

International Fund for Agricultural Development
Government of Uttarakhand

Integrated Livelihood Support Project

IFAD Loan # 856-IN



PROJECT IMPLEMENTATION MANUAL

VOLUME-1

Central Project Coordinating Unit
in Association with
Uttarakhand Gramya Vikas Samiti
Watershed Management Directorate &
UPASAC
Dehradun
October 2012

**International Fund for Agricultural Development
Government of Uttarakhand**

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Fiscal Year

1 April to 30 March

Currency and Equivalents

Currency Unit	=	Indian Rupee (INR)
May 2011 USD 1.00	=	INR 45.00
Sept 2012 USD 1.00	=	INR 55.00

Units and Conversions

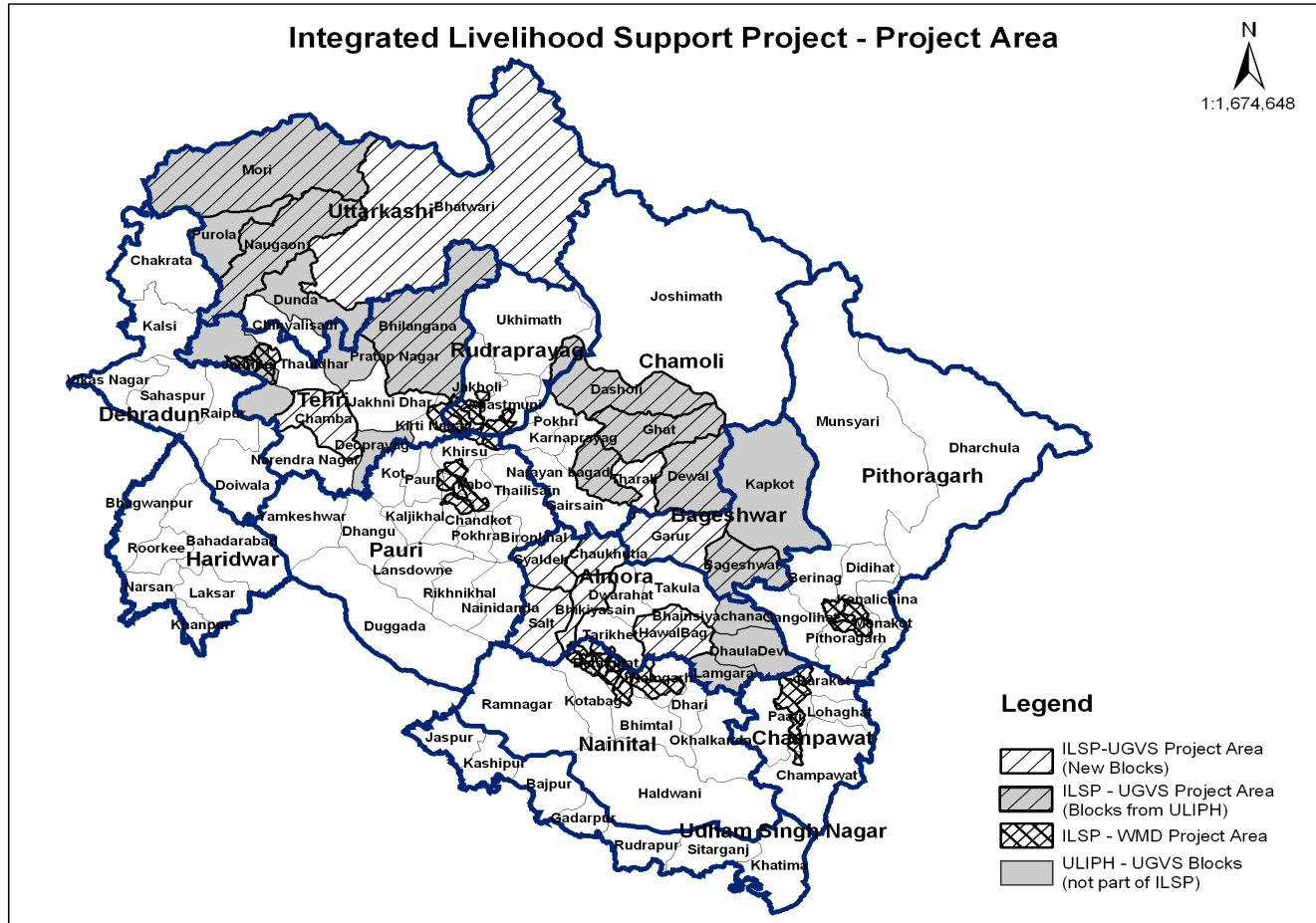
1 kilogram (kg)	=	2.204 pounds (lb)
1 000 kg	=	1 metric tonne (t)
1 quintal	=	100 kg
1 kilometre (km)	=	0.62 miles (mi)
1 metre (m)	=	1.09 yards (yd)
1 square metre (m ²)	=	10.76 square feet (ft ²)
1 acre (ac)	=	0.405 hectare (ha)
1 decimal	=	0.01 acre
1 hectare (ha)	=	2.47 acres
1 Lakh	=	100,000
10 Lakh	=	1 million

Abbreviations, Acronyms and Glossary

AGMARK	Agricultural Marketing Certification Agency
APEDA	Agricultural and Processed Food Products Exports Development Authority
APMC	Agriculture Produce Market Committee
AUP	Agribusiness Up-scaling Plan
AWP/B	Annual Work-Plan / and Budget
BAIF	Bharatiya Agro Industries Foundation (NGO)
BC/BF	Business Correspondent, Business Facilitator
BCR	Benefit cost ratio
BPL	Below Poverty Line
CAMPA	Compensatory Afforestation Fund Management and Planning Authority
CAP	Centre for Aromatic Plants
CEO	Chief Executive Officer
CPCU	Central Project Coordinating Unit
CPD	Chief Project Director
CPM	Country Programme Manager
DSA	Divisional Support Agency
EC	European Commission
EIRR	Economic Internal Rate of Return
FAO	Food and Agriculture Organisation of the United Nations
FGD	Focus Group Discussion
FIG	Farmer Interest Group
FIRR	Financial Internal Rate of Return
FRDC	Forest and Rural Development Commissioner
FM	Financial Management
FNGO	Field NGO
FSIP	Food Security Improvement Plan
FWM	Fresh Whole Milk
FY	Financial/Fiscal Year
GBPUAT	G B Pant University of Agriculture and Technology
GDP	Gross Domestic Product
GC	General Conditions (for IFAD loans and grants)
GIZ	German Development Agency
GoI	Government of India
GoUK	Government of Uttarakhand
GP	Gram Panchayat
GVO	Gross Value of Output
HARC	Himalayan Action Research Centre
HDI	Human Development Index
HH	Household
ICIMOD	International Centre for Integrated Mountain Development
ICO	India Country Office (of IFAD)
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFPRI	International Food Policy Research Institute
IHD	Institute of Human Development
ILRI	International Livestock Research Institute
ILSP	Integrated Livelihoods Support Project
IP	Implementation Partner
ITI	Industrial Training Institute
KAP	Knowledge Attitude Practice
KGFS	Kshetriya Grameen Financial Services
KM	Knowledge Management
LC	Livelihood Collective
MAPs	Medicine and Aromatic Plants
M&E	Monitoring and Evaluation
MIS	Management Information System
MOU	Memorandum of Understanding
MTR	Mid Term Review
MWS	Micro Water Shed
NRLM	National Rural Livelihoods Mission

MSL	Mean sea level
NDDB	National Dairy Development Board
NGO	Non-Government Organisation
NHM	National Horticulture Mission
NPV	Net Present Value
NRLM	National Rural Livelihoods Mission
OSV	Off-season Vegetables
PG	Producer Group
PD	Project Director
PFS	Project Financial Statement
PIA	Project Implementing Agency
PIM	Project Implementation Manual
PMC	Project Management Committee
PME	Participatory M&E
PMU	Project Management Unit
PNGO	Partner NGO
PSC	Project Steering Committee
RED	Regional Economic Development (project supported by GIZ)
RDD	Rural Development Department
RIMS	Results and Impact Monitoring System
SC	Scheduled Castes
SHG	Self Help Group
SOE	Statement of Expenditure
ST	Scheduled Tribes
SVCC	Social Venture Capital Company
TDC	Terai Development Corporation
UDWMP	Uttarakhand Decentralised Watershed Development Project (<i>Gramya</i>)
UGVS	Uttarakhand Gramya Vikas Samiti (<i>Ajeevika</i>)
ULIPH	IFAD-supported Uttarakhand Livelihood Improvement Project for the Himalayas
UOCB	Uttarakhand Organic Commodity Board
UN	United Nations
UPASAC	Uttarakhand Parvthiya Ajeevika Samvardhan Company
UPR	Uttarakhand Procurement Rules
US	United States
USA	United States of America
VG	Vulnerable Group
VP	Van Panchayat (community forest)
VPG	Vulnerable Producer Group
VPKAS	Vivekanand Parvatiya Krishi Anusandhan Shala
WA	Withdrawal Application
WB	World Bank
WFP	World Food Programme
WMD	Watershed Management Directorate
WWMC	Water and Watershed Management Committee

Map of Uttarakhand



ILSP Blocks and Districts



INTRODUCTION

A. Purpose and Contents of PIM

The purpose of this Programme Implementation Manual (PIM) is to assist the staffs of the Project Management Units (CPCU, PMU & DPMU) and PNGOs and other participating agencies, which are responsible for planning, implementation, supervision and monitoring of the ILSP. The PIM will enhance the overall skill and understanding of the PMU and the stakeholders. It is also intended to provide guidance in improving the overall management information systems and M & E processes.

The PIM for the ILSP is presented in TWO VOLUMES: Volume-I PIM for UGVS and UPASAC and Volume –II PIM for the Watershed Management Directorate.

Each Volume has THREE Parts as detailed below.

Part-ONE contains a nutshell of the ILSP start up activities, Project Summary, detailed cost estimates, arrangements for implementation, project management structure, procurement, procurement plan, finance and accounts, monitoring and evaluation and procedures for the preparation of annual work plan and budgets. This Part is therefore, common to both Volumes and all the three PIAs.

Part-TWO deals with summary features of respective individual project components.

Part-THREE contains Guides and Guidelines that are critical for the implementation of the Project

B. Documents Referred

The following documents were consulted in the preparation of the PIM:

- IFAD Appraisal Report and its Working Papers
- IFAD Guidelines for Procurement and Handbook on Procurement 2010
- IFAD Guidelines for Loans and Grants Administration
- Draft PIM-2011
- Project Finance Agreement
- Minutes of Meeting of 16 May 2012
- Notes exchanged between ILSP & ICO

This PIM has been prepared before any project activities are taken for implementation but after loan negotiation. As experience is gained in implementation; the PIM may have to be updated with the support of Government Orders and Regulations and the recommendations of IFAD Supervision missions.

The PIM is a dynamic document. It should be updated as and when changes take place in concept, approach, targets, units and unit costs etc and should be forwarded to IFAD for record but after having had it approved by appropriate authorities.

PART ONE: ILSP IMPLEMENTATION



Chapter-1.1: ILSP Implementation – First Steps

Chapter-1.2: Project Summary

Chapter-1.3: Project Cost Estimates

Chapter-1.4: Project Organisation and Management

Chapter-1.5: Partner Agencies Selection Procedures

Chapter-1.6: Procurement Procedures

Chapter-1.7: Finance Management

Chapter-1.8: Project Monitoring and Evaluation

Chapter-1.9: Preparation of Annual Work Plan and Budget

Chapter-1.1: THE FIRST STEPS

A. Rural Development Department / CPCU

- Facilitate and expedite Government Order with regard to ILSP so as to proceed further by the respective Project Implementing Agencies (PIAs), namely UGVS, WMD and UPASAC
- Set up Project Steering Committee and call for its first meeting and nominate members for the Project Management Committee
- Facilitate setting up of PMC
- Adopt draft PIM and forward it IFAD for record
- Organise start up workshop in Dehradun
- Coordinate functional responsibilities between the PIAs and agree on M&E arrangements, preparation of AWP&Bs, preparation and submission of withdrawal applications to IFAD, arrangements for annual audit etc
- Finalise staff TOR for CPCU, seek PMC approval and proceed with recruitment or deployment
- Ensure that ILSP is included as a budget line in the state budget and seek release of funds from GoUK
- Coordinate the roles and responsibilities of PIAs and seek timely reports from them for further processes

B. Uttarakhand Gramya Vikas Samiti

- Call for a meeting of the BoD of UGVS and amend the byelaws if any in ILSP context. Register the amended byelaws with appropriate authority and provide a copy of the approved byelaws to IFAD.
- Organise and participate in the state level ILSP launch work
- Finalize Personnel Policies and seek the approval of PMC and forward a copy to IFAD.
- Finalize and adopt the Financial Regulations consistent with UPR 2008 and seek PSC approval and forward a copy to IFAD.
- Finalise TOR for the approved list of staff, make arrangements for their recruitment including advertising in regional and local news papers and web sites and deployment using approved procedures and processes
- Finalise RFP on the basis of comments received from IFAD for the recruitment of the services of FNGOs, partner agencies, technical NGOs etc
- Prepare draft AWP&B and seek IFAD comments and place it before the BoD for approval
- Prepare draft 18-month procurement plan in consistence with amended UPR 2008 for the ILSP, seek comments from IFAD and place it before the Board for approval
- Make arrangements for the procurement of vehicles and office equipment as per list approved and contained in the procurement plan and using approved procurement methods
- Prepare disaggregated AWP&B based on approved plan for each district.
- Arrange staff training and orientation with regard to the concepts and approaches of the ILSP
- Facilitate training and orientation to the staff of FNGOs, partner agencies and technical NGOs
- Identify and finalise selection of project villages and Blocks
- Organise orientation workshops for the district staff and devolve them well-defined roles and functions together with timelines for achievements
- Engage the services of specialised agency for conducting baseline survey in year 1

- Ensure that the project MIS is in place and made functional with required staff support and other facilities so that M&E functions well
- Finalize reporting formats and establish a system of data collection and analysis for periodic reporting to the project management.
- Ensure that Tally accounting software is installed and the staff are trained

C. Watershed Management Department Society

- Expedite the process of the Society formation and complete all administrative and legal formalities: approval of byelaws and registration and forward a copy of byelaws to IFAD
- Organise and participate in the state level ILSP launch work
- Finalise RFP on the basis of comments received from IFAD for the recruitment of the services of FNGOs and DSAs.
- Seek fund support from the Government
- Finalise the TOR for the recruitment of staff consultants, send them for IFAD comments and seek Board approval
- Complete the process of recruitment of staff consultants using approved procedures and package of remuneration
- Prepare draft AWP&B and seek IFAD comments and place it before the General Body for approval
- Prepare draft 18-month procurement plan in consistence with amended UPR 2008 for the ILSP, seek comments from IFAD and place it before the Board for approval
- Make arrangements for the procurement of vehicles and office equipment as per list approved and contained in the procurement plan and using the approved procurement methods
- Prepare disaggregated AWP&B based on approved plan for each Division.
- Arrange staff training and orientation with regard to the concepts and approaches of the ILSP
- Facilitate training and orientation to the staff of FNGOs and DSAs
- Identify and finalise selection of micro-watersheds for the ILSP
- Organise orientation workshops for the Divisional staff and devolve them well-defined roles and functions together with timelines for achievements
- Engage the services of specialised agency for conducting baseline survey in year 1
- Ensure that the project MIS is in place and made functional with required staff support and other facilities
- Ensure that Tally accounting software is installed and the staff are trained

D. UPASAC

- Organise and participate in the state level ILSP launch work
- Finalise the TOR for the recruitment of staff, seek Board approval and take steps for their recruitment
- Complete the process of recruitment of staff consultants using approved procedures and package of remuneration
- Prepare draft AWP&B jointly with UGVS, seek IFAD comments and place it before the BoD for approval
- Prepare draft 18-month procurement plan jointly with UGVS, seek comments from IFAD and place it before the Board for approval

- Make arrangements for the procurement of vehicles and office equipment as per list approved and contained in the procurement plan and using the approved procurement methods and procedures
- Prepare disaggregated AWP&B based on approved plan for each district.
- Arrange staff training and orientation with regard to the concepts and approaches of the ILSP
- Facilitate training and orientation to the staff of RFIs and banks and develop appropriate financial products for the PGs, VPGs and LCs
- Enter in to more MOUs with banks and MFIs to expand the credit access to the target groups and identify appropriate SMEs for support
- Identify and finalise working arrangements with WMD Society for accelerated flow of credit
- Organise orientation workshops for the Rural Finance Coordinators together with the staff of UGVS and WMD and devolve them well-defined roles and functions
- Along with UGVS, engage the services of specialised agency for conducting baseline survey in year 1
- Ensure that the project MIS in place and made functional with required staff support and other facilities

E. Shared Activities

Procurement of the Services of NGOs & other Partner Agencies:

- Send RFP for procurement of DSAs and FNGOs to IFAD for approval.
- Establish an Evaluation Committee for evaluating Expression of Interest (EOI) for short-listing DSAs and FNGOs and thereafter to conduct evaluation of bids.
- Advertise EOI for procurement of the services of DSAs and FNGOs in the Regional and local newspapers and also on the websites.
- Conduct an evaluation of EOIs and prepare a shortlist of DSAs and FNGOs and obtain approval from IFAD.
- Circulate RFP to shortlisted DSAs and FNGOs and seek Full Technical and Financial Proposals them
- Evaluate the bids of DSAs and send detailed evaluation report to IFAD for approval.
- Evaluate the bids of FNGOs and send detailed report to IFAD for approval.
- Upon receiving approval from IFAD, place the same before BoD or General Body and finalize selection of DSAs and FNGOs.
- Sign contracts with DSAs and FNGOs.
- Ensure that FNGOs recruit staff as specified in the RFP and establish Block/Cluster level offices.
- DSAs to establish divisional level technical team as specified in the RFP.

Income Generating Activities:

- Prepare detailed work plan for Income Generating Activities including identified beneficiaries.
- Ensure minimum scale of operations for each of the activity to ensure provision of technical assistance.
- Ensure training of beneficiaries for each of selected activity.
- Based on the approved AWPB release funding allocated to Income Generating Activities.

Vocational Training:

- Advertise an Expression of Interest from interested agencies to implement vocational training related activities.

- Short-list the agencies and sign a MOU with qualified agencies for vocation training with handholding/placement.
- Select boys and girls (both from UGVS & WMD project areas) to undergo long-term vocational training in any institutes in Uttarakhand and provide them with scholarship.

Monitoring and Evaluation and Knowledge Management:

- Engage an Agency specialized in M&E for conducting Baseline and impact assessment survey and undertake these surveys during the first year of the project
- Finalize reporting formats and establish a system of data collection and analysis for periodic reporting to the project management.
- Conduct annual outcome survey in collaboration with DPMUs/DPDs and FNGOs every year starting from second project year and submit the report by end January every year.
- Undertake all reporting requirements as specified by the project and participate in the baseline survey, impact assessment surveys and annual outcome surveys and participatory M&E studies.
- Maintain pictorial evidence of pre-project and post scenarios with respect to activities implemented under each sub-plan.
- Identify emerging best practices, and prepare documents for knowledge sharing.
- Develop knowledge sharing platforms for knowledge dissemination.
- Document replications resulting from such knowledge dissemination exercise.

Reporting:

- Submit half yearly and annual progress reports to IFAD within 45 days of end of the reporting period.
- Submit half yearly financial statements to IFAD by within 45 days of end of the reporting period.
- Submit RIMS report to IFAD by end march every year.
- Submit Audited annual report with financial statements and management letter to IFAD by 30 September every year.

Chapter-1.2: PROJECT SUMMARY

A. Background, Location & Project Objective

- 1) **Background:** The Integrated Livelihood Support Project (ILSP) will follow on from, and up-scale, the Uttarakhand Livelihood Improvement Project in the Himalayas (ULIPH) which will be completed at the end of 2012. ULIPH has been implemented by Uttarakhand Gramya Vikas Samiti (UGVS), a society within the Rural Development Department, and Uttarakhand Parvthiya Ajeevika Samvardhan Company (UPASAC), a social venture capital company. However, for ILSP, the approach will be significantly changed – rather than forming Self-Help Groups (SHG) and provision of micro-finance services, ILSP will focus on supporting producer organisations with technology and access to markets to improve food security and livelihoods.
- 2) **Location:** Uttarakhand is a hill state in the north-west of India, covering 54,483 km² with a population of about 8.5 million (2001 census). Nine of its 13 districts are classed as hill districts, covering 77% of the area of the state, but with only 44% of the population. Livelihoods are still predominantly rural, but most economic and population growth has also been in the plains, which are becoming industrialised.
- 3) **Poverty:** Uttarakhand is one of the poorest states in India. The major driver of rural poverty is the difficult mountain environment. Land holdings are very small (average 0.8 ha) and fragmented into 6 or 7 different locations. Tiny terraced plots on steep hillsides makes mechanisation virtually impossible. Shallow and immature soils require high levels of organic matter, but yields are very low. There is little use of modern varieties, mineral fertilisers and other inputs. Only about 10% of land in hill districts is irrigated. Most households keep cattle or buffalo, but improved crossbreds are relatively scarce, there is minimal investment in feeding and health care. With 65% of the state covered in forest, damage to crops by wild animals is a major problem. Farmers and others report that the climate in Uttarakhand is changing, with rainfall patterns becoming more erratic.
- 4) Agriculture is very largely for subsistence, but very few households are able to produce enough food to last for more than three or four months. People rely on non-farm earnings and safety net programmes. With few rural employment opportunities, more and more people are migrating to jobs outside of hill districts. Between one third and one half of households send migrants and, as it is mainly men who migrate, this places more and more of the burden of farm labour, as well as domestic work, on women. Lack of labour, low productivity and wild animal damage are all contributing to land being abandoned, and it is said that as much as 30% of land in the hills that was once used to grow crops is no longer in production.
- 5) **Rationale:** the justification for ILSP is the need to stop the deterioration of the productive infrastructure, make farm labour more productive and farming more remunerative, and hence provide incentives for people to invest their time and resources in agriculture. Despite the disadvantages that agriculture faces in the hill areas, Uttarakhand does have the advantage of cooler temperatures at higher altitudes, allowing production of out of season vegetables and temperate fruits. The horticultural sector is less developed than in the other hill states, so there is considerable potential for growth, as there is in other niche products such as spices, medicinal and aromatic plants, and nuts.
- 6) Another area with growth potential is tourism. However more needs to be done to ensure that local people fully participate in, and benefit from, this sector. The population is well educated, but the level of youth unemployment is relatively high. Better vocational training could help such people find good quality employment in the growth sectors of the country.
- 7) The **overall objective** (goal) of ILSP is to reduce poverty in hill districts of Uttarakhand. This would be achieved via the more immediate development objective of “enable rural households to take up sustainable livelihood opportunities integrated with the wider economy”.
- 8) The **strategy behind ILSP** will be to adopt a two pronged approach to building livelihoods in hill districts. The first of these is to support and develop the food production systems which remain the

main means of support for most households. The second main thrust of the project is to generate cash incomes via the introduction and expansion of cash crops. These would be grown on a significant scale for markets outside of the state. ILSP will also support non-farm livelihoods, especially community involvement in rural tourism, and vocational training.

B. Project Components

9) Component 1: Food security and livelihood enhancement implemented by UGVS, will support crop and livestock production for food security, and develop higher value cash crops and other products (such as rural tourism) to provide cash incomes. Crop and livestock production will be developed via support to Producer Groups (PG) and higher level organisations (Livelihood Collectives - LC) formed by a number of PGs. To up-scale enterprises generating cash incomes, and to introduce new income sources. ILSP will also improve access to markets through a value chain approach and the provision of physical infrastructure for market access. The value chain approach involves market/sub-sector studies, introduction of new technologies, market linkage, skill development, product development and promotion, physical **infrastructure for market access**. **These activities will be implemented in** five districts. The project will also improve access to employment in the non-farm sector by supporting vocational training linked to job placement – with a target of 10,000 training places to be offered.

10) Component 2: Participatory Watershed Development implemented by the Watershed Management Directorate (WMD), will use processes that have been established through a series of watershed development projects in the state, but with an increased focus on food security, livelihoods and market linkages. It will protect and improve the productive potential of the natural resources in selected watersheds, alongside the promotion of sustainable agriculture with formation of PGs and LCs, and with improved access to markets. The component would cover a total of 41 micro-watershed (MWS) covering an area of about 125,000 ha in six clusters in six districts, with a population of 39,600 households. It will complement the ongoing watershed development programme funded by the World Bank and GoI, and takes into account availability of required WMD institutional capacity in the selected project districts.

11) Component 3: Livelihood financing implemented by UPASAC. Despite making significant strides in financial viability, banks have not been able to provide significant numbers of poor households with basic financial services. The activities under this component include:

- a) Banking support – capacity building, expansion of branches of SKGFS,
- b) Risk management – piloting and scaling up of insurance services,
- c) Financial inclusion initiatives – training to LC to be bank agents, product literacy training,
- d) Provision of development finance via UPASAC including loan and quasi equity funding
- e) Establishment cost support to UPASAC.

12) Component 4: Project coordination and monitoring: Each executing agency, UGVS, WMD and UPASAC, will have their own project management units headed by a Project Director. To provide overall coordination, the state nodal agency, RDD, will set up a Central Project Coordination Unit (CPCU) within the RDD, headed by a Project Director (PD).

C. Target Groups and Targeting

13) Targeting: By covering complete blocks or MWS on a saturation basis any households in these project areas may participate in ILSP activities. Data from the population census show that, of the total population in project districts, 18.6% are Scheduled Caste (SC) and 0.9% are Scheduled Tribe (ST). The SC population is disadvantaged, with a relatively high proportion being below the poverty line. In line with the GoUK policy that at least 20% of project resources go to SC households, implementing agencies would ensure that this disadvantaged group participate and benefit from project activities by establishing special groups for vulnerable households. These would amount to at least 20% of all producer groups and would receive additional support.

14) Gender: the flow of benefits directly to women would be ensured by at least 50% of all producer groups being female. The project would also ensure that women participate in higher level Livelihood Collectives, Water and Watershed Management Committees and other institutions involved in project management. The project would promote livelihood activities that specifically address the needs of

women – such as by improving access to fodder and fuel, and easing the manual work involved in crop production.

D. Implementation and Coordination Arrangements

15) Implementation approach: The investment in ILSP is more than a five-fold increase over the ongoing ULIPH. Given limitations on the capacity of UGVS/UPSAC to up-scale to this extent, funds for ILSP will be divided between UGVS/UPASAC and WMD. WMD would establish a society to implement the project. WMD has an established track record in implementing participatory watershed management projects, and their inclusion will allow the project to be up-scaled, while avoiding the risks involved in relying entirely on UGVS/UPASAC. The dual implementation structure will also generate new lessons in livelihood development using two different approaches to livelihood development.

16) Coordination: The Rural Development Department (RDD) will be the nodal agency at the state level with a **Central Project Coordination Unit (CPCU) within RDD**. A state level Project Steering Committee (PSC) would be chaired by the Chief Secretary, Government of Uttarakhand. The PSC will establish a Project Management Committee (PMC) chaired by the Secretary of RDD¹.

17) Convergence: the National Rural Livelihoods Mission (NRLM) will start operations in 2012 and will be responsible for forming and supporting SHGs. ILSP will provide complementary support for livelihoods for SHG members, many of whom will also join PGs. Producers supported by ILSP will be expected to receive support from other government programmes and from formal financial institutions. ILSP will also implement livelihood enhancement activities in blocks selected for watershed development by the Integrated Watershed Management Programme (IWMP), a centrally sponsored scheme.

18) M&E system will generate management information and provide the government and IFAD with evidence of results and impact against logframe indicators² (and also for IFAD's RIMS system). This will involve activity/output, process, outcome and impact monitoring.

19) Financial management will be on the lines of current IFAD funded projects in India. Accounting software will be used to maintain accounting records and generate financial statements in IFAD formats. Periodic inputs from an IFAD Financial Management and Procurement Specialist will provide training and support for project financial staff.

20) Procurement will follow the procurement regulations of GoUK (with some project-specific amendments) to the extent they are consistent with IFAD Procurement Guidelines. Wherever, the national regulations are inconsistent with IFAD Procurement Guidelines, the latter shall prevail. Implementation partners (NGOs and research agencies) may be directly contracted by the project. This will avoid the delays and risks associated with a competitive selection process.

21) Key risks at the objective level include increases in the prices of food relative to wages, natural disasters, and migration out of the hills creating a labour shortage for agriculture. There are also risks to project outcomes including changing weather patterns, competition in external markets for cash crops, an unfavourable policy environment for rural finance. None of the risks have been identified as having a high impact on the achievement of project objectives.

E. Project Costs, Financing and Benefits

22) According to the Project Appraisal Report, the project cost is estimated to be USD 259 million. The Project is financed by an IFAD loan of USD 90 million, a contribution of USD 48 million

¹ At the time of the preparation of this Document, the ILSP has been approved by the Cabinet and a GO was to be issued. The PSC and PMC would be constituted only after the GO was issued.

² According to the minutes of discussions between IFAD and the Stakeholders, each PIA will have independent M&E, Logframe Matrix, MIS etc and would report to IFAD directly.

equivalents from the Government of Uttarakhand, USD 11 million equivalents from beneficiaries and the rest as institutional credit from bank. Significant additional funds will flow to members of project groups through convergence with other government programmes.

23) Benefits: The project investment has an overall Economic Internal Rate of Return of 23% and remains viable even if costs increase and/or benefits decrease by 20%. Farm model analysis shows average annual net income of participating households increasing from INR 19,000 to INR 33,000. According to the Appraisal Report, a total of 143,400 households³ would directly benefit from the project.

24) Sustainability of benefits is based on the following assumptions:

- (a) The adoption of improved livelihoods will be sustained providing they continue to be profitable for households, and linkages for inputs and outputs are maintained. These linkages should be sustainable providing they are, in themselves, also financially viable for private sector actors and/or Livelihood Collectives.
- (b) Physical works such as watershed treatment, irrigation and market infrastructure will need to be maintained by user groups for irrigation, market infrastructure etc. The participation of local government in watershed development will help ensure the sustainability of these works.
- (c) Capacity building will result in sustained benefits providing this training is relevant and effective

³ This has been scaled down to 103,775 at the time of the preparation of PIM and in consultation with IFAD

Annex-1.2.1 Logical Framework Matrix of UGVS (Components-1 & 4)

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
A. GOAL			
Reducing poverty in hill districts of Uttarakhand	<ul style="list-style-type: none"> ➤ % reduction in prevalence of child malnutrition (under 5 yrs old: chronic, acute, underweight) ➤ No of Household with improvement in households asset ownership index ➤ No of HH reporting improved Food security ➤ Improved social indicators including literacy, income, Quality of housing, water supply and sanitation ➤ No of HHs receiving project services 	Impact surveys (including RIMS anchor indicators) at baseline, mid-term and completion	<p>Price of food does not increase relative to earnings.</p> <p>No major natural disasters</p>
B. DEVELOPMENT OBJECTIVE			
Enable 64,175 rural households to take up sustainable livelihood opportunities integrated with wider economy	<ul style="list-style-type: none"> ➤ More than 60% of project households report increase in income from sub-sectors supported by the project and reduction in expenditure ➤ More than 75 % HHS increase food self-sufficiency ➤ Over 50 % of HHs report improved access to business resources and services. ➤ 70% enterprises are operational three years after they receive support. ➤ Over 50% of women increased income by EoP. ➤ Women report improvements in decision making in over 50% of project HHs. 	<p>Annual outcome surveys</p> <p>Impact surveys at baseline, mid-term and completion.</p>	Employment opportunities in other parts of India do not mean that so many of the workforces migrates out of Uttarakhand that farming is affected.
C. OUTCOME			
<p>1.1-Food Security & Scaling up: Outcomes: 33,377 members of ULIPH federations benefit from enhanced market access, income generation opportunities and social support and 30,798 households in UGVS blocks benefit from increased food production, access to markets for cash crops, tourism and new employment opportunities.</p>	<ul style="list-style-type: none"> ➤ Federations formed by ULIPH expand membership to more than 33,000 HHS ➤ More than 70% of members make use of services facilitated by federations. ➤ More than 50% of project hhs report increased sales of farm produce ➤ No of new enterprises established ➤ No of existing enterprises expanded ➤ More than 70% of project hhs adopt improved technologies 	<p>Annual outcome studies</p> <p>Federation Grading Format.</p> <p>Federation Business Format</p> <p>Federation Receipt and Payment format.</p> <p>KAP surveys</p> <p>Annual outcome surveys</p>	<p>Weather patterns do not change to the extent that seriously hinders farming.</p> <p>Food prices in hills do not fall to the extent that makes local production uneconomic.</p> <p>NGOs and service providers are able to perform their tasks</p>

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
<p>1.2-Market Access: Outcomes: Rural economy becomes more commercialised and households access new income generating opportunities</p>	<ul style="list-style-type: none"> ➤ More than 70% of project hhs members report increase farm output by at least 15% ➤ 70% of project supported institutions rated as Grade A using project grading standards. ➤ No of functioning collection centres ➤ New Area brought under irrigation ha. 		
<p>1.3-Innovation and market linkages: Outcomes: Partnership with identified institutions leads to developing and disseminating new models</p>	<ul style="list-style-type: none"> ➤ More than 60% project HHs use new business opportunities and technologies ➤ Increase of producers' share of retail price by at least 10% in three value chains. 	Value chain studies Case studies of producer organisations	Communications (road and telecom) are developed.
<p>1.4-Vocational training: Outcomes: Rural economy becomes more commercialised and households access new income generating opportunities Lessons in development of hill communities learned and disseminated.</p>	<ul style="list-style-type: none"> ➤ New models on market linkages and technical support are developed and disseminated as per part of proper interventions ➤ 8,000 vocational training graduates gain employment. ➤ Lessons documented and disseminated via media and meetings. 	Value chain studies, case studies of producer organisations VT reports & studies Project progress reports	Improved technologies for hill Agriculture are available and profitable Vocational skills acquired are relevant to job market. Project generates lessons which are widely applicable.
D. OUTPUTS			
<p>Outputs: Food Security & scaling up Strengthen Federations in ULIPH blocks and Promote capacity building for enterprises. Producer Groups (PG) & Vulnerable Producer Groups (VPG) formed and strengthened PGs/VPGs assisted to formulate and implement their plans</p> <p>Livelihood Collectives (LC) formed and strengthened LCs assisted to formulate and implement their plans</p> <p>Capacity building for enterprises.</p>	<ul style="list-style-type: none"> ➤ Membership of community institutions increased to cover more than 64175 HHs ➤ 130 Community apex institutions formed ➤ No of federations strengthened in value chain based enterprises ➤ At least 75% of Federation board members are women. ➤ No of HH trained in crop based enterprises out of which 50% are women ➤ No of HH trained in livestock based enterprises out of which 50% are women ➤ No of HHs trained in non-farm based enterprises out of which 50% are women ➤ Sub sector based studies including market assessment studies carried out. ➤ capacity building programs for market linkage 	Project progress reports. Project progress reports	Markets for off season vegetables & other products not adversely affected by competition from imports or other areas. linkages and establishment of enterprises Support market
<p>Market Access Studies to market hill produce carried out Capacity Building of farmers/ staff on market linkages and</p>			

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
establishment of enterprises Support market infrastructure.	conducted. ➤ buyer-seller meets organised.		infrastructure.
Market Information System supported	➤ MoUs with market agencies executed ➤ Enterprises established in identified sectors ➤ Collection centres established. ➤ Market information pilot carried and learning disseminated		Market Information System supported
Innovations and market linkages:			
Identification of qualified research and development agencies. Testing and dissemination of technologies and approaches	➤ MoUs executed with identified agencies for implementation of the innovation and market tie ups. ➤ Identified innovations are tested, documented & recommendations shared with stakeholders.	Project progress reports Study report	Improved technologies for hill Agriculture are available and profitable.
Vocational training:			
Effective and efficient systems for delivery of project outputs	➤ 10,000 youth trained in vocational training out of which at least 60% are women. ➤ Achievement of project targets at output and outcome levels.	Project progress reports Project progress reports	Response from rural and urban youth; GoUK & IFAD establish efficient management framework.

E. COMPONENTS/ ACTIVITIES

Food security and scaling up: provision of irrigation infrastructure, producer groups formation and strengthening, formation and strengthening of livelihood collectives, preparation of FSIPs at PG and VPG levels, agri-business up-scaling plans at LC level and their implementation, recruitment of partner agencies for social mobilisation and technical services

Access to markets: market infrastructure, sub-sector development using value chain approach, and capacity building

Innovation Linkages: testing and dissemination of innovative technologies and approaches to improving food security, livelihoods and access to markets; surveys into specific constraints, field testing with project group members, training project staff and leaders of project groups and evaluation of outcomes.

Vocational Training: a study on most appropriate sectors, industries for training, selection of youths for training and providing scholarships for training-linked to placement.

Project management Project management unit established, staff recruited, agreements with partner agencies, project coordination, monitoring and evaluation, knowledge management – implemented by RDD

Annex-1.2.2 Logical Framework Matrix of WMD (Component-2)

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
A. GOAL			
Goal Reducing poverty in hill districts of Uttarakhand	<ul style="list-style-type: none"> • Child malnutrition (under 5 yrs old: chronic, acute, underweight)¹ • Household assets • Food security • Income (expenditure) • Quality of housing, water supply and sanitation 	Impact surveys (including RIMS anchor indicators) at baseline, mid-term and completion	Price of food does not increase relative to earnings. No major natural disasters
B. DEVELOPMENT OBJECTIVE			
Enable 39,600 rural households to take up sustainable livelihood opportunities integrated with the wider economy	<ul style="list-style-type: none"> • 70% of PG & VG members¹ report increase in income. • 70% of PG & VG members¹ increase food security • Availability of fuel, fodder and water improved for 70% of watershed hh • Women's empowerment - 80% of women report improvements such as decision making and mobility 	Annual outcome surveys Impact surveys (including RIMS anchor indicators) at baseline, mid-term and completion	Employment opportunities in other parts of India do not mean that so many of the workforce migrates out of Uttarakhand that farming is affected.
C. OUTCOME			
41 project watersheds with a population of 39,600 households become less vulnerable to erosion and drought.	<ul style="list-style-type: none"> • Increase of 10% in vegetative biomass • Increase of 10% in water availability 	Watershed environmental monitoring Annual outcome surveys	Treated watershed not damaged by erosion originating in reserve forests. GPs responsive to project & allocate required resources.
Farming systems on 41 project watersheds become more productive.	<ul style="list-style-type: none"> • 75% of PG members¹ adopt new technologies or techniques • 100% of PG members¹ increase farm output by at least 15%. 	Annual outcome surveys KAP surveys	Weather patterns do not change to the extent that seriously hinders farming. Food prices in hills do not fall to the extent that makes local production uneconomic.
Non-farm enterprises are developed and farm enterprises are up-scaled.	<ul style="list-style-type: none"> • 20% of VG members¹ establish new enterprises or expand existing enterprises. • 20% of PG members¹ increase in sales of produce or use new market channels. 	Annual outcome surveys Value chain studies	Markets for off season vegetables & other products not adversely affected by competition from imports or

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
Lessons in watershed development disseminated.	<ul style="list-style-type: none"> Improved performance by 80% of GP Lessons documented and disseminated via media and meetings. 	Process monitoring of GP Project progress reports	other areas. Communications (road and telecom) are developed. Project generates lessons which are widely applicable.
D. OUTPUTS			
<u>Participatory watershed management</u> Watershed management capacities strengthened and watersheds developed	<ul style="list-style-type: none"> 275 Water and Watershed Management Committees plan and implement watershed development 125,000??) ha covered by watershed conservation and development. 	Project progress reports	Communities are interested and willing to prioritise watershed development. GP's able to play their role in implementing watershed development
<u>Food security enhancement support</u> Rainfed agriculture, value addition and marketing support	<ul style="list-style-type: none"> Producer Groups with 23,400 members¹ established Collection centres, marketing services 	Project progress reports	
<u>Livelihood up-scaling support</u> Livelihood opportunities for vulnerable hh and up-scaling of farm enterprises	<ul style="list-style-type: none"> Vulnerable Groups with 5,856 members¹ 70 Livelihood Collectives established & up-scale income generating activities with backward and forward linkages 	Project progress reports	
<u>Institutional strengthening</u> Watershed institutions strengthened	<ul style="list-style-type: none"> All (275) GP gain capacity for watershed development Information and communication products Project management delivers project services 	Project progress reports	GoUK & IFAD establish efficient management framework.
E. COMPONENTS/ ACTIVITIES			
<u>Participatory watershed management</u> : watershed planning and treatment			
<u>Food security and enhancement support</u> : producer group formation and strengthening, grants for PGs, collection centres and other small infrastructure, formation of livelihood collectives, value chain studies.			
<u>Livelihood up-scaling support</u> : Vulnerable group formation and strengthening, grants for vulnerable groups, grants for livelihood collectives			
Institutional strengthening: capacity building of GP, information & communication programme, project management unit established, staff recruited, agreements with partner agencies, monitoring and evaluation			

Annex-1.2.3 Logical Framework Matrix of UPASAC (Components-3)

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
A. GOAL			
Reducing poverty in hill districts of Uttarakhand	<ul style="list-style-type: none"> ➤ % reduction in prevalence of child malnutrition (under 5 yrs old: chronic, acute, underweight) ➤ No of Household with improvement in households asset ownership index ➤ No of HH reporting improved Food security ➤ Improved social indicators including literacy, income, Quality of housing, water supply and sanitation ➤ No of HHs receiving project services 	Impact surveys (including RIMS anchor indicators) at baseline, mid-term and completion	<p>Price of food does not increase relative to earnings.</p> <p>No major natural disasters</p>
B. DEVELOPMENT OBJECTIVE			
Enable 64,175 rural households to take up sustainable livelihood opportunities integrated with wider economy	<ul style="list-style-type: none"> ➤ 1.70% enterprises are operational three years after they receive support. ➤ 2. Investments in livelihood opportunities 	<p>Annual outcome surveys</p> <p>Impact surveys at baseline, mid-term and completion.</p>	Employment opportunities in other parts of India do not mean that so many of the workforces migrates out of Uttarakhand that farming is affected.
C. OUTCOME			
Outcomes: Banking Initiatives: Improved access to bank finance	<ul style="list-style-type: none"> ➤ 560 Term loans for SMEs facilitated at an average funding support of for Rs.2 lakh ➤ 6100 Term loans for MEs facilitated at an average funding support of for Rs.0.75 lakh ➤ Cash Credit limit for 3460 SHG/PG availed at an average of Rs.0.50 lakh/group ➤ Kisan Credit card facility availed by 9500 persons at an average of Rs.0.25 lakh per member ➤ Number of new financial products and viability of new RFI branches ➤ Loan default rate at an acceptable level 	<p>Annual outcome surveys</p> <p>Annual data on lending reported by banks</p> <p>Reports from RFIs</p>	<p>Banks willing to expand lending in rural areas.</p> <p>Reserve Bank of India directives giving relaxation in population criteria for opening new bank branches encourages banks to open new branches in Project Area.</p> <p>RBI circular</p>
Outcomes: Risk management Improved means of mitigating risk	<ul style="list-style-type: none"> ➤ Number of clients/policies developed for different risk management instruments. ➤ ___ risk management products introduced and used 	<p>Annual outcome surveys</p> <p>Data and reports from insurance companies</p>	Sufficient incentives exist for insurance companies to provide services that meet the needs of the target

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
Outcomes: Financial Inclusion initiatives Increased financial inclusion	<ul style="list-style-type: none"> ➤ Number of groups members using financial services ➤ LCs act as facilitators in taking up the role of BC/BF by its members ➤ Effectiveness of financial literacy training 	Annual outcome surveys Data and reports from LC	group. BC/BF model viable for both banks and LC. LC members overcome the viability challenge in taking up the role of BF/BC by making it a part of set of other income generation activities.
Outcomes: Development Finance Increased investment in market-led opportunities by hill producers and their organisations.	<ul style="list-style-type: none"> ➤ UPASAC investments total Rs.70 million through SVCF ➤ Recovery rate for UPASAC Investments 	Reports from UPASAC	Regulatory framework allows financial innovation and encourages rural lending.
Lessons in development of hill communities learned and disseminated.	<ul style="list-style-type: none"> ➤ Lessons documented and disseminated via media and meetings. 	Project progress reports	Project generates lessons which are widely applicable.
D. OUTPUTS			
Banking initiatives: Enabling access to bank finance	<ul style="list-style-type: none"> ➤ Impact study of RFI carried ➤ 12 new branches of RFI expanded in project blocks ➤ 11 Business Facilitators supported for carrying out financial inclusion with banks ➤ 8 PACS supported for bank linkage ➤ Major financial institutions having presence in Project participating in ILSP linkages. 	Project progress reports	Banks willing to participate. GoUK interest rate criteria does not prevent RFIs from participating SKGFS offers benefits of various government schemes support with financing to make it beneficial as in case of lending from banks.
New risk management products developed	<ul style="list-style-type: none"> ➤ Risk insurance study ➤ Partnerships for development of risk management products executed 	Project progress reports	Insurance companies willing to participate.
Financial inclusion initiatives: Improved access to financial products	<ul style="list-style-type: none"> ➤ Number of LC acting as BC/BF ➤ Number of people reached by financial literacy training 	Project progress reports	Sufficient LC members have the capacity to act as BC or BF.
Development Finance: Social venture capital company provides financial resources	<ul style="list-style-type: none"> ➤ Number of funding applications reviewed ➤ Viability gap funding support to 100 LC provided ➤ Entrepreneurship development scheme grant to 3000 PGs 	Project progress reports	Tie ups with banks helps in evolving mechanisms for operationalising Development Finance Fund

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks
Effective and efficient systems for delivery of project outputs	Achievement of project targets at output and outcome levels.	Project progress reports	in collaboration for attaining synergies of reduced joint risks & documentation and ensuring asset quality Suitable staff can be recruited to operate UPASAC as envisaged. GoUK & IFAD establish efficient management framework.
E. COMPONENTS/ ACTIVITIES			
<u>Livelihood finance:</u> provision of debt and equity capital for enterprise start-up, piloting of risk management instruments, support for financial institutions – implemented by UPASAC			
<u>Project management</u> Project management unit established, staff recruited, agreements with partner agencies, project coordination, monitoring and evaluation, knowledge management – implemented by RDD			

Chapter-1.3: PROJECT COST ESTIMATES

Detailed cost estimates for each component are provided in [Annex-1.3.1](#) Cost estimates and the phasing are indicative and these may be reviewed at the time of preparing Annual Work Plan and Budget.

Based on the discussions with respective PIA, namely the UGVS, UPASAC and Watershed Management Department following key changes in the Appraisal Cost Estimates were made:

Component/ Sub-components	Major changes introduced by the respective PIA at the time of PIM preparation
Food security & scaling up	<ul style="list-style-type: none"> ➤ Support to PG and VPG enhanced to INR 80,000 ➤ Number of LCs scaled down from 102 to 60 ➤ ULIPH federations included as service providers ➤ 60 LCs in new area provided the services of Livelihood coordinators, facilitators and accounts assistants for last three year period. ➤ Overheads at 25% or more provisioned for FNGO, RNGO.
Market Access	➤ Physical targets under last-mile infrastructure scaled down
Innovative Linkages	➤ More activities under R&D Institutes included
Vocational training	➤ Unit cost of scholarship per trainee increased to INR 20,000 with 25% contribution from the beneficiary
UGVS Project Management	<ul style="list-style-type: none"> ➤ More number of staff added; unit cost for staff position and O&M costs enhanced; ➤ No staff salary, allowances and O&M costs for fiscal 2012-13 shown as these would be accounted for by the ongoing IFAD supported ULIPH project.
Participatory watershed Management	<ul style="list-style-type: none"> ➤ Unit costs for project management enhanced; ➤ Audit manager and more support staff added
Livelihood Finance	➤ Grant support to PG/SHG for enterprises development inserted
Central Project and Coordination Unit	➤ Staff positions reorganised and operating costs enhanced
M&E for UGVS-UPASAC	➤ Unit costs of staff salary and operating expenditures enhanced
M&E for WMD	➤ A new Table created and all required expenditures provided and this resulted in overall increases in costs for M&E Sub-component.

As a result of above-mentioned changes overall project costs in Rupee terms have increased by over INR X million. But in the US Dollar-terms at current exchange rate, the IFAD Loan Amount would be much less than the amount specified in the Financing Agreement. Therefore summary Tables are not presented in USD values but in Rupees. This is expected to set right at the time of MTR.

Unit costs shown in costab are indicative and were based on the information and data available at the time of preparation of the design documents. These would be reviewed each year and updated where necessary by the respective PIA but with the approval of PMC and PSC.

Each detailed costable contains cost items, quantity by year, unit cost in INR, baseline cost by year, total cost including contingencies by year, component account, procurement account, disbursement account, financing rule, procurement method, expenditure account etc.

