DDOs by submitting bills/vouchers to concerned treasuries.

2-CCL (Cash Credit Limit) System- Under this system, funds will be released to different DDOs in following two heads,

a. 20-Grants-in-Aid- Funds, released under this head to field DPDs, will be utilized to meet the expenditures incurred by GPs in following three different heads for implementing **sub project activities**.

- Implementation Fund
- Vulnerable Group Fund
- Incentive fund

b. 42-Other Expenditure- Funds, released under this head by WMD to Project Directors, field DPDs and other DDOs, will be utilized to meet the expenditures incurred by them in the implementation of demonstration (Agri/Horti., Animal husbandry and NRM etc.) and training activities which will be other than Sub Project activities.

Implementation Fund -This fund will be made available to GPs in a separate bank account named as '*Watershed Development Project Account*' and operated jointly by Gram Pradhan and Women Ward Member for implementation of activities proposed in GPWDP and inter GP space MWS plan. An additional amount to the extent of Rs. 80000, per annum will also be provided to each GP in the above account to pay honorarium to its Account Assistant

and meet their administrative and overhead expenditures. Nearly 20% of the watershed treatment fund has been set aside with the concerned DPD for treatment of inter-GP spaces which lie within the MWS but are out of the jurisdiction of GPs. The objective of this additional fund is primarily to ensure that holistic treatment of the complete MWS takes place in a manner that complements the efforts of the GPWDPs. However, it must be remembered the fund released for the implementation of GPWDP activities will not be used to treat inter-GP spaces but GPs will be encouraged to realize that only complete treatment of an MWS will give long-lasting benefits to the community. For utilization of this additional fund, the PNGO/MDT in consultation with the concerned forest division, GPs and Van Panchayats will develop a plan which will be submitted to the Divisional Forest Officer of the concerned forest division for approval. The implementation of the project activities in this plan of inter-GP areas will be carried out by the respective Van Panchayats. If the GPs or VPs refuse to implement for any reason, such activities will not be carried out until an agreement is reached with the concerned GPs.

Vulnerable Group Fund -This fund will be provided as a grant in the same account of GP i.e. '*Watershed Development Project Account*' to finance the approved Income Generating Activities for individuals/groups in order to ensure equity amongst vulnerable households in the village.

Incentive Fund-An incentive fund is proposed for GPs, CBOs and individuals in UDWDP-II with the objective to motivate them to work in an efficient, transparent and participatory manner. This fund will be transferred to 'Nidhi 1, Bank Account' of the Gram Panchayat for utilization by the GP. Direction for utilization will be developed by WMD.

FLOW OF FUNDS TO THE GP

Initial On-Account Payment: On-Account payment to the extent of 10% of the each year's Annual Work Plan shall be given at the beginning of the FY by the Project to the GP. It will, however, be adjusted at the end of the same Financial Year.

Implementing agency for work

The WWMC will have the right to appoint anyone of the following Implementers in the order of priority for the implementation of the work:

- i. The **Individual Farmer** (Beneficiary) for the work to be executed on his individual land. (In that case, **Individual** will work as a contractor)
 - ii. **RVC/ VP /User Group** which will work as a contractor to GP will be engaged for the activities to be implemented on common/ community/village assets. This arrangement will also apply on individual land or asset if the beneficiary has no objection and gives his consent in writing.
 - iii. The **Gram Panchayat**
- The First Right of implementation of every work under the project rests with village-level entities such as individual farmer, RVC, User Group or the Van Panchayat. If these options are not available then the GP itself may decide to execute the works. If all the above options refuse or fail to take up project activities under GPWDP as per plan only then, the works will be awarded to independent contractors. However the WWMC will have to obtain in writing their inability to undertake the project activities before awarding the contract for the said work to an independent contractor.
 - In case of special technical requirements for which the above mentioned village level institutions do not possess adequate capabilities, and then the WWMC may outsource a **contractor** having past experience in specialized technical works. Such a Contractor will be appointed only after the concerned Beneficiaries have deposited the full amount of their share for the said activity in advance with the Gram Panchayat.

PREPARATION OF ESTIMATES AND ITS TECHNICAL SANCTION

- After preparation of detailed AWP and receipt of the initial On Account payment from the DPD the estimates for each activity to be taken up, will be prepared by the WWMC with the help of the Technical Representative of the MDT/PNGO in the format given vide **Attachment F-6**.
- The Technical Representative of MDT, along with a WWMC member shall survey the site of a particular work for preparing the estimates. The design and the estimates will be discussed with the concerned members before finalizing it. *Every estimate of works will be accompanied with a photograph of the site.*

- An Integrated Activity register (**Format F-3**) shall be maintained by the Accounts Assistant at each GP level.
- Technical member of the MDT will ensure that the detailed cost estimate of activities are prepared and a technical sanction is obtained for each such estimate prepared by the GP before initiating the activity. The format of Technical Sanction is given vide **Attachment F-7**.
- The competent authority to accord technical sanction for watershed works is given below in the table.

| Sanctioning Limit | Sanctioning Authority |
|-------------------|--|
| Up to Rs 10,000 | Should be passed in the meeting of WWMC. No sanction from WMD is required. Copy of each sanction will be sent to DPD for information. |
| Above Rs. 10,000 | Sanction from WMD is required and that will be as per the existing WMD norms. The estimates prepared will be submitted to the MDT by WWMC for according sanction from the WMD. |

- Once the sanction is granted, a 'technical sanction number.' will be allotted for each activity.
- There will be no splitting of work/activity for the purpose of bypassing sanctioning requirement from WMD for activities above Rs. 10000.

SUB-PROJECT AGREEMENT BETWEEN GP AND IMPLEMENTER

- A Sub-Project Agreement (SPA) for each activity will be signed between the GP and the Implementer through WWMC, if the GP itself does not execute the work. The design and cost estimates of the structure prepared with the help of MDT representative will be a part of the SPA. A sample draft of the SPA which will include and cover following areas is enclosed vide **Attachment A-3**.
- Objectives
- Sub-Contracting

- Implementation of Works
- Procurement of Material
- Responsibility of Damages
- Time Limit and Schedule of Payment
- Duties and Responsibilities of the WWMC and the Implementer
- Settlement of Disputes
- Ownership and responsibility of maintenance of the created assets.

IMPLEMENTATION AND MONITORING OF THE WORK

- Technical representative of the MDT will provide guidance to the Implementer and will monitor the work to ensure that the work is completed within time as per the prepared estimates and designs.
- Work must be completed in the sequential manner as approved by the Gram Sabha.
- Technical Representative of the MDT shall inspect the progress of works at different stages and record it in a Measurement Book (MB) after verification. The MBs shall, however, be kept in safe custody of the Accounts Assistant of each GP. The format of the MB will be as prescribed by the State Financial Rules vide form nos. 16 and 17.

REGISTERS AT GP LEVEL

Following registers, related to project financial system, will be kept at GP level and maintained by Account Assistant.

- Perforated Project Cash Book (**Format F-1**)
- Sanction Register (**Format F-2**)
- Integrated Activity Register (**Format F-3**)
- Beneficiary Contribution Register (**Format F-4**)

PREPARATION OF BILLS

Bills shall be prepared by the implementer on basis of actual progress and accorded sanctions. The Account Assistant shall assist individual farmer, RVC, VP, UG and SHG in preparation of the bills.

AUTHORIZATION PROCESS FOR THE PAYMENT

The bill submitted for the payment will route through the Account Assistant who, before making any payments, shall cross check with the Integrated Activity Register to verify the quantum of earlier payments made before getting it approved by the WWMC.

- All payments shall be authorized by the WWMC, which shall meet at least once in a week for this purpose.

BASIS, STAGES AND QUANTUM OF PAYMENT / REIMBURSEMENT

- If the GP itself implements the work then the GP can claim to the extent of sanctioned amount, net of beneficiary contribution, only against submission of actual bills of expenditure incurred.
- Bills for the work implemented by GP will be paid as soon as it is authorized by the WWMC.
- In case the work is implemented by an Implementer other than GP, the total payment made to it shall not exceed the estimated unit cost (net of Beneficiary Contribution) as approved and adjusted proportionately for actual measurements.
- The payment to the Implementer (Individual/RVC/VP/UG) other than GP will be on the basis of running bills/final bills cum Completion Certificate.

(A) Documents to be submitted in the case of running bills

If the amount claimed is against the activity not yet completed the implementer will submit the 'Running Bill cum work done certificate' after getting it attested by:

1. The Member of RVC,
2. Technical Representative of MDT

Quantum of Payment: The total payment made **against running bill** should not exceed 80% of the total amount of the work done as detailed in the 'Running bill cum Work done Certificate'.

Copies of the Running Bill: Running bill cum Work done Certificate 'shall be prepared in Triplicate. One copy each, of the bill shall be submitted to GP and DPD through Unit Office. The Implementer shall retain the last copy for its record. **(Format F-8)**

(B) Documents to be submitted In case of bill for completed activity

If the amount claimed is against activity completed, the Implementer will submit the 'Final bill cum Completion Certificate' *along with the photograph of the completed work*. The 'Final bill cum Completion Certificate' shall be prepared by the Implementer i.e. concerned beneficiary, in case of the work done on private land and one of beneficiaries in case of work done on common/community land and attested by:

1. The Member of RVC
2. Technical Representative of MDT

Quantum of Payment: On completion of an activity the total payment made to the Implementer shall be equal to the estimates of work prepared and adjusted proportionately for actual measurement as per Measurement Book, net of Beneficiary contribution.

Copies of the Final Bill: Final Bill cum Completion Certificate' shall be prepared in triplicate. One copy shall be retained by GP and the other copy will be forwarded to the DPD through Unit Office. The Implementer shall keep the last copy for his record. **(Format F-9)**

Note: 1- If there is any change in the design with respect to the original estimation, revised sanction should be sought.

2- An 'OK card' will be used for activities where measurement of activity is not possible and therefore, Measurement Book cannot be prepared.

PAYMENT BY CROSSED CHEQUES

All payments shall be made to the implementer preferably by the crossed cheques. However, no payment exceeding Rs. 2000 shall be made in cash. In exceptional cases, this limit can be

extended up to Rs. 5000, but in that case public witness will be required before making payment.

Reimbursement of Cost of Works: During Implementation of the Project, reimbursement of all expenditures incurred on works as per the approved work plan of GPWDP will be claimed by GPs after submitting requisite financial statements. All expenditures incurred in a particular month will be reimbursed by the DPD at the end of the month. However, if the amount is completely spent before the end of the month, even then the GP can claim the reimbursement by submitting the financial documents and statements. Summary of documents and statements to be submitted to DPD by GP while claiming reimbursement is given below in a tabular form.

Summary of documents to be submitted to DPD by GP while claiming reimbursement

| S.No | Time of Claiming Reimbursement | Documents to be submitted |
|------|--------------------------------|--|
| 1. | At the end of Month | 1. R-1 and R-2 2.Perforated copy of the Project Cash Book along with copies of bills/ vouchers related to the copy of Cash Book being submitted. |
| 2. | During the Month | Perforated copy of the Project Cash Book from the date of last reimbursement till the date of present submission of reimbursement claim along with copies of bills/ vouchers related to the copy of Cash Book being submitted. |

FINANCIAL STATEMENT

(Summary of receipts and payments till the date of submission)

| Receipts | | Payments | |
|---------------------------------|--------|-----------------|--------|
| Particulars | Amount | Particulars | Amount |
| Opening Balance | | Payments made | |
| Receipts from WMD | | | |
| Beneficiary Contribution – Cash | | Closing Balance | |

The DPDs are expected to ensure and devise a mechanism so that the fund released to GPs is utilized for the purpose for which the demand was raised by the GP.

Note: In the divisions where the PNGO will be implementing the project on behalf of WMD, it will be responsible for the entire financial monitoring of the funds made available to the concerned GPs. On the recommendation of the PNGO, all the funds will be transferred to the GPs directly by the WMD.

ADVANCES-No advance payments shall be made to the Implementers. Following Table summarizes the fund flow from GP to Implementer.

FUND FLOW ARRANGEMENT AT VILLAGE LEVEL

| Particulars | Types of Implementers | | |
|---|--|--|--|
| | Individual Farmer | RVC/VP/UG/ Outside contractor | Gram Panchayat |
| Basis of Work | On contract Basis | | On actual basis |
| Basis of Payment | Running /Final bill cum Completion certificate | | On presentation of bills for Material/ Labour etc |
| Quantum of Reimbursement from DPD to GP | Up to the extent of Estimated Unit Cost. (Net of beneficiary) | | On actual cost to the extent of amount sanctioned, net of Beneficiary Contribution. |
| Preparation of Running Bill / Final Bill cum Completion Certificate | To be prepared by Implementer with the help of Account assistant and certified by Representative of RVC and MDT. | | |
| Flow of Funds | Advance | Nil | |
| | Against Running Bill cum Completion Certificate | 80% of the amount as mentioned in the bill | On actual basis, to the extent of amount sanctioned, net of Beneficiary Contribution |
| | Against Final Bill cum Completion Certificate | Full payment to the extent of sanctioned amount, after adjusting previous payments net of Beneficiary Contribution | |

DEMONSTRATION UNDER RAINFED AREA DEVELOPMENT

Fund for implementation of demonstration (Agri/Horti., Animal husbandry and NRM etc.) activities will be provided by WMD through DPD. Division level officer will inspect and Unit level team will actually verify the demonstration works before making payments. Payment to

individual beneficiaries under demonstration activities where construction work is involved will be made on the basis of voucher accompanied with either a bill verified by MDT or a copy of measurement recorded in MB.

ENHANCING LIVELIHOOD OPPORTUNITIES

Funds for implementation of activities under this sub-component will be provided by the WMD. The Field DPD offices and the PNGOs through their MDTs will be responsible for implementation of various individual/group activities under this sub component. The expenditure and statement of accounts of expenditure under this sub component will be made by the concerned Project offices. The community/ individual beneficiary / FIG / will make available land and farm yard manure in the form of material. All activities will be undertaken in consultation with the GPs and communities. The GP through the WWMC is expected to maintain records of beneficiaries and benefits accrued to them from this sub component.

Income generating activities for vulnerable groups

This fund will be used to finance small income generating activities for vulnerable individuals/groups, in order to fulfill project objective. Training will be imparted to the vulnerable individuals/groups identified during the planning process to upgrade their entrepreneurial skills. The IGA proposals will be developed by FNGO in consultation with concerned individual/group. The funds will be disbursed to the vulnerable individuals/groups, through the GPs after signing an agreement with GP. The MDT's endorsement of each proposal to ensure that it is in accordance with the ESMF, will be mandatory.

DISBURSEMENT ARRANGEMENTS

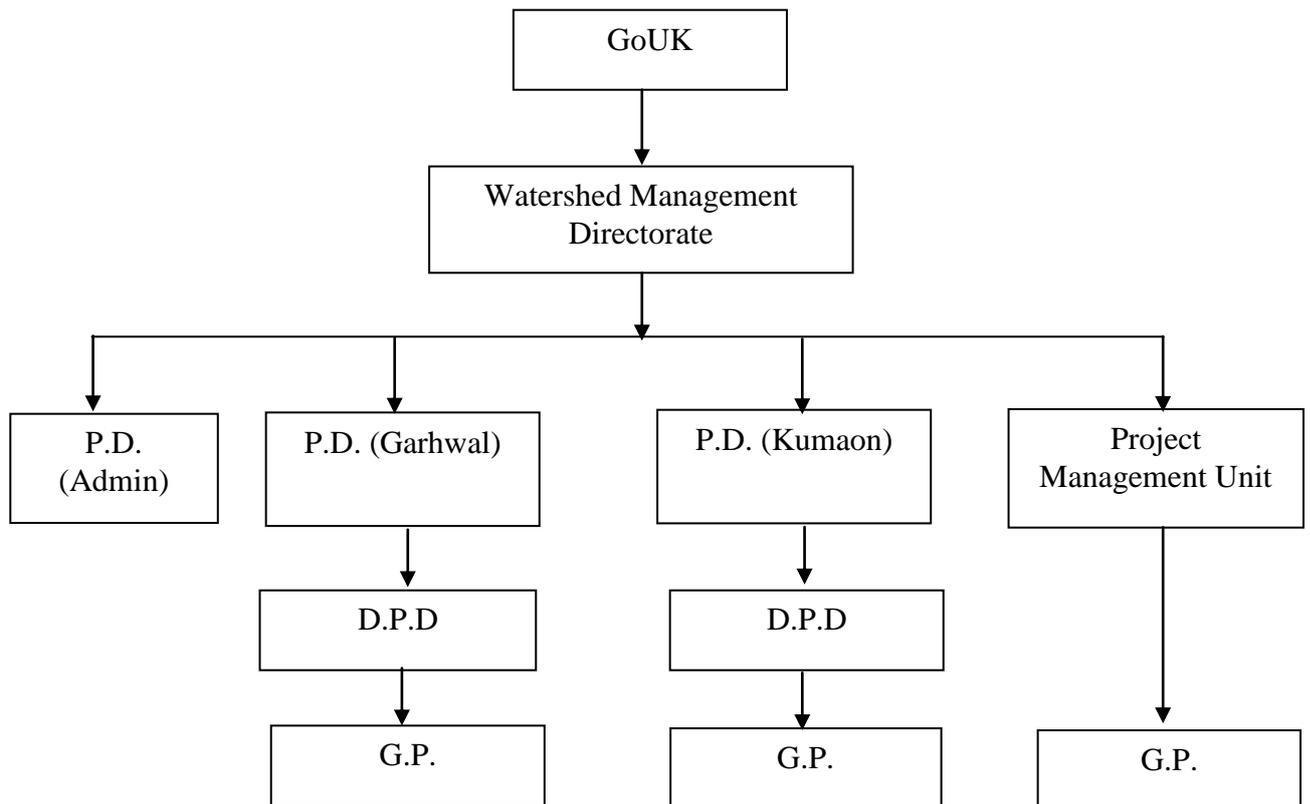
A Designated Account (DA) for the project would be maintained in the Reserve Bank of India (RBI) and would be operated by the Controller Aid, Accounts and Audit (CAA&A) in accordance with the Bank's operational policies. There would be a one-time fixed advance of US\$ 6 million which will be maintained throughout the project and adjusted towards the end of the project implementation. Disbursements would be made based on quarterly IUFs. The

project would submit withdrawal applications supported by IUFs to CAA&A in DEA for onward submission to the Bank for DA replenishment. The Bank would replenish the DA in an amount equivalent to the eligible expenditures claimed by the project and as reported in the IUFs. All expenditures reported in the IUFs would be subject to confirmation/certification by the annual audit reports. Any difference between the expenditure reported in the IUFs and those reported in the annual audit reports would be analyzed and those expenditures which are confirmed by the Bank to be ineligible for funding (i.e., refundable to IDA), would be adjusted in the subsequent disbursements.

DISBURSEMENT CATEGORIES

Two disbursement category viz. CAT-1: Goods, Works & Services under sub Project and CAT-2 : Goods, Works , non- consulting services, consultants' services, for other than sub Project are envisaged. Training, Workshops and Incremental Operating Costs other than sub Project are proposed for disbursement. The overall disbursement percentage would be 80%, excluding government staff costs.

OVERALL BUDGET FLOW



Note:

- Upward movement signifies that the Budget planning will start at G.P level and move upwards.
- Downward arrows signify that the Budget has been approved by the State Govt., and will flow to requisite accounting center.

Capacity Building Activities

- Comprehensive training of AAs and WWMC Secretaries on Financial Guidelines and reporting mechanisms in the project
- Guidance and training to WWMC, RVCs and individuals on aspects such as bill making, reporting mechanisms, realization of payments, etc.

CHART OF FUNDS

| Main component | | Sub Component | | Minor Component | | Component Activity | | Activity | Disbursement Category |
|----------------|--|---------------|---|-----------------|---|--------------------|--|----------|-----------------------|
| 1 | Social Mobilization and Participatory Watershed Planning | 1.1 | Social Mobilization | 1.1.1 | Hiring of Partner NGOs (4 nos.) | | | | C 2 |
| | | | | 1.1.2 | Hiring of Field NGOs (2 nos.) | | | | C 2 |
| | | | | 1.1.3 | Hiring of village motivators | | | | C 2 |
| | | | | 1.1.4 | GPs administrative expenses | | | | C 1 |
| | | | | 1.1.5 | Salary of Project Field Staff | 1.1.5.01 | Salary of Project Field Staff (01 Pay) | | NR |
| | | | | | | 1.1.5.02 | Salary of Project Field Staff (03 DA) | | NR |
| | | | | | | 1.1.5.03 | Salary of Project Field Staff (06 Oth. Allow.) | | NR |
| | | | | 1.1.6 | Other Office Expenses | 1.1.6.01 | Office running expenses - Mazdoori | | C 2 |
| | | | | | | 1.1.6.02 | Office running expenses - Travel allowances | | C 2 |
| | | | | | | 1.1.6.03 | Office running expenses - Transfer TA | | C 2 |
| | | | | | | 1.1.6.04 | Office running expenses - Honorarium | | C 2 |
| | | | | | | 1.1.6.05 | Office running expenses - Office Expenditure | | C 2 |
| | | | | | | 1.1.6.06 | Office running expenses - Electricity | | C 2 |
| | | | | | | 1.1.6.07 | Office running expenses - Water tax | | C 2 |
| | | | | | | 1.1.6.08 | Office running expenses - Stationary | | C 2 |
| | | | | | | 1.1.6.09 | Office running expenses - Telephone | | C 2 |
| | | | | | | 1.1.6.10 | Office running expenses - Professional Services | | C 2 |
| | | | | | | 1.1.6.11 | Office running expenses - Rent | | C 2 |
| | | | | | | 1.1.6.12 | Office running expenses - Publication | | C 2 |
| | | | | | | 1.1.6.13 | Office running expenses - Advertisement | | C 2 |
| | | | | | | 1.1.6.14 | Office running expenses - Media expenditure | | C 2 |
| | | | | | | 1.1.6.15 | Office running expenses - LTC | | C 2 |
| | | | | | | 1.1.6.16 | Office running expenses - computer Maintenance & Stationary | | C 2 |
| | | | | 1.1.7 | Incentive Fund for GP works | | | | C 2 |
| | | 1.2 | Preparation of GPWDP/MWS Plans (As per ESMF) | | | | | | C 2 |
| 2 | Watershed Treatment and Rainfed Area Development | 2.1 | Watershed Treatment & Water Source Sustainability | 2.1.1 | Watershed Treatment (sub projects) | 2.1.1.01 | All the activities as per GPWDP in various sectors like- Agri., Horti., Animal Husbandry, Source Sustainability measures, Energy conservation, Water, Forestry, Minor Irrigation, Soil conservation etc. | | C 1 |
| | | | | 2.1.2 | NRM Treatment Support / Tech. innovation & demos | 2.1.2.01 | Forestry demonstration activities and Non arable treatments. | | C 2 |
| | | | | 2.1.3 | Demonstration of water conservation through Pond Construction alongwith peripheral activities | | | | |
| | | 2.2 | Rainfed area development | 2.2.1 | Agriculture & Horticulture demonstrations | 2.2.1.01 | Demo. of High Yielding agric. crops (For rainfed ag) | | C 2 |
| | | | | | | 2.2.1.02 | Adoption support for High yielding agric. crops (rainfed ag) | | C 2 |
| | | | | | | 2.2.1.03 | Demonstration for high yielding vegetable crops | | C 2 |
| | | | | | | 2.2.1.04 | Orchard Development (250 plants per ha) | | C 2 |
| | | | | | | 2.2.1.05 | Seeds and Seedlings (High value crop demonstration) | | C 2 |

