



Global Environment Facility

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May 12, 2009

Dear Council Member,

I am writing to notify you that we have today posted on the GEF's website at www.TheGEF.org, a medium-sized project proposal from World Bank entitled ***India: SLEM/CPP - Institutional Coordination, Policy Outreach and M & E Project under the India: Sustainable Land and Ecosystem Management Partnership***, to be funded under the GEF Trust Fund (GEFTF).

The objective of the project is to enhance the institutional and policy framework for harmonization, coordination and monitoring of interventions in agricultural and natural resource management strategies that promote sustainable land management and enhance agricultural productivity while minimizing environmental impacts.

The project proposal is being posted for your review. We would welcome any comments you may wish to provide by May 27, 2009, in accordance with the new procedures approved by the Council. You may send your comments to gcoordination@TheGEF.org.

If you do not have access to the Web, you may request the local field office of the World Bank or UNDP to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

Copy to:

Country Operational Focal Point, GEF Agencies, STAP, Trustee



REQUEST FOR CEO ENDORSEMENT/APPROVAL
PROJECT TYPE: Medium-sized Project
THE GEF TRUST FUND

Submission Date: April 2009
Re-submission Date: April 30, 2009

PART I: PROJECT INFORMATION

GEFSEC PROJECT ID: 3468

GEF AGENCY PROJECT ID: P112844

COUNTRY(IES): India

PROJECT TITLE: Policy and Institutional Reform for Mainstreaming and Upscaling Sustainable Land and Ecosystem Management in India

GEF AGENCY(IES): World Bank

OTHER EXECUTING PARTNER(S): India, Ministry of Environment and Forest

GEF FOCAL AREA(S): Land Degradation

GEF-4 STRATEGIC PROGRAM(S): Land Degradation SP1 and 2

NAME OF PARENT PROGRAM/UMBRELLA PROJECT: SUSTAINABLE LAND AND ECOSYSTEM MANAGEMENT (SLEM) PARTNERSHIP PROGRAM

| Expected Calendar | |
|------------------------------|-----------|
| Milestones | Dates |
| Work Program (for MSP) | Sept 2008 |
| GEF Agency Approval | May 2009 |
| Implementation Start | July 2009 |
| Mid-term Review (if planned) | Jan 2011 |
| Implementation Completion | Jul 2012 |

A. PROJECT FRAMEWORK (Expand table as necessary)

Project Objective: Enhance the institutional and policy framework for harmonization, coordination and monitoring of interventions in agricultural and natural resource management strategies that promote sustainable land management and enhance agricultural productivity while minimizing environmental impacts

| Project Components | Indicate whether Investment, TA, or STA** | Expected Outcomes | Expected Outputs | GEF Financing* | | Co-financing* | | Total (\$) |
|---|---|---|---|----------------|----|---------------|----|------------|
| | | | | (\$) | % | (\$) | % | |
| 1. Institutional and Policy Mainstreaming | TA | A mechanism in place for policy and institutional coordination in order to facilitate implementation and monitoring of policy and institutional change. Analytical baseline for harmonization of SLEM policy Enabling environment | 1. Inter institutional mechanism for SLEM policy coordination with participation of MoA, MRD, MOEF and other key GOI agencies in place by end of year 1 2. Road Map for Policy and Institutional harmonization developed and government endorsed by year 2 | 233,094 | 49 | 243,700 | 51 | 476,794 |