Following detailed Cost Tables are presented in Annex-1.3.1:

COMPONENT 1: FOOD SECURITY AND SCALING UP

- Table-1.1: Food Security & Scaling up
- Table-1.2: Access to Markets
- Table-1.3: Innovative Linkages
- Table-1.4: Vocational Training
- Table-1.5: UGVS Project Management Unit

COMPONENT 2: PARTICIPATORY WATERSHED MANAGEMENT

- Table-2.1: Participatory Watershed Development (WMD)

COMPONENT 3: LIVELIHOOD FINANCE

- Table-3.1: Livelihood Finance (UPASAC)

COMPONENT 4: PROJECT MANAGEMENT

- Table-4.1: Central Project Coordinating Unit (CPCU)
- Table-4.2: M&E and Knowledge Management (UGVS & UPASAC)
- Table-4.3: M&E and Knowledge Management (WMD)

Following Project Summary Tables are presented in Annex-1.3.2:

- Project Summary Cost Estimates (in INR)
- Project Summary Cost by Year (in INR)
- Project Disbursement by Financiers (in INR)
- Project Expenditures by Financiers (in INR)

Annex-1.3.1: Detailed Cost Estimates (UGVS & UPASAC)

TABLE-1.1: FOOD SECURITY & UPSCALING-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 1.1. Food Security & Scaling up																		
Detailed Costs																		
	Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)								
		12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
I. Investment Costs																		
A. Irrigation & Infrastructure																		
Micro-irrigation	per LC	-	-	40	20	20	20	-	100	350,000	-	-	14,000	7,000	7,000	7,000	-	35,000
Other irrigation works	per LC	-	-	-	70	30	-	-	100	650,000	-	-	-	45,500	19,500	-	-	65,000
Subtotal Irrigation & Infrastructure													14,000	52,500	26,500	7,000	-	100,000
B. Food Security Enhancement																		
Support to VPGs/PGs 1st year	PGs	-	385	2,311	1,156	-	-	-	3,852	40,000	-	15,400	92,440	46,240	-	-	-	154,080
Support to VPGs/PGs-2nd year	PGs	-	-	385	2,311	1,156	-	-	3,852	40,000	-	-	15,400	92,440	46,240	-	-	154,080
Seed capital to VPGs: 1st year /a	VPGs	-	77	462	230	-	-	-	769	8,000	-	616	3,696	1,840	-	-	-	6,152
Seed capital VPGs: 2nd year	VPG	-	-	77	462	230	-	-	769	8,000	-	-	616	3,696	1,840	-	-	6,152
Support to ULIPH federations	LS	-	40	30	-	-	-	-	70	200,000	-	8,000	6,000	-	-	-	-	14,000
Subtotal Food Security Enhancement													24,016	118,152	144,216	48,080	-	334,464
C. Livelihoods upscaling																		
1. New Blocks																		
Agri- Plan implementation /b	LC	-	-	10	20	30	-	-	60	200,000	-	-	2,000	4,000	6,000	-	-	12,000
Agri Plan implementation-2 /c	LC	-	-	-	10	20	30	-	60	200,000	-	-	-	2,000	4,000	6,000	-	12,000
Procurement Training	LC	-	-	6	6	6	-	-	18	50,000	-	-	300	300	300	-	-	900
Financial Management Training	LC	-	-	6	6	6	-	-	18	50,000	-	-	300	300	300	-	-	900
Agency staff Training in FSIP	No	-	6	6	-	-	-	-	12	50,000	-	300	300	-	-	-	-	600
Agency staff Training in convergence	No	-	6	6	-	-	-	-	12	50,000	-	300	300	-	-	-	-	600
CRP capacity building	CRP	-	50	40	30	20	-	-	140	3,000	-	150	120	90	60	-	-	420
Convergence meeting	meeting	-	-	20	60	120	120	120	440	2,000	-	-	40	120	240	240	240	880
BOD meeting	meeting	-	-	40	80	240	240	240	840	500	-	-	20	40	120	120	120	420
AGM meeting	meeting	-	-	10	20	60	60	60	210	15,000	-	-	150	300	900	900	900	3,150
Village/Block level meeting	LC	-	26	-	-	-	-	-	26	10,000	-	260	-	-	-	-	-	260
Legal compliance & Audit	LC	-	-	10	20	60	60	60	210	10,000	-	-	100	200	600	600	600	2,100
Livestock breeding programme	Block	-	9	9	9	9	9	9	54	400,000	-	3,600	3,600	3,600	3,600	3,600	3,600	21,600
Subtotal New Blocks													4,610	7,230	10,950	16,120	11,460	55,830
2. ULIPH Blocks																		
Convergence meeting	No	140	140	140	-	-	-	-	420	2,000	280	280	280	-	-	-	-	840
Annual Plan Training	LC	5	15	-	-	-	-	-	20	50,000	250	750	-	-	-	-	-	1,000
BOD meeting	No	70	280	280	210	-	-	-	840	500	35	140	140	105	-	-	-	420
AGM meeting	No	-	70	70	70	-	-	-	210	10,000	-	700	700	700	-	-	-	2,100
Annual Audit	LC	-	70	70	70	70	70	70	420	5,000	-	350	350	350	350	350	350	2,100
Livestock breeding programme	Block	-	17	17	17	17	17	17	102	400,000	-	6,800	6,800	6,800	6,800	6,800	6,800	40,800
Subtotal ULIPH Blocks																		47,260
Subtotal Livelihoods upscaling																		103,090

TABLE-1.1: FOOD SECURITY & UPSCALING-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 1.1. Food Security & Scaling up																		
Detailed Costs	Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)								
		12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
I. Investment Costs																		
D. Agribusiness Planning																		
Agribusiness Plan preparation	LC	-	35	45	20	30	-	-	130	20,000	-	700	900	400	600	-	-	2,600
Partner staff project planning	LS	-	-	-	-	-	-	-	-	-	-	200	-	-	-	-	-	200
Partner staff Exposure visits /d	batch	-	1	2	2	-	-	-	5	120,000	-	120	240	240	-	-	-	600
Subtotal Agribusiness Planning											-	1,020	1,140	640	600	-	-	3,400
E. Support to Partner Agencies																		
1. Office equipment																		
Social PNGO/Agencies /e	set	-	30	-	-	-	-	-	30	170,000	-	5,100	-	-	-	-	-	5,100
Technical NGOs/Agencies /f	set	-	-	6	-	-	-	-	6	205,000	-	-	1,230	-	-	-	-	1,230
Livelihood collectives (LC)	Lumpsum	-	-	-	30	-	-	-	30	60,000	-	-	-	1,800	-	-	-	1,800
Subtotal Office equipment											-	5,100	1,230	1,800	-	-	-	8,130
Total Investment Costs											565	43,766	150,022	218,061	98,450	25,610	12,610	549,084
II. Recurrent Costs																		
A. Partner Agency Salary & Operations																		
1. Social PNGO: Salary, O&M costs /g																		
Livelihood Coordinators	Pers_month	-	180	360	360	90	-	-	990	15,000	-	2,700	5,400	5,400	1,350	-	-	14,850
Livelihood facilitators	Pers_month	-	1,050	2,160	2,160	540	-	-	5,910	8,000	-	8,400	17,280	17,280	4,320	-	-	47,280
Accountants/Assistants	Pers_month	-	180	360	360	90	-	-	990	10,000	-	1,800	3,600	3,600	900	-	-	9,900
Operating Costs	Pers_month	-	180	360	360	90	-	-	990	13,000	-	2,340	4,680	4,680	1,170	-	-	12,870
Overhead costs /h	Staff month	-	180	360	360	90	-	-	990	21,000	-	3,780	7,560	7,560	1,890	-	-	20,790
Subtotal Social PNGO: Salary, O&M costs											-	19,020	38,520	38,520	9,630	-	-	105,690
2. Technical PNGO: salary, O&M costs																		
Coordinators	Pers_month	-	18	72	72	72	72	72	378	30,000	-	540	2,160	2,160	2,160	2,160	2,160	11,340
Agri-business officers	Pers_month	-	78	312	312	312	312	234	1,560	20,000	-	1,560	6,240	6,240	6,240	6,240	4,680	31,200
Business Development officers	Pers_month	-	78	312	312	312	312	234	1,560	20,000	-	1,560	6,240	6,240	6,240	6,240	4,680	31,200
Market Linkage Officers	Pers_month	-	18	72	72	72	72	54	360	20,000	-	360	1,440	1,440	1,440	1,440	1,080	7,200
Junior Engineers	Pers_month	-	18	72	72	72	72	-	306	20,000	-	360	1,440	1,440	1,440	1,440	-	6,120
Accountants/Assistants	Pers_month	-	18	72	72	72	72	72	378	10,000	-	180	720	720	720	720	720	3,780
Operating costs	Pers_month	-	18	72	72	72	72	54	360	40,000	-	720	2,880	2,880	2,880	2,880	2,160	14,400
Overheads /i	Staff month	-	18	72	72	72	72	54	360	31,200	-	562	2,246	2,246	2,246	2,246	1,685	11,232
Subtotal Technical PNGO: salary, O&M costs											-	5,842	23,366	23,366	23,366	23,366	17,165	116,472

TABLE-1.1: FOOD SECURITY & UPSCALING-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 1.1. Food Security & Scaling up																		
Detailed Costs																		
	Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)								
		12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
II. Recurrent Costs																		
3. ULIPH Federations: Salary, O&M costs																		
Business Coordinators-ULIPH blocks /j	Pers_month	213	852	852	852	-	-	-	2,769	15,000	3,195	12,780	12,780	12,780	-	-	-	41,535
Business facilitators-ULIPH Blocks	Pers_month	213	852	852	852	-	-	-	2,769	8,000	1,704	6,816	6,816	6,816	-	-	-	22,152
Accountants/Assistants-ULIPH blocks	Pers_month	213	852	852	852	-	-	-	2,769	10,000	2,130	8,520	8,520	8,520	-	-	-	27,690
ULIPH federations Operating costs /k	Pers_month	213	852	852	852	-	-	-	2,769	13,000	2,769	11,076	11,076	11,076	-	-	-	35,997
Overheads of ULIPH federations /l	Staff_month	213	852	852	852	-	-	-	2,769	10,000	2,130	8,520	8,520	8,520	-	-	-	27,690
Subtotal ULIPH Federations: Salary, O&M costs											11,928	47,712	47,712	47,712	-	-	-	155,064
4. LC in New Blocks: Salaries, allowances																		
Livelihood Coordinator	Pers_month	-	-	-	-	630	720	720	2,070	15,000	-	-	-	-	9,450	10,800	10,800	31,050
Livelihood facilitators	Pers_month	-	-	-	-	1,620	2,160	2,160	5,940	8,000	-	-	-	-	12,960	17,280	17,280	47,520
Accountants/Assistant	Pers_month	-	-	-	-	630	720	720	2,070	10,000	-	-	-	-	6,300	7,200	7,200	20,700
Travel allowances	Pers_month	-	-	-	-	630	720	720	2,070	10,000	-	-	-	-	6,300	7,200	7,200	20,700
Subtotal LC in New Blocks: Salaries, allowances											-	-	-	-	35,010	42,480	42,480	119,970
Total Recurrent Costs											11,928	72,574	109,598	109,598	68,006	65,846	59,645	497,196
Total											12,493	116,340	259,620	327,659	166,456	91,456	72,255	1,046,280

\a For non-farm activities	\g Both PNGOs and ULIPH Federations would be encouraged to participate
\b First support	\h Assumed at 25% of total cost
\c Second support	\i Assumed at 30% of total costs
\d a batch of 20 for 4 days at INR 1500 per participant	\j For ULIPH Blocks
\e a set of 2 computers, one furniture set, 2 printers & miscellaneous equipment	\k For old blocks only
\f a set of computer, one printer, one laptop, furniture, miscellaneous equipment	\l Lumpsum provisions

TABLE-1.1: FOOD SECURITY & UPSCALING-TOTAL COSTS AND FINANCING RULES

Totals Including Contingencies (INR '000)								Other Accounts						
12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency	
INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 1.1. Food Security & Scaling up														
Detailed Costs														
I. Investment Costs														
A. Irrigation & Infrastructure														
Micro-irrigation	-	-	15,632	8,168	8,535	8,920	-	41,255	CW_EA	CW_DA	IFAD (75%), BEN (15%)	CW_PA	LCL_SHOPPING_PM (100%)	UGVS
Other irrigation works	-	-	-	53,091	23,777	-	-	76,869	CW_EA	CW_DA	IFAD (75%), BEN (15%)	CW_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Irrigation & Infrastructure	-	-	15,632	61,259	32,313	8,920	-	118,124						
B. Food Security Enhancement														
Support to VPGs/PGs 1st year	-	16,455	103,218	53,955	-	-	-	173,628	LIVE_EA	CB_DA	IFAD (90%), BEN (10%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Support to VPGs/PGs-2nd year	-	-	17,196	107,863	56,383	-	-	181,441	LIVE_EA	CB_DA	IFAD (90%), BEN (10%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Seed capital to VPGs: 1st year /a	-	658	4,127	2,147	-	-	-	6,932	LIVE_EA	CB_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Seed capital VPGs: 2nd year	-	-	688	4,313	2,244	-	-	7,244	LIVE_EA	CB_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Support to ULIPH federations	-	8,548	6,700	-	-	-	-	15,248	LIVE_EA	CB_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Food Security Enhancement	-	25,661	131,928	168,277	58,626	-	-	384,493						
C. Livelihoods upscaling														
1. New Blocks														
Agri- Plan implementation /b	-	-	2,233	4,667	7,316	-	-	14,217	LIVE_EA	CB_DA	IFAD (90%),BEN (10%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Agri Plan implementation-2 /c	-	-	-	2,334	4,877	7,645	-	14,856	LIVE_EA	CB_DA	IFAD (90%), BEN (10%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Procurement Training	-	-	335	350	366	-	-	1,051	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Financial Management Training	-	-	335	350	366	-	-	1,051	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Agency staff Training in FSIP	-	321	335	-	-	-	-	656	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Agency staff Training in convergence	-	321	335	-	-	-	-	656	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
CRP capacity building	-	160	134	105	73	-	-	472	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Convergence meeting	-	-	45	140	293	306	320	1,103	CB_EA	CB_DA	IFAD (90%)	CB_PA	CPP_PM (100%)	UGVS
BOD meeting	-	-	22	47	146	153	160	528	CB_EA	CB_DA	IFAD (90%)	CB_PA	CPP_PM (100%)	UGVS
AGM meeting	-	-	167	350	1,097	1,147	1,198	3,960	CB_EA	CB_DA	IFAD (90%)	CB_PA	CPP_PM (100%)	UGVS
Village/Block level meeting	-	278	-	-	-	-	-	278	LIVE_EA	CB_DA	IFAD (90%)	SPC_PA	CPP_PM (100%)	UGVS
Legal compliance & Audit	-	-	112	233	732	765	799	2,640	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Livestock breeding programme	-	3,847	4,020	4,201	4,390	4,587	4,794	25,837	CB_EA	CB_DA	IFAD (90%), BEN (10%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal New Blocks	-	4,926	8,073	12,777	19,656	14,603	7,270	67,305						
2. ULIPH Blocks														
Convergence meeting	286	299	313	-	-	-	-	898	CB_EA	CB_DA	IFAD (90%)	CB_PA	CPP_PM (100%)	UGVS
Annual Plan Training	256	801	-	-	-	-	-	1,057	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
BOD meeting	36	150	156	123	-	-	-	464	CB_EA	CB_DA	IFAD (90%)	CB_PA	CPP_PM (100%)	UGVS
AGM meeting	-	748	782	817	-	-	-	2,346	CB_EA	CB_DA	IFAD (90%)	CB_PA	CPP_PM (100%)	UGVS
Annual Audit	-	374	391	408	427	446	466	2,512	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Livestock breeding programme	-	7,266	7,593	7,935	8,292	8,665	9,055	48,804	CB_EA	CB_DA	IFAD (90%), BEN (10%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal ULIPH Blocks	578	9,638	9,234	9,282	8,718	9,111	9,521	56,082						
Subtotal Livelihoods upscaling	578	14,564	17,307	22,059	28,374	23,713	16,791	123,386						

TABLE-1.1: FOOD SECURITY & UPSCALING-TOTAL COSTS AND FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 1.1. Food Security & Scaling up														
Detailed Costs	Totals Including Contingencies (INR '000)							Other Accounts						
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency
I. Investment Costs														
A. Irrigation & Infrastructure														
D. Agribusiness Planning														
Agribusiness Plan preparation	-	748	1,005	467	732	-	-	2,951	LIVE_EA	CB_DA	IFAD (90%) , BEN (10%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Partner staff project planning	-	214	-	-	-	-	-	214	LIVE_EA	CB_DA	IFAD (90%) , BEN (10%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Partner staff Exposure visits /d	-	128	268	280	-	-	-	676	LIVE_EA	CB_DA	IFAD (90%) , BEN (10%)	SPC_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Agribusiness Planning	-	1,090	1,273	747	732	-	-	3,841						
E. Support to Partner Agencies														
1. Office equipment														
Social PNGO/Agencies /e	-	5,449	-	-	-	-	-	5,449	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Technical NGOs/Agencies /f	-	-	1,373	-	-	-	-	1,373	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Livelihood collectives (LC)	-	-	-	2,100	-	-	-	2,100	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Subtotal Office equipment	-	5,449	1,373	2,100	-	-	-	8,923						
Total Investment Costs	578	46,765	167,514	254,443	120,045	32,633	16,791	638,768						
II. Recurrent Costs														
A. Partner Agency Salary & Operations														
1. Social PNGO: Salary, O&M costs /g														
Livelihood Coordinators	-	2,885	6,030	6,301	1,646	-	-	16,862	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Livelihood facilitators	-	8,976	19,295	20,163	5,268	-	-	53,701	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Accountants/Assistants	-	1,923	4,020	4,201	1,097	-	-	11,241	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Operating Costs	-	2,500	5,226	5,461	1,427	-	-	14,613	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Overhead costs /h	-	4,039	8,441	8,821	2,305	-	-	23,606	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Subtotal Social PNGO: Salary, O&M costs	-	20,323	43,011	44,947	11,742	-	-	120,023						
2. Technical PNGO: salary, O&M costs														
Coordinators	-	577	2,412	2,520	2,634	2,752	2,876	13,772	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Agri-business officers	-	1,667	6,968	7,281	7,609	7,951	6,232	37,707	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Business Development officers	-	1,667	6,968	7,281	7,609	7,951	6,232	37,707	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Market Linkage Officers	-	385	1,608	1,680	1,756	1,835	1,438	8,702	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Junior Engineers	-	385	1,608	1,680	1,756	1,835	-	7,264	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Accountants/Assistants	-	192	804	840	878	917	959	4,591	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Operating costs	-	769	3,216	3,361	3,512	3,670	2,876	17,403	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Overheads /i	-	600	2,508	2,621	2,739	2,862	2,243	13,575	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Subtotal Technical PNGO: salary, O&M costs	-	6,242	26,091	27,265	28,492	29,774	22,856	140,719						

TABLE-1.1: FOOD SECURITY & UPSCALING-TOTAL COSTS AND FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 1.1. Food Security & Scaling up														
Detailed Costs	Totals Including Contingencies (INR '000)							Expenditure Account	Disb. Acct.	Fin. Rule	Other Accounts			Impl. Agency
	12/13	13/14	14/15	15/16	16/17	17/18	18/19				Total	Proc. Acct.	Proc. Method	
I. Investment Costs														
3. ULIPH Federations: Salary, O&M costs														
Business Coordinators-ULIPH blocks /j	3,267	13,656	14,270	14,912	-	-	-	46,105	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Business facilitators-ULIPH Blocks	1,742	7,283	7,611	7,953	-	-	-	24,589	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Accountants/Assistants-ULIPH blocks	2,178	9,104	9,513	9,941	-	-	-	30,737	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
ULIPH federations Operating costs /k	2,831	11,835	12,367	12,924	-	-	-	39,958	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Overheads of ULIPH federations /l	2,178	9,104	9,513	9,941	-	-	-	30,737	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Subtotal ULIPH Federations: Salary, O&M costs	12,196	50,981	53,275	55,672	-	-	-	172,125						
4. LC in New Blocks: Salaries, allowances														
Livelihood Coordinator	-	-	-	-	11,523	13,762	14,381	39,665	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Livelihood facilitators	-	-	-	-	15,803	22,019	23,009	60,831	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Accountants/Assistant	-	-	-	-	7,682	9,174	9,587	26,444	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Travel allowances	-	-	-	-	7,682	9,174	9,587	26,444	OM_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Subtotal LC in New Blocks: Salaries, allowances	-	-	-	-	42,689	54,129	56,565	153,383						
Total Recurrent Costs	12,196	77,546	122,377	127,884	82,924	83,903	79,421	586,250						
Total	12,774	124,310	289,891	382,327	202,969	116,536	96,212	1,225,018						

/a For non-farm activities
 /b First support
 /c Second support
 /d a batch of 20 for 4 days at INR 1500 per participant
 /e a set of 2 computers, one furniture set, 2 printers & miscellaneous equipment
 /f a set of computer, one printer, one laptop, furniture, miscellaneous equipment

TABLE-1.2: MARKET ACCESS-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 1.2. Market Access																		
Detailed Costs																		
	Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)								
		12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
I. Investment Costs																		
A. Last mile Infrastructure																		
River crossing trolleys & ropeways	No	-	-	1	1	2	2	-	6	1,000,000	-	-	1,000	1,000	2,000	2,000	-	6,000
ICT-based information	Lumpsum	-	1	1	1	-	-	-	3	200,000	-	200	200	200	-	-	-	600
Subtotal Last mile Infrastructure																		
B. Assembly markets																		
Collection centres /a	No	-	-	10	20	20	10	-	60	1,000,000	-	-	10,000	20,000	20,000	10,000	-	60,000
C. Capacity building																		
Farmer exposure visit to market /b	No	10	10	20	30	30	20	-	120	50,000	500	500	1,000	1,500	1,500	1,000	-	6,000
Agency staff AUP preparation training	No	-	1	3	-	-	-	-	4	50,000	-	50	150	-	-	-	-	200
Agency staff business Plan preparation	No	-	1	3	-	-	-	-	4	50,000	-	50	150	-	-	-	-	200
Farmers exposure visit to Market /c	No	-	70	70	-	-	-	-	140	50,000	-	3,500	3,500	-	-	-	-	7,000
Subtotal Capacity building																		
D. Sub-sector development: New Blocks /d																		
Value-chain planning & reviews	No	9	-	9	-	9	-	9	36	30,000	270	-	270	-	270	-	270	1,080
Enterprises assessment study	No	-	-	-	9	-	9	-	18	25,000	-	-	-	225	-	225	-	450
Technical Assistance	Pers_month	18	-	36	36	36	-	-	126	40,000	720	-	1,440	1,440	1,440	-	-	5,040
Market / value chain studies	study	2	6	10	-	-	-	-	18	400,000	800	2,400	4,000	-	-	-	-	7,200
Buyers visits	No	-	3	3	3	-	-	-	9	75,000	-	225	225	225	-	-	-	675
Organising Fairs	No	-	-	12	12	12	12	12	60	100,000	-	-	1,200	1,200	1,200	1,200	1,200	6,000
Buyer-seller meet at clusters	Block	-	-	9	9	9	9	9	45	30,000	-	-	270	270	270	270	270	1,350
Promotion, Miscellaneous	LC	-	-	30	60	60	60	-	210	25,000	-	-	750	1,500	1,500	1,500	-	5,250
Subtotal Sub-sector development: New Blocks																		
E. Sub-sector development: ULIPH Blocks /e																		
Value-chain planning & reviews	No	17	-	-	-	-	-	-	17	30,000	510	-	-	-	-	-	-	510
Enterprises assessment study	No	-	17	-	17	-	-	-	34	25,000	-	425	-	425	-	-	-	850
Technical Assistance	Pers_month	15	51	51	36	-	-	-	153	40,000	600	2,040	2,040	1,440	-	-	-	6,120
Buyer-seller meet at clusters	Block	5	17	17	12	-	-	-	51	30,000	150	510	510	360	-	-	-	1,530
Promotion, Miscellaneous	LC	30	70	50	-	-	-	-	150	25,000	750	1,750	1,250	-	-	-	-	3,750
Subtotal Sub-sector development: ULIPH Blocks																		
Total																		
											4,300	11,650	27,955	29,785	28,180	16,195	1,740	119,805

\a Some 40 to 50 ton capacity & equipment

\b a five day visit

\c for ULIPH blocks

\d In new Blocks

\e In ULIPH Blocks

TABLE-1.2: MARKET ACCESS-TOTAL COSTS & FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 1.2. Market Access														
Detailed Costs	Totals Including Contingencies (INR '000)							Other Accounts						
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency
I. Investment Costs														
A. Last mile Infrastructure														
River crossing trolleys & ropeways	-	-	1,117	1,167	2,439	2,548	-	7,271	CW_EA	CW_DA	IFAD (90%)	CW_PA	LCL_SHOPPING_PM (100%)	UGVS
ICT-based information	-	214	223	233	-	-	-	670	CW_EA	CW_DA	IFAD (90%)	CW_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Last mile Infrastructure	-	214	1,340	1,400	2,439	2,548	-	7,941						
B. Assembly markets														
Collection centres /a	-	-	11,166	23,337	24,387	12,742	-	71,632	CW_EA	CW_DA	IFAD (90%)	CW_PA	LCL_SHOPPING_PM (100%)	UGVS
C. Capacity building														
Farmer exposure visit to market /b	511	534	1,117	1,750	1,829	1,274	-	7,016	CB_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Agency staff AUP preparation training	-	53	167	-	-	-	-	221	CB_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Agency staff business Plan preparation	-	53	167	-	-	-	-	221	CB_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Farmers exposure visit to Market /c	-	3,740	3,908	-	-	-	-	7,648	CB_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	UGVS
Subtotal Capacity building	511	4,381	5,360	1,750	1,829	1,274	-	15,105						
D. Sub-sector development: New Blocks /d														
Value-chain planning & reviews	276	-	301	-	329	-	360	1,266	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Enterprises assessment study	-	-	-	263	-	287	-	549	SURVEY_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Technical Assistance	736	-	1,608	1,680	1,756	-	-	5,780	TA_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Market / value chain studies	818	2,564	4,466	-	-	-	-	7,849	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Buyers visits	-	240	251	263	-	-	-	754	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Organising Fairs	-	-	1,340	1,400	1,463	1,529	1,598	7,330	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Buyer-seller meet at clusters	-	-	301	315	329	344	360	1,649	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Promotion, Miscellaneous	-	-	837	1,750	1,829	1,911	-	6,328	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Sub-sector development: New Blocks	1,830	2,805	9,106	5,671	5,707	4,071	2,317	31,506						
E. Sub-sector development: ULIPH Blocks /e														
Value-chain planning & reviews	521	-	-	-	-	-	-	521	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Enterprises assessment study	-	454	-	496	-	-	-	950	SURVEY_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Technical Assistance	614	2,180	2,278	1,680	-	-	-	6,751	TA_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Buyer-seller meet at clusters	153	545	569	420	-	-	-	1,688	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Promotion, Miscellaneous	767	1,870	1,396	-	-	-	-	4,033	BUSINESS_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Sub-sector development: ULIPH Blocks	2,055	5,049	4,243	2,596	-	-	-	13,943						
Total	4,397	12,448	31,214	34,754	34,361	20,636	2,317	140,128						

\a Some 40 to 50 ton capacity & equipment

\b a five day visit

\c for ULIPH blocks

\d In new Blocks

\e In ULIPH Blocks

TABLE-1.3: INNOVATION LINKAGES-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 1.3. Innovation Linkages																		
Detailed Costs																		
	Unit	Quantities							Total	Unit Cost (INR)	Base Cost (INR '000)							Total
		12/13	13/14	14/15	15/16	16/17	17/18	18/19			12/13	13/14	14/15	15/16	16/17	17/18	18/19	
I. Investment Costs																		
A. Linkages with R&D Institutions																		
VPKAS Crop research /a	year	0.1	1	1	1	1	1	0.9	6	6,047,000	605	6,047	6,047	6,047	6,047	6,047	5,442	36,282
GBPUAT Training & research	year	-	1	1	1	-	-	-	3	2,500,000	-	2,500	2,500	2,500	-	-	-	7,500
HARC citrus action research	year	0.25	1	1	0.75	-	-	-	3	2,500,000	625	2,500	2,500	1,875	-	-	-	7,500
Livestock & poultry others	year	-	-	1	1	1	-	-	3	1,000,000	-	-	1,000	1,000	1,000	-	-	3,000
Non-farm & Market Development- Pilots /b	Lumpsum	-	1	1	1	1	1	1	6	3,000,000	-	3,000	3,000	3,000	3,000	3,000	3,000	18,000
Action Research on NTFP value chain	Lumpsum	-	1	1	1	1	1	1	6	2,000,000	-	2,000	2,000	2,000	2,000	2,000	2,000	12,000
Action Research on Organic value chain	Lumpsum	-	1	1	1	1	1	-	5	1,500,000	-	1,500	1,500	1,500	1,500	-	-	7,500
Action Research on eco-tourism value chain	Lumpsum	0.1	1	1	1	1	0.9	-	5	1,000,000	100	1,000	1,000	1,000	1,000	900	-	5,000
Action Research with Business Schools /c	No	-	6	6	6	6	6	-	30	50,000	-	300	300	300	300	-	-	1,500
Innovations with Grant Partners	No	-	1	1	1	1	-	-	4	500,000	-	500	500	500	500	-	-	2,000
Other Innovation Linkages	No	-	1	1	1	1	-	-	4	300,000	-	300	300	300	-	-	-	1,200
Total											1,330	19,647	20,647	20,022	15,647	13,747	10,442	101,482

\a cost of expanding new and tested technologies to farmers field

\b with UBFDB

\c Students from Business Schools

TABLE-1.3: INNOVATION LINKAGES-TOTAL COSTS & FINANCING RULES

INDIA																	
Uttarakhand: Integrated Livelihoods Support Programme																	
Table 1.3. Innovation Linkages																	
Detailed Costs																	
	Totals Including Contingencies (INR '000)								Other Accounts								
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency			
I. Investment Costs																	
A. Linkages with R&D Institutions																	
VPKAS Crop research /a	618	6,461	6,752	7,056	7,373	7,705	7,247	43,213	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
GBPUAT Training & research	-	2,671	2,791	2,917	-	-	-	8,380	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
HARC citrus action research	639	2,671	2,791	2,188	-	-	-	8,290	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Livestock & poultry others	-	-	1,117	1,167	1,219	-	-	3,503	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM(100%)	UGVS			
Non-farm & Market Development- Pilots /b	-	3,206	3,350	3,501	3,658	3,823	3,995	21,531	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Action Research on NTFP value chain	-	2,137	2,233	2,334	2,439	2,548	2,663	14,354	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Action Research on Organic value chain	-	1,603	1,675	1,750	1,829	1,911	-	8,768	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Action Research on eco-tourism value chain	102	1,069	1,117	1,167	1,219	1,147	-	5,820	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Action Research with Business Schools /c	-	321	335	350	366	382	-	1,754	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Innovations with Grant Partners	-	534	558	583	610	-	-	2,286	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Other Innovation Linkages	-	321	335	350	366	-	-	1,371	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UGVS			
Total	1,360	20,993	23,054	23,363	19,079	17,517	13,905	119,270									

\a cost of expanding new and tested technologies to farmers field

\b with UBFDB

\c Students from Business Schools

TABLE-1.4: VOCATIONAL TRAINING-BASELINE COSTS

INDIA																	
Uttarakhand: Integrated Livelihoods Support Programme																	
Table 1.4. Vocational Training																	
Detailed Costs																	
Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)							
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
I. Investment Costs																	
A. Vocational Training																	
Planning study for vocational training	study	1	-	-	-	-	-	-	1	2,000,000	2,000	-	-	-	-	-	2,000
Support to Youth for vocational training	candidate	-	1,000	2,000	2,000	2,000	2,000	1,000	10,000	20,000	-	20,000	40,000	40,000	40,000	20,000	200,000
Facilitation fees to resource agency	student	-	1,000	2,000	2,000	2,000	2,000	1,000	10,000	500	-	500	1,000	1,000	1,000	500	5,000
Total											2,000	20,500	41,000	41,000	41,000	20,500	207,000

TABLE-1.4: VOCATIONAL TRAINING-TOTAL COSTS & FINANCING RULES

INDIA																
Uttarakhand: Integrated Livelihoods Support Programme																
Table 1.4. Vocational Training																
Detailed Costs																
	Totals Including Contingencies (INR '000)								Expenditure Account	Disb. Acct.	Fin. Rule	Other Accounts			Impl. Agency	
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total				Proc. Acct.	Proc. Method			
I. Investment Costs																
A. Vocational Training																
Planning study for vocational training	2,000	-	-	-	-	-	-	2,000	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)		UGVS	
Support to Youth for vocational training	-	20,000	40,000	40,000	40,000	40,000	20,000	200,000	CB_EA	CB_DA	IFAD (75%), BEN (25%)	CB_PA	LCL_SHOPPING_PM (100%)		UGVS	
Facilitation fees to resource agency	-	500	1,000	1,000	1,000	1,000	500	5,000	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)		UGVS	
Total	2,000	20,500	41,000	41,000	41,000	41,000	20,500	207,000								

TABLE-1.5: UGVS PROJECT MANAGEMENT UNIT-BASELINE COSTS

INDIA																			
Uttarakhand: Integrated Livelihoods Support Programme																			
Table 1.5. UGVS Project Management unit																			
Detailed Costs																			
	Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)								
		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	
I. Investment Costs																			
A. State level unit																			
1. Vehicles																			
Field vehicle	No	-	2	-	-	-	-	-	2	600,000	-	1,200	-	-	-	-	-	-	1,200
Motor cycles	No	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Subtotal Vehicles											-	1,200	-	-	-	-	-	-	1,200
2. Office Equipment																			
Computers	No	-	4	-	-	-	-	-	4	40,000	-	160	-	-	-	-	-	-	160
Laptops	No	-	8	-	-	-	-	-	8	40,000	-	320	-	-	-	-	-	-	320
Printers-multifunction	No	-	-	-	-	2	-	-	2	75,000	-	-	-	-	150	-	-	-	150
Printers	No	-	-	-	-	2	-	-	2	10,000	-	-	-	-	20	-	-	-	20
Subtotal Office Equipment											-	480	-	-	170	-	-	-	650
3. TA & Staff Training																			
Consultants	pers_month	15	60	60	60	60	60	60	375	30,000	450	1,800	1,800	1,800	1,800	1,800	1,800	1,800	11,250
Staff Training	Lumpsum	2	1	1	1	1	1	-	7	100,000	200	100	100	100	100	100	-	-	700
Study tours	Number	1	2	2	2	2	1	-	10	500,000	500	1,000	1,000	1,000	1,000	500	-	-	5,000
Annual retreat	Number	-	1	1	1	1	1	1	6	1,000,000	-	1,000	1,000	1,000	1,000	1,000	1,000	1,000	6,000
Subtotal TA & Staff Training											1,150	3,900	3,900	3,900	3,900	3,400	2,800	22,950	
Subtotal State level unit											1,150	5,580	3,900	3,900	4,070	3,400	2,800	24,800	
B. Divisional level																			
1. Field vehicles																			
Field vehicle	No	-	7	-	-	-	-	-	7	600,000	-	4,200	-	-	-	-	-	-	4,200
Motor cycles	No	-	20	-	-	-	-	-	20	60,000	-	1,200	-	-	-	-	-	-	1,200
Subtotal Field vehicles											-	5,400	-	-	-	-	-	-	5,400
2. Office Equipment																			
Computers	No	-	-	6	-	-	-	-	6	40,000	-	-	240	-	-	-	-	-	240
Laptops	No	-	-	6	-	-	-	-	6	40,000	-	-	240	-	-	-	-	-	240
Printers-multifunction	No	-	-	-	-	6	-	-	6	75,000	-	-	-	-	450	-	-	-	450
Printers	No	-	-	-	-	12	-	-	12	10,000	-	-	-	-	120	-	-	-	120
Other equipment	No	-	6	-	6	-	-	-	12	100,000	-	600	-	600	-	-	-	-	1,200
Subtotal Office Equipment											-	600	480	600	570	-	-	-	2,250
3. TA & Staff Training																			
Training NGO & UGVS staff	course	2	4	-	-	-	-	-	6	100,000	200	400	-	-	-	-	-	-	600
Subtotal Divisional level											200	6,400	480	600	570	-	-	-	8,250
Total Investment Costs											1,350	11,980	4,380	4,500	4,640	3,400	2,800	33,050	

TABLE-1.5: UGVS PROJECT MANAGEMENT UNIT-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 1.5. UGVS Project Management unit																		
Detailed Costs																		
	Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)							Total	
		12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18		18/19
II. Recurrent Costs																		
A. State level																		
1. Staff salary																		
Project Director /a	pers_month	-	12	12	12	12	12	12	72	150,000	-	1,800	1,800	1,800	1,800	1,800	1,800	10,800
Chief Programme Manager/DPD	pers_month	-	12	12	12	12	12	12	72	95,000	-	1,140	1,140	1,140	1,140	1,140	1,140	6,840
Chief /Convergence Officer	pers_month	-	12	12	12	12	12	12	72	75,000	-	900	900	900	900	900	900	5,400
Programme Manager-Gender & Institutions	pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
Programme Manager-Market Access	pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
Programme Manager-Agri/horti /b	pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
Audit Manager-UGVS	pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
Finance Manager	pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
HR Manager	pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
Programme Manager-Tourism	pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
Asst Manager: Finance	pers_month	-	24	24	24	24	24	24	144	35,000	-	840	840	840	840	840	840	5,040
Assistant - Finance	pers_month	-	24	24	24	24	24	24	144	16,500	-	396	396	396	396	396	396	2,376
Project Assistant	pers_month	-	48	48	48	48	48	48	288	16,500	-	792	792	792	792	792	792	4,752
Drivers	pers_month	-	36	36	36	36	36	36	216	14,000	-	504	504	504	504	504	504	3,024
Attendants	pers_month	-	24	24	24	24	24	24	144	12,000	-	288	288	288	288	288	288	1,728
Security Guards	pers_month	-	24	24	24	24	24	24	144	12,000	-	288	288	288	288	288	288	1,728
Subtotal Staff salary											-	11,568	11,568	11,568	11,568	11,568	11,568	69,408
2. Operating costs																		
Staff travel allowance	month	3	12	12	12	12	12	12	75	160,000	480	1,920	1,920	1,920	1,920	1,920	1,920	12,000
Office operating costs	month	3	12	12	12	12	12	12	75	250,000	750	3,000	3,000	3,000	3,000	3,000	3,000	18,750
Office rent	month	-	12	12	12	12	12	12	72	80,000	-	960	960	960	960	960	960	5,760
Subtotal Operating costs											1,230	5,880	5,880	5,880	5,880	5,880	5,880	36,510
Subtotal State level											1,230	17,448	17,448	17,448	17,448	17,448	17,448	105,918

TABLE-1.5: UGVS PROJECT MANAGEMENT UNIT-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 1.5. UGVS Project Management unit																		
Detailed Costs																		
	Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)							Total	
		12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18		18/19
II. Recurrent Costs																		
B. Divisional level																		
1. Staff salary																		
Divisional Project Managers	pers_month	-	72	72	72	72	72	72	432	50,000	-	3,600	3,600	3,600	3,600	3,600	3,600	21,600
Asst Managers-Market Access & tourism	pers_month	-	72	72	72	72	72	72	432	32,000	-	2,304	2,304	2,304	2,304	2,304	2,304	13,824
Asst Managers- Finance	pers_month	-	72	72	72	72	72	72	432	32,000	-	2,304	2,304	2,304	2,304	2,304	2,304	13,824
Asst Manager-Agri/horticulture	pers_month	-	72	72	72	72	72	72	432	32,000	-	2,304	2,304	2,304	2,304	2,304	2,304	13,824
Asst Manager-Institutions & Gender	pers_month	-	72	72	72	72	72	72	432	32,000	-	2,304	2,304	2,304	2,304	2,304	2,304	13,824
Asst Managers-Planning & M&E	pers_month	-	72	72	72	72	72	72	432	32,000	-	2,304	2,304	2,304	2,304	2,304	2,304	13,824
Internal Auditors	pers_month	-	72	72	72	72	72	72	432	25,000	-	1,800	1,800	1,800	1,800	1,800	1,800	10,800
Assistants	pers_month	-	288	288	288	288	288	288	1,728	16,500	-	4,752	4,752	4,752	4,752	4,752	4,752	28,512
Drivers	pers_month	-	144	144	144	144	144	144	864	14,000	-	2,016	2,016	2,016	2,016	2,016	2,016	12,096
Attendants	pers_month	-	288	288	288	288	288	288	1,728	12,000	-	3,456	3,456	3,456	3,456	3,456	3,456	20,736
Security Guards	pers_month	-	144	144	144	144	144	144	864	12,000	-	1,728	1,728	1,728	1,728	1,728	1,728	10,368
Subtotal Staff salary											-	28,872	28,872	28,872	28,872	28,872	28,872	173,232
2. Operating costs																		
Staff travel allowance	month	3	72	72	72	72	72	72	435	100,000	300	7,200	7,200	7,200	7,200	7,200	7,200	43,500
Office operating costs	month	3	72	72	72	72	72	72	435	90,000	270	6,480	6,480	6,480	6,480	6,480	6,480	39,150
Office rent	month	-	72	72	72	72	72	72	432	30,000	-	2,160	2,160	2,160	2,160	2,160	2,160	12,960
Subtotal Operating costs											570	15,840	15,840	15,840	15,840	15,840	15,840	95,610
Subtotal Divisional level											570	44,712	44,712	44,712	44,712	44,712	44,712	268,842
Total Recurrent Costs											1,800	62,160	62,160	62,160	62,160	62,160	62,160	374,760
Total											3,150	74,140	66,540	66,660	66,800	65,560	64,960	407,810

\a PD, UGVS will also act as Project Coordinator for ILSP

\b Or Technical Officer

TABLE-1.5: UGVS PROJECT MANAGEMENT UNIT-TOTAL COSTS & FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 1.5. UGVS Project Management unit														
Detailed Costs	Totals Including Contingencies (INR '000)							Expenditure Account	Disb. Acct.	Fin. Rule	Other Accounts		Impl. Agency	
	12/13	13/14	14/15	15/16	16/17	17/18	18/19				Total	Proc. Acct.		Proc. Method
I. Investment Costs														
A. State level unit														
1. Vehicles														
Field vehicle	-	1,282	-	-	-	-	-	1,282	VEHIC_EA	VEM_DA	IFAD (75%)	VEHIC_PA	LCL_SHOPPING_PM (100%)	UGVS
Motor cycles	-	-	-	-	-	-	-	-	VEHIC_EA	VEM_DA	IFAD (75%)	VEHIC_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Vehicles	-	1,282	-	-	-	-	-	1,282						
2. Office Equipment														
Computers	-	171	-	-	-	-	-	171	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Laptops	-	342	-	-	-	-	-	342	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Printers-multifunction	-	-	-	-	183	-	-	183	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Printers	-	-	-	-	24	-	-	24	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Subtotal Office Equipment	-	513	-	-	207	-	-	720						
3. TA & Staff Training														
Consultants	460	1,923	2,010	2,100	2,195	2,294	2,397	13,379	TA_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Staff Training	205	107	112	117	122	127	-	789	TRAIN_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Study tours	511	1,069	1,117	1,167	1,219	637	-	5,720	CB_EA	CB_DA	IFAD (90%)	CB_PA	FOR_ACCOUNT_PM (100%)	UGVS
Annual retreat	-	1,069	1,117	1,167	1,219	1,274	1,332	7,177	CB_EA	CB_DA	IFAD (90%)	CB_PA	FOR_ACCOUNT_PM (100%)	UGVS
Subtotal TA & Staff Training	1,176	4,167	4,355	4,551	4,755	4,332	3,728	27,065						
Subtotal State level unit	1,176	5,962	4,355	4,551	4,963	4,332	3,728	29,067						
B. Divisional level														
1. Field vehicles														
Field vehicle	-	4,488	-	-	-	-	-	4,488	VEHIC_EA	VEM_DA	IFAD (75%)	VEHIC_PA	LCB_PM(100%)	UGVS
Motor cycles	-	1,282	-	-	-	-	-	1,282	VEHIC_EA	VEM_DA	IFAD (75%)	VEHIC_PA	LCB_PM(100%)	UGVS
Subtotal Field vehicles	-	5,770	-	-	-	-	-	5,770						
2. Office Equipment														
Computers	-	-	268	-	-	-	-	268	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Laptops	-	-	268	-	-	-	-	268	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Printers-multifunction	-	-	-	-	549	-	-	549	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Printers	-	-	-	-	146	-	-	146	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Other equipment	-	641	-	700	-	-	-	1,341	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Subtotal Office Equipment	-	641	536	700	695	-	-	2,572						
3. TA & Staff Training														
Training NGO & UGVS staff	205	427	-	-	-	-	-	632	TRAIN_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Divisional level	205	6,838	536	700	695	-	-	8,974						
Total Investment Costs	1,380	12,801	4,891	5,251	5,658	4,332	3,728	38,041						

TABLE-1.5: UGVS PROJECT MANAGEMENT UNIT-TOTAL COSTS & FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 1.5. UGVS Project Management unit														
Detailed Costs	Totals Including Contingencies (INR '000)							Expenditure Account	Disb. Acct.	Fin. Rule	Other Accounts		Impl. Agency	
	12/13	13/14	14/15	15/16	16/17	17/18	18/19				Total	Proc. Acct.		Proc. Method
II. Recurrent Costs														
A. State level														
1. Staff salary														
Project Director /a	-	1,923	2,010	2,100	2,195	2,294	2,397	12,919	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Chief Programme Manager/DPD	-	1,218	1,273	1,330	1,390	1,453	1,518	8,182	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Chief /Convergence Officer	-	962	1,005	1,050	1,097	1,147	1,198	6,459	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Programme Manager-Gender & Institutions	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Programme Manager-Market Access	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Programme Manager-Agri/horti /b	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Audit Manager-UGVS	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Finance Manager	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
HR Manager	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Programme Manager-Tourism	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Asst Manager: Finance	-	898	938	980	1,024	1,070	1,119	6,029	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Assistant - Finance	-	423	442	462	483	505	527	2,842	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Project Assistant	-	846	884	924	966	1,009	1,055	5,684	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Drivers	-	539	563	588	615	642	671	3,617	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Attendants	-	308	322	336	351	367	383	2,067	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Security Guards	-	308	322	336	351	367	383	2,067	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Subtotal Staff salary	-	12,361	12,917	13,498	14,105	14,740	15,403	83,024						
2. Operating costs														
Staff travel allowance	491	2,052	2,144	2,240	2,341	2,447	2,557	14,271	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UGVS
Office operating costs	767	3,206	3,350	3,501	3,658	3,823	3,995	22,298	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UGVS
Office rent	-	1,026	1,072	1,120	1,171	1,223	1,278	6,890	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UGVS
Subtotal Operating costs	1,258	6,283	6,566	6,861	7,170	7,492	7,830	43,459						
Subtotal State level	1,258	18,643	19,482	20,359	21,275	22,233	23,233	126,483						

TABLE-1.5: UGVS PROJECT MANAGEMENT UNIT-TOTAL COSTS & FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 1.5. UGVS Project Management unit														
Detailed Costs	Totals Including Contingencies (INR '000)							Other Accounts						
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency
II. Recurrent Costs														
B. Divisional level														
1. Staff salary														
Divisional Project Managers	-	3,847	4,020	4,201	4,390	4,587	4,794	25,837	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Asst Managers-Market Access & tourism	-	2,462	2,573	2,688	2,809	2,936	3,068	16,536	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Asst Managers- Finance	-	2,462	2,573	2,688	2,809	2,936	3,068	16,536	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Asst Manager-Agri/horticulture	-	2,462	2,573	2,688	2,809	2,936	3,068	16,536	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Asst Manager-Institutions & Gender	-	2,462	2,573	2,688	2,809	2,936	3,068	16,536	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Asst Managers-Planning & M&E	-	2,462	2,573	2,688	2,809	2,936	3,068	16,536	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Internal Auditors	-	1,923	2,010	2,100	2,195	2,294	2,397	12,919	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Assistants	-	5,078	5,306	5,545	5,794	6,055	6,328	34,105	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Drivers	-	2,154	2,251	2,352	2,458	2,569	2,684	14,469	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Attendants	-	3,693	3,859	4,033	4,214	4,404	4,602	24,804	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Security Guards	-	1,846	1,929	2,016	2,107	2,202	2,301	12,402	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Subtotal Staff salary	-	30,850	32,238	33,689	35,205	36,789	38,445	207,217						
2. Operating costs														
Staff travel allowance	307	7,693	8,039	8,401	8,779	9,174	9,587	51,982	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UGVS
Office operating costs	276	6,924	7,236	7,561	7,901	8,257	8,629	46,784	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UGVS
Office rent	-	2,308	2,412	2,520	2,634	2,752	2,876	15,502	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UGVS
Subtotal Operating costs	583	16,925	17,687	18,483	19,315	20,184	21,092	114,268						
Subtotal Divisional level	583	47,775	49,925	52,172	54,520	56,973	59,537	321,485						
Total Recurrent Costs	1,841	66,419	69,408	72,531	75,795	79,206	82,770	447,968						
Total	3,221	79,220	74,298	77,782	81,453	83,538	86,498	486,009						

\a PD, UGVS will also act as Project Coordinator for ILSP
\b Or Technical Officer

TABLE-3.1: LIVELIHOOD FINANCE-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 3.1. Livelihood Finance																		
Detailed Costs																		
	Unit	Quantities							Total	Unit Cost (INR)	Base Cost (INR '000)							
		12/13	13/14	14/15	15/16	16/17	17/18	18/19			12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
I. Investment Costs																		
A. Vehicles																		
Field vehicle	No	-	1	-	-	-	-	-	1	600,000	-	600	-	-	-	-	600	
B. Financial initiatives																		
Security support to BF	No	-	5	6	-	-	-	-	11	25,000	-	125	150	-	-	-	275	
Operational Support to BF	No	-	5	6	-	-	-	-	11	60,000	-	300	360	-	-	-	660	
Product literacy training	LC	10	70	10	20	20	-	-	130	10,000	100	700	100	200	200	-	1,300	
Product literacy training materials	LC	10	70	10	20	30	-	-	140	2,000	20	140	20	40	60	-	280	
Subtotal Financial initiatives											120	1,265	630	240	260	-	2,515	
C. Risk Management																		
Insurance premium study	LS	-	1	-	-	-	-	-	1	500,000	-	500	-	-	-	-	500	
Risk insurance workshop	LS	-	2	-	-	-	-	-	2	100,000	-	200	-	-	-	-	200	
Risk insurance implementation support	LS	-	-	6	-	-	-	-	6	500,000	-	-	3,000	-	-	-	3,000	
Subtotal Risk Management											-	700	3,000	-	-	-	3,700	
D. Banking Initiatives																		
Training LCs on banking product	No	-	5	-	6	-	-	-	11	100,000	-	500	-	600	-	-	1,100	
Workshop: districts and state	No	3	7	12	12	12	-	-	46	15,000	45	105	180	180	180	-	690	
Training LC on Appraisal skills /a	No	5	5	6	6	-	-	-	22	150,000	750	750	900	900	-	-	3,300	
Bankers Exposure visits	No	1	-	1	-	-	-	-	2	300,000	300	-	300	-	-	-	600	
Bank linkage through PACs strengthening	PACs	-	-	2	6	-	-	-	8	150,000	-	-	300	900	-	-	1,200	
Bank linkage through PACs strengthening	PACs	-	-	-	2	6	-	-	8	100,000	-	-	-	200	600	-	800	
Branch Expansion Support-RFI	branches	-	6	6	-	-	-	-	12	100,000	-	600	600	-	-	-	1,200	
Branch expansion support-RFI /b	branches	-	-	6	6	-	-	-	12	100,000	-	-	600	-	-	-	1,200	
Impact study on RFI	study	-	-	-	1	-	-	-	1	500,000	-	-	-	500	-	-	500	
Subtotal Banking Initiatives											1,095	1,955	2,880	3,880	780	-	10,590	
E. Fund support to LC																		
Viability Gap Fund to LC	No	-	10	10	20	30	30	-	100	200,000	-	2,000	2,000	4,000	6,000	6,000	-	20,000
Grant to PG/SHG /c	LS	-	250	250	500	1,000	1,000	-	3,000	15,000	-	3,750	3,750	7,500	15,000	15,000	-	45,000
Subtotal Fund support to LC											-	5,750	5,750	11,500	21,000	21,000	-	65,000
F. Development Financing																		
Development financing	Lumpsum	-	-	-	-	-	-	-	-	-	-	-	30,000	30,000	10,000	-	70,000	
Leveraged credit for SMEs	Lumpsum	-	-	50	100	200	200	-	560	200,000	-	2,000	10,000	20,000	40,000	40,000	-	112,000
Term loans to micro-enterprises	No	-	100	500	1,000	2,000	2,500	-	6,100	75,000	-	7,500	37,500	75,000	150,000	187,500	-	457,500
Cash-credit limits to SHGs	No	-	100	300	500	1,000	1,560	-	3,460	50,000	-	5,000	15,000	25,000	50,000	78,000	-	173,000
Kisan credit cards	No	-	500	1,000	2,000	3,000	3,000	-	9,500	25,000	-	12,500	25,000	50,000	75,000	75,000	-	237,500
Subtotal Development Financing											-	27,000	117,500	200,000	325,000	380,500	-	1,050,000
Total Investment Costs											1,215	37,270	129,760	215,620	347,040	401,500	-	1,132,405

TABLE-3.1: LIVELIHOOD FINANCE-BASELINE COSTS

INDIA																			
Uttarakhand: Integrated Livelihoods Support Programme																			
Table 3.1. Livelihood Finance																			
Detailed Costs																			
Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)									
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		
II. Recurrent Costs																			
A. UPASAC Management																			
1. Staff Salary																			
Managing Director /d	pers_monthl	3	12	12	12	12	12	12	75	-	-	-	-	-	-	-	-		
Chief Executive Officer	pers_monthl	3	12	12	12	12	12	12	75	100,000	300	1,200	1,200	1,200	1,200	1,200	1,200	7,500	
Manager Development Finance	pers_monthl	3	12	12	12	12	12	12	75	75,000	225	900	900	900	900	900	900	5,625	
Deputy Manager Finance	pers_monthl	3	12	12	12	12	12	12	75	50,000	150	600	600	600	600	600	600	3,750	
Rural Finance Coordinators /e	pers_monthl	30	72	72	120	120	120	120	654	25,000	750	1,800	1,800	3,000	3,000	3,000	3,000	16,350	
Assistant	pers_monthl	6	12	12	12	12	12	12	78	15,000	90	180	180	180	180	180	180	1,170	
Driver	pers_monthl	3	12	12	12	12	12	12	75	14,000	42	168	168	168	168	168	168	1,050	
Subtotal Staff Salary																			
2. Other expenditures																			
Staff travelling allowancee	month	3	12	12	12	12	12	12	75	80,000	240	960	960	960	960	960	960	6,000	
Office operating costs /f	month	3	12	12	12	12	12	12	75	100,000	300	1,200	1,200	1,200	1,200	1,200	1,200	7,500	
Office rent	month	3	12	12	12	12	12	12	75	50,000	150	600	600	600	600	600	600	3,750	
Subtotal Other expenditures																			
Total Recurrent Costs																			
Total																			
											3,462	44,878	137,368	224,428	355,848	410,308	8,808	8,808	1,185,100

\a Training bank staff
 \b Support for the second year
 \c Grant support under Entrepreneurship scheme
 \d PD UGVS will act as the Managing Director of UPASAC
 \e to be attached to Divisional Offices
 \f at 3% of project appraisal values payable to consultants