| Main component | | Sub Component | | Minor Component | | Component Activity | | Activity | Disbursement Category |
|----------------|---|---------------|--------------------------------------|---------------------------|---|--|---|---------------------------------|---|
| | | | | | 2.2.1.06 | Polyhouses | | | C 2 |
| | | | | | 2.2.1.07 | Poly tunnels | | | C 2 |
| | | | | | 2.2.1.08 | Vermi compost | | | C 2 |
| | | | | | 2.2.1.09 | Improved agriculture/horticulture implements | | | C 2 |
| | | | 2.2.2 | Animal Husbandry Program | 2.2.2.01 | Livestock Improvement | 2.2.2.01.01 | Natural Breeding centres | C 2 |
| | | | | | | | 2.2.2.01.02 | Paravet (AI services) | C 2 |
| | | | | | 2.2.2.02 | Veterinary camps | | | C 2 |
| | | | | | 2.2.2.03 | Stall feeding program | 2.2.2.03.01 | Animal Shelter and Sheds | C 2 |
| | | | | | | | 2.2.2.03.02 | Mangers | C 2 |
| | | | | | | | 2.2.2.03.03 | Animal chari | C 2 |
| | | | 2.2.3 | Fodder Production Program | 2.2.3.01 | Fodder Minikit | | | C 2 |
| | | | | | 2.2.3.02 | Napier crop border plantation | | | C 2 |
| 3 | Enhancing Livelihood Opportunities | 3.1 | Agribusiness Support | 3.1.1 | Institution Building and capacity development | 3.1.1.01 | ABSO Support (4 nos.) | | C 2 |
| | | | | | | 3.1.1.02 | Capacity Building Support | 3.1.1.02.01 | Training at Unit level & division level |
| | | | | | | | | 3.1.1.02.02 | Exposure visit - within state |
| | | | | | | | | 3.1.1.02.03 | Exposure visit - out side state |
| | | | | 3.1.2 | Input Support | 3.1.2.01 | High Yielding Agric/Horti. crops | | C 2 |
| | | | | | | 3.1.2.02 | Post harvest support | 3.2.2.02.01 | Small civil works |
| | | | | | | | | 3.2.2.02.02 | Goods |
| | | | | | | 3.1.2.03 | Pilot Fund Support | | C 1 |
| | | 3.2 | Support for Vulnerable Groups | 3.2.1 | Funds for Vulnerable Groups | 3.2.1.01 | Individuals | | C 1 |
| | | | | | | 3.2.1.02 | Groups | | C 1 |
| | | | | 3.2.2 | Funds for Transhumant | 3.2.2.01 | Activities like- cattle improvement programme, Health programme, Fodder programme, Water programme etc. | | C 2 |
| | | 3.3 | Consolidation of Gramya-1 activities | 3.3.1 | Training and Exposure | | Training programme for various stakeholders for consolidation and sustainability. | | C 2 |
| | | | | 3.3.2 | Agri-Business Support | | Consolidation of backward linkages with field | | C 2 |
| | | | | 3.3.3 | Post Harvest Support /Pilot Support | | Consolidation of forward linkages with market | | C 2 |
| | | | | 3.3.4 | Repair of damaged assets | | | | |
| | | | | | | | | | |
| | | | | | | | | | |
| 4 | Knowledge Management and Project coordination | 4.1 | Knowledge Management | 4.1.1 | Capacity Building (for all watershed programs.) | 4.1.1.01 | Training | 4.1.1.01.01 | Training at Village Level (one day) |
| | | | | | | | | 4.1.1.01.02 | Training at Division level (3-day trg) |
| | | | | | | | | 4.1.1.01.03 | Within state/Outside state training |
| | | | | | | 4.1.1.02 | Exposure visits | 4.1.1.02.01 | Within State |
| | | | | | | | | 4.1.1.02.02 | Outside State |
| | | | | | | 4.1.1.03 | Capacity Building of Staff | 4.1.1.03.01 | Training of staff |
| | | | | | | | | 4.1.1.03.02 | Exposure visit of staff - outside state |
| | | | | | | | | 4.1.1.03.03 | Exposure visit of staff - within state |
| | | | | | | | | 4.1.1.03.04 | Overseas Training |
| | | | | | 4.1.1.04 | Workshops | 4.1.1.04.01 | National /State Level workshops | C 2 |
| | | | | | | | | 4.1.1.04.02 | WMD/PD level workshop/Project Staff |
| | | | | | | | | 4.1.1.04.03 | Division level workshops |
| | | | | | | | | 4.1.1.04.04 | Unit level workshop |

| Main component | | Sub Component | | Minor Component | | Component Activity | | Activity | Disbursement Category |
|----------------|-----|--------------------|-------|---|----------|---------------------------------------|---|--|-----------------------|
| | | | | | | | 4.1.1.04.05 | Village level workshop | C 2 |
| | | | | | | | 4.1.1.04.06 | Special workshop at WMD/PD/DPD level | C 2 |
| | | | 4.1.2 | Centre for Excellence for Watershed Mgmt | 4.1.2.01 | Consultancies | | | C 2 |
| | | | | | 4.1.2.02 | Office Equipment cost | | | C 2 |
| | | | 4.1.3 | Information Education and communication | 4.1.3.01 | Awareness campaigns | | | C 2 |
| | | | | | 4.1.3.02 | Communication materials | | | C 2 |
| | | | | | 4.1.3.03 | Documentaries and Short films | | | C 2 |
| | | | | | 4.1.3.04 | IEC Consultancy | | | C 2 |
| | | | 4.1.4 | Monitoring, Evaluation and Learning | 4.1.4.01 | Monitoring and Evaluation consultancy | 4.1.4.01.01 | Consultancy | C 2 |
| | | | | | | | 4.1.4.01.02 | Small M&E studies | C 2 |
| | | | | | | | 4.1.4.01.03 | Various reports | C 2 |
| | | | | | | 4.1.4.02 | Establishment of Hydrological Monitoring Stations | 4.1.4.02.01 | Consultancy |
| | | | | | | | 4.1.4.02.02 | civil works | C 2 |
| | | | | | | | 4.1.4.03 | Small M&E studies | C 2 |
| | 4.2 | Project Management | 4.2.1 | Financial and Procurement Mgmt | 4.2.1.01 | Financial Review consultancy | | | C 2 |
| | | | | | 4.2.1.02 | FM Information System | | | C 2 |
| | | | | | 4.2.1.03 | E-Procurement Services | | | C 2 |
| | | | | | 4.2.1.04 | Chartered Accountant (CA) Services | | | C 2 |
| | | | 4.2.2 | Strengthening of Watershed Management Directorate | 4.2.2.01 | Upgrading existing WMD building | | | C 2 |
| | | | | | 4.2.2.02 | Upgradation of GIS System | | | C 2 |
| | | | | | 4.2.2.03 | Development of MIS System | | | C 2 |
| | | | | | 4.2.2.04 | Establishment of MIS Data centre | | | C 2 |
| | | | | | 4.2.2.05 | Grievance Redressal Mechanism | | | C 2 |
| | | | | | 4.2.2.06 | Purchase of office equipment | 4.2.2.06.01 | Photo copier, Fax Machine, A.c. etc.)- Machine Equipments | C 2 |
| | | | | | | | 4.2.2.06.02 | Purchase of office equipment (computer, Laptop, Printer, Software, UPS & Other | C 2 |
| | | | | | 4.2.2.07 | Purchase of office vehicles | | | C 2 |
| | | | | | 4.2.2.08 | Office Furniture | | | C 2 |
| | | | | | 4.2.2.09 | O&M of equipment and vehicles | | | C 2 |
| | | | | | 4.2.2.10 | Office running expenses | 4.2.2.10.01 | Office running expenses - Mazdoori | C 2 |
| | | | | | | | 4.2.2.10.02 | Office running expenses - Travel allwanaces | C 2 |
| | | | | | | | 4.2.2.10.03 | Office running expenses - Transfer TA | C 2 |
| | | | | | | | 4.2.2.10.04 | Office running expenses - Honorarium | C 2 |
| | | | | | | | 4.2.2.10.05 | Office running expenses - Office Expenditure | C 2 |
| | | | | | | | 4.2.2.10.06 | Office running expenses - Electricity | C 2 |

| Main component | | Sub Component | | Minor Component | | Component Activity | | Activity | Disbursement Category |
|----------------|--|---------------|--|-----------------|----------|-----------------------------------|-------------|--|-----------------------|
| | | | | | | | 4.2.2.10.07 | Office running expenses - Water tax | C 2 |
| | | | | | | | 4.2.2.10.08 | Office running expenses - Stationary | C 2 |
| | | | | | | | 4.2.2.10.09 | Office running expenses - Telephone | C 2 |
| | | | | | | | 4.2.2.10.10 | Office running expenses - Professional Services | C 2 |
| | | | | | | | 4.2.2.10.11 | Office running expenses - Rent | C 2 |
| | | | | | | | 4.2.2.10.12 | Office running expenses - Publication | C 2 |
| | | | | | | | 4.2.2.10.13 | Office running expenses - Advertisement | C 2 |
| | | | | | | | 4.2.2.10.14 | Office running expenses-Machine equipment | C 2 |
| | | | | | | | 4.2.2.10.15 | Office running expenses- Medical Expenditures | C 2 |
| | | | | | | | 4.2.2.10.16 | Office running expenses - LTc | C 2 |
| | | | | | | | 4.2.2.10.17 | Office running expenses - computer Maintenance (46) | C 2 |
| | | | | | | | 4.2.2.10.18 | Office running expenses - computer Maintenance & Stationary (47) | C 2 |
| | | | | | 4.2.2.11 | Other Consultancies | | | C 2 |
| | | | | | 4.2.2.12 | Project Staff | 4.2.2.12.01 | Government Staff | |
| | | | | | | | 4.2.2.12.01 | (i) Salary of cPD & PD Staff (01 Pay) | NR |
| | | | | | | | 4.2.2.12.01 | (ii) Salary of cPD & PD Staff (03 DA) | NR |
| | | | | | | | 4.2.2.12.01 | (iii) Salary of cPD & PD Staff (06 Oth. Allow.) | NR |
| | | | | | | | 4.2.2.12.02 | contractual Staff | |
| | | | | | | | 4.2.2.12.02 | (i) Watershed Specialist | C 2 |
| | | | | | | | 4.2.2.12.02 | (ii) Agri-business Specialist (2 no.) | C 2 |
| | | | | | | | 4.2.2.12.02 | (iii) NRM/ Env specialist | C 2 |
| | | | | | | | 4.2.2.12.02 | (iv) Iec Specialist | C 2 |
| | | | | | | | 4.2.2.12.02 | (v) Social Dev cum Livelihood Specialist | C 2 |
| | | | | | | | 4.2.2.12.02 | (vi) MIS/GIS Specialist (2 nos.) | C 2 |
| | | | | | | | 4.2.2.12.02 | (vii) Investigator/compiler (12 nos.) | C 2 |
| | | | | | | | 4.2.2.12.02 | (viii) Data entry operators (60 nos.) | C 2 |
| | | | | | | | 4.2.2.12.02 | (ix) Junior project associates | C 2 |
| | | | | | | | 4.2.2.12.02 | (x) MIS operators (for 10 divisions) | C 2 |
| | | | | | 4.2.2.13 | Project incentive (for WMD staff) | | | C 2 |

C 1 : Goods, Works & non- consulting services under sub Project

C 2 : Goods, Works , non- consulting services, consultants' services, Training and Workshops and Incremental Opreating costs other than sub Project.

NR : Non Reimbursable

CHART OF FUNDS- GPWDP WORKS

| Main Component | Sub Component | Minor Component | Component Activity | Activity | Sub Activity | | |
|--|---|--|--|--|--|----------------------------------|----|
| 2 Watershed Treatment and Rainfed Area Development | 2.1 Watershed Treatment & Water Source Sustainability | 2.1.1 Watershed Treatment (sub projects) | 2.1.1.01 Agriculture | 2.1.1.01.01 Agriculture minikit | | C1 | |
| | | | | 2.1.1.01.02 Agri/Horti. tools | | C1 | |
| | | | | 2.1.1.01.03 Terrace repair/Vegetative field boundry | | C1 | |
| | | | 2.1.1.02 Horticulture | 2.1.1.02.01 Bio/ vermi- compost | | C1 | |
| | | | | 2.1.1.02.02 High value crops/seeds | | C1 | |
| | | | | 2.1.1.03 Livestock | 2.1.1.03.01 NBC | | C1 |
| | | | 2.1.1.03.03 Animal Shelter/ Sheds | | | C1 | |
| | | | 2.1.1.03.04 Mangers | | | C1 | |
| | | | 2.1.1.03.05 Animal chari | | | C1 | |
| | | | 2.1.1.03.06 Napier Crop Border Plantation | | | C1 | |
| | | | 2.1.1.04 Forestry | | 2.1.1.04.01 Afforestation (1000 plants/ ha.) | 2.1.1.04.01.01 Advance soil work | |
| | | | | 2.1.1.04.01.02 Plantation | | | C1 |
| | | | | 2.1.1.04.01.03 Maintenance - 1st Year | | | C1 |
| | | | | 2.1.1.04.01.04 Maintenance - 2nd Year | | | C1 |
| | | | | 2.1.1.04.02 Nursery establishment | | | |
| | | | | 2.1.1.04.03 Assisted Natural Regeneration of Oak Areas | 2.1.1.04.03.01 Advance soil work | | C1 |
| | | | | | 2.1.1.04.03.02 Plantation | | C1 |
| | | | | | 2.1.1.04.03.03 Maintenance - 1st Year | | C1 |
| | | | | | 2.1.1.04.03.04 Maintenance - 2nd Year | | C1 |
| | | | | 2.1.1.05 Energy conservation | 2.1.1.05.01 Bio Gas Plant | | C1 |
| | | | | | 2.1.1.05.02 Solar lantern | | C1 |
| | | | | | 2.1.1.05.03 Solar street panel | | C1 |
| | | | 2.1.1.05.04 Pine Briquet machine | | | C1 | |
| | | | 2.1.1.05.05 Pine briquet stove | | | C1 | |
| | | | 2.1.1.06 Drainage Line Treatment & Soil Conservation | 2.1.1.06.01 Construction of vegetative check dam | | C1 | |
| | | | | 2.1.1.06.02 Vegetative Treatment | | C1 | |
| | | | | 2.1.1.06.03 Construction of dry stone check dam | | C1 | |
| | | | | 2.1.1.06.04 Construction of crate wire check dam | | C1 | |
| | | | | 2.1.1.06.05 Road Side erosion control | | C1 | |
| | | | | 2.1.1.06.06 Land Slide Treatment | | C1 | |
| 2.1.1.06.07 Retaining Wall | | C1 | | | | | |
| 2.1.1.06.08 Construction of spur (river training work) | | C1 | | | | | |
| 2.1.1.06.09 Riverbank Protection | | C1 | | | | | |
| 2.1.1.06.10 Construction of cross barrier- | | C1 | | | | | |
| 2.1.1.06.11 Diversion drain | | C1 | | | | | |
| 2.1.1.06.12 1:6 C.C. Mortar work | | C1 | | | | | |
| 2.1.1.07 Water Harvesting & Source | 2.1.1.07.01 Irrigation Channel | | C1 | | | | |
| | 2.1.1.07.02 Irrigation pipe line | | C1 | | | | |
| | 2.1.1.07.03 Irrigation Tank | | C1 | | | | |
| | 2.1.1.07.04 Roof Water Harvesting Tank | | C1 | | | | |
| | 2.1.1.07.05 Village Pond | | C1 | | | | |
| | 2.1.1.07.06 Recharge pit | | C1 | | | | |
| | 2.1.1.07.07 Digging of trenches | | C1 | | | | |
| | 2.1.1.07.08 Portable Water supply- Pipeline | | C1 | | | | |
| | 2.1.1.07.09 Renovation of existing Tal/Naula/Khaula | | C1 | | | | |
| | 2.1.1.07.10 L.D.P. Tank | | C1 | | | | |

| Main Component | Sub Component | Minor Component | Component Activity | Activity | Sub Activity |
|----------------|---------------|-----------------|--|--|---|
| | | | 2.1.1.08 Road Programme | 2.1.1.08.01 Rural road improvement | C1 |
| | | | | 2.1.1.08.02 Construction of Bridges | C1 |
| | | | 2.1.1.09 Natural Resource Management (N.R.M) Activities (Inter GP space) | 2.1.1.09.01 Afforestation | 2.1.1.09.01.01 Advance soil work C1 |
| | | | | 2.1.1.09.01.02 Plantation | C1 |
| | | | | 2.1.1.09.01.03 Maintenance - 1st Year | C1 |
| | | | | 2.1.1.09.01.04 Maintenance - 2nd Year | C1 |
| | | | | 2.1.1.09.02 Assisted Natural Regeneration of Oak Areas | 2.1.1.09.02.01 Advance soil work-ANR C1 |
| | | | | 2.1.1.09.02.02 Plantation-ANR | C1 |
| | | | | 2.1.1.09.02.03 Maintenance ANR - 1st Year | C1 |
| | | | | 2.1.1.09.02.04 Maintenance ANR - 2nd Year | C1 |
| | | | | 2.1.1.09.03 Forest fire management | |
| | | | | 2.1.1.09.04 Source sustainability | 2.1.1.09.04.01 Construction of Pond/ Chal Khal C1 |
| | | | | | 2.1.1.09.04.02 Recharge pit C1 |
| | | | | | 2.1.1.09.04.03 Digging of trenches C1 |
| | | | | | 2.1.1.09.04.04 Renovation of existing Tal/Naula/Khaura C1 |
| | | | | 2.1.1.09.05 Drainage Line Treatment& Soil Conservation | 2.1.1.09.05.01 Construction of vegetative check dam C1 |
| | | | | | 2.1.1.09.05.02 Construction of dry stone check dam C1 |
| | | | | | 2.1.1.09.05.03 Construction of crate wire check dam C1 |
| | | | | | 2.1.1.09.05.04 Protection wall C1 |
| | | | | | 2.1.1.09.05.05 Diversion drain C1 |

C 1 : Goods, Works & Services under sub Project

C 2 : Goods, Works , non- consulting services, consultants' services, Training and Workshops and Incremental Operating Costs other than sub Project.

CHART OF FUNDS - Income Generation Activities

| Main Component | Sub Component | Minor Component | Component Activity | Activity | Disbursement Category | | | | | |
|----------------|------------------------------------|-----------------|------------------------------|----------|-----------------------------|----------|---|-------------|---|-----|
| 3 | Enhancing Livelihood Opportunities | 3.2 | Income Generation Activities | 3.2.1 | Funds for Vulnerable Groups | 3.2.1.01 | Individuals | 3.2.1.01.01 | Dairy Unit | C 1 |
| | | | | | | | | 3.2.1.01.02 | Black Smithy | C 1 |
| | | | | | | | | 3.2.1.01.03 | Carpentry | C 1 |
| | | | | | | | | 3.2.1.01.04 | Cobbler | C 1 |
| | | | | | | | | 3.2.1.01.05 | Barber | C 1 |
| | | | | | | | | 3.2.1.01.06 | Tailoring | C 1 |
| | | | | | | | | 3.2.1.01.07 | Beekeeping | C 1 |
| | | | | | | | | 3.2.1.01.08 | Shops (for technical works) | C 1 |
| | | | | | | | | 3.2.1.01.09 | Poultry | C 1 |
| | | | | | | | | 3.2.1.01.10 | Artisan | C 1 |
| | | | | | | | | 3.2.1.01.11 | Atta/ Masala Chakki | C 1 |
| | | | | | | | | 3.2.1.01.12 | Plumber/ Electrician | C 1 |
| | | | | | | | | 3.2.1.01.13 | Others | |
| | | | | | | 3.2.1.02 | Groups | 3.2.1.02.01 | Band Party/ Cultural Group | C 1 |
| | | | | | | | | 3.2.1.02.02 | Tent house | C 1 |
| | | | | | | | | 3.2.1.02.03 | Fruit preservation/ pickle making | C 1 |
| | | | | | | | | 3.2.1.02.04 | Fiber Works/ Handicraft | C 1 |
| | | | | | | | | 3.2.1.02.05 | Mushroom Cultivation | C 1 |
| | | | | | | | | 3.2.1.02.06 | Goatary | C 1 |
| | | | | | | | | 3.2.1.02.07 | Dairy Unit | C 1 |
| | | | | | | | | 3.2.1.02.08 | Pine Briquetting | C 1 |
| | | | | | | | | 3.2.1.02.09 | Gharat Operation | C 1 |
| | | | | | | | | 3.2.1.02.10 | Tailoring | C 1 |
| | | | | | | | | 3.2.1.02.11 | Others | |
| | | | | 3.2.2 | Funds for Transhumant | 3.2.2.01 | Human health camps | | | C 1 |
| | | | | | | 3.2.2.02 | Veterinary health camps | | | C 1 |
| | | | | | | 3.2.2.03 | Distribution of utilities to transhumants | 3.2.2.04.01 | Distribution of tarpaulin sheets/ poly-sheets for young born calves | C 1 |
| | | | | | | | | 3.2.2.04.02 | Distribution of tents for human-beings | C 1 |
| | | | | | | | | 3.2.2.04.03 | Distribution of feed tubs | C 1 |
| | | | | | | | | 3.2.2.04.04 | Distribution of Blankets | C 1 |
| | | | | | | | | 3.2.2.04.05 | Distribution of First aid kits for human-beings | C 1 |
| | | | | | | | | 3.2.2.04.06 | Distribution of First aid kits for animals | C 1 |
| | | | | | | | | 3.2.2.04.07 | Distribution of Concentrate Cattle Feed | C 1 |
| | | | | | | | | 3.2.2.04.08 | Distribution of Solar Lantern | C 1 |
| | | | | | | 3.2.2.04 | NBC centers | | | C 1 |

C 1 : Goods, Works & Services under sub Project

C 2 : Goods, Works , non- consulting services, consultants' services, Training and Workshops and Incremental Opreating Costs other than sub Project.

CHART OF FUNDS - NRM Treatment Support (Model MWS)

| Main Component | | Sub Component | | Minor Component | | Component Activity | | Activity | Disbursement Category | |
|----------------|--|---------------|---|-----------------|-----------------------|--------------------|--|-------------|--|-----|
| 2 | Watershed Treatment & Rainfed Area Development | 2.1 | Watershed Treatment & Source Sustainability | 2.1.2 | NRM Treatment Support | 2.1.2.01 | Afforestation (1000 plants/ ha.) | 2.1.2.01.01 | Advance soil work | C 2 |
| | | | | | | | | 2.1.2.01.02 | Plantation | C 2 |
| | | | | | | | | 2.1.2.01.03 | Maintenance - 1st Year | C 2 |
| | | | | | | | | 2.1.2.01.04 | Maintenance - 2nd Year | C 2 |
| | | | | | | | | | | |
| | | | | | | 2.1.2.02 | Drainage Line Treatment& Soil Conservation | 2.1.2.02.01 | Construction of vegetative check dam | C 2 |
| | | | | | | | | 2.1.2.02.02 | Vegetative Treatment | C 2 |
| | | | | | | | | 2.1.2.02.03 | Construction of dry stone check dam | C 2 |
| | | | | | | | | 2.1.2.02.04 | Construction of crate wire check dam | C 2 |
| | | | | | | | | 2.1.2.02.05 | Road Side erosion control | C 2 |
| | | | | | | | | 2.1.2.02.06 | Land Slide Treatment | C 2 |
| | | | | | | | | 2.1.2.02.07 | Retaining Wall | C 2 |
| | | | | | | | | 2.1.2.02.08 | Construction of spur (river training work) | C 2 |
| | | | | | | | | 2.1.2.02.09 | Riverbank Protection | C 2 |
| | | | | | | | | 2.1.2.02.10 | Construction of cross barrier- | C 2 |
| | | | | | | | | 2.1.2.02.11 | Diversion drain | C 2 |
| | | | | | | | | 2.1.2.02.12 | 1:6 C.C. Mortar work | C 2 |
| | | | | | | | | | | |
| | | | | | | 2.1.2.03 | Water Harvesting & Source Sustainability | 2.1.2.03.01 | Roof Water Harvesting Tank | C 2 |
| | | | | | | | | 2.1.2.03.02 | Village Pond | C 2 |
| | | | | | | | | 2.1.2.03.03 | Recharge pit | C 2 |
| | | | | | | | | 2.1.2.03.04 | Digging of trenches | C 2 |
| | | | | | | | | 2.1.2.03.05 | Renovation of existing Tal/Naula/Khula | C 2 |
| | | | | | | | | 2.1.2.03.06 | L.D.P. Tank | C 2 |

C 1 : Goods, Works & Services under sub Project

C 2 : Goods, Works , non- consulting services, consultants' services, Training and Workshops and Incremental Operating Costs other than sub Project.