| | | | | | | | | |
|--|----|---|---|---------|----|---------|----|---------|
| | | <p>for SLEM policy and institutional harmonization</p> <p>SLEM Strategies and policies mainstreamed into sectoral policies and management plans</p> | <p>3. Technical instruments to monitor progress towards achievement of policy and institutional outcomes in place within the first year of operation</p> <p>4. Meetings of National Steering Committee take place twice a year</p> <p>5. At least 2 to 3 SLEM policies or strategies integrated into national or state level sectoral policies</p> | | | | | |
| 2. Outreach and Knowledge management for Scaling up of Sustainable Land Management Solutions | TA | <p>SLEM-CPP Communication s Strategy developed and implemented</p> <p>Technical and socio-economic solutions for SLEM inventoried</p> <p>Consistent collection of learning, knowledge and experiences on SLEM approaches and impacts at national and state levels</p> <p>Dissemination of knowledge and learning throughout India</p> | <p>1. Information data base established by end of year 2</p> <p>2. At least two additional states participating in the program with specific projects by the end of the project period</p> <p>3. At least five additional non-governmental organizations engaged in projects under the program and promoting SLEM principles by the end of the project period</p> <p>3. At least two additional</p> | 215,806 | 38 | 348,664 | 62 | 564,470 |

| | | | | | | | | |
|---|----|---|---|----------------|-----|------------------|----|------------------|
| | | | <p>multilateral agencies that have agreed to participate in the program at the end of year three</p> <p>4. Innovative communication and dissemination strategy developed in year one</p> | | | | | |
| 3. Partnership Program Management and M&E | TA | <p>Office in place for coordination, Mainstreaming and Upscaling SLEM good practices</p> <p>M&E system in place to monitor the effectiveness of the SLEM program for ensuring the harmonization and coordination</p> <p>M&E system in place for monitoring the outcomes of the SLEM approaches, policies and strategies at national, state and local levels</p> | <p>1. SLEM CPP Operational Manual in place and adopted by the National Steering Committee at the start of SLEM CPP implementation</p> <p>2. Baseline study and indicators for SLEM at national, state, and local levels finalized by year two</p> <p>3. A Program Level M&E system with monitoring parameters to measure SLEM programmatic outcomes and implementation constraints developed within the first year of operation</p> | 468,307 | 53 | 412,347 | 47 | 880,654 |
| 4. Contingency*** | | | | 64,204 | 100 | - | 0 | 64,204 |
| Total Project Costs | | | | 981,411 | | 1,004,711 | | 1,986,122 |

* List the \$ by project components. The percentage is the share of GEF and Co-financing respectively to the total amount for the component. ** TA = Technical Assistance; STA = Scientific & technical analysis. *** Contingencies of 7% for price and physical fluctuations included during appraisal (March 26, 2009)

B. FINANCING PLAN SUMMARY FOR THE PROJECT (\$)

| | <i>Project Preparation*</i> | <i>Project</i> | <i>Agency Fee</i> | <i>Total at CEO Endorsement</i> | <i>For the record: Total at PIF</i> |
|--------------|-----------------------------|----------------|-------------------|---------------------------------|-------------------------------------|
| GEF | | 981,411 | 98,141 | 1,079,552 | 1,089,000 |
| Co-financing | | 1,004,711 | | 1,004,711 | 901,000 |
| Total | | 1,986,122 | 98,141 | 2,084,263 | 1,990,000 |

* Please include the previously approved PDFs and PPG, if any. Indicate the amount already approved as footnote here and if the GEF funding is from GEF-3. Provide the status of implementation and use of fund for the project preparation grant in Annex D.

C. SOURCES OF CONFIRMED CO-FINANCING, INCLUDING co-financing for project preparation for both the PDFs and PPG.

(expand the table line items as necessary)

| <i>Name of co-financier (source)</i> | <i>Classification</i> | <i>Type</i> | <i>Amount (\$)</i> | <i>%*</i> |
|--------------------------------------|-----------------------|-------------|--------------------|-----------|
| Project Government Contribution | In-kind | | 1,004,711 | 100 |
| | (select) | (select) | | |
| | (select) | (select) | | |
| | (select) | (select) | | |
| | (select) | (select) | | |
| | (select) | (select) | | |
| Total Co-financing | | | 1,004,711 | 100 |

* Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

D. GEF RESOURCES REQUESTED BY FOCAL AREA(S), AGENCY(IES) OR COUNTRY(IES)

| <i>GEF Agency</i> | <i>Focal Area</i> | <i>Country Name/ Global</i> | <i>(in \$)</i> | | | |
|----------------------------|-------------------|-----------------------------|----------------------------|----------------|-------------------|--------------|
| | | | <i>Project Preparation</i> | <i>Project</i> | <i>Agency Fee</i> | <i>Total</i> |
| | | | | | | |
| | | | | | | |
| (select) | (select) | | | | | |
| (select) | (select) | | | | | |
| (select) | (select) | | | | | |
| (select) | (select) | | | | | |
| Total GEF Resources | | | | | | |

* No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

E. PROJECT MANAGEMENT BUDGET/COST

| <i>Cost Items</i> | <i>Total Estimated person weeks</i> | <i>GEF (\$)</i> | <i>Other sources (\$)</i> | <i>Project total (\$)</i> |
|---|-------------------------------------|-----------------|---------------------------|---------------------------|
| <i>Local consultants*</i> | 553 | 59,929 | 382,546 | 442,475 |
| <i>International consultants*</i> | | | | |
| <i>Office facilities, equipment, vehicles and communications**</i> | | 69,220 | 58,300 | 127,520 |
| <i>Travel</i> The travel budget includes 110 visits to all parts of the country over a 3 year period with each trip including 3 persons for duration of five days. | | 201,383 | | 201,383 |
| Total | | 330,532 | 440,846 | 771,378 |

* Provide detailed information regarding the consultants in Annex C.

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

| <i>Component</i> | <i>Estimated person weeks</i> | <i>GEF(\$)</i> | <i>Other sources (\$)</i> | <i>Project total (\$)</i> |
|-----------------------------------|-------------------------------|----------------|---------------------------|---------------------------|
| <i>Local consultants*</i> | 944 | 200,336 | 563,030 | 763,366 |
| <i>International consultants*</i> | 0 | 0 | 0 | 0 |
| Total | 944 | 200,336 | 563,030 | 763,366 |

* Provide detailed information regarding the consultants in Annex C.

G. BUDGETED M&E PLAN:

M&E will be conducted on two levels. The first level is to monitor and evaluate the effectiveness of the framework developed under the project for the harmonization and coordination mechanism for mainstreaming SLEM approaches into national and state level policies and strategies. The second level of the M&E system is to determine whether the interventions of partners under SLEM-CPP are achieving the national, state and local level goals for SLEM. This M&E will also include areas that are not specific to our project sites to monitor the status of SLEM on a broader scope. This project will not monitor any project specific activities of the partner projects under SLEM-CPP.

The M&E includes establishing and operation of program M&E computerized system and data management, maintaining website etc. The M&E work will be led by an M&E specialist and include the following key components: (i) detailed design of the M&E format taking into account of parameters developed by GEF; (ii) training of concerned officials at ICFRE in coordination with project M&E plans; (iii) implementation of M&E function; (iv) feedback through visits to SLEM projects and other sites; (v) inputs from MoEF and SLEM CPP National Steering Committee; (vi) revision and fine tuning of M&E framework as per feedback; (vii) establishment of institutional mechanism to assess and promote participation of more organizations in the SLEM Partnership.

M&E system for effectiveness of SLEM at national, state and local levels: Each project in the SLEM-CPP has its own M&E plan. The M&E function at program level will be the responsibility of this “Policy and Institutional Reform for Mainstreaming and Upscaling SLEM in India” project. Program level progress indicators will be defined on the basis of the results from the baseline study to be launched at the inception of the project as described in Part III B. The M&E parameters will include GEF specific indicators such as those under development in the GEF Inter Agency Working Group entitled “Ensuring Impacts from SLM – Development of a Global Indicator System”, i.e. land productivity, land use, water availability, rural poverty and total ecosystem carbon. This will also take into account the UNCCD National Action Plans. This will be done to ensure that the latest approaches and indicators are used to measure progress in terms of reaching global and local environmental benefits. The programmatic M&E function will be designed to allow corrective actions to be taken during program implementation as well as for the identification of critical factors to scale-up successful results and experiences. Monitoring at program level will form the basis for the outreach, knowledge base, mainstreaming and upscaling of successful policy initiatives and SLEM actions on-the-ground. Indicators will monitor the extent sectoral policies include measures to conserve and sustainably use biodiversity, as measured through the GEF tracking tool. With regard to adaptation to climate change, indicators measuring (directly or indirectly) a decrease in the vulnerability of local populations and ecosystems to climate change impact will be defined. Possibilities of measuring selected indicators either through national databases and/or through databases available at international level and in particular through FAO will be taken into consideration.