TABLE-3.1: LIVELIHOOD FINANCE-TOTAL COSTS & FINANCING RULES

INDIA										Other Accounts					
Uttarakhand: Integrated Livelihoods Support Programme															
Table 3.1. Livelihood Finance															
Detailed Costs															
Totals Including Contingencies (INR '000)										Expenditure					Impl.
12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Agency		
I. Investment Costs															
A. Vehicles															
Field vehicle	-	641	-	-	-	-	641	VEHIC_EA	VEM_DA	IFAD (75%)	VEHIC_PA	LCL_PM(100%)	UPASAC		
B. Financial Initiatives															
Security support to BF	-	134	167	-	-	-	301	CB_EA	CB_DA	IFAD (90%), BEN (10%)	CB_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Operational Support to BF	-	321	402	-	-	-	723	CB_EA	CB_DA	IFAD (90%), BEN (10%)	CB_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Product literacy training	102	748	112	233	244	-	1,439	TRAIN_EA	CB_DA	IFAD (90%), BEN (10%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Product literacy training materials	20	150	22	47	73	-	312	EQUIP_EA	CB_DA	IFAD (90%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UPASAC		
Subtotal Financial initiatives	123	1,352	703	280	317	-	2,775								
C. Risk Management															
Insurance premium study	-	500	-	-	-	-	500	FINANCE_EA	FINANCE_DA	GOVT	FINANCING_PA	NBF_PM (100%)	UPASAC		
Risk insurance workshop	-	214	-	-	-	-	214	TRAIN_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Risk insurance implementation support	-	-	3,350	-	-	-	3,350	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Subtotal Risk Management	-	714	3,350	-	-	-	4,063								
D. Banking Initiatives															
Training LCs on banking product	-	534	-	700	-	-	1,234	TRAIN_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Workshop: districts and state	46	112	201	210	219	-	789	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Training LC on Appraisal skills /a	767	801	1,005	1,050	-	-	3,623	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Bankers Exposure visits	307	-	335	-	-	-	642	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Bank linkage through PACs strengthening	-	-	335	1,050	-	-	1,385	CB_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Bank linkage through PACs strengthening	-	-	-	233	732	-	965	CB_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Branch Expansion Support-RFI	-	641	670	-	-	-	1,311	CB_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UPASAC		
Branch expansion support-RFI /b	-	-	670	700	-	-	1,370	CB_EA	CB_DA	IFAD (90%)	CB_PA	DIR_CONTRACT_PM (100%)	UPASAC		
Impact study on RFI	-	-	-	583	-	-	583	SURVEY_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UPASAC		
Subtotal Banking Initiatives	1,120	2,089	3,216	4,527	951	-	11,903								
E. Fund support to LC															
Viability Gap Fund to LC	-	2,000	2,000	4,000	6,000	6,000	20,000	FUND_EA	FINANCE_DA	IFAD (100%)	FUND_PA	DIR_CONTRACT_PM (100%)	UPASAC		
Grant to PG/SHG /c	-	3,750	3,750	7,500	15,000	15,000	45,000	FINANCE_EA	FINANCE_DA	GOVT	FINANCING_PA	NBF_PM (100%)	UPASAC		
Subtotal Fund support to LC	-	5,750	5,750	11,500	21,000	21,000	65,000								
F. Development Financing															
Development financing	-	-	30,000	30,000	10,000	-	70,000	FINANCE_EA	FINANCE_DA	GOVT	FINANCING_PA	NBF_PM (100%)	UPASAC		
Leveraged credit for SMEs	-	2,000	10,000	20,000	40,000	40,000	112,000	FINANCE_EA	FINANCE_DA	BANKS (90%), BEN (10%)	FINANCING_PA	NBF_PM (100%)	UPASAC		
Term loans to micro-enterprises	-	7,500	37,500	75,000	150,000	187,500	457,500	FINANCE_EA	FINANCE_DA	BANKS (90%), BEN (10%)	FINANCING_PA	NBF_PM (100%)	UPASAC		
Cash-credit limits to SHGs	-	5,000	15,000	25,000	50,000	78,000	173,000	FINANCE_EA	FINANCE_DA	BANKS (100%)	FINANCING_PA	NBF_PM (100%)	UPASAC		
Kisan credit cards	-	12,500	25,000	50,000	75,000	75,000	237,500	FINANCE_EA	FINANCE_DA	BANKS (100%)	FINANCING_PA	NBF_PM (100%)	UPASAC		
Subtotal Development Financing	-	27,000	117,500	200,000	325,000	380,500	1,050,000								
Total Investment Costs	1,242	37,545	130,519	216,307	347,268	401,500	-	1,134,382							

TABLE-3.1: LIVELIHOOD FINANCE-TOTAL COSTS & FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 3.1. Livelihood Finance														
Detailed Costs	Totals Including Contingencies (INR '000)							Other Accounts						
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency
II. Recurrent Costs														
A. UPASAC Management														
1. Staff Salary														
Managing Director /d	-	-	-	-	-	-	-	-	SAA_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UPASAC
Chief Executive Officer	307	1,282	1,340	1,400	1,463	1,529	1,598	8,919	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UPASAC
Manager Development Finance	230	962	1,005	1,050	1,097	1,147	1,198	6,689	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UPASAC
Deputy Manager Finance	153	641	670	700	732	765	799	4,460	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UPASAC
Rural Finance Coordinators /e	767	1,923	2,010	3,501	3,658	3,823	3,995	19,676	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UPASAC
Assistant	92	192	201	210	219	229	240	1,384	SAA_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UPASAC
Driver	43	180	188	196	205	214	224	1,249	SAA_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UPASAC
Subtotal Staff Salary	1,592	5,180	5,413	7,057	7,375	7,706	8,053	42,377						
2. Other expenditures														
Staff travelling allowancee	245	1,026	1,072	1,120	1,171	1,223	1,278	7,135	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UPASAC
Office operating costs /f	307	1,282	1,340	1,400	1,463	1,529	1,598	8,919	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UPASAC
Office rent	153	641	670	700	732	765	799	4,460	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	UPASAC
Subtotal Other expenditures	706	2,949	3,082	3,220	3,365	3,517	3,675	20,514						
Total Recurrent Costs	2,298	8,129	8,495	10,278	10,740	11,223	11,728	62,891						
Total	3,540	45,675	139,014	226,585	358,008	412,723	11,728	1,197,273						

/a Training bank staff
 /b Support for the second year
 /c Grant support under Entrepreneurship scheme
 /d PD UGVs will act as the Managing Director of UPASAC
 /e to be attached to Divisional Offices
 /f at 3% of project appraisal values payable to consultants

TABLE-4.1: CENTRAL PROJECT COORDINATION UNIT-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Pro																		
Table 4.1. Central Project Coordination Unit																		
Detailed Costs																		
Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)								
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	
I. Investment Costs																		
A. CPCU																		
1. Office Equipment																		
Computers /Laptops	No	-	4	-	-	-	-	-	4	40,000	-	160	-	-	-	-	-	160
Multifunction Printers	N0	-	1	-	-	-	-	-	1	75,000	-	75	-	-	-	-	-	75
Printers	No	-	2	-	-	-	-	-	2	10,000	-	20	-	-	-	-	-	20
Office furniture	set	-	1	-	-	-	-	-	1	150,000	-	150	-	-	-	-	-	150
Subtotal Office Equipment											-	405	-	-	-	-	-	405
2. External audits /a	Number	-	1	1	1	1	1	1	6	1,000,000	-	1,000	1,000	1,000	1,000	1,000	1,000	6,000
Total Investment Costs											-	1,405	1,000	1,000	1,000	1,000	1,000	6,405
II. Recurrent Costs																		
A. PCU																		
1. Staff salary																		
Project Coordinator /b	pers_montl	-	12	12	12	12	12	12	72		-	-	-	-	-	-	-	-
Finance Controller	pers_montl	3	12	12	12	12	12	12	75	100,000	300	1,200	1,200	1,200	1,200	1,200	1,200	7,500
Asst Manager-Finance	pers_montl	-	12	12	12	12	12	12	72	32,000	-	384	384	384	384	384	384	2,304
Stenographer	pers_montl	3	12	12	12	12	12	12	72	20,000	60	240	240	240	240	240	240	1,500
Project Assistants	pers_mont	-	12	12	12	12	12	12	72	16,500	-	198	198	198	198	198	198	1,188
Subtotal Staff salary											360	2,022	2,022	2,022	2,022	2,022	2,022	12,492
2. PCU Operating costs																		
Office operating costs	month	-	12	12	12	12	12	12	72	40,000	-	480	480	480	480	480	480	2,880
Vehicle hiring	month	-	12	12	12	12	12	12	72	50,000	-	600	600	600	600	600	600	3,600
Subtotal PCU Operating costs											-	1,080	1,080	1,080	1,080	1,080	1,080	6,480
Total											360	4,507	4,102	4,102	4,102	4,102	4,102	25,377

\a Audits of UGVS, UPASAC, LC, Federations etc
\b PD UGVS will also act as Project Coordinator

TABLE-4.1: CENTRAL PROJECT COORDINATION UNIT-TOTAL COSTS & FINANCING RULES

INDIA								Other Accounts						
Uttarakhand: Integrated Livelihoods Support Pro														
Table 4.1. Central Project Coordination Unit														
Detailed Costs	Totals Including Contingencies (INR '000)							Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency	
	12/13	13/14	14/15	15/16	16/17	17/18	18/19							Total
I. Investment Costs														
A. CPCU														
1. Office Equipment														
Computers /Laptops	-	171	-	-	-	-	-	171	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Multifunction Printers	-	80	-	-	-	-	-	80	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Printers	-	21	-	-	-	-	-	21	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Office furniture	-	160	-	-	-	-	-	160	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Subtotal Office Equipment	-	433	-	-	-	-	-	433						
2. External audits /a	-	1,069	1,117	1,167	1,219	1,274	1,332	7,177	LIVE_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	UGVS
Total Investment Costs	-	1,501	1,117	1,167	1,219	1,274	1,332	7,610						
II. Recurrent Costs														
A. PCU														
1. Staff salary														
Project Coordinator /b	-	-	-	-	-	-	-	-	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	RDD
Finance Controller	307	1,282	1,340	1,400	1,463	1,529	1,598	8,919	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	RDD
Asst Manager-Finance	-	410	429	448	468	489	511	2,756	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	RDD
Stenographer	62	256	268	280	293	306	320	1,784	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	RDD
Project Assistants	-	212	221	231	241	252	264	1,421	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	RDD
Subtotal Staff salary	369	2,161	2,258	2,359	2,466	2,576	2,692	14,880						
2. PCU Operating costs														
Office operating costs	-	513	536	560	585	612	639	3,445	OM_EA	OM_DA	IFAD (50%)	OM_PA	LCL_SHOPPING_PM (100%)	RDD
Vehicle hiring	-	641	670	700	732	765	799	4,306	OM_EA	OM_DA	IFAD (50%)	OM_PA	LCL_SHOPPING_PM (100%)	RDD
Subtotal PCU Operating costs	-	1,154	1,206	1,260	1,317	1,376	1,438	7,751						
Total	369	4,816	4,580	4,786	5,002	5,227	5,462	30,241						

\a Audits of UGVS, UPASAC, LC, Federations etc

\b PD UGVS will also act as Project Coordinator

TABLE-4.2: M&E AND KNOWLEDGE MANAGEMENT-BASELINE COSTS

INDIA																			
Uttarakhand: Integrated Livelihoods Support Programme																			
Table 4.2. M&E and Knowledge Management_UGVS																			
Detailed Costs																			
Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)									
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		
I. Investment Costs																			
A. Vehicle & equipment																			
1. Office equipment																			
Computers/Laptops	No	10	-	-	-	-	-	-	10	40,000	400	-	-	-	-	-	400		
Printers-Multifunction	No	1	-	-	-	-	-	-	1	75,000	75	-	-	-	-	-	75		
Printers	No	7	-	-	-	-	-	-	7	10,000	70	-	-	-	-	-	70		
Data-enabled Mobile phones /a	No	20	-	-	-	-	-	-	20	10,000	200	-	-	-	-	-	200		
Furniture & miscellaneous	Lumpsum	1	-	-	-	-	-	-	1	300,000	300	-	-	-	-	-	300		
Subtotal Office equipment											1,045	-	-	-	-	-	-	1,045	
B. Training & workshops																			
1. Monthly Review meetings																			
At Block level /b	meetings	-	104	104	104	104	104	104	624	2,000	-	208	208	208	208	208	1,248		
At Division level	meetings	12	24	24	24	24	24	24	156	20,000	240	480	480	480	480	480	3,120		
At State level	meetings	2	4	4	4	4	4	4	26	50,000	100	200	200	200	200	200	1,300		
State level PMC, GB & PSC	meetings	3	6	6	6	6	6	6	39	10,000	30	60	60	60	60	60	390		
Subtotal Monthly Review meetings											370	948	948	948	948	948	948	6,058	
2. Quarterly learning/sharing workshops																			
at Block level	meetings	-	52	52	52	52	52	52	312	5,000	-	260	260	260	260	260	1,560		
at Divisional level	meetings	-	6	6	6	6	6	6	36	20,000	-	120	120	120	120	120	720		
at State level	meetings	-	4	4	4	4	4	4	24	100,000	-	400	400	400	400	400	2,400		
Subtotal Quarterly learning/sharing workshops											-	780	780	780	780	780	780	4,680	
3. Workshops																			
Project start up WS /c	No	1	-	-	-	-	-	-	1	225,000	225	-	-	-	-	-	225		
Divisional startup workshops	participants	6	-	-	-	-	-	-	6	100,000	600	-	-	-	-	-	600		
Mid-term review /d	Review	-	-	-	1	-	-	-	1	225,000	-	-	-	225	-	-	225		
Project completion review /e	PCR	-	-	-	-	-	-	1	1	225,000	-	-	-	-	-	225	225		
Subtotal Workshops											825	-	-	225	-	-	-	225	1,275
4. Training & TA																			
KM documentation /f	course	-	1	1	1	1	1	1	6	100,000	-	100	100	100	100	100	600		
knowledge sharing tools	course	-	-	1	-	1	-	-	2	100,000	-	-	100	-	100	-	200		
RIMS & M-E training at state level	course	-	1	-	-	1	-	-	2	100,000	-	100	-	-	100	-	200		
RIMS/M&E training at Divn level	course	-	1	-	-	1	-	-	2	100,000	-	100	-	-	100	-	200		
Annual Outcome Survey	survey	-	1	1	1	1	1	1	6	50,000	-	50	50	50	50	50	300		
KAPs survey /g	survey	-	-	1	-	-	-	-	1	225,000	-	-	225	-	-	-	225		
Technical assistance /h	year	-	1	1	1	1	1	1	6	200,000	-	200	200	200	200	200	1,200		
Subtotal Training & TA											-	550	675	350	650	350	350	2,925	
5. Studies & others																			
Communication materials	LS	6	6	6	6	6	6	6	42	50,000	300	300	300	300	300	300	2,100		
News letters & publications	Lumpsum	-	1	1	1	1	1	1	6	700,000	-	700	700	700	700	700	4,200		
Website maintenance	year	-	1	1	1	1	1	1	6	5,000	-	5	5	5	5	5	30		
Monitoring surveys /i	survey	1	-	-	1	-	-	1	3	5,000,000	5,000	-	-	5,000	-	-	15,000		
Subtotal Studies & others											5,300	1,005	1,005	6,005	1,005	1,005	6,005	21,330	
Subtotal Training & workshops											6,495	3,283	3,408	8,308	3,383	3,083	8,308	36,268	
Total Investment Costs											7,540	3,283	3,408	8,308	3,383	3,083	8,308	37,313	

TABLE-4.2: M&E AND KNOWLEDGE MANAGEMENT-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 4.2. M&E and Knowledge Management_UGVS																		
Detailed Costs																		
Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)								
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	
II. Recurrent Costs																		
A. Salary & Operating costs																		
1. Staff Salary																		
Planning/M&E Manager	Pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
MIS Manager	Pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
KM Manager	Pers_month	-	12	12	12	12	12	12	72	55,000	-	660	660	660	660	660	660	3,960
Statistical Officer	Pers_month	3	12	12	12	12	12	12	75	50,000	150	600	600	600	600	600	600	3,750
Planning/ M&E Assistant	Pers_month	-	12	12	12	12	12	12	72	16,500	-	198	198	198	198	198	198	1,188
Project Assistants	Pers_month	3	12	12	12	12	12	12	75	16,500	50	198	198	198	198	198	198	1,238
Enumerators	Pers_month	36	144	144	144	144	144	144	900	10,000	360	1,440	1,440	1,440	1,440	1,440	1,440	9,000
Subtotal Staff Salary											560	4,416	4,416	4,416	4,416	4,416	4,416	27,056
2. Operating costs																		
Staff travelling allowance	month	3	12	12	12	12	12	12	75	40,000	120	480	480	480	480	480	480	3,000
Office operating costs	month	3	12	12	12	12	12	12	75	60,000	180	720	720	720	720	720	720	4,500
Vehicle hiring charges	month	3	12	12	12	12	12	12	75	50,000	150	600	600	600	600	600	600	3,750
Subtotal Operating costs											450	1,800	1,800	1,800	1,800	1,800	1,800	11,250
Total Recurrent Costs											1,010	6,216	6,216	6,216	6,216	6,216	6,216	38,306
Total											8,550	9,499	9,624	14,524	9,599	9,299	14,524	75,619

\a For use by field enumerators
 \b 4 meeting per year per Block
 \c Some 50 participants take part
 \d Some 25 staff participate at the time of MTR
 \e some 60 staff participate
 \f some 20 staff participate
 \g some 20 persons participate
 \h PME and anthropometric consultants
 \i Baseline, mid-term and endline surveys

TABLE-4.2: M&E AND KNOWLEDGE MANAGEMENT-TOTAL COSTS & FINANCING RULES

INDIA										Other Accounts				
Uttarakhand: Integrated Livelihoods Support Programme														
Table 4.2. M&E and Knowledge Management_UGVS														
Detailed Costs	Totals Including Contingencies (INR '000)							Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency	
	12/13	13/14	14/15	15/16	16/17	17/18	18/19							Total
I. Investment Costs														
A. Vehicle & equipment														
1. Office equipment														
Computers/Laptops	409	-	-	-	-	-	-	409	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Printers-Multifunction	77	-	-	-	-	-	-	77	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Printers	72	-	-	-	-	-	-	72	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Data-enabled Mobile phones /a	205	-	-	-	-	-	-	205	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Furniture & miscellaneous	307	-	-	-	-	-	-	307	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	UGVS
Subtotal Office equipment	1,069	-	-	-	-	-	-	1,069						
B. Training & workshops														
1. Monthly Review meetings														
At Block level /b	-	222	232	243	254	265	277	1,493	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
At Division level	245	513	536	560	585	612	639	3,690	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
At State level	102	214	223	233	244	255	266	1,538	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
State level PMC, GB & PSC	31	64	67	70	73	76	80	461	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Monthly Review meetings	378	1,013	1,059	1,106	1,156	1,208	1,262	7,182						
2. Quarterly learning/sharing workshops														
at Block level	-	278	290	303	317	331	346	1,866	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
at Divisional level	-	128	134	140	146	153	160	861	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
at State level	-	427	447	467	488	510	533	2,871	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Quarterly learning/sharing workshops	-	833	871	910	951	994	1,039	5,598						
3. Workshops														
Project start up WS /c	230	-	-	-	-	-	-	230	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Divisional startup workshops	614	-	-	-	-	-	-	614	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Mid-term review /d	-	-	-	263	-	-	-	263	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Project completion review /e	-	-	-	-	-	-	300	300	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Workshops	844	-	-	263	-	-	300	1,406						
4. Training & TA														
KM documentation /f	-	107	112	117	122	127	133	718	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
knowledge sharing tools	-	-	112	-	122	-	-	234	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
RIMS & M-E training at state level	-	107	-	-	122	-	-	229	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
RIMS/M&E training at Divn level	-	107	-	-	122	-	-	229	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Annual Outcome Survey	-	53	56	58	61	64	67	359	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
KAPs survey /g	-	-	251	-	-	-	-	251	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Technical assistance /h	-	214	223	233	244	255	266	1,435	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Training & TA	-	588	754	408	793	446	466	3,454						
5. Studies & others														
Communication materials	307	321	335	350	366	382	399	2,460	SURVEY_EA	CB_DA	IFAD (90%)	SURVEY_PA	LCL_SHOPPING_PM(100%)	UGVS
News letters & publications	-	748	782	817	854	892	932	5,024	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Website maintenance	-	5	6	6	6	6	7	36	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	UGVS
Monitoring surveys /i	5,113	-	-	5,834	-	-	-	6,658	SURVEY_EA	CB_DA	IFAD (90%)	SURVEY_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Studies & others	5,419	1,074	1,122	7,007	1,225	1,281	7,996	25,124						
Subtotal Training & workshops	6,641	3,508	3,805	9,694	4,125	3,928	11,063	42,765						
Total Investment Costs	7,710	3,508	3,805	9,694	4,125	3,928	11,063	43,833						

TABLE-4.2: M&E AND KNOWLEDGE MANAGEMENT-TOTAL COSTS & FINANCING RULES

INDIA								Other Accounts						
Uttarakhand: Integrated Livelihoods Support Programme								Expenditure	Disb.				Impl.	
Table 4.2. M&E and Knowledge Management_UGVS								Account	Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Agency	
Detailed Costs														
Totals Including Contingencies (INR '000)														
12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total							
II. Recurrent Costs														
A. Salary & Operating costs														
1. Staff Salary														
Planning/M&E Manager	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
MIS Manager	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
KM Manager	-	705	737	770	805	841	879	4,737	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Statistical Officer	153	641	670	700	732	765	799	4,460	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Planning/ M&E Assistant	-	212	221	231	241	252	264	1,421	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Project Assistants	51	212	221	231	241	252	264	1,472	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Enumerators	368	1,539	1,608	1,680	1,756	1,835	1,917	10,703	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	UGVS
Subtotal Staff Salary	572	4,719	4,931	5,153	5,385	5,627	5,880	32,266						
2. Operating costs														
Staff travelling allowance	123	513	536	560	585	612	639	3,568	OM_EA	OM_DA	IFAD (50%)	OM_PA	LCL_SHOPPING_PM (100%)	UGVS
Office operating costs	184	769	804	840	878	917	959	5,352	OM_EA	OM_DA	IFAD (50%)	OM_PA	LCL_SHOPPING_PM (100%)	UGVS
Vehicle hiring charges	153	641	670	700	732	765	799	4,460	OM_EA	OM_DA	IFAD (50%)	OM_PA	LCL_SHOPPING_PM (100%)	UGVS
Subtotal Operating costs	460	1,923	2,010	2,100	2,195	2,294	2,397	13,379						
Total Recurrent Costs	1,032	6,642	6,941	7,253	7,579	7,921	8,277	45,645						
Total	8,742	10,150	10,746	16,947	11,705	11,849	19,340	89,478						

\a For use by field enumerators
 \b 4 meeting per year per Block
 \c Some 50 participants take part
 \d Some 25 staff participate at the time of MTR
 \e some 60 staff participate
 \f some 20 staff participate
 \g some 20 persons participate
 \h PME and anthropometric consultants
 \i Baseline, mid-term and endline surveys

Annex-1.3.2: Detailed Cost Estimates (WMD)

TABLE-2.1: PARTICIPATORY WAATERSHED MANAGEMENT-BASELINE COSTS

INDIA																			
Uttarakhand: Integrated Livelihoods Support Programme																			
Table 2.1. Participatory Watershed Management																			
Detailed Costs																			
Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)									
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		
I. Investment Costs																			
A. Social Mobilisation																			
NGO support for social mobilisation	NGO	2	2	2	2	2	2	2	14	4,000,000	8,000	8,000	8,000	8,000	8,000	8,000	8,000	56,000	
Social / Environmental Consultants	No	2	2	2	2	2	2	2	14	600,000	1,200	1,200	1,200	1,200	1,200	1,200	1,200	8,400	
Village level Motivators	Person	700	700	700	700	700	700	700	4,900	24,000	16,800	16,800	16,800	16,800	16,800	16,800	16,800	117,600	
Account Asst at GP level	Person	275	275	275	275	275	275	275	1,925	60,000	16,500	16,500	16,500	16,500	16,500	16,500	16,500	115,500	
Admin Expenditure	Year	275	275	275	275	275	275	275	1,925	25,000	6,875	6,875	6,875	6,875	6,875	6,875	6,875	48,125	
Subtotal Social Mobilisation											49,375	49,375	49,375	49,375	49,375	49,375	49,375	49,375	345,625
B. Watershed & Village Development																			
Watershed treatment /a	GP	15	35	60	65	60	25	15	275	3,847,200	57,708	134,652	230,832	250,068	230,832	96,180	57,708	1,057,980	
C. Food Security Enhancement Support																			
1. Farming system improvement																			
Support to PGs: first year	PGs	780	780	780	780	780	-	-	3,900	30,000	23,400	23,400	23,400	23,400	23,400	-	-	117,000	
Support to PG second year	PG	-	780	780	780	780	780	-	3,900	30,000	-	23,400	23,400	23,400	23,400	23,400	-	117,000	
Support to PG third year	PGs	-	-	780	780	780	780	780	3,900	30,000	-	-	23,400	23,400	23,400	23,400	23,400	117,000	
Miscellaneous	GP	15	35	50	50	50	25	25	250	14,000	210	490	700	700	700	350	350	3,500	
Subtotal Farming system improvement											23,610	47,290	70,900	70,900	70,900	47,150	23,750	354,500	
2. Value Addition & marketing																			
Small infrastructure /b	GP	15	35	60	65	60	25	15	275	450,000	6,750	15,750	27,000	29,250	27,000	11,250	6,750	123,750	
Collection centres/MUC	GP	15	35	60	65	60	25	15	275	200,000	3,000	7,000	12,000	13,000	12,000	5,000	3,000	55,000	
Beneficiary contribution /c	GP	15	35	60	65	60	25	15	275	112,000	1,680	3,920	6,720	7,280	6,720	2,800	1,680	30,800	
NGO support for Agribusiness /d	YEAR	-	-	1	1	1	1	1	5	9,000,000	-	-	9,000	9,000	9,000	9,000	9,000	45,000	
Subtotal Value Addition & marketing											11,430	26,670	54,720	58,530	54,720	28,050	20,430	254,550	
Subtotal Food Security Enhancement Support											35,040	73,960	125,620	129,430	125,620	75,200	44,180	609,050	
D. Livelihood upscaling																			
1. Promotion of IGA																			
Support to VG	Person	-	244	244	244	244	244	244	1,464	80,000	-	19,520	19,520	19,520	19,520	19,520	19,520	117,120	
2. Support to LC for upscaling IGA																			
Support to LC for IGA upscaling	No	-	-	14	14	14	14	14	70	500,000	-	-	7,000	7,000	7,000	7,000	7,000	35,000	
Miscellaneous	Year	-	-	-	-	-	-	-	-	-	5,000	5,000	5,000	5,000	5,000	5,000	5,000	35,000	
Subtotal Support to LC for upscaling IGA											5,000	5,000	12,000	12,000	12,000	12,000	12,000	70,000	
Subtotal Livelihood upscaling											5,000	24,520	31,520	31,520	31,520	31,520	31,520	187,120	
E. Institutional Strengthening																			
1. Capacity Building of GP & WWMCs																			
Social Training at village level	Lumpsum	800	800	800	800	800	800	800	5,600	10,500	8,400	8,400	8,400	8,400	8,400	8,400	8,400	58,800	
Technical Training at village level	Lumpsum	800	800	800	800	800	800	800	5,600	10,500	8,400	8,400	8,400	8,400	8,400	8,400	8,400	58,800	
Training on production technology	Training	100	100	100	100	100	100	100	700	25,000	2,500	2,500	2,500	2,500	2,500	2,500	2,500	17,500	
Training at Resource centres	Trainings	15	15	15	15	15	15	15	105	100,000	1,500	1,500	1,500	1,500	1,500	1,500	1,500	10,500	
Unit level workshop	No	50	50	50	50	50	50	50	350	50,000	2,500	2,500	2,500	2,500	2,500	2,500	2,500	17,500	
Divisional level workshop	No	20	20	20	20	20	20	20	140	100,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	14,000	
State level workshop	Lumpsum	10	10	10	10	10	10	10	70	500,000	5,000	5,000	5,000	5,000	5,000	5,000	5,000	35,000	
Exposure visit within state	Lumpsum	1	1	1	1	1	1	1	7	3,000,000	3,000	3,000	3,000	3,000	3,000	3,000	3,000	21,000	
Overseas exposure visits	Lumpsum	-	-	-	-	-	-	-	-	-	1,250	1,250	1,250	1,250	1,250	1,250	1,250	8,750	
Subtotal Capacity Building of GP & WWMCs											34,550	34,550	34,550	34,550	34,550	34,550	34,550	241,850	

TABLE-2.1: PARTICIPATORY WATERSHED MANAGEMENT-BASELINE COSTS

INDIA																		
Uttarakhand: Integrated Livelihoods Support Programme																		
Table 2.1. Participatory Watershed Management																		
Detailed Costs																		
	Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)								
		12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
2. Information, Education & Communication																		
IEC consultants	Lumpsum										600	600	600	600	600	600	600	4,200
IEC materials	Lumpsum									2,000	2,000	2,000	2,000	2,000	2,000	3,000	15,000	
Subtotal Information, Education & Communication										2,600	2,600	2,600	2,600	2,600	2,600	3,600	19,200	
Subtotal Institutional Strengthening																		
F. Project Management										37,150	37,150	37,150	37,150	37,150	37,150	38,150	261,050	
Vehicles	No	5	5	-	-	-	-	-	10	600,000	3,000	3,000	-	-	-	-	-	6,000
NGO support to M&E system /e	Lumpsum									-	-	-	-	-	-	-	-	
Annual Audit (External)	year	1	1	1	1	1	1	1	7	500,000	500	500	500	500	500	500	3,500	
Subtotal Project Management										3,500	3,500	500	500	500	500	500	9,500	
Total Investment Costs										187,773	323,157	474,997	498,043	474,997	289,925	221,433	2,470,325	
II. Recurrent Costs																		
A. Project Management																		
Staff salary /f	Year									180,000	180,000	180,000	180,000	180,000	180,000	180,000	1,260,000	
Audit Manager	pers_month	3	12	12	12	12	12	12	75	55,000	165	660	660	660	660	660	4,125	
Internal Auditors /g	pers_month	3	24	24	24	24	24	24	147	55,000	165	1,320	1,320	1,320	1,320	1,320	8,085	
Assistants	pers_month	12	120	120	120	120	120	120	732	15,000	180	1,800	1,800	1,800	1,800	1,800	10,980	
Project Allowance	year									3,000	15,000	15,000	15,000	15,000	15,000	93,000		
GIS/MIS/ watershed experts /h	year									2,500	5,000	5,000	5,000	5,000	5,000	32,500		
Travel Allowance	year									2,500	5,000	5,000	5,000	5,000	5,000	32,500		
Office expenditure	year									3,500	7,000	7,000	7,000	7,000	7,000	45,500		
Operating costs, equipment	year									3,500	7,000	7,000	7,000	7,000	7,000	45,500		
Miscellaneous	year									1,250	2,500	2,500	2,500	2,500	2,500	16,250		
Total Recurrent Costs										196,760	225,280	225,280	225,280	225,280	225,280	225,280	1,548,440	
Total										384,533	548,437	700,277	723,323	700,277	515,205	446,713	4,018,765	

\a Assuming a GP has 454 ha for treatment; with estimated cost of INR 8474/ha
 \b Such as processing facilities etc
 \c Estimated at 20%
 \d 6 Divisional support agencies (DSAs) and 2 consultants;
 \e See Table 4.3: M&E Cost Estimates for WMD
 \f Staff at headquarters, 2 regions and 6 Divisions.
 \g to be based at 2 Regional Offices of WMD
 \h 6 Consultants to be based in WMD headquarters in Dehradun

TABLE-2.1: PARTICIPATORY WATERSHED MANAGEMENT-TOTAL COSTS AND FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 2.1. Participatory Watershed Management														
Detailed Costs	Totals Including Contingencies (INR '000)							Other Accounts						
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency
I. Investment Costs														
A. Social Mobilisation														
NGO support for social mobilisation	8,180	8,548	8,933	9,335	9,755	10,194	10,652	65,597	SPC_EA	SPC_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	WMD
Social / Environmental Consultants	1,227	1,282	1,340	1,400	1,463	1,529	1,598	9,839	TA_EA	CB_DA	IFAD (90%)	SURVEY_PA	LCL_SHOPPING_PM (100%)	WMD
Village level Motivators	17,178	17,951	18,759	19,603	20,485	21,407	22,370	137,753	CB_EA	SPC_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	WMD
Account Asst at GP level	16,871	17,630	18,424	19,253	20,119	21,025	21,971	135,293	CB_EA	SPC_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	WMD
Admin Expenditure	7,030	7,346	7,677	8,022	8,383	8,760	9,154	56,372	CB_EA	SPC_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Social Mobilisation	50,486	52,758	55,132	57,613	60,205	62,915	65,746	404,854						
B. Watershed & Village Development														
Watershed treatment /a	59,006	143,877	257,746	291,790	281,465	122,555	76,842	1,233,281	WD_EA	WD_DA	IFAD (80%), BEN (10%)	WD_PA	CPP_PM (100%)	WMD
C. Food Security Enhancement Support														
1. Farming system improvement														
Support to PGs: first year	23,927	25,003	26,128	27,304	28,533	-	-	130,895	LIVE_EA	CB_DA	IFAD (80%), BEN (20%)	LIVE_PA	FOR_ACCOUNT_PM (100%)	WMD
Support to PG second year	-	25,003	26,128	27,304	28,533	29,817	-	136,785	LIVE_EA	CB_DA	IFAD (80%), BEN (20%)	LIVE_PA	FOR_ACCOUNT_PM (100%)	WMD
Support to PG third year	-	-	26,128	27,304	28,533	29,817	31,159	142,941	LIVE_EA	CB_DA	IFAD (80%), BEN (20%)	LIVE_PA	FOR_ACCOUNT_PM (100%)	WMD
Miscellaneous	215	524	782	817	854	446	466	4,102	LIVE_EA	CB_DA	IFAD (80%), BEN (20%)	LIVE_PA	FOR_ACCOUNT_PM (100%)	WMD
Subtotal Farming system improvement	24,141	50,530	79,167	82,729	86,452	60,080	31,625	414,723						
2. Value Addition & marketing														
Small infrastructure /b	6,902	16,829	30,148	34,130	32,922	14,335	8,988	144,255	CW_EA	CB_DA	IFAD (80%), BEN (20%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Collection centres/MUC	3,068	7,480	13,399	15,169	14,632	6,371	3,995	64,113	CW_EA	CB_DA	IFAD (80%), BEN (20%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Beneficiary contribution /c	1,718	4,189	7,504	8,495	8,194	3,568	2,237	35,903	WD_EA	WD_DA	BEN (100%)	WD_PA	CPP_PM (100%)	WMD
NGO support for Agribusiness /d	-	-	10,049	10,502	10,974	11,468	11,984	54,977	SPC_EA	SPC_DA	IFAD (90%)	SPC_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Value Addition & marketing	11,687	28,497	61,100	68,295	66,723	35,742	27,204	299,248						
Subtotal Food Security Enhancement Support	35,828	79,027	140,267	151,024	153,175	95,821	58,828	713,971						
D. Livelihood upscaling														
1. Promotion of IGA														
Support to VG	-	20,857	21,796	22,777	23,802	24,873	25,992	140,097	LIVE_EA	CB_DA	IFAD (80%)	LIVE_PA	FOR_ACCOUNT_PM (100%)	WMD
2. Support to LC for upscaling IGA														
Support to LC for IGA upscaling	-	-	7,816	8,168	8,535	8,920	9,321	42,760	LIVE_EA	CB_DA	IFAD (80%), BEN (20%)	LIVE_PA	FOR_ACCOUNT_PM (100%)	WMD
Miscellaneous	5,113	5,343	5,583	5,834	6,097	6,371	6,658	40,998	LIVE_EA	CB_DA	IFAD (80%), BEN (20%)	LIVE_PA	FOR_ACCOUNT_PM (100%)	WMD
Subtotal Support to LC for upscaling IGA	5,113	5,343	13,399	14,002	14,632	15,291	15,979	83,758						
Subtotal Livelihood upscaling	5,113	26,200	35,195	36,779	38,434	40,163	41,971	223,855						
E. Institutional Strengthening														
1. Capacity Building of GP & WWMCs														
Social Training at village level	8,589	8,976	9,379	9,801	10,243	10,703	11,185	68,876	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Technical Training at village level	8,589	8,976	9,379	9,801	10,243	10,703	11,185	68,876	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Training on production technology	2,556	2,671	2,791	2,917	3,048	3,186	3,329	20,499	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Training at Resource centres	1,534	1,603	1,675	1,750	1,829	1,911	1,997	12,299	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Unit level workshop	2,556	2,671	2,791	2,917	3,048	3,186	3,329	20,499	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Divisional level workshop	2,045	2,137	2,233	2,334	2,439	2,548	2,663	16,399	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
State level workshop	5,113	5,343	5,583	5,834	6,097	6,371	6,658	40,998	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Exposure visit within state	3,068	3,206	3,350	3,501	3,658	3,823	3,995	24,599	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Overseas exposure visits	1,278	1,336	1,396	1,459	1,524	1,593	1,664	10,249	CB_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Capacity Building of GP & WWMCs	35,327	36,917	38,578	40,314	42,129	44,024	46,005	283,296						

TABLE-2.1: PARTICIPATORY WATERSHED MANAGEMENT-TOTAL COSTS AND FINANCING RULES

INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 2.1. Participatory Watershed Management														
Detailed Costs	Totals including Contingencies (INR '000)								Other Accounts					
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency
I. Investment Costs														
2. Information, Education & Communication														
IEC consultants	614	641	670	700	732	765	799	4,920	TA_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
IEC materials	2,045	2,137	2,233	2,334	2,439	2,548	3,995	17,731	EQUIP_EA	CB_DA	IFAD (90%)	CB_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Information, Education & Communication	2,659	2,778	2,903	3,034	3,170	3,313	4,794	22,650						
Subtotal Institutional Strengthening	37,986	39,695	41,482	43,348	45,299	47,337	50,799	305,946						
F. Project Management														
Vehicles	3,068	3,206	-	-	-	-	-	6,273	VEHIC_EA	VEM_DA	IFAD (75%)	VEHIC_PA	LCB_PM(100%)	WMD
NGO support to M&E system /e	-	-	-	-	-	-	-	-	SPC_EA	SPC_DA	IFAD (90%)	SPC_PA	LCB_PM(100%)	WMD
Annual Audit (External)	511	534	558	583	610	637	666	4,100	WD_EA	WD_DA	IFAD (80%)	WD_PA	CPP_PM (100%)	WMD
Subtotal Project Management	3,579	3,740	558	583	610	637	666	10,373						
Total Investment Costs	191,998	345,297	530,380	581,138	579,188	369,429	294,852	2,892,280						
II. Recurrent Costs														
A. Project Management														
Staff salary /f	184,050	192,332	200,987	210,032	219,483	229,360	239,681	1,475,925	SAA_EA	OM_DA	GOVT	OM_PA	NBF_PM (100%)	WMD
Audit Manager	169	705	737	770	805	841	879	4,906	SAA_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	WMD
Internal Auditors /g	169	1,410	1,474	1,540	1,610	1,682	1,758	9,642	SAA_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	WMD
Assistants	184	1,923	2,010	2,100	2,195	2,294	2,397	13,103	SAA_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	WMD
Project Allowance	3,068	16,028	16,749	17,503	18,290	19,113	19,973	110,724	SAA_EA	OM_DA	IFAD (90%)	SAA_PA	OTHER_PM (100%)	WMD
GIS/MIS/ watershed experts /h	2,556	5,343	5,583	5,834	6,097	6,371	6,658	38,442	OM_EA	OM_DA	IFAD (90%)	OM_PA	LCL_SHOPPING_PM (100%)	WMD
Travel Allowance	2,556	5,343	5,583	5,834	6,097	6,371	6,658	38,442	SAA_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	WMD
Office expenditure	3,579	7,480	7,816	8,168	8,535	8,920	9,321	53,818	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	WMD
Operating costs, equipment	3,579	7,480	7,816	8,168	8,535	8,920	9,321	53,818	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	WMD
Miscellaneous	1,278	2,671	2,791	2,917	3,048	3,186	3,329	19,221	OM_EA	OM_DA	IFAD (50%)	OM_PA	OTHER_PM (100%)	WMD
Total Recurrent Costs	201,187	240,714	251,547	262,866	274,695	287,057	299,974	1,818,040						
Total	393,185	586,012	781,926	844,004	853,883	656,485	594,826	4,710,320						

/a Assuming a GP has 454 ha for treatment; with estimated cost of INR 8474/ha
 /b Such as processing facilities etc
 /c Estimated at 20%
 /d 6 Divisional support agencies (DSAs) and 2 consultants;
 /e See Table 4.3: M&E Cost Estimates for WMD
 /f Staff at headquarters, 2 regions and 6 Divisions.
 /g to be based at 2 Regional Offices of WMD
 /h 6 Consultants to be based in WMD headquarters in Dehradun

TABLE-4.3: M & E AND KNOWLEDGE MANAGEMENT –BASELINE COSTS

INDIA																			
Uttarakhand: Integrated Livelihoods Support Programme																			
Table 4.3. M&E and Knowledge Management_WMD																			
Detailed Costs																			
Unit	Quantities								Unit Cost (INR)	Base Cost (INR '000)									
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total		
I. Investment Costs																			
A. Vehicle & equipment																			
1. Office equipment																			
Office equipment /a	No	1	-	-	-	-	-	-	1	575,000	575	-	-	-	-	-	-	575	
Data-enabled Mobile phones /b	No	12	-	-	-	-	-	-	12	10,000	120	-	-	-	-	-	-	120	
Subtotal Office equipment											695	-	-	-	-	-	-	695	
B. Training & workshops																			
1. Monthly Review meetings																			
At Block level /c	meetings	-	104	104	104	104	104	104	624	2,000	-	208	208	208	208	208	208	1,248	
At Division level /d	meetings	-	24	24	24	24	24	24	144	20,000	-	480	480	480	480	480	480	2,880	
At State level /e	meetings	-	4	4	4	4	4	4	24	50,000	-	200	200	200	200	200	200	1,200	
Subtotal Monthly Review meetings											-	888	888	888	888	888	888	5,328	
2. Quarterly learning/sharing workshops /f																			
Block level workshop	meetings	-	52	52	52	52	52	52	312	-	-	-	-	-	-	-	-	-	
Divisional level workshop	meetings	-	6	6	6	6	6	6	36	-	-	-	-	-	-	-	-	-	
State level workshops	meetings	-	1	1	1	1	1	1	6	-	-	-	-	-	-	-	-	-	
Subtotal Quarterly learning/sharing workshops											-	-	-	-	-	-	-	-	
3. Workshops																			
Project start up WS /g	No	1	-	-	-	-	-	-	1	225,000	225	-	-	-	-	-	-	225	
Divisional startup workshops	participants	6	-	-	-	-	-	-	6	100,000	600	-	-	-	-	-	-	600	
Mid-term review /h	Review	-	-	-	1	-	-	-	1	225,000	-	-	-	225	-	-	-	225	
Project completion review /i	PCR	-	-	-	-	-	-	-	1	225,000	-	-	-	-	-	-	225	225	
Subtotal Workshops											825	-	-	225	-	-	-	225	1,275
4. KM Training																			
KM documentation /j	course	-	1	1	1	1	1	1	6	100,000	-	100	100	100	100	100	100	600	
knowledge sharing tools	course	-	-	1	-	1	-	-	2	100,000	-	-	100	-	100	-	-	200	
RIMS & M-E training at state level /k	course	-	1	-	-	1	-	-	2	-	-	-	-	-	-	-	-	-	
RIMS/M&E training at Divn level /l	course	-	1	-	-	1	-	-	2	-	-	-	-	-	-	-	-	-	
Annual Outcome Survey	survey	-	1	1	1	1	1	1	6	500,000	-	500	500	500	500	500	500	3,000	
KAPs survey /m	survey	-	-	1	-	-	-	-	1	225,000	-	-	225	-	-	-	-	225	
Technical assistance /n	pers_month	-	1	1	1	1	1	1	6	200,000	-	200	200	200	200	200	200	1,200	
Subtotal KM Training											-	800	1,125	800	900	800	800	5,225	
5. Surveys & studies																			
Communication materials	LS	-	7	7	7	7	7	7	42	50,000	-	350	350	350	350	350	350	2,100	
News letters & publications	Lumpsum	-	1	1	1	1	1	1	6	500,000	-	500	500	500	500	500	500	3,000	
Monitoring surveys /o	survey	1	-	-	1	-	-	-	3	10,000,000	10,000	-	-	10,000	-	-	-	30,000	
Subtotal Surveys & studies											10,000	850	850	10,850	850	850	10,850	35,100	
Subtotal Training & workshops											10,825	2,538	2,863	12,763	2,638	2,538	12,763	46,928	
Total Investment Costs											11,520	2,538	2,863	12,763	2,638	2,538	12,763	47,623	

TABLE-4.3: M & E AND KNOWLEDGE MANAGEMENT –BASELINE COSTS

INDIA																	
Uttarakhand: Integrated Livelihoods Support Programme																	
Table 4.3. M&E and Knowledge Management_WMD																	
Detailed Costs																	
Unit	Quantities							Unit Cost (INR)	Base Cost (INR '000)								
	12/13	13/14	14/15	15/16	16/17	17/18	18/19		Total	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
II. Recurrent Costs																	
A. Salary & operating costs																	
1. Staff Salary																	
Manager (KM) /p	Pers_month	3	12	12	12	12	12	12	75		-	-	-	-	-	-	-
Data Entry Operators	Pers_month	36	120	120	120	120	120	120	756	15,000	540	1,800	1,800	1,800	1,800	1,800	11,340
Enumerators /q	Pers_month	24	24	24	24	24	24	24	168	15,000	360	360	360	360	360	360	2,520
Subtotal Staff Salary											900	2,160	2,160	2,160	2,160	2,160	13,860
2. Operating costs																	
Staff travelling allowance	month	3	12	12	12	12	12	12	75	40,000	120	480	480	480	480	480	3,000
Office operating costs	month	3	12	12	12	12	12	12	75	60,000	180	720	720	720	720	720	4,500
Subtotal Operating costs											300	1,200	1,200	1,200	1,200	1,200	7,500
Total Recurrent Costs											1,200	3,360	3,360	3,360	3,360	3,360	21,360
Total											12,720	5,898	6,223	16,123	5,998	5,898	68,983

<p>\a Laptops, printers, furniture etc</p> <p>\b For use by field enumerators for KAK survey</p> <p>\c 4 meetings per year</p> <p>\d 4 meetings per year</p> <p>\e All Divisional M&E staff participate</p> <p>\f Tasks to be performed under Table 2.1</p> <p>\g Some 50 participants take part</p> <p>\h Some 25 staff participate at the time of MTR</p>	<p>\i some 60 staff participate</p> <p>\j some 20 staff participate</p> <p>\k Organised jointly with UGVS</p> <p>\l Organised jointly with UGVS</p> <p>\m some 20 persons participate</p> <p>\n PME and anthropometric consultants</p> <p>\o Baseline, mid-term and endline surveys conducted with the support of external agencies;</p> <p>\p Tasks to be performed by IEC Consultant</p> <p>\q 2 Enumerators per Division, 2 months a year;</p>
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TABLE-4.3: M & E AND KNOWLEDGE MANAGEMENT – TOTAL COSTS AND FINANCING RULES

INDIA Uttarakhand: Integrated Livelihoods Support Programme Table 4.3. M&E and Knowledge Management_WMD Detailed Costs	Totals Including Contingencies (INR '000)							Expenditure Account	Disb. Acct.	Fin. Rule	Other Accounts		Impl. Agency	
	12/13	13/14	14/15	15/16	16/17	17/18	18/19				Total	Proc. Acct.		Proc. Method
	I. Investment Costs													
A. Vehicle & equipment														
1. Office equipment														
Office equipment /a	588	-	-	-	-	-	-	588	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	WMD
Data-enabled Mobile phones /b	123	-	-	-	-	-	-	123	EQUIP_EA	VEM_DA	IFAD (75%)	EQUIP_PA	LCL_SHOPPING_PM(100%)	WMD
Subtotal Office equipment	711	-	-	-	-	-	-	711						
B. Training & workshops														
1. Monthly Review meetings														
At Block level /c	-	222	232	243	254	265	277	1,493	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	FOR_ACCOUNT_PM (100%)	WMD
At Division level /d	-	513	536	560	585	612	639	3,445	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	FOR_ACCOUNT_PM (100%)	WMD
At State level /e	-	214	223	233	244	255	266	1,435	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	FOR_ACCOUNT_PM (100%)	WMD
Subtotal Monthly Review meetings	-	949	992	1,036	1,083	1,132	1,182	6,373						
2. Quarterly learning/sharing workshops /f														
Block level workshop	-	-	-	-	-	-	-	-	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Divisional level workshop	-	-	-	-	-	-	-	-	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
State level workshops	-	-	-	-	-	-	-	-	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Quarterly learning/sharing workshops	-	-	-	-	-	-	-	-						
3. Workshops														
Project start up WS /g	230	-	-	-	-	-	-	230	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Divisional startup workshops	614	-	-	-	-	-	-	614	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Mid-term review /h	-	-	-	263	-	-	-	263	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Project completion review /i	-	-	-	-	-	-	300	300	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Workshops	844	-	-	263	-	-	300	1,406						
4. KM Training														
KM documentation /j	-	107	112	117	122	127	133	718	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
knowledge sharing tools	-	-	112	-	122	-	-	234	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
RIMS & M-E training at state level /k	-	-	-	-	-	-	-	-	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
RIMS/M&E training at Divn level /l	-	-	-	-	-	-	-	-	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Annual Outcome Survey	-	534	558	583	610	637	666	3,589	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
KAPs survey /m	-	-	251	-	-	-	-	251	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Technical assistance /n	-	214	223	233	244	255	266	1,435	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal KM Training	-	855	1,256	933	1,097	1,019	1,065	6,226						
5. Surveys & studies														
Communication materials	-	374	391	408	427	446	466	2,512	SURVEY_EA	CB_DA	IFAD (90%)	SURVEY_PA	LCL_SHOPPING_PM(100%)	WMD
News letters & publications	-	534	558	583	610	637	666	3,589	TRAIN_EA	CB_DA	IFAD (90%)	TRAIN_PA	LCL_SHOPPING_PM (100%)	WMD
Monitoring surveys /o	10,225	-	-	11,668	-	-	13,316	35,209	SURVEY_EA	CB_DA	IFAD (90%)	SURVEY_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Surveys & studies	10,225	908	949	12,660	1,036	1,083	14,447	41,310					LCL_SHOPPING_PM (100%)	WMD
Subtotal Training & workshops	11,069	2,712	3,197	14,892	3,217	3,234	16,995	55,315						
Total Investment Costs	11,779	2,712	3,197	14,892	3,217	3,234	16,995	56,026						

TABLE-4.3: M & E AND KNOWLEDGE MANAGEMENT – TOTAL COSTS AND FINANCING RULES

Totals Including Contingencies (INR '000)								Other Accounts						
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total	Expenditure Account	Disb. Acct.	Fin. Rule	Proc. Acct.	Proc. Method	Impl. Agency
INDIA														
Uttarakhand: Integrated Livelihoods Support Programme														
Table 4.3. M&E and Knowledge Management_WMD														
Detailed Costs														
II. Recurrent Costs														
A. Salary & operating costs														
1. Staff Salary														
Manager (KM) /p	-	-	-	-	-	-	-	-	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	WMD
Data Entry Operators	552	1,923	2,010	2,100	2,195	2,294	2,397	13,471	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	WMD
Enumerators /q	368	385	402	420	439	459	479	2,952	SAA_EA	OM_DA	IFAD (50%)	SAA_PA	OTHER_PM (100%)	WMD
Subtotal Staff Salary	920	2,308	2,412	2,520	2,634	2,752	2,876	16,423						
2. Operating costs														
Staff travelling allowance	123	513	536	560	585	612	639	3,568	OM_EA	OM_DA	IFAD (50%)	OM_PA	LCL_SHOPPING_PM (100%)	WMD
Office operating costs	184	769	804	840	878	917	959	5,352	OM_EA	OM_DA	IFAD (50%)	OM_PA	LCL_SHOPPING_PM (100%)	WMD
Subtotal Operating costs	307	1,282	1,340	1,400	1,463	1,529	1,598	8,919						
Total Recurrent Costs	1,227	3,590	3,752	3,921	4,097	4,281	4,474	25,342						
Total	13,006	6,302	6,949	18,813	7,314	7,515	21,469	81,368						

\a Laptops, printers, furniture etc
 \b For use by field enumerators for KAK survey
 \c 4 meetings per year
 \d 4 meetings per year
 \e All Divisional M&E staff participate
 \f Tasks to be performed under Table 2.1
 \g Some 50 participants take part
 \h Some 25 staff participate at the time of MTR