Uttarakhand Decentralized Watershed Development II Project (IDA Credit 5369-IN)

| Activity wise Unit Rates | | | | | | |
|--------------------------|---|------------|----------------------|---------------------------------|-----------------------|--------------------|
| Activity Code | Project Component / Activities | Unit | Unit Cost (INR Lakh) | Beneficiary Contribution in (%) | Disbursement Category | Minor Account Head |
| 1 | 2 | 4 | 5 | 6 | 7 | 8 |
| 1 | Social Mobilization and Participatory Watershed Planning | | | | | |
| 1.1 | Social Mobilization & Preparation of plan | | | | | |
| 1.1.1 | Hiring of Partner NGOs | No. | LS | 0 | C 2 | 42 |
| 1.1.2 | Hiring of Facilitating NGOs | No. | LS | 0 | C 2 | 42 |
| 1.1.3 | Hiring of village motivators | per month | 0.02 | 0 | C 2 | 42 |
| 1.1.4 | GPs administrative expenses | GP/year | 0.8 | 0 | C 1 | 20 |
| 1.1.5 | Salary of Project Field Staff | | | | | |
| 1.1.5.01 | Salary of Project Field Staff (01 Pay) | LS | LS | 0 | NR | 01 |
| 1.1.5.02 | Salary of Project Field Staff (03 DA) | LS | LS | 0 | NR | 03 |
| 1.1.5.03 | Salary of Project Field Staff (06 Oth. Allow.) | LS | LS | 0 | NR | 06 |
| 1.1.6 | Office running expenses | | | | | |
| 1.1.6.01 | Office running expenses - Mazdoori | LS | LS | 0 | C 2 | 02 |
| 1.1.6.02 | Office running expenses - Travel Allowances | LS | LS | 0 | C 2 | 04 |
| 1.1.6.03 | Office running expenses - Transfer TA | LS | LS | 0 | C 2 | 05 |
| 1.1.6.04 | Office running expenses - Honorarium | LS | LS | 0 | C 2 | 07 |
| 1.1.6.05 | Office running expenses - Office Expenditures | LS | LS | 0 | C 2 | 08 |
| 1.1.6.06 | Office running expenses - Electricity | LS | LS | 0 | C 2 | 09 |
| 1.1.6.07 | Office running expenses- Water Tax | LS | LS | 0 | C 2 | 10 |
| 1.1.6.08 | Office running expenses - Stationary | LS | LS | 0 | C 2 | 11 |
| 1.1.6.09 | Office running expenses- Telephone | LS | LS | 0 | C 2 | 13 |
| 1.1.6.10 | Office running expenses- Professional Services | LS | LS | 0 | C 2 | 16 |
| 1.1.6.11 | Office running expenses- Rent | LS | LS | 0 | C 2 | 17 |
| 1.1.6.12 | Office running expenses- Publication | LS | LS | 0 | C 2 | 18 |
| 1.1.6.13 | Office running expenses- Advertisement | LS | LS | 0 | C 2 | 19 |
| 1.1.6.14 | Office running expenses- Machine equipment | LS | LS | 0 | C 2 | 26 |
| 1.1.6.15 | Office running expenses- Medical Expenditure | LS | LS | 0 | C 2 | 27 |
| 1.1.6.16 | Office running expenses- LTC | LS | LS | 0 | C 2 | 45 |
| 1.1.6.17 | Office running expenses - Purchase of computer, Software etc | LS | LS | 0 | C 2 | 46 |
| 1.1.6.18 | Office running expenses - Computer Maint. & Stationary | LS | LS | 0 | C 2 | 47 |
| 1.1.7 | Incentive Fund for GP | LS | LS | 0 | C 1 | 20 |
| 1.2 | Preparation of GPWDP/MWS Plans | GP | LS | 0 | C 2 | 42 |
| 2 | Watershed Treatment & Rainfed Area Development | | | | | |
| 2.1 | Watershed Treatment & Water Source Sustainability | | | | | |
| 2.1.1 | Watershed Treatment (sub projects) | No. of MWS | LS | 5 | C 1 | 20 |
| 2.1.2 | NRM Treatment Support | | | | | |
| | Tech. innovation & demonstration | LS | LS | 0 | C 2 | 42 |
| 2.1.3 | Demonstration of water conservation through Pond Construction alongwith peripheral activities | No. | 1.942 | 0 | C 2 | 42 |
| 2.2 | Rainfed Area Development | | | | | |
| 2.2.1 | Agriculture & Horticulture demonstrations | | | | | |
| 2.2.1.01 | Demo. of High Yielding agric. crops (0.2 ha. For rainfed agriculture) | No. | 0.03 | 20 | C 2 | 42 |
| 2.2.1.02 | Adoption support of High yielding agric. crops (0.06 ha for rainfed area) | farmer | 0.01 | 20 | C 2 | 42 |

| Activity Code | Project Component / Activities | Unit | Unit Cost (INR Lakh) | Beneficiary Contribution in (%) | Disbursement Category | Minor Account Head |
|---------------|---|--------------|----------------------|---------------------------------|-----------------------|--------------------|
| 1 | 2 | 4 | 5 | 6 | 7 | 8 |
| 2.2.1.03 | Demonstration of high yielding vegetable crops (0.20ha. for irrigated area) | No. | 0.04 | 20 | C 2 | 42 |
| 2.2.1.04 | Orchard Development (250 plant/ha.) | Ha. | 0.42 | 20 | C 2 | 42 |
| 2.2.1.05 | Seeds and Seedlings (High value crop demonstration) | Ha. | 0.94 | 20 | C 2 | 42 |
| 2.2.1.06 | Polyhouses (9x3x2.40 Mtr.) | No. | 0.445 | 10 | C 2 | 42 |
| 2.2.1.07 | Poly tunnels | No. | 0.03 | 10 | C 2 | 42 |
| 2.2.1.08 | Vermi compost Demonstration | No. | 0.098 | 20 | C 2 | 42 |
| 2.2.1.09 | Improved agriculture/horticulture implements | LS | LS | 0 | C 2 | 42 |
| 2.2.2 | Animal Husbandry Programme | | | | | |
| 2.2.2.01 | Livestock Improvement | | | | | |
| 2.2.2.01.01 | Natural Breeding Centres | No. | 1.18 | 10 | C 2 | 42 |
| 2.2.2.01.02 | Paravet (A.I. services) | No. | 1.15 | 0 | C 2 | 42 |
| 2.2.2.02 | Veterinary camps | No. | 0.30 | 0 | C 2 | 42 |
| 2.2.2.03 | Stall feeding Program | | | | | |
| 2.2.2.03.01 | Animal shelter /sheds | No. | 0.60 | 10 | C 2 | 42 |
| 2.2.2.03.02 | Manger | No. | 0.07 | 10 | C 2 | 42 |
| 2.2.2.03.03 | Animal Chari | No. | 0.11 | 10 | C 2 | 42 |
| 2.2.3 | Fodder Production Programme | | | | | |
| 2.2.3.01 | Fodder Minikit | NO. | 0.00485 | 30 | C 2 | 42 |
| 2.2.3.02 | Napier crop border plantation | "000" mtrs | 0.133 | 20 | C 2 | 42 |
| 3 | Enhancing Livelihood Opportunities | | | | | |
| 3.1 | Agri-business Support | | | | | |
| 3.1.1 | Institution Building | | | | | |
| 3.1.1.01 | ABS0 Support (6 nos.) | No. | LS | 0 | C 2 | 42 |
| 3.1.1.02 | Capacity Building Support | | | | | |
| 3.1.1.02.01 | Training at Unit level & division level | Trgs. No. | 1.00 | 0 | C 2 | 42 |
| 3.1.1.02.02 | Exposure visit - within state | Visits.No. | 0.85 | 0 | C 2 | 42 |
| 3.1.1.02.03 | Exposure visit - outside state | Visits.No. | 1.43 | 0 | C 2 | 42 |
| 3.1.2 | Input Support | | | | | |
| 3.1.2.01 | High Yielding Agric/Horti. Crops | ha | 0.94 | 20 | C 2 | 42 |
| 3.1.2.02 | Post harvest support | | | | | |
| 3.1.2.02.01 | Small civil works | No. of Units | 3.00 | 0 | C 2 | 42 |
| 3.1.2.02.02 | Goods | LS | LS | 0 | C 2 | 42 |
| 3.1.2.03 | Pilot Fund Support | LS | LS | 0 | C 1 | 42 |
| 3.2 | Support for Vulnerable Groups | | | | | |
| 3.2.1 | Funds for Vulnerable Groups | | | | | |
| 3.2.1.01 | Individuals | No. | 0.30 | 0 | C 1 | 20 |
| 3.2.1.02 | Groups | No. | 1.0 | 0 | C 1 | 20 |
| 3.2.2 | Funds for Transhumant | LS | LS | 0 | C 2 | 42 |
| 3.3 | Consolidation of Gramya I Activities | | | | | |
| 3.3.1 | Training and Exposure | | | 0 | C 2 | 42 |
| 3.3.2 | Agri-Business Support | div./Month | 1 | 0 | C 2 | 42 |
| 3.3.3 | Post Harvest Support /Pilot Support | LS | LS | 0 | C 2 | 42 |
| 3.3.4 | Repair of damaged assets | LS | LS | 10 | C 2 | 42 |
| 4 | Knowledge Management and Project Coordination | | | | | |
| 4.1 | Knowledge Management | | | | | |
| 4.1.1 | Capacity Building of Various Stakeholders | | | | | |
| 4.1.1.01 | Training | | | | | |
| 4.1.1.01.01 | Training at Village Level (one day 35 participant) | No.of Trgs. | 0.0878 | 0 | C 2 | 42 |
| 4.1.1.01.02 | Training at Division level (3-day trg 25 Participant) | No.of Trgs. | 1.00 | 0 | C 2 | 42 |

| Activity Code | Project Component / Activities | Unit | Unit Cost (INR Lakh) | Beneficiary Contribution in (%) | Disbursement Category | Minor Account Head |
|---------------|---|---------------------|----------------------|---------------------------------|-----------------------|--------------------|
| 1 | 2 | 4 | 5 | 6 | 7 | 8 |
| 4.1.1.01.03 | Within state training | LS | LS | 0 | C 2 | 42 |
| 4.1.1.02 | Exposure visits | | | | | |
| 4.1.1.02.01 | Within State 3 days (25 Participants) | No. of Visits. | 0.85 | 0 | C 2 | 42 |
| 4.1.1.02.02 | Outside State 5 days (25 Participants) | No. of Visits. | 1.43 | 0 | C 2 | 42 |
| 4.1.1.03 | Capacity Building of Staff | | | | | |
| 4.1.1.03.01 | Training of staff | No. of Participant. | LS | 0 | C 2 | 42 |
| 4.1.1.03.02 | Exposure visit of staff - outside state (15 Participants) | No. of Visits. | 0.8580 | 0 | C 2 | 42 |
| 4.1.1.03.03 | Exposure visit of staff - within state (15 Participants) | No. of Visits. | 0.510 | 0 | C 2 | 42 |
| 4.1.1.03.04 | Overseas Training | LS | LS | 0 | C 2 | 42 |
| 4.1.1.04 | Workshops | | | | | |
| 4.1.1.04.01 | National /State Level workshops | nos. | 6.00 | 0 | C 2 | 42 |
| 4.1.1.04.02 | WMD/PD level workshops /Project Staff | events | 0.60 | 0 | C 2 | 42 |
| 4.1.1.04.03 | Division level workshops | Workshop No. | 0.58 | 0 | C 2 | 42 |
| 4.1.1.04.04 | Unit level workshops | Workshop No. | 0.248 | 0 | C 2 | 42 |
| 4.1.1.04.05 | Village level workshops | Workshop No. | 0.074 | 0 | C 2 | 42 |
| 4.1.1.04.06 | Special workshops at WMD/PD/DPD level | LS | LS | 0 | C 2 | 42 |
| 4.1.2 | Centre of Excellence for Watershed Management | | | | | |
| 4.1.2.01 | Consultancies | LS | LS | 0 | C 2 | 42 |
| 4.1.2.02 | Office Equipment Cost | LS | LS | 0 | C 2 | 42 |
| 4.1.3 | Information, Education and Communication. | | | | | |
| 4.1.3.01 | Awareness Campaigns | LS | LS | 0 | C 2 | 42 |
| 4.1.3.02 | Communication materials | LS | LS | 0 | C 2 | 42 |
| 4.1.3.03 | Documentaries and Short films | LS | LS | 0 | C 2 | 42 |
| 4.1.3.04 | IEC Consultancy | LS | LS | | C 2 | 42 |
| 4.1.4 | Monitoring, Evaluation and Learning | | | | | |
| 4.1.4.01 | Monitoring and Evaluation Consultancy | LS | LS | 0 | C 2 | 42 |
| 4.1.4.02 | Establishment of Hydrological Monitoring Stations | | | | | |
| 4.1.4.02.01 | Consultancy | LS | LS | 0 | C 2 | 42 |
| 4.1.4.02.02 | Civil works | LS | LS | 0 | C 2 | 42 |
| 4.1.4.03 | Small M&E studies | LS | LS | 0 | C 2 | 42 |
| 4.2 | Project Coordination | | | | | |
| 4.2.01 | Financial and Procurement Management | | | | | |
| 4.2.01.01 | Financial Review Consultancy | LS | LS | 0 | C 2 | 42 |
| 4.2.01.02 | FM Information System | LS | LS | 0 | C 2 | 42 |
| 4.2.01.03 | E-Procurement Services | LS | LS | 0 | C 2 | 42 |
| 4.2.01.04 | Chartered Accountant (CA) Services | 0 | 0 | 0 | C 2 | 42 |
| 4.2.02 | Strengthening (WMD) | | | | | |
| 4.2.02.01.01 | Upgrading existing WMD building (25-Minor Const.) | LS | LS | 0 | C 2 | 25 |
| 4.2.02.01.02 | Upgrading existing WMD building (29-Maintenance) | LS | LS | 1 | C 2 | 30 |
| 4.2.02.02 | Upgradation of GIS System | LS | LS | 0 | C 2 | 42 |
| 4.2.02.03 | Development of MIS System | LS | LS | 0 | C 2 | 42 |
| 4.2.02.04 | Establishment of MIS Data Centre | LS | LS | 0 | C 2 | 42 |
| 4.2.02.05 | Grievance Redressal Mechanism | LS | LS | 0 | C 2 | 42 |
| 4.2.02.06 | Purchase of office equipments | | | | | |
| 4.2.02.06.01 | Purchase of office equipments (Photo copier, Fax Machine, A.C. Inverter. Water purifier etc.)- Machine Equipments | LS | LS | 0 | C 2 | 42 |

| Activity Code | Project Component / Activities | Unit | Unit Cost (INR Lakh) | Beneficiary Contribution in (%) | Disbursement Category | Minor Account Head |
|---------------------|--|-----------|----------------------|---------------------------------|-----------------------|--------------------|
| 1 | 2 | 4 | 5 | 6 | 7 | 8 |
| 4.2.02.06.02 | Purchase of office equipments (Computer, Laptop, Printer, Software, UPS & Other peripherals) | LS | LS | 0 | C 2 | 42 |
| 4.2.02.07 | Purchase of office vehicles | LS | LS | 0 | C 2 | 14 |
| 4.2.02.08 | Office furnitures | LS | LS | 0 | C 2 | 12 |
| 4.2.02.09 | O&M of equipment and vehicles | LS | LS | 0 | C 2 | 15 |
| 4.2.02.10 | Office running expenses | | | | | |
| 4.2.02.10.01 | Office running expenses - Mazdoori | LS | LS | 0 | C 2 | 02 |
| 4.2.02.10.02 | Office running expenses - Travel Allowance | LS | LS | 0 | C 2 | 04 |
| 4.2.02.10.03 | Office running expenses - Transfer TA | LS | LS | 0 | C 2 | 05 |
| 4.2.02.10.04 | Office running expenses - Honorarium | LS | LS | 0 | C 2 | 07 |
| 4.2.02.10.05 | Office running expenses - Office Expenditure | LS | LS | 0 | C 2 | 08 |
| 4.2.02.10.06 | Office running expenses - Electricity | LS | LS | 0 | C 2 | 09 |
| 4.2.02.10.07 | Office running expenses- Water Tax | LS | LS | 0 | C 2 | 10 |
| 4.2.02.10.08 | Office running expenses - Stationary | LS | LS | 0 | C 2 | 11 |
| 4.2.02.10.09 | Office running expenses- Telephone | LS | LS | 0 | C 2 | 13 |
| 4.2.02.10.10 | Office running expenses- Professional Services | LS | LS | 0 | C 2 | 16 |
| 4.2.02.10.11 | Office running expenses- Rent | LS | LS | 0 | C 2 | 17 |
| 4.2.02.10.12 | Office running expenses- Publication | LS | LS | 0 | C 2 | 18 |
| 4.2.02.10.13 | Office running expenses- Advertisement | LS | LS | 0 | C 2 | 19 |
| 4.2.02.10.14 | Office running expenses-Machine equipment | LS | LS | 0 | C 2 | 26 |
| 4.2.02.10.15 | Office running expenses- Medical Expenditures | LS | LS | 0 | C 2 | 27 |
| 4.2.02.10.16 | Office running expenses- LTC | LS | LS | 0 | C 2 | 45 |
| 4.2.02.10.17 | Office running expenses - Computer Maint. | LS | LS | 0 | C 2 | 46 |
| 4.2.02.10.18 | Office running expenses - Computer Maint. & | LS | LS | 0 | C 2 | 47 |
| 4.2.02.11 | Other consultancies | LS | LS | 0 | C 2 | 42 |
| 4.2.02.12 | Project Staff | | | | | |
| 4.2.02.12.01 | Government Staff | | | | | |
| 4.2.02.12.01 | (i) Staff salary (PD & CPD (Directorate)) - (01 Pay) | LS | LS | 0 | NR | 01 |
| 4.2.02.12.01 | (ii) Staff salary (PD & CPD (Directorate)) - (03 DA) | LS | LS | 0 | NR | 03 |
| 4.2.02.12.01 | (iii) Staff salary (PD & CPD (Directorate)) - (06 Oth. Allow.) | LS | LS | 0 | NR | 06 |
| 4.2.02.12.02 | Contractual staff | | | | | |
| 4.2.02.12.02 | (i) Watershed Specialist | Man Month | 0.50 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (ii) Agri-business Specialist (2 no.) | Man Month | 0.50 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (iii) NRM/ Environment Specialist | Man Month | 0.50 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (iv) IEC Specialist | Man Month | 0.50 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (v) Social Dev. cum Livelihood Specialist | Man Month | 0.50 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (vi) MIS/GIS Specialists (2 nos.) | Man Month | 0.50 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (vii) Investigator/compiler (12 nos.) | Man Month | 0.20 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (viii) Data entry operators (60 nos.) | Man Month | 0.13 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (ix) Junior project associates | Man Month | 0.2 | 0 | C 2 | 42 |
| 4.2.02.12.02 | (x) MIS operators (for 10 divisions) | Man Month | 0.2 | 0 | C 2 | 42 |
| 4.2.02.13 | Project incentives (for WMD staff) | LS | LS | 0 | C 2 | 42 |

CHAPTER-11

PROCUREMENTS GUIDELINES

An effective, transparent, accountable and competitive procurement system is the foremost requirement for the flawless running of a project funded by the World Bank. Under the proposed project, procurement guidelines have been designed to fulfill all such requirements.

CONSTITUTION OF THE PROCUREMENT SUB-COMMITTEE

For the supervision and execution of the procurement process and to assist the WWMC, each GP shall constitute a Procurement Sub-Committee (PC) which will function under the instructions of the WWMC. The membership of the PC would be as under:

- The Gram Pradhan and one ward member of the GP, who is also a member of the WWMC, will be selected from amongst themselves in a meeting; and
- One member from each Revenue Village selected by the Gram Sabha in its meeting, with minimum three members having at least one women representative and one SC/ST/OBC representative.
- The Gram Pradhan shall be the Chairperson of the PC.

(Form P-1 and P-2 of Community procurement Manual)

The membership would be on a rotational basis and would be reconstituted every year as per the procedure mentioned above. The quorum of the PC would be minimum three members with at least one member each of the GP and the community. All decisions would be by a simple majority of the members present and voting.

A Ward member would be the Secretary of the PC. Some of the functions of the Secretary vis-à-vis procurement would be:

- Issue of receipts for sale of tender documents
- Receiving of tenders
- Providing information to the perspective bidders
- Maintaining records regarding the activities of the PC

Delegation of Powers for Procurement

The power for approving the procurement of goods, works & services are vested in the following authorities:

- Single procurement up to Rs. 2,500 should be made with the approval of the WWMC
- Single procurement above Rs. 2,500 would require the approval of the GP, subject to the recommendation of the WWMC

PRIORITY FOR IMPLEMENTATION OF WORKS

It has been described in detail in the chapter 10. However for ready reference, it must be remembered that the first right of implementation of each work under the project rests with village-level entities such as the individual farmer, RVC, User Group and Van Panchayat. If they do not agree to implement any work and give it in writing, the GP which will be the last priority, may take the responsibility to execute works on its own. If all above options fail to implement the work, WWMC may award the work to an independent contractor but it will have to obtain the refusal of village level entities mentioned above in writing before awarding the contract to an independent contractor.

Procurement Plans

- A. Each GP would prepare a Master Procurement Plan, which would be a part of the Memorandum of Understanding/AWP. A detailed Annual Procurement Plan shall also be prepared and sub-divided into quarterly plans, corresponding with the AWP. The Procurement Plans so prepared would be approved along with the AWP.
- B. The PC, in consultation with the WWMC, shall draft the Procurements Plans. The Master Procurement Plan shall summarize the procurements emanating from the activities defined in the Master Plan. The Annual Procurement Plans shall detail the goods, works or services to be procured, the quarterly procurement schedule and proposed procurement methods for each of the activity defined in the Annual Work Plan.
- C. The goods, works or services, which could not be procured in the planned quarter, should be included in the procurement plan of the succeeding quarter stating reasons thereof. In the eventuality, the procurement gets postponed to the next year; the same

shall be included in the Annual Procurement Plan for that year and approval obtained along with the AWP.

(Form P-3 ,P-4,P-5 and P-6 of Community procurement Manual)

Linkages with Project Authorities

- Master Procurement Plan and AWP as approved by the Gram Sabha, shall be submitted to the DPD for its approval.
- Technical sanction will be obtained before initiating any activity. In case of variation i.e. the actual price exceeds the technical sanction limit, approval would be obtained as per existing WMD norms.
- The DPD would prepare a Yellow Page Directory containing the database of suppliers and the items dealt with by them. It is expected that the GPs would make use of this directory during procurements.
- In case of tendering, the tender documents should be approved (prior review) by the DPD.
- The Tender Evaluation Report shall be submitted to the Unit Officer/DPD, before awarding the contract, for its approval (post review).
- Periodic Procurement Management Reports shall be submitted to the DPD.

METHODS OF PROCUREMENT

For procurement of goods, works and services in an economic, efficient and transparent manner, the four procurement methods are prescribed. The selection of the method will depend upon the nature and value of the procurement.

The WWMC has to ensure that the beneficiary contribution stipulated to be received as per the technical sanction of the activity shall be collected at the appropriate time to ensure timely and regular payments against all procurements.

I- Off-the-shelf Procurement

- a. Each procurement of goods up to Rs. 54,000.00 (Rupees Fifty four thousand) only;
- b. Each procurement of works up to Rs. 1,08,000.00 (Rupees One Hundred and Eight thousand) only; and

- c. Each procurement of consultancy services for training, demonstration etc.

The WWMC shall authorize any of its members or any other person to make such procurements. Such person shall procure the items as per specifications at the lowest possible rates.

II- Procurement through Quotations

- a. Each procurement of goods exceeding Rs. 54,000.00 and up to Rs. 16,20,000.00 (Rupees Sixteen lakhs twenty thousand) only; and
- b. Each procurement of works exceeding Rs. 1,08,000.00 and up to Rs. 27,00,000.00 (Rupees Twenty seven lakhs) only.

Quotations/rates can be obtained through market survey and/or by issuing Requests for Quotations (RFQ) to the parties listed in the Yellow Page Directory. A minimum of three quotations should be obtained.

The following activities are involved in this method of procurement.

- a. The WWMC shall authorize the PC to conduct a market survey for obtaining quotations/rates and for issue of Request for Quotations (RFQ). The Chairperson of the WWMC shall sign the RFQ. The RFQ includes the description of the requirements, the last date for submission and the validity period.
(Form P-7 and P-8 of Community procurement Manual)
- b. The sealed quotations received shall be opened by the PC and shall be initialed by all the members of the PC present in the meeting. The Secretary shall then prepare its Evaluation Report based on the market survey and the quotations received. The quotations shall be evaluated for all the items together or separately for each item as per the decision of the WWMC. The Evaluation Report will contain the recommendations of the PC. **(Form P-9 of Community procurement Manual)**
- c. The Evaluation Report shall be submitted to the WWMC for their approval and recommendations and thereafter placed before the GP at their meeting for final approval. The WWMC will then issue its decision for procurement. In case the lowest bidder has not been selected, reasons should be recorded before placing the order to the next lowest bidder. The WWMC shall then proceed to issue the Procurement Order signed by the Gram Pradhan.

III- Direct Contracting

In case of procurement of certain items, the procedures detailed above, if applied, may not give the desired results. In such cases, it is advisable to enter into Direct Contracting for procurement. This section explains the situation in which this method should be applied. However, it should be clearly understood that this method should not be applied extensively, but only in the situation and in the manner prescribed.

- Certain goods of a highly technical nature requiring quality assurance, valued up to Rs. 5,40,000.00 (Rupees Five lakhs forty thousands only)and essential to execute an activity may be procured through direct contracting. Such items which include the following can be procured from established suppliers as per the technical specifications provided by the Project

| <i>Description</i> | <i>Source of Procurement</i> |
|--|--|
| Plant saplings, Seeds, GI wires, GI Pipes, Poly tanks, Poly- houses and tunnels etc. | Registered Nurseries / Registered shops/ TDC/Universities/ NAFED/ VPKAS and approved Govt. agencies. |
| Bio- Agents, Bio-Fertilizers, Medicines and Vaccines etc. | approved government agency |
| Bulls and Semen, Goat, Broilers etc. | Uttarakhand Livestock Development Board / BAIF and approved vendors by Govt. |

- **Spare Parts/Accessories** - Spare parts or other accessories, compatible with the existing equipment/goods, may be procured from the original supplier.
- **Proprietary Items** - The required goods, services and works that are proprietary and available from only one source can be procured directly.
- **Panchayat Udyog** - Two or more GPs can join together to set up a tiny manufacturing unit-Panchayat Udyog-as a society. The Government has mandated (GO 5038 - Ga/33-37/74 dated 11.07.1976) that, to the maximum extent possible, the GPs should procure items manufactured by the Panchayat Udyog.
- **Rate Contract by Director of Industries (DI) & Directorate General of Supplies & Disposal (DGS&D)** - The DI and DGS&D enter into Rate Contract Agreement with various parties. It is prescribed that, to the maximum extent possible, the GPs should

procure items manufactured by the registered firms which have a rate contract agreement with DI and DGS&D . In that case and no tendering is required. The GPs may enter into direct contract with these firms considering the timely availability of the goods and transportation costs. Alternately, the rates of these firms can be considered as one of the quotations.