By combining the results of the M&E functions for each component project of the SLEM-CPP with those specific to the Mainstreaming and Upscaling project, there will be a broader base upon which to measure achievements in relation to generating the global and local environmental benefits established for the entire Program. Apart from analysis of periodic reports to be provided by various project authorities, emphasis has also been laid on regular visits to different project areas for monitoring the progress and other sites around the nation for documenting the best practices in the field. For this purpose, provision has been made for 110 visits to these areas over a three year period by specialists including consultants engaged under this project. The 12 institutes and centers of ICFRE (see further below) that are located in India’s bio-geographical zones will be engaged in the M&E work at program level.

PART II: PROJECT JUSTIFICATION

A. PROJECT RATIONALE AND THE EXPECTED MEASURABLE GLOBAL ENVIRONMENTAL BENEFITS:

In November 2007 GEF Council approved the Sustainable Land and Ecosystem Country Partnership Program (GEFSEC Project ID 3268). As highlighted in the SLEM-CPP PIF, the essence of the SLEM CPP is to apply a multi-sectoral approach to land management, biodiversity conservation and climate change/adaptation issues in several states of India. In order to do so, a number of organizations representing different capacities related to the issues at hand will participate in the program. These will include government

organizations at union and state levels, non-governmental and civil society organizations. The donor community as stakeholders in the SLEM program will also be important partners. Accordingly, the SLEM CPP is conceived as a multi-stakeholder project which will support adoption and implementation of sustainable land and ecosystem management. The complexity of the program requires significant efforts at multiple institutional levels in order to achieve the planned results, and secure scaling-up of successful results. The Policy and Institutional Reform for Mainstreaming and Upscaling SLEM in India Project (hereinafter called the Mainstreaming and Upscaling Project) is proposed under the Country Partnership Program as the vehicle to meet these requirements. This medium size project will establish a dedicated management function for the program and capacity to generate the maximum benefits from the multi-sectoral and multi-partner approach of the SLEM CPP. Coordination between all stakeholders will be ensured so that each partner's comparative advantage is fully employed and program activities are well coordinated and monitored. The sharing of lessons learned and emerging results tracked by M&E mechanism will be an integral part of each project and the Program through the Mainstreaming and Upscaling Project. The M&E functions will form the basis for the outreach, knowledge base, mainstreaming and scaling-up of successful policy initiatives and SLEM actions on-the-ground.

Global and local benefits with regard to land degradation are closely interlinked as stated by GEF in the goal for the Land Degradation focal area. Global environmental benefits will be achieved while simultaneously supporting local and national social and economic development. With this understanding the Land Degradation Focal Area will focus on maintaining the integrity of watersheds and landscapes, increasing vegetative cover through agro-forestry, reforestation and afforestation and through ensuring sustainable extraction practices of natural resources. An overall decreasing trend in land degradation is expected as well as an improved protection of ecosystem functions and processes resulting in an increase in carbon stocks in the soil as well as in the vegetative cover.

The expected global benefits with regard to biodiversity will be obtained both in terms of ecosystem components and services. Through enhanced conservation and sustainable use of biodiversity incorporated in the productive landscape, global benefits will in particular be related to agro-biodiversity and be obtained through agro-ecosystems managed as habitats for indigenous species and through sustainable management of vulnerable habitats such as wetlands, drylands and mountains.