Annex-1.3.5 Summary Cost Estimates

COMPONENT PROJECT COST SUMMARY

INDIA		
Uttarakhand: Integrated Livelihoods Support Programme		
Components Project Cost Summary	(INR '000)	% Total
	Total	Base Costs
A. Food Security & Livelihood Enhancement		
1. Food Security & Scaling up	1,046,280	14.4
2. Access to Market	119,805	1.7
3. Innovation Linkages	101,482	1.4
4. Vocational Training	207,000	2.9
5. UGVS: Project Management Unit	407,810	5.6
Subtotal Food Security & Livelihood Enhancement	1,882,377	25.9
B. Participatory Watershed Development	4,018,765	55.4
C. Livelihood Finance	1,185,100	16.3
D. Project Management		
1. Central Project Coordination Unit	25,065	0.3
2. M&E and Knowledge Management_UGVS	75,619	1.0
3. M&E and Knowledge Management_WMD	68,983	1.0
Subtotal Project Management	169,667	2.3
Total BASELINE COSTS	7,255,909	100.0
Physical Contingencies	-	
Price Contingencies	1,029,835	14.2
Total PROJECT COSTS	8,285,743	114.2

PROJECT COMPONENTS BY FINANCIERS

INDIA

Uttarakhand: Integrated Livelihoods Support Programme

Components by Financiers

(INR '000)

	GoUK		IFAD		Banks		Beneficiaries		Total		Local (Excl. Taxes)	Duties & Taxes
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%		
A. Food Security & Livelihood Enhancement												
1. Food Security & Scaling up	77,578	6.3	1,083,459	88.4	-	-	63,981	5.2	1,225,018	14.8	1,221,251	3,767
2. Access to Market	14,013	10.0	126,115	90.0	-	-	-	-	140,128	1.7	137,741	2,387
3. Innovation Linkages	11,927	10.0	107,343	90.0	-	-	-	-	119,270	1.4	110,409	8,861
4. Vocational Training	700	0.3	156,300	75.5	-	-	50,000	24.2	207,000	2.5	206,800	200
5. UGVS: Project Management Unit	229,340	47.2	256,669	52.8	-	-	-	-	486,009	5.9	470,347	15,662
Subtotal Food Security & Livelihood Enhancement	333,557	15.3	1,729,887	79.4	-	-	113,981	5.2	2,177,425	26.3	2,146,548	30,877
B. Participatory Watershed Development	1,817,630	38.6	2,592,089	55.0	-	-	300,601	6.4	4,710,320	56.8	4,710,320	-
C. Livelihood Finance	148,684	12.4	68,343	5.7	923,050	77.1	57,196	4.8	1,197,273	14.4	1,195,064	2,210
D. Project Management												
1. Central Project Coordination Unit	11,960	40.0	17,918	60.0	-	-	-	-	29,878	0.4	29,697	181
2. M&E and Knowledge Management_UGVS	27,366	30.6	62,112	69.4	-	-	-	-	89,478	1.1	87,758	1,720
3. M&E and Knowledge Management_WMD	18,380	22.6	62,987	77.4	-	-	-	-	81,368	1.0	80,475	892
Subtotal Project Management	57,706	28.7	143,018	71.3	-	-	-	-	200,724	2.4	197,931	2,793
Total PROJECT COSTS	2,357,577	28.5	4,533,338	54.7	923,050	11.1	471,779	5.7	8,285,743	100.0	8,249,863	35,881

DISBURSEMENT ACCOUNTS BY FINANCIERS

INDIA												
Uttarakhand: Integrated Livelihoods Support Program												
Disbursement Accounts by Financiers												
(INR '000)												
	GoUK		IFAD		Banks		Beneficiaries		Total		Local (Excl. Taxes)	Duties & Taxes
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%		
A. Investment cost												
1. Civil work	19,770	10.0	160,209	81.0	-	-	17,719	9.0	197,697	2.4	191,766	5,931
2. Watershed treatment	124,148	9.8	989,905	77.7	-	-	159,231	12.5	1,273,284	15.4	1,273,284	-
3. Vehicles, equipment & materials	7,098	25.0	21,295	75.0	-	-	-	-	28,394	0.3	26,689	1,704
4. Capacity Building	96,553	4.4	1,862,935	84.8	-	-	237,879	10.8	2,197,366	26.5	2,187,980	9,386
5. Livelihoods Financing	115,500	10.4	20,000	1.8	923,050	82.7	56,950	5.1	1,115,500	13.5	1,115,475	25
6. Service Provider Contracts	105,135	10.0	946,213	90.0	-	-	-	-	1,051,348	12.7	1,051,348	-
Subtotal Investment cost	468,204	8.0	4,000,556	68.2	923,050	15.7	471,779	8.0	5,863,588	70.8	5,846,543	17,046
B. Recurrent Costs												
1. Salary and O&M	1,889,374	78.0	532,781	22.0	-	-	-	-	2,422,155	29.2	2,403,320	18,835
Subtotal Recurrent Costs	1,889,374	78.0	532,781	22.0	-	-	-	-	2,422,155	29.2	2,403,320	18,835
Total PROJECT COSTS	2,357,577	28.5	4,533,338	54.7	923,050	11.1	471,779	5.7	8,285,743	100.0	8,249,863	35,881

EXPENDITURE ACCOUNTS BY FINANCIERS

INDIA												
Uttarakhand: Integrated Livelihoods Support Pro												
Expenditure Accounts by Financiers												
(INR '000)												
	GoUK		IFAD		Banks		Beneficiaries		Total		Local (Excl.	Duties &
	Amount	%	Amount	%	Amount	%	Amount	%	Amount	%	Taxes)	Taxes
I. Investment Costs												
A. Civil work	19,770	4.9	326,903	80.5	-	-	59,392	14.6	406,065	4.9	400,134	5,931
B. Watershed treatment	124,148	9.8	989,905	77.7	-	-	159,231	12.5	1,273,284	15.4	1,273,284	-
C. Vehicles	3,492	25.0	10,475	75.0	-	-	-	-	13,966	0.2	12,812	1,154
D. Equipment and materials	5,411	16.7	27,059	83.3	-	-	-	-	32,470	0.4	31,920	550
E. Training and workshops	5,269	9.7	48,713	90.0	-	-	144	0.3	54,126	0.7	53,830	296
F. Capacity Building	67,102	7.1	822,018	86.8	-	-	57,567	6.1	946,686	11.4	946,486	200
G. Survey & studies	5,987	10.0	53,881	90.0	-	-	-	-	59,868	0.7	59,839	29
H. Technical Assistance	4,067	10.0	36,603	90.0	-	-	-	-	40,670	0.5	40,670	-
I. Agribusiness	3,142	10.0	28,277	90.0	-	-	-	-	31,419	0.4	31,419	-
J. Livelihoods support	43,634	3.7	1,000,581	84.6	-	-	138,495	11.7	1,182,710	14.3	1,173,849	8,861
K. Viability Gap Fund	-	-	20,000	100.0	-	-	-	-	20,000	0.2	20,000	-
L. Livelihoods financing	115,500	10.5	-	-	923,050	84.3	56,950	5.2	1,095,500	13.2	1,095,475	25
M. Service Providers contracts	12,057	10.0	108,516	90.0	-	-	-	-	120,574	1.5	120,574	-
Total Investment Costs	409,579	7.8	3,472,931	65.8	923,050	17.5	471,779	8.9	5,277,338	63.7	5,260,292	17,046
II. Recurrent Costs												
A. Salary and allowances	1,717,956	83.9	330,610	16.1	-	-	-	-	2,048,565	24.7	2,029,731	18,835
B. Operations and maintenance	230,043	24.0	729,797	76.0	-	-	-	-	959,840	11.6	959,840	-
Total Recurrent Costs	1,947,999	64.8	1,060,407	35.2	-	-	-	-	3,008,406	36.3	2,989,571	18,835
Total PROJECT COSTS	2,357,577	28.5	4,533,338	54.7	923,050	11.1	471,779	5.7	8,285,743	100.0	8,249,863	35,881

PROJECT COMPONENTS BY YEAR-TOTAL INCLUDING CONTINGENCIES

INDIA								
Uttarakhand: Integrated Livelihoods Support Programme								
Project Components by Year -- Totals Including Contingencies								
(INR '000)								
	Totals Including Contingencies							
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
A. Food Security & Livelihood Enhancement								
1. Food Security & Scaling up	12,774	124,310	289,891	382,327	202,969	116,536	96,212	1,225,018
2. Access to Market	4,397	12,448	31,214	34,754	34,361	20,636	2,317	140,128
3. Innovation Linkages	1,360	20,993	23,054	23,363	19,079	17,517	13,905	119,270
4. Vocational Training	2,000	20,500	41,000	41,000	41,000	41,000	20,500	207,000
5. UGVS: Project Management Unit	3,221	79,220	74,298	77,782	81,453	83,538	86,498	486,009
Subtotal Food Security & Livelihood Enhancement	23,751	257,471	459,458	559,225	378,862	279,226	219,431	2,177,425
B. Participatory Watershed Development	393,185	586,012	781,926	844,004	853,883	656,485	594,826	4,710,320
C. Livelihood Finance	3,540	45,675	139,014	226,585	358,008	412,723	11,728	1,197,273
D. Project Management								
1. Central Project Coordination Unit	307	4,771	4,533	4,737	4,951	5,173	5,406	29,878
2. M&E and Knowledge Management_UGVS	8,742	10,150	10,746	16,947	11,705	11,849	19,340	89,478
3. M&E and Knowledge Management_WMD	13,006	6,302	6,949	18,813	7,314	7,515	21,469	81,368
Subtotal Project Management	22,055	21,223	22,228	40,498	23,969	24,538	46,214	200,724
Total PROJECT COSTS	442,531	910,380	1,402,626	1,670,312	1,614,722	1,372,972	872,200	8,285,743

EXPENDITURE ACCOUNTS BY YEAR-TOTAL INCLUDING CONTINGENCIES

INDIA								
Uttarakhand: Integrated Livelihoods Support Pro								
Expenditure Accounts by Years -- Totals Incl								
(INR '000)								
	Totals Including Contingencies							
	12/13	13/14	14/15	15/16	16/17	17/18	18/19	Total
I. Investment Costs								
A. Civil work	9,969	24,522	71,685	135,295	106,693	44,916	12,983	406,065
B. Watershed treatment	61,235	148,600	265,808	300,868	290,269	126,760	79,745	1,273,284
C. Vehicles	3,068	10,899	-	-	-	-	-	13,966
D. Equipment and materials	3,845	9,323	4,165	5,181	3,414	2,548	3,995	32,470
E. Training and workshops	3,952	9,912	9,381	9,336	7,866	6,462	7,218	54,126
F. Capacity Building	79,751	120,801	151,359	148,618	152,564	155,470	138,123	946,686
G. Survey & studies	15,644	1,149	726	19,603	793	1,115	20,839	59,868
H. Technical Assistance	3,650	6,026	7,905	7,561	6,146	4,587	4,794	40,670
I. Agribusiness	2,536	5,220	9,463	4,148	3,951	3,784	2,317	31,419
J. Livelihoods support	30,613	125,821	273,967	320,063	216,736	126,679	88,831	1,182,710
K. Viability Gap Fund	-	2,000	2,000	4,000	6,000	6,000	-	20,000
L. Livelihoods financing	-	31,250	121,250	207,500	340,000	395,500	-	1,095,500
M. Service Providers contracts	8,180	8,548	18,982	19,836	20,729	21,662	22,637	120,574
Total Investment Costs	222,444	504,070	936,691	1,182,009	1,155,160	895,483	381,481	5,277,338
II. Recurrent Costs								
A. Salary and allowances	193,586	275,274	287,662	302,007	315,597	329,799	344,640	2,048,565
B. Operations and maintenance	26,501	131,036	178,274	186,296	143,964	147,690	146,079	959,840
Total Recurrent Costs	220,088	406,310	465,936	488,303	459,561	477,489	490,719	3,008,406
Total PROJECT COSTS	442,531	910,380	1,402,626	1,670,312	1,614,722	1,372,972	872,200	8,285,743

PROCUREMENT ARRANGEMENTS-TOTAL

INDIA Uttarakhand: Integrated Livelihoods Support I Procurement Arrangements	Procurement Method (INR '000)							Total
	Local Competitive Bidding	Local Shopping	Direct Contracting	Force Account	Community Participation in Procurement	Other	N.B.F.	
A. Civil work	-	197,697	-	-	-	-	-	197,697
B. Watershed treatment	-	(160,209)	-	-	1,273,284	-	-	1,273,284
C. Vehicles	12,684	1,282	-	-	(989,905)	-	-	13,966
D. Equipment and Materials	(9,513)	(962)	-	-	-	-	-	(10,475)
E. Training and Workshop	-	14,740	-	-	-	-	-	14,740
F. Capacity Building	-	(11,102)	-	6,935	-	-	-	53,607
G. Survey and Studies & TA	-	46,672	-	(6,242)	9,300	-	-	(48,246)
H. Livelihoods Support	-	875,411	121,951	12,897	(8,370)	-	-	1,019,559
I. Agribusiness Development	-	(737,034)	(109,756)	(11,607)	-	-	-	(866,766)
J. Viability Gap Fund	52,814	14,811	-	-	-	-	-	67,625
K. Livelihoods Financing /a	(47,532)	(13,330)	-	638,578	-	-	-	(60,862)
L. Service Providers Contracts	-	-	-	(510,862)	-	-	-	638,578
M. Salaries and Allowances	-	-	20,000	-	-	-	-	20,000
N. Operations and Maintenance	-	-	(20,000)	-	-	-	-	(20,000)
Total	-	-	-	-	-	1,095,500	-	1,095,500
	1,051,348	417,407	-	-	278	-	-	1,469,033
	(946,213)	(375,667)	-	-	(250)	-	-	(1,322,130)
	-	-	-	-	-	503,915	-	503,915
	-	68,491	-	-	-	(296,247)	-	(296,247)
	-	(49,622)	-	-	-	373,824	1,475,925	1,918,240
	1,116,846	1,636,512	141,951	658,410	1,282,862	877,739	2,571,425	8,285,743
	(1,003,258)	(1,389,929)	(129,756)	(528,711)	(998,524)	(483,159)	-	(4,533,338)

Note: Figures in parenthesis are the respective amounts financed by IFAD
/a Through financial intermediaries



Chapter-1.4: PROJECT ORGANISATION AND MANAGEMENT

A. Introduction

The Uttarakhand Livelihood Improvement Project for the Himalayas (ULIPH) established two independent organizations for implementing project activities. This twin track implementation was planned to ensure that the enterprise development component is handled in a business-like manner to wean the community away from the welfare oriented subsidy driven approach.

The first track comprised empowerment and capacity building component leading to SHG mobilization and linkage to banks/cooperative network. NGOs played a major role in this activity, which is being implemented by Uttarakhand Gramya Vikas Samiti (UGVS).

The second track consists of provision of business promotion, technology and business service related functions. It included establishing demonstrations and upscaling profitable demonstrations by facilitating access to business service, venture capital and credit. This activity is being implemented by the Uttarakhand Parvthiya Ajeevika Samvardhan Company (UPASAC).

UGVS had a direct implementation and supervision role on the empowerment and capacity building component whereas UPASAC undertook business service, venture capital and credit related activities. This twin track implementation mode created management difficulties and, as a result, based on the recommendations of the MTR, a unified command structure was established. The Project Director in charge of UGVS became responsible for UPASAC. This has improved coordination between both the arms of ULIPH.

Despite being one of the younger states, Uttarakhand has a satisfactory track record of implementing projects involving the community in developmental initiatives. The state also has the benefit of some well known research institutions in the agriculture sector, which has led to several lab-to-land transfer of technology as well as upgrading of the technical capacity of personnel in the line departments. This apart, the state also has some well functioning commodity boards, social entrepreneurs and NGOs that have developed expertise over several years of trial and error to improve livelihoods of the communities in the hilly areas. The ULIPH funded by IFAD has done considerable work in the field of SHG mobilization, federation formation, and developing demonstrations of livelihood activities. However, the enterprise promotion related activities to upscale demonstrations are yet to start despite the project being in its penultimate year of implementation

B. Project Management Structure

RATIONALE

The Integrated Livelihood Support Project (ILSP) is a large project compared to that of ULIPH with an investment outlay of USD 148 million. UGVS that has been implementing the much smaller ULIPH with an investment cost of about USD 27 million. UGVS/UPASAC is expected to utilize about 50% of the total allocation for ILSP as the absorption capacity of UGVS/UPASAC remains limited. It is both time consuming and cost ineffective to build capacity of UGVS/UPASAC to single handedly implement ILSP. As a result, it will be necessary to identify and work in partnership with other implementing agencies who have the required implementation capacity.

The Rural Development Department (RDD) is the nodal agency for implementing the National Rural Livelihoods Mission (NRLM), a project targeted at improving the livelihoods of poor households by mobilizing and strengthening of SHGs and their federations. NRLM will be the flagship program of the Government of India (GOI) and Government of Uttarakhand (GoUK) in the arena of poverty alleviation. It will therefore make imminent sense to dovetail coordination of ILSP with that of NRLM within RDD to build synergy between these two projects

STRUCTURE

RDD will be the nodal agency at the state level. A Central Project Coordination Unit (CPCU) within the RDD will be established headed by a part time Chief Project Director (CPD). If an officer of sufficient seniority is not available, the post of CPD may be held as an additional charge by the PD of the UGVS or WMD components of ILSP.

The project will be implemented by the Project Implementation Agencies (PIAs) each headed by a full time Project Director (PD). The PSC will establish a Project Management Committee (PMC) chaired by the Secretary of RDD. The Secretary, Watershed will be Co-chairperson. The CPD, PDs and Implementation Partners (NGOs, Innovation Linkage Partners, etc.) will be the members.

The PD of UGVS will be the Secretary of the PMC. The PMC will meet every quarter and the main function include: (i) approving the AWPB, (ii) reviewing physical and financial progress; (iii) reviewing progress towards achieving outcome indicators; (iv) resolving implementation issues; and (v) working towards achieving convergence between various government sponsored activities and ILSP activities.

FUNCTIONS OF THE CPCU

The main functions of the CPCU are:

- a) formulate and sign Sub-Projects with the PIAs;
- b) organize PSC and PMC meetings;
- c) Incorporate the budget requirements into the overall budget of the GOUK;
- d) Operate the Project Account for timely release funds to the PIAs;
- e) Receive statement of expenditure and supporting documents related to fund release to PIAs and keep an account of fund release and utilization by each PIA;
- f) prepare overall project financial statements;
- g) Prepare and submit the withdrawal applications to DEA for onward transmission to IFAD; and
- h) Ensure preparation and submission of annual audit reports of the PIAs and annual RIMS data to IFAD;

The CPCU currently housed at the UGVS office will have the following staff officers:

Staff Position	Number of Staff	Comments
Project Coordinator	1	PD UGVS holds additional charge
Finance Controller	1	
Asst Manager (Finance)	1	
Project Assistants/ Stenographer	2	

RESPONSIBILITIES OF PIAs

The PIAs will be responsible for day to day implementation of the allocated sub-project. Establishment of Divisional Offices at the cluster/district level by the PIAs will be need based. Each PIA will be headed by a full time PD. The main functions of PIAs include:

- a) coordinate and implement Sub-Project activities including procurement and consultation with IFAD and under the guidance of PSC;
- b) prepare AWPB and 18 month procurement plan for implementing the Sub-Project and submit it to CPCU and IFAD;
- c) finalize and execute partnership agreements/contracts with NGOs, service providers and specialized institutions for implementing various project activities;
- d) establish an effective M&E and MIS system to track sub-project's progress;
- e) prepare and submit consolidated annual and quarterly progress reports to CPCU and IFAD;
- f) supervise and monitor the Sub-Project related activities and their progress towards achieving physical, financial and outcome related targets;
- g) prepare sub-project financial statements and prepare statement of expenditures related to sub-project expenditure for submission to CPCU and IFAD;
- h) submit annual audit reports, RIMS data to CPCU and IFAD; and

- i) liaise with the State administration, line agencies and other PIAs to ensure coordination in project implementation.

The project has three PIAs: (i) UGVS; (ii) WMD; and (iii) UPASAC. The Project Management structure is in [Annex-1.4.1](#).

Each PIA will enter into a Sub-Project Agreement with CPCU/RDD to implement allocated sub-projects.

RESPONSIBILITIES PROJECT DIRECTORS

The PSC, in consultation with IFAD, will appoint a Senior Government Official preferably from the Central Services as PD for each of the PIA (UGVS/UPASAC and WMD Society). In order to ensure continuity and smooth implementation of project activities, the minimum tenure of the PDs will be not less than three years and subject to satisfactory performance as determined by the PSC.

The PD will be assisted by a core team of technical and professional staff. The PD will be responsible for the day to day operations including the following functions:

- ensure that the PIA carries out its functions as set out in the Sub-Project Agreement;
- supervise and monitor the activities of the PIA and its progress towards achieving physical, financial and outcome related targets;
- oversee field operations related to the Sub-Project and provide overall implementation guidance;
- operate the PIA Project Account;
- recruit staff required for implementing the project;
- undertake project procurement;
- ensure that the PIA Project Accounts are audited annually and in accordance with IFAD audit requirements and submitting the same to CPCU and IFAD;
- submit annual RIMS data to CPCU and IFAD; and
- ensure that the PIA receives required level of funding for carrying out the activities.

FUNCTIONS OF M&E UNITS WITHIN UGVS AND WMD SOCIETY

The main functions of the Planning and M&E Unit will include:

- Submit the consolidated AWPB for approval of IFAD, PMC and PSC;
- Prepare a 18 month Procurement Plan and submit it to IFAD for approval;
- prepare and submit consolidated progress reports annually and quarterly to IFAD based on the progress reports submitted by PIAs;
- Undertake M&E and Knowledge management activities related to the project covering all the PIAs; and
- Prepare RIMS data for submission to IFAD.

Table-2: Staff Positions of M&E Units of UGVS & WMD		
Staff Position	Number of Staff: UGVS	Number of Staff: WMD
UGVS:		
Planning & M&E Manager	1	
KM Manager	1	1
MIS Manager	1	-
Statistical Analyst	1	-
Asst Planning/M&E Manager	-	6
Project Assistant	1	1
Enumerators	12	2
Data entry operators	-	10

C. Project Coordination Arrangements

The Department of Economic Affairs will be the nodal agency at the GOI level to review and monitor the project progress.

GoUK will establish a state level Project Steering Committee (PSC) chaired by the Forest and Rural Development Commissioner (FRDC). The Secretary of RDD will be the Secretary of this Committee. PSC will meet once in six months to review progress, provide overall guidance and policy support and to facilitate inter-departmental coordination. The members of the PSC will include: (i) Finance Secretary; (ii) Secretary, Watershed; (iii) Principle Chief Conservator of Forests; (iv) Secretary, Agriculture; (v) Secretary, Animal Husbandry and Livestock; (vi) Secretary, Horticulture; (vii) Secretary, Industry; and (viii) Project Directors of ILSP.

The Special Invitees to the PSC will include, the Chief General Manager- NABARD, representatives of Confederation of Indian Industry (CII), Chamber of Commerce-Kumaon (CCI-K), Chamber of Commerce-Garhwal (CCI-G), Khadi and Village Industry Board (KVIB), Bamboo Board and NGOs.

If needed, to advise the project on technical matters and to assist in building linkages with other programmes and sector actors, Sector Advisory Committee (SAC) could be formed for overarching sectors in which the project is involved (such as land-based enterprises, livestock, and non-farm). Membership of SAC would include: committee would include staff from project management, partner NGOs, research agencies, GoUK technical line departments and commodity boards, and other sector stakeholders such as private sector companies, other projects and NGOs.

On one hand the external (non-project) members of an SAC would inform the project about other programmes being implemented in the sector that may be of assistance to project groups, and which would help the other programmes of the government to reach out more widely to the rural population. On the other hand the internal (project) members of SAC can seek advice from the external members on technical and other issues that concern project groups, as well as disseminating information about lessons learned and emerging opportunities.

District Coordination and Monitoring Committees would be established in each district covered by ILSP activities and would be chaired by the Chairman of the Zila Panchayat (elected head of the district government). Members would include the district Chief Development Officer, project staff (from UGVS and WMD), partner NGO staff, members of government line departments and representatives of ILSP Livelihood Collectives, Gram Panchayat Water and Watershed Management Committees and other community organisations.

Block Development Officers would also be members of this committee. The committee would coordinate project implementation at the district level and ensure linkages between the project, line agencies and other government agencies.

D. Implementation Agencies

UGVS & UPASAC

GoUK established a not-for-profit society UGVS under the Societies Registration Act, 1860 for implementation of ULIPH. This society took the overall responsibility of SHG mobilization and savings and credit related activities of ULIPH. It engaged NGOs for implementing field level activities. UGVS has a Governing Council comprising the Chief Secretary, FRDC and Secretaries of the relevant line ministries. In addition, GOUK established UPASAC, a Section 25 company to implement demonstrations, enterprise promotion and enterprise finance. UPASAC was successful in implementing demonstration related activities but could not move into enterprise promotion related activities using the venture capital funds provided in the project.

Both UGVS & UPASAC reported directly to their respective Governing Council /Board of Directors. The issues related to dual control of the project coordination and management impacted negatively the implementation capacity of ULIPH. MTR taking this account, suggested harmonization of the management structures of both UGVS and UPASAC. This has been achieved with the Chief Executive Officer and staff of UPASAC reporting to the Secretary of UGVS (Project Director of ULIPH).

In ILSP, UGVS will use livelihood promotion and agribusiness development strategy to implement the project, as against the SHG mobilization, federation promotion, demonstration and enterprise

finance strategy of ULIPH. The following actions will be required to enable UGVS to become a PIA for implementing ILSP.

- a) Create a nested institutional structure with UGVS hosting UPASAC unifying the command structure of both UGVS and UPASAC by appointing an experienced official from the central services as full time Secretary of UGVS as well as Executive Vice Chairperson of UPASAC.
- b) Review staffing requirements based on the needs of ILSP and review the compensation and perquisites package of staff to bring about uniformity between the staff of UGVS/UPASAC with that of contract staff of WMD Society.

The organizational structure of UGVS at the state level is provided as [Annex-1.4.2](#) and terms of reference of each staff officer are given in [Annex-1.4.7](#).

The Secretary of UGVS/Executive Vice Chairperson UPASAC will be the Project Director of ILSP responsible for UGVS. Day-to-day management of UPASAC will be devolved to a Chief Executive Officer, recruited through open completion and with a development finance background.

Staff Position	Number of Staff	Comments
Project Director	1	Holds additional charge of PC
Chief Programme Manager	1	
Chief Convergence Officer	1	
Programme Manager-Agri/horticulture	1	
Programme Manager-Market Access	1	
Programme Manager-Inst & Gender	1	
Programme Manager-Eco tourism	1	
Finance manager	1	
HR Manager	1	
Audit Manager	1	
Asst Managers-Finance	2	
Asst Managers	2	
Project Assistants	4	
Drivers	3	
Attendants	2	
Security Guards	2	

Depending upon the districts allocated to UGVS for ILSP implementation, UGVS will establish Divisional Project Management Offices (DPMO) to implement ILSP in the districts of Almora, Bageshwar, Chamoli, Tehri, and Uttarkashi. Almora being the largest, there will be two divisional offices. Staff patterns of DPMO are as below:

Staff Position	Number of Staff	Comments
Divisional Managers a/	6	Terms of reference and
Asst Managers	6	
Asst Finance	6	
Asst Managers Planning / M&E	6	
Asst Managers Technical	6	
Asst Managers General	6	
Internal Auditors	6	
Assistants	24	
Drivers	12	
Attendants	24	
Security Guards	12	

The organizational structure of DPMO at the divisional level is provided in [Annex-1.4.3](#) and terms of reference and responsibilities of each staff officer are given in [Annex-1.4.8](#)

UPASAC

UPASAC is housed within UGVS and its CEO reports to the PD of UGVS. The organizational structure of UPASAC is provided in [Annex-1.4.4](#) and terms of reference and responsibilities of each staff officer are given in [Annex-1.4.9](#)

Table-4: Staff Positions of UPASAC

Staff Position	Number of Staff	Comments
Chief Executive Officer	1	
Manager Development Finance	1	
Deputy Manager Finance	1	
Rural Finance Coordinators a/ Assistant	10 1	

One in each division: 6 for UGVS divisions and 5 for WMD divisions. Tehri division is common to both UGVS & WMD

WMD SOCIETY

WMD of GoUK will establish a separate Society to implement ILSP. This society will be a PIA to implement watershed development, livelihood promotion and agribusiness development activities in selected watershed clusters. The society mode is preferred as it has the flexibility to retain unspent funds at the end of the financial year as against the normal system of surrendering the unspent balance to the government treasury. WMD will nominate an experienced official from the central services as full time Secretary of WMD Society and this person will be the full time Project Director for implementation of ILSP activities allocated to WMD Society. As [WMD will be completing implementation of the World Bank funded Watershed development project by end 2011-12](#), it will transfer the staff complement engaged for implementing the World Bank project to implement ILSP. [As a result, WMD will gear up and start implementation of ILSP from the beginning of the financial year 2012-13.](#)

The project management structure of WMD Society is similar to that of the World Bank-funded Watershed Development Project as shown in [Annex-1.4.5](#). The WMD will have the following staff six consultants during the duration of the Project:

Table-5: Staff Consultants to WMD

Consultant Position a/	Number of Staff	Duration
Environmental Specialist	1	5 year
Agri-business Specialist	1	5 year
Watershed Expert	1	5 year
Social Development Specialist	1	5 year
GIS Expert	1	5 year
MIS Specialist	1	5 year
IEC Expert	1	5 year

a/ all positions are at WMD Office, Dehradun; but the consultants are required to travel to field where and when required.

Terms of reference of the above-mentioned consultants are given in [Annex-2.1.3](#). WMD Society will establish Divisional Offices in the clusters selected for watershed development in the districts of Pithoragarh, Champawat, Nainital, Rudraprayag, Pauri and Tehri.

Role and responsibilities of the staff of WMD are described in [Annex-1.4.10](#)

WMD will also set up of M&E unit and carry out RIMS survey, baseline survey, mid-term survey and endline survey at completion, prepare regular progress reports and annual progress reports, Annual Outcome Survey etc. In order to enable WMD to carry out these tasks, WMD is provided additional staff and fund support.

E. Partner NGOs

For Component 1, UGVS will engage Partner NGOs (PNGOs) and ULIPH Federations capable of undertaking all activities related to livelihood support. The PNGOs will be responsible for implementation of project activities through the mobilized Producer Groups (PGs), Vulnerable Producer Groups (VPGs) and Livelihood Collectives (LCs) under the overall direction of the Divisional Project Management Offices of UGVS.

The functions of PNGO will include:

- a) Establish a Divisional level office with a multidisciplinary team to support project implementation comprising agribusiness, livestock, horticulture and Civil Engineering Specialist;
- b) Establish a cluster level office with a Livelihood Coordinator and an Accountant. This office will eventually become the office of the Livelihood Collective owned by the PGs and VPGs;
- c) Engage a Livelihood Facilitator for to support about 20-25 PGs and VPGs;
- d) Mobilize PGs and VPGs after conducting a participatory wealth ranking;
- e) Develop a Food Security Improvement Plan PGs and VPGs, facilitate sourcing of funds and support the group members to implement the plan;
- f) Develop and implement a Agribusiness Up-scaling Plan for the Livelihood Collective that includes both agribusiness and irrigation and water conservation activities;
- g) Implement a clear exit strategy to hand over functions of the Livelihood Facilitators to the Livelihood Collective during the third year of the project;
- h) Implement a clear exist strategy at the level of Livelihood Collective by developing adequate financial capacity to employ staff comprising Livelihood Coordinator, Accountant and Livelihood Facilitators after the project support ends;
- i) Ensure flow of funds to the LCs, PGs and VPGs, for implementing their plans;
- j) Supervise and monitor implementation of all activities related to project implementation; and
- k) Link up with the Service Providers including private companies and Specialist NGOs to implement agribusiness development activities depending upon the potential of the area.

For Component 2, WMD will engage (i) Field NGOs (FNGO) and (ii) NGOs as Divisional Support Agencies (DSA).

The FNGOs will facilitate in the preparation of FSIP for PGs and VPGs, provide assistance to the Gram Panchayat in drawing up development plans for the watershed through PRA, undertake community organization, train village communities, supervise watershed development, authenticate project accounts, provide technical advice, monitor and review the project implementation and set up institutional arrangements for post-project operation and maintenance. This work will be based on an Action Plan for sub-project activities drawn up by FNGO for approval of the WMD Divisional Office.

FNGOs shall submit periodical progress reports to the Divisional Office, and shall also arrange physical, financial and social audit of the work undertaken. It will also facilitate the mobilization of additional financial resources from other state government programmes, such as MNREGA, SGRY, National Horticulture Mission, NRLM etc.

The DSA will facilitate and implement sub component B (Food Security Enhancement Support) and sub-component C (Livelihood Up-scaling Support). Specific tasks include:

- (a) Development of Division level action plan: an analysis of farming systems and livelihoods to select sub-sectors with the most income potential for project communities. Sub-sector value-chain analyses of relevant sub-sectors will then be conducted by a contract agency.
- (b) The DSA will help group members to plan their production and marketing of crops, and also provide technical assistance and managerial support to LCs, building their capacity for record keeping and business planning.
- (c) Dissemination of improved agricultural practices and extension services: promote new and commercially viable technologies, and provide training with a compact area for demonstration of new crops. The DSA may contract specific resource consultants and enter into sub-partnerships with technical institutions. The DSA will also facilitate technical training and innovative practices for vulnerable groups and individuals.

- (d) Development of sub-sector value chains through improved post-harvest handling and logistics. The DSA will help establish partnerships with input suppliers, market operators and agro-processing companies, and identify niche market opportunities. Project interventions may be with farmers or further up the value-chain. Partnerships or collaboration with public or private agencies can be developed.
- (e) Overall technical support, training and capacity building: the DSA will provide technical support to the farmers in the project villages on agribusiness related issues and will work in close cooperation with the project management unit (WMD) and the state level organizations.

There are a number of well established and qualified NGOs based in the state with experience in working with ULIPH, and with WMD watershed projects funded by the World Bank. There are also NGOs which have been working with value chain, marketing and enterprise development projects funded by GIZ and other agencies. Some national NGOs have also been involved in this work in Uttarakhand. It is envisaged there will not be a problem to recruit suitable NGOs.

F. Community-based Organisations

PRODUCER GROUPS

Both UGVS (component 1) and WMD (component 2) will, with the assistance of PNGOs (UGVS) and DSA (WMD) mobilize PGs and VPGs.

Group formation will start with a participatory wealth ranking and activity selection. The poorest households, especially SC, with limited cultivable land will be facilitated to form VPGs for poultry, small ruminants and non-farm IGAs.

Households with cultivable land will be facilitated to form PGs depending upon the selected activity. The group size will be about 8 to 10 for UGVS and 6 to 10 for WMD, with composition will depend on the geographical proximity of the households, affinity amongst group members to work together, and common interest by all members to take up similar activities.

PGs will be either women only groups or men only groups but all VPGs will be women only groups.

A minimum of 50% of PGs will be women's groups. The PGs/VPGs will become the vehicle for delivery of services for enhancing the productivity of the activities being undertaken by these households. As a result, their income levels and risk taking ability will increase to move them into an agribusiness mode.

LIVELIHOOD COLLECTIVES

Components 1 and 2 will promote LCs at the cluster level. Each LC will be formed out of around 70 PG and/or VPG.

The location of the LCs will depend on the ease of access for PGs and VPGs, market linkage potential and cluster formation to achieve economies of scale. This means administrative boundaries are not of relevance.

The Self Reliant Cooperative Legal Framework is the most dominant legal framework available in Uttarakhand for such groups. A specific growth trajectory for these LCs will not be prescribed by the project but these LCs will have to become self-reliant within four years of project implementation.

The project will support each LC via PNGO and DSA and by providing grant funding. LC enterprises will also be able to access funds for UPASAC (loans, equity and viability gap grants) and should also get support from other government programmes and banks. This will enable the LC to take up activities that accrue benefits to their members and to charge service fees to sustainably deliver these services.

GRASSROOTS WATERSHED ORGANISATIONS

Village level local government, the Gram Panchayat (GP) and its Water and Watershed Management Committee (WWMC) will have pivotal role to play in planning and implementing component 2. Participatory watershed development may also involve other village level institutions such as the Revenue Village Committees (RVC), Van Panchayats (community forest groups), and Mahila and Yuvak Mangal Dals (women and youth groups) may also be involved. In some locations where much of the watershed is covered by community forest, Van Panchayats may take a lead in project implementation in place of the WWMC.

User Groups will also be formed to operate and maintain infrastructure created by the project – such as irrigation works and collection centres. This will be primarily be in component 2, but some will also be formed in component 1.

The total number of PG, VPG and LC to be formed, and their total membership, is shown in the Table 1. This table also shows other households who will be direct beneficiaries of ILSP. For component 1 these include 2000 farmers participating in the HARC pilot citrus action research sub-project. Participants in other action research activities will probably also be members of PG or VPG. There will also be 10,000 people benefitting from vocational training. However they are still considered to be direct beneficiaries as they will gain from the watershed soil and water conservation works, which will protect the environment, and secure supplies of fuel, fodder and water for the entire community

E. Implementation Responsibilities

At project start up a state level start up workshop will be held with participation from IFAD's ICO and key project design consultants. This will be followed up by district level workshops organised by UGVS and WMD. These workshops will explain and discuss project objectives, strategies and processes, and will provide an opportunity to fine tune implementation plans.

Either prior to start-up and/or shortly after start-up, UGVS will employ a consultant to assist them in revising and adapting the ULIPH Financial and Accounting Rules, Human Resource Guidelines and other implementation processes for ILSP. WMD may also up-date its various guidelines.

The annual process of planning is described in Chapter-1.6. This will involve UGVS and WMD conducting a participatory process with project groups (via their NGO partners) and plans than being consolidated at the component level before the CPCU produces an overall annual plan in line with GoUK and IFAD processes.

The overall process adopted to achieve project objectives by UGVS and WMD is similar. They will follow a two stage process, to building livelihoods in hill districts.

The first of these is to support and develop the food production systems which remain the main means of support for most households.

The second stage is to generate cash incomes via the introduction and expansion of cash crops.

Although both UGVS and WMD will form PG, VPG and LC, the implementation process for components 1 and 2 will have significant differences, with both agencies building on their previous experience and comparative advantages.

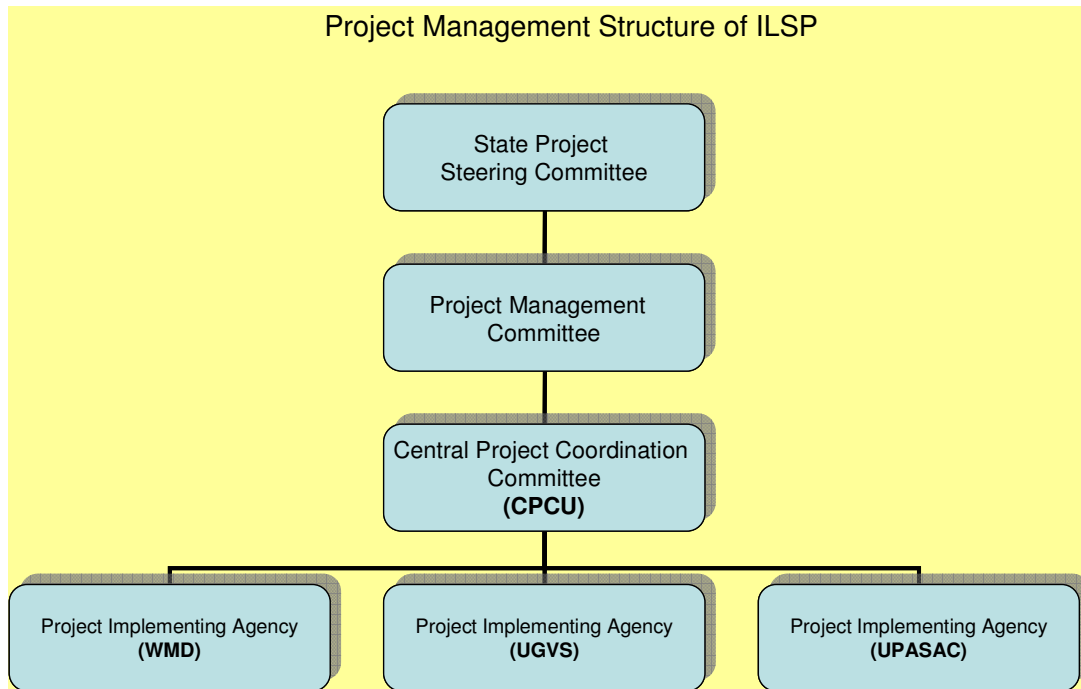
WMD will have a much more intensive approach, supporting local government to implement physical watershed development works, forming LCs and VPGs which have significantly fewer members, and giving them higher levels of financial support. This means the cost per benefitting household of Component 2 is relatively high. Although this follows accepted GoI expenditure norms and has proven results, the less intensive support offered by UGVD in component 1 has the potential to be more cost-effective.

Table below summarises and compares key features of Components 1 and 2 and shows where there will be synergies between the two. However it should be emphasised that they will take place in different locations of the state and will be able to proceed in a largely independent manner, without needing a great deal of field level coordination.

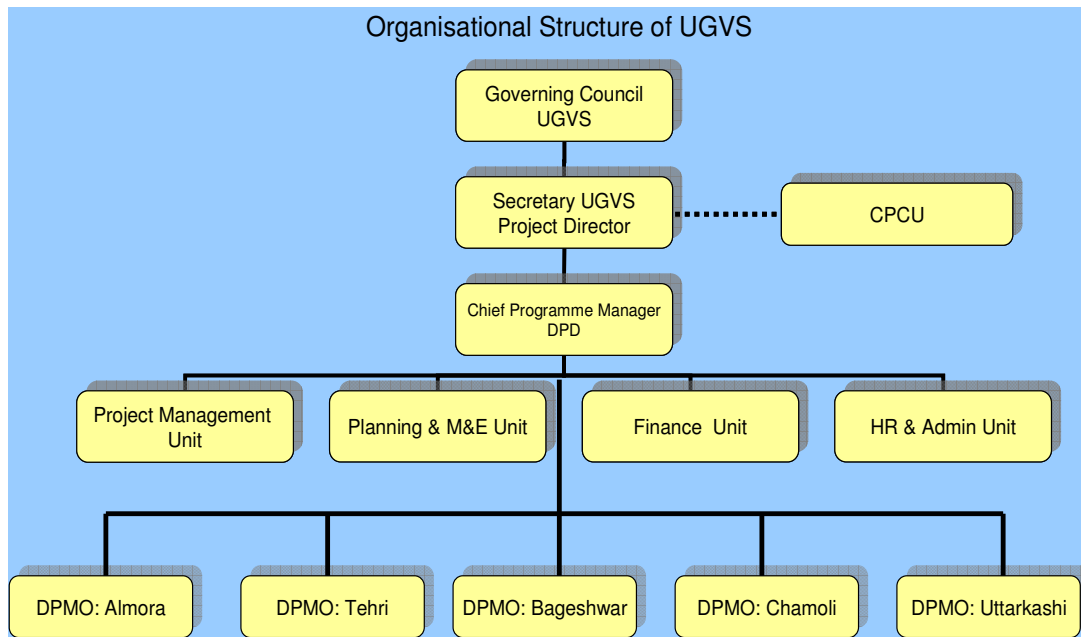
Table: Approaches used by Components 1 and 2, and linkages between them

Activities	Component 1 (UGVS)	Component 2 (WMD)	Comments and linkages
Groups formed	Producer Group (PG) and Vulnerable PG (VPG), these federated into Livelihood Collectives (LC).	Producer Group (PG) and Vulnerable PG (VPG), these federated into Livelihood Collectives (LC).	Similar approach to group formation, but work in different geographical areas
Group members	7,559 PG and VPG have 64,175 hh members (8-9 members per PG/VPG). Total of 130 LC (about 60 PG/VPG in each LC)	5,364 PG and VPG have 29,256 members (6 members per PG and 4 per VPG). Total of 70 LC (about 77 PG/VPG in each LC)	WMD support is much more intensive, with larger numbers of staff to supervise and support groups. UGVS support is more thinly spread over much larger area and larger number of households, but could be more cost-effective.
Support for groups	Grants of Rs 80,000 for each PG/VPG and Rs400,000 for LC. PGs & LCs to provide an additional 15% from their own resources.	Grant budget of Rs 90,000 per PG (20% funded by PG members), Rs 80,000 per VPG (10% from members) and Rs500,000 per LC (20% from own resources).	
Implementation	Up to six partner agencies, supervised by PMU office in each of six divisions	Two field NGOs, six Divisional Support Agency (DSA) NGOs, plus field based Multi-Disciplinary Team of WMD staff. Work with WWMC (part of Gram Panchayats).	UGVS approach will avoid problems of ULIPH in overlap between field level NGO and project staff. WMD approach allows such overlap but is based on successful system used in World Bank watershed projects.
Marketing support	Value chains, collection centres, and last mile infrastructure, policy studies	Collection centres, last mile infrastructure. Value chains are part of ToR of DSAs.	WMD provide more support for infrastructure per household. UGVS policy and market studies will be applicable for both components.
Irrigation and water/soil conservation	Limited funds for each LC (Rs 1 million) = Rs1,100 per PG/VPG member. Plus 25% mobilised from other resources	Watershed treatment funding avg. of Rs 27,000 per household in project watersheds. 10% of this from local GP resources.	WMD approaches may be adopted by UGVS WMD funding level as per national guidelines from GoI.
Innovation	Innovation /research sub-component with research partners	No specific research funding, but FNGO and DSA will introduce new crops and technologies.	Lessons coming out UGVS research and innovation activities may be adopted by WMD component.
Livelihood finance	Finance and other financial services from component 3 and via NRLM SHG support	Same as component 1 – watershed groups will get support from component 3.	Component 3 will work with both UGVS and WMD groups, and may also benefit other households in the hills
Vocational training	Organised as part of this component.	Students may come from watersheds covered by component 2	Students may come from any hill community in the state,
M&E and KM	UGVS will monitor own activities, outputs and processes; and also carry out outcome and impact surveys.	WMD will monitor own activities, outputs and processes, including watershed environment and also will carry out outcome and impact surveys.	Considerable learning from comparison of WMD and UGVS approaches. Established MIS/GIS of WMD may be replicated by UGVS.