- **Contract with RVC/Van Panchayat/User Groups/ Beneficiary in regards to works –**
The GP can enter into a contract for execution of works valued up to Rs.27,00,000.00 (Rupees Twenty Seven Lacs), with any of these entities by direct contracting as per guidelines given in the chapter 11 under the head ‘sub project agreement’ of this Project Operational Manual. In such a case, these entities shall execute the work in accordance with the agreement (Format A-3) signed with the Gram Panchayats. The work shall be supervised and monitored for quality assurance as per the procedures given in the Financial Manual of the GPs and Project Operational Manual.

Extension of Contract- The existing contract for the procurement of goods, works or services, awarded in accordance with any of the aforesaid procedures, may need to be extended, say due to additional requirements. The contract may be recommended for extension by the WWMC if it is satisfied that no advantage can be obtained by further competition that the prices on the extended procurement are reasonable and the party has satisfactorily executed the existing contract.

IV- Tendering

This method shall be applied to -

- a. Each procurement of **Goods** exceeding Rs. 16,20,000.00 (Rupees Sixteen lakhs twenty thousand) only; and
- b. Each procurement of **Works** exceeding Rs. 27,00,000.00 (Rupees Twenty seven Lakhs) only.

Activities involved in Tendering - The following activities are involved in this method of procurement.

- i) **Preparation of Tender Documents** – The tender documents, being a means of communication between the client and the prospective suppliers/service providers, should be properly drafted and be unambiguous. It shall furnish all the information

necessary for the prospective bidder to prepare a tender for the goods, works & services intended to be procured. The PC would prepare the tender documents in consultation with the WWMC and seek the approval of GP within one week of the technical sanction. **(Form P-13 and P-14 of Community procurement Manual)**

- ii) **Prior Review by Project** - The GP would then immediately forward the tender documents to the concerned DPD Office or its authorized representative for its comments and approval. Modifications if any, conveyed shall be incorporated in the documents. The concerned DPD or its authorised representative should convey its approval/comments in writing to the GP not later than 15 days after the receipt of the documents.
- iii) **Advertisement/Dispatch/Display of NIT** - The objective of the NIT is to procure at the best price for the desired quality. NIT signed by the Chairperson of the WWMC will include description of the requirements, relevant dates for purchase, date of submission and opening of tenders, cost of the documents etc and should be adequately publicised through advertisement in the local/regional newspapers, display on the notice boards of the Gram Panchayat or Kshetra Panchayat within one week of receipt of approval. The bidding period should be 15 to 30 days from the date of commencement for sale of documents. **(Form P-15 of Community procurement Manual)**
- iv) **Issue of Tender Documents** - The tender document shall be signed by the Chairperson of the WWMC before its issue to the prospective bidder. If a fee is to be charged for the tender documents, it should not be so high as to discourage the prospective bidders. The issue should stop on the date and time mentioned in the NIT. The Village In-charge /Account Assistant would control the issue/sale of the documents including issue of receipts and recording of the sale of documents. At the close of the issue/sale, the Village In-charge /Accounts Assistant would inform the PC of the number of documents sold and the names of the parties. Cash/cheques received against the sale of tender documents should be deposited in the bank account of the Project on the same/next day.**(Form P-16 of Community procurement Manual)**
- v) **Submission of tenders** - All prospective bidders should be provided the same information and should get equal opportunity to obtain additional information, on a

timely basis, so as to enable them to prepare appropriate tenders. The information shall be provided by any member of the PC/Village In-charge /Accounts Assistant. The request for additional information should be made in writing which will then be discussed by the PC and communicated in writing to each recipient of the original tender document in sufficient time before the dead line for receipt of tenders. If necessary, the dead line can be extended by the GP on the recommendation of the WWMC. The tenders shall be received at the address given in the NIT and shall be kept in the custody of the PC. **(Form P-17 of Community procurement Manual)**

- vi) **Public opening of tenders** - The PC shall open the tenders at the place, date and time specified in the NIT. The tenders shall be opened in the presence of the bidders or their representatives, who choose to be present. The name of the bidder and the total amount of each tender shall be read aloud. Tenders received after the time stipulated in the NIT would not be opened, read out and considered. All tenders received should be recorded in a register stating therein the name of the bidder, whether tender opened or not, total number of the bids opened and attendance of persons present. All members of the PC present shall initial all the pages of the tenders and the register. The documents would be kept under the custody of the Village- In-charge/ Account Assistant.
- vii) **Confidentiality** - After the public opening of the tenders information relating to the examination, clarification, evaluation of bids and recommendations concerning award of contract shall not be disclosed to the bidders or other persons not official concerned with the process until the successful bidder is notified of the award.
- viii) **Examination of Tenders** - The PC would ascertain whether the tenders; have been properly signed; are accompanied by required security, if any; are substantially responsive to the tender documents; are otherwise generally in order.If a tender is not substantially responsive it shall not be considered any further for evaluation. The bidder shall not be permitted to correct or withdraw such material deviations or reservations once the tender has been opened.
- ix) **Evaluation of Tenders** - The PC shall prepare a detailed report on the evaluation and comparison of tenders, ascertain the bidder with the Lowest Evaluated Cost and make out its recommendation, clearly specifying the reasons of recommendation. This report

duly signed by all the members of PC present shall then be forwarded to the WWMC for their recommendations within 3 days after the last date for submission of tenders. Thereafter, the report shall be placed before the GP at its meeting for consideration and approval within one week of approval by WWMC. To ensure uniform evaluation across the tenders, the following points should be considered during evaluation.

- The tender price read out at the public opening shall be adjusted to correct any arithmetical errors or make adjustments for any quantifiable non-material deviations or reservations.
- The WWMC may, if required, seek clarifications, in writing, from the bidders to facilitate evaluation of tenders, but shall not permit the bidders to change the substance or price of their tenders.
- The comparison of the tender amount should be based on all the components specified in the tender documents to ensure uniformity. For instance, if evaluation is based on ex-works/ex-factory cost, then this basis should be similar for all tenders. Or where transportation, installation or similar costs are part of the price, then it should be included in all prices being compared.
- The tenders should be evaluated to ascertain that they comply with terms and conditions specified in the tender documents. The PC shall also determine whether the bidders have the capability and resources to effectively execute the contract.
- Circumstances may arise where all the tenders are liable for rejections due to lack of effective competition or all the tenders are not substantially responsive. Based on the recommendations of the PC, the WWMC would obtain the permission of the GP for rejecting all the tenders. If the tenders are rejected due to the aforesaid reasons, the GP can resort to re-tendering. However, caution need be exercised to ensure that all tenders should not be rejected solely on the basis that the substantially exceed their estimates. Such action should be placed in the next Gram Sabha. **(Form P-18 of Community procurement Manual)**

j.Post Review by Project - The evaluation report shall after the approval by GP, be submitted to the concerned DPD Office or its authorized representative for its comments /approval. The Project authorities are expected to review the process to ensure that there

are no material deviations from extant procurement guidelines, and due care has been made in the evaluation. The approval should be given by the Project authorities in writing not later than 15 days after the receipt of the Report.

- k. **Award of Contract** - After receiving the no objection/approval of the Project authorities, the GP shall then proceed to award the contract to the selected party. The GP shall issue a Letter of Acceptance of Tender to sign the contract and proceed with the work or sign a contract for procurement of goods and issue the Procurement Order within two days of receipt of approval from the Project authorities.

The details of procurement procedure and required format are available in the Community Procurement Manual.

Capacity Building Activities

- Comprehensive training of AAs and Panchayat Secretary on Procurement Guidelines and reporting mechanisms in the project
- Guidance and training to WWMC, RVCs and individuals on aspects such as inviting quotations, direct contracting, and tendering, etc.



CHAPTER-12

CONSOLIDATION OF PROJECT ACTIVITIES

OPERATIONS, MAINTENANCE AND POST-PROJECT MANAGEMENT

This section of the Operational Manual deals with the post-implementation period of UDWDP-II, i.e. after an activity has been completed in the village. The project staff will also begin gradual withdrawal from the village at the end of three years of implementation. In this phase, consolidation of all activities, assets created, institutions, backward/forward linkages formed will be carried out so as to ensure sustainability of interventions after project withdrawal. With the assistance of MDT and FNGO/PNGO, the WWMC and village level institutions, will prepare detailed consolidation plans for O&M arrangements of each project activity undertaken in GP during the project period.

The consolidation plan will address the following issues:

- Post project O&M arrangements for the project so that the assets created under UDWDP-II are maintained and continued to give benefits.
- Sustainability and scaling up of IGAs undertaken by vulnerable groups
- Ensure that each implementer (including the GP, RVC, VP, User groups, vulnerable groups/ individual beneficiaries, FIGs and FFs) is aware of the operations and maintenance (O&M) responsibilities. They have to be properly trained right from very beginning of the project implementation.
- The RVC and VP will develop a long-term sustainable O & M and consolidation plans for their village and surrounding areas.
- A clear set of plans and agreements is developed by WWMC that outlines the responsibility in terms of time and money of each member of the community towards O&M activities, particularly for common properties and assets.

- WWMC will develop and maintain links with and concerned District Line Departments whose assistance it may require in the management of assets and common properties. The assistance of project staff may be taken in this regard.
- Ensure that any savings earned from project activities are used for O&M activities or improvements in existing assets and activities.
- Both RVC and VP shall attempt to make an O&M fund especially for community assets. Some suggestions in this regard are given below:
 - Collection of monthly contributions and/or periodic donations of small amounts from members and other users
 - Collection of fines from members for breach of rules (e.g. skipping meetings, grazing of animals in protected areas, willful delays in making contributions)
 - Collection of fees in exchange for certain usufruct rights
 - Raising money from group income generation programs such as fishing and sheep rearing
 - Raising money through auctioning of certain rights, e.g. collection of grass from common lands.
- Developing clear rules and guidelines regarding management and usage of O&M funds; opening of separate bank accounts, rotation of signatories to operate the account, bookkeeping and record maintenance, making annual plans and budgets, etc which may be approved by the WWMC.

The project will create two type of assets which can be categorized as individual assets and community assets. All the assets created by the project will be entered in a separate Register at the Gram Panchayat level.

The options for operation and management of these assets are as follows:

- I. Individual Assets:** The entire responsibility of maintenance of assets created for individual beneficiaries *viz.* Mangers, vermi-compost pits, chaff cutters, fruit orchards, soil and water conservation structures etc. will be with individual beneficiaries themselves. If they need monetary assistance for maintenance, it could

be availed through village level institutions. The various income generation activities taken up by the vulnerable Individuals to be sustained by themselves with the project providing support in the form of developing forward and backward linkages during the project implementation.

(Responsibility: Beneficiaries)

II. Community Assets: A large number of community assets will be created by the project for the benefit of the village communities. The maintenance of these assets requires intensive participation of communities for which following mechanisms are proposed.

Plantations on Community lands: The local community would avail usufruct benefits from these areas. Van Panchayats would be handed over all plantations. It is essential to protect the plantation through fencing in the initial year. The Van Panchayat would need to provide for watch and ward and maintenance of these areas. The community can decide on the following options for the protection and maintenance of plantations:

- Rotational watch and ward by all families in the villages.
- Continuation of existing watcher (*chaukidar*) with the provision to provide him certain portion of forest produce such as fuelwood, fodder & grasses etc. or on monetary payment basis for which contribution will be collected from beneficiaries.
- Formation of fire control groups during fire season to combat forest fires .
- GP / VP can get funds through MNREGS for plantation and fencing works in case of major failure.

(Responsibility: GP/VP, UGs)

Pasture lands: The GP,VP and user group will be responsible to maintain the pastures as most of the pastures have developed on such land which was previously used for the same purpose.

(Responsibility: GP/VP, UGs)

Community orchards: This activity is mainly done on the civil land of GPs / Revenue villages. This land is generally used by the specific group of the concerned

revenue village. The users group will maintain such orchards. The UG will decide the amount per year per household for maintenance and for watch and ward of these orchards. This amount will be collected per month from members of UG or by selling the grass and produce.

(Responsibility: GP/UGs)

Land and Water Conservation structures / works: The farmers & beneficiaries would be motivated about the use and importance of soil and water conservation. The Gram Panchayat will be liable for maintenance of minor engineering structures constructed for soil and water conservation activities in and around the villages. GP will maintain these structures through Mahatama Gandhi National Rural Employment Guarantee Scheme (MNREGS), Disaster Management Budget and convergence with other rural development programmes.

(Responsibility: GPs)

Culverts, Small bridges and Rural Roads: These will be renovated/ constructed by the project through GP/RVC for better connectivity with main roads. The user groups of village will be responsible for maintenance and repair works for minor damages. In case of major damages due to natural calamity, GP will be responsible for its maintenance from funds received from for such schemes.

(Responsibility: GP/Beneficiaries)

Water Storage Tanks, Irrigation Guls, village ponds and other water conservation structures: User groups will be formed prior to construction of these assets. Trainings and workshops would be conducted before the completion of project, to motivate farmers for the efficient use and maintenance of such collective assets such as irrigation channels and tanks. Arrangement of OM fund for the maintenance would be made by the user groups. In case of irrigation channel, water storage tank and village ponds, this fund can be collected on the basis of area irrigated crop /season-wise or per months per Nalis from UG members. In case of damage to these structures due to natural calamity, the UG would request GP to maintain these structures through Mahatama Gandhi National Rural Employment Guarantee

Scheme (MNREGS), Disaster Management Budget and convergence with other rural development programmes.

(Responsibility: UGs/Beneficiaries)

Multi Utility Centres created in the Project will be utilized and maintained by the Gram Panchayat. The ownership of the Multi Utility Centres would be vested with the Gram Panchayat. If the ownership of the land on which the Multi Utility Centre has been established is not of the Gram Panchayat then the necessary procedures of land transfer to the Gram Panchayat may be followed. The Deputy Project Director shall take the letter of consent from the Gram Panchayat while handing over the assets to the Gram Panchayat and copy of the same shall be given to the concerned District Panchayati Raj Officer.

(Responsibility: Gram Panchayat)

Processing Centres established at the Gram Panchayat Level in the Project shall be utilized and maintained by the Registered Farmers Federations and the various equipments' and materials' ownership shall be vested with the Farmers Federations. If the Processing Centres have been setup on community land/ building then the ownership of the centres would be vested with the Gram Panchayat. The Deputy Project Director shall take a letter of consent from the concerned Farmers Federations and Gram Panchayat while handing over the assets and a copy of the same shall be given to the concerned District Horticulture Officer.

(Responsibility: Farmers Federation)

Project equipments- Any equipment such as SOP, Weather Stations that are established by the Project in Schools, Development Block Offices, Tehsil offices and Kisan Vikas Centres etc. will be maintained by the concerned department and institution. The Deputy Project Director shall take a letter of consent from the concerned department / institutions while handing over the assets and copy of the same shall be given to the concerned District level department/ institutions.

(Responsibility: Concerning department and Institutions)

Assets of the NGOs- After project completion, all ABSO, FNGO, PNGO will hand over the assets/equipments provided by the Project to the concerned Deputy Project Director

and a separate record of the same shall be kept. Then these assets/ equipments with their records shall be transferred to the Project Director.

(Responsibility: ABSO, FNGO, PNGO)

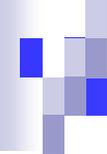
List of activities/ Assets created in the project and future management

| Activity/ Assets | Responsibility- Department/Institutions/ Organization | Role |
|---|--|--|
| Agriculture / Horticulture Activities- | Agriculture/ Horticulture Department | District/ Block level functionaries to provide extension and input support |
| Agribusiness - Processing Centers, collection centers | Horticulture Department and Horticulture Mission | District/ Block level functionaries to provide extension and input support, FFs will manage the assets |
| Animal Husbandry | Animal Husbandry Department | District/ Block level functionaries to provide extension and input support |
| Forestry and DLT structures created in inter GP spaces | Concerned Forest Division, Van Panchayat and Gram Panchayat | Concerned Forest Division will be responsible for Inter GPs space in Reserves Forest Areas. Concern Van Panchayat and Gram Panchayat will be responsible for maintain assets in Van Panchayat Areas |
| Water Storage Tanks, Irrigation guls, village ponds and other water conservation structures | Concerned RVC, UG and Gram Panchayat | <ul style="list-style-type: none"> • Responsible for O&M of assets • Responsible for utilization O&M fund |
| Multi Utility Centre, culverts, small bridges, | Concerned Gram Panchayat | Gram Panchayat will be responsible for maintenance of these community assets |

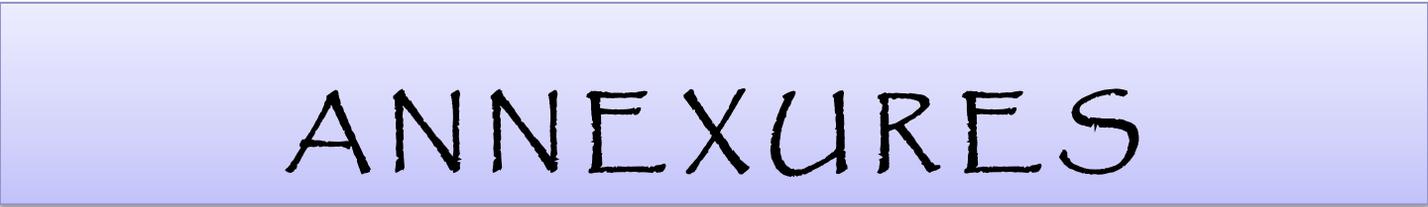
| Activity/ Assets | Responsibility- Department/Institutions/ Organization | Role |
|---|---|---|
| Individual Assets - (Bio-gas, poly house, poly tunnel, mangers, tools , equipments etc. | Individual beneficiary | Individual beneficiary will be responsible |
| IGA for Vulnerable households | Concerned Livelihood Group/ Individual beneficiary | <ul style="list-style-type: none"> • Concerned Livelihood Group/ Individual beneficiary • District, Block level functionaries for further extension and input support |
| Alternate energy equipments, machines and tools. | Concerned individual/ User Groups/ VGs | Individual beneficiary/ User Groups/ VGs will be responsible |

Note: The project will provide contact address and phone no. to the respective beneficiary and institution.





ANNEXURES



FORMAT 1 (a) -Criteria for exclusion of sub-projects/activity

| Sl. No | Criteria |
|---------------|---|
| I | Forests / biodiversity |
| 1 | Activities likely to cause damage to wildlife by setting fire, injuring wildlife, or involving indiscriminate felling of trees or indiscriminate removal of plant, animal or mineral produce from sanctuaries/ national park and adjoining forest area. |
| 2 | Activities likely to promote indiscriminate felling of trees. |
| II | Dams |
| 3 | Activity that involves construction of dam (existing or new) of 10 metres height or more |
| III | Farming System |
| 4 | Agricultural activities that intend to use banned pesticides, agrochemicals in WHO classes IA, IB and II (refer list of pesticides - Annexure- X & XI) |
| 5 | Activities that involve manufacture or sale, stocking or exhibiting for sale or distribution of any insecticide, pesticide, medicine without a licence |
| 6 | Activities that totally eliminate indigenous races of food crop |
| 7 | Activities that spread a Vector of diseases of livestock |
| IV | Land/ Ecosystem |
| 8 | Activities that causes pollution of water sources. |
| 9 | Activities that can cause risk of floods and damage to downstream resources |
| 10 | Activities which would require involuntary resettlement or forced acquisition of land |
| 11 | No constructions related to common activities to be taken up on land owned by vulnerable groups. |
| 12 | Activity that have any adverse impact on the indigenous people/ vulnerable families in terms of displacement or their livelihoods being affected |
| 13 | Activity that introduce/ promote child labour. |
| 14 | Activity that exclude the vulnerable from the benefits. |
| 15 | Activity that involve production, storage and consumption of tobacco, drugs, alcohol, etc. |
| 16 | Activity that cause damage to cultural property, places of religious importance and restricted historical monuments.* |

*Whenever there is a chance find of cultural or historical artefacts (moveable and immovable) the Department of Archaeology of the state Government, the Archaeological Survey of India will be informed. Should the continuation of work endanger the historical and cultural artefacts, the project work will be suspended until a solution is found for the preservation of these artefacts, or advice from the Archaeological Survey of India is obtained. It should be noted that Failure to report a chance find within the 48 hours of discovery, is a punishable offence under the relevant Indian legislation. Similarly, (intentional) damage to a historical or cultural artefact is a punishable offence.

Table 1 FORMAT 1 (b) Criterion for limited ESA of sub-projects/activity

| Sl. No | Criteria |
|---------------|--|
| 1 | Construction of water impounding structures/ earth work with a height of more than 5 metre and less than 10 metre. |
| 2 | Construction of roads, bridge, civil works etc. that may cause destabilisation of lands. |
| 3 | Activity that limit the traditional/legal rights of indigenous people on common property resources. |
| 4 | Activity that involve use of private land and causes loss of livelihood. |

Environmental and Social Code of Practices

| S. No. | Subprojects/activities | Code No. | Measure/Guideline |
|--------|--------------------------------------|-----------|---|
| | FORESTRY | EC F 1.1 | All plantation activities should be done in accordance with Manual of Forestry. |
| | | EC F 1.2 | Preference should be given to the local endemic species for plantation. |
| | | EC F 1.3 | Select native fodder species with high nutritive value. |
| | | EC F 1.4 | Plantation of mixed broadleaf species to supplement fodder. |
| | | EC F 1.5 | To increase the availability of local fodder/fuel, agro-forestry practices should be promoted. |
| | | EC F 1.6 | Plantation of fodder species in unculturable wastelands. |
| | | EC F 1.7 | Van Panchayats and Biodiversity groups in the GPs should be mobilized to ensure a higher sense of ownership and commitment towards sustainable management of common forest lands. |
| | | EC F 1.8 | Equal sharing of resources among users by rules/regulation. |
| | | | |
| | SOIL & WATER CONSERVATION | EC SC 2.1 | Levelling of crop fields and maintenance of terraces / bunds to check water runoff and soil loss. |
| | | EC SC 2.2 | Storage of surface/Rain water through water storage structures. |

| | | | |
|--|--------------------------------------|-----------|--|
| | | EC SC 2.3 | Vegetative soil conservation measures around the engineering structures (bio-engineering measures). |
| | | EC SC 2.4 | Main streams/rivers, of MW/SWS, should be treated through Retaining Wall like stream bank protection activities instead of Cross barriers/ Check dams. |
| | | EC SC 2.5 | Quarrying for stones prior to construction of any structure in a site should strictly prohibited. The engineering structures for DLT should be constructed from loose bolder/stones lying alongside the drainage line. |
| | | EC SC 2.6 | Use of stone riser technique for field bonding should be adopted as a preventing measure to check soil erosion. |
| | | | |
| | AGRICULTURE/ HORTICULTURE | EC AG 3.1 | High nutritional value traditional crops should not be totally replaced by high yielding varieties. |
| | | EC AG 3.2 | To maintain soil fertility, crops rotation and bringing the cultivated land under leguminous crops (pea, lentil etc.) should be practiced. |
| | | EC AG 3.3 | To maintain biological fertility of the soil, planting of nitrogen fixing species on the crop field bunds should be done. |
| | | EC AG 3.4 | Selection of low water demanding (high efficiency in water utilization) HYV crops should be given preference. |

| | | | |
|--|---|--------------|--|
| | | EC AG 3.5 | Protected cultivation (use of polyhouse, polypit, polytrench, etc.) to reduce the chances of HYV crop failure |
| | | | |
| | Integrated Crop Management (ICM) | EC ICM 4.1 | Site-specific suitable crops should be grown. |
| | | EC ICM 4.2 | To retain soil health and reduce soil contamination & water pollution, use of bio-fertilizers (bio-compost, vermicompost, organic mulch (Green manure), microbial inoculants, etc.) and bio-pesticides should be promoted. |
| | | EC ICM 4.3 | Lesser use of permissible chemical fertilizers / pesticides (Annex 6 & 7) will reduce chances of soil contamination and water pollution. |
| | | | |
| | | EC ICM 4.4 | Plantation/protection of pest controlling plants (Marigold, etc.). |
| | | EC ICM 4.5 | Adoption of package of following cultural practices should be promoted. |
| | | EC ICM 4.5.1 | Deep ploughing |
| | | EC ICM 4.5.2 | Line sowing |
| | | EC ICM 4.5.3 | Mix cropping |
| | | EC ICM 4.5.4 | Use of Organic Manure |
| | | EC ICM 4.5.5 | Seed Treatment |
| | | EC ICM 4.5.6 | Base dose Application |
| | | EC ICM 4.6 | Use of permissible chemical pesticides should only be done in accordance to the application timings and safety measures mentioned in IPM strategy of the project. |
| | | | |

| | | | |
|--|-----------------------------|------------|---|
| | WATER HARVESTING | EC WH 5.1 | Rain water harvesting and storage of surface water (of streams, nalla, etc.) through water storage ponds/pits should be encouraged. |
| | | EC WH 5.2 | Construction of Roof Rain Water Harvesting Tank will help to collect rain water for domestic uses and kitchen gardening. |
| | | EC WH 5.3 | In rainfed areas, Low Density Polyethylene Tanks should be encouraged to collect rain/source water for irrigation. |
| | | EC WH 5.4 | Regular disinfection by chlorination and use of filters in storage structures will reduce chances of water borne diseases. |
| | | EC WH 5.5 | Proper designing, size and site selection for channel should be ensured. |
| | | EC WH 5.6 | Construction of smaller underground tanks to reduce chances of leakage. |
| | | EC WH 5.7 | Use of Ferro-cement for repairs of tanks. |
| | | EC WH 5.8 | Deep wells may not be dug to reduce drawing of underground water. |
| | | EC WH 5.9 | Disposal of waste water away from the ponds and proper drainage |
| | | EC WH 5.10 | Fish rearing to consume the mosquito eggs. |
| | | EC WH 5.11 | Rules and regulations over sharing and rational use of water to be framed by the stakeholder communities. |
| | | EC WH 5.12 | Selection of site for community water storage tanks should be as per the convenience and cooperation of stakeholders to reduce conflicts among users. |
| | | EC WH 5.13 | Installation / lying of pipelines deep in the ground will reduce freezing of water and. |

| | | | |
|--|------------------|------------|---|
| | | EC WH 5.14 | Compaction of the excavated soil in the dug pipelines |
| | | EC WH 5.15 | Skill development among villagers to repair / maintain the pipelines |
| | | EC WH 5.16 | Strengthening of traditional local institutions will also help to sort out conflict among users. |
| | | EC WH 5.17 | Construction of water harvesting or water supply structure in individual and community land should be done only with the consent and the approval of the beneficiaries and Gram Panchayats. |
| | | EC WH 5.18 | The beneficiaries should form usergroups and these groups themselves should be reach to an agreement prior to construction of water harvesting structures on any ones private land belonging the group. |
| | | | |
| | LIVESTOCK | EC LS 6.1 | Animal health camps should be organised under supervision of technical experts. |
| | | EC LS 6.2 | Farmers should be encouraged for periodic vaccination to protect livestock from epidemic diseases. |
| | | EC LS 6.3 | To treat livestock, use of herbal medicines should be encouraged. |
| | | EC.LS.6.4 | Local fodder crop/ grass species should be encouraged. |
| | | EC LS 6.4 | Use of organic manure/bio-fertilizers should be encouraged for fodder crop production. |