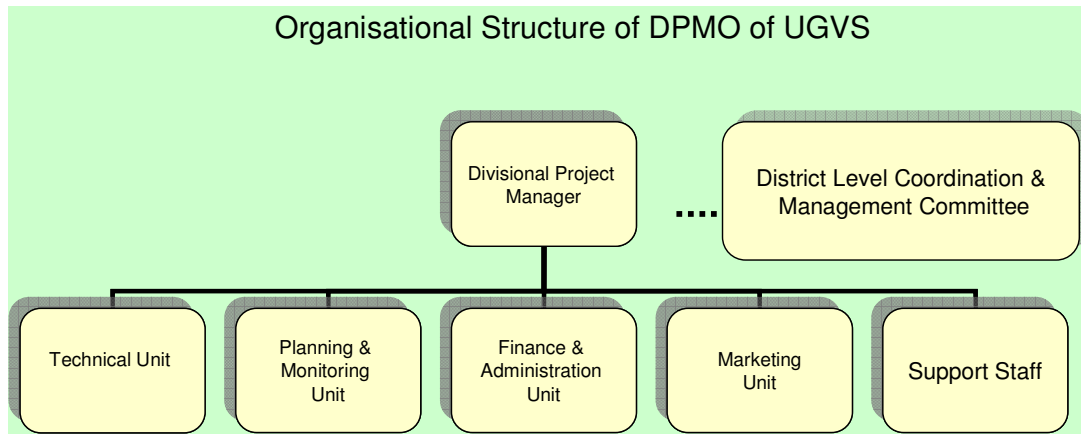
Annex-1.4.1: Project Management Structure of ILSP



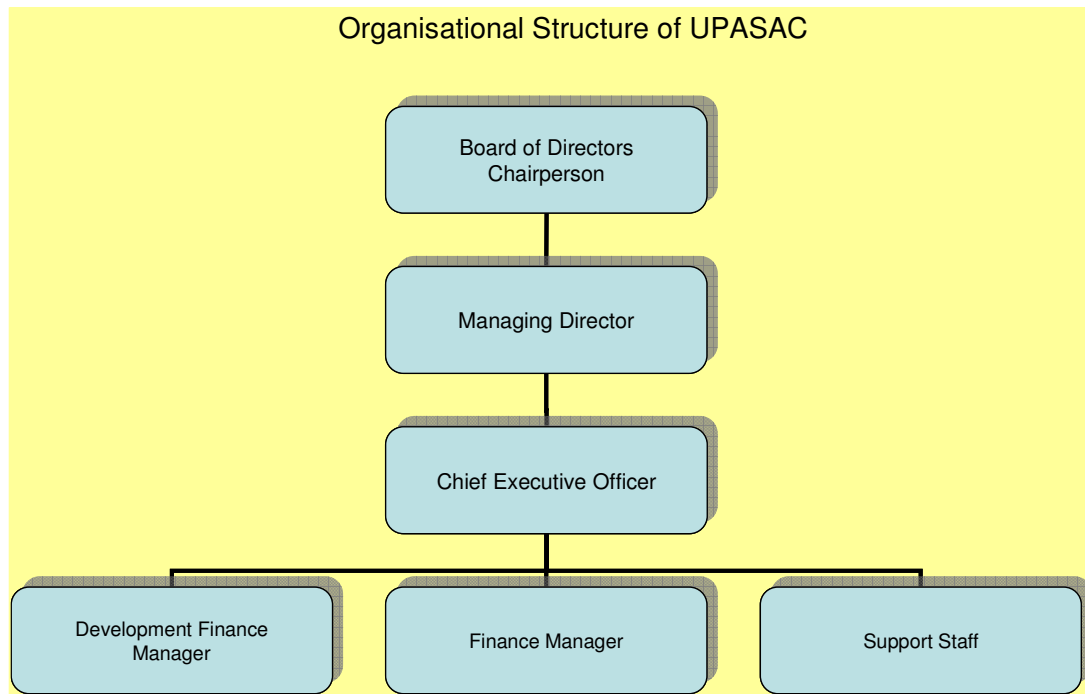
Annex-1.4.2: Organisational Structure of UGVS



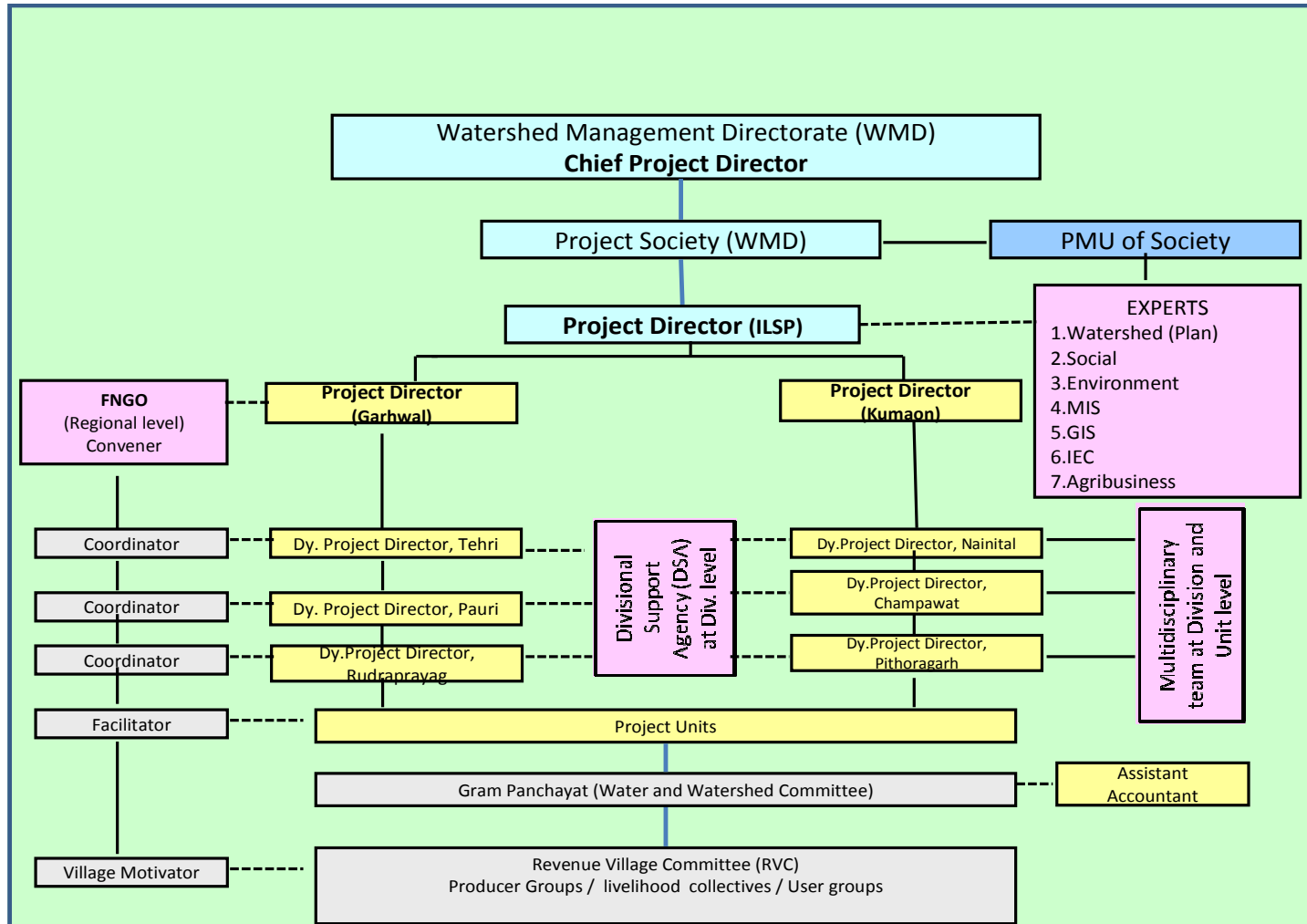
Annex-1.4.3: Organisational Structure of UGVS DPMOs



Annex-1.4.4: Organisational Structure of UPASAC



Annex-1.4.5: Organisational Structure of WMD Society



Annex-1.4.10: Role and Responsibilities of WMD Staff

STATE LEVEL

S. No.	Institution	Composition	Role	Accountable to
1.	PD	Appointed by State/WMD	<ul style="list-style-type: none"> Supervision, direction & coordination at the State level Member-Secretary of UWDU- PSWMD 	WMD
2.	UWDU-PSWMD	A part of WMD, a registered society under Societies Registration Act , 1860	<ul style="list-style-type: none"> Provide overall planning, direction, support and coordination to the project Ensure capacity building of project staff, GPs, RVCs, UGs and individuals to facilitate effective implementation of the project as per its objectives Coordinate with external stakeholders such as the CPCU, UGVS, UPASAC, State Government and IFAD Resolve all disputes placed before it 	WMD/State Government
3.	WMD	Headed by Director/CPD	<ul style="list-style-type: none"> Administrative control over the project staff. Work as office of UWDU- PSWMD 	State Government

FIELD LEVEL INSTITUTIONS

S.No.	Institution	Composition	Role	Accountable to
1.	MDT (multi-disciplinary team)	4-5 experts	<ul style="list-style-type: none"> Provide technical guidance to GP & village communities Sign running bills & completion reports of activities after due verification .Coordinate development of watershed treatment plans for inter-GP spaces 	WMD & GP
2.	FNGO	Hired by UWDU-PSWMD	<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 ESG Assist GP to plan and implement the project Formation and promotion of Producer Group (PGs) and Livelihood Collective (LCs) 	Regional PD and UWDU-PSWMD
3.	Unit In charge	Appointed by WMD and supported by MDT	<ul style="list-style-type: none"> Coordinate the MDTs , FNGOs and their interaction with GPs Facilitate technical guidance to GP & village communities Supervise that the bills and reports of activities are duly verified and signed by concerned persons Coordinate development of watershed treatment plans for inter-GP spaces Field appraisal of GPWDPs during preparation stage and compliance of approved GPWDP 	DPD and GP
4.	DSA (Divisional Support Agency)	Hired by UWDU-PSWMD	<ul style="list-style-type: none"> Development of Division level action plan of farming systems and livelihoods. Facilitation and coordination of Producer Groups (PGs), VPGs(Vulnerable Producer Groups) and Livelihood Collective (LCs) in implementation of FSIP, LIP and AUP 	UWDU-PSWMD

S.No.	Institution	Composition	Role	Accountable to
			<ul style="list-style-type: none"> To help group members to plan their production and marketing of crops, and also provide technical assistance and managerial support to LCs, building their capacity for record keeping and business planning. Dissemination of improved agricultural practices and extension services To facilitate technical training and innovative practices for vulnerable groups and individuals. Development of sub-sector value chains through improved post-harvest handling and logistics. 	
5.	DPD	Appointed by WMD	<ul style="list-style-type: none"> Approve and Review GPWDPs Ensure compliance of ESMF Sign sub-project agreements with GPs Transfer monies to GPs Conflict resolution among GPs, MDTs and FNGOs Overall control of DSA 	UWDU-PSWMD & WMD
6.	Regional PDs	Appointed by WMD	<ul style="list-style-type: none"> Supervise, coordinate and facilitate DPDs in their region Overall control of FNGOs and DSAs M & E of the project 	UWDU-PSWMD & WMD

PANCHAYAT-LEVEL INSTITUTIONS

S. No.	Institution	Composition	Role	Accountable to
1.	Gram Sabha	All adult voters of the Gram Panchayat	<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 & other deprived people Monitor the working of GP 	Village community
2.	Gram Panchayat	Gram Pradhan & Ward Members	<ul style="list-style-type: none"> Sign all appropriate agreements with WMD for participation in the project Assist NGOs in mobilization of village communities Open project bank account & judiciously manage project funds Manage project expenditure as per AWP of GPWDP Convene Gram Sabha meetings Ensure complete transparency & accountability by all GP-level institutions & individuals involved in the project Ensure Contribution by Beneficiary 	Gram Sabha and WMDs
3.	Water & Watershed Committee	Committee of the GP under the chairmanship of Gram Pradhan	<ul style="list-style-type: none"> Lead the process of planning & implementing GPWDP Manage the Vulnerable Groups Fund Assist NGOs in mobilization of village communities Submit timely monthly and annual financial reports to WMD Ensure that the GP annual accounts are audited on a timely basis and submitted to 	Gram Panchayat

S. No.	Institution	Composition	Role	Accountable to
			the WMD	
4.	RVC	All adult voters of the revenue village / hamlet: Constituted by the WWC under the chairmanship of Gram Pradhan / Ward Member	<ul style="list-style-type: none"> Lead the process of preparing RVC Proposals If contracted so by the GP, implement GPWDP at the village level Ensure equity for all, especially the disadvantaged groups Collection of beneficiary contribution 	Gram Panchayat
5.	Van Panchayat	VP Sarpanch, VP Members	<ul style="list-style-type: none"> Implement all plantation related activities under the project Coordinate with concerned Forest Department office for technical and management issues. 	Gram Panchayat
6..	Women Motivator	Designated woman at the village level	<ul style="list-style-type: none"> Mobilize women of the village to ensure their voice & choice is included in the project Facilitating formation of PGs/VPGs & extending all possible support to them 	MDT
7.	Village level Project Staff	Nominated by the Project	<ul style="list-style-type: none"> Convening of all Mandatory and all required GP , Gram Sabha and WWC meetings and upkeep of minutes of the meeting Assist in the procurement process by being designated as Secretary of the Procurement Committee Maintain and safe custody of all records Accounts and cash Timely submission of all returns , reports and utilization certificates Timely and satisfactory Audit of GP accounts 	GP; for Project reporting system to WMD.
8.	Accounts Assistant	Designated expert at the GP level. Recruited by GP and trained by project	<ul style="list-style-type: none"> Maintain all accounts books related to the project Make all vouchers & prepare cheques Collect dues from beneficiaries & issue receipts Ensure that records are maintained for all labour contributions from beneficiaries; Prepare all financial documentation & reports as required b the project 	GP; for Project reporting system to WMD.

Chapter-1.5: PARTNER AGENCY SELECTION PROCEDURES

A. Need for the services of Partner Agencies

The project will contract the services of partner institutions such as NGOs, research institutes, private sector development agencies, farmers' organisations, and technical agencies and also, where appropriate the services of the Federations for field implementation of the project activities. Each agency will be allocated a working area which may correspond to a district, or part of a district or a cluster of micro-watershed. However boundaries of these working areas may be adjusted to equalise workloads and allow for convenient coverage from the point of view of road access.

The project objective envisages improvement of productive potential of natural resources and enhancement of rural incomes through **socially inclusive** and institutionally and environmentally sustainable approaches. Drawing from past experience, Field NGOs have played an important role in successful implementation of project.

The need for FNGO arises from the lack of adequate staff required for community participatory approach. The FNGO would fill this gap by providing support of qualified professional staff to cover the social aspects of the project.

The ability to mobilize local community, especially women folk, understanding the diverse issues related with communities and effecting their participation in a project are the strengths of FNGO. They have talent and skills for promoting social mobilization, awareness generation, group formation and so on.

The objective of the proposed consultancy assignment is to facilitate, support and implement sub components 2 and 3) of the Project Component - Participatory Watershed Development under Integrated Livelihoods Support Project, (ILSP). The sub components are Food Security Enhancement Support and Livelihood Up-scaling Support.

In case of participatory watershed development, the FNGO and other partner agencies would be required to give coverage from the Project Director Level to the village level. A team of social staff led by the convener of FNGO at the Project Director Level with the help of Coordinator at Division and Facilitator at Unit Level will mobilize the villagers. The FNGO will not work in isolation but it would be an integral part of the Multidisciplinary Team (MDT) both at the unit level (cluster of GPs/villages) as well as at the Divisional level. The MDT would comprise of FNGO and the Agri/ Horti/ Forestry, Livestock and Civil engineering experts from WMD. The entire team has to work in close cooperation with each other as a unit.

The FNGO along with other members of the MDT will disseminate the key information regarding ILSP amongst the villagers, facilitate and encourage the participation of local communities in the planning process of Gram Panchayat Watershed Development Plan (GPWDP), assist Revenue Village Committee (RVC) in preparing proposals for GPWDP as well as in the identification of vulnerable groups and initiation of IGAs for them. Further they will also raise awareness of the need for soil conservation, water resource management, ESMF and other NRM interventions. They will organize vulnerable groups into VPGs and also assist in the formation of User's groups and also help build the capacities of these institutions in the project period.

The social aspects of the project will be strengthened by way of recruiting FNGO's social staff to facilitate the villagers specially women and involve them fully with the project process.

The Results to be achieved by the end of the consultancy period are:

- a) New high value crop, horticulture and livestock technologies are adopted by Producer Groups (PGs).

- b) Appropriate practices for grading, storage & processing and market linkages have been adopted by farmers to increase the value realized of their produce to enhance their household income levels.
- c) Value-chains in selected sub-sectors have been developed to sustainably increase incomes in project areas.
- d) Linkage of livelihood collectives (LCs) to the market.

B. Selection Criteria of Partner Agencies

- The agency should have domain knowledge of social mobilization, PRA tools, institutions building, micro-credit and micro-enterprises, participatory watershed development and approaches;
- Should have at least 3 years of experience of hill area
- Should have at least 5 years of experience in rural development, agriculture development, watershed development, formation of grassroots institutions such as SHG, JLG, producers groups, livelihoods collectives, federations etc
- Should have excellent communication-skill;
- Should be familiar with the area, culture and languages
- Should have competent core-staff for providing technical back-stopping;
- Willing to commit qualified staff for full term and willing to work for the entire duration of the project;
- Should be familiar with ongoing programmes in the project area
- Should not have been delisted by any of the government agencies

C. Selection Criteria of ULIPH Federations

There are over 70 ULIPH Federations are in the project area. In accordance with the minutes of discussions of 16 May 2011, UGVS may engage the services of ULIPH Federations for social and community mobilisation. UGVS will carry out a capacity profile of these federations and assess their capability and competency in undertaking the tasks to be assigned to them. In this context, UGVS should (i) create a profile of all willing federations; (ii) send a short and brief draft TOT to all those ULIPH Federations and invite their responses; (iii) evaluate these responses received from those willing federation through a core committee; (iv) invite them to make a presentation of their proposals and the way they perceive with the proposed tasks; (v) short list qualified ULIPH federations; (vi) forward the short-listed ULIPH Federations to IFAD before assigning any work to these Federations.

Following are the general criteria for selecting any of the ULIPH federations:

- The agency should have domain knowledge of social mobilization, PRA tools, institutions building, micro-credit and micro-enterprises, etc
- Should have at least 3 years of experience of working in hill area
- Should have at least 5 years of experience in rural development, agriculture development, formation of grassroots institutions such as SHG, JLG, producers groups, livelihoods collectives, etc
- Should have good communication-skill;

- Should have competent core-staff for providing technical back-stopping;
- Willing to commit qualified staff for full term and willing to work for the entire duration of the project;
- Should be familiar with ongoing programmes in the project area;
- Should have transparent financial practices and should be able to commit project funds as designed;
- Should not have been delisted by any of the government agencies

D. Selection Criteria of Divisional Support Agency (WMD)

The objective of the proposed consultancy assignment is to facilitate, support and implement sub components 2 and 3) of the Project Component - Participatory Watershed Development under Integrated Livelihoods Support Project, (ILSP). The sub components are Food Security Enhancement Support and Livelihood Up-scaling Support.

The Results to be achieved by the end of the consultancy period are:

- e) New high value crop, horticulture and livestock technologies are adopted by Producer Groups (PGs).
- f) Appropriate practices for grading, storage & processing and market linkages have been adopted by farmers to increase the value realized of their produce to enhance their household income levels.
- g) Value-chains in selected sub-sectors have been developed to sustainably increase incomes in project areas.
- h) Linkage of livelihood collectives (LCs) to the market.

E. Request for Proposal: sequences & steps

Request for Proposal (RFP) is similar to bidding documents and include all information of the assignment, selection of consultants and contract conditions.

Standard RFP of the World Bank can be used for ILSP also.

CONTENTS OF RFP:

- 1) Letter of Invitation
- 2) Information to the bidder
- 3) Data Sheet
- 4) Terms of Reference
- 5) General Conditions of Contract
- 6) Sample Special Conditions of Contract
- 7) Standard Form for submitting Technical Proposal
- 8) Standard Form for submitting Financial Proposal

LETTER OF INVITATION SHOULD CONTAIN

- Basic information regarding sources of financing for the assignment
- Basic information regarding the client and the assignment
- Short list of consultants: if 6 firms, use QCBS, QBS, Fixed Budget, Least cost and One Firm ask for consultants qualification, single source
- Selection method
- Content
- Request for acknowledge and confirmation of participation

INFORMATION TO BIDDERS should include all general information regarding

- 1) Eligibility of Consultants
- 2) Preparation of Proposal
- 3) Submission and receipt of proposals
- 4) Proposals evaluation
- 5) Negotiation

1. **ELIGIBILITY:** This should contain information regarding

- Consultant's familiarisation
- Client input
- Conflict of interest
- Corruption and fraudulent practices
- Commissions and gratuities
- Clarification and amendments

2. **PREPARATION OF PROPOSALS:**

Technical proposal	Full Technical Proposal 100 pages max	Short technical proposal 50 pages max
1. Submission Form	Yes	Yes
2. Consultants Organisation	Yes	Not required
3. Comments on TOR	Yes	Not required
4. Description on approach, methodology and work plan	Yes	Yes
5. Team Composition and tasks assigned	Yes	Yes
6. CV of professional staff	Yes	Yes
7. Staffing schedule	Yes	Yes
8. Work schedule	Yes	Yes

Financial proposals should include the following:

- ✓ Remuneration and reimbursable
- ✓ Separate estimates for taxes and duties
- ✓ Standard Forms
- ✓ Proposal validity
- ✓ No bid security

3. **SUBMISSION, RECEIPT AND OPENING OF PROPOSAL**

Two envelopes, where needed

Signature

Original and copies

Sealing of envelopes

Submission: Place, Date and Time

Deadline for Opening of Technical Proposals by the Committee

Late Proposals rejected

4. **EVALUATION OF PROPOSALS**

Technical committee set up

Points and Score System as specified in Data Sheet

No access to financial proposals

Review of Evaluation by IFAD

Rejection of non-responsive and non-acceptable proposals

Notification to successful firms of opening of Financial Proposals

Evaluation of Financial proposals

Public opening: Name, technical scores, prices

Responsiveness

Score according to method specified in Data Sheet
Combined Evaluation in accordance with selection method & as specified in Data Sheet

5. NEGOTIATION SEQUENCE

Methodology and staffing
Final TOR, without substantially changing original TOR
Staffing schedule
Client Inputs
Consultants/ Firms output
Activity Schedule
Skills transfer
(Final TOR and agreed methodology to be incorporated in "Description of Services" which becomes part of the contract

If negotiation fails, second ranked proposal is invited for negotiation.

As soon as negotiations successfully concluded, other firms must be informed about it.

6. EVALUATION CRITERIA

Specific experience related to assignment	0 to 10
Work Plan and methodology	20 to 50
Qualification & competence of staff	30 to 60
Transfer of knowledge	0 to 10
Local participation	0 to 10
Minimum score: acceptable proposal	70 to 80
Total marks equivalent to 100	

Please also refer to draft RFP under Chapter -3.2.

Annex-1.5.1: General TOR for hiring Partner Agencies for UGVS

1. INTRODUCTION

Background: the Integrated Livelihood Support Project (ILSP) will follow on from the Uttarakhand Livelihood Improvement Project in the Himalayas (ULIPH) which will be completed at the end of 2012. ULIPH has been implemented by Uttarakhand Gramya Vikas Samiti (UGVS), a society within the Rural Development Department, and Uttarakhand Parvthiya Ajeevika Samvardhan Company (UPASAC), a social venture capital company. ILSP will be implemented by these two agencies, along with the Watershed Management Directorate.

Rationale: the justification for ILSP is the need to stop the deterioration of the productive infrastructure, make farm labour more productive and farming more remunerative, and hence provide incentives for people to invest their time and resources in agriculture. Despite the disadvantages that agriculture faces in the hill areas, Uttarakhand does have the advantage of cooler temperatures at higher altitudes, allowing production of out of season vegetables and temperate fruits. The horticultural sector is less developed than in the other hill states, so there is considerable potential for growth, as there is in other niche products such as spices, medicinal and aromatic plants, and nuts.

Another area with growth potential is tourism. However more needs to be done to ensure that local people fully participate in, and benefit from, this sector. The population is well educated, but the level of youth unemployment is relatively high. Better vocational training could help such people find good quality employment in the growth sectors of the country.

The **overall objective** (goal) of ILSP will be to reduce poverty in hill districts of Uttarakhand. This would be achieved via the more immediate development objective of “enable rural households to take up sustainable livelihood opportunities integrated with the wider economy”.

The **strategy behind ILSP** will be to adopt a two pronged approach to building livelihoods in hill districts. The first of these is to support and develop the food production systems which remain the main means of support for most households. The second main thrust of the project is to generate cash incomes via the introduction and expansion of cash crops. These would be grown on a significant scale for markets outside of the state. ILSP will also support non-farm livelihoods, especially community involvement in rural tourism, and vocational training.

Component 1: Food security and livelihood enhancement implemented by UGVS, will support crop and livestock production for food security, and develop higher value cash crops and other products (such as rural tourism) to provide cash incomes. Crop and livestock production will be developed via support to Producer Groups (PG) and higher level organisations (Livelihood Collectives - LC) formed by a number of PGs. To up-scale enterprises generating cash incomes, and to introduce new income sources. ILSP will also improve access to markets through a value chain approach and the provision of physical infrastructure for market access. The value chain approach involves market/sub-sector studies, introduction of new technologies, market linkage, skill development, product development and promotion, physical infrastructure for market access. These activities will cover 93,000 households in 17 blocks in five districts. The project will also improve access to employment in the non-farm sector by supporting vocational training linked to job placement.

Component 2: Participatory Watershed Development implemented by the Watershed Management Directorate (WMD), will use processes that have been established through a series of watershed development projects in the state, but with an increased focus on food security, livelihoods and market linkages. It will protect and improve the productive potential of the natural resources in selected watersheds along with increasing household income through inclusive and sustainable approaches. The component would cover a total of 41 micro-watershed (MWS) covering an area of about 64,744 ha in six clusters in six districts, with a population of about 39,000 households. It will complement the ongoing watershed development programme funded by the World Bank and Gol, and takes into account availability of required WMD institutional capacity in the selected project districts.

Component 3: Livelihood financing implemented by UPASAC. Despite making significant strides in financial viability, banks have not been able to provide significant numbers of poor households with basic financial services. The activities under this component include:

- f) Banking support – capacity building, expansion of branches of SKGFS,
- g) Risk management – piloting and scaling up of insurance services,
- h) Financial inclusion initiatives – training to LC to be bank agents, product literacy training,
- i) Provision of development finance via UPASAC including loan and quasi equity funding
- j) Establishment cost support to UPASAC.

Component 4: Project coordination and monitoring: Each executing agency, UGVS, WMD and UPASAC, will have their own project management units headed by a Project Director or Chief Executive. To provide overall coordination, the state nodal agency, RDD, will set up a Central Project Coordination Unit (CPCU) within the RDD, headed by a part time Chief Project Director (CPD). The CPCU will have two Units: (i) Finance Unit; and (ii) Planning and M&E Unit. The Finance Unit will be located within RDD whereas the M&E Unit will be housed within UGVS.

Coordination: The Rural Development Department (RDD) will be the nodal agency at the state level. A Central Project Coordination Unit (CPCU) within the RDD. A state level Project Steering Committee (PSC) would be chaired by the Forest and Rural Development Commissioner (FRDC). The PSC will establish a Project Management Committee (PMC) chaired by the Secretary of RDD.

Convergence: the National Rural Livelihoods Mission (NRLM) will start operations in 2012 and will be responsible for forming and supporting SHGs. ILSP will provide complementary support for livelihoods for SHG members, many of whom will also join PGs. Producers supported by ILSP will be expected to receive support from other government programmes and from formal financial institutions. ILSP will also implement livelihood enhancement activities in blocks selected for watershed development by the Integrated Watershed Management Programme (IWMP), a centrally sponsored scheme.

2. OBJECTIVES OF PARTNER NGO SERVICES

For component 1 of the project, UGVS will contract partner NGOs for field implementation of this component and also the services of ULIPH Federations in few cases. Each Partner Agency will be allocated a working area which may correspond to a district or part of a district. However boundaries of these working areas (termed 'divisions') may be adjusted to equalise workloads and allow for convenient coverage from the point of view of road access. Component 1 of the project is planned to cover **64,175 households** in 17 blocks in five districts. Of these, over 26,000 (28%) are in five blocks in Almora district, so it could be worth splitting this district into two divisions.

On average each PNGO will organise 1,020 primary groups (816 Producer Groups and 204 Vulnerable Producer Groups), with a total of 15,300 members, at least 50% of who would be women. These groups will then be federated into a total of 17 Livelihood Collectives to support up-scaling, common services, combined enterprises and market access.

3. TASKS TO BE CARRIED OUT BY PARTNER NGOS

Partner NGOs will be contracted to carry out the following tasks:

PG/VPG formation and strengthening:

- Carry out awareness raising campaigns to explain project modalities and livelihood options to project communities as emerged from livelihood study conducted by the project.
- Identify poor (BPL) households with focus on SC, ST, OBC and disadvantaged households for inclusion under the project. **Compare the poverty estimates with government poverty ranking and report anomalies, if any to the DMU.**
- Organise formation of Producer Groups (PGs) and Vulnerable Producer Groups (VPGs) for specific livelihoods as emerged from the livelihood study. Aggregate the PG/VPG as Livelihood Collectives (LCs)

- Ensure participation of women and disadvantaged households in PGs, VPGs and Livelihood Collectives (LCs) as per **project norm**. At **least 60%** of the PGs will be women only groups
- Assist PG/VPG in drawing up of Food Security Investment Plans (FSIP) and other related plans for submission for project funding. FSIP should be based on situational analysis and proposed livelihood activities to be undertaken by PGs/VPGs.
- Assist PGs and VPGs in implementation of FSIP including procurement of inputs, fund/accounts management and technical advice from line departments/technical agencies and **bankers/financial institutions** for financial linkages.
- Provide PG/VPGs with technical advice and extension services for agriculture, horticulture and livestock, and link them to government line agencies and other sources of technical information and support.
- Provide training to members of PGs/VPGs according to a training plan agreed with project and provide feedback on the outcomes of this training.
- Assist PG/VPGs in getting access to natural resources, including agreements with Van Panchayats for land to grow fodder crops.

LC formation and strengthening:

- Organise formation of LCs into self reliant cooperatives/producer companies etc as per requirement of identified enterprises.
- Assist LCs in drawing up of Agribusiness Upscaling Plans (AUP) and submission for project funding
- Assist LCs in implementation of AUP including procurement, technical advice, and marketing, maintenance of accounts, business planning and institutional management. Promote enterprise and entrepreneurship
- Act as resources persons to assist LCs and their members to make applications to other agencies and to **banks for grants and loans**.
- Provide training to members of LCs according to a training plan agreed with UGVS project management, and provide feedback on the outcomes of this training.
- Provide groups with technical advice and extension services for agriculture, horticulture and livestock, and link them to government line agencies and other sources of technical information and support.

Support infrastructure development with LC

- Assist LCs in drawing up proposals for irrigation, soil and water conservation, and other infrastructure.
- Monitor implementation of this infrastructure development, and assist LCs in establishing systems of user charges and plans for operation and maintenance.

Pro-poor market development:

- Use the findings of the livelihood survey conducted by project to focus on the viable economic opportunities for enterprise development among project communities.

- Facilitate initiatives to improve market access for project groups, including support for market studies and value chain development, and development of infrastructure for market access. More specifically, it would involve following tasks:
 - i. Undertake value chain analysis of products/commodities identified during the detail livelihood survey to identify gaps for marketing intervention which would result in higher incomes and livelihood opportunities for the project community.
 - ii. Study successful marketing initiatives such as collective marketing of agriculture produce in the previous project and prepare strategies for their replication.
 - iii. Develop marketing infrastructure such as collection centres, pathways, river crossing trolleys, sub mandies facilitation, store house, and value addition facilities such as drying platform, technologies and processing units.
 - iv. Register LCs as Commission agent if required to facilitate better marketing of hill products.
 - v. Facilitate linkages with markets within and outside the markets to reduce number of intermediaries.
 - vi. Develop market information sharing system among LCs and its members.
 - vii. Identify market players such SMEs, corporate, traders, processors to develop forward market linkages for project communities.
 - viii. Develop backward linkages with BDS providers for capacity building, appropriate technologies, finance, input sourcing etc. for productivity enhancement and improving efficiency.
- Act as a link for financial services between UPASAC and its implementing partners and project groups to assist in identification of needs for financial services, and in communicating the availability of these services to project groups and group members.

Support innovation linkages and vocational training:

- Facilitate coordination and linkages between project groups and project research partners – such as VPKAS, GBPUAT and HARC.
- Facilitate in identification of youth of the project area for enrolling them under Vocational training programs of the project.

Monitoring

- Monitor performance of PG, VPG and LCs including carrying out regular participatory M&E at either the household or group level following project guidelines for such monitoring. In conjunction with UGVS implement a grading system for the institutional health of the PG/VPG/LC.
- Assist the project M&E unit in carrying out sample surveys by providing lists of households and data on poverty and assisting in locating the household in the village.
- Monitor implementation and outcomes of activities carried by the PG/VPG/LC through the process of participatory monitoring & report to the DMU.

- Agree annual work programme with UGVS Project Director, and provide monthly, half yearly and annual reports as per project requirements.

Project Management

- Facilitate compliance with project guidelines, including financial management, human resources and reporting.
- Participate in implementation of a project communications strategy, including notice boards, posters, leaflets, press briefings, and displays at local fairs and other events.
- Attend project management and coordination meetings as required by UGVS project management.
- Comply with the provisions made by government under the Right to Information for activities implemented under ILSP.
- Build sustainability of project groups and enterprises taken up by them, and implement an agreed project exit strategy.

4. KEY PERSONNEL OF TECHNICAL AGENCY

To implement this programme of work, NGOs may need to recruit and train staff, provide transport and equipment, and establish field offices. Project budgets may include funding for an average of the following PNGO staff for each division:

Post	Number of posts	Period of employment during project period	Major tasks
PNGO Coordinator	1	6 years	Project management
Agribusiness officer	1	6 years	Business support
Horticulture officer	1	6 years	Technical support
Livestock extension officer	1	6 years	Technical support
Junior engineers	2	5.5 years	Technical support
Livelihood facilitators	51	3 years	Organise and support PG
Livelihood coordinators	17	4 years	Management support to LC
Accountants	17	4 years	Accounting support for LC

NGO payment will include a charge for overhead costs, and the NGO should nominate a senior member of its staff to take overall responsibility for the project on a part-time basis.

5. REPORTING

PNGOs will provide monthly, quarterly and half-yearly reports on project progress and results as per the standard formats developed by the project. These will include physical and financial progress, reporting on outcomes (such as the results of PME) and a section on achievements and issues. The PNGO will also submit regular (monthly or quarterly) financial statements with supporting documents.

6. REVIEW OF PERFORMANCE

- PNGO and the project staff has to work in close cooperation with each other. The work carried out by the NGO in the field shall be monitored by the respective Divisional Managers of UGVS.

- A committee appointed by UGVS shall review NGO performance half yearly and annually. This review committee may be as below or as proposed by the PMC.:
 - Project Coordinator - Chair Person
 - Project Director (UGVS) - Member
 - Planning and M&E Manager (CPCU) - Member
 - Programme Manager (Institutions) - Member
 - Divisional Manager (UGVS) - Member
 - Finance Manager (UGVS) - Member

7. PERIOD OF THE ASSIGNMENT

Period of the assignment would be for five years. Annual extension will be on the basis of the satisfactory performance to be recommended by the Review Committee.

8. TERMS OF PAYMENT

The UGVS PMU will pay the PNGO according to an agreed annual budget and work plan. An advance equivalent to 3 months of approved estimates of a programme year will be paid to the PNGO. Additional conditions will be as per the RFP.

9. ACCOUNTING AND AUDITING

The PNGO will open a separate bank account for receipt and expenditure of funds for the contract. The agency will also maintain separately records, accounting and auditing of the funds allocated for the assignment and will submit the copy of the expense statement on a half yearly or quarterly basis. The PNGO will cooperate and facilitate IPSP internal and external audits

10. ARBITRATION

In the event of any dispute between the contracted agency and the district level functionaries of WMD, the Govt. of Uttarakhand will be the arbitrator.

11. GENERAL

The PNGO would be given access to all documents, correspondence, and any other information relating to the Project and deemed necessary by the PNGO. The PNGO would be provided copies of the Project Implementation Plan; Project Design Document (PDD) of the IFAD; and agreements with the IFAD, guidelines, policies and procedures issued by Project management and implementing agencies and relevant IFAD policies and guidelines (such as IFAD guidelines on social mobilization, targeting, environment and other such guidelines or policy documents).

Annex-1.5.2: TOR for FNGO for WMD

I. INTRODUCTION

Background: the Integrated Livelihood Support Project (ILSP) will follow on from the Uttarakhand Livelihood Improvement Project in the Himalayas (ULIPH) which will be completed at the end of 2012. ULIPH has been implemented by Uttarakhand Gramya Vikas Samiti (UGVS), a society within the Rural Development Department, and Uttarakhand Parvthiya Ajeevika Samvardhan Company (UPASAC), a social venture capital company. ILSP will be implemented by these two agencies, along with the Watershed Management Directorate.

Rationale: the justification for ILSP is the need to stop the deterioration of the productive infrastructure, make farm labour more productive and farming more remunerative, and hence provide incentives for people to invest their time and resources in agriculture. Despite the disadvantages that agriculture faces in the hill areas, Uttarakhand does have the advantage of cooler temperatures at higher altitudes, allowing production of out of season vegetables and temperate fruits. The horticultural sector is less developed than in the other hill states, so there is considerable potential for growth, as there is in other niche products such as spices, medicinal and aromatic plants, and nuts.

Another area with growth potential is tourism. However more needs to be done to ensure that local people fully participate in, and benefit from, this sector. The population is well educated, but the level of youth unemployment is relatively high. Better vocational training could help such people find good quality employment in the growth sectors of the country.

The overall objective (goal) of ILSP will be to reduce poverty in hill districts of Uttarakhand. This would be achieved via the more immediate development objective of “enable rural households to take up sustainable livelihood opportunities integrated with the wider economy”.

The strategy behind ILSP will be to adopt a two pronged approach to building livelihoods in hill districts. The first of these is to support and develop the food production systems which remain the main means of support for most households. The second main thrust of the project is to generate cash incomes via the introduction and expansion of cash crops. These would be grown on a significant scale for markets outside of the state. ILSP will also support non-farm livelihoods, especially community involvement in rural tourism, and vocational training.

Component 1: Food security and livelihood enhancement implemented by UGVS, will support crop and livestock production for food security, and develop higher value cash crops and other products (such as rural tourism) to provide cash incomes. Crop and livestock production will be developed via support to Producer Groups (PG) and higher level organisations (Livelihood Collectives - LC) formed by a number of PGs. To up-scale enterprises generating cash incomes, and to introduce new income sources. ILSP will also improve access to markets through a value chain approach and the provision of physical infrastructure for market access. The value chain approach involves market/sub-sector studies, introduction of new technologies, market linkage, skill development, product development and promotion, physical infrastructure for market access. These activities will cover 93,000 households in 17 blocks in five districts. The project will also improve access to employment in the non-farm sector by supporting vocational training linked to job placement.

Component 2: Participatory Watershed Development implemented by the Watershed Management Directorate (WMD), will use processes that have been established through a series of watershed development projects in the state, but with an increased focus on food security, livelihoods and market linkages. It will protect and improve the productive potential of the natural resources in selected watersheds along with increasing household income through inclusive and sustainable approaches. The component would cover a total of 41 micro-watershed (MWS) covering an area of about 64,744 ha in six clusters in six districts, with a population of about 39,000 households. It will complement the ongoing watershed development programme funded by the World Bank and GoI, and takes into account availability of required WMD institutional capacity in the selected project districts.

Component 3: Livelihood financing implemented by UPASAC. Despite making significant strides in financial viability, banks have not been able to provide significant numbers of poor households with basic financial services. The activities under this component include:

- Banking support – capacity building, expansion of branches of SKGFS,
- Risk management – piloting and scaling up of insurance services,
- Financial inclusion initiatives – training to LC to be bank agents, product literacy training,
- Provision of development finance via UPASAC including loan and quasi equity funding
- Establishment cost support to UPASAC.

Component 4: Project coordination and monitoring: Each executing agency, UGVS, WMD and UPASAC, will have their own project management units headed by a Project Director or Chief Executive. To provide overall coordination, the state nodal agency, RDD, will set up a Central Project Coordination Unit (CPCU) within the RDD, headed by a part time Chief Project Director (CPD). The CPCU will have two Units: (i) Finance Unit; and (ii) Planning and M&E Unit. The Finance Unit will be located within RDD whereas the M&E Unit will be housed within UGVS.

Coordination: The Rural Development Department (RDD) will be the nodal agency at the state level. A Central Project Coordination Unit (CPCU) within the RDD. A state level Project Steering Committee (PSC) would be chaired by the Forest and Rural Development Commissioner (FRDC). The PSC will establish a Project Management Committee (PMC) chaired by the Secretary of RDD.

Convergence: the National Rural Livelihoods Mission (NRLM) will start operations in 2012 and will be responsible for forming and supporting SHGs. ILSP will provide complementary support for livelihoods for SHG members, many of whom will also join PGs. Producers supported by ILSP will be expected to receive support from other government programmes and from formal financial institutions. ILSP will also implement livelihood enhancement activities in blocks selected for watershed development by the Integrated Watershed Management Programme (IWMP), a centrally sponsored scheme.

II. ROLE AND QUALIFICATIONS OF FNGO

Project period: the project duration is 7 years and the project cycle in each GP will be of 5 years in following three phases.

- The preparatory phase: - First year
- The Implementation Phase: - Three years.
- The Withdrawal Phase: - Fifth year
-

The Project is likely to commence from 1st April, 2012.

Project Cost: The proposed IFAD funding for this component is about US\$ 54 million.

Need for FNGO

The project objective envisages improvement of productive potential of natural resources and enhancement of rural incomes through **socially inclusive** and institutionally and environmentally sustainable approaches. Drawing from past experience in watershed projects, Field NGOs have played an important role in successful implementation of project.

The need for FNGO arises from the lack of adequate staff required for community participatory approach. The FNGO would fill this gap by providing support of qualified professional staff to cover the social aspects of the project.

The ability to mobilize local community, especially women folk, understanding the diverse issues related with communities and effecting their participation in a project are the strengths of FNGO. They have talent and skills for promoting social mobilization, awareness generation, group formation and so on.

Services of Uttarakhand based NGOs are required for the project areas of Kumaon and Garhwal region. FNGO would be required to give coverage from the Project Director Level to the village level. A team of social staff led by the convener of FNGO at the Project Director Level with the help of

Coordinator at Division and Facilitator at Unit Level will mobilize the villagers. The FNGO will not work in isolation but it would be an integral part of the Multidisciplinary Team (MDT) both at the unit level (cluster of GPs/villages) as well as at the Divisional level. The MDT would comprise of FNGO and the Agri/ Horti/ Forestry, Livestock and Civil engineering experts from WMD. The entire team has to work in close cooperation with each other as a unit.

The MDT (FNGO & WMD technical staff) will be collectively responsible for a cluster of GPs /villages in every respect. The MDT will be directly responsible for overall results and report to the WMD DPDs. The FNGO along with other members of the MDT will disseminate the key information regarding ILSP amongst the villagers, facilitate and encourage the participation of local communities in the planning process of Gram Panchayat Watershed Development Plan (GPWDP), assist Revenue Village Committee (RVC) in preparing proposals for GPWDP as well as in the identification of vulnerable groups and initiation of IGAs for them. Further they will also raise awareness of the need for soil conservation, water resource management, ESMF and other NRM interventions. They will organize vulnerable groups into SHGs and also assist in the formation of User's groups and also help build the capacities of these institutions in the project period. The social aspects of the project will be strengthened by way of recruiting FNGO's social staff to facilitate the villagers specially women and involve them fully with the project process.

Expertise and experience of the FNGO: The FNGO should have the expertise in the following spheres:

- Integrated Watershed Development
- PRA tools, awareness building and community mobilization
- Local institution building
- Capacity building of local institution
- Communication skills
- Gender Issues
- Sustainability of Institutions
- Micro Credit, Micro Enterprises development
- Networking and Market Linkages
- Process documentation and report writing

The FNGO should have the following experience: Minimum 3 years work experience in hilly areas and minimum 5 years experience in execution of participatory Watershed Management Project / Rural Development/ Externally Aided Multi Disciplinary Projects.

Statement of objectives and deliverables

Objectives: The overall objective of this assignment is to hire the services of FNGO on fixed budget consultancy for fulfilling the following objectives:

- To Provide Social Intermediation Services
- As part of MDT, the FNGO would give inputs in the planning process viz. Preparation of RVC proposals, IGA sub-plan, GPWDP
- Capacity building and networking of local institutions as well as developing an institutional mechanism to ensure sustainability of institutions formed.
- Process Documentation and Reports Generation

III. SCOPE OF SERVICES

1. Social Intermediation Services

1. Help in social mobilization, rapport building, awareness generations, collection of base line data and gender analysis.
2. Identification of Vulnerable groups in the villages. Facilitate the organization of vulnerable groups in to VPG. Plan in such a way so that maximum coverage is given to the vulnerable groups and the poorest of the poor.
3. Ensure participation of women in programmes and management of project activities.
4. Facilitate the local level institutions in developing and adoption of byelaws, initiating programmes and interventions

5. Facilitate the VPGs in developing and adoption of byelaws, initiating livelihood programmes.
6. Provide necessary inputs in design and estimates required for developing the watershed plan and other components of GPWDP
7. Awareness generation regarding ESMF and Facilitate the communities in the integration of ESMF in all project interventions.
8. Help in mobilizing vulnerable groups to take up entrepreneurship activities viz. IGA activities for alternative livelihood opportunities
9. Prepare and implement a capacity building action plan to enable the PGs, UGs and other CBOs to function effectively.
10. Ensure regular monitoring of the activities of VPGs, PGs, UGs, LCs etc formed under the project.
11. The FNGO will take up for discussions with the community and local institutions, formed in the project villages, important social and environmental issues relevant in the area e.g. sustainability of NRM, soil and water conservation, stall feeding of animals, health, education, harmful effects of pesticides, alcoholism, sanitation, IGAs, equity, social cohesion, gender issues, social auditing, social fencing, forest fires etc.
12. To supervise record keeping, book-keeping, management of group fund, collection of contributions, compliance to the byelaws and GPWDP
13. The FNGO will play an important role in the conduction of participatory M&E (PME). As part of PME the FNGO will be responsible for following deliverables
 - Development of Hand Book and action plan on the PME process which will include details on stakeholders, indicators, methods, tools and training plan.
 - An annual report summarizing the findings from PME, subsequent decisions and actions taken and general lessons learned. The report should also track the progress with respect to achievement of indicators over the given years.
14. Ensure conduction of periodic self assessment by local institutions
15. Assessment of the WWC and GPs functioning as regards transparency viz. in work, fund allocation, selection of beneficiaries
16. Assist in organizing field visits, field tours, on the job training for village level functionary e.g. accounts and exposure as and when required. Ensure sharing of training/ learning/ exposure visit out comes with the community.
17. Facilitate CBOs in developing byelaws, guidelines and ensure that the VPGs, PGs, UGs and other CBOs maintain the prescribed books which are accurate and updated.

2. Consolidation and sustainability

1. The FNGO will assist in the consolidation of the village level VPGs, PGs, UGs and other CBOs into cluster federations (LCs) within their program areas.
2. Explore and implement (where feasible) VPGs and PGs to cover the uncovered groups.
3. Develop and implement mechanisms to strengthen the local institutions formed under the project. This will include the following:
 - Facilitate the Preparation/strengthening of by-laws by CBOs detailing aspects related to membership, power and functions
 - Assist the VPGs and PGs in conducting self-assessment and drawing- up of forward action plans.
 - Assist in establishing linkages with external agencies departments and private sector entities.
 - Ensure linkages to enable input supplies and output marketing for IGA products.

3. Inputs as resource persons

- As part of MDT, the FNGO will assist the community/GP in conducting PRA, survey and collection of baseline information.
- The FNGO as part of MDT will act as resource persons and assist in the preparation of RVC proposals, IGA proposals, GPWDP planning process and integration of ESMF into project interventions, Farming system improvements and Transhumant population
- Act as resource persons in their respective area of specialization.

4. Reporting and outputs

- Carry out comprehensive process documentation of the social mobilization process in the project area.

- The FNGO will have to generate specified reports and follow the reporting mechanism as laid down by WMD.

The scope of services could be modified based on mutual agreement between the client and the FNGO with a view to better achieve the overall objectives. Keeping in view the overall objective and scope of works, the FNGO would outline the specific steps which would be carried out and their approach, in their Inception Report- to be provided within 30 days after commencement of their assignment.

Information to be included in reports to be submitted by the FNGO:

The FNGO would have to submit the following information in reports regarding the various activities to be carried out during the contract period.

1. As part of MDT, base line information of each village reviewed and shared with unit level/DPD/PD/ CPD
2. Various vulnerable groups identified and promoted as VPGs (numbers)
3. RVC proposals, IGA sub plans GPWDP, action plans prepared. (Numbers, quality, endorsed by the SHGs)
4. In consultation with MDT capacity building action plan for VPGs, PGs / villagers/ groups, implemented (numbers, days)
5. Entrepreneurial activities undertaken for vulnerable groups etc. (numbers, activities)
6. Success stories, case studies.
7. Social and environmental issues taken up with groups/federations/ RVC (numbers, activities)
8. Feedback of monitoring and evaluation of the activities at the field developed and reported.
9. Backward and forward linkages facilitated (numbers, institutions)
10. Report of the Grading/SWOT analysis of PGs/ LCs and the forward action plans for further strengthening thereof.
11. Number of federation formed through the project in the project area and their sustenance.
12. Capacity building activities for VPGs, PGs and LCs including all backward and forward linkages – number of groups linked with the Banks and other financial institutions.
13. Generate specific policy level issues related to CBNRM in general and program design and operations in particular.
14. An annual report summarizing the findings from PME, subsequent decisions and actions taken and general lessons learned. The report should also track the progress with respect to achievement of indicators over the given years.

5. Reporting requirements

The FNGO shall submit to the WMD report and documents as specified below in the form, numbers and within the periods set forth. The reports have to be submitted in Hard and Soft copy (numbers to be specified)

1. Monthly Progress Reports: Following reports will be submitted to concerning DPDs by the second day of the following month and after the approval of DPD a copy has to be forwarded to the WMD by the seventh day of the following month as per prescribed format

- 1- Monthly Progress Report (MPR) of PGs, VPGs, UGs, LCs and other CBOs.
- 2- Report regarding contribution (Anshdan) and beneficiary's cost sharing in project activities.
- 3- MPR of training conducted at Unit & division level with the feed back of participants.

2. Consolidated reports enumerating the qualitative review of the project: Following consolidated report will be generated by the FNGO as and when required within a given time period. Consolidated report of the activities undertaken as per part-1 of scope of services of FNGO in the TOR including:

1. Quarterly assessment of VPGs, PGs, UGs, LCs etc with their follow up action plan (Six monthly)
2. Impact of training/ adoptions of practices (Six monthly)
3. EDP follow up reports with regards to adoption of IGA and socio-economic enhancement of the weaker section of the society.(Annual)
4. Case studies of project villages as regards to various intervention of project especially the capacity building and participatory (Six monthly)
5. Documentation of the process adopted for social mobilization and to increase women's and vulnerable group participation in project activities. (Six monthly)

6. Consolidated reports enumerating the qualitative review of the project.

Such other reports, as may be required from time to time will also be generated by the FNGO with in a stipulated time.

3. Annual Reports: Annual and consolidated report on the contribution of the organization in implementation of ILSP and issues related to the project annual assessment by first week of April. The annual report should also summarize the findings from PME, subsequent decisions and actions taken and general lessons learned. The report should also track the progress with respect to achievement of indicators over the given years.

The FNGO will be responsible for the timely submission of all the reports.

6. Key personnel

- Deployment of Personnel should be at the following levels:
 1. A Facilitator at Unit level (at cluster of approximately 15 GPs each) for all the project units
 2. A Coordinator at Division level for each division
 3. A Convener at Project Director level
 - All the field level staff working as Coordinator at division level and as Facilitators should be female staff. The Convener at PD level should preferably be a female staff.
 - WMD technical staff and the FNGO personnel will constitute the MDT and are expected to work in close coordination as a unit.
 - The proposed key personnel should have the minimum experience prescribed in the qualifications for key personnel.

IV. JOB DESCRIPTIONS OF KEY PERSONNEL

1. Convener at Project Director Level

There shall be one convener with the overall coordinating responsibility for the FNGO personnel in all the project divisions within the jurisdiction of a project director. The convener at Project Director Level would be required to deliver the following services. He /She should preferably be the chief functionary of the FNGO who would liaison with the Project Director for the smooth functioning of the project.

- Consolidation of information Generated at the division levels.
- Monitoring, Supervision and Guidance to coordinator at division level and facilitator at unit level through regular field visit and through monthly meetings.
- Assist division level coordinator/ Facilitators in planning, implementation, capacity building of community/ village motivators
- Consolidation of community groups at regional level viz. organization of PGs into LCs
- Linking of PGs/VPGs to lending institutions to access credit for different IGAs
- Develop and implement a mechanism to ensure regular monitoring of the activities outputs and outcomes
- Information dissemination to the lower levels as regards new project development/ change of policy/ compliance to specific orders.
- Environmental and Social Compliance in project interventions
- Organize follow up programmes and activities in discussion with Project Director and Dy. Project Directors.
- Undertake field visit in the project area and plan activities for social mobilization and capacity building with divisional level coordinator
- Prepare community mobilization action plan with the assistance of project staff and concerning divisional coordinator.

- The FNGO personnel at PD level would have to work in close cooperation with the WMD Project Director.

Qualifications: the preferable qualification of the Coordinator at Project Director Level will be: PG in Social Science/ MSW/ Arts/ Economics/ PG Diploma in Rural Development / Bio- Science/ Agriculture; Minimum five years work experience in rural development particularly in integrated watershed development project; Experience should be in rural development/ social mobilization/micro credit and micro enterprises development/ watershed approach. Good documentation and report writing skills, communication skills. Should be a computer literate.

2. Coordinator at Division Level

There shall be one coordinator with the overall coordinating responsibility for the FNGO in each Project Division. The Coordinator at division level would be required to deliver the following services.

- Consolidation of information generated at the village level in the Division. Document and submit monthly report. Help in updating of training reports and inventorying of training and extension material
- Assist in organizing training, review workshops, field visits and exposure/ study/field tours as and when required at sub-watershed level & micro-watershed level with the assistance of facilitator and MDT members and documentation of events / preparation of reports.
- Facilitate planning process at field level and assist in organizing PRA exercise. Assist MDT in developing IGA sub plan for vulnerable groups.
- Assist in Participatory Monitoring and Evaluation.
- Participate in awareness building programme at GP level and village level. Prepare follow-up action plan as regards Divisional Community Mobilization Action Plan.
- Assist Facilitators in planning, implementation and capacity building of community/ local institutions/ village motivators through village level training and review workshop. Participate in the sharing of training experience and insights.
- To visit the project villages at least 15 days in a month to ascertain performance of grass root level workers viz. Facilitators and Motivators. Provide the facilitators and village motivators necessary help and guidance in carrying out their task efficiently.
- Consolidation of community groups at division level viz. organizing PGs into LCs/ clusters.
- Document the effect of project interventions in their area and to suggest any improvement in the activity/programmes being conducted.
- To ascertain the field training need of the community through the Facilitators and Motivators and convey the above to the DPDs.
- To attend the meetings of RVC, WWC, UGs, VPGs and PGs and help their office bearers in proper upkeep of records.
- Link PGs for credit mobilization
- Information dissemination to the lower levels as regards new development
- Environmental and Social Compliance in project interventions
- Conduct village level trainings and workshops for the dissemination of ESMF.

Qualification:

- PG in Social Science/ MSW/Arts /Economics/Agriculture/ Bio-Science/ PG Diploma in Rural Development.
- Minimum three years working experience in rural areas particularly in watershed concept.
- Knowledge and Experience should be in Rural Development/ Social Mobilization/Micro Credit Linkages, IGA activities/ micro enterprises development.
- Good Documentation and Report Writing Skills, communication skills.
- Computer literate.

3. Facilitators at Unit Level

A Facilitator would be placed at cluster of 15-20 villages (Unit). The facilitator would report to the coordinator at the DPD level. The facilitators would be integral part of the MDT. Therefore they would

be required to work in close cooperation with the MDT members and the respective unit level project staff. They would be required to perform the following tasks:

- Facilitators would play an important role in the selection of village motivator by the Gram Panchayat by ensuring that the GP follows the guidelines as laid down for the selection of village motivator. After the selection of village motivators, the facilitators would provide proper and effective guidance and has to work in close cooperation with the motivators.
- Promote and encourage community for effective participation in project activities. Ensure the maximum participation of women in the meetings/activities of RVC/ PGs/ VPGs /UGs. The facilitator along with the motivator will apprise the rural women about government sponsored education, health and family welfare programmes. They will have to participate in awareness building programme at GP level and village level. Mobilize community and disseminate information regulating participatory approach, objectives, implementation mechanism and ESMF
- To remain well versed with the works being carried out under the project.
- Introduce the concept of groups' activity, mobilize the vulnerable section of the society to form SHGs, assist them in saving and credit related activities and developing/ adoption of bye laws. The facilitator along with the village motivator will participate in the meetings of PGs, VPGs/ UGs, verify the amount deposited in their account and revolving fund. Facilitate in obtaining regular contribution to the above accounts. Mobilize the VPG for income generating activities and assist in developing IGA sub plan for vulnerable groups.
- Collect base line data in all concerning village and assist in PRA including gender analysis with the active participation of GP, RVC and other community member for the preparation of GPWDP.
- Help, instruct and guide the RVC, SHGs. UGs and other CBOs in keeping their book and record up to date.
- To participate, evaluate and obtain feed back of the training programme and IGAs organized for the vulnerable groups.
- To keep updated information regarding meetings of GPs, RVC, VPGs, PGs, UGs, and devise ways and means for their regularity.
- To assess the impact of project activities in their concerning village and keep updated records of the result due to project interventions. Facilitator has to compile the report at unit level. In case of any doubts has to clarify and verify it at village level with the help of village In charge.
- To make aware the community especially vulnerable groups as regards government/ NGOs sponsored Welfare and Development programme. Encourage village motivators for a establishing linkages of rural women with such activity/ programme
- Follow-up on village plans and identify methods to strengthen communities capability for sustainable resource management.
- Conduct SWOT/ Grading, Assessment of PGs and LCs

Qualification:

- Graduate Social Science/ Arts/ Economics/ Science/ Agriculture/ Bio- Science/ Diploma in Rural Development
- Minimum Three years of working experience in community mobilization in rural areas, linkage with Banks etc.
- In case of experience of more than five years in participatory watershed projects, academic qualification may be relaxed.
- Good communication skills, skill in participatory methodology
- Good Documentation and Report Writing Skills

4. Field visits and capacity building of FNGO personnel

- The FNGO personnel would have to undertake prescribed field visits in the following manner:
 - At Village level minimum 20 days field work per month and as per necessity
 - Divisional level minimum 15 days field work per month and as per necessity
 - PD Level minimum 15 days field work per month and as per necessity

- Monthly assessment of the performance of the FNGO personnel would have to done by the FNGO.
- It is expected that the capacity building/ improvement/ skill up gradation of NGO personnel would be under taken by the FNGO from time to time. The FNGO would be required to submit a capacity building strategy, along with its resource persons for its personnel for the period of assignment.
- The services of the field level FNGO personnel should be supported by inputs from appropriate senior level staff of the FNGO (Head/Director/Consultant) as and when considered necessary.
- Head of the FNGO should take up periodic field visit (minimum 10 days in a month covering all project division) for supervision, monitoring, and performance evaluation of the FNGO personnel.

V. REVIEW OF PERFORMANCE AND TERMS OF CONTRACT

1. Review of performance

- FNGO and the project staff has to work in close cooperation with each other. The work carried out by the NGO in the field shall be monitored by the respective DPDs / PD.
- A committee appointed by WMD shall review NGO performance half yearly and annually. The committee for one project region viz. Garhwal/Kumaon would comprise of all the DPDs, concerning PD, and DPD (Trg.) and Senior Social Coordinator at the WMD level and FNGO representative. At CPD level the review committee will be as given below:-

• Chief Project Director	-	Chair Person
• Additional Director	-	Member
• Additional Director (M&E)	-	Member
• Project Director (Garhwal and Kumaon)	-	Member
• DPD (Planning/M&E)	-	Member
• DPD (ESA & Training)	-	Member
• Finance Officer	-	Member

2. Period of the assignment

Period of the assignment would be for five years. Annual extension will be on the basis of the satisfactory performance to be recommended by the Review Committee.

3. Terms of payment

The terms of payment as finalized during negotiations by both parties will be applicable.

4. Accounting and auditing

The agency will open a separate bank account for receipt and expenditure of funds for the contract. The agency will also maintain separately records, accounting and auditing of the funds allocated for the assignment and will submit the copy of the expense statement on a half yearly basis and audit report on an annual basis.

5. Arbitration

In the event of any dispute between the contracted agency and the district level functionaries of WMD, the Govt. of Uttarakhand will be the arbitrator.

6. General

The FNGO would be given access to all documents, correspondence, and any other information relating to the Project and deemed necessary by the FNGO. The FNGO would be provided copies of the Project Implementation Plan; Project Design Document (PDD) of the IFAD; and agreements with the IFAD, guidelines, policies and procedures issued by Project management and implementing agencies and relevant IFAD policies and guidelines (such as IFAD guidelines on Social mobilization, Vulnerable Group Fund, IGA strategy and ESMF and other such guidelines or policy documents).

Annex-1.5.3: Divisional Support Agency for WMD: Terms of Reference

I. INTRODUCTION

1. Background: the Integrated Livelihood Support Project (ILSP) will follow on from the Uttarakhand Livelihood Improvement Project in the Himalayas (ULIPH) which will be completed at the end of 2012. ULIPH has been implemented by Uttarakhand Gramya Vikas Samiti (UGVS), a society within the Rural Development Department, and Uttarakhand Parvthiya Ajeevika Samvardhan Company (UPASAC), a social venture capital company. ILSP will be implemented by these two agencies, along with the Watershed Management Directorate.

2. Rationale: the justification for ILSP is the need to stop the deterioration of the productive infrastructure, make farm labour more productive and farming more remunerative, and hence provide incentives for people to invest their time and resources in agriculture. Despite the disadvantages that agriculture faces in the hill areas, Uttarakhand does have the advantage of cooler temperatures at higher altitudes, allowing production of out of season vegetables and temperate fruits. The horticultural sector is less developed than in the other hill states, so there is considerable potential for growth, as there is in other niche products such as spices, medicinal and aromatic plants, and nuts.

3. Another area with growth potential is tourism. However more needs to be done to ensure that local people fully participate in, and benefit from, this sector. The population is well educated, but the level of youth unemployment is relatively high. Better vocational training could help such people find good quality employment in the growth sectors of the country.

4. The overall objective (goal) of ILSP is to reduce poverty in hill districts of Uttarakhand. This would be achieved via the more immediate development objective of “enable rural households to take up sustainable livelihood opportunities integrated with the wider economy”.

5. The strategy behind ILSP will be to adopt a two pronged approach to building livelihoods in hill districts. The first of these is to support and develop the food production systems which remain the main means of support for most households. The second main thrust of the project is to generate cash incomes via the introduction and expansion of cash crops. These would be grown on a significant scale for markets outside of the state. ILSP will also support non-farm livelihoods, especially community involvement in rural tourism, and vocational training.

6. Component 1: Food security and livelihood enhancement implemented by UGVS, will support crop and livestock production for food security, and develop higher value cash crops and other products (such as rural tourism) to provide cash incomes. Crop and livestock production will be developed via support to Producer Groups (PG) and higher level organisations (Livelihood Collectives - LC) formed by a number of PGs. To up-scale enterprises generating cash incomes, and to introduce new income sources. ILSP will also improve access to markets through a value chain approach and the provision of physical infrastructure for market access. The value chain approach involves market/sub-sector studies, introduction of new technologies, market linkage, skill development, product development and promotion, physical infrastructure for market access. These activities will cover 93,000 households in 17 blocks in five districts. The project will also improve access to employment in the non-farm sector by supporting vocational training linked to job placement.

7. Component 2: Participatory Watershed Development implemented by the Watershed Management Directorate (WMD), will use processes that have been established through a series of watershed development projects in the state, but with an increased focus on food security, livelihoods and market linkages. It will protect and improve the productive potential of the natural resources in selected watersheds along with increasing household income through inclusive and sustainable approaches. The component would cover a total of 41 micro-watershed (MWS) covering an area of about 64,744 ha in six clusters in six districts, with a population of about 39,000 households. It will complement the ongoing watershed development programme funded by the World Bank and Gol, and takes into account availability of required WMD institutional capacity in the selected project districts.

8. **Component 3: Livelihood financing** implemented by UPASAC. Despite making significant strides in financial viability, banks have not been able to provide significant numbers of poor households with basic financial services. The activities under this component include:

- Banking support – capacity building, expansion of branches of SKGFS,
- Risk management – piloting and scaling up of insurance services,
- Financial inclusion initiatives – training to LC to be bank agents, product literacy training,
- Provision of development finance via UPASAC including loan and quasi equity funding
- Establishment cost support to UPASAC.

9. **Component 4: Project coordination and monitoring:** Each executing agency, UGVS, WMD and UPASAC, will have their own project management units headed by a Project Director or Chief Executive. To provide overall coordination, the state nodal agency, RDD, will set up a Central Project Coordination Unit (CPCU) within the RDD, headed by a part time Chief Project Director (CPD). The CPCU will have two Units: (i) Finance Unit; and (ii) Planning and M&E Unit. The Finance Unit will be located within RDD whereas the M&E Unit will be housed within UGVS.

10. **Coordination:** The Rural Development Department (RDD) will be the nodal agency at the state level. A Central Project Coordination Unit (CPCU) within the RDD. A state level Project Steering Committee (PSC) would be chaired by the Forest and Rural Development Commissioner (FRDC). The PSC will establish a Project Management Committee (PMC) chaired by the Secretary of RDD.

11. **Convergence:** the National Rural Livelihoods Mission (NRLM) will start operations in 2012 and will be responsible for forming and supporting SHGs. ILSP will provide complementary support for livelihoods for SHG members, many of whom will also join PGs. Producers supported by ILSP will be expected to receive support from other government programmes and from formal financial institutions. ILSP will also implement livelihood enhancement activities in blocks selected for watershed development by the Integrated Watershed Management Programme (IWMP), a centrally sponsored scheme.

II. ROLE AND QUALIFICATIONS OF THE DSA

Project period: the project duration is 7 years and the project cycle in each GP will be of 5 years in following three phases.

- The preparatory phase: - First year
- The Implementation Phase: - Three years.
- The Withdrawal Phase: - Fifth year

The Project is likely to commence from 1st April, 2012.

Project Cost : The proposed IFAD funding for this component is about US\$ 54 million.

Need for Divisional Support Agency (DSA)

The objective of the proposed consultancy assignment is to facilitate, support and implement sub components 2 and 3) of the Project Component - Participatory Watershed Development under Integrated Livelihoods Support Project, (ILSP). The sub components are Food Security Enhancement Support and Livelihood Up-scaling Support.

The Results to be achieved by the end of the consultancy period are:

- i) New high value crop, horticulture and livestock technologies are adopted by Producer Groups (PGs).
- j) Appropriate practices for grading, storage & processing and market linkages have been adopted by farmers to increase the value realized of their produce to enhance their household income levels.
- k) Value-chains in selected sub-sectors have been developed to sustainably increase incomes in project areas.
- l) Linkage of livelihood collectives (LCs) to the market.

III. SCOPE OF WORK

Tasks

The Consultancy Agency will undertake the following tasks for the fulfilment of the objectives set above:

Development of Division level action plan

The contracted agency will develop the action plan for the Division, based on an analysis of farming systems and livelihoods among community, the current activity linked to agribusiness in the Division, and analysis of sub-sectors selected as having most income potential for project communities. The contracted agency will undertake a Farming Systems Livelihood Assessment, and study the Divisional Economy Context in accordance with the Food Security Enhancement and Livelihood Support strategy of the project and the Terms of Reference and Formats developed by Project Directorate. Sub-sector value-chain analyses of relevant sub-sectors are to be conducted by contract agency in co-ordination with state level analyses being undertaken by the Project Directorate.

Producer Group (PGs) formation and promotion of Livelihood Collective (LCs) Associations

Farmers residing in the pre-specified Project villages have limited access to the larger market network for their products. To address the existing constraints and to leverage their access to production and marketing services, the contracted agency will support farmers to organise into farmers' groups at different levels, according to interest of farmers and needs of the sub-sector. The contracted agency will facilitate the formation of such groups and help group members to plan their production and marketing of crops. The contracted agency will also provide technical assistance and managerial support to such Livelihood Collective Groups and associations formed in legal registration under Self Reliant Cooperative Act, 2003, building their institutional capacity, record keeping and business planning.

Dissemination of Improved Agricultural Practices and Extension services

The contracted agency will identify and extend to the farmers and other beneficiaries of the project, new and commercially viable technologies; through a planned extension system and an integrated package of services for the specific sector of intervention. This will include introduction and dissemination of improved technology and practices for Agriculture, Horticulture and/or Silvi- pastoral treatments. Introduction of off- season vegetables and high value crops would be emphasized. New varieties of off-season vegetables, fruit crops, medicinal and aromatic plants will be introduced based on agro-climatic factors, demand and assured market. Related training in application of new technologies and improving productivity of crops by compact area demonstration of new crops will also form part of the tasks to be performed.

Specific resource consultants and sub partnerships with technical institutions will be within the mandate of the contracted agency, (Jointly decided between the contracted agency and the Project Directorate).

The contracted agency will also facilitate technical training and innovative practices to the vulnerable groups and individuals for livelihood enhancement.

Improving post harvest handling, providing supply chain management, logistical support and establishing market linkages

The contracted agency will work closely with farmers and associations in developing the sub-sector value chains to enhance incomes. The contracted agency will be providing technical post harvest handling support, help arrange logistical support for farm produce marketing and identify the needs and type of collection and marketing infrastructure. It will help establish partnerships with input suppliers, market operators and agro-processing companies. It will help establish norms and systems for quality control, market information systems and opportunities for new products, packaging, and market related requirements. Identification of potential niche market opportunities for products developed as a result of project interventions and exploration and establishment of linkages with

private sector entrepreneurs who could help in exploiting the market potential will also form an integral part of the tasks to be performed.

The objective of the project is to transfer to farmers the capacities of linking to markets to sustainably increase incomes. Thus the agency will not only undertake the activities above, but also focus on developing individual and group capacities to undertake them independently after the project.

Project interventions may be with farmers or further up the value-chain, as necessary. Partnerships or collaboration with public or private agencies can be developed as necessary.

Overall technical support, training and capacity building

The contracted agency will provide overall technical support to the farmers in the pre-specified project villages and the project as a whole on agribusiness related issues and will work in close cooperation with the project management unit (WMD) and the state level organizations/ concerned Deputy Project Director.

Coverage

The coverage would be limited to the concerned division. The number of villages and other details will be given accordingly.

IV. TERMS OF CONTRACT

1. Budgets Allocation and Resources to be provided by WMD

The consultancy contract is essentially for a facilitation role and hence the budget for the consultancy will be restricted to the direct costs to be borne by the consultant. The budget for the contracted agency will therefore include direct running and human resource costs, specific technology introduction and demonstration costs, market promotion expenses, and human resources deployed. It will have to establish its own office with infrastructure, transport facility, communication system, training of its staff, etc. Office automation and accommodation facilities will not be provided by the project and the agency will have to hire its own staff and establish its own accommodation at divisional and unit levels.

All other costs that arise out of promotion of agribusiness such as input supply will be directly provided by the project to the Producer Groups: cost of building of collection centres and market infrastructure will be directly borne and implemented by the project; and cost of working capital and related costs directly paid to farmers' groups and associations. These costs will be mutually agreed upon through an annual agribusiness plan prepared and submitted in advance by the consultant.

2. Accounting and Auditing

The contracted agency will open a separate bank account for receipt and expenditure of funds for the contract. The agency will also maintain separately records, accounting and auditing of the funds allocated and used for the assignment. The agency will submit the copy of the bank statement and expense statement on a quarterly basis and audit report on an annual basis. Agency would be subjected to audits by WMD staff/ WMD appointed auditors for the project funds.

3. Period of the assignment

Period of the assignment would be for five years. Annual extension will be on the basis of the satisfactory performance to be recommended by the Review Committee.

4. Performance Review

The following performance review process will be applicable to the contract:

- a. On the award of the contract, the agency will prepare a detailed Annual Action Plan, within two months of the award of the contract. The Annual action plan will specify clear performance benchmarks to be achieved after 6 months and after one year.

- b. On the basis of the mutually agreed benchmarks the WMD will review the performance of the agency on a six monthly basis.
- c. At the end of one year of completion of the contract, a wider review committee as specified below will review the performance of the agency against mutually agreed target. On unsatisfactory completion of Annual Action plan and/or for any other reason deemed appropriate the contract may be made null and void.
- d. The performance review committee will comprise of the following members

Chief Project Director	-	Chair Person
Additional Director	-	Member
Additional Director (M&E)	-	Member
Project Director (Garhwal and Kumaon)	-	Member(s)
JD (Agri., Hort., Livestock)	-	Member (s)
DPD (Planning/M&E)	-	Member
Finance Officer	-	Member

5. Reporting and Outputs

- a) Quarterly Progress Reports regarding achievement as specified in the format prescribed on award of contract against achievements specified in the Annual Action Plan.
- b) Consolidated Six Monthly Reports enumerating the qualitative review of the project

6. Relationship with Project Directorate

The contracted agency will work in close association and in coordination with the project management structure of the WMD at the unit, district and state level. While it will be directly responsible for facilitating and managing the process of agribusiness development from the farm level to the final market, it will work primarily in the project villages already identified by the project and the communities within these villages. It may draw upon the resources generated by the main project such as GP level plans being implemented and other community groups being mobilized by the project and FNGO. Its Annual work plan should be prepared through a consultative process with divisional team of the WMD to ensure coordination during implementation. The required sanctions, financial disbursements, reporting and performance review will be done by the relevant authorities at the state level of WMD.

7. Accounting and auditing

The agency will open a separate bank account for receipt and expenditure of funds for the contract. The agency will also maintain separately records, accounting and auditing of the funds allocated for the assignment and will submit the copy of the expense statement on a half yearly basis and audit report on an annual basis.

8. Terms of payment

The terms of payment as finalized during negotiations by both parties will be applicable.

9. Support to the contracted agency by WMD

WMD will provide key background documentation to the team such as Project Approval Document, Project Agribusiness Strategy, Supervision Mission Report, Progress Reports, special studies conducted by the Project and background information on the Project Area.

10. Arbitration

In the event of any dispute between the contracted agency and the district level functionaries of WMD, the Govt. of Uttarakhand will be the arbitrator.

Annex-1.5.4: List of ULIPH Federations**LIST OF FEDERATIONS ORGANISED UNDER ULIPH**

S.N.	Federation Name	District	Block
1	Nari Ekta Swayatt Sahakarita, Jamradi	Almora	Bhainsiachhana
2	Ekta Swayatt Sahakarita	Almora	Dhaura Devi (Danya)
3	Chetna Swayatt Sakarita	Almora	Lamgara (Sirsoda)
4	Pragati Swayatt Sakarita, Naini	Almora	Dhaura devi (Naini)
5	Maa Purnagiri Swayatt Sahakarita	Almora	Lamgara
6	Bisjula Swayatt Sahakarita	Almora	Lamgara
7	Samadhan Swayatt Sahakarit,	Almora	Lamgara
8	Pragati Swayatt Sahakarit,	Almora	Lamgara (Motiyapathar)
9	Jhakar Sam Swayatt Sahakarit,	Almora	Dhauladevi
10	Navodaya Swayatt Sahakarit,	Almora	Dhauladevi
11	PACC Society (PACS) Dyari, Almora	Almora	Dhauladevi
12	Pheninag Swayatt Sahakarita, Kapkot	Bageshwar	Kapkot
13	Kamasyar Ghati Swayatt Sahakarita, Khatigaon	Bageshwar	Kapkot
14	Shri Moolnarayan Swayatt Sahakarita, Lathi	Bageshwar	Kapkot
15	Maa chiltha Swayatt Sahakarita	Bageshwar	Kapkot
16	Maa Bhagwati chiltha Swayatt Sahakarita	Bageshwar	Kapkot
17	Ujjwal Swayatt Sahakarita Samiti, Kanda	Bageshwar	Bageshwar
18	Shri Mahadev Swayatt Sahakarita	Bageshwar	Bageshwar
19	Maa Bhadrakali Swayatt Sahakarita	Bageshwar	Bageshwar
20	Jagnath Swayatt Sahakarita	Bageshwar	Bageshwar
21	Nirmal Swayatt Sahakarita	Bageshwar	Bageshwar
22	Saryu Velly Swayatt Sahakarita	Bageshwar	Kapkot
23	Rupkund Swayatt Sahakarita, Ghat	Chamoli	Ghat
24	Mahadev Swayatt Sahakarita	Chamoli	Ghat
25	Nandakini Aaloo Ghati Swayatt Sahakarita	Chamoli	Ghat
26	Nandakini Swayatt Sahakarita	Chamoli	Ghat
27	Sakti Swayatt Sahakarita	Chamoli	Ghat
28	Parvtiya Krishi Vipnan Swayatt Sahakarita	Chamoli	Dasholi
29	Band Bhumiyal Swayatt Sahakarita, Pipalkoti	Chamoli	Dasholi
30	Krishi Udyan Swayatt Sahakarita	Chamoli	Dasholi
31	Alaknanda Swayatt Sahakarita Saikot	Chamoli	Dasholi
32	Navyug Nursingh Swayatt Sahakarita Samiti	Chamoli	Dasholi
33	Anusuiya Swayatt Sahakarita Samiti	Chamoli	Dasholi
34	Shri Guru Swayatt Sahakarita	Chamoli	Narayanbagar
35	Harikul Parvertiya Krishi Vipran Swayatt Sahakarita	Chamoli	Narayanbagar
36	Narayandev Swayatt Sahakarita	Chamoli	Narayanbagar
37	Gyan-Vigyan Swayatt Sahakarita	Chamoli	Narayanbagar
38	Vedni Swayatt Sahakarita	Chamoli	Dewal

LIST OF FEDERATIONS ORGANISED UNDER ULIPH

S.N.	Federation Name	District	Block
39	Rupkund Swayatt Sahakarita	Chamoli	Dewal
40	Pindari Swayatt Sahakarita	Chamoli	Dewal
41	Homekund Swayatt Sahakarita	Chamoli	Dewal
42	Chndrabadni Swayatt Sahakarita, Jamnikhal	Tehri	Devprayag
43	Bal Ganga Swayatt Sahakarita	Tehri	Bhilangna
44	Nag Tibba Swayatt Sahakarita	Tehri	Jonpur
45	Vikas Swayatt Sahakarita,	Tehri	Pratapnagar
46	Satyam Swayatt Sahakarita	Tehri	Devprayag
47	Katling Swayatt Sahakarita	Tehri	Bhilangna
48	Argarh Swayatt Sahakarita Devath	Tehri	Bhilangna
49	Pragati Swayatt Sahakarita	Tehri	Bhilangna
50	Gongarh Swayatt Sahakarita	Tehri	Bhilangna
51	Sangam Swayatt Sahakarita	Tehri	Devprayag
52	Aglad Ghati Swayatt Sahakarita	Tehri	Jonpur
53	Ronad Vikas Swayatt Sahakarita	Tehri	Pratapnagar
54	Kyarigad Surkunda Swayatt Sahakarita	Tehri	Jonpur
55	Sapt Rishi Swayatt Sahakarita, Naugaon	Uttarkashi	Naugaon
56	Yamuna Valley Ajeevika Swayatt Sahakarita	Uttarkashi	Naugaon
57	Nagraja Ajeevika Swayatt Sahakarita	Uttarkashi	Dunda
58	Vishwanath Ajeevika Swayatt Sahakarita	Uttarkashi	Dunda
59	Banal Patti Vikas Swayatt Sahakarita	Uttarkashi	Naugaon
60	Raja Ragunath Ajeevika Swayatt Sahakarita	Uttarkashi	Naugaon
61	Baokhnag Ajeevika Swayatt Sahakarita	Uttarkashi	Dunda
62	Renuka Ajeevika Swayatt Sahakarita	Uttarkashi	Dunda
63	Raj rajeshwari Ajeevika Swayatt Sahakarita	Uttarkashi	Dunda
64	Mahasu Devta Parvat Phata Ajeevika Swayatt Sahakarita	Uttarkashi	Mori
65	Karan Maharaja Ajeevika Swayatt Sahakarita	Uttarkashi	Mori
66	Kedarkatha Ajeevika Swayatt Sahakarita	Uttarkashi	Mori
67	Har ki dun Ajeevika Swayatt Sahakarita	Uttarkashi	Mori
68	Ramasirai Ajeevika Swayatt Sahakarita	Uttarkashi	Purola
69	Kalignag Ajeevika Swayatt Sahakarita	Uttarkashi	Purola
70	Shiv Bhadrakali Ajeevika Swayatt Sahakarita	Uttarkashi	Purola
71	Chaurangi Ajeevika Swayatt Sahakarita	Uttarkashi	Dunda

Chapter-1.6: PROCUREMENT PROCEDURES

A. Procurement Regulations for ILSP

Procurement of goods, works and services financed by funds from IFAD would follow the GoUK's Uttarakhand Procurement Rules 2008 **with project specific modifications (attached as Annex 1)**, to the extent that they are consistent with the IFAD Procurement Guidelines. Each Annual Procurement Plan will identify procedures which must be implemented by the Borrower in order to ensure consistency with the UPR 2008 & IFAD Procurement Guidelines. IFAD may require that all bidding documents and contracts and other records for procurement of goods, works and services financed by the loans are:

- (i) Available for full inspection by the Fund of all bid documentation and related records;
- (ii) Maintained for three years after completion of the bid or contract; and

IFAD may also require that the project cooperate with agents or representatives of the Fund carrying out an audit or investigation into procurement issues.

All procurement financed by the proceeds of the loans will be undertaken as per UPR 2008 specifically modified for ILSP to the extent they are consistent with IFAD's Procurement Guidelines. Wherever, if the UPR 2008 are inconsistent with IFAD's Procurement Guidelines, the latter shall prevail. Project specific modifications have been made in the UPR 2008, especially in relation to thresholds for triggering various procurement methods and approval processes, to ensure smooth functioning of the Project and timely execution of Project activities. These project specific changes (notified in the PIM), have been drafted in consultation with the Implementing Agencies and GoUK.

IFAD may attach Standard Bidding Documents (SBD) to the Financing Agreement / Letter to the Borrower, so that these are used for undertaking procurement under this project, if need be. Concepts relating to Accountability, Competition, Fairness, Transparency, Efficiency, Effectiveness & Economy and Value for Money contained in IFAD's Procurement Guidelines and which are central to IFAD's Procurement Philosophy are discussed below.

The Procurement Process involves purchasing, acquiring, hiring or obtaining of goods, works and services by any contractual means and can be defined in more detail as procurement of goods, procurement of works and procurement of services.

The procurement cycle consists of (i) General Procurement Notice, (ii) Tender Document Preparation, (iii) Pre-Qualification, (iv) Advertisement, (v) Receipt of Tenders, (vi) Public opening of Tenders, (vii) Evaluate of Tenders, (viii) Award of Contract, (ix) Issue of Work Order or Purchase Order and (x) Performance of contract.

B. Borrower's Responsibilities

OFFICERS' RESPONSIBILITIES

Borrower/recipient officials engaged in procurement activity have a duty to:

- (a) Maintain and enhance the reputation of the borrower/recipient country by:
 - (i) Maintaining the highest standards of honesty and integrity in all professional relationships;
 - (ii) Developing the highest possible standards of professional competence;
 - (iii) Maximizing the use of IFAD funds and other resources for which they are responsible for the purposes for which these funds and resources were provided to the borrower/recipient country; and

- (iv) Complying with both the letter and the spirit of:
- The financing agreement;
 - The laws and regulations of the borrower/recipient country;
 - Accepted professional ethics; and
 - Contractual obligations;

(b) Declare any personal interest that may affect, or might reasonably be deemed by others to affect, impartiality in any matter relevant to their duties (conflict of interest). In a situation of this nature, the official concerned should not participate in any way in the procurement process, to avoid misprocurement; and

(c) Respect the confidentiality of information gained in the course of duty and not use such information for personal gain or for the unfair benefit of any bidder, supplier or contractor. Information given in the course of their duties shall be true, fair and not designed to mislead.

ACCOUNTABILITY

The borrower/recipient is accountable to IFAD for all actions and decisions in relation to project-funded procurement. This includes, but is not limited to:

- a) Ensuring that the funds are used solely for the purpose for which they were provided; and
- b) Ensuring that procurement is undertaken in accordance with IFAD Procurement guidelines.

COMPETITIONS

Full, fair and legitimate competition among eligible suppliers and contractors⁶ is the foundation on which project-funded procurement activities should be based. The most common method of seeking competition is through a competitive bidding process, and, in this regard, IFAD specifies that all goods, works and services should be obtained through an agreed procurement process⁷ involving at least three separate⁸ suppliers or contractors whose business is directly related to the procurement being undertaken. It is recognized that it is neither practical nor efficient to advertise internationally for low-value contracts for goods, works or services, and the degree to which the principle of competition is required for each procurement activity will be outlined in the procurement method approved by IFAD within the procurement plan.

Borrowers/recipients will be expected to promote genuine competition at every opportunity and may be required to provide evidence of:

- (a) Fair and genuine competition in the compilation of shortlists and in the solicitation of bids; and
- (b) The effectiveness of competition during the bidding process.

Single sourcing and direct contracting do not provide the elements of competition required by IFAD. Only in exceptional circumstances will these approaches be considered and approved in procurement plans agreed with IFAD.

FAIRNESS

IFAD's expectation is that project-funded procurement will be open to as many eligible bidders from IFAD's developed and developing Member States as is practicable in order to meet the requirements of competition.

IFAD expects borrowers/recipients to ensure that all prospective bidders are:

- a) Managed with a consistent approach and application of laws, regulations and requirements in respect of the procurement process;
- b) Offered a level playing field on which to genuinely compete; and
- c) Treated in a fair, impartial and unbiased way, so that principles of impartiality and equal opportunity can be demonstrated in all procurement activities.

In striving for fairness in its procurement operations, IFAD:

- a) Will not tolerate exclusion of, discrimination, bias or prejudice against, or favouritism or inequality towards any potential supplier or contractor, either directly or indirectly through manipulation of any part of the procurement process, including, but not limited to, the preparation of technical specifications, evaluation criteria or bidding requirements. Where any such activity is suspected or proven, IFAD reserves the right to take any preventative, corrective or punitive action it considers appropriate; and
- b) Will seek to address, in consultation with the borrower/recipient, any impositions that may deter or impinge on the attainment of fairness within the procurement process.

TRANSPARENCY

IFAD expects the highest degree of transparency and openness within the procurement processes undertaken under its projects. A lack of transparency can be perceived as an attempt to withhold information, which in turn may make the fairness and integrity of the procurement process suspect.

Transparency within procurement relates to disclosing in the public domain, information for parties involved, interested in or affected by the process, including but not limited to information on:

- (a) The availability of potential and existing procurement opportunities;
- (b) Where to access relevant data;
- (c) The processes by which the procurement is being undertaken;
- (d) The mechanisms by which contracts will be awarded;
- (e) Contract award data; and
- (f) Appeal procedures.

Modes of communication/publication of such information will vary depending on the nature of the data but will generally be through existing means of public information (e.g. government websites, public notice boards or media) or in the procurement documentation relevant to an individual procurement activity (e.g. bid notices and bidding documents).

Borrowers/recipients are required at all times to act openly, predictably and in accordance with the information provided.

EFFICIENCY, EFFECTIVENESS AND ECONOMY

IFAD requires borrowers/recipients to demonstrate efficiency and economy in undertaking project-related procurement, to avoid undue implementation delays and to achieve value for money.

Procurement must be well organized, carried out correctly with regard to quantity, quality and timeliness, and at the optimum price, in accordance with the appropriate guidelines, principles and regulations.

Processes must be proportionate to the procurement activity, so that the overall cost of conducting the procurement process is minimized and tailored to the size of the budget for the activity being undertaken, while upholding the guiding principles.

Efficiencies can be obtained through a combination of methods. For instance, a strategic approach can be taken to planning, combining and conducting procurement activities so as to minimize loss of time and resources. For this reason, the design of all IFAD-funded projects must now include a procurement plan as per section III.D of IFAD Procurement Guidelines and as defined in, and required by, the General Conditions.

VALUE FOR MONEY

Underpinning all of the above is the need to obtain value for money for all project procurement activities through the optimum combination of several factors, including:

- (a) Applying sound, internationally recognized procurement principles;
- (b) Ensuring that the goods, works or services procured meet the requirements for the task and are not over specified;
- (c) Ensuring that the goods, works or services are contracted on the best possible terms, taking into account their expected life cycle; and
- (d) Ensuring that the provider/supplier of the goods, works or services is qualified, legally entitled and competent to execute the contract.

IFAD recognizes that some countries have national legislation governing the disclosure of information, and in such circumstances specific provision will be made during negotiations to ensure that the principle of transparency is maintained.

Best value does not necessarily mean the lowest initial price option, but rather represents the best return on investment, taking into consideration the unique and specific circumstances of each procurement activity; the balance of time, cost and quality required; and the successful overall outcome of the contract in meeting its original objectives.

C. Procurement Planning

Accurate and realistic planning and prioritization of needs is an essential prerequisite to effective procurement and a key tool for monitoring project implementation.

At the time of negotiation of each project, the borrower/recipient, in consultation with IFAD, must establish an 18-month procurement plan, which must include, as a minimum:

- (a) A brief description of each procurement activity to be undertaken during that period;
- (b) The estimated value of each activity;
- (c) The method of procurement to be adopted for each activity; and
- (d) The method of review IFAD will undertake for each activity (section III.H of IFAD Procurement Guidelines) guidelines);

Where national procurement plan templates exist and are agreed by IFAD as suitable, then such templates should be used. If no such templates exist, IFAD will adopt those from other international financing institutions with which the borrower/recipient is familiar and which are in use for other projects.

Borrowers/recipients are required to keep plans updated frequently to reflect changes to the project or timescales.

IFAD's review of and no objection to procurement plans is compulsory under all financing agreements directly supervised by IFAD. ILSP is one such agreement.

D. IFAD Monitoring & Review

To ensure that the procurement process is carried out in conformity with IFAD procurement Guidelines and with the agreed procurement plan, IFAD will review arrangements for procurement of goods, works and services proposed by the borrower/recipient, including:

- (a) Contract packaging;
- (b) Applicable procedures and procurement methods;
- (c) Bidding documentation;
- (d) Composition of bid evaluation committees;
- (e) Bid evaluations and award recommendations; and
- (f) Draft contracts and contract amendments.

The extent to which these review procedures will be applied to each project or programme will be contained in the letter to the borrower/recipient and the procurement plan.

For full details on the review processes, refer to the Procurement Handbook.

Misprocurement: IFAD will not finance expenditures for goods, works or consulting services that have not been procured in accordance with IFAD Procurement Guidelines and the financing agreement. In such cases, IFAD may, in addition, take other remedial action under the financing agreement, including cancellation of the amount in question from the loan and/or grant account by declaring it ineligible. Even if the contract was awarded following IFAD's "no objection" statement, the Fund may still declare misprocurement if it concludes that this statement was issued on the basis of incomplete, inaccurate or misleading information furnished by the borrower/recipient, or that the terms and conditions of the contract had been modified without IFAD's approval.

Fraud and corruption: IFAD requires that its own staff and the staff of borrowers/recipients (including beneficiaries of IFAD financing), and all bidders, suppliers, contractors and consultants under IFAD-financed contracts, observe the highest standard of ethics and integrity during the execution of and procurement under such contracts. This position is clearly stated in the IFAD Policy on Preventing Fraud and Corruption in its Activities and Operations 16 (hereafter: the anticorruption policy), which apply to IFAD Procurement Guidelines. In line with this policy, IFAD will have the right to:

- (a) Reject a proposal for award if it determines that the bidder, supplier, contractor or consultant recommended for award has, directly or through an agent, engaged in coercive, collusive, corrupt or fraudulent practices in competing for the contract in question;
- (b) Suspend or cancel all or part of the financing in accordance with the General Conditions if it determines at any time that representatives of the borrower/recipient or of a beneficiary of the financing engaged in coercive, collusive, corrupt or fraudulent practices during the procurement or the execution of that contract, without the borrower/recipient having taken timely and appropriate action satisfactory to IFAD to remedy the situation;
- (c) Sanction an individual or firm – which may include declaring the individual or firm ineligible to be awarded an IFAD-financed contract indefinitely or for a stated period of time – if at any time it determines that the individual or firm has, directly or through an agent, engaged in coercive, collusive, corrupt or fraudulent practices in competing for, or in executing, an IFAD-financed contract;
- (d) Require that bidding documents and the contracts that it finances include a provision requiring suppliers, contractors and consultants to permit IFAD to inspect their accounts, records and other documents relating to the bid submission and contract performance, and to have them audited by IFAD appointed auditors;
- (e) Refer any cases of irregular practices that include, but are not limited to, fraud and corruption¹⁸ to the relevant national authorities for further investigation; and
- (f) Apply, in the event of cases in which irregular practices have been determined, the sanctions it deems necessary and appropriate.

With the specific agreement of IFAD, a borrower/recipient may include, in bid forms for IFAD-financed contracts, an undertaking of the bidder or consultant to observe, when competing for and executing a contract, the country's laws against fraud and corruption (including bribery), as listed in the bidding documents or requests for proposals.¹⁹ IFAD will accept the inclusion of such a requirement, at the request of the borrower's/recipient's country, provided the arrangements governing such an undertaking are satisfactory to IFAD

IFAD Prior Review: All procurement transactions of goods, works and services above the thresholds mentioned in the Letter to the Borrower (LTB) will undergo prior review by IFAD. The extent and processes adopted for the prior review will be decided by the IFAD CPM in accordance with the IFAD Procurement handbook.

E. Community Level Procurement

Construction of watershed conservation works (small works and materials like construction materials, horticulture tools, poly houses and tunnels, plants, seeds, saplings, medicines, bio pesticides, fertilizers, fodder, wire, angles etc.) will be carried out following the established practices of the WMD using the Water and Watershed Management Committees of the respective Gram Panchayats. As Procurement with Community Participation method is not specifically covered by the UPR, so such procurement may be undertaken in general compliance with the IFAD Procurement Guidelines and a manual for Community Procurement is attached in Annex-1.6.3. This is based on the Community Procurement Manual of World Bank-funded UDWDP.

F. ILSP Procurement Procedures

PROCUREMENT OF CIVIL WORKS

Construction of civil works for rural infrastructure such as irrigation systems, link roads, and markets, It is expected that most of the procurement of civil works will be done under Paragraph 40 of UPR (Procurement of Works by obtaining of Bids/Tenders).

ILSP PROCUREMENT OF GOODS

Procurement of vehicles and equipment

Vehicles and motorcycles for the project will most likely be procured through 'Purchase of Goods directly under Rate Contract' under paragraph 1.9 of the UPR 2008. The option exists for procurement from other suppliers through 'Purchase of Goods by Obtaining Bids/Tenders' under paragraph 3.10 of the UPR. Purchase of computers, other office equipment and office furniture would primarily be from local suppliers under paragraph 3.9 or 3.10 referred above. – although there is also the option of 'Purchase of Goods by Purchase Committee' under paragraph 3.8 of the UPR if the estimated contract value is below the threshold. Care should be taken to see that requirements are bulked up wherever practical.

Procurement of operating materials

Vehicle operating costs would be procured using 'Purchase without quotations' under paragraph 3.8 of the UPR or under 3.9 of the UPR referred earlier. Procurement for office running expenses would follow the same procedure.

ILSP PROCUREMENT OF SERVICES

Procurement of NGOs Services

ILSP proposes to outsource much of the field level implementation of the project activities to well qualified and experienced NGOs. UGVS will engage about six experienced and competent Partner NGOs to implement field level activities. WMD will engage two Field NGOs for social mobilization and six NGOs Divisional Support Agencies (one for each district) for agribusiness development. Under the innovation and linkage sub-component of Component 1, NGOs may also be engaged. The selection and contracting of NGOs will be done as per methods listed in 'Identification of likely sources' under paragraph 4.50 of the UPR 2008 with QCBS (Quality and Cost Based Selection) under paragraph 4.59 of the UPR 2008, being used to select successful bidders. In the first year of the Project, the following methods will be applied to ensure that there is no undue delay in implementation of scheduled project activities.

- (a) Competitive selection via National Competitive Bidding would be used to select NGOs for UGVs as discussed in 'Identification of likely sources' under paragraph 4.50 (2 & 3) of the UPR 2008
- (b) Direct contracting or Consultancy by Nomination under paragraph 4.58 of the UPR may be used by WMD to re-nominate NGOs who have proved themselves to be good performers under UDWDP, and to avoid any delay in the start-up of the project. It could be followed by a competitive selection process as discussed in paragraph 4.50 (2&3) to select a suitable NGO. This will require special IFAD approval.
- (c) NGOs and other agencies may be asked to do specific tasks that reflect their unique capabilities, "Outsourcing by choice" method (vide Paragraph 4.64) or single source selection may be the most appropriate procurement methods (as per paragraph 4.58 of the UPR).

Procurement of training services

Training directly organised by the PMU could be procured via "consultancy by Nomination" under paragraph 4.58 of the UPR or Single Source Selection – where there is only a single qualified supplier or the supplier is a government agency (such as an agricultural research institute). If there are a small number of qualified organisations, then RFQ method discussed in 'Identification of likely sources' under paragraph 4.50 (1) may be used subject to the limits in the UPR 2008. However for many courses, the PMU and/or other implementing offices will organise each element of the training, and individual trainers may be hired via Selection of Individual Consultant (SIC), with training allowances, food and miscellaneous costs paid for via Purchase without Quotations under paragraph 3.8 of the UPR.

Procurement of studies

It is envisaged that most of the required studies and surveys would be carried out by the CPMU (M&E unit) & PMUs. There will also be some requirement to recruit specialised agencies to carry out additional studies such as the RIMS anchor indicator studies. The procurement of consultants to carry out these studies would follow the methods listed in 'Identification of likely sources' under paragraph 4.50 of the UPR 2008 with QCBS (Quality and Cost Based Selection) under paragraph 4.59 of the UPR 2008, being used to select successful bidders. In some cases Consultancy by Nomination under paragraph 4.58 of the UPR 2008 (Single Source Selection) may also be used if the topic is highly specialised and there is only a single qualified bidder (such as for the RIMS surveys). IFAD would make a prior review of the selection of firms to undertake this work, if the contract value exceeds the prior review threshold mentioned in the LTB.

Procurement of staff and consultants

Some key project staff, including the Chief Project Director (CPD), Project Directors (PDs) and Finance Controllers (FCs) would be seconded from GoUK, but most of the other project staff would be recruited by PIAs on a contract basis.

For such recruitment, the CPMU/ PMUs would form a recruitment committee headed by the CPD/PD with representatives from the IAs and other agencies.

Candidates would be short listed according to ToR, which specifies the tasks to be carried out and required qualifications, experience and age limits if any. Short listed candidates would then be interviewed.

For senior positions the CVs of the top three candidates for each position would be sent to IFAD for approval prior to their appointment. Draft ToRs would be included in the draft Project Implementation Manual.

Some senior and specialised advisory posts would be filled by consultants. All 3 PIAs have an existing team of Consultants who implement ULIPH/UDWDP. The PIAs have an option to extend the contracts of these Consultants after a transparent performance appraisal process. In case new

Consultants need to be recruited by PIAs, the process to be followed will be the same as for ILSP contract staff, with a recruitment committee, ToRs and IFAD review of the top three CVs prior to appointment.

ALL OTHER PROCUREMENT OF SERVICES

All other procurement of services other than those specifically discussed above would be carried out under the RFP Method (Paragraph 49- 58 of the UPR) using QCBS (Paragraph 59 of the UPR) as the basis of selection from among shortlisted candidates.

Annex-1.6.1: Proposed Relaxation of UPR-2008 for ILSP

Relaxation of Rules under Uttarakhand Procurement Rules, 2008 for Integrated Livelihood Support Project (ILSP)

Under Uttarakhand Procurement Rules, 2008, there is a provision under Rule 72(4) for granting relaxation of rules. The rule is as under: “The Department of Finance may permit relaxation of these rules in special circumstances and in the case of Externally Aided Projects/Special Projects based on proper justification.”

The Integrated Livelihood Support Project ‘**ILSP**’ is an externally aided project funded by International Fund for Agricultural Development (IFAD) being implemented in Uttarakhand from year 2012 to 2019. The Project Agreement and Financing Agreement have been signed on 1st February, 2012.

According to paragraph 5(xi) of the Agreed Minutes of Negotiations for ILSP between Government of India, IFAD and Uttarakhand Government provides as under: “It was agreed that the State Government procurement regulations were very comprehensive. However, it was observed that some of the thresholds were on the low side. In the interest of smooth implementation, IFAD suggested that these thresholds be increased and suitable government instructions issued. It was agreed that where there are gaps in State Government procurement regulations (such as procurement involving community participation), IFAD Procurement regulations would apply.”

In compliance to Para 1.1 and 1.2, relaxation provisions under Uttarakhand Procurement Rules, 2008 have been hereby prepared in consultation with International Fund for Agricultural Development (IFAD) and approved by the Government of Uttarakhand.

The Uttarakhand Procurement Rules, 2008 will apply to all procurement of goods, works and services under ILSP subject to Project specific relaxations as provided herein.

ILSP Specific Modifications to UPR 2008

Reference to UPR 2008			Modifications Recommended in IFAD Appraisal Report	Response by the ILSP	Justification or Comments
Topic	Chapter	Paragraph			
(1)	(2)	(3)	(4)	(5)	(6)
Definition-Head of the Department	1	2(d)	FRDC- Forest & Rural development Commissioner Coordinating Project Director of ILSP	Definition changed to: Head of Department' refers to the Project Co-ordinator (PC) of Central Project Coordination Unit & Project Director (PD) of each Project Implementation Agency (PIA) and Regional Project Director (RPD) of Project Society of Watershed Management Directorate (PSWMD) appointed by the State Government for the purpose of ILSP	This has been changed after considering the functional role of office bearers for effective project implementation.
Definition-Head of Office	1	2(e)	CPD & Project Directors of each IA	Definition Changed to : Head of Office' refers to the Project Co-ordinator (PC) of Central Project Coordination Unit and Project Director(PD), Regional Project Director, Deputy Project Director (DPD), Chief Executive Officer(CEO), Chief Programme Manager(CPM), Divisional Project Managers(DPM) of each Project Implementation Agency (PIA) appointed by the State Government for the purpose of ILSP	This has been changed after considering the functional role of office bearers for effective project implementation.
Competent Authority	1	2(i)	CPD & Project Directors of each IA	Head of Department and Head of Office shall be the Competent Authority as per UPR, 2008	
Powers for Procurement of Goods	2	5	The Competent Authority shall have power for procurement of goods under the Project up to Rs. 25 lacs, on the basis of the recommendation of a Procurement Committee. The Head of the Department shall have the power for procurement of goods under the Project above Rs. 25 lacs without limit, if the procurement is		Limits of procurement for goods have been provided under Rules 8, 9, 12, 13 of UPR, 2008 under different procedures.

Reference to UPR 2008			Modifications Recommended in IFAD Appraisal Report	Response by the ILSP	Justification or Comments
Topic	Chapter	Paragraph			
(1)	(2)	(3)	(4)	(5)	(6)
			recommended by the Competent Authority as well as the Procurement Committee.		
Price Preference	2	7	Delete	Price preference deleted. Purchase preference not deleted.	Purchase preference for goods manufactured by small, cottage/ khadi/ tiny enterprises/established within the State retained to promote products of Producer Groups and Livelihood Collectives to be formed under ILSP.
Procurement without quotations	2	8	Up to a value of Rs.50,000 by the Competent Authority backed by recommendation and detailed justification on file by the Procurement Committee		Procurement without quotations is allowed up to a value of Rs. 15,000 under UPR, 2008 and is adequate for ad-hoc and petty cash purchases
Procurement of goods by Procurement Committee	2	9	Purchase of goods up to Rs.3,00,000 may be approved by the Competent Authority on the basis of recommendation of the Procurement Committee which records the results of a market survey physically undertaken by all the members of the Procurement Committee jointly.	Modification proposed to enhance limit as suggested in column 4.	This will enhance the efficiency
Procurement of Goods directly under Rate Contract	2	10	The Competent Authority may approve procurement of goods at rates fixed under a Rate Contract entered into either by the Central Purchase Organization of the Central or State Governments up to a limit of Rs. 25 lacs as per paragraph 5 of chapter 1 after ensuring that the rates quoted do not exceed market prices or those quoted to other Government entities. Goods of a technical nature like Seeds, Seedlings, Pesticides, Fertilizers, Barbed wire, Bullocks for NBC etc. can be purchased directly from Government approved departments and Universities like- TDC,	Modification in clause proposed to include Central Government Purchase Organisation like DGS&D or Government Research Organisations or Commodity Boards/ Organisations under Central/State Government.	No limit for purchases is specified under Procurement of Goods directly under Rate Contract in UPR, 2008. Existing provision found adequate to address aggregated and bulk procurements under ILSP. Prior review of IFAD will be sought for the cases where the limit exceeds the procurement amount stated in Letter to Borrower.

Reference to UPR 2008			Modifications Recommended in IFAD Appraisal Report	Response by the ILSP	Justification or Comments
Topic	Chapter	Paragraph			
(1)	(2)	(3)	(4)	(5)	(6)
			Agriculture, Horticulture, Forest Departments, ULDB, Vivekanand and Pant Nagar Universities, GMVN, KMVN etc. after the Procurement Committee records that the rates quoted for these goods are lower than prevailing market prices for same/ similar quality"		
Purchase of goods by obtaining bids/ tenders- Limited tender enquiry	2	12	Purchase of goods up to Rs. 25,00,000 may be approved by the Competent Authority on the basis of a limited tender backed by recommendation of the Procurement Committee after comparing at least 3 quotations from authorized dealers of the goods concerned. Quotations from general traders and merchants will not be considered among the 3 quotations.		Under Rule 12(1) of UPR 2008, Limited Tender Enquiry may be adopted when estimated value of the goods to be procured is up to Rs.15,00,000/- (Rs. Fifteen lakh) Under Rule 12(4) of UPR 2008, Purchase through limited tender enquiry may be adopted even where the estimated value of procurement is more than Rs.15,00,000/- (Rs. Fifteen lakh) under special circumstances.
Advertised Tender Enquiry	2	13(1)	Procurement of goods between Rs.3 lakhs and Rs. 25 lakhs should be done through invitation of tender through advertisement in two local newspapers and procurement of goods above Rs. 25 lakhs should be done through invitation of tender through advertisement in at least 2 national newspapers.	Procurement of goods above Rs. 25 lakhs should be done through invitation of tender through advertisement in at least 2 national newspapers as per UPR and agreed hereto.	Procurement of goods between Rs.3 lakhs and Rs. 25 lakhs can be done under Rule 12 with limited tender enquiry.
Purchase of goods by obtaining bids/ tenders- Single Source enquiry	2	14	All procurement of goods under single source enquiry should be ratified by the Head of the Department.	.	UPR, 2008 allows procurement through single source enquiry under special circumstances with reasons recorded in writing by Competent Authority.
Bid System	2	15	Two bid system will not be allowed for goods. Single bid system with pre/ post qualification requirements for the bidder can be adopted to		UPR, 2008 allows procurement through single bid system up to procurement amount of Rs. 500,000.