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| | | EC LS 6.5 | To reduce biotic pressure on forest, farmers should be encouraged to adopt new livestock techniques, like stall feeding, breed improvement, improve fodder production etc. |
| | | | |
| | AGRIBUSINESS | EC AB 7.1 | Use of hardy local improved varieties for cultivation will reduce the use of chemical fertilizers and pesticides. |
| | | EC AB 7.2 | Cultivation of improved local varieties to reduce threat on local gene pool. |
| | | EC AB 7.3 | Use of alternate non wood staking material. |
| | | EC AB 7.4 | Use of bio-products for packaging |
| | | EC AB 7.5 | Safe disposal of organic and inorganic waste separately, as per waste management guidelines of WMD(Annexure-XII) |
| | | EC AB 7.6 | Crop diversification and intercropping according to market requirement and as natural pest barrier. |
| | | EC AB 7.7 | Proper pollution control arrangements in food processing units. |
| | | EC AB 7.8 | The FIGs/ FFs, which will be responsible to run the processing unit/grading center, should have an agreement prior to establishment/construction of such unit with GP or individual (as applicable), to whom the land will belongs. |
| | INCOME GENERATING ACTIVITIES (IGA) Potential IGAs- | EC IGA 8.1 | Strengthening of village resource management institutions to reduce conflicts among the users over common resources |
| | 1. NTFPS 2. Decorative items | EC IGA 8.2 | Prohibited use of species to avoid over exploitation. |

| | | | |
|--|---|------------|--|
| | 3. Wood craft 4. Bamboo products | EC.IGA.8.3 | Use of Styrofoam tray to reduce soil loss in nursery activities. |
| | 5. Nursery 6. Mushroom 7. Beekeeping 8. Fish farming | EC IGA 8.4 | Use of water saving techniques / water harvesting to meet demand of water in IGA activities. |
| | 9. Woollen products | EC IGA 8.5 | Awareness among the users and proper training will help the users in mushroom and fish farming activities. |
| | | EC IGA 8.6 | Processing of wool washing not be done directly in water sources. |
| | | EC IGA 8.7 | Use of masks or nose cover (cloth) during wool processing. |
| | | | |
| | NEED BASED INFRASTRUCTUR E DEVELOPMENT | EC IF 9.1 | Treatment of the destabilized sites through vegetative measures, jute netting, etc. |
| | | EC IF 9.2 | Quality of constructions should be ensured to reduce the failure and more hazards in downstream areas. |
| | | EC IF 9.3 | Proper designing and planning for road construction/laying to reduce soil erosion/landslips. |
| | | EC IF 9.4 | Bio-physical measures to rehabilitate disturbed land and checking soil erosion. |
| | | EC IF 9.5 | The land, not suitable for other productive purposes should be brought under infrastructure activities. |
| | | EC IF 9.6 | Preference to marginal groups in local employment. |

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| | | EC IF 9.7 | Construction of any structure in individual or community land should be done only with the consent and the approval of the beneficiaries and Gram Panchayats. |
| | | EC IF 9.8 | Construction of assets of common benefits should be strictly prohibited in the lands which belongs to vulnerable group members. |
| | | | |
| | USE OF ALTERNATE ENERGY SOURCES | EC AE 11.1 | Alternative means of energy should conserve the adjoining forests and provide to meet the needs of the people |
| | | EC AE 11.2 | Environment friendly alternative energy sources and/or the energy saving devices should be installed on priority basis to share the labour put in by womenfolk to collect fuel wood. |
| | Biogas | EC AE 11.3.1 | It is to be insured that the installed bio-gas plant is of good quality standards and leak proof to avoid accidents due to leakage of methane. |
| | | EC AE 11.3.2 | User should be aware about proper dung to water ratio and to avoid any gap between 2 slabs covering the slurry outlet tank to reduce mosquito breeding. |
| | | EC AE 11.3.3 | To fulfil the higher water requirement per day, in the House Holds having Biogas, the water availability issue should be also taken care. |
| | | EC AE 11.3.4 | Training should provide for the proper use and awareness to avoid accidents. |
| | Pine Briquetting | EC AE 11.4.1 | Charring should be done under fully covered pit or tighten quill to reduce harmful smoke. |

| | | | |
|--|------------------|--------------|--|
| | | EC AE 11.4.2 | Women should be aware to avoid synthetic saari/dress during charring to reduce fire hazard. |
| | | EC AE 11.4.3 | Use of rubber sleeper/shoes should ensure to avoid electricity shock incidents. |
| | Solar equipments | EC AE 11.5.1 | Components of waste/unused batteries of solar equipments are hazardous to health so there safe disposal should be ensured. |

Annexure VIII of the ESMF - Mitigation measures for negative impacts and Monitoring indicators

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|--|---|--|---|
| <p>FORESTRY</p> <p>1. Afforestation</p> <p>2. Silvi-pasture</p> <p>3. Fuel wood Plantation</p> | <ul style="list-style-type: none"> ▪ Introduction of exotic species. ▪ Proliferation / dominance of invasive / exotic species ▪ Conflict among user over resource sharing • Shortage of grazing land during initial phase. • Restrict rights of the people | <ul style="list-style-type: none"> • EC F 1.1 • EC F 1.2 • EC F 1.3 • EC F 1.4 • EC F 1.5 • EC F 1.6 • EC F 1.7 • EC F 1.8 • EC F 1.9 | <ul style="list-style-type: none"> • Area covered under afforestation (ha). • Increase/ decrease in fodder / fuelwood yield. • Decrease/increase in women labour (days) for collection of fuel wood and fodder. • Increase/ decrease in number of Oak seedlings/sapling. • Increase/ decrease in forest crown cover/ canopy closure. • Increase/ decrease in soil moisture. • Increase/ decrease in forest floor vegetation and litter layer thickness. • Reduction/increase in occurrence of fire incidences. • Increase/ decrease in forest wealth (resin, NTFPs, leaf litter layer, fodder etc.). • Increase/ decrease in the use of non-chemical applications e.g., bio-pesticides, mechanical, cultural activities. ▪ All receive benefits. |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|--|---|---|--|
| AGRICULTURE 1. High Yielding Varieties 2. Diversified Agriculture 3. On-Farm Cultivation (Vegetables, spices and condiments) 4. Terrace Repair 5. Vegetative Boundary | <ul style="list-style-type: none"> • Loss in soil moisture. • Loss in soil fertility (Nitrogen, Carbon, etc.). • Soil and water pollution due to use of pesticides. • More demand of water for irrigation and competing demands on surviving/existing sources which are used for drinking. • Pressure on local forests/ vegetation for fodder for animals and packaging material. • Loss of traditional / indigenous practices of crop cultivation. • HYVs are labour intensive and bring more workload on women. • Marginal groups (landless farmers/labourers) will benefit less, since they do not have land to bring under HYVs • Due to monoculture chances of crop failure due to frost/fog, insect/pest and diseases. • Discontinuation of barter system and more dependency on external resources / agents and, therefore, loss of self-dependency. • Possibility of loss of local races/cultivars/ gene pools/ crop varieties • Conflicts among the neighbouring farmers | <ul style="list-style-type: none"> • EC AG 3.1 • EC AG 3.2 • EC AG 3.3 • EC AG 3.4 • EC AG 3.5 • EC ICM 4.1 • EC ICM 4.2 • EC ICM 4.3 • EC ICM 4.4 • EC ICM 4.5 • EC ICM 4.5.1 • EC ICM 4.5.2 • EC ICM 4.5.3 • EC ICM 4.5.4 • EC ICM 4.5.5 • EC ICM 4.5.6 • EC ICM 4.6 • EC F 1.5 • EC SC 2.1 • EC SC 2.6 • EC WH 5.2 • EC WH 5.3 | <ul style="list-style-type: none"> • Damage to crops (resistance against diseases, frost, drought etc.) • Production of grain, straw and other plant products • Quality of production (taste, odour, colour, perishability etc.) • Increase/decrease in per unit land economic benefits • Changes in nature of soil (fertility, hardness, moisture, colour etc.) • Quantity of seeds produced • Reduction/increase of soil erosion and water runoff • Increase / decrease in work load on women • Number of local crop varieties grown and area under them • Increase/ decrease in the use of non-chemical applications e.g., bio-pesticides, mechanical, cultural activities. |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|---|--|---|---|
| <p>HORTICULTURE</p> <p>1. Fruit Crops</p> | <ul style="list-style-type: none"> • Soil contamination due to use of chemical fertilizers and pesticides and herbicides. • Increase in water consumption, therefore depletion in water resources. • Increase in water pollution due to use of pesticides / fertilizers. • The marginal landholders will benefit less, as they may not have land to bring under horticulture. • Health hazards due to more use of chemical fertilizers & pesticides | <ul style="list-style-type: none"> • EC ICM 4.2 • EC ICM 4.3 • EC AG 3.4 • EC SC 2.2 • EC IF 9.7 | <ul style="list-style-type: none"> • Increase or decrease of production of fruits and other plant products • Quality of production (taste, odour, colour, perishability etc.) • Increase / decrease in economic benefits per unit land • Damage of crops against diseases, frost, drought, etc. • Increase/ decrease in the use of non-chemical applications e.g., bio-pesticides, mechanical, cultural activities |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|---|--|---|---|
| <p>WATER HARVESTING</p> <p>1. Village Pond</p> <p>2. Irrigation Channel</p> <p>3. Water collection through pipelines</p> <p>4. Roof water harvesting</p> <p>5. LDPE Tanks</p> <p>6. Ground water harvesting (Digging of wells)</p> | <ul style="list-style-type: none"> ▪ Water logging due to improper drainage. ▪ Water pollution through deposition of waste materiel due to public use. ▪ Pollution through organic (Polyethylene/ plastic) waste by the use of LDPE sheets and plastic pipelines for water harvesting. ▪ Health impacts due to breeding of mosquitoes. ▪ Disputes over water sharing (domestic demand vs irrigation demand) may arise. ▪ Mud formation along the water distribution points ▪ Marginal farmers are deprived from the benefits as they have small holdings. • More chances of water borne diseases if the unclean water is consumed without treatment • Seepage/leakage in roof tops and under water tanks. | <ul style="list-style-type: none"> ▪ EC WH 5.1 ▪ EC WH 5.2 ▪ EC WH 5.3 ▪ EC WH 5.4 ▪ EC WH 5.5 ▪ EC WH 5.6 ▪ EC WH 5.7 ▪ EC WH 5.8 ▪ EC WH 5.9 ▪ EC WH 5.10 ▪ EC WH 5.11 ▪ EC WH 5.12 ▪ EC WH 5.13 ▪ EC WH 5.14 ▪ EC WH 5.15 ▪ EC WH 5.16 ▪ EC WH 5.17 ▪ EC WH 5.18 | <ul style="list-style-type: none"> • Increase/ decrease in water use efficiency for all activities e.g., household consumption, irrigation, drinking, etc. • Increase/ decrease in irrigated area • Increase/ decrease in crop production • Increase/ decrease in water quality (colour, taste, odour) • Decrease/increase in time and distance per day put in for collection of water • Access to water by the marginalized groups • Alternate livelihood for those vulnerable whose land may be affected. ▪ Access to transhumant to meet their water requirements. |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|--|--|--|--|
| | <ul style="list-style-type: none"> • Drawing of underground water may lead to shortage of water in other adjacent sources. • Deposition of excavated soil damages the surrounding vegetation • Conflicts among the users/owners of the land where the well is dug. • Due to freezing of water in winters, water pipes get damaged and water supply gets interrupted. • Difficult on the part of villagers to maintain / repair pipelines. • Loss of land | | |
| <p>LIVESTOCK</p> <p>1. Natural breeding</p> <p>2. Artificial insemination</p> <p>3. Fodder</p> | <ul style="list-style-type: none"> • Introduction of exotic/alien species of grasses and fodder crops to meet the demand of fodder, that dominate the local species. • Hybrid animals are more prone to diseases. • Hybrid animals require more provisions | <ul style="list-style-type: none"> • EC LS 6.1 • EC LS 6.2 • EC LS 6.3 • EC LS 6.4 • EC LS 6.5 • EC LS 6.6 | <ul style="list-style-type: none"> • Reporting of animal coverage. • Non-occurrence of diseases/ disease outbreaks. • Production of milk, meat enhancement. • Overall improvement/deterioration in productivity of milk, meat etc. • Quantity of fodder saved/consumed. |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|--|--|--|--|
| <p>management</p> <p>4. Veterinary camps</p> | <p>for health care.</p> <ul style="list-style-type: none"> • Limited breeding facility (a bull can serve only 2 animals in a week) in case of hybrid animals. • Hybrid animals require intensive care attention. • Improper treatment of grasses or straw might lead to food poisoning. • Dependency on professionals in the artificial insemination and other activities and in the absence of professionals quality of service will deteriorate. • Poor quality vaccination may increase the out-break of diseases. | | <ul style="list-style-type: none"> • Enhancement/decrease in fodder production. • Increase/reduction in work load of women. • Changes in animal type (animal composition). • Increase/ decrease in the use of drugs and pesticides. • Facilities extended to transhumant. |
| <p>CONSTRUCTION / INFRASTRUCTURE INDUCED DEGRADATION</p> <p>1. Drainage line</p> | <ul style="list-style-type: none"> • Soil loss during the construction of engineering structures and quarrying for stone and other materials • Siltation of water bodies downstream during the construction of engineering measures. | <ul style="list-style-type: none"> • EC IF 9.1 • EC IF 9.2 • EC IF 9.3 • EC IF 9.4 • EC IF 9.5 • EC IF 9.6 | <ul style="list-style-type: none"> • Conservation of soil measured by stabilized erosivity, gullies etc. • Reduction/increase in the frequency of slope slippages , debris flow, swollen streams, flash flood in downstream • Increase/ decrease in water yield in the |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|---|---|--|---|
| <p>treatment</p> <p>2. Soil and water conservation</p> <p>3. Link road</p> <p>4. Storage facilities</p> <p>5. Marketing facilities</p> | <ul style="list-style-type: none"> • Maintenance of the structures will require additional responsibilities to the stakeholders. • Low quality constructions may lead to failure and more hazards in downstream • Destabilization of the land and soil erosion/landslips along the road cuttings. • Siltation of water bodies downstream due to runoff. • Destruction of local flora during road construction and also along the roads. • Construction of the structures may cause some soil erosion. • Deterioration of cultural institutions (such as barter systems, helping attitude etc.) | <ul style="list-style-type: none"> • EC IF 9.7 • EC IF 9.8 • EC SC 2.1 • EC SC 2.2 • EC SC 2.3 • EC SC 2.4 • EC SC 2.5 • EC SC 2.6 | <p>downstream sources and duration of water discharge</p> <ul style="list-style-type: none"> • Increase/ decrease in number of link paths • Availability/ non-availability in off-season food products • Increase / decrease Productive land use for infrastructure • Improvement in incomes of vulnerable groups (child labour) and leisure time. • Increase / decrease in nutrition and education levels |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|--|--|--|--|
| <p>INCOME GENERATING ACTIVITIES (IGA)</p> <ol style="list-style-type: none"> 1. NTFPS 2. Decorative items 3. Wood craft 4. Bamboo products 5. Nursery 6. Mushroom 7. Beekeeping 8. Fish farming 9. Woollen products | <ul style="list-style-type: none"> • Conflict among the users over common resources • Chances of excessive harvest of a particular species / plant parts • Destabilization of stabilized slopes dug to remove soil for plant raising in the nursery • More demand for water for many IGA activities. • Risk of food poisoning due to unaware use of over grown / decayed mushroom. • Chances for economic risk due to death of fishes due to diseases. • Water pollution due to processing of wool for making products. • Possible occupational health hazards during wool processing. | <ul style="list-style-type: none"> • EC IGA 8.1 • EC IGA 8.2 • EC IGA 8.3 • EC IGA 8.4 • EC IGA 8.5 • EC IGA 8.6 • EC IGA 8.7 | <ul style="list-style-type: none"> • Number of plants of different species raised • Increase/decrease in productivity. • Increase/decrease in income of beneficiary. • Participation of vulnerable groups in decision making at the watershed level. |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|---|---|---|---|
| AGRIBUSINESS 1-HYV cultivation 2-Polyhouse 3-Collection/Processing Canters | <ul style="list-style-type: none"> • Increase in use of chemical pesticides/ insecticides. • Threat to local crops/species. • Exploitation of local shrubs and tree branches for staking purposes for climbers and tomato. • Spread of organic/inorganic waste like fruit peel, seeds, pulp and poly sheets etc. • Monoculture (of a particular Species or variety) results in decreased disease & pest resistant. • Threat to nutritional security of the area. • Air and water pollution by food processing units. | <ul style="list-style-type: none"> • EC AB 7.1 • EC AB 7.2 • EC AB 7.3 • EC AB 7.4 • EC AB 7.5 • EC AB 7.6 • EC AB 7.7 • EC AB 7.8 • EC ICM 4.1 • EC ICM 4.2 • EC ICM 4.3 • EC ICM 4.4 • EC ICM 4.5 • EC ICM 4.5.1 • EC ICM 4.5.2 • EC ICM 4.5.3 • EC ICM 4.5.4 • EC ICM 4.5.5 • EC ICM 4.5.6 • EC ICM 4.6 • | <ul style="list-style-type: none"> • Business plan with accordance to local climate/ conditions. • Species that are hardy and local. • Crop diversification. • Use of alternate staking material. • Arrangements for safe disposal of waste and controlling pollution in processing canters. |
| ALTERNATE ENERGY SOURCES | <ul style="list-style-type: none"> • Higher demand of water for bio-gas | <ul style="list-style-type: none"> • EC AE 11.1 | <ul style="list-style-type: none"> • Level of awareness to use alternate energy |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|------------------------|--|--|--|
| | <p>plants could create problems in the areas of water scarcity.</p> <ul style="list-style-type: none"> • Chances of increased mosquito breeding at slurry outlet tank. • Hazard of accidents by leakage of methane gas. • In the households with bio-gas plants, the per day requirement would be higher. • Charring of pine needles would produce harmful smoke. • Fire hazard during charring. • Hazard of electric shock during the use of briquette moulding machine. • Pollution and health hazard through components of waste/unused batteries of solar equipments. | <ul style="list-style-type: none"> • EC AE 11.1.1 • EC AE 11.1.2 • EC AE 11.1.3 • EC AE 11.1.4 • EC AE 11.2.1 • EC AE 11.2.2 • EC AE 11.2.3 • EC AE 11.3.1 | <p>devices.</p> <ul style="list-style-type: none"> • Quality standards and safety measures taken for establishment/use of biogas plant. • Disposal of inorganic waste. |

| Subprojects/activities | Negative Impacts | Mitigation Measures | Monitoring Indicators |
|--|------------------|---------------------|--|
| SOCIAL MOBILIZATION / FORMATION OF COMMUNITY GROUPS | | | Maintenance of records for: <ul style="list-style-type: none"> • How many people of WWMC (including Women, SC, ST, transhumant, BPL and other vulnerable and weaker sections) attended the meeting. • Number of beneficiaries (including Women, SC, ST, transhumant, BPL and other vulnerable and weaker sections) • Whether every member of the beneficiary group is participating or not? • Increase/ decrease in labour demand. |

FORMAT 2

ENVIRONMENTAL AND SOCIAL ASSESSMENT FOR RVC AND WWMC

To be filled up by RVC and GP being facilitated by MDT/PNGOs/FNGOs during Step 2 for selecting sub-projects/activities.

Put **X** for negative impacts and \checkmark for positive or no negative impacts.

| Sl. No | Project activities | Codes for possible environmental impacts (Reference to Table-6; attachment ES-6) | | | | | | | | | | | | | | | | Codes for possible social impacts (Reference to Table-6; attachment ES-6) | | | | | | | | Mitigation measures (Code, as mention in the ESCP-Annex-VI; ES-3) | Justification for decision/Remark | | | | | | | | | |
|---------------------|------------------------------|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|--|---|---|---|---|---|---|---|--|-----------------------------------|---|---|----------------|----------------|--|--|--|--|--|
| | | A | B | C | D | E | F | G | H | I | J | K | L | M | N | O | P | Q | R | S | T | U | V | W | X | | | Y | Z | Z ₁ | Z ₂ | | | | | |
| Arable land | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Agriculture | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1. | Cultivation of HYVs, | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2. | Cash crops / vegetables | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3. | Spices and condiments | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4. | Organic farming | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5. | Diversified agriculture | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6. | Terrace repairs | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7. | Vegetative field boundaries | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Horticulture | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 8. | Orchard development | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9. | Homesteads fruit plantation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 10. | Rejuvenation of old orchards | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Agribusiness | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| Sl. No | Project activities | Codes for possible environmental impacts (Reference to Table-6; attachment ES-6) | | | | | | | | | | | | | | | | Codes for possible social impacts (Reference to Table-6; attachment ES-6) | | | | | | | | | | | | | | | | Mitigation measures (Code, as mention in the ESCP-Annex-VI; ES-3) | Justification for decision/ Remark |
|--|---|---|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|------------------------------------|
| | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 24. | Breed improvement | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 25. | Stall feeding | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 26. | Nutrition management | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 27. | Disease control & health, veterinary facilities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 28. | Stray animal castration | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Natural hazards mitigation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 29 | Small landslides control | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 30 | Drainage line treatment | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Income generating activities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 31. | NTFP/MAP based activities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 32 | Seed production and nursery raising | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 33 | Food processing | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 34 | Livestock based activities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 35 | Fibre/ wool based activities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 36 | Mushroom cultivation | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 37 | Knitting and weaving | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Need based Infrastructure development | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 38 | Storage facilities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 39 | Market linkage | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 40 | Rural credit facilities | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Table- 6 (of ESMF)

CODES FOR POSSIBLE ENVIRONMENTAL AND SOCIAL IMPACTS OF PROJECT INTERVENTIONS

(To be filled in Format 2, as negative or positive for each project activity)

| Codes | Environment Impacts |
|----------------|--|
| A | Impact on Surface Water (Quality/Quantity) |
| B | Possibilities of Siltation in water bodies (existing/constructed) |
| C | Soil Erosion/Gully Formation |
| D | Impact on stability of Hill Slopes/chances of Landslides |
| E | Impact on Soil Quality |
| F | Soil Moisture regime |
| G | Impact on Agricultural Productivity (Grain/Fodder) |
| H | Water/Air / Noise Pollution |
| I | Pressure on Surrounding Trees and Vegetation |
| J | Forest Fire |
| K | Impact on Biodiversity (Flora/Fauna) |
| L | Impact on Aquatic Life |
| M | Invasion of Exotic Species |
| N | Impact on Rare, Threatened & Endangered Species |
| O | Impact on the existence of plant species of Medicinal Importance |
| P | Generation/accumulation of Solid Waste/ Wastewater |
| Q | Impact due to the use of Chemical Fertilizers/Pesticides |
| R | Impact (danger of extinction) to the Local Gene Pool (Plants/Crops) |
| | Social Impacts |
| S | Impact of the activity on Workload/drudgery (particularly on women) |
| T | Impact on availability of Nutritious Food |
| U | Dislocation/migration of People due to loss of traditional livelihood/ Local Labour |
| V | Impact on Benefits and Legal rights of vulnerable, SC/ST, transhumant and people belonging to other Marginalized Groups. |
| W | Use of Child Labour |
| X | Impact related to Insect, Pest and Wildlife Attacks |
| Y | Impact of the intervention on Places of Religious/Historical Importance/Monuments |
| Z | Social Conflicts (benefit sharing) |
| Z ₁ | Effect of the activity on Human Health |
| Z ₂ | Effect of the activity on Local Cultural/Ethical/ Aesthetic Values |

**ARTICLES OF AGREEMENT FOR PARTICIPATION BY GRAM PANCHAYATS
IN THE UTTARAKHAND DECENTRALIZED WATERSHED DEVELOPMENT
PROJECT -II (UDWDP-II)**

This deed of agreement is executed on between the Deputy Project Director,, Watershed Management Directorate, Uttarakhand, the authorised representative (hereinafter referred to as the first party) and the Gram Pradhan of Gram Panchayat in..... micro watershed falling in the Block.....and Tehsil.....of District (hereinafter referred to as the second party), to participate, plan and implement the project and manage the assets created under Uttarakhand decentralised Watershed Project Phase-II on the following parameters :-

1. Terms and Conditions

1.1 The Budget Envelop of the Gram Panchayat is Rs. which includes beneficiary contribution (as per project norms and shall be contributed by beneficiaries of the Gram Panchayat)

1.2 Both parties agree to follow and abide by the project guidelines which are given in the following manuals and documents:-

- i) Project Operational manual
- ii) Financial System Manual for GP
- iii) Community Procurement Manual
- iv) Environmental and Social Management Framework (ESMF)
- v) Reporting formats and information as provided and required by the project management.