Reference to UPR 2008			Modifications Recommended in IFAD Appraisal Report	Response by the ILSP	Justification or Comments
Topic	Chapter	Paragraph			
(1)	(2)	(3)	(4)	(5)	(6)
			avoid frivolous bids.		
E-procurement	2	17	All procedures will remain the same as in 'advertised tender enquiry' except that the bidder will be allowed to scan and mail his bid and all supporting documents. However, bid security will have to be furnished in original before the deadline for bid submission. Adequate e security measures will be ensured by the Competent authority.		E procurement under UPR, 2008 provides for e-filing of technical and financial bids through electronic system.
Bid security	2	20	Bid security has to be furnished by all bidders without exception and will be in the form of a demand draft/ bank guarantee in favour of the purchasing entity. The bid security shall be valid for a period of 120 days after the deadline for submission of bids		Under UPR, 2008 The bid security is normally to remain valid for a period of 45 days beyond the final bid validity period and the period may also be extended. Under exceptional circumstances, the Project may decide the bid validity period depending on the nature and quantum of the procurement.
Performance Guarantee	2	21	Performance Guarantee amounting to 10 % of contract value will be in the form of a demand draft/ bank guarantee in favour of the purchasing entity. The bid security amounting to 2 % of the estimated contract value shall be valid for a period of 60 days after the completion of all contractual liabilities of the supplier including warranty obligations.		UPR, 2008 provides performance security 5 to 10% of the value of the contract. <i>Under exceptional circumstances, the Project may decide the bid validity period depending on the nature and quantum of the procurement.</i>
Advance payment to suppliers	2	22	All conditions can be amended by the Competent Authority in the case of works and no advance payment is permitted to be made in case of goods.	In case of Central/ State Government agencies advance payments, as per norms of the agency or such rate as mutually agreed, may be made.	Certain Government agencies like NAFED, TDC (for seeds) require 100% advance payment.
Transparency, competition, fairness etc.	2	24 (xii & xiii)	Negotiation of rates with bidders is strictly prohibited. Other commercial terms may be negotiated with the		UPR, 2008 discourages negotiation of rates with bidders and allows it under exceptional circumstances. In case of

Reference to UPR 2008			Modifications Recommended in IFAD Appraisal Report	Response by the ILSP	Justification or Comments
Topic	Chapter	Paragraph			
(1)	(2)	(3)	(4)	(5)	(6)
			selected bidder only.		Rate Contracts specific permission of the Government is required for negotiation.
Authority competent to procure work	3	27(2)	The Competent Authority shall have power for procurement of works under the Project up to Rs. 50 lacs, on the basis of the recommendation of a Procurement Committee. The Head of the Department shall have the power for procurement of works under the Project above Rs. 50 lacs without limit, if the procurement is recommended by the Competent Authority as well as the Procurement Committee		Limits of procurement for works have been provided under rule 38, 39 and 43 UPR, 2008 under different procedures.
Method of starting any new work etc.	3	30	Approval of estimates by PWD Department is waived. Requirement of getting all works above Rs. 10 lacs executed by the PWD is waived.	Modification sought to waive requirement of approval of estimates by PWD or specialised agency only in cases where works costs exceed Rs. 10 lakhs.	Provision of requirement of getting all works above Rs. 10 lacs executed by the Public Works Organisation (like PWD or RES) found adequate due to expertise level and experience of these agencies.
Yardsticks for execution of assigned work	3	31	Delete	Not deleted but relaxations for limits and provisions sought under Rules 30 & 32	Relaxation for limits and provisions sought in the relevant rules to facilitate effective implementation of project on the ground.
Registration of contractors	3	32	Delete. These requirements can be included as pre qualification requirements for contractors in the bid document.	Proposed to adopt the registration list of Public Works Organisations (PWO) of Central and State Government. Only in cases of specialised tasks beyond the ambit of PWO registration process will be undertaken.	Adoption of registration list of the works under the ambit of Public Works Organisations (PWO) of Central and State Government with facilitate smooth and timely implementation of the project.
Methods of calling tenders	3	33	Two bid system will not be allowed for works. Single bid system with pre/post qualification requirements for the bidder can be adopted to avoid frivolous bids. Delete sub paragraphs		Provisions of Para (e) and (f) relating to single bid for works can only be resorted to in case of works of complex nature or under special circumstances with reasons recorded

Reference to UPR 2008			Modifications Recommended in IFAD Appraisal Report	Response by the ILSP	Justification or Comments
Topic	Chapter	Paragraph			
(1)	(2)	(3)	(4)	(5)	(6)
			(e) and (f)		in writing.
Procurement of works without quotations	3	38	Up to a value of Rs.50,000 by the Competent Authority backed by recommendation and detailed justification on file by the Procurement Committee		Procurement without quotations is allowed up to a value of Rs. 15,000 under UPR, 2008 and this is adequate for ad-hoc and petty works
Procurement of works on work order basis without calling for tenders	3	39	Purchase of works up to Rs.3,00,000 may be approved by the Competent Authority on the basis of recommendation of the Procurement Committee after comparing at least 3 quotations from at least 3 contractors who have a valid & current registration with the State PWD as Class 1 contractors.		UPR 2008 already amended for the increased limit of Rs. 3,00,000 under this rule.
Procurement of works by obtaining bids/ tenders	3	40	Delete (a), (c) & (d). Only item rate contract allowed.	Not deleted.	Under UPR, 2008 limits and circumstances have been mentioned under which Percentage Rate Contract, Piece Work Contract or Lump sum contract can be undertaken. Given the fragility, Inaccessibility, marginality, niche environment and diverse agro climatic conditions in ILSP coverage in high and mid mountain areas, these options need to be kept open.
Identification of likely sources	4	50	Requirement of advertising EOI in newspaper only if the estimated contract value is above Rs. 5 lacs. Up to a limit of Rs. 5 lacs the method discussed in sub paragraph 1 of paragraph 50 can be used if the selection is supervised and recorded by the Procurement Committee and approved by the Competent Authority.		UPR, 2008 provides for requirement of advertising EOI in newspaper only if the estimated contract value is above Rs.15 lacs. Provision found appropriate to facilitate procurement to carry out tasks through likely sources in project mode.
Consultancy by nomination	4	58	Sanction from Finance Department waived in all cases. Single source	Modification proposed : The project shall seek formal	Prior review of IFAD will be sought. for the cases where the limit exceeds

Reference to UPR 2008			Modifications Recommended in IFAD Appraisal Report	Response by the ILSP	Justification or Comments
Topic	Chapter	Paragraph			
(1)	(2)	(3)	(4)	(5)	(6)
(single source selection)			selection of service providers/ Consultants/ NGOs as per TOR contained in the design document can be done up to a limit of Rs.25,00,000 with prior approval from IFAD. The method has to be justified by the Procurement Committee and approved by the Competent Authority before seeking IFAD prior approval. Contracts above Rs. 25 lacs will be awarded on the basis of a competitive process described in sub paragraphs 2 & 3 of Paragraph 50, unless IFAD and the Government agree otherwise.	proposals from the organizations identified and mentioned in the Project Financing Agreement to carry out the specific tasks as detailed out in the Design Project Report and Working Papers of ILSP and deliberate further on its technical and financial aspects. Such proposals, on case to case basis, shall be put for approval of the duly constituted Project Management Committee of ILSP and concurrence of the Finance Department be obtained thereon.	the amount stated in Letter to Borrower
QCBS	4	59	Sanction from Finance Department waived in all cases.	Under UPR 2008, where the estimated cost is above Rs.25,00,000 (Rs. Twenty Five lakh) the Department/Competent Authority shall obtain the concurrence of the Finance Department before starting the selection process.	Provision found adequate in view of maintaining financial prudence through transparency and accountability in case of procurement of services of large amount.
PPP	6		Not applicable to ILSP	Applicable to ILSP	No procurement proposed in PPP mode under ILSP. However, to leverage the funds from private sector to meet the objectives under Food Security and Livelihood Enhancement Component, the provisions under UPR 2008 is envisaged to be used. Under such cases, relaxations, if any, will be sought in the UPR 2008 accordingly.

Community Procurement

1.1. Background

The Community Procurement Manual was prepared for World Bank funded Uttaranchal Decentralized Watershed Development Project (UDWDP). Watershed Development activities in UDWDP were implemented through the Panchayat Raj Institutions (PRIs). The study on Accounting and Accountability Arrangements (AAA) in PRIs in Uttarakhand revealed that the GPs are beset with the problem of unpredictable and inadequate release of funds coupled with the fact that the community is even unaware of the availability- quantum and source of funds. This has largely created a disincentive to effective procurement planning, limited exposure and awareness to procurement norms, lack of experience to know and understand the market and application of uncompetitive procedures resulting in procurements in small lots, difficulties in transportation specially in far flung areas, loss of economy and inefficiency in procurement.

Under Integrated Livelihood Support Project, the Gram Panchayats (GPs) will be the primary project implementation agencies to implement the Participatory Watershed Development Component of the Project, The Panchayat Raj Institutions (PRIs) will have a meaningful role in planning, implementation and management of economic activities in the rural areas.

Under Food Security and Livelihood Enhancement Component, the Project envisages to form Vulnerable Producer Groups (VPG) / Producer Groups (PG) and their Livelihood Collectives (LC). While VPG/PGs will play important role in implementation of Food Security Improvement Plan (FSIP), the LCs will carry out the implementation of Agribusiness Upscaling Plan (AUP) and Irrigation and Infrastructure Plan(IIP).

In this perspective, Community Procurement procedures need to be clearly spelt out to ensure active involvement of community in planning, execution , reporting and monitoring the procurement of goods, works and services.

1.2. Requirements of Community Procurement System

Community procurement system can be said to be well functioning if it achieves the objectives of transparency, competition, economy and efficiency, fairness and accountability. The following are among the key elements that can be used in determining to what extent a particular system meets these objectives.

Clear, comprehensive and transparent legal frameworks characterised by the presence of legal rules, which are easily identifiable, promote all the objectives stated above and govern all aspects of the procurement process.

Such rules should provide for –

- As wide advertising of bidding opportunities;
- maintenance of records related to the procurement process;
- pre disclosure of all criteria for contract award;
- contract award based on objective criteria to the lowest evaluated bidder;
- public bid opening;

- access to a bidder complaint review mechanism; and
- disclosure of the result of the procurement process.

Clarity on functional responsibilities and accountabilities for the procurement functions as characterised by a definition of –

- those who have responsibilities for implementing procurement including preparation of bid documents and the decision on contract award;
- who in the buying entities bears primary accountability for proper application of the procurement rules; and
- means of enforcing these responsibilities and accountabilities including the application of appropriate sanctions.

Need for an institutional framework that differentiates between those who carry out the procurement functions and those who have oversight responsibilities.

Robust mechanism for enforcement including clarity of rules and institutional arrangements and means to enforce the rules. The means of enforcement include the right to audits by the Government of the procurement process and a bidder complaints review mechanism in which bidder have confidence.

- 1.2.1.** A well-trained procurement staff is central to ensuring proper application of the procurement system. This staff should be the one that possesses the technical proficiency to implement the functions. The existence of a continuous, focused and targeted training program is therefore mandatory.

1.3. Tenets of Good Community Procurement

Sound procurement policies and practices are among the essential elements of good governance. Good practices reduce costs and produce timely results whereas poor practices may lead to waste and delays and are often the cause for inefficiency. Community Procurement can be used as an effective tool of community empowerment if it is supplemented by timely availability and prior knowledge of the sources of funds during a defined period of time and ensuring adherence to the basic tenets of good procurement viz. appropriate quality, sufficient quantity, exact timing, reasonability of rates and proper authority for procurement of goods works and services.

Application of these tenets may be ensured through the following procedures :

- 1.3.1.** Appropriate prescribed Quality: The ISI marked goods/materials should be procured, preferably from the authorised dealers. Further services of experienced contractors and skilled labourers should be used. The Community should select the suppliers/ contractors/skilled labours on the basis of prescribed procedures using standard formats. The Community should decide the specifications and brand names of the goods and quality of services required in its prescribed forum before procurement for ensuring appropriate quality of the goods/materials and services based on the job specifications.

- 1.3.2.** Sufficient Quantity: The appropriateness of quantity of the goods/ materials to be procured should be deliberated in the prescribed forum considering the requirements emanating from the work(s) to be undertaken individually or over a period of time- monthly/quarterly etc; availability of and security at storage facilities; economies of scale, if any, on purchases in bulk; availability and cost of transportation; location of the prospective sellers/suppliers and any other issue specific to such goods/materials. Similarly, the services to be hired are invariably assessed and discussed at prescribed forum to identify the nature of service, the minimum qualifications, duration for which required etc.
- 1.3.3.** Exact Timing: The Community in its appropriate forum decides the timing for procurement of goods/materials and start date for activities. The decision regarding the date of commencement and completion takes into account the harvesting & monsoon seasons and social factors. The Community prepares, discusses and incorporates in its plans, the timing for procurement of goods based on the commencement of different activities. The timing for hiring of services of skilled personnel like plumbers, fitters, electricians, mechanics etc. are also discussed and finalised in advance.
- 1.3.4.** Reasonability of Rates: To ensure the reasonability of rates, the annual plans and technical sanctions of each activity to be undertaken therein serve as the benchmarks. The Community should then make actual procurement through the methods prescribed selecting not necessarily the lowest, but the most reasonable offer based on the requirements defined in the technical sanction of estimates.
- 1.3.5.** Proper Authorisation: The authority to procure goods, works and services is delegated to the Community or its elected representatives. Appropriate delegation of authority for making procurements through the method prescribed and constitution of a Procurement Sub-Committee having representatives of the Community are some of the necessary steps taken to ensure that the community retains and exercises required authority for transparent procurement of goods and services.

1.4. Threats to Community Procurement

- 1.4.1.** Extensive capacity building programs have to be undertaken for the Community and its functionaries to undertake complex responsibility of procurement. This process is cumbersome and there is a likelihood of losing the focus during the initiatives taken for capacity building.
- 1.4.2.** There is a marked apprehension among the project authorities on the capacity of the Community to procure economically and efficiently. Conversely, the apprehension of the Community that the project authorities are not willing to delegate and believe them is also equally damaging.
- 1.4.3.** The concept of Community Procurement is more successful in a non-complex environment e.g. village with a small and homogeneous population and is yet to be tested for a complex situation with multiple villages and heterogeneous population.
- 1.4.4.** Community Procurement may be restricted to Procurement by influential members of the community and the presence of heterogeneous population may lead to creation of groups of diversified interest.
- 1.4.5.** Possibilities of inflating the rates of labour and material.
- 1.4.6.** Disputes between the GPs and the village level committees may hamper the timely procurements leading to delays and cost overruns.

1.5. Need for Procurement Manual

- 1.5.1.** Procurement is an important aspect of the Projects being financed or funded by the International Fund for Agriculture Development (IFAD). It is a critical element in project implementation and unless carried out efficiently and promptly, the full benefits of the Project cannot be realized. Though good procurement practices alone cannot assure that the projects will achieve the development goals but they definitely enhance the development effectiveness. Poor procurement practices, however, on their part virtually guarantee that these goals will not be fully achieved as it leads to project delays, cost overruns, and complaints by bidders as also affect the creditability of the associated institutions. The role of procurement manual is, therefore, critical for –
- Achieving economy, efficiency and transparency in the procurement process;
 - Uniformity in application across the targeted group.
 - Ensuring speedy transfer of resources by way of disbursement;
 - Ensuring satisfactory implementation; and
 - Ensuring success of the project.
- 1.5.2.** Participatory programs are not new to Uttarakhand with The Doon Valley Project, IWDP (Hills-II) and UDWDP Project being examples where the implementation of the project was through the village level institutions. The involvement of PRIs - Gram Panchayats as the focal operating and executing agencies for the implementation of the Project. They will manage all the funds, implement plans using Community contracting practices and operate & maintain investments in partnership with their constituents.
- 1.5.3.** The report of the preparatory mission for UDWDP project highlighted certain critical elements that need to be considered when seeking to achieve the desire level of participation of the stakeholders. One such element is the capacity of the GPs to take on the responsibilities of implementing the micro-watershed sub projects. Of particular concern are the fund management and procurement aspects of implementation.
- 1.5.4.** The draft report of the study conducted by the WMD to understand the accounting and accountability arrangements in PRIs in Uttarakhand also highlighted the need to revamp the current procurement procedures being followed by the GPs.

In view of the criticality of the procurement function in the satisfactory implementation of the project; the mandate of the State - Decentralization of development program and strengthening of PRIs; and the current practices of procurement being followed by the GPs, this Manual seeks to present a Community Procurement Manual which is in conformity with the procurement guidelines and documents of the IFAD, the guidelines for Community driven procurement and the rules & procedures laid down by the State Government for procurements by GPs.

1.6. Objectives of Community Procurement Manual

- 1.6.1.** The principal objective of Community Procurement Manual is that all the concerned communities will elect to undertake their own procurement and not to defer some of it to the Project authorities thereby exercising substantial decision-making authority in the selection and implementation of participatory Watershed Management sub projects. The role of the Project authorities in context of Community procurement under this Project –
- is not that of executor & decision-maker, but that of a provider, which enables the community to make appropriate decision.
 - not to interfere in the actual process, even in the pretext of economy and quality control but to monitor the process of procurement
- 1.6.2.** Community Procurement process for procurements to be done through Gram Panchayats has been detailed in **Annex1.6.2**, while the Community Process for procurements to be done through VPG, PG and LCs has been detailed in **Annex-1.63**.

Annex-1.6.2: Community Procurement by PG, VPG & LC

Manual for Community Procurement through Vulnerable Producer Groups, Producer Groups and Livelihood Collectives

Acronyms

AWP	Annual Work Plan
AUP	Agribusiness Upscaling Plan
DMU	Divisional Management Unit
FSIP	Food Security Improvement Plan
GoUK	Government of Uttarakhand
ILSP	Integrated Livelihood Support Project
IIP	Irrigation and Infrastructure Plan
JLG	Joint Liability Group
LC	Livelihood Collective
NIT	Notice Inviting Tender
PG	Producer Group
PC	Procurement Committee
PMR	Project Management Report
PO	Procurement Order
RFQ	Request for Quotation
SC	Scheduled Caste
SHG	Self Help Group
ST	Scheduled Tribe
ULIPH	Uttarakhand Livelihoods Improvement Project for the Himalayas
PMU	Project Management Unit
MoU	Memorandum of Understanding
PC	Procurement Committee
IFAD	International Fund for Agricultural Development
VPG	Vulnerable Producer Group

Introduction:

This Manual provides simple, step-by-step instructions to the VPGs, PGs and LCs on how they will go about procuring the various goods, works & services required for the implementation of the project. It is intended to promote a consistent and uniform approach for planning, execution, reporting and monitoring of Project related procurements through application of rules and procedures defined herein the Manual thereby enhancing the capacity of the VPGs, PGs and LCs to undertake procurements to meet the Project needs.

Chapter-1.8: MONITORING & KNOWLEDGE MANAGEMENT

A. Planning Process

The Project would follow the planning process undertaken by the Forest and Rural Development Department of the State Government. In the third quarter of the financial year in the month of December /January the Central Project Coordinating Unit (CPCU) will request the Government to make budgetary provisions for the project based on a consolidated AWPB. A participatory process would be followed by the implementing agencies to draw up their AWPs. This exercise would also focus on performance planning. Each agency would prepare their respective procurement plans corresponding to their AWP. The CPCU compiles the AWPs and the procurement plans and sends it to the Government for approval in the month of February. The approved AWPB is then prepared in the IFAD AWPB format and sent to IFAD, along with the procurement plans, for approval. The approved AWPB would be used for reviewing performance and progress during the supervision missions.

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 is an important step prior to need assessment, which has been missed out during the planning process in the ongoing ULIPH project. The second step is to assess the community needs and to support communities to priorities their needs and to realistically develop a perspective plan for a period of four years, keeping in view the different activities they can possibly take up under each project component. The project partner NGOs will take a lead in building a vision for planning and facilitate the process, with the full involvement of Gram Panchayats (GP), and the staff from the Division offices of UGVS and WMD, and from UPASAC. Once the community perspective plans are drawn-up, they will be made into annual plans. WMD will continue to adopt their existing watershed planning methodology including the use of GIS, and they will also share these maps with UGVS whenever necessary.

On the basis of these annual community plans UGVS, WMD and UPASAC will prepare the project management plan and send their respect AWPBs to the CPCU for preparing the Annual Work Plan and Budgets of the project. To ascertain high quality of participatory planning at the community level and consistent use of appropriate PRA tools across the project, training will be provided to all NGOs and Division level staff with the help of a reputed institute, which will be selected through competitive procurement process. In the event of non-availability of such an institute, the role will be performed by CPCU staff. The lessons and best practices from ULIPH and WMD planning methodologies will be also shared and adapted to the ILSP.

B. Monitoring & Evaluation System

Monitoring and Evaluation in ILSP would be developed within the first year of the project as a tool for effective project implementation management. The objective of the tool is to collect reliable data and information for measuring performance and progress towards achievement of results; and to provide information about success and failures, so that corrective measures can be taken for successful implementation of project activities. It would be also used as a learning tool to provide information for critical reflection on project strategies and operations and supporting decision-making at various levels as a basis for results based management. During the initial years, the project monitoring system would provide information to see how the project activities are being implemented and what adjustments are required to be made in the course of implementation, and later as a tool to assess achievement of outcomes and impacts. The Project will recruit capable staff and build their capacities to make the M&E system effective and efficient.

Components of the project will be implemented by UGVS, WMD and UPASAC, and these agencies will independently monitor the performance and progress of their own activities and outputs. Accordingly M&E plans will be drawn out by the respective agencies, supported by the Planning and M&E Manager in the Central Project Coordinating Unit (CPCU)⁴. The project will develop (i) a participatory M&E and social audit system as an analytical tool to capture changes at the beneficiary level and also to assess the performance of service providers and NGOs; (ii) an online/web based MIS; (iii) conduct evaluation studies (impact, AOS and KAP) to track project outcomes and assess impact; (iii) develop capacities for participatory M&E and the use of M&E information for project management for all staff at all levels – including the community and NGOs; (iv) conduct backstopping studies related to production systems in agriculture, horticulture and livestock, value chains, marketing, environment, rural financial services and NRM; (v) establish a sound learning system for documenting lessons learned and best practices as a link to overall knowledge management in the project.

The agencies will monitor physical and financial progress and generate monthly and quarterly reports, which will be compiled and analysed by the CPCU to generate the project report. Additionally, the agencies would support partner NGOs to monitor their work and also undertake Participatory M&E and Social Audits at the community level. Monitoring of component outcomes at each agency level will be collaboratively undertaken by the CPCU with the use of quantitative and qualitative methods. The Impact evaluation surveys will be done three times in the life of the project, and will include RIMS anchor indicators. The M&E data and information will be stored and processed as part of the project MIS at the CPCU.

C. Project M&E Framework

Output monitoring refers to the process of monitoring progress in the implementation of activities and achievement of outputs. Progress is reported against annual targets in the AWP for each project component. The output indicators in the project operational logical framework (which would be subdivided into a logical framework for each of the implementing agencies⁵) will form the basis for monitoring. Physical and financial progress would be reported in monthly and quarterly monitoring reports, which will be compiled by the CPCU for preparing project level monthly, quarterly and annual reports. These reports will be fundamental outputs of the project MIS. The regularity and timely collection of physical versus financial progress data will build in financial accountability in the project. Data will be collected by NGOs from their respective working areas with tools designed by the project from training registers, account books, production books, Producer Groups, Livelihoods Collectives, vocational training institutes, Gram Panchayats, Water and Watershed Management Committees (WWMC), from contractors building rural infrastructure. Where necessary data will be collected disaggregated by gender and social groups (ST & SC), particularly those related to training and access to services. While implementing rural infrastructure components, contractual milestones would also be monitored, and information related to monitoring of contracts will form a part of the project MIS.

NGOs will compile their data and send the information to the divisional project offices. M&E staff at the Division will check validity and consistency of data prior to analysis and production of reports and send the compiled data to the head project offices of the PIAs (Project Implementing Agencies) for analysis and reporting. The CPCU will compile the data from the PIAs and prepare the overall project report. **The M&E matrix in Annex- 1.8.1 show key indicators at all levels.**

Participatory Monitoring and Evaluation at the community level would involve the M&E Managers, enumerators and NGOs at the Division to set up PME forums at the villages, introduce simple activity sequencing charts to WWMC, Producer groups (PGs) and Livelihood Collectives (LCs) to help the communities monitor their own progress, evaluate performance, identify implementation issues.

⁴ Staffing for the CPCU M&E unit and UGVS M&E staff are listed in Appendix 2. M&E staffing requirements are based on the human resource requirement calculations in Appendix 3.

⁵ This is available for the WMD component as a Results Framework – see Working Paper 9, Appendix 2. For UGVS a component logframe will be drawn up with participation of project stakeholders as part of the start-up workshop.

These forums will be also used for social audits of activities and associated expenditure involving community members, contractors and service providers that would also enable them to address issues associated with infrastructure and service provision at the Gram Panchayat (especially with regards to watershed development). The Participatory Monitoring and Evaluation process will be institutionalised in the project within the first three years by recruiting a national Consultant to support setting up of the PME systems at the community level by building capacities of communities, NGO and community facilitators as per the Terms of Reference in the draft PIM.

Process monitoring involves monitoring the processes leading to outputs and outcomes through extensive field visits and inspections. With the support from CPCU M&E staff, NGOs will conduct qualitative assessments, attend PME forums and conduct studies along with community members. This will aim to ensure high quality of outputs, assess equity of benefits received and identify operational hurdles. Areas where such process monitoring will be useful include the outreach of financial services, provision of technical support, contract implementation, and access to inputs and resources. The watershed component places particular emphasis on process monitoring of participation in watershed development activities.

The effectiveness of training will be monitored by conducting KAP (Knowledge, Attitude and Practice) surveys each year. The Manager MIS at the PCU will coordinate with the M&E teams of UGVS and WMD to complete about 23 KAP surveys over the life of the project. Information on how to do KAP surveys is in the PIM. The processes and results from building institutions such as LC and WWMC may be monitored through a rating system using a number of indicators of management, financial strength, functioning and internal democracy. ULIPH has such a system for rating of Federations and this may be adapted for ILSP.

In addition, the Project will undertake specific studies related to food security, women's empowerment, market access, outreach of producer groups, value chain development, functionality of infrastructure, management of Livelihood Collectives (LCs), and inclusion of social groups such as ST and SCs and other disadvantaged groups. The Planning and M&E Manager in the CPCU will help UGVCS, WMD and UPASAC plan and implement such studies as part of the annual M&E plan. The process monitoring reports would be shared in monthly/quarterly meetings in the Division offices and state offices of UGVS, UPASAC and WMD.

Outcome monitoring measures the immediate outcomes/effects resulting from project interventions – such as adoption of improved technologies, starting new enterprises, access to services and resources, and increasing farm output. In ILSP this would entail an annual outcome sample survey together with focus group and key informant interviews. The annual outcome survey will cover key logframe and 2nd Level RIMS indicators.

The watershed development component will carry out Environmental and Social Safeguard Monitoring (ESMF). This will be integrated with the development and implementation of the village plans guided by the ESMF. Indicators such as water quantity and quality, soil quality, employment generated, improved income, fuel wood reduction and labour reduction will add strength to the evaluation of watershed interventions and also promote community participation in monitoring for sustainability and equity.

Impact Evaluation is the process which will assess the contribution of ILSP in achieving the overall goal of the project. It will consist of baseline, mid-term and end-of-project surveys. This survey will be coordinated by the Planning and M&E Manager of the CPCU, and contracted to an external agency. Information to be collected will include the impact level indicators of IFAD's Results and Impact Monitoring System (RIMS). These include mandatory 'anchor indicators' relating to household assets, food security and child malnutrition (anthropometric data of children under five years of age).

D. Annual Outcome Survey

IFAD is encouraging projects in the Asia Pacific Region to undertake annual outcome surveys to measure the immediate results of project implementation. These surveys are to be conducted annually, with the objective of: (a) regularly measure positive or negative changes taking place at the

household level; (b) provide early evidence of project success and failure; (c) provide timely performance information so that corrective action can be taken if required; and (d) assess efficiency of targeting. This survey is conducted in areas where the project is intervening, with samples of 200 beneficiary households and 200 non-beneficiaries (those households that have not received project services as a control group). It is usually completed within 3 months.

Annual outcome surveys for ILSP will be conducted separately in UGVS and WMD, with separate samples for households joining the project in the first three years of implementation, plus a control group. Each sample would be 200 households, so eventually there would be 3 x 2 project samples, plus 2 control samples, making a total of 8 x 200 =1600 households covered by the surveys. The survey in the first year for each group will create a baseline for tracking the indicators. Having a separate sample for each cohort (year-group) joining the project, will allow the outcomes of the project to be more precisely measured than if the sample included a mixture of households including those who had only recently joined.

Annual outcome survey questionnaires are short interviews with largely multiple choice questions, and lend themselves to electronic means of data collection. The questionnaire can be adjusted each year to cover emerging issues. The questionnaire survey would be carried out by the CPCU enumerators based in divisional offices. The survey is to be complemented by using qualitative assessments at the household level by conducting 10 to 15 focus group discussions and 10-15 key informant interviews. WMD and UGVS staff and NGOs may be involved in these qualitative assessments, and in drawing up the overall findings of each annual outcome survey. Table 1 shows the steps for conducting the annual outcome survey.

Table1: Steps for conducting the Annual Outcome Survey

	Activity/steps	Estimated Duration	Responsibility
Step-1	Fine tuning of the standard survey questionnaire and preparation of interview guides for qualitative assessments (PIM and IFAD tool kit).	1-3 days	Planning and M&E Manager and Planning and M&E Manager in UGVS, and WMD
Step-2	Sample selection	1-3 days	Planning and M&E Manager of UGVS and WMD. Lists to be provided by enumerators from village authorities.
Step-3	Training of enumerators and field testing of questionnaire and qualitative assessment guides	1-2 days	Planning and M&E Manager and enumerators
Step-4	Logistical planning, preparation for data collection	1-2 days	Planning and M&E Manager , Planning and M&E managers of UGVS and WMD
Step-5	Data collection	1-3 days	Enumerators and their supervisors
Step-6	Data Entry	1-2 days	Planning and M&E Manager data Statistical Analyst PCU
Step -7	Data analysis	1 week	Planning and M&E Manager with support from Statistical Analysts in the PCU
Step-8	Report Writing	1 week	MIS Manger, Planning and M&E Manager
Step-9	Communication and Sharing	KS events and dissemination	Planning and M&E Manager , KM Managers in the UGVS and WMD

(Source: IFAD M&E Tool Kit 2011)

E. Impact Annual Outcome Surveys

Measurement of the achievement of the overall goal of poverty reduction will be sample surveys to be conducted at baseline, mid-term and end-of-project. The sample designed in such a way as to produce separate estimates for indicators of UGVS, WMD and control group households. Indicators will include the RIMS impact level indicators (household assets, housing quality, access to water and sanitation, land, livestock, farm equipment, use of farm tools, food security and child malnutrition). Information to be collected on these indicators may be expanded from that in the standard RIMS

questionnaires to produce data which is more applicable to the project area and comparable with other surveys – for example frequency of consumption of different types of food. If it is felt that reasonably accurate data can be collected, indicators may include household income (using expenditure as a proxy measure). Indicators of women's empowerment will also be collected. Alongside the sample survey, the contracted agency will also carry out some case studies and focus group discussions to collect qualitative data. This would particularly cover issues such as women's empowerment, and would provide an understanding of the processes behind the changes observed in the sample survey.

This work would be contracted out in a single package covering all three surveys, to an agency with experience in this type of socio-economic survey. The scope of work will include the following:

- An initial rapid assessment to finalise indicators and sample design
- An inception report describing the proposed approach, data collection tools and schedule of work.
- The sample survey itself, including questionnaire development, data gathering, quality control, data entry, data analysis (including statistical tests), and reporting and interpretation of results.
- Follow-up investigations using qualitative measures such as wealth ranking, case studies and focus group discussions.
- Preparation of the draft report
- Workshop with project stakeholders to discuss findings
- Preparation of the final report.

Draft terms of reference for this survey are included in [Annex-1.8.1 to Annex-1.8.3](#). The M&E Matrix in Annexes provides an outline of the type of information and data sets that is required to be collected.

F. RIMS Indicators

The Results and Impact Monitoring System of IFAD monitors and reports on first and second level results indicators that correspond to the output and outcome indicators of the logical framework (shown in Figure 2). Prior to mid-term review the project will report on the first level results and post mid-term report on second level results indicators. Table 2 shows how second level results will be rated and reported by the project post mid-term. These indicators will be finalised after referring to the logical framework and the RIMS section in the PIM.

Table 2: Reporting on RIMS Ratings

SECOND LEVEL RESULTS		
Component	Results	Rating
Component 1: Food security and livelihood enhancement	<p>Effectiveness : producers benefiting from improved market access</p> <p>Likelihood of sustainability of roads constructed/rehabilitated</p> <p>Likelihood of sustainability of market, storage, processing facilities</p> <p>Likelihood of marketing groups formed and strengthened</p> <p>Effectiveness: creation of employment opportunities</p> <p>Likelihood of Sustainable enterprises</p> <p>Likelihood Credit Groups formed and strengthened</p> <p>Effectiveness: Improved access of the poor to financial services</p> <p>Sustainability: Improved performance of UPASaC</p> <p>Effectiveness: Improved performance of service providers</p>	
Component 2: Watershed Development	<p>Effectiveness: Improved agricultural and livestock production</p> <p>Likelihood of Sustainability of groups managing infrastructure formed/strengthened</p> <p>Effectiveness of productive infrastructure</p> <p>Likelihood of sustainability of productive infrastructure</p> <p>Likelihood of sustainability of NRM groups formed and strengthened</p>	

Effectiveness of NRM and Conservation programme		
Score	Effectiveness Assessment	Likelihood of Sustainability Assessment
1	Highly Unsatisfactory. The intended results are highly unlikely to be achieved. No further resources should be committed until a new approach is devised. Consideration should be given to cancelling component/output.	Very Weak. None of the supporting factors are in place. Sustainability is very unlikely.
2	Unsatisfactory. The intended results have not been achieved. Major corrections need to be introduced.	Weak. Hardly any of the supporting factors are in place. Sustainability is unlikely.
3	Moderately Unsatisfactory. The intended results have been achieved to a limited extent. Corrections need to be introduced to improve performance.	Modest. Some of the supporting factors are in place but they are not sufficient to ensure sustainability. Sustainability is unlikely.
4	Moderately Satisfactory. The intended results have been partly achieved. Modifications should be introduced to improve performance.	Moderate. Some supporting factors are in place but additional support is needed to ensure sustainability.
5	Satisfactory. The intended results have been achieved	Strong. The most important supporting factors are in place. Sustainability factors are in place that will ensure sustainability
6	Highly Satisfactory. Intended results have been surpassed. The implementation approach can be considered as a best practice	Very Strong. All supporting factors are in place that will ensure sustainability. Sustainability is very likely.

The third level Results correspond to the impact assessment of the project. The United Nations agencies (FAO, IFAD and UNICEF) have accepted that the distribution of chronic under-nutrition at the national and sub national levels using *stunting* (height-for-age) in growth among children under the age of five as the indicator for prevalence of poverty. The prevalence of *chronic malnutrition nutrition* is considered a valid measure for endemic poverty and a better indicator than estimates of per capita income. It is an excepted view that stunting has a negative impact on the intellectual and physical development of children, compromising the development of human resources in poor countries; and persistent high prevalence of stunting among children indicates chronic failure in poverty alleviation. The reduction of chronic under nutrition will boost economic growth and alleviate poverty.

Figure 2: Annual, Baseline, Mid-term and Endline of Project RIMS reporting

1. Annual Reporting	
Pre Mid-Term Projects	Post Mid-term Projects
<ul style="list-style-type: none"> - Report on 1st level indicators - Take note of the revised methodology 	<ul style="list-style-type: none"> - Report on 1st level indicators - Report on 2nd level indicators - Report ratings (Self-assessment)
2. Baseline, Mid-Term, Completion	
<ul style="list-style-type: none"> - RIMS + Survey for Project Impact 	

Table 3: Millennium Development Goal and corresponding IFAD RIMS Indicators

Millennium Development Goal	IFAD RIMS Indicator Measured by the Household Survey
1. Eradicate extreme poverty	<ul style="list-style-type: none"> • Household asset index (poverty) • Child malnutrition (hunger)
2. Achieve universal primary education	
3. Promote gender equality and empower women	<ul style="list-style-type: none"> • Female/male literacy
4. Reduce child mortality	
5. Improve maternal health	

6.	Combat HIV/AIDS, malaria & other diseases	
7.	Ensure environmental sustainability	<ul style="list-style-type: none"> • Access to safe water • Access to improved sanitation
8.	Build a global partnership for development	

As per the National Family Health Survey May 2008 34% of the adult female and 33% adult male in the rural areas of Uttarakhand are under weight. This factor is also partly associated with poverty in the hills of Uttarakhand. State surveys conducted in Uttarakhand showed 61% children with any form of anaemia and NSSO 2004-05 in Uttarakhand showed 38% children were underweight, 29% wasted and 44% stunted.

The indicators that are important to IFAD are called the “Anchor Indicators” and two of these are critical indicators that are linked to the MDGs.

- *Number of households with improvement in household assets ownership index.* This measures relative wealth, proxy for income and positive change shows increase in economic status of participants.
- *Percentage reduction of Childhood Malnutrition.* The RIMS impact measurement software reports three separate malnutrition variables for each child, and the population disaggregated by gender. These are:
 - Chronic Malnutrition (Stunting)
 - ⇒ Height (cm)/Age (months)
 - Acute Malnutrition (Wasting)
 - ⇒ Weight (kg)/height (cm)
 - Underweight
 - ⇒ Weight (kg)/Age (months)

The PIM includes an illustration of the process of conducting the anthropometric part of the RIMS survey, steps in conducting a baseline survey and calculating the 'Z' Score for the three malnutrition indicators.

COSOP indicators: ILSP would also contribute to some of the indicators in the COSOP Results Framework. This framework is shown in Appendix 5, with those indicators relevant for ILSP underlined.

G. Special Studies

Studies that will be undertaken before mid-term review related to the following: (i) agribusiness and marketing (growth and development of value chains, and impact of market infrastructure); (ii) production and productivity (fodder development in livestock, cropping system studies in agriculture and horticulture crops); (iii) environment and NRM (impact of soil and water conservation measures, and impact of tourism on environment, precipitation, soil erosion, stream flow monitoring and flood discharge in micro-watersheds); and (iv) education and employment (impact of vocational education and employment on rural environment and economy). Cost effectiveness studies will be also undertaken to assess delivery systems and implementation methodology/approaches adopted by UGVS and WMD for implementing similar project activities. The cost effectiveness analysis could also cover more specific topics such as effectiveness of NGO facilitation, and the delivery of rural financial services and agribusiness services in different parts of the project area.

H. M&E Capacity Building

Capacity building of project staff will be undertaken through structured orientation training programme, exposures and refresher training, and information sharing. Orientation training will be done during induction of new staff, and the refresher training on a half yearly basis. This training will focus on

building new skills as well as sharpening old skills related to project monitoring and evaluation. The refresher training reflect on the utility of the M&E system in generating relevant and timely information for project management, look at the quality of reports, and examine constraints faced by staff while collecting data. In addition, the project will also facilitate partnerships with training organisations (APMAS grant programme), consultants (KAP survey, impact surveys and PME technical assistance), and with other development projects, to exchange of information and learning. It will facilitate the use of the IFAD M&E tool kit. Table 4 shows an example of a framework for M&E capacity building.

Orientation Training Module: This will give new project staff is to give them a good understanding of the project monitoring and evaluation system, and its use in managing for results. The training module would be designed to impart the necessary skills and knowledge, so that the project staffs are in a position to get the M&E system up and running. Training topics could include: M&E for Results Based Management; organising M&E activities during a year; data to collect for project performance indicators; ways to collect different types of data, source of data for different types of data; the use of data collection forms; storage of data; analysis and report writing. The training will include: qualitative methods of collecting data; triangulation of data from focus group and key informant interviews; case study preparation; combination of quantitative and qualitative information; and communication to different stakeholders. Special training on the use of KAP surveys, Annual Outcome surveys, wealth and wellbeing ranking for poverty monitoring will be conducted. Another topic is use of M&E information for the MIS and for management decisions. Special Technical Assistance Terms of Reference will be drawn up to facilitate and support for anthropometric surveys.

Table 4: M&E Capacity Building

Training	Exposure	Partnership	Information/Knowledge
<ul style="list-style-type: none"> • Orientation Training on RIMS, KAPS and Annual Outcome surveys and the use of EpiSurveyor. • This will be followed by half-yearly refreshers training on specific areas (e.g. EpiSurveyor, KAPS, physical and financial data collection, etc) after reviewing effectiveness of the M&E system in the first year. • TA and Training for conducting Anthropometric surveys through Institutional Support 	<ul style="list-style-type: none"> • Exposure to other IFAD Projects with well established M&E system or MIS (E.g. India and Bangladesh) 	<ul style="list-style-type: none"> • Partnership between UGVS, UPASAC WMD and NGOs 	<ul style="list-style-type: none"> • Sharing knowledge and experience through sharing based on experiential learning. • Half-yearly reflection exercise and quarterly oversight by the Planning and M&E Manager on the M& E system to expand the understanding for improvement. • Sharing of good M&E reports to improve quality of reports. • Effective use of the IFAD M&E Tool Kit.

Refresher Training: As the need for M&E skills will change over time, and staff will also change, there will be a the need for refresher training. The purpose of this training is to keep up the M&E skills for project staff, and to meet their new and emerging skill needs. The refresher training workshops will also help in reviewing and updating the systems. Half-yearly refresher training and reviews will take place for the first two years and subsequently be held once a year after every annual project reviews.

I. Technical Assistance for M&E

Technical assistance for a) KAP surveys, b) participatory M&E, and c) anthropometric surveys would also form part of the capacity building strategy. The Project will systematically plan this support and ensure that it features in the project's annual AWPB. The Planning and M&E Manager will be responsible for procuring these services in consultation with the Chief Project Director and IFAD India Country Office. The aim of technical assistance is to bring expert and specialist knowledge into the project to improve the adoption of good M&E practices and to enhance the quality of anthropometric surveys. The Terms of Reference for this technical assistance are in the draft PIM. KAP survey expertise will be provided by a specialist international consultant, which (if resources allow) could be provided by IFAD as part of implementation support. Whilst the PME consultant will be either a national consultant or a national institute with expertise in PME. The Consultant will be procured by

following the guidelines provided in the IFAD Procurement Manual. For impact surveys, the services of an appropriate national level agency or consulting company will be procured by the Project as per IFAD procurement guidelines.

J. Management Information System (MIS)

Each PIA (UGVS, WMD, and UPASAC) would have their own MIS system. The WMD would use the MIS (and GIS) that they have already developed for other projects. UGVS and UPaSAC would design their MIS as per the requirement of ILSP. An overall project MIS would be established in the first year of project implementation by the CPCU. It would include information on component wise physical and financial progress, impact evaluation analysis and reports, RIMS first and second level indicator tracking, and other pertinent information on market and prices, service providers and input suppliers, etc. Initially it will be run manually in MS Excel to create the data base for report generation, but would be automated by the first quarter of the second year to generate, monthly, quarterly and annual progress reports on physical and financial progress and outcome progress. Once the automated version of the MIS is tested for 6 months, the other half of the year would be spent in making the MIS operate on-line as far as possible.

K. Reporting & Communication

Timely reporting and communication is important to take timely corrective actions and to learn from implementation experience to further improve project management effectiveness and efficiency. Monthly, quarterly and annual reports including reports from studies would be produced by the Project. For IFAD corporate reporting, Half-yearly, Annual and RIMS Progress Reports are required.

Monthly Progress Reports (MPR) will be prepared from the project MIS developed to generate information at the Block, division and state level implementing agencies and compiled at the CPCU. Information in the report will contain component wise physical and financial progress against annual targets. This report will form the basis for monthly progress review at all levels.

Quarterly Progress Reports (QPR). Besides reporting physical and financial progress this report will contain information on difficulties encountered in implementation and corrective actions and solutions to address constraints as well as communities response to project initiated activities.

Half yearly and Annual Progress Reports (HR/AR) will be prepared from information compiled by the CPCU on component wise physical and financial progress from the project MIS. It will contain summarised information from PME and process monitoring, and the findings of the annual outcome survey. The report will also describe major achievements, issues and constraints on project progress. These reports may be based on a format to be included in the draft PIM. These reports will be submitted to IFAD and Gol. The CPCU will prepare the half-yearly progress report by the end of October and the annual progress report by the end of May.

RIMS Annual Report. The key RIMS indicators corresponding to the project components are included in the project's Logical Framework and will be reported annually by the end of December. In the first year the project information on RIMS first level indicators (list of indicators included in RIMS Handbook) associated with outputs would be reported. After mid-term review the report will include ratings of effectiveness and sustainability of 2nd level indicators, validated from the results of annual outcome surveys. A standard table will be included in the PIM for this report.

L. Learning System

The project learning system comprises of monthly, quarterly and annual review meetings, capturing information on progress, lessons and finding solutions for implementation constraints.

Monthly progress review will be done on the basis of monthly progress reports. It would include reviews of physical and financial progress by NGOs, and by Project staff at the Division and State levels. Each implementation agency will review implementation of activities leading to project outputs in terms of adequacy and timely utilisation of project resources.

Quarterly Review Meetings (QRMs). The quarterly progress report will be used during the QRMs at the Block, Division office, and at the State level. Over and above reviewing physical and financial progress for the quarter against annual targets the project will also review the performance of NGOs and service providers, beneficiary feedback from PME, implementation constraints, document lessons, emerging best practices and decide on actions to improve implementation.

Annual Project Review will be carried out towards the end of the fiscal year around first week of April, to assess performance in the achievement of physical and financial progress against annual targets. In addition, there will be a review of results reflected in the Outcome Surveys. There will also be a review assessing success and failures and lessons learned. Annual reviews will be institutionalised by NGOs at the community level.

Mid-Term Review (MTR). IFAD, in cooperation with the Government, will undertake a mid-term review by the fourth year of the project to review achievements and implementation constraints. In particular it would review: (i) achievement and improvements in the production systems in terms of increase in production, productivity, improvement in food security and increase in income of the poor; (ii) the performance of value chains developed by the project; (iii) performance of Producer Groups, Livelihoods Collectives and related community institutions involved in micro-watershed development; (iv) impact of vocational training; (v) effects of micro watershed development on soil and water conservation and its subsequent impact on the livelihoods of the poor; (vi) the performance of financial and procurement management systems; and (vi) issues related to project management. A mutually agreed action plan will be prepared based on the MTR findings. IFAD may appoint, in consultation with the Government, an external agency to evaluate the project if necessary.

Project Completion Review. As the project reaches completion point, the CPCU would prepare a Project Completion Report. IFAD and the Government will then undertake a project completion review before the loan closing date.

Innovation in M&E tools and methods

The Project will promote innovations in the use of M&E tools and methods. **EpiSurveyor**, a mobile phone-based application, will be piloted for collecting survey data to reduce cost and increase accuracy in data collection. Trained enumerators will collect and transfer data via cell phones to a web based system for analysis and reporting.

M. Knowledge Management

In the first year the Project will prepare a KM strategy in line with the IFAD policy on KM. The strategy will focus on building a robust KM system. Appendix 6 shows the framework to be followed for strategy development. The KM system will enable the project to generate, share and disseminate relevant information and knowledge to various stakeholders in a timely manner. As a start, the project could prepare simple guidelines in local language explaining the project components in detail and how it relates to other government programmes. Thereafter information would be disseminated through organising community level knowledge sharing workshops. This will enable the communities to understand the scope in relation to their context. A project website will be established within the first year of implementation and used as a knowledge sharing tool, being linked to IFAD Asia website. The KM team will extensively document and share knowledge generated in the project. The QRM forums

will be used to capture lessons and best practices leading to development of knowledge products. Key information from M&E studies, reviews and exposure visits, lessons and best practices will be disseminated through knowledge products such as newsletters, publications, case studies and reports. The KM team will strive to build a culture of knowledge documentation and sharing within the project.

Annex-1.8.1 M&E Matrix – Component 1 - UGVs

Performance Questions & related targets	Information needs and Indicators	Data to be collected (at Baseline and beyond)	Data gathering Methods and Frequency	Information Use: Analysis, Reporting, Corrective Actions and Sharing Process, Responsibilities
Goal: Reducing poverty in hill districts of Uttarakhand				
<p>Has the project improved well being in the Project locations?</p> <ul style="list-style-type: none"> – Has the underweight of adults in rural areas have decreased from 34% in case of females and 33% in case of males (NFHS 2008). – Has the current malnutrition rates reduced? – How has the purchasing power of target households changed? 	<ul style="list-style-type: none"> – % reduction in prevalence of child malnutrition (under 5 yrs old: chronic, acute, underweight) – No of Household with improvement in household asset ownership inde – No of HH reporting improved Food security – Improved social indicators including literacy, income, Quality of housing, water supply and sanitation – No of HHs receiving project services 	<ul style="list-style-type: none"> – Baseline information on Underweight, Chronic Malnutrition and Acute Malnutrition – Number of people with improved well being. 	<ul style="list-style-type: none"> – RIMS anchor indicator surveys at baseline, mid-term and completion – Qualitative Data from focus groups and key informant interviews. 	<p>Household survey information to be triangulated with information from project implementation, PRAs and field observations.</p> <p>Annual KS work shop on food security</p>
Development objective: Enable rural households to take up sustainable livelihood opportunities integrated with the wider economy				
<ul style="list-style-type: none"> – Has the project improved income and food security of the poor & disadvantaged in project locations? – How the purchasing power of target households changed –in particular, for housing, education and health needs? – How has the project influenced meeting the needs of housing, access to water, health and sanitation? – What is the women's perception of empowerment? – How have interventions affected the workloads, roles 	<ol style="list-style-type: none"> 1. More than 60% of project households report increase in income from sub-sectors supported by the project and reduction in expenditure 2. 80 % HHs increase food self-sufficiency 3. Over 50 % of HHs report improved access to business resources and services. 4. 70% enterprises are operational three years after they receive support. 5. Over 50% of women increased income by EoP. 6. Women report improvements in decision making in over 50% of project 	<ul style="list-style-type: none"> – People in the project locations reporting improved income. – Household expenditure patterns at the start of the project. – Observational data – Nature of local economy at start of the project. 	<ul style="list-style-type: none"> – RIMS +Surveys (impact assessment) –baseline, midterm and end of project. – Track through Annual outcome surveys – Economic analysis of local economy at baseline and during the project/Studies 	<p>Annual Project Reviews and MTR with project stakeholders about the project contribution to overall livelihoods improvement in the context of other initiatives in the State of Uttarakhand.</p>

Performance Questions & related targets	Information needs and Indicators	Data to be collected (at Baseline and beyond)	Data gathering Methods and Frequency	Information Use: Analysis, Reporting, Corrective Actions and Sharing Process, Responsibilities
<p>and well-being of different household member (men, women, young and old)</p> <ul style="list-style-type: none"> How has the diversity of local economy changed? 	HHs.			
Component 1: Food security and livelihood enhancement				
<p>Food security and scaling up</p> <ul style="list-style-type: none"> Has the project improved food security in project locations? How have the cropping patterns in the project area changed? What infrastructure has been created under the project 	<p><u>Indicators and Targets</u> Changes over time in percent of total households who are able to meet minimum nutritional requirements (disaggregated according to the type of household, season and location) under average seasonal conditions</p> <p>Number of farmers adopting improved technologies Increase in farm yield & output. Increase in food self-sufficiency <i>Targets:</i> 75% of the households with food security Achievement of project targets at output and outcome levels No of functioning collection centres New Area brought under irrigation ha. <i>Targets:</i> Area of horticultural crops and</p>	<ul style="list-style-type: none"> People in project locations/areas reporting improved food security under normal production conditions. Data on changes in cropping patterns disaggregated according to location and farmer type Areas of improved varieties. Quantity of improved varieties Land use data and agricultural activity data at the start of the project (from ULIPH and Department of Agriculture and Horticulture) 	<p>Annual outcome surveys</p> <ul style="list-style-type: none"> Sample crop surveys at harvest (normally undertaken by Department of Agriculture). Project progress reports 	<p>Improve record keeping by farmers</p> <p>Install a data base as part of the Project MIS at UGVS for analysis and sharing this as part of half-yearly and annual reports.</p>

Performance Questions & related targets	Information needs and Indicators	Data to be collected (at Baseline and beyond)	Data gathering Methods and Frequency	Information Use: Analysis, Reporting, Corrective Actions and Sharing Process, Responsibilities
	<p>off-season vegetable cultivation increased by --- hectares Area of cash crops increase by 10% in project areas. Number of groups managing infrastructure operational/functional</p>			
<p>How much farmers have increased their yields?</p>	<p><u>Indicators and Targets</u> More than 70% of project hhs members report increase farm output by at least 15%</p> <p><i>Targets:</i></p> <ul style="list-style-type: none"> - 60% of farmers reporting increase in yield by 50% of the targeted yields. 	<ul style="list-style-type: none"> - Yields at start of the project from baseline crop survey data - Change in average yield per crop (disaggregated by location, year and crop type) - Growth and Productivity data for poultry and dairy. 	<ul style="list-style-type: none"> - Baseline survey (RIMS + Survey - Sample crop surveys at harvest (normally undertaken by Department of Agriculture) - Farm Records of Producer Groups - Identify sample sites and train enumerators in field measurement. - Developing as part of the PME to undertake participatory yield-appraisal and recording systems with Farmer Groups/Producer Groups 	<p>Information reviewed and shared in the project's learning system</p>
<p>How effectively are Producer Groups (PGs) and Livelihoods Collectives supporting farmers to adopt new crops in cropping systems, breeds of cattle and birds and husbandry practices and systems?</p>	<ul style="list-style-type: none"> - Federations formed by ULIPH expand membership to more than 33,000 HHs - More than 70% of members make use of services facilitated by federations. - 70% of project supported institutions rated as Grade A using project grading standards. - Membership of community institutions increased to cover more than 64175 HHs - 130 Community apex institutions formed - No of federations strengthened in 	<ul style="list-style-type: none"> - Number and percentage at the beginning of the project/at baseline 	<ul style="list-style-type: none"> - Record keeping by PGs and LCs and Division Office. - RIMS + Surveys - Annual Surveys 	<p>Information shared in Half yearly and Annual Reports and during half-yearly and annual review and also QRMs whenever applicable</p>

Performance Questions & related targets	Information needs and Indicators	Data to be collected (at Baseline and beyond)	Data gathering Methods and Frequency	Information Use: Analysis, Reporting, Corrective Actions and Sharing Process, Responsibilities
	<p>value chain based enterprises</p> <ul style="list-style-type: none"> - At least 75% of Federation board members are women. <p><u>Indicators and Targets:</u></p> <ul style="list-style-type: none"> - No of PGs and LC operating effectively. - 10% increase in herd size - 10% increase in number of birds - 20% increase in cropping area for offseason vegetables and high value cash crops - 75% % of farmers actively involved in PGs and LCs 			
Sub-component-Market Access:				
<p>Have linkage between Producer Groups and Livelihoods Collectives and processors/marketers improved production (yield and area increase) in the project areas?</p> <p>Have micro enterprises been established as a result of project intervention?</p> <p>Are farmers better informed about prices, quantities demanded and potential buyers</p> <p>Have farmers income increased as a result of better access to market information?</p>	<p>More than 60% project HHs use new business opportunities and technologies Increase of producers' share of retail price by at least 10% in three value chains.</p> <p>Sub sector based studies including market assessment studies carried out. capacity building programs for market linkage conducted. buyer-seller meets organised. -MoUs with market agencies executed Enterprises established in identified sectors Collection centres established. No of new enterprises established No of existing enterprises expanded</p> <p>Market information pilot carried and learning disseminated</p> <p><i>Target:</i></p>	<ul style="list-style-type: none"> - Data on number of contracts successfully implemented - Quantity of high quality inputs supplied to farmers - Famers covered by improved seeds and practices - Additional gains as a result of improved access to markets. - Accessibility of market information data base. 	<ul style="list-style-type: none"> - Annual Outcome surveys - Qualitative Case Studies - KAP surveys - Information from PME exercises - Information from PG and LC on marketing records 	<p>Quarterly Reports and Annual Report</p> <p>Reports and cases shared during Annual Reviews.</p>

Performance Questions & related targets	Information needs and Indicators	Data to be collected (at Baseline and beyond)	Data gathering Methods and Frequency	Information Use: Analysis, Reporting, Corrective Actions and Sharing Process, Responsibilities
	<p>80% farmers reporting increase in access to markets/processors/buyers</p> <ul style="list-style-type: none"> - Number of farmers reporting having increased market information <i>Target:</i> - Number of farmers reporting additional profits and activities due to better access to market information and linkages. - Number of enterprises established and functioning - Number of enterprises formed - Number of farmers reporting access to market information 			
Sub-component Innovative linkages:				
<p>What innovations/improved farming practices have been developed or recommended?</p> <p>What level of adoption has occurred?</p> <p>What are the reasons for adoption or non-adoption?</p>	<p>New models on market linkages and technical support are developed and disseminated as part of project interventions. MoUs executed with identified agencies for implementation of the innovation and market tie ups</p> <p>Identified innovations are tested, documented & recommendations shared with stakeholders.</p> <p>Indicator and target</p> <ul style="list-style-type: none"> - Number of farmers* adopting improved technologies - 30% increase in farmers adopting new technologies 	<ul style="list-style-type: none"> - RIMS + Survey data at baseline and Annual - Outcome survey and Qualitative benefit assessments 	<ul style="list-style-type: none"> - Record keeping by Divisional offices with the help of enumerators - Farm records of PG and LC. 	<p>Improve record keeping by farmers and develop reporting and data collecting formats.</p> <p>Sharing information in the half-yearly and annual review meetings and during supervision missions.</p>
Sub-component Vocational Training				

Performance Questions & related targets	Information needs and Indicators	Data to be collected (at Baseline and beyond)	Data gathering Methods and Frequency	Information Use: Analysis, Reporting, Corrective Actions and Sharing Process, Responsibilities
<p>Have people from poor households obtained remunerative and secure employment as a result of project intervention?</p>	<p>8,000 vocational training graduates gain employment</p> <p>10,000 youth trained in vocational training of which at least 50% women.</p> <ul style="list-style-type: none"> - Number of vocational training graduates gaining employment in sector in which trained and number gaining other jobs. - <i>Targets:</i> - 50% increase in income of youth trained and employed 	<ul style="list-style-type: none"> - Training programmes conducted - Persons completed training but without jobs. - Sector in which trained and number getting jobs. - Number of trained persons employed/placed after completion of training at baseline - Persons of trained people employed and their growth in income at baseline. 	<ul style="list-style-type: none"> - RIMS + Survey - Annual Outcome Surveys 	<p>Information shared in Half yearly and Annual Reports and during half-yearly and annual review and also QRMs whenever applicable</p> <p>KS workshops.</p>

Annex- 1.8.2 M&E matrix – Component 2 (WMD)

Objective hierarchy	Performance questions	Indicators	Means of verification	Data to be collected	Responsibility
Goal					
Reducing poverty in hill districts of Uttarakhand	Has the project resulted in reduced poverty?	<ul style="list-style-type: none"> • Child malnutrition (under 5 yrs old: chronic, acute, underweight) 1/ • Household assets • Food security • Income (expenditure) • Quality of housing, water supply and sanitation 	Impact surveys (including RIMS anchor indicators) at baseline, mid-term and completion	Age, weight, height of children <5 years Household assets Period of food shortage	Contracted to external agency
Development Objective					
Enable 39,600 rural households to take up sustainable livelihood opportunities integrated with the wider economy	To what extent has project resulted in improved livelihoods?	<ul style="list-style-type: none"> • 70% of PG & VG members 1/ report increase in income. • 70% of PG & VG members 1/ increase food security • Availability of fuel, fodder and water improved for 70% of watershed hh • Women's empowerment - 80% of women report improvements such as decision making and mobility • SC h'holds comprise at least 20% of all hh benefitting 	Annual outcome surveys	No. of hh reporting increase in sector income, improved water supply, grazing and fuel wood. No. of hh reporting improved food security	WMD
	To what extent have women and disadvantaged groups benefitted?		Impact surveys at baseline, mid-term and completion	Monthly household expenditure Type of housing, water and sanitation facilities, Women's mobility, ownership of assets, participation in key household decisions. Analysis of benefits for SC and women-headed households Households in receipt of various project services Also include AOS indicators.	Contracted to external agency
Outcomes:					
41 project watersheds become less vulnerable to erosion and drought.	Has the watershed eco-system improved?	<ul style="list-style-type: none"> • Increase of 10% in vegetative biomass • Increase of 10% in water availability 	Watershed environmental monitoring	Vegetation assessment Water flow monitoring	WMD
Farming systems on 41 project watersheds with a population of 36,600 households	How many farmers have increased production?	<ul style="list-style-type: none"> • 75% of PG members 1/ adopt new technologies or techniques • 100% of PG members 1 increase farm output by at least 15% (crop 	Annual outcome surveys.	No. of farmers say adopt new technology, No. of farmers say increase crop area, yield, irrigated area, no of livestock. Area of irrigation, area of crops	WMD

Objective hierarchy	Performance questions	Indicators	Means of verification	Data to be collected	Responsibility
become more productive.	Have farmers adopted new ideas and technologies?	yield, area, no. of animals).		No. hh owning livestock, no. & type of livestock	
			KAP surveys	Farmers adopting new technologies and ideas, and if not, why not?	WMD
Non-farm enterprises are developed and farm enterprises are up-scaled.	How many non-farm enterprises have started or expanded? How many farmers are engaging with the market?	<ul style="list-style-type: none"> • 20% of VG members1/ establish new enterprises or expand existing enterprises. • 20% of PG members1/ increase in sales of produce or use new market channels. 	Annual outcome surveys	No. of producers say sales have increased and value of sales. No. of enterprises established and expanded	WMD
			Value chain studies	Volume of sales and no of producers using collective/contract marketing, viability and relative prices for these marketing channels.	Contracted to external agency
Lessons in watershed development disseminated.	What lessons have been learned?	<ul style="list-style-type: none"> • Improved performance by 80% of GP • Lessons documented and disseminated via media and meetings 	Process monitoring of GP Project progress reports	GP rating system (no. of meetings, participation, bank accounts, activities undertaken) No. of knowledge management products and events.	WMD
Outputs:					
<u>Participatory watershed management</u> Watershed management capacities strengthened and watersheds developed	Are WWMC functioning as planned? How much watershed development has been done?	<ul style="list-style-type: none"> • 275 Water and Watershed Management Committees plan and implement watershed development • 125,000 ha covered by watershed conservation and development. 	Project progress reports.	Monitoring data on WWMC activities Data on different types of watershed development	WMD
<u>Food security enhancement support</u> Rainfed agriculture, value addition and marketing support	How many people have joined project groups? What marketing infrastructure has been developed?	<ul style="list-style-type: none"> • Producer Groups with 23,400 members • Collection centres, marketing services • 70 Livelihood Collectives established 	Project progress reports	Number of groups (PG & LC) and number of members Marketing infrastructure completed	WMD
<u>Livelihood up-scaling</u>	How has market	• Vulnerable Groups with 5,856	Project progress	Number of groups (VG) and number of	WMD

Objective hierarchy	Performance questions	Indicators	Means of verification	Data to be collected	Responsibility
<u>support</u> Livelihood opportunities for vulnerable hh and up-scaling of farm enterprises	access been improved? How many vulnerable households are getting special assistance?	members ¹ • 70 Livelihood Collectives up-scale income generating activities with backward and forward linkages	reports	members Data on activities of vulnerable groups Status of marketing activities and number of producers involved	
<u>Institutional strengthening</u> Watershed institutions strengthened	How many GPs have been strengthened?	• 275 GP gain capacity for watershed development • Information and communication products • Project management delivers project services	Project progress reports	Data on training provision, including number of GP covered type of courses, and number of people trained.	WMD

¹ indicators disaggregated by gender or gender of household head,

Annex-1.8.3 M&E matrix – Component 3 Livelihood Finance -(UPASAC)

Performance Questions and related targets	Indicators	Means of verification	Data to be collected	Responsibility
Goal: Reducing poverty in hill districts of Uttarakhand Has the project resulted in reduced poverty?	Child malnutrition (under 5 yrs old: chronic, acute, underweight) ¹ Household assets Food security	Impact surveys (including RIMS anchor indicators) at baseline, mid-term and completion	Age, weight, height of children <5 years Household assets Period of food shortage	Contracted to external agency (combined with UGVS survey)
Development objective: Enable poor rural households to use financial services to improve their livelihoods				
To what extent has project resulted in higher levels of investment in farm and non-farm enterprises?	Use of financial resources facilitated by the project to invest in enterprises	Impact surveys at baseline, mid-term and completion	Use of loans Amounts borrowed and invested Also collect data used in Annual Outcome Surveys	
Outcomes:				
Improved access to bank finance. How many more people have bank loans? Are new branches supported by the project viable and sustainable?	ULIPH blocks taken in ILSP 20% increase in group members with bank loans 20% increase in total value of bank loans to group members Other blocks under ILSP 40% increase in group members with bank loans 40% increase in total value of bank loans to group New bank branches opened in Project Area Number of clients and viability of new RFI branches Loan default rate at an acceptable level	Annual outcome surveys	Number of members ¹ with bank loans	Combined with UGVS AOS
		Annual data on lending reported by banks	Number of loans and value of loans in project areas.	Banks report to UPASAC
		Reports from RFI	Number of clients, branch income and expenses, default rate	RFI reports to UPASAC
Improved means of mitigating risk. How many people have purchased insurance policies?	Number of clients ¹ /policies for different risk management instruments.	Data and reports from insurance companies	Sales of various types of insurance policies.	Insurance companies report to UGVS
Increased financial inclusion How many people are using financial services?	Number of group members ¹ using financial services LCs act as facilitators in taking up the role of BC/BF by its members Viability of LC members working as BC/BF Effectiveness of financial literacy training	Annual outcome surveys	Number of members with bank accounts, savings accounts, loans, insurance policies.	Combined with UGVS AOS
		Data and reports from LC	Income and expenses generated by BC and BF	LC report via UGVS
		KAP surveys	Number of members ¹ saying financial literacy training useful and adopted.	UGVS M&E unit
Increased investment in market-led opportunities by hill producers and their	UPASAC investments total Rs90 million. Recovery rate for UPASAC Investments	Reports from UPASAC	Number and value of loans and equity investments	UPASAC

Performance Questions and related targets	Indicators	Means of verification	Data to be collected	Responsibility
organisations. How much finance is being provided via UPASAC?			Due and overdue amounts for UPASAC loans	
Outputs:				
<u>Banking initiatives</u> Enabling access to bank finance. How many banks and bank staff have participated in project initiatives?	1,000 people attend training and exposure visits. Major financial institutions having presence in project area participating in ILSP linkages. 20 new branches of RFI opened.	Project progress reports	Number of people ¹ attend training and other events List of participating financial institutions List of new RFI branches	UPASAC
<u>Risk management</u> New risk management products Have new insurance products been introduced?	At least five new risk management products introduced and promoted	Project progress reports	List of new products with promoting agencies and current status	Insurance companies report to UPASaC
<u>Financial inclusion initiatives</u> Improved access to financial products Do LC have a role in financial inclusion? How many people have been reached by training?	Number of LC acting as BC/BF Number of people ¹ reached by financial literacy training	Project progress reports	List of LC acting as BC and BF Numbers of people ¹ trained and type of course	LC report to UPASaC UPASAC via contracted training providers
<u>Development Finance Fund:</u> Social venture capital company provides financial resources	UPASAC business plan Number of funding applications received and reviewed	Project progress reports	Copy of business plan List of funding applications and their status	UPASAC

indicators disaggregated by gender

Annex-1.8.4: Annual M&E Activities Calendar

Activity	April	May	June	July	Aug	Sep	Oct	Nov	Dec	Jan	Feb	March	April
M& E Activities PCU, UGVS and WMD Levels													
Annual Progress Performance Review & Report Submission													
Annual NGO Performance Assessment													
RIMS Report submission													
Half yearly Progress Report													
Annual Progress Report													
RIMS Annual Report													
Annual Outcome Surveys													
Quarterly Results Report (QRR)Preparation (Outputs/ 1 st Level Results)													
Quarterly Review Meetings													
Focus Groups and Key Informant Interviews (Theme or Output based)													
Data Collection for physical and financial progress and KAPS surveys													
M& E Activities at Village and Block Levels													
Block level PME meetings													
PME meetings of Village Panchayats, MG, SHG, Vanpanchayats, WWMC													
SHG/Enterprise Groups/WWMC/Van Panchayat member and group review meeting													
Data Recording by SHG members ,MG & WWMC/ Van Panchayat and NGOs													

Annex-1.8.5: Participation of Stakeholders in the Annual Learning Process

M&E Activities DPMT and PMU level	Participants
Data Collection for M&E	Beneficiaries, NGO and Enumerators
Focus Groups and Key Informant Interview and PME	NGO and Project Staff, while PME will be done by project beneficiaries
Quarterly Review Meeting & (QRR)Preparation	Beneficiaries, NGO and Project Staff/ Report by Planning and M&E Manager in the Division Office and Planning and M&E Manager in the PCU
Quarterly Results Progress Review (State Level)	NGO, Project Staff, Private Sector, Service Provider representative, District Horticultural Officer, Dist. Fisheries Officer, District Agriculture Officer, District Animal Husbandry Officer and District Forest Officer, Branch. NGO representatives, Managers of Banks, Lead Bank Manager, NABARD District Managers, and Managers Division Officers, Officials from UGVS, UPASAC & WMD
RIMS Report submission	Planning and M&E Manager at the PCU
NGO Performance Assessment	Beneficiaries, NGO, DPMT and PMU staff
Annual Progress Review and Report Submission	Beneficiaries representative, NGO, Project Staff, Service Provider representative, District Horticultural Officer, Dist. Fisheries Officer, District Agriculture Officer, District Animal Husbandry Officer and District Forest Officer, Branch Managers of Banks, Lead Bank Manager, NABARD State Manager, and State Government Officials and Private Sector Representatives and Managers from M & E. Officials of UGVS, WMD, UPASAC
M& E Activities at Village, Block and CMRC	Participants
Block level Project Review Meeting	Division office staff, NGO staff Level Line Agency Officials, GPs, Community Members, Village Head men Extension Workers, and Officers of various Line Agencies, members of Mandi Parishad, Van Panchayat ,members of LCs.
Village level Results Progress Review Meeting	GP members, other Community Members, Village Headman, FG, Extension Workers, and Officers of various Line Agencies. NGO Staff
Produce Groups / Livelihoods Collectives	NGO staff, Producer Groups, Members of Livelihoods Collectives (LCs) Members of the Mandi Parishad, Buy-sell meets and review of progress in agribusiness.
Data Recording by Producer Groups members , Van Panchayat, SHGs, WWMC, SHGs	This will part of the PME process and Social Audit process facilitated by Enumerators and NGO staff.

Annex-1.8.6: Guidelines for KAP Survey

INTRODUCTION

KAP (Knowledge, Attitude and Practice) survey is a widely-used method for assessing uptake and acceptability of newly introduced technologies or income-generating activities (IGAs). KAP was introduced in Bangladesh by the World Bank/DFID ASSP (Agricultural Support Services Project) in the 1990s. It is particularly easy to use where technologies or IGAs are disseminated mainly through organised training events (training sessions, demonstrations and field days, etc.). These guidelines have been compiled to clarify the principles of KAP, and how it can be implemented in IFAD supported projects. These guidelines are based on those developed by Dr Mike Daplyn for the LGED/IFAD/Netherlands Market Infrastructure Project in Charland Regions, Bangladesh.

KAP serves a double function. In the case of positive findings it provides the earliest evidence of probable future project benefits: if there is understanding and adoption, it is reasonable to presume that longer-term outcomes and impacts such as increased income, more secure livelihoods, etc., will follow in due course. KAP is therefore complementary to outcomes/impact M&E studies, which will only show measurable trends at a later stage of project life. In the case of negative findings, KAP provides a warning that there are problems either with the technology of the IGA, or with the training methods. Such findings should trigger review of the technology and the training approach.

OVERVIEW OF THE KAP SURVEY METHODOLOGY

The name 'KAP' summarises three sets of questions about trainees' initial uptake of IGAs:

- | | |
|------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Knowledge: | does the trainee KNOW what to do (i.e. has she/he remembered the key points of the training?) |
| Attitude: | based on her/his knowledge of the technical approach for the IGA, and knowledge of her/his own circumstances, does the trainee think the IGA is suitable for her/him (and if not, why not)? |
| Practice: | She/he actually going to implement the new technology or IGA? |

In practical use, the study is often structured as P-K-A:

- Is the trainee going to Practice the recommendation?
- if NO, is that because she/he doesn't know how to do it (Knowledge problem);
- If Knowledge is accurate (or reasonably accurate) but the trainee still doesn't intend to Practice, what is the reason for the negative Attitude?

These questions are embodied in a short (1-2 pages) questionnaire format, structured according to the key technical points of the concerned technology or IGA. The questionnaire is administered to a small sample (typically 30-40) of people who have been exposed to the recommendations for implementing the technology IGA (through training sessions, demonstrations/field days, etc.). The trainees for interview are selected randomly (using sampling procedures described below) from those who have attended training events for the concerned IGA. KAP targets the people who have attended training events because they will show the earliest signs of whether the IGA is attractive; others may follow by imitation but only after a time-lag.

The normal time to conduct KAP survey is just before the trainees start to implement the training they have received. For a crop-based IGA this is normally at the start of the next season after the demonstrations/field days, because that is the time when the trainees will be taking the decision whether to implement the new technology/IGA. For example KAP on a new *boro* rice variety would typically be done in January of the year after the demonstrations were carried out. For many non-crop IGAs (e.g. handicrafts, poultry) seasonality is not an issue and implementation may start very soon after training, so KAP can likewise be conducted soon after training. However, some non-crop IGAs is also seasonal; for example fish-drying is a dry-season activity.

KAP surveys conducted just before implementation may be supplemented with Results Surveys on the same trainees. Results Surveys are carried out as soon as the production and profitability of

the IGA can be assessed; for rice, this would be just after harvest, and for fish-drying, just after the first batch had been sold.

Because the questionnaire is short and the interviewed number of trainees is small, KAP data can be processed quickly and easily, using a computer, calculator or hand tabulation. The results are in the form of percentages, e.g. % of trainees who plan to implement the IGA, % of trainees who can remember each of the key points of the recommended approach, etc. Provided the selection of trainees for interview has been properly randomised, these percentages can confidently be considered to reflect the situation of all trainees who have received training on the IGA.

DRAWING A SAMPLE FOR KAP

The aim of sampling is to estimate the characteristics of a large group by examining only a small part of the group. The results from the sample will be valid for the whole group **provided the following conditions are observed:**

- the sample must be randomly selected; and
- No section of the group must be excluded from possibility of selection.

To meet these conditions we need a list (technically called a sample frame) of the group from which the sample is to be drawn. This would be the group concerned are the trainees who have received training on a specific IGA through attending training events. The list from which the sample is drawn can be created by compiling the attendance lists from the training events, which should be maintained for every event. The attendance lists must contain enough information (such as group name/number, trainee's name, father's/husband's name, Union and village) to permit tracing individual trainees, even after several months have elapsed. **Accurate maintenance of the attendance registers is vital for successful KAP survey.**

To draw a KAP sample the following procedures should be followed:

- i) Select the IGA or new technology to be studied. This can be any IGA provided that it was disseminated through organised training events where attendance registers were compiled;
- ii) Define the required coverage of the study. This could be the whole project, or one zone, or one Block within a zone, or all the Blocks covered by one NGO. Each subdivision is called a **domain of study**. If separate results are required (e.g. separate results by zone) there will be one domain of study for each subdivision required, and **each domain of study must be sampled separately**;
- iii) Compile the trainee lists from the attendance registers into a master-list covering all the events of the concerned IGA for each of the concerned domain(s) of study. For example if separate results are required by zone, there will be two lists, one for each zone. The lists should be compiled in such a way that all the training events of one upazila form a single block in the list. Give each trainee in the compiled list(s) a serial number, starting at 1 for each list if there is more than one domain of study;
- iv) For each domain of study, calculate what proportion of the whole list is needed for the sample, assuming a sample size of 40 (see Appendix for calculation of this number). For example, if the whole list contains 2000 trainees, and we need a sample of 40, then the sample will be 1 in 50 of the listed trainees. This number (50) is called the **stepping interval**. If the stepping interval turns out to be a fraction, round it **downwards** to the nearest whole number (e.g. if the list has 2032 trainees, the stepping interval for a sample of 40 will be 50.8; round it down to 50);
- v) Using random number tables or the ()RAND function in Excel, take a random number between 1 and the stepping interval (between 1 and 50, in our example). This is the **random start point** of the sample. As an example, let us assume the random start point is 14;

- vi) Select for the sample the trainee whose number is the random start point, then the trainee after 1 stepping interval, 2 stepping intervals, etc. For example, if the random start point is 14 and the stepping interval is 50, take trainee numbers 14, 64, 114, 164 etc. until the total of 40 sample trainees has been reached. This is the **primary sample**;
- vii) Every effort must be made to interview the trainees in the primary sample, including return visits if the trainee is temporarily not available (e.g. at work, gone to the *hat*). However, sometimes a trainee is not available due to long-term reasons such as death, sickness, long-distance travel etc.. To cover this situation, select a **reserve sample**. The reserve for trainee #14 should be trainee #15 (or #13), the reserve for trainee #64 is trainee #65, and so on. Note that the reserve is always adjacent to the trainee in the primary sample. This is ensure the reserve is as closely comparable as possible to the primary sample. Trainee #65 cannot be a reserve for trainee #14.

SUMMARY OF FIELD AND OFFICE PROCEDURES

Timing: KAP is normally carried out when the trainees are ready to implement the IGA selected for study. For crop-based IGAs, that will usually be in the season following the season in which the training events were carried out. For non-crop IGAs it may be sooner; in that case compilation of the attendance lists and selection of the sample(s) must be carried out promptly after the training. As noted above, KAP may be supplemented at a later date with a **results survey** (see above) to determine the actual outcome (production achieved, price received, etc.) achieved by the trainees.

IGA Selection: Well before the target date for conducting KAP, the KAP survey designer should consult with sub-project management and the training organisers to select the IGA(s) to be studied. This should be guided by the importance of the various IGAs for the overall impact of the sub-project. It is recommended that, at least in the first year, only a small number of IGAs should be chosen, to avoid overloading the data collection and analysis personnel while they are familiarising themselves with the system.

Sample Selection: As early as possible the survey designer should call in all the attendance registers for the training events of the selected IGA(s). The trainee lists in the attendance registers should be compiled into a master-list or lists and the primary and reserve samples should then be selected using the procedure given in Section 3 above. The reason for selecting the sample at an early stage is to avoid using the sample trainees for pre-test and training (see below).

Questionnaire Design: After selection of the IGA(s), the KAP designer should consult with the training services providers to single out the **key points** of each IGA which are essential for successful implementation of the IGA. To keep the questionnaire short and simple, it is recommended that the list of key points should be kept as short as possible - maximum 5 or 6 key points. The Knowledge section of the questionnaire should then be structured according to the list of key points. This stage should be completed (if possible) at least a month in advance of the time the trainees will be ready to start implementing the IGA, to allow time for questionnaire pre-testing and training data collection personnel.

Questionnaire Pre-Test: The questionnaire should then be **pre-tested** by conducting interviews with a small number of trainees from the list of those who have attended training events on the selected IGA (but excluding any trainees selected for the primary or reserve samples). The pre-test interviews should be carried out by some or all of the personnel who will carry out the main KAP data collection. During pre-test, any necessary modifications should be made if any part of the questionnaire is not clear to the trainees or the data collection personnel. When the questionnaire has been finalised, it should be translated into Bangla.

Training Data Collection Personnel: Following questionnaire translation, all the personnel who are designated to carry out data collection should be trained on the finalised and translated questionnaire. The training should consist of a short classroom session - maximum one day, including practice interviews by the data collection personnel on each other. This should be immediately followed by one or two days of practice interviews with trainees who have actually received training for the selected IGA. Again, the trainees for training interviews should be selected from those who have attended training events, but excluding those selected for the primary and reserve samples.

Setting Up the Analysis and Reporting System: When the questionnaire has been finalised, the data analysis system should be prepared, based on the questionnaire structure. Also at this stage, an outline of the eventual report should be prepared, including blank tables for each category of results (e.g. % trainees deciding to implement the IGA, % who know each of the key points of the IGA technology, etc.). This can be done in parallel with training the data collection personnel. KAP can be analysed by computer, using a spreadsheet program (Excel or similar), or by pencil-and-paper methods with a hand calculator.

Data Collection: This should take place just before the time when the trainees are due to start implementing the selected IGA(s). Especially for crop-based IGAs, it is important not to be too late in starting data collection, because farmers will be busy with the actual planting and they may be unwilling or unavailable for interview. It is expected that for a typical KAP study, 1-2 weeks will be required to complete data collection. The survey designer should try to accompany each data collector for at least one trainee interview, to check that proper procedures are being followed (this will be especially important in the first year). It is particularly important to check that data collectors are interviewing the trainees selected for the sample, not substituting other trainees of their own choice. Any pressure from the training organisers to select 'good' trainees must be resisted.

Data Analysis: After all the interviews have been completed, the filled-in questionnaires should be returned to the sub-project management unit for analysis. For the Practice and Knowledge sections of the questionnaire, the results should be presented as percentages (e.g. percentage intending/not intending to implement the IGA). For the Attitude section of the questionnaire, there will be various different responses about why the trainees do not want to implement the IGA. These should be grouped according to the type of reason (e.g. shortage of labour, low price, excessive risk) and the percentage should then be calculated for the trainees giving each type of reason. Some trainees may give more than one reason; in that case all reasons should be recorded and analysed. Analysis should be completed within 1 week of receiving all the questionnaires;

Partial Knowledge and Practice: Many trainees will not remember the exact details of the IGA, but will have an approximate idea. For example, the trainee may not remember the exact seed rate or fertilizer rate for a crop-based IGA, or she/he may know them but not follow the recommendations exactly. The trainee's response should be accepted as positive if he/she is reasonably close (say, +/- 10%) to the training recommendation. Before starting the analysis, the survey designer should consult with the training services provider for the concerned IGA(s) to determine what is the acceptable margin of error for each key point of the IGA;

Reporting: After analysis, the results should be presented in a short report (usually 4-5 pages). A small table should be given showing the percentages of positive/negative responses for each question, with a brief text commenting on each result. Reporting should be completed within 2 weeks after the completion of analysis.

Results Survey: The value of the KAP findings will be increased if they are matched up with the actual results achieved by the trainees. For this purpose the KAP sample trainees can be re-visited after they have completed one production cycle (e.g. after harvest for crop-based IGAs, after sale of the first batch for fish-drying, etc.) to obtain information about their actual production levels, prices received, and any problems they encountered in implementing the IGA. This information can be used to improve the IGA technology and training methods for the following training cycle.

SAMPLE SIZE CALCULATION FOR KAP SURVEY

The following notes are not essential reading for users of KAP survey methodology, but they are included so that those concerned over the statistical validity of KAP findings can verify the basis for the sample size recommended. The principles are common to a very wide range of sample size calculations in M&E surveys, and can serve as an introduction for M&E personnel wishing to develop their skills in this direction.

The sample size for KAP survey is governed by the normal sample size equation (see, e.g., Casley, D. & Kumar, K., "The Collection, Analysis and Use of Monitoring and Evaluation Data", Johns Hopkins 1988). The equations are based on three parameters: the required precision in the survey

results, which comprises the required level of confidence and the acceptable margin of error; and the inherent variability of the population being studied.

The results from KAP surveys are all in the form of proportions (expressed as percentages), for example the proportions of trainees expressing the intention to accept/reject the IGA. In this case the form of the standard sample size equation appropriate for proportions is used:

$$n = \frac{K^2 p(1-p)}{D^2} \quad \text{Equation (1)}$$

Where:

- K = standard normal deviate for required level of confidence (obtained from statistical tables)
- p = expected proportion of responses in one category (e.g. p=0.8 = 80% intending to accept)
- D = acceptable margin of error, as a proportion (e.g. D=0.1 = margin of +/- 10 percentage points)

The required sample size increases sharply if high levels of confidence (K) and low margins of error (D) are demanded. Therefore, requirements from users of results (who normally want high confidence and low margin of error) have to be balanced against survey cost and resource availability (especially personnel). For practical project/programme management situations, a moderate level of confidence is usually adequate; 90% confidence in a 1-tailed limit (e.g. 90% confidence that *at least* x% of trainees are going to implement the IGA) is a commonly accepted standard. A margin of error of +/- 10% is likewise usually considered acceptable.

The parameter for population variability p(1-p) has a maximum value of 0.25 (0.5 x (1 - 0.5)) when the population is divided equally between the two categories and this sets the maximum for the sample size at any required level of confidence and margin of error. p=0.5 is therefore the most conservative assumption and is used unless there is strong evidence to the contrary. If the population turns out to be unequally divided (say, 80% adoption and 20% rejection as might be hoped for in an actual IGA training programme) the effect of retaining the maximum sample size is to give greater confidence and a lower margin of error.

If we substitute the relevant values of the parameters into equation (1) we get:

$$\begin{aligned} n &= \frac{1.282^2 \times 0.5(1 - 0.5)}{0.1^2} \\ &= 41 \text{ (rounded to nearest whole number)} \end{aligned}$$

that is, we require a sample of 41 trainees who have received training on the concerned IGA.

It is essential to note two things:

- i) **the sample size required is an absolute number, not a percentage of the population.** Only in special circumstances (if the population is rather small - 2000 at most) does the population size have an effect on the sample size; and
- ii) **subdividing the population does not permit subdividing the sample.** If separate results are required for male and female trainees, or for different poverty groups, or for different Zones or upazillas, the same sample size, as calculated above, is required for each subdivision.

If the number of exposed trainees per IGA in any one year (the population being sampled) will typically be in the high hundreds or low thousands, so some account can be taken of population size (see (i) above). The adjustment is called the *finite population correction* (fpc) and is calculated as follows:

$$n_c = n/(1+(n/N)) \quad \text{Equation (2)}$$

where:

- n_c = sample size adjusted for finite population effect
- n = unadjusted sample size from Equation (1)

N = population size

Assuming as an example that the population of trainees exposed to training for a given IGA is 1,000, and using the previously calculated sample size, then

$$\begin{aligned}n_c &= 41/(1+(41/1000)) \\ &= 41/(1+(0.041)) \\ &= 39.38 \text{ say } 39 \text{ to the nearest whole number}\end{aligned}$$

At this population size the effect is small, but it may be important if specialised IGAs are targeted at small numbers of trainees, resulting in small populations to be sampled. For a typical KAP survey we will be safe in setting the sample size at 40.

Where cluster samples are used to mitigate the logistical burden of surveys, they almost invariably require considerable inflation of sample size. It is assumed that a KAP survey will be conducted on a simple random sample (or an unclustered linear systematic sample) of the population of people who have been trained on a given IGA. This is a reasonable assumption when the data collection is to be conducted by district or Block level teams (e.g. NGO field staff) who each will have to interview typically only 8-12 farmers in their own immediate area. In this situation there is little benefit from clustering the sample. There is therefore no need to consider the effects of clustering on sample size.

Annex-1.8.7: TOR for Impact evaluation studies

INTRODUCTION

1. **Background:** the Integrated Livelihood Support Project (ILSP) will follow on from the Uttarakhand Livelihood Improvement Project in the Himalayas (ULIPH) which will be completed at the end of 2012. ULIPH has been implemented by Uttarakhand Gramya Vikas Samiti (UGVS), a society within the Rural Development Department, and Uttarakhand Parvthiya Ajeevika Samvardhan Company (UPASAC), a social venture capital company. ILSP will be implemented by these two agencies, along with the Watershed Management Directorate.

2. **Rationale:** the justification for ILSP is the need to stop the deterioration of the productive infrastructure, make farm labour more productive and farming more remunerative, and hence provide incentives for people to invest their time and resources in agriculture. Despite the disadvantages that agriculture faces in the hill areas, Uttarakhand does have the advantage of cooler temperatures at higher altitudes, allowing production of out of season vegetables and temperate fruits. The horticultural sector is less developed than in the other hill states, so there is considerable potential for growth, as there is in other niche products such as spices, medicinal and aromatic plants, and nuts.

3. Another area with growth potential is tourism. However more needs to be done to ensure that local people fully participate in, and benefit from, this sector. The population is well educated, but the level of youth unemployment is relatively high. Better vocational training could help such people find good quality employment in the growth sectors of the country.

4. The overall objective (goal) of ILSP will be to reduce poverty in hill districts of Uttarakhand. This would be achieved via the more immediate development objective of "enable rural households to take up sustainable livelihood opportunities integrated with the wider economy".

5. The strategy behind ILSP will be to adopt a two pronged approach to building livelihoods in hill districts. The first of these is to support and develop the food production systems which remain the main means of support for most households. The second main thrust of the project is to generate cash incomes via the introduction and expansion of cash crops. These would be grown on a significant scale for markets outside of the state. ILSP will also support non-farm livelihoods, especially community involvement in rural tourism, and vocational training.

6. Component 1: Food security and livelihood enhancement implemented by UGVS, will support crop and livestock production for food security, and develop higher value cash crops and other products (such as rural tourism) to provide cash incomes. Crop and livestock production will be developed via support to Producer Groups (PG) and higher level organisations (Livelihood Collectives - LC) formed by a number of PGs. To up-scale enterprises generating cash incomes, and to introduce new income sources. ILSP will also improve access to markets through a value chain approach and the provision of physical infrastructure for market access. The value chain approach involves market/sub-sector studies, introduction of new technologies, market linkage, skill development, product development and promotion, physical infrastructure for market access. These activities will cover 93,000 households in 17 blocks in five districts. The project will also improve access to employment in the non-farm sector by supporting vocational training linked to job placement.

7. Component 2: Participatory Watershed Development implemented by the Watershed Management Directorate (WMD), will use processes that have been established through a series of watershed development projects in the state, but with an increased focus on food security, livelihoods and market linkages. It will protect and improve the productive potential of the natural resources in selected watersheds along with increasing household income through inclusive and sustainable approaches. The component would cover a total of 41 micro-watershed (MWS) covering an area of about 64,744 ha in six clusters in six districts, with a population of about 39,000 households. It will complement the ongoing watershed development programme funded by the World Bank and GoI, and takes into account availability of required WMD institutional capacity in the selected project districts.

8. Component 3: Livelihood financing implemented by UPASAC. Despite making significant strides in financial viability, banks have not been able to provide significant numbers of poor households with basic financial services. The activities under this component include:

- k) Banking support – capacity building, expansion of branches of SKGFS,
- l) Risk management – piloting and scaling up of insurance services,
- m) Financial inclusion initiatives – training to LC to be bank agents, product literacy training,
- n) Provision of development finance via UPASAC including loan and quasi equity funding
- o) Establishment cost support to UPASAC.

9. Component 4: Project coordination and monitoring: Each executing agency, UGVS, WMD and UPASAC, will have their own project management units headed by a Project Director or Chief Executive. To provide overall coordination, the state nodal agency, RDD, will set up a Central Project Coordination Unit (CPCU) within the RDD, headed by a part time Chief Project Director (CPD). The CPCU will have two Units: (i) Finance Unit; and (ii) Planning and M&E Unit. The Finance Unit will be located within RDD whereas the M&E Unit will be housed within UGVS.

10. Coordination: The Rural Development Department (RDD) will be the nodal agency at the state level. A Central Project Coordination Unit (CPCU) within the RDD. A state level Project Steering Committee (PSC) would be chaired by the Forest and Rural Development Commissioner (FRDC). The PSC will establish a Project Management Committee (PMC) chaired by the Secretary of RDD.

11. Convergence: the National Rural Livelihoods Mission (NRLM) will start operations in 2012 and will be responsible for forming and supporting SHGs. ILSP will provide complementary support for livelihoods for SHG members, many of whom will also join PGs. Producers supported by ILSP will be expected to receive support from other government programmes and from formal financial institutions. ILSP will also implement livelihood enhancement activities in blocks selected for watershed development by the Integrated Watershed Management Programme (IWMP), a centrally sponsored scheme.

OBJECTIVES OF IMPACT EVALUATION

12. The objective of impact evaluation is to measurement of the degree to which the project has achieved its overall goal of poverty reduction. It is hoped that the impact evaluation will lead to an understanding of the extent to which project outputs have resulted in improved livelihoods, and in turn how these better livelihoods have reduced poverty. As well as quantifying benefits and estimating the degree to which such changes can be attributed to project interventions, the survey would investigate issues of equity and the degree to which women and disadvantaged households have been able to participate in the project and benefit from project outputs.

APPROACH TO DATA COLLECTION

13. The approach of the study will be to carry out household sample surveys baseline, mid-term and end-of-project. These surveys will be supported by the collection of qualitative information on project impact.

14. The sample will be designed in such a way as to produce separate estimates for indicators of UGVS (component 1) and WMD (component 2) households. There will also be a control group of households who are not directly involved in the project. There may need to be two control groups, one for WMD and one for UGVS. Households in the project micro-watersheds may need to be divided into two samples if there are significant numbers of households within project watersheds who are not members of project groups (PG and VPG). The sample design should allow for before and after project, and with and without project comparisons.

15. The sample should be both stratified and clustered. Stratification would ensure that the selected sample is spread over the project area and represents different agro-ecological zones. Clustering would reduce logistical and data collection costs by first selecting a sample of project groups or villages and then selecting a sample of households in the selected groups/villages.

16. The total size of the sample, allowing for the effect of clustering, should be of sufficient size so as to produce reliable (at least 90% confidence interval) and precise (no more than +/- 10%) measurements of indicators for each domain of investigation (UGVS, WMD and control).

Table 1: Indicators for sample survey

Level of assessment	Indicators	Data to be collected
Profile	Household demography	Gender, age, education, literacy, occupation of household members Children of school age attending school
	Location	Village, ward, block, GPS coordinate, mobile phone number
	Socio-economic status	Caste, BPL, project wealth ranking
Impact	Child anthropometry	Age, weight, height, gender of children aged under 5 years.
	Food security and quality of diet	Length of period of food shortage Other indicators of food security and quality of diet.
	Housing quality	Roof, floor and wall material, number of rooms
	Water and sanitation	Source and time/ distance to domestic water supply Type and location of latrine
	Energy	Main fuel used for cooking Electricity supply
	Income	Average cash expenditure per month Average value of home grown foods consumed
	Assets	Ownership of a list of household assets
	Women's empowerment	Asset ownership, mobility, role in decision making, earning own income etc.
Outcomes	Land	Land ownership and land tenure Land use (area cultivated, homestead etc.) Area of irrigated land, area actually irrigated, type of irrigation system, source of water Ownership of farm equipment
	Crop production	Food crops area, yield and output Food self-sufficiency: months supplied from own production Cash/high value crops – types, yield and area Sales of crops Adoption of improved technologies
	Livestock numbers	Cattle, buffalo, goats, sheep, poultry, equines Milk yield, calving interval Sales of milk, poultry etc. Adoption of improved technologies
	Employment	Number of adults earning income Type of employment
	Trees	Number of fodder, nut and fruit trees Production and sales Adoption of improved technologies
	Other products	NTPF, honey
	Micro-enterprises	Type of enterprise, date established, sales, employment
	Watershed condition	Opinions regarding change in biomass, water availability, soil erosion
	Outputs	Membership of project groups
Membership of other groups		Type of group, date joined
Capacity building		Training courses attended, usefulness
Financial services		Sources, savings, loans, insurance
Livelihood Collective/Federation		Services utilized
Agricultural support services		Use of paravets, government agencies, NGOs, private sector
Marketing channels		Channels used to sell produce

17. Table 1 has a provisional list of indicators to be measured in the sample survey. These include all the indicators in IFAD's standard RIMS impact indicator survey, which are needed to generate information that can be compared with other IFAD projects. Other indicators relate to the project logframe. These indicators will need to be reviewed and refined in order to draft a questionnaire. It may be desirable to drop some of the indicators in order to keep the questionnaire within a manageable length, but data on such indicators may well be available from other sources, such as Annual Outcome Surveys.

18. Alongside the sample survey, the contracted agency will also carry out some case studies and focus group discussions to collect qualitative data. This would particularly cover issues such as

women's empowerment, where it may be difficult to get useful data from a formal questionnaire. Informal data gathering would also aim to provide an understanding of the processes behind the changes observed in the sample survey.

SURVEY IMPLEMENTATION

19. This work would be contracted out in a single package covering all three rounds of the survey (baseline, mid-term, end of project), to an agency with qualifications and experience in this type of socio-economic and anthropometric survey. Implementation of each round of the survey will involve the following steps:

- (i) An initial rapid assessment of the project area to finalise indicators and sample design
- (ii) An inception report describing the proposed approach, data collection tools and schedule of work. This report will be discussed with project management and reviewed by IFAD before proceeding further.
- (iii) The sample survey itself, including questionnaire development, enumerator training, data gathering, data quality control, data entry, data analysis (including statistical tests), reporting and interpretation of results. It may help to analyse results from the first 100 questionnaires to check that useful and reliable results are being obtained, before proceeding with the rest of the survey. The initial findings and data analysis will be shared with the project and with IFAD, and priority data needs for follow-up investigations identified.
- (iv) Follow-up investigations using qualitative measures such as wealth ranking, case studies and focus group discussions.
- (v) Preparation of the draft report and submission of this report to the project and to IFAD
- (vi) Workshop with project stakeholders to discuss findings
- (vii) Preparation of the final report incorporating comments from stakeholder and IFAD.

20. Project field offices would assist the survey team with information on project working areas and project activities. They would also provide lists of project groups and names of group members, and would help in locating sample households. However all logistical arrangements would be the responsibility of the survey agency.

21. An electronic version of full survey data set, along with the original questionnaires, would be supplied to the project. Survey data and reports will remain the property of ILSP.

PROCUREMENT OF SURVEY AGENCY

22. Procurement processes would follow the Uttarakhand Procurement Rules 2008 and IFAD Procurement Guidelines.

23. Interested agencies would be invited to submit their qualifications and experience, including examples of similar studies that they have carried out in the past. Based on this information, a short list of qualified bidders would be drawn up, these agencies invited to make a technical and financial proposal.

24. The technical proposal should include details of the proposed sample size and design, and also specify the number of follow-up focus group discussions, case studies etc to be carried out. The number of people involved would also be mentioned (with c.v's of professional staff), their proposed time inputs and the total time required for each round of the survey. The proposal would also include an outline of proposed data analysis and proposed contents of the study report.

25. Final selection of the contracted agency would use "Quality and Cost Based Selection" with a weighting of 80% on quality and 20% on cost.

Annex-1.8.8: Indicators for the Annual Outcome Survey

Section A - Identification

- % female/male headed HHs
- Average size of HH

Section B - Livelihoods

- % HHs for which agriculture is main source of income
- Average number of sources of income
- % of HH with income from migration or other remittances/pensions

Section C – Income and Food Security

- % HHs reporting food shortages (not able to provide 3 meals/day?)
- Average duration of food shortage
- % HHs reporting an increase/decrease in food security over the past 12 months
- Average monthly HH expenditure
- % HHs reporting an increase/decrease in income over the past 12 months
- Why increase or decrease (qualitative)

Section D – Land Tenure

- % of HHs who own productive land
- Average size of productive land
- % of HHs who have other property rights on other land, and type of land

Section E – Participation in project activities

- % of HHs who have heard about project
- % of HHs who participate in project activities (membership of project groups)
- % of HHs who are very/moderately/not satisfied about project activities

Section F – Agricultural Production

- % of HHs who cultivate land, and area cultivated
- % of HHs who grow high value crops, and area of these crops
- % of HHs using irrigation systems and area irrigated
- % of HH with different types of livestock and numbers of these livestock.
- % of HHs reporting increase/decrease in crop productivity/crop area/high value crop area/irrigation area/herd size
- Size of the increase
- % of HHs reporting that the increase is related to project activities
- Reason for change (qualitative)

Section G - Markets

- % of HHs with cash income from sales of crops, high value produce and livestock.
- % of HHs reporting an increased cash income
- Reason for this increase (qualitative)
- % of HHs with contract for selling production, and % selling via project group
- % of HHs satisfied/not satisfied with the conditions of contract
- Why? (qualitative)

Section H – Rural Financial Services

- % of HHs using credit during last 12 months, per type of credit ans source
- Intended use of the credit
- % of HHs considering that access to credit has improved/deteriorated
- Reasons for improvement or deterioration

Section I – Enterprise Development and Employment

- % of HHs who got a new paid job during the last 12 months
- Type of job
- % of these HHs who consider this is related to project activities

Annex-1.8.9: RIMS reporting Table for ILSP

Results category	Indicator	Level	Unit	Actual for year						Cumulative to date
				FY 2012/3	FY2013/4	FY2014/5	FY2015/6	FY2016/7	FY2017/8	
Impact	Weight for age - % z score under s SD	Impact	%G, %B							
	Height for age - % z score under s SD	Impact	%G, %B							
	Weight for height - % z score under s SD	Impact	%G, %B							
	Households with improved food security	Impact	number							
Outreach	Total men & women	First	Number							
	Total – women	First	Number							
	Total - men	First	Number							
Agricultural Technology	People trained in crop production technology	First	Number							
	People trained in livestock production technology	First	Number							
	Effectiveness – improved production	Second	Rating							
	Farmers adopting recommended technologies	Second	Number							
	Farmers report yield increase	Second	Number							
	Farmers report herd size increase	Second	Number							
Markets	Farmers report production increase	Second	Number							
	Roads constructed / rehabilitated	First	Km							
	Market, storage, processing facilities constructed and/or rehabilitated	First	Number							
	Marketing groups formed and/or strengthened	First	Number							
	People in marketing groups	First	Number							
	Marketing groups with women in leadership positions	First	Number							
	Effectiveness – producers benefitted from improved market access	Second	Rating							
	People reporting increase in sales of products	Second	Number							
	Sustainability of infrastructure	Second	Rating							
	Number of functioning infrastructure	Second	Number							
Enterprise development & employment	Groups operational/functional	Second	Number							
	People trained in IGA	First	Number							
	People receiving vocational training	First	Number							
Natural Resources	Number of enterprises accessing facilitated financial services	First	Number							
	People trained in NRM (m/f)	First	Number							
	Groups involved in NRM strengthened	First	Number							
	Environmental management plan formulated	First	Number							
	Groups managing infrastructure formed	First	Number							
	People in infrastructure groups	First	Number							
	Land under irrigation systems constructed	First	Ha							
	Rainwater harvesting schemes constructed	First	Number							

Results category	Indicator	Level	Unit	Actual for year						Cumulative to date
				FY 2012/3	FY2013/4	FY2014/5	FY2015/6	FY2016/7	FY2017/8	
	Area of land under soil/water conservation	First	Number							
	Sustainability of groups managing infrastructure	Second	Rating							
	Number of groups functioning	Second	Number							
	Effectiveness of productive infrastructure	Second	Rating							
	Farmers with secure access to water	Second	number							
	Incremental area of irrigated crops grown	Second	Ha							
Rural	Voluntary savers	First	number							
Financial	Active borrowers	First	number							
services	Value of gross loan portfolio	First	number							
	Sustainability of financial institutions	Second	Rating							
	Portfolio at risk	Second	%							
	Operational self-sufficiency	Second	%							
	Operating expenses ratio	Second	Ratio							

Second level indicators are ratings for each component of sustainability and effectiveness. These ratings should be supported by evidence using specific indicators of project outcomes. Additional indicators of outcomes can be used to support these ratings of sustainability and effectiveness. More details on RIMS indicators and RIMS reporting are in the RIMS Handbook, November 2007

SOURCES OF DATA FOR RIMS INDICATORS

Results category	Indicator	Level	Unit	ILSP components	Means of data collection	Comments
Impact	Weight for age - % with z score under 2SD	Impact	%G, %B	1 & 2	Impact survey	Children under 5 years old from sample of group member HHs (PG & VPG)
	Height for age - % with z score under 2SD	Impact	%G, %B	1 & 2	Impact survey	
	Weight for height - % with z score under 2SD	Impact	%G, %B	1 & 2	Impact survey	
	Households with improved food security	Impact	number	1 & 2	AOS	
Outreach	Total men & women	First	Number	1 & 2	Progress reports	Members of PG and VPG plus other HH involved in vocational training, action research and clients of new KGFS benches
	Total – women	First	Number	1 & 2		
	Total – men	First	Number	1 & 2		
Agricultural Technology	People trained in crop production technology	First	Number	1 & 2	Progress reports	
	People trained in livestock production technology	First	Number	1 & 2		
	Effectiveness – improved production	Second	Rating	1 & 2	Annual Outcome Surveys	
	Farmers adopting recommended technologies	Second	Number	1 & 2		
	Farmers report yield increase	Second	Number	1 & 2		
	Farmers report herd size increase	Second	Number	1 & 2		
Markets	Farmers report production increase	Second	Number	1 & 2	Progress reports	Trails constructed for market access Collection centres
	Roads constructed / rehabilitated	First	Km	1 & 2		
	Market, storage, processing facilities constructed and/or rehabilitated	First	Number	1 & 2		
	Marketing groups formed and/or strengthened	First	Number	1 & 2		Marketing groups are taken to be Livelihood Collectives

Results category	Indicator	Level	Unit	ILSP components	Means of data collection	Comments
	People in marketing groups	First	Number	1 & 2		
	Marketing groups with women in leadership positions	First	Number	1 & 2		
	Effectiveness – producers benefitted from improved market access	Second	Rating			
	People reporting increase in sales of products	Second	Number	1 & 2	AOS	Can also report on use of improved marketing channels
	Sustainability of infrastructure	Second	Rating			
	Number of functioning infrastructure	Second	Number	1 & 2	Progress reports	
	Groups operational/functional	Second	Number	1 & 2	or AOS	Livelihood Collective rating system will show if functional
Enterprise development & employment	People trained in IGA	First	Number	1 & 2	Progress reports	
	People receiving vocational training	First	Number	1	Progress reports	Effectiveness indicator could be graduates obtaining good jobs
	Number of enterprises accessing facilitated financial services	First	Number	3	Progress reports	Effectiveness indicator could be no of enterprises reporting increase in sales and size of this growth in sales.
Natural Resources	People trained in NRM (m/f)	First	Number	2	Progress reports	NRM groups are taken to be Water and Watershed Management Committees
	Groups involved in NRM strengthened	First	Number	2		
	Environmental management plan formulated	First	Number	2	Progress reports	Watershed development plan of the GP
	Groups managing infrastructure formed	First	Number	1 & 2	Progress reports	User groups for water and other productive infrastructure
	People in infrastructure groups	First	Number	1 & 2		
	Land under irrigation systems constructed	First	Ha	1 & 2	Progress reports	Includes schemes in both components 1 and 2
	Rainwater harvesting schemes constructed	First	Number	1 & 2		
	Area of land under improved management	First	Number	2	Progress reports	Area of land in project micro-watersheds
	Sustainability of groups managing infrastructure	Second	Rating			
	Number of groups functioning	Second	Number	1 & 2	Progress reports	User groups for water and other productive infrastructure
	Effectiveness of productive infrastructure	Second	Rating			
	Farmers with secure access to water	Second	number	1 & 2	AOS	Number of farmers reporting increase in water supply
	Incremental area of irrigated crops grown	Second	Ha	1 & 2	AOS	Number of farmers reporting increase in irrigated crops & area of crops
Rural Financial services	Voluntary savers	First	number	3	KGFS reports	Reports for 20 new KGFS branches supported by ILSP
	Active borrowers	First	number	3	KGFS reports	
	Value of gross loan portfolio	First	number	3	KGFS reports	
	Sustainability of financial institutions	Second	Rating			
	Portfolio at risk	Second	%	3	KGFS reports	
	Operational self-sufficiency	Second	%	3	KGFS reports	
	Operating expenses ratio	Second	Ratio	3	KGFS reports	

Annex-1.8.10: ILSP Knowledge Management Strategy