1.3 All the works should be completed within the stipulated time as described in the Project Operation Manual. In exceptional circumstances, the time period stated in the manual may be extended in writing by mutual consent of both the parties.

2. Duties and Responsibilities of the First Party

The first party shall

2.1 Facilitate in the formation and constitution of WWMC, RVC, VGs, UGs, Van Panchayat at Gram Panchayat and Revenue Village level.

2.2 Facilitate in the selection process of Account Assistant and Village Motivator.

- 2.3 Mobilize, train and educate the members of Gram Panchayat, Water and Watershed Management Committee, Revenue Village Committee, Van Panchayat along with Account Assistant, Village Motivator and other stakeholders of the community through MDT to identify the needs and proposals to be incorporated in Gram Panchayat Watershed Development Plan (GPWDP).
- 2.4 Provide all relevant manuals as mentioned above in para 1.2.
- 2.5 Provide technical assistance in identifying inter GP spaces and preparation of its plan.
- 2.6 Facilitate the preparation of MWS and water source sustainability plans.
- 2.7 Provide technical help in carrying out works as per GPWDP.
- 2.8 Facilitate to exercise Participatory Monitoring and Evaluation process.
- 2.9 Provide funds to the extent of budget envelop as per guidelines given in the 'Financial System Manual for GP' to implement the GPWDP activities.
- 2.10 Facilitate the second party in procurement of goods, works and services as per procedure laid down in the 'Community procurement Manual'.
- 2.11 Have the right to stop or suspend the work at any stage if any financial irregularity or deviation from the specifications of works is found or any term of this agreement is violated.

3. Duties and responsibilities of the second party

The second party shall:

- 3.1 Assist the MDT in Social mobilization, including PRA at village and GP level by calling meetings which will be held at the Revenue village and at the Gram Sabha level as laid down in the Project Operation Manual.
- 3.2 Receive and disseminate the copies of Environment and Social Management Framework (ESMF), the GP Financial Manual, the Community Procurement Manual and the Project Operational Manual.
- 3.3 Ensure to provide complete information on Budget Envelop for its GP and details of the allocation formula of Budget Envelop to the Village Community.
- 3.4 Open a new Bank account named ' Watershed Development Project Account' which shall be a current account in a branch of any nationalized bank and this account shall be used to keep funds received from WMD through DPD. This account will be operated jointly by the Gram Pradhan and preferably a female ward member of the GP.

- 3.5 Intimate bank account number to the first party as soon as account is opened. Also intimate the first party in writing the names and address of those who will jointly operate the Bank account mentioned above in para 3.4. Such signatories shall not be changed without the prior consent of the first party.
- 3.6 Constitute the WWMC and RVC as per guidelines given in operational manual.
- 3.7 Participate in process of selection of Accounts Assistant (AA) and ensure that a woman is selected by the community as its Village Motivator for each Revenue Village in an open meeting as per the provisions of the Project Operation Manual.
- 3.8 Facilitate formation of Van Panchayat as per Uttarakhand Van Panchayat Act 2005, if the Revenue Village of GP does not have a Van Panchayat (VP).
- 3.9 Make payments to AA from the Administration Fund provided to GP by the Project.
- 3.10 Help to form the User Groups and Vulnerable Groups as per guidelines of the Project Operation Manual .
- 3.11 Prepare, get approval and implement the Gram Panchayat Watershed Development Plan as per the provisions of the Project Operation Manual.
- 3.12 Submit the each year's Annual Work Plan as per GPWDP.

Dispute Settlement

If, any dispute arises between the two parties, relating to any aspects of this Agreement, the parties shall first attempt to settle the dispute through mutual and amicable consultation. If the dispute is not settled through such consultation, the matter may be referred for arbitration to the Project Director of the concerned division, whose decision shall be final and binding on both parties.

Singed and delivered by Shri/Smt/Km..... Gram Pradhan,
Gram Sabha..... on behalf of the Gram Panchayat.

In the presence of:

i)

ii)

Singed and delivered by Shri/Smt/Km Deputy Project Director of
..... in the presence of:

i)

ii)

**AGREEMENT FOR WORKS TO BE EXECUTED THROUGH GRAM PANCHAYAT UNDER
UTTARAKHAND DECENTRALISED WATERSHED DEVELOPMENT PROJECT- II
(UDWDP-II)**

This deed of agreement is executed onbetween the Deputy Project Director,Watershed Management Directorate, Uttarakhand, the authorised representative (hereinafter referred to as the first party) and the Gram Pradhan ofGram Panchayat in.....micro watershed falling in the Block.....and Tehsil.....of District (hereinafter referred to as the second party), to implement the project and manage the assets created under Uttarakhand decentralised Watershed Project Phase-II on the following parameters :-

It is now here forth agreed:

1. Gram Panchayat Watershed Development Plan:

The works will be executed by the G.P. in accordance with the Gram Panchayat Watershed Development Plan as approved by the Gram Sabha, which is phased over a period of five years and is enclosed in community procurement manual.

2. Cost of Contract:

The cost of the works, as per approved Gram Panchayat Watershed Development Plan, is to be met from the Project funds for works and shall be executed by the Second Party for Rs. only. The year wise break up is as per given in the Gram Panchayat Watershed Development Plan in the community procurement manual.

3. Annual Works Plan (AWP):

Before undertaking any works, the Second Party shall prepare a detailed Annual Works Plan as per the Operation Manual in the attached format. The Annual Works Plan shall be prepared on the basis of Gram Panchayat Watershed Development Plan.

4. Disbursement of Funds by the First Party:

- i. Payment to the Second Party for works under the Project will be released by the First Party in advance for the works to be carried out by the Second Party.
- ii. With a view to accelerate execution of works, the First Party will transfer funds to the Second Party in the following ways-

❖ **Initial On-Account Payment:** On-Account payment to the extent of 10% of the each year's Annual Work Plan shall be given at the beginning of the FY by the Project to the GP. It will, however, be adjusted at the end of the same Financial Year.

❖ **Reimbursement of Cost of Works:** During Implementation of the Project, reimbursement of all expenditures incurred on works as per the approved work plan of GPWDP will be claimed by GPs after submitting requisite financial statements. All expenditures incurred in a particular month will be reimbursed by the DPD at the end of the month. However, if the amount is completely spent before the end of the month, even then the GP can claim the reimbursement by submitting the financial documents and statements. Summary of documents and statements to be submitted to DPD by GP while claiming reimbursement is given below in a tabular form.

Summary of documents to be submitted to DPD by GP while claiming reimbursement

| S.No | Time of Claiming Reimbursement | Documents to be submitted |
|------|--------------------------------|--|
| 1. | At the end of Month | 1. R-1 and R-2 2. Perforated copy of the Project Cash Book along with copies of bills/ vouchers related to the copy of Cash Book being submitted. |
| 2. | During the Month | Perforated copy of the Project Cash Book from the date of last reimbursement till the date of present submission of reimbursement claim along with copies of bills/ vouchers related to the copy of Cash Book being submitted. |

FINANCIAL STATEMENT

(Summary of receipts and payments till the date of submission)

| Receipts | | Payments | |
|-----------------|--------|---------------|--------|
| Particulars | Amount | Particulars | Amount |
| Opening Balance | | Payments made | |

| | | | |
|---------------------------------|--|-----------------|--|
| Receipts from WMD | | | |
| Beneficiary Contribution - Cash | | Closing Balance | |

The DPDs are expected to ensure and devise a mechanism so that the fund released to GPs is utilized for the purpose for which the demand was raised by the GP.

Note: *In the divisions where the PNGO will be implementing the project on behalf of WMD, it will be responsible for the entire financial monitoring of the funds made available to the concerned GPs. On the recommendation of the PNGO, all the funds will be transferred to the GPs directly by the WMD.*

5. IMPLEMENTING AGENCY FOR WORK

The WWMC will have the right to appoint anyone of the following Implementers in the order of priority for the implementation of the work:

- ❖ The **Individual Farmer** (Beneficiary) for the work to be executed on his own land. (In that case, **Individual** will work as a contractor)
- ❖ **RVC/ VP /User Group** which will work as a contractor to GP will be engaged for the activities to be implemented on common/ community/village assets. This arrangement will also apply on individual land or asset if the beneficiary has no objection and gives his consent in writing.
- ❖ The **Gram Panchayat**
- ❖ The First Right of implementation of every work under the project rests with village-level entities such as individual farmer, RVC, User Group or the Van Panchayat. If these options are not available then the GP itself may decide to execute the works. If all the above options refuse or fail to take up project activities under GPWDP as per plan only then, the works will be awarded to independent contractors. However the WWMC will have to obtain in writing their inability to undertake the project activities before awarding the contract for the said work to an independent contractor.
- ❖ In case of special technical requirements for which the above mentioned village level institutions do not possess adequate capabilities, and then the WWMC may outsource **a contractor** having past experience in specialized technical works. Such a Contractor will be appointed only after the concerned Beneficiaries have deposited the full amount of their share for the said activity in advance with the Gram Panchayat.

6. PREPARATION OF ESTIMATES AND ITS TECHNICAL SANCTION

- ❖ After preparation of detailed AWP and receipt of the initial On Account payment from the DPD the estimates for each activity to be taken up, will be prepared by the WWMC with the help of the Technical Representative of the MDT/PNGO in the format given vide **Attachment F-6**.
- ❖ The Technical Representative of MDT, along with a WWMC member shall survey the site of a particular work for preparing the estimates. The design and the estimates will be discussed with the concerned members and before finalizing it. *Every estimate of works will be accompanied with a photograph of the site.*
- ❖ An Integrated Activity **register (Format F-3)** shall be maintained by the accounts Assistant at each GP level.
- ❖ Technical member of the MDT will ensure that the detailed cost estimate of activities are prepared and a technical sanction is obtained for each such estimate prepared by the GP before initiating any activity. The format of Technical Sanction is given vide **Attachment F-7**.
- ❖ The competent authority to accord technical sanction for watershed works is given below in the table.

| Sanctioning Limit | <i>Sanctioning Authority</i> |
|--------------------------|--|
| Up to Rs 10,000 | Should be passed in the meeting of WWMC. No sanction from WMD is required. Copy of each sanction will be sent to DPD for information. |
| Above Rs. 10,000 | Sanction from WMD is required and that will be as per the existing WMD norms. The estimates prepared will be submitted to the MDT by WWMC for according sanction from the WMD. |

- ❖ Once the sanction is granted, a 'technical sanction number.' will be allotted for each activity.
- ❖ There will be no splitting of work/activity for the purpose of bypassing sanctioning requirement from WMD for activities above Rs. 10000.

7. SUB-PROJECT AGREEMENT BETWEEN GP AND IMPLEMENTER

A Sub-Project Agreement (SPA) for each activity will be signed between the GP and the Implementer through WWMC, if the GP itself does not execute the work. The design and cost estimates of the structure prepared with the help of MDT representative will be a part of the SPA. A sample draft of the SPA which will include and cover following areas is enclosed vide **Attachment A-3**.

- ❖ Objectives
- ❖ Sub-Contracting
- ❖ Implementation of Works
- ❖ Procurement of Material
- ❖ Responsibility of Damages
- ❖ Time Limit and Schedule of Payment
- ❖ Duties and Responsibilities of the WWMC and the Implementer
- ❖ Settlement of Disputes
- ❖ Ownership and responsibility of maintenance of the created assets.

8. IMPLEMENTATION AND MONITORING OF THE WORK

- ❖ Technical representative of the MDT will provide guidance to the Implementer and will monitor the work to ensure that the work is completed within time as per the prepared estimates and designs.
- ❖ Work must be completed in the sequential manner as approved by the Gram Sabha.
- ❖ Technical Representative of the MDT shall inspect the progress of works at different stages and record it in a Measurement Book (MB) after verification. The MBs shall, however, be kept in safe custody of the Accounts Assistant of each GP. The format of the MB will be as prescribed by the State Financial Rules vide form nos. 16 and 17.

9. **REGISTERS AT GP LEVEL-** Following registers, related to project financial system, will be kept at GP level and maintained by Account Assistant.

- ❖ Perforated Project Cash Book (**Format F-1**)
- ❖ Sanction Register (**Format F-2**)
- ❖ Integrated Activity Register (**Format F-3**)
- ❖ Beneficiary Contribution Register (**Format F-4**)

10. PREPARATION OF BILLS-Bills shall be prepared by the implementer on basis of actual progress and accorded sanctions. The Account Assistant shall assist individual farmer, RVC, VP, UG and SHG in preparation of the bills.

11. AUTHORIZATION PROCESS FOR THE PAYMENT-The bill submitted for the payment will route through the Account Assistant who, before making any payments, shall cross check with the Integrated Activity Register to verify the quantum of earlier payments made before getting it approved by the WWMC.

- ❖ All payments shall be authorized by the WWMC, which shall meet at least once in a week for this purpose.

12. BASIS, STAGES AND QUANTUM OF PAYMENT / REIMBURSEMENT

- ❖ If the GP itself implements the work then the GP can claim to the extent of sanctioned amount, net of beneficiary contribution, only against submission of actual bills of expenditure incurred.
- ❖ Bills for the work implemented by GP will be paid as soon as it is authorized by the WWMC.
- ❖ In case the work is implemented by an Implementer other than GP, the total payment made to it shall not exceed the estimated unit cost (net of Beneficiary Contribution) as approved and adjusted proportionately for actual measurements.
- ❖ The payment to the Implementer (Individual/RVC/VP/UG) other than GP will be on the basis of running bills/final bills cum Completion Certificate.

(A) Documents to be submitted in the case of running bills

If the amount claimed is against the activity not yet completed the implementer will submit the 'Running Bill cum work done certificate' after getting it attested by:

1. The Member of RVC,
2. Technical Representative of MDT

Quantum of Payment: The total payment made **against running bill** should not exceed 80% of the total amount of the work done as detailed in the 'Running bill cum Work done Certificate'.

Copies of the Running Bill: Running bill cum Work done Certificate 'shall be prepared in Triplicate. One copy each of the bill shall be submitted to GP and DPD through Unit Office. The Implementer shall retain the last copy for its record. **(Format F-8)**

(B) Documents to be submitted In case of bill for completed activity

If the amount claimed is against activity completed, the Implementer will submit the 'Final bill cum Completion Certificate' *along with a photograph of the completed work*. The 'Final bill cum Completion Certificate' shall be prepared by the Implementer i.e. concerned beneficiary, in case of the work done on private land and one of beneficiaries in case of work done on common/community land and attested by:

1. The Member of RVC
2. Technical Representative of MDT

Quantum of Payment: On completion of an activity the total payment made to the Implementer shall be equal to the estimates of work prepared and adjusted proportionately for actual measurement as per Measurement Book, net of Beneficiary contribution.

Copies of the Final Bill: Final Bill cum Completion Certificate' shall be prepared in triplicate. One copy shall be retained by GP and the other copy will be forwarded to the DPD through Unit Office. The Implementer shall keep the last copy for his record. **(Format F-9)**

Note: 1-If there is any change in the design with respect to the original estimation, revised sanction should be sought.

2- An 'OK card' will be used for activities where measurement of activity is not possible and therefore, Measurement Book cannot be prepared.

13. PAYMENT BY CROSSED CHEQUES -All payments shall be made to the implementer preferably by the crossed cheques. However, no payment exceeding Rs. 2000 shall be made in cash. In exceptional cases, this limit can be extended up to Rs. 5000, but in that case public witness will be required before making payment.

14. ADVANCES-No advance payments shall be made to the Implementers. Following Table summarizes the fund flow from GP to Implementer.

15. Obligations of the Second Party towards the First Party:

15.1 Inspection of records and Fund utilization by G.P:

The Second Party shall maintain proper accounts for all the expenditures incurred out of the payments made by the First Party for execution of the work. Such accounts shall be available for inspection of the First Party or any other technical team deputed for the purpose.

- In the event of any misuse of funds, the First Party shall have the right to freeze the Project Bank account of the Second Party after such inquiry as may be deemed necessary.
- The Second Party will fully cooperate if any such inquiry is necessary & furnish facts & records to the First Party on demand.

15.2 Recording of Project transactions by G.P:

The Accounts Assistant will maintain all Books of accounts under the supervision of the Village -incharge.

15.3 Books of accounts for Project to be maintained by G.P:

The books of Accounts required to be maintained for the project are:

- | | | |
|----|-----------------------------------|-------------------------------------|
| a. | Project Cash Book | Form F-1 |
| b. | Sanction Register | Form F-2 |
| c. | Integrated Activity Register | Form F-3 |
| d. | Beneficiary Contribution Register | Form F-4 |
| e. | Monthly reconciliation | Form No.7 (of Existing PRI Books) |
| f. | Register for Immovable property | Form No. 9 (of Existing PRI Books) |
| g. | Register for Movable Assets | Form No.11 (of Existing PRI Books) |
| h. | Stock Register | Form No. 13 (of Existing PRI Books) |
| i. | Register for roads | Form No. 15 (of Existing PRI Books) |
| j. | Register for Land Owned | Form No. 16 (of Existing PRI Books) |

15.4 Accounting for Stocks by G.P:

- In case any Implementer other than Gram Panchayat is executing work, no record is required to be maintained for the stocks purchased and consumed by the Implementer.
- While if the work is executed by the Second Party itself, its accounting will be done as per the 'Financial Manual of the Gram Panchayats'

15.5 Accounting for Assets created by the G.P:

The construction as well as acquisition of the Fixed Assets under the Project schemes will be recorded in the existing Formats prescribed in the PRI Act. The fixed assets acquired/constructed by the Second Party under the Project shall be allotted a fixed asset code no. which will include name of G.P, year of acquisition/construction and the serial no. of the asset in the Fixed Asset Register- in the following order:

<G.P name> <Year of acquisition/construction> < Asset Serial no.> <Location>

15.6 Adherence to time schedule for completion of Works by G.P:

The works should be completed within time as stipulated in Detailed Annual works Plan. In exceptional circumstances, the time period stated in this clause may be extended in writing and by mutual consent of both the parties. The First Party will release further funds only when the Second Party completes the works timely and qualitatively.

16 Duties and responsibilities of the First Party

The First Party -

- Shall be responsible for providing regular, frequent & timely *supervision and guidance* to the Second Party for carrying out the works as per agreed specifications. This will include written guidelines and *regular site visits* of the authorized personnel of the First Party for checking quality of material and execution to ensure that it is as per the agreed standard/norms.
- Shall supply one set of *drawing specifications*, guidelines resource maps etc. to the Second Party for the proposed works, wherever applicable.
- Will also actively consider all possibilities for *training/ capacity building* of the Second Party representatives and the Second Party's nominees will be obliged to actively participate in such trainings.
- The Team Leader or such other Project persons as may be authorized by him shall hold meeting at least once in a month at micro watershed/ village level where the representatives of the committees, member of MDT or other authorized officials in charge of the site will submit the latest information including progress report duly counter-signed by the Gram Pradhan. The whole team may jointly inspect any site on a particular day to take stock of activities.
- Shall prepare estimates and give sanction within time specified.

- May also translate this agreement form in the local language. However, in the matter of interpretation the English version will be the authentic version.

17 Duties and responsibilities of the Second Party

The Second Party shall:

- Take up the works and arrange for its completion within the time period stipulated and assist the Implementers in execution of the works
- Employ appropriate persons to carry out the works
- Make labour payment as per schedule of labour payment for different items of work.
- Ensure that purchases, if any, are made as per procurement manual of the Project.
- Regularly and intensively supervise and monitor the day to day progress of work and promptly inform Project authorities in case a specific problem/ bottleneck is faced by them and abide by the technical suggestions/direction of the Project supervisory personnel.
- Be responsible for bringing any discrepancy to the notice of the representative of the First Party including Team Leaders/ Project Director.
- Ensure that the work is carried out in accordance with specifications/ drawings and also within the total sanctioned amount .
- Keep the executive body and the Gram Sabha well informed about the progress of work.
- Keep proper accounts as mentioned in this agreement and 'Financial Manual of Gram Panchyats '
- Ensure that there is no mis-utilisation of funds or materials during execution of works and also give advance thought for preparing plans to maintain the assets created under the Project.
- Before making the payment, the Second Party shall see that all the covenants in this Agreement and the Financial Manual are complied with. For satisfying itself, the First Party shall conduct such checks, as he may deem necessary.
- Maintain necessary insurance against loss of materials/ cash/ workmen's compensation etc.

- Pay all duties, taxes and other levies payable as per law under the contract where necessary. Where necessary, there will be no objection to deductions in bills regarding taxes, as may be imposed and are deductible under the law.
- Take the responsibility of constructively mobilizing & involving the villagers in planning/ execution/ maintenance. It shall also take appropriate steps for conflict resolution and for enhancing equity and social cohesion through execution of the works. In case the execution of works leads to factionalism & narrow conflicts, the First Party can reconsider the decision for execution of remaining works through the Second Party.
- Take steps to enhance its saving for sustainability of the works/ assets created under the Project after the Project withdraws. It shall try to maximize efficiency in view of its local advantage and also consider feasibility of organizing 'shramdan' etc. to optimize local savings through execution of the Project works.
- Display boards etc. at strategic places to inform about the works to be/ being undertaken, physical provisions & financial resources received from the Project.
- Inspire & mobilize local community to protect natural resource base of the micro watershed, and
- In special circumstances, the Second Party may, after prior approval of the First Party, entrust execution of the works on a piece work basis or otherwise to any appropriate non-governmental organization (NGO), contractor or a recognized agency with a good track record of undertaking such works. The non-governmental organization or the other agencies, shall however assume full liability towards any insurance for loss of material/ cash or workman disability compensation claims of the personnel deployed on the works as well as third party claims and no part of the liability on this account shall devolve on the First Party.

18 Audit of G.P:

Besides the statutory Audit as per requirements of the PRI Act, the Second Party shall facilitate Internal Audit by a firm of Chartered Accountants, duly appointed by the First Party atleast on half yearly basis. The auditors will submit their six monthly reports for consideration of the Gram Sabha and the First Party.

19. Reporting on Financial & Physical Progress by G.P:

- **Monthly Reporting:**

At the end of every month the Accounts Assistant shall prepare and submit the following reports to the unit officer

- i. Activity wise monthly abstract of the expenditure (from Integrated Register) vide **Report R-1.**
- ii. Monthly Beneficiary contributions Statement (From Beneficiary Contribution Register) vide **Report R-2.**

Following documents should be attached along with the Monthly Reports:

- i. 'Watershed Development Project Account' Bank Statements
- ii. Bank Reconciliation Statement (Format of existing Book in Appendix III)
- iii. Perforated Copy of the Project Cash Book.
- iv. Completion Certificates.

20. Contribution of the community:

The Second Party as per the Operational Manual shall prepare records of the Beneficiary Contribution. For all works executed by the Second Party itself, all such receipts shall be properly supported.

21. Modifications

Modification of the terms and conditions of this contract including any modification of works or the contract price may be made by written agreements between the parties.

22. Dispute Settlement

If any dispute arises between the two parties, relating to any aspects of this Agreement, including Works, the parties shall first attempt to settle the dispute through mutual and amicable consultation. If the dispute is not settled through such consultation, the matter may be referred for arbitration to the concerned Project Director, Watershed Management Directorate, Uttarakhand, whose decision shall be final and binding on both parties.

Signed and delivered by Mr./Ms...
Gram Panchayat

Gram Pradhan
on behalf of the GP.

In the presence of :

- i)
- ii)

Signed and delivered by Mr/Ms...
of WMD, Uttaranchal, in the presence of :

Deputy Project Director.....

i)

ii)

SUB PROJECT AGREEMENT BETWEEN GP AND AN IMPLEMENTER

PANCHAYAT.....

We, the undersigned members of the Water and Watershed Management Committee under the Gram Panchayat of village..... micro-watershed..... Block District in its meeting of the Gram Sabha dated have been entrusted with the responsibilities to plan and operate activities relating to the under mentioned Sub-Project/work included in the Panchayat Annual Plan for Development. Accordingly, this Memorandum is executed on..... between Shri..... Chairman of the Water and Watershed Committee, on the one part, and Shri..... on behalf of the Implementing Agency..... hereinafter referred to as the Implementer on the second part.

Name of the Sub-Project/work.....

Members of the Water and Watershed Committee

| <u>S.No.</u> | <u>Name</u> | <u>Designation</u> | <u>Signatures</u> |
|--------------|-------------|--------------------|-------------------|
|--------------|-------------|--------------------|-------------------|

Now, therefore, it has been agreed as follows:

1. OBJECTIVES:

The Details of work/sub-project to be undertaken as given below:

- 1.1 Sanctioned Cost of Work/ Activity
- 1.2 Nature of Work/ Activity
- 1.3 Sanction No.
- 1.4 Village & Location

1.5 The technical details, description and design along with quantities allied to the work/activity are as per the technical manuals used for the project.

1.6 Beneficiary Contribution and Project Share.

2. SUB CONTRACTING:

The Implementer may Sub-contract one or several parts of the work assigned to him only after taking prior approval of the Water and Watershed Committee and in any case will be under his entire responsibility.

In any case no execution agency of work shall be a relative of any of the members of the Gram Panchayat.

3. EXECUTION OF WORKS:

The execution of this work will be the entire responsibility of the Implementer while the Water and Watershed Management Committee will ensure the qualitative execution of the work. However, the Deputy Project Director of The Uttarakhand Decentralized Watershed Development Project-II, being the major funding authority, will send his Technical Team to inspect the ongoing work or on its completion.

The work, if poorly executed, will be repaired or improved by the Implementer at his own cost.

4. PROCUREMENT OF MATERIAL

The procurement of the material for the work will be carried as per the Procurement Manual

5. RESPONSIBILITY FOR DAMAGES:

The Implementer will be responsible for all damages and accidents of any kind occurred during the execution of the work. This includes damages caused to a third party by the personnel and equipment of the Implementer.

6. TIME LIMIT

The work shall be completed in all respects by _____, 20---. The work will be deemed to be completed on the date of the completion certificate, so issued by a Technical Member of the Water and Watershed Committee.

7. OPERATION AND MAINTENANCE OF ASSETS

Assets created and acquired shall be maintained and effectively operated by the Gram Panchayat. It shall take steps to mobilize and involve villagers in proper upkeep of the assets.

8. SCHEDULE OF PAYMENTS

8.1 No advance payment shall be made to the Implementer.

8.2 The total payment made shall not exceed the amount sanctioned for the activity, proportionately adjusted on the basis recordings made in the Measurement Book.

8.3 The payment to the Implementer will be either on basis of running bills when the activity is still on or on the basis of final bill after completion of an activity.

8.3.1 In the case of running bills documents to be submitted by the Implementer are:

The 'Running Bill cum Certificate of work done', which shall be attested by

- i) The Representative of Revenue Village Committee,
- ii) Technical Representative of MDT

Quantum of Payment

The total payment made should not exceed 80% of the total amount of the work done as detailed in the 'Running Bill cum Certificate of the Work done' and is duly attested.

8.3.2 In case of bill for completed activity documents to be submitted

If the amount claimed is against activity completed, following documents will be attached to the bill:

- The details of the advances received against the activity.
- The 'Final Bill cum Completion Certificate' which shall be prepared by the Implementer i.e concerned beneficiary, in case of the work done on private land or one of beneficiaries in case of work done on common land and shall be attested by:
 - i) The Representative of Revenue Village Committee

ii) Technical Representative of MDT

Quantum of Payment

On completion of an activity the total payment made to the Implementer shall be equal to the estimates of work prepared net of the Beneficiary contribution.

8.4 The measurement of work will be made at least once every month and abstract of cost recorded in the Measurement Book to facilitate running payments to the Implementer. The bill raised by the Implementer will be paid after its verification by the Accounts Assistant of the Water and Watershed Management Committee with the entries in the Measurement Book.

8.5 No payment will be made on account of the cost over runs.

9. DUTIES AND RESPONSIBILITIES OF WWMC

The WWMC shall

- Take the prior sanctioning of the activity from the competent authority.
- Provide the necessary technical details and technical assistance to the Implementer.
- Provide timely funds to the Implementer.
- Collect Beneficiary Contribution.
- Ensure the compliance to various norms specified in the Gram Panchayat Manual before making payment to the Implementer.
- Ensure qualitative execution of work/sub project.
- Ensure rectification during defect liability period.

10. DUTIES AND RESPONSIBILITIES OF THE IMPLEMENTER

The Implementer shall:

- Ensure proper execution of works as per the plan approved.
- To complete the work within the specified time frame.
- Ensure that purchases are made as per requirements in the procurement manual.

11. SETTLEMENT OF DISPUTES

In the eventuality of any dispute between the two parties over the work or any aspect of this memorandum, the parties shall first attempt to settle this dispute through mutual and amicable consultations. However, if the dispute remains unsettled amicably, the matter may be referred for arbitration to the concerned Deputy Project Director of the Uttarakhand Decentralized Watershed Development Project whose verdict will be final and as such binding on both parties.

Signed & delivered by Mr. _____, the Chairman of the Water and Watershed Committee under the Gram Panchayat in the presence of:

Witness:

(i)

(ii)

PLACE:

DATE:

Signed and delivered by Mr. _____ on behalf of the Implementer in the presence of:

Witness:

(i)

(ii)

PLACE:

DATE:

SUB PROJECT AGREEMENT BETWEEN GRAM PANCHAYAT AND VULNERABLE INDIVIDUAL/GROUP FOR INCOME GENERATION ACTIVITIES

NAME OF GP.....NAME OF REVENUE VILLAGE.....

I/We, the undersigned member/members of the Vulnerable individual/group of the GPfalling in micro-watershed..... Block and Districtin its meeting of the Gram Sabha dated have been entrusted with the responsibilities to execute activities mentioned in the submitted plan for vulnerable individual/group under the Vulnerable Group Fund. Accordingly, this Memorandum is executed on date between Shri..... Chairman of the Water and Watershed Committee, on the one part, and Shri..... (Name of individual/President of group) on behalf of the individual/group to utilise the Vulnerable Group Fund as beneficiary/beneficiaries on the second part.

Name of the
Individual/President of the Group.....

Members of the
Water and Watershed Committee

| <u>S.No.</u> | <u>Name</u> | <u>Designation</u> | <u>Signatures</u> |
|--------------|-------------|--------------------|-------------------|
|--------------|-------------|--------------------|-------------------|

Both parties agree on following points:

- The fund will be utilised solely for the purpose as given in the submitted proposal.
- After fund disbursement, any change in the activity as proposed in the submitted plan will not be permissible without prior approval of the concerned DPD.
- The individual/ group will keep the record of all bills and vouchers of the expenditure incurred against the activity for which fund has been released. A copy of these bills will be submitted to GP for its record. Bills will also be made available to the project functionaries whenever they ask for it.
- An individual/ group shall be ready to participate in Entrepreneur Development Programme (EDP) prior to taking up IGA.

- An individual/group shall not transfer the fund to other party under any circumstances other than those which are required to execute IGA.
- If funds disbursed for any approved activity is misused by the individual/group, the entire amount will be recovered from the individual/group by the concerned GP.
- The individual/ group will be responsible for all damages and accidents of any kind occurred during the execution of IGA.
- Individual/Group beneficiaries will be responsible to use, maintain and sustain the assets.

DISPUTES SETTLEMENT

In the eventuality of any dispute between the two parties over the work or any aspect of this memorandum, the parties shall first attempt to settle this dispute through mutual and amicable consultations. However, if the dispute remains unsettled amicably, the matter may be referred for arbitration to the concerned Deputy Project Director of the Uttarakhand Decentralized Watershed Development Project whose verdict will be final and as such binding on both parties.

Signed & delivered by Smt./Mr. _____, the Chairman of the Water and Watershed Committee under the Gram Panchayat in the presence of:

Witness:

(i)

(ii)

PLACE:

DATE:

Signed and delivered by Smt./Mr. _____ on behalf of the Implementer in the presence of:

Witness:

(i)

(ii)

PLACE:

DATE:

UTTARAKHAND DECENTRALISED WATERSHED DEVELOPMENT PROJECT PHASE-II

F-1

GRAM PANCHAYAT----- Folio No.---
PROJECT CASH BOOK FOR THE YEAR OF-----

| Dr. | | | | | | | | | | | | | | | | |
|----------|-------------------------------------|---------|------|------------------------|--------------------------|------------------------|------|----------------|--------------|---------|------|------------------------|--------------------------|------------------------|---------|---|
| RECEIPTS | | | | | | | | | | | | | | | | |
| Date | Receipt/ Voucher No. (issued) | Details | Cash | Bank | | | Date | Voucher No. | Cheque No | Details | Cash | Bank | | | Details | Folio No. Integrated Activity Register |
| | | | | Implementation Fund | Vulnerable Group Fund | Administrative Fund | | | | | | Implementation Fund | Vulnerable Group Fund | Administrative Fund | | |
| | | | | | | | | | | | | | | | | |
| | | TOTAL | | | | | | | | TOTAL | | | | | | |
| | | | | | | | | | | Balance | | | | | | |
| | | | | | | | | | | TOTAL | | | | | | |
| | | | | | | | | | | | | | | | | |

Note : Prepare Abstract of Cash Book at the end of each month. Send perforated Copy to Unit Officer at month end. Copy of abstract to be sent to Secretary for posting in Main Cash Book of G.P

Monthly Abstract

| Receipts | Amount | Payments | Amount |
|-------------------------------|--------|-------------------------------------|--------|
| Opening Balance | | Watershed Development Expenditure | |
| Grant received from Watershed | | Payment to VGs | |
| Implementation Fund | | Payment Against Administrative fund | |
| Vulnerable Group Fund | | | |
| Administrative fund | | | |
| Beneficiary Contribution Cash | | | |
| Interest Received | | Closing Balance | |
| Total | | Total | |

Account Assistant

Gram Pradhan

UTTARAKHAND DECENTRALISED WATERSHED DEVELOPMENT PROJECT PHASE-II
Integrated Activity Register

F-3

Gram Panchayat : _____
 Financial Year : _____
 Name of Activity : _____

Folio - 1

| Sr. No | Details of Sanction | | | | | | No. of Units | MoU | | Period | | Amount Spent | | | | Asset No & Ledger Folio | |
|--------|---------------------|----|-----------------------|---------------|--------------------------|-------|--------------|------|-----|---------------|--------------------|---|--------------------------|------------------|---------------|-------------------------|---------------|
| | Date | No | Sanctioning Authority | Amount | | | | Date | No. | Date of Start | Date of Completion | Total Amount Spent (as per details given below) | Beneficiary Contribution | | Total | | |
| | | | | Project Share | Beneficiary Contribution | Total | | | | | | | Cash | Labour/ Material | Excluding B.C | | Including B.C |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16=13-14 | 17=13+15 | 18 |
| | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |

Details of Amount Spent on the Activity

| Name of the Month | Activity 1 | | | Activity 2 | | | Activity 3 | | | | | |
|-------------------|------------|-----------------|------|-------------------|--------|-----------------|------------|-------------------|--------|-----------------|------|-------------------|
| | Amount | Voucher details | | Cash Book Page No | Amount | Voucher details | | Cash Book Page No | Amount | Voucher details | | Cash Book Page No |
| | | No. | Date | | | No. | Date | | | No. | Date | |
| April | | | | | | | | | | | | |
| May | | | | | | | | | | | | |
| June | | | | | | | | | | | | |
| July | | | | | | | | | | | | |
| August | | | | | | | | | | | | |
| September | | | | | | | | | | | | |
| October | | | | | | | | | | | | |
| November | | | | | | | | | | | | |
| December | | | | | | | | | | | | |
| January | | | | | | | | | | | | |
| February | | | | | | | | | | | | |
| March | | | | | | | | | | | | |
| Total | | | | | | | | | | | | |

Account Assistant

Gram Pradhan

GRAM PANCHAYAT.....

BENEFICIARY CONTRIBUTION REGISTER

| | |
|---|-------------------------|
| <p>Location :</p> <p>Activity :</p> | <p>Folio No:</p> |
|---|-------------------------|

| Sr. No | Name of Contributory | Date/ Receipt No | Sanction No. | Contribution | | | Total (Rs) | Remarks |
|--------|----------------------|------------------|--------------|--------------|----------------------|----------------|------------|---------|
| | | | | Cash (Rs) | Labour Charges (Rs.) | Materials (Rs) | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | Monthly Total | | | | | | | |
| | Cumulative Total | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |

Account Assistant

Gram Pradhan

FORMAT FOR TECHNICAL SANCTION FOR EACH ACTIVITY

Gram Panchayat _____

Revenue Village _____

Technical Sanction

Activity Name and Code: _____

Tok and Place of Work: _____

Sanction No./ Year : _____

Summary of Estimated Expenditure, Sub-activity wise

| S.No | Items Under Activity | Unit of Measurement | Units | Rate per Unit | Total Cost |
|--------------|----------------------|---------------------|-------|---------------|------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Total | | | | | |

Beneficiary contribution: _____

Project Share: _____

Total: _____

Sanctioning Authority

Name:

Signature:

Date:

RUNNING BILL CUM CERTIFICATE OF WORK DONE

GRAM PANCHAYAT _____

REVENUE VILLAGE _____

Performa of Running Bill

| | | | |
|------------------------|-------|---------------------------|-------|
| Activity and Code: | | Cash Book Item No./ Month | |
| Tok and Place of Work: | | Date of bill Preparation: | |
| Date of start: | | Page No. of MB | |
| Implementer: | | Bill prepared by : | |
| Sanction No. | | Sanction Amount : | |

| S.No | Description of items Under Activity | Unit of measurement | Quantity as per Estimate | Quantity measured | Unit Cost as per Estimate (In Rs.) | Amount (Rs.) |
|------|-------------------------------------|---------------------|--------------------------|-------------------|------------------------------------|--------------|
| 1 | 3 | 4 | 5 | 6 | 7 | 8=6*7 |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | TOTAL | | | | |

Total Amount to be paid: (80% of above)
 Less: Amount already paid(as per previous bill):

Rs.: _____
 Rs.: _____

 Rs. _____

To be paid

Gram Pradhan

Implementer

CERTIFICATE OF WORK DONE

Certified that the quantum of work done has been verified with on-site inspection and the bill prepared is as per the work done. The (Implementer)____ has executed the work in accordance with the approved plans and the technical specification of the work and items purchased are as per approved plans.

Technical Representative of MDT

Unit Officer

Representative of RVC

Name -

Page no. of MB -

FINAL BILL CUM COMPLETION OF WORK CERTIFICATE

GRAM PANCHAYAT _____

REVENUE VILLAGE _____

Performa of Final Bill

| | | | |
|----------------------------|-------|--|-------|
| Activity and Code: | | Cash Book Item No/Month | |
| Tok and Place of Work: | | Sanction No. | |
| Implementer | | Sanctioned Project Share | |
| Date of start: | | Sanctioned Beneficiary Contribution | |
| Date of completion : | | Sanctioned Units/ Physical Measurement | |
| Date of bill Preparation : | | | |

| S.No. | Description of items Under Activity | Unit of Measurement | Physical Units as per Estimate | Physical Measurement as per MB | Unit rate as per estimate (In Rs.) | Amount (Rs.) |
|-------|-------------------------------------|---------------------|--------------------------------|--------------------------------|------------------------------------|--------------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | TOTAL | | |

Total Amount of work: Rs.: _____
Less: Beneficiary Contribution(____%) Rs.: _____
Less: Amount already paid(as per previous bills): Rs.: _____

To be paid Rs.: _____

Gram Pradhan

Account Assistant

Implementer

CERTIFICATE FOR COMPLETED WORK

Certified that:

- (i) The works (specify the type or work) _____ under UDWDP Phase-II at _____ site under _____ G.P have been executed in accordance with approved plans.
- (ii) There are no defects in the work done by the Executor.
- (iii) Technical specifications of work done and items purchased is as per requirements of the Project.

Technical Representative of MDT

Unit Officer

Representative of RVC

Name -

Page no. of MB -

Date-

FORMAT FOR APPLICATION UNDER VULNERABLE GROUP FUND

1. Name of individual/Group:-
2. Date of Formation (for group only):-
3. No. of members (for group only):-
4. Total Amount of Group/Individual Fund as per proposed project:-

PROPOSAL FOR VGF ASSISTANCE-

1. Name of Proposed IGA:-
2. Working Capital required:-
3. MDT Appraisal (as per Technical, Financial and ESMF feasibility):-
4. RVC Recommendation:-
5. WWMC Recommendation:-

(Please attach copy of IGA proposal along with this application)

14. Availability of Fuel and Fodder

| | | |
|------------------------|-------------------|----------|
| 14.1 Sources of Fuel - | Sources | Period * |
| | Forest | - |
| | LPG | - |
| | Biogas | - |
| | Kerosene Stove | - |
| | Solar Energy | - |
| | Agriculture waste | - |
| | Others | - |

* Period Fuel available for - 3 months/6 months/9 months/whole year

| | | |
|--------------------------|---------------------------|-----------------|
| 14.2 Sources of Fodder - | <u>Sources</u> | <u>Period *</u> |
| | Agriculture land - | |
| | Pasture land | - |
| | Forests | - |

* Period Fuel available for - 3 months/6 months/9 months/whole year

15. Road Accessibility and Market availability: Name of market and the distance in Km. - Kuccha Road, Metalled Road, Bridle and Mule Track etc.

16. Revenue Villagewise Socio-economic Status of Households

| | |
|---------------|-------------------|
| Income Groups | No. of Households |
| 1. Poor - | |
| 2. Medium - | |
| 3. Upper - | |

(Through PRA Exercise)

17. Need Assessment through PRA Plans

18. Identified activities for Watershed Development

19. Planning for water source sustainability in GP

20. Vulnerable Group Plan :

21. Phasing of Activities (Physical and Financial)

| Activity | Unit | Unit Cost | I yr | | II yr | | III yr | | IV yr | | Total | |
|----------|------|-----------|------|-----|-------|-----|--------|-----|-------|-----|-------|-----|
| | | | Phy | Fin | Phy | Fin | Phy | Fin | Phy | Fin | Phy | Fin |
| | | | | | | | | | | | | |

22. MoU for Cost Sharing and Maintenance of Assets should be enclosed in GPWDP Phase-II

APPRAISAL COVER SHEET FOR GPWDP

Undertaking of compliance to ESMF Guidelines and Financial Rules in the GPWDP of Gram Panchayat....., of Development Block....., District.....

That I have undergone training under the UDWDP Phase-II regarding the contents and guiding principles of the Project. That I understand the Guidelines and Rules of the Project. That after consultation with the constituent Revenue village Committee(s) of the Gram Panchayat this Plan has been approved in the Gram Sabha on the date.....

I have verified the contents of the GPWDP and to the best of my knowledge I am assured that all Proposals in the GPWDP are not in contravention of the ESMF Guidelines and the Financial and Procurement Rules of the UDWDP Phase-II.

Signed on this day.....

Signature and Name of the Gram Pradhan

Signature and Name of the nominated member of Water and Watershed Management Committee of Gram Panchayat

Signature and Name of member of MDT Team ofUnit,Division of UDWDP Phase-II.

GRAM PANCHAYAT _____

Activity wise Monthly Abstract of Expenditure and Beneficiary Contribution

Report for the Month of.....

(Amount in Rupees)

| S.No. | Activity | Activity Code | Expenditure as per Integrated Activity Register | | | Beneficiary Contribution | | | | |
|-------|----------|---------------|---|------------------|---------------------|--------------------------|------------------|--------|----------|-----------------|
| | | | Up to the Previous Month | During the Month | At end of the Month | Opening Balance | During the Month | | | Closing Balance |
| | | | | | | | Cash | Labour | Material | |
| 1 | 2 | 3 | 4 | 5 | 6=4+5 | 7 | 8 | 9 | 10 | 11=7+8+9+10 |
| | | | | | | | | | | |
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Summary

| | | Implementation Fund | Vulnerable Group Fund |
|---|---|---------------------|-----------------------|
| a | Opening Bank Balance | | |
| b | Amounts received as reimbursement during the month from Project | | |
| c | Additional advance released during the month | | |
| d | Beneficiary Contribution received in Cash during Month(Col 8) | | |
| e | Expenditure during the month (as per column 5) | | |
| f | Closing Balance (a+b+c+d-e) | | |
| g | Amount for reimbursement (e-c-d) | | |

UTTARAKHAND DECENTRALISED WATERSHED DEVELOPMENT PROJECT PHASE-II

R-2

GRAM PANCHAYAT _____

Cumulative Activity wise Monthly Progress Reporting

Report for the Month ended.....

(Amount in Rupees)

| S. No. | Activity | Code | Sanctioned Detail of the Activity (Project wise) | | | | Completed works as per Integrated Activity Register(IAR) | | Total Expenditure as per IAR | Cumulative Beneficiary Contribution Cash | Project Share | Cumulative Beneficiary Contribution from Beneficiary Contribution Register | | Work-in-Progress | |
|---------------|-------------------------------|-------|--|-----------|----|----|--|-----------------------|------------------------------|--|---------------|--|----------|------------------|---------------|
| | | | Physical Units | Financial | | | Physical Units | Amount (Including BC) | | | | Labour | Material | Physical Units | Amount |
| Project Share | Beneficiary Contribution (BC) | Total | | 12=10-11 | 13 | 14 | | | 15=4-8 | 16=10+13+14-9 | | | | | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12=10-11 | 13 | 14 | 15=4-8 | 16=10+13+14-9 |
| | | | | | | | | | | | | | | | |
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Village in-charge

Account Assistant

Gram Pradhan

Note- Column no. 10 of this format must tally with column no. 6 of R-1.

E-5

**PROCUREMENT OF GOODS
UNDER
NATIONAL SHOPPING PROCEDURES**

*(For Contracts valued less than the
equivalent of US \$30,000 each)*

**INVITATION FOR QUOTATIONS FOR SUPPLY OF
GOODS UNDER NATIONAL SHOPPING PROCEDURES**

To

Dear Sirs,

Sub : INVITATION FOR QUOTATIONS FOR SUPPLY OF

1. You are invited to submit your most competitive quotation for the following goods:-

| Brief Description of the Goods | Specifications* | Quantity | Delivery Period | Place of Delivery | Installation Requirement if any |
|-----------------------------------|-----------------|----------|--------------------|----------------------|---------------------------------------|
|-----------------------------------|-----------------|----------|--------------------|----------------------|---------------------------------------|

** Where ISI certification marked goods are available in market, procurement should generally be limited to goods with those or equivalent marking only.*

2. Government of India has received a credit from the International Development Association (IDA) in various currencies equivalent to US\$ _____ towards the cost of the _____ Project and intends to apply part of the proceeds of this credit to eligible payments under the contract for which this invitation for quotations is issued.

3. **Bid Price**

- a) The contract shall be for the full quantity as described above. Corrections, if any, shall be made by crossing out, initialing, dating and re writing.
- b) All duties, taxes and other levies payable on the raw materials and components shall be included in the total price.
- c) Sales tax in connection with the sale shall be shown separately.
- d) The rates quoted by the bidder shall be fixed for the duration of the contract and shall not be subject to adjustment on any account.
- e) The Prices shall be quoted in Indian Rupees only.

4. Each bidder shall submit only one quotation.

5. **Validity of Quotation**

Quotation shall remain valid for a period not less than 15 days after the deadline date specified for submission.

6. **Evaluation of Quotations**

The Purchaser will evaluate and compare the quotations determined to be substantially responsive i.e. which

- (a) are properly signed ; and
- (b) conform to the terms and conditions, and specifications.

The Quotations would be evaluated for all the item together/would be evaluated separately for each item. *[Select one of the options]*.

Sales tax in connection with sale of goods shall not be taken into account in evaluation.

7. **Award of contract**

The Purchaser will award the contract to the bidder whose quotation has been determined to be substantially responsive and who has offered the lowest evaluated quotation price.

7.1 Notwithstanding the above, the Purchaser reserves the right to accept or reject any quotations and to cancel the bidding process and reject all quotations at any time prior to the award of contract.

7.2 The bidder whose bid is accepted will be notified of the award of contract by the Purchaser prior to expiration of the quotation validity period. The terms of the accepted offer shall be incorporated in the supply order (sample form attached).

8. Payment shall be made immediately after delivery of the goods.

9. Normal commercial warranty/ guarantee shall be applicable to the supplied goods.

10. You are requested to provide your offer latest byhours on(date).

11. We look forward to receiving your quotations and thank you for your interest in this project.

(Purchaser)

Name:

Address:

.....

Tel. No.

Fax No.

FORMAT OF QUOTATION *

| Sl. No. | Description Goods | Specifications | Qty. | Unit | Quoted Unit Rate in Rs. | Total Amount | |
|---------|-------------------|----------------|------|------|-------------------------|--------------|----------|
| | | | | | | In Figures | In Words |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | TOTAL | | | | | | |
| | Sales Tax | | | | | | |

Gross Total Cost : Rs.

We agree to supply the above goods in accordance with the technical specifications for a total contract price of Rs.(amount in figures) (Rs. amount in words) within the period specified in the Invitation for Quotations.

We also confirm that the normal commercial warrantee/guarantee of months shall apply to the offered goods.

We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf will engage in bribery.

Signature of Supplier

* *Applicable while the bids are being invited for more than one item and would be evaluated for all the items together. Modify where evaluation would be made for each item separately.*

OFFICE OF
.....

SUPPLY ORDER

To:

M/s
.....
.....
.....
.....

Dear Sirs,

Sub: Supply of
.....

Ref Your quotation no..... dated

- Your quotation no.....of(Date) for the supply of **has been accepted. You are requested to supply** the following goods/equipment at the rates quoted by you and specified against each as per the specifications and terms & conditions specified hereunder:

| SL.No | Brief description of goods/equipment | Specifications | Quantity to be supplied | Unit Rate (Rs.) | Total Price (Rs.) |
|-------|--------------------------------------|----------------|-------------------------|-----------------|-------------------|
| 1 | | | | | |
| 2 | | | | | |
| 3 | | | | | |
| 4 | | | | | |
| 5 | | | | | |
| | | | Total | | |

Vat/Sales Tax will be extra

- Delivery Period:days from the date of issue of this supply order.
- Place of delivery
- Consignee Address:
- Vat/Sales tax if any will be paid at actual prevailing on the date of supply.

6. Standard Manufactures commercial Warranty/Guarantee shall be..... months from the date of delivery and acceptance.
7. Payment shall be made within 15 days of delivery; and acceptance of the goods/equipment.
8. Other terms and conditions are as under:

(Purchaser)

Date:

Place:

Name:

Designation:.....

Modified as appropriate for individual cases

NR/ls Wednesday, April 30, 2008
m:\pdat\sbd\eqpt\e5-nsp\e-5.doc

W-5

**PROCUREMENT OF CIVIL WORKS
UNDER
NATIONAL SHOPPING PROCEDURES**

(For Works valued less than equivalent of \$ 30,000 each)

**INVITATION FOR QUOTATIONS FOR CONSTRUCTION OF
CIVIL WORKS UNDER SHOPPING PROCEDURES**

To

Dear Sirs,

Sub : INVITATION FOR QUOTATIONS FOR CONSTRUCTION OF

1. You are invited to submit your most competitive quotation for the following works:-

| Brief Description of the Works | Approximate value of Works (Rs.) | Period of Completion |
|-----------------------------------|-------------------------------------|-------------------------|
|-----------------------------------|-------------------------------------|-------------------------|

2. Government of India has received a credit from the IBRD/International Development Association (IDA) in various currencies equivalent to US\$ _____ towards the cost of the _____ Project and intends to apply part of the proceeds of this credit to eligible payments under the contract for which this invitation for quotations is issued.

- 3¹. The _____ Project in _____ state is being implemented by _____, which is an autonomous society registered under the Societies Registration Act.

4. To assist you in the preparation of your quotation, we are enclosing the following :

- i. Layout Drawings of the works;
- ii. Structural Details;
- iii. Detailed Bill of Quantities, with estimated rates and prices;
- iv. Technical Specifications;
- v. Instructions to Bidders (in two sections).
- vi. Draft Contract Agreement format which will be used for finalizing the agreement for this Contract.

5. You are requested to provide your offer latest by hrs. on
.....

¹ Delete if inapplicable

6. Quotations will be opened in the presence of Bidders or their representatives who choose to attend at _____ AM/PM on _____ in the office of _____.
7. We look forward to receiving your quotations and thank you for your interest in this project.

(Employer)

Name: _____

Address: _____

Tel. No: _____

Fax No. _____

Instructions to Bidders

SECTION - A

1. Scope of Works

The _____ (Employer) invites quotations for the construction of works as detailed in the table given below

| Brief Description of the Works | Approximate value of Works (Rs.) | Period of Completion |
|-----------------------------------|-------------------------------------|-------------------------|
|-----------------------------------|-------------------------------------|-------------------------|

The successful bidder will be expected to complete the works by the intended completion date specified above.

2. **Qualification of the bidder** : The bidder shall provide qualification information which shall include :-

- (a) total monetary value of construction works performed for each year of the last 3 years :
- (b) Report on his financial standing; and
- (c) Details of any litigation, current or during the last 3 years in which the bidder is involved, the parties concerned and disputed amount in each case.

3. To qualify for award of the contract the bidder:-

- (a) should have satisfactorily completed as a prime contractor at least one similar work of value not less than Rs. 500,000 in the last three years;
- (b) should possess valid electrical license for executing building electrification works (in the event of the works being sub - contracted, the sub-contractor should have the necessary license);

- (c) should possess required valid license for executing the water supply/sanitary works (in the event of the works being sub-contracted, the sub-contractor should have the necessary license);

4. Bid Price

- a) The contract shall be for the whole works as described in the Bill of quantities, drawings and technical specifications. Corrections, if any, shall be made by crossing out, initialling, dating and re writing.
- b) All duties, taxes and other levies payable by the contractor under the contract shall be included in the total price.
- c) The rates quoted by the bidder shall be fixed for the duration of the contract and shall not be subject to adjustment on any account.
- d) The rates should be quoted in Indian Rupees only.

5. Submission of Quotations

5.1 The bidder is advised to visit the site of works at his own expense and obtain all information that may be necessary for preparing the quotation.

5.2 Each bidder shall submit only one quotation.

5.3 The quotation submitted by the bidder shall comprise the following :-

- (a) Quotation in the format given in Section **B**.
- (b) Signed Bill of Quantities ; and
- (c) Qualification information form given in Section B duly completed.

5.4 The bidder shall seal the quotation in an envelope addressed to the (Purchaser). The envelope will also bear the following identification :-

- Quotation for _____ (Name of the Contract)
- Do not open before _____ (time and date of quotation opening).

5.5 Quotations must be received in the office of the ----- (Employer) not later than the time and date given in the letter of invitation . If the specified date is declared a holiday, quotations shall be received upto the appointed time on the next working day.

5.6 Any quotation received by the, (Employer) after the deadline for submission of quotations will be rejected and returned unopened to the bidder.

6. Validity of Quotation

Quotation shall remain valid for a period not less than 45 days after the deadline date specified for submission.

7. Opening of Quotations

Quotations will be opened in the presence of bidders or their representatives who choose to attend on the date and time and at the place specified in the letter of invitation.

8. Information relating to evaluation of quotations and recommendations for the award of contract shall not be disclosed to bidders or any other persons not officially concerned with the process until the award to the successful bidder is announced.

9. Evaluation of Quotations

The Employer will evaluate and compare the quotations determined to be substantially responsive i.e. which

- (a) meet the qualification criteria specified in clause 3 above;
- (b) are properly signed ; and
- (c) conform to the terms and conditions, specifications and drawings without material deviations.

10. Award of contract

The Employer will award the contract to the bidder whose quotation has been determined to be substantially responsive and who has offered the lowest evaluated quotation price and who meets the specified qualification criteria.

10.1 Notwithstanding the above, the Employer reserves the right to accept or reject any quotations and to cancel the bidding process and reject all quotations at any time prior to the award of contract.

10.2 The bidder whose bid is accepted will be notified of the award of contract by the Employer prior to expiration of the quotation validity period.

11. Performance Security

Within 15 days of receiving letter of acceptance, the successful bidder shall deliver to the (Employer) the performance security (either a bank guarantee or a bank draft in favour of the Employer) for an amount equivalent of 3 % of the contract price. The Performance Security shall be valid till the expiry of the period of maintenance of the work, specified in clause 12.

12. Period of Maintenance :

The “Period of Maintenance” for the work is six months from the date of taking over possession or one full monsoon season whichever occurs later. During the period of maintenance, the contractor will be responsible for rectifying any defects in construction free of cost to the Employer.

- 13.** Purchase of all construction materials including cement and steel as per the specifications (ISI certification marked goods wherever available) shall be the responsibility of the contractor.

14. Fraud and Corruption

The Bank requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Annexure-3.

In further pursuance of this policy, Contractor shall permit and shall cause its agents, Experts, Sub-consultants, sub-contractors, services providers, or suppliers to permit the Bank to inspect all accounts, records, and other documents relating to the submission of the Proposal and contract performance (in case of an award), and to have them audited by auditors appointed by the Bank.

.....

SECTION - B

- 1. Format for Qualification Information.**
- 2. Format for Submission of Quotation.**
- 3. Format of Letter of Acceptance.**

QUALIFICATION INFORMATION

1 For Individual Bidders

1.1 Principal place of business: _____

Power of attorney of signatory of Quotation.
[Attach copy]

1.2 Total value of Civil Engineering construction work performed in the last three years (in Rs. Lakhs)

| | | |
|--|------|-------|
| | 19__ | _____ |
| | 19__ | _____ |
| | 19__ | _____ |

1.3 Work performed as prime contractor (in the same name) on works of a similar nature over the last three years.

| <u>Project Name</u> | <u>Name of Employer</u> | <u>Descrip- tion of work</u> | <u>Contract No.</u> | <u>Value of contract (Rs.Lakhs)</u> | <u>Date of issue of work order</u> | <u>Stipulated period of comple- tion</u> | <u>Actual date of comple- -tion</u> | <u>Remarks explaining reasons for delay and work completed</u> |
|---------------------|-------------------------|--------------------------------------|---------------------|-------------------------------------|------------------------------------|--|---|--|
|---------------------|-------------------------|--------------------------------------|---------------------|-------------------------------------|------------------------------------|--|---|--|

Existing commitments and on-going works:

| Description of Work | Place & State | Contract No. & Date | Value of Contract (Rs. Lakh) | Stipulated period of completion | Value of works* remaining to be completed (Rs. Lakhs) | Anticipated date of completion |
|---------------------|---------------|---------------------|------------------------------|---------------------------------|---|--------------------------------|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) |

* Enclose a certificate from Engineer concerned.

1.4 Proposed subcontracts and firms involved.

| Sections of the works | Value of Sub-contract | Sub-contractor (name & address) | Experience in similar work |
|-----------------------|-----------------------|---------------------------------|----------------------------|
| * | * | * | * |
| * | * | * | * |
| * | * | * | * |
| * | * | * | * |

1.5 Evidence of access to financial resources to meet the requirements of working capital : cash in hand, lines of credit, etc. List them below and attach copies of support documents.

1.6 Name, address, and telephone, telex, and fax numbers of the Bidders' bankers who may provide references if contacted by the Employer.

1.7 Information on litigation history in which the Bidder is involved.

| Other party(ies) | Employer | Cause of dispute | Amount involved | Remarks showing present status |
|------------------|----------|------------------|-----------------|--------------------------------|
| | | | | |

QUOTATION

*

Description of the Works :

To:

Subject : Construction of
.....

Reference : Letter No.....dated.....from.....

Sir,

We offer to execute the Works described in your letter referred to above in accordance with the Conditions of Contract enclosed therewith at percentage above / below the estimated rates, i.e., for a total Contract Price of -

Rs.** _____ [in figures]

Rs. _____ [in words].

This quotation and your written acceptance of it shall constitute a binding contract between us. We understand that you are not bound to accept the lowest or any quotation you receive.

We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf will engage in bribery.

We hereby confirm that this quotation is valid for 45 days as required in Clause 6 of the Instructions to Bidders.

We have not been debarred/removed from approved lists/(dealings suspended) by the Central/State Governments or by the World Bank.

Yours faithfully,

Authorized Signature : _____ Date: _____

Name & Title of Signatory : _____

Name of Bidder : _____

Address : _____

* To be filled in by the Employer before issue of the Letter of Invitation.

** To be filled in by the Bidder, together with his particulars and date of submission at the bottom of this Form.

**LETTER OF ACCEPTANCE
CUM NOTICE TO PROCEED WITH THE WORK**

(LETTERHEAD OF THE EMPLOYER)

Dated : _____

To : _____ [Name and address of the Contractor]

Dear Sirs,

This is to notify you that your Quotation dated _____ for execution of the _____ for the contract price of Rupees _____ [amount in words and figures], is hereby accepted by us.

You are hereby requested to furnish performance security for an amount of Rs. _____ (equivalent to 3% of the contract price) within 15 days of the receipt of the letter. The Performance Security in the form of Bank guarantee or a Bank draft in favour of(Employer) shall be valid till the expiry of the period of maintenance i.e. upto _____. Failure to furnish the Performance Security will entail cancellation of the award of contract.

You are also requested to sign the agreement form and proceed with the work not later than _____ under the instructions of the Engineer, _____ and ensure its completion within the contract period.

With the issuance of this acceptance letter and your furnishing the Performance Security, contract for the above said work stands concluded.

Yours faithfully,

**Authorized Signature
Name and title of Signatory**

Draft Agreement form for Construction through National Shopping

ARTICLES OF AGREEMENT

This deed of agreement is made in the form of agreement on _____ day _____ month _____ 199 ____, between the _____ (Employer) or his authorized representative (hereinafter referred to as the first party) and _____ (Name of the Contractor), S/O _____ resident of _____ (hereinafter referred to as the second party), to execute the work of construction of _____ (hereinafter referred to as works) on the following terms and conditions.

2. Cost of the Contract

The total cost of the works (hereinafter referred to as the “total cost”) is Rs. ____ as reflected in Annexure - 1.

3.1 Payments under its contract:

Payments to the second party for the construction work will be released by the first party in the following manner :-

| | | |
|--|---|-----------------------|
| On signing of agreement | : | 25% of total cost |
| On reaching plinth level (first stage) | : | 25% of the total cost |
| On reaching lintel level (second stage) | : | 25% of the total cost |
| On reaching roof level (third stage) | : | 15% of the total cost |
| Plastering and completion of whole work (fourth stage) | : | 10% of the total cost |

(The above has been drafted for construction of school buildings; modify this suitably for other works)

3.2 Payments at each stage will be made by the first party :

- (a) on the second party submitting an invoice for an equivalent amount ;
- (b) on certification of the invoice (except for the first installment) by the engineer nominated by the first party with respect to quality of works in the format in Annexure - 2; and
- (c) upon proper and justified utilization of at least 50 % of the previous installment and 100 % of any prior installment.

4. Notice by Contractor to Engineer

The second party, on the works reaching each stage of construction, issue a notice to the first party or the Engineer nominated by the first party (who is responsible for supervising the contractor, administering the contract, certifying the payments due to the contractor, issuing and valuing variations to the contract, awarding extensions of time etc.), to visit the site for certification of stage completion. Within 15 days of the receipt of such notice, the first party or the engineer nominated by it, will ensure issue of stage completion certificate after due verification.

5. Completion time

The works should be completed in _____ (months/weeks/days) from the date of this Agreement. In exceptional circumstances, the time period stated in this clause may be extended in writing by mutual consent of both the parties.

6. If any of the compensation events mentioned below would prevent the work being completed by the intended completion date, the first party will decide on the intended completion date being extended by a suitable period :

- a) The first party does not give access to the site or a part thereof by the agreed period.
- b) The first party orders a delay or does not issue completed drawings, specifications or instructions for execution of the work on time.
- c) Ground conditions are substantially more adverse than could reasonably have been assumed before issue of letter of acceptance and from information provided to second party or from visual inspection of the site.
- d) Payments due to the second party are delayed without reason.
- e) Certification for stage completion of the work is delayed unreasonably.

7. Any willful delay on the part of the second party in completing the construction within the stipulated period will render him liable to pay liquidated damages. @ Rs. * _____ per day which will be deducted from payments due to him. The first party may cancel the contract and take recourse to such other action as deemed appropriate once the total amount of liquidated damages exceeds 2 % of the contract amount.

(Note: The amount of liquidated damages per day should be determined at not less than 0.05 % of the contract value of the works and indicated here).

8. Duties and responsibilities of the first party

- 8.1** The first party shall be responsible for providing regular and frequent supervision and guidance to the second party for carrying out the works as per specifications. This will include written guidelines and regular site visit of the authorized personnel of the first party, for checking quality of material and construction to ensure that it is as per the norms.
- 8.2** The first party shall supply 3 sets of drawings, specifications and guidelines to the second party for the proposed works.
- 8.3** Possession of the site will be handed over to the second party within 10 days of signing of the agreement.
- 8.4** The Engineer or such other person as may be authorized by the first party shall hold meeting once in a month where the second party or his representative at site will submit the latest information including progress report and difficulties if any, in the execution of the work. The whole team may jointly inspect the site on a particular day to take stock of activities.
- 8.5** The Engineer shall record his observations/instructions at the time of his site visit in a site register maintained by the second party. The second party will carry out the instructions and promptly rectify any deviations pointed out by the engineer. If the deviations are not rectified, within the time specified in the Engineer's notice, the first party as well as the engineer nominated by it, may instruct stoppage or suspension of the construction. It shall thereupon be open to the first party or the engineer to have the deviations rectified at the cost of the second party.

9. Duties and responsibilities of the second party

- 9.1** The second party shall :
- a) take up the works and arrange for its completion within the time period stipulated in clause 5;
 - b) employ suitable skilled persons to carry out the works ;
 - c) regularly supervise and monitor the progress of work ;
 - d) abide by the technical suggestions / direction of supervisory personnel including engineers etc. regarding building construction ;
 - e) be responsible for bringing any discrepancy to the notice of the representative of the first party and seek necessary clarification :

- f) ensure that the work is carried out in accordance with specifications, drawings and within the total of the contract amount without any cost escalation ;
 - g) keep the first party informed about the progress of work ;
 - h) be responsible for all security and watch and ward arrangements at site till handing over of the building to the first party ; and
 - i) maintain necessary insurance against loss of materials/cash, etc. or workman disability compensation claims of the personnel deployed on the works as well as third party claims.
- f) Pay all duties, taxes and other levies payable by construction agencies as per law under the contract (First party will effect deduction from running bills in respect of such taxes as may be imposed under the law).

10. Variations / Extra Items

The works shall be carried out by the second party in accordance with the approved drawings and specifications. However, if, on account of site conditions or any other factors, variations are considered necessary, the following procedure shall be followed:-

- a) The second party shall provide the Engineer with a quotation for carrying out the Variation when requested to do so by the Engineer. The Engineer shall assess the quotation, which shall be given within seven days of the request before the Variation is ordered.
- b) If the quotation given by the second party is unreasonable, the Engineer may order the Variation and make a change to the Contract Price which shall be based on Engineer's own forecast of the effects of the Variation on the Contractor's costs.
- c) The second party shall not be entitled to additional payment for costs which could have been avoided by giving early warning.

11. Securities

The Performance Security shall be provided to the Employer no later than the date specified in the Letter of Acceptance and shall be issued in an amount and form and by a bank or surety acceptable to the Employer. The Performance Security shall be valid until a date 28 days from the date of issue of the Certificate of Completion in the case of a Bank Guarantee.

12. Termination

- 12.1 The Employer may terminate the Contract if the other party causes a fundamental breach of the Contract.

- 12.2 Fundamental breaches of Contract include, but shall not be limited to the following:
- (a) the contractor stops work for 28 days and the stoppage has not been authorized by the Engineer;
 - (b) the Contractor has become bankrupt or goes into liquidation other than for a reconstruction or amalgamation;
 - (c) the Engineer gives Notice that failure to correct a particular Defect is a fundamental breach of Contract and the Contractor fails to correct it within a reasonable period of time determined by the Engineer;
 - (d) the Contractor does not maintain a security which is required;
- 12.3 Notwithstanding the above, the Employer may terminate the Contract for convenience.
- 12.4 If the Contract is terminated the Contractor shall stop work immediately, make the Site safe and secure and leave the Site as soon as reasonably possible.

13. Payment upon Termination

- 13.1 If the Contract is terminated because of a fundamental breach of Contract by the Contractor, the Engineer shall issue a certificate for the value of the work done less advance payments received up to the date of the issue of the certificate, less other recoveries due in terms of the contract, less taxes due to be deducted at source as per applicable law.
- 13.2 If the Contract is terminated at the Employer's convenience, the Engineer shall issue a certificate for the value of the work done, the reasonable cost of removal of Equipment, repatriation of the Contractor's personnel employed solely on the Works, and the Contractor's costs of protecting and securing the Works and less advance payments received up to the date of the certificate, less other recoveries due in terms of the contract and less taxes due to be deducted at source as per applicable law.

14. Dispute settlement

If over the works, any dispute arises between the two parties, relating to any aspects of this Agreement, the parties shall first attempt to settle the dispute through mutual and amicable consultation.

In the event of agreement not being reached, the matter will be referred for arbitration by a Sole Arbitrator not below the level of retired Superintending Engineer, PWD to

be appointed by the first party. The Arbitration will be conducted in accordance with the Arbitration and Conciliation Act, 1996. The decision of the Arbitrator shall be final and binding on both the parties.

13. Fraud and Corruption :

It is the Bank's policy to require that Borrowers (including beneficiaries of Bank loans), contractors, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. The Contract would be subject to Fraud and Corruption as attached in Annexure-3.

14 Right to Audit

The Contractor shall keep, and shall make all reasonable efforts to cause its Sub-contractors to keep, accurate and systematic accounts and records in respect of the Works in such form and detail as will clearly identify relevant time changes and costs.

The Contractor shall permit and shall cause its Sub-contractors to permit, the Bank and/or persons appointed by the Bank to inspect the Site and/or all accounts and records relating to the performance of the Contract and the submission of the Bid, and to have such accounts and records audited by auditors appointed by the Bank if requested by the Bank. The Contractor's attention is drawn to Clause 13 which provides, inter alia, that acts intended to materially impede the exercise of the Bank's inspection and audit rights provided for under this Clause 14 constitute a prohibited practice subject to contract termination (as well as to a determination of ineligibility under the Bank's prevailing sanctions procedures.)

Annexure I

BILL OF QUANTITIES

| Sl.No. | Description of Work | Qty. | Unit | Estimated Cost | | Amount |
|--------|---------------------|------|------|-----------------|----------|--------|
| | | | | In figure (Rs.) | In Words | |
| | | | | | | |

Gross Total Cost : Rs.

We agree to execute the works in accordance with the approved drawings and technical specifications at percentage above/below the estimated rates, i.e., for a total contract price of Rs.(amount in figures) (Rs. amount in words).

Signature of Contractor

Format of certificate

Certified that the works upto ----- level in respect of construction of ----- at ----- have been executed in accordance with the approved drawing and technical specifications.

Signature
Name & Designation
(Official address)

Place :

Date :

Office seal

Bank’s Policy – Corrupt and Fraudulent Practices

(the text in this Annexure-3 shall not be modified)

Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers, dated January 2011:

“Fraud and Corruption

1.23 It is the Bank’s policy to require that Borrowers (including beneficiaries of Bank loans), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Bank-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Bank:

(a) defines, for the purposes of this provision, the terms set forth below as follows:

- (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party²;
- (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation³;
- (iii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party⁴;
- (iv) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party⁵;

² For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

³ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

⁴ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

⁵ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

(v) “obstructive practice” is

- (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or
 - (bb) acts intended to materially impede the exercise of the Bank’s inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare misprocurement and cancel the portion of the Loan allocated to a contract if it determines at any time that representatives of the Borrower or of a recipient of any part of the proceeds of the Loan were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Borrower having taken timely and appropriate action satisfactory to the Bank to address such practices when they occur, including by failing to inform the Bank in a timely manner they knew of the practices;
- (d) will sanction a firm or an individual at any time, in accordance with prevailing Bank’s sanctions procedures⁶, including by publicly declaring such firm or an ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract, and (ii) to be a nominated⁷ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Bank-financed contract.

⁶ A firm or an individual may be declared ineligible to be awarded a Bank-financed contract upon (i) completion of the Bank’s sanctions proceedings as per its sanctions procedures, including inter alia: cross-debarment as agreed with other International Financial Institutions, including Multilateral Development Banks, and through the application of the World Bank Group corporate administrative procurement sanctions procedures for fraud and corruption; and (ii) as a result of temporary suspension or early temporary suspension in connection with an ongoing sanctions proceedings. See footnote 12 and paragraph 8 of Appendix 1 of these Guidelines.

⁷ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant’s proposal for the particular services; or (ii) appointed by the Borrower.

NR/ls Wednesday, April 30, 2008
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