Through the integration of climate variability and change as a factor in the planning and implementation of SLEM, the global benefits (as well as local benefits) will be better safeguarded against climate factors.

Synergies created between the three focal areas will further enhance the possibility of reaching the global benefits for each individual focal area along the principle that the total will become greater than the sum of its parts.

B. CONSISTENCY OF THE PROJECT WITH NATIONAL PRIORITIES/PLANS:

As indicated in the Council approval of India Sustainable Land and Ecosystem Country Partnership Program (GEFSEC Project ID 3268), the program is firmly based in the

analysis and recommendations presented in the key policy documents related to land degradation, biodiversity conservation and adaptation to climate change. UNCCD-NAP as well as in the National Environmental Program and the Initial National Communication to UNFCCC, all points to the fact that there is little scope for expansion of the cultivable area as a response to overcoming India's poverty. Such a policy would only aggravate the already severe land degradation problem with its accompanying loss of biodiversity. The country's rising demand for food and environmental sustainability will, therefore, have to be met through increasing the productivity and sustainability of the 65 percent of land that is rain-fed and the 35 percent under irrigation. There are significant opportunities for improving land management practices in order to improve productivity and reduce land degradation. Profitable and sustainable land use and ecosystem practices can thus be the principal means for protecting India's significant environmental assets and alleviating poverty in the largest and poorest segments of Indian society. Given this background, the Eleventh Five Year Plan of the Government has placed high priority on raising agricultural productivity to achieve an annual agricultural growth of more than 4.1 percent. The XI Plan acknowledges that this goal cannot be achieved with the ongoing shrinking and degradation of the country's natural resources, and therefore, stresses upon conservation, harnessing and developing of natural resources. The plan further acknowledges that in order to be effective, sustainable land and ecosystem management should send a clear message to stakeholders that the same contributes directly to poverty reduction at household and community levels, in addition to maintaining land quality and ecosystem integrity. This will require bold actions from policy makers to move away from existing inefficient use of land and water resources, including ground water mining. Recognizing the additional challenges resulting from current climate variability, and expected extreme climate conditions, agricultural systems will need adjustment. References are also made to a number of sectoral policies and legislative acts related to water management, land use, forest and forestry, common property, conservation and development, livestock and agriculture. State Government policy and legislation are also designed to support the sustainable land use agenda.

C. CONSISTENCY OF THE PROJECT WITH GEF STRATEGIES AND STRATEGIC PROGRAMS:

The consistency between the SLEM CPP and GEF Strategies and Strategic Programs has been explained in the SLEM program concept document (PIF, GEF Project ID: 3268). In its strategy for the land degradation focal area, GEF has emphasized that land degradation is not only a global environment but also a development issue. The strategy further states that the purpose of the LD FA is to foster system-wide change to control the increasing severity and extent of land degradation in order to derive global environmental benefits. In order to bring about a system-wide approach and to generate the substantial resources that will be required to have an impact on the sustainable land management agenda, GEF also introduced the country program approach. This approach applies a landscape approach and seeks to include all actors with a responsibility for various aspects of land use and ensure that progress is made on all fronts in parallel as experience has demonstrated that a piecemeal approach is not effective. Policies and practices conducive

to sustainable land management will have to be pursued simultaneously as stated in the LD FA strategy.

In the case of the SLEM program, the multi-sectoral approach to combating land degradation also takes account of the need to conserve biodiversity and consider the implications of climate variability and change, as additional factors that need to be considered to arrive at sustainable solutions. The SLEM will primarily contribute to reaching the expected long-term impacts of Strategic Objective 2 and mainly through Strategic Program 4 "Strengthening the Policy and Regulatory Framework for Mainstreaming Biodiversity". Strategic Program 5 "Fostering Markets for Biodiversity Goods and Services" will also be consistent with SLEM as the concept of payment for ecosystem services will be pursued through linking ecosystem services such as water regulation and protection of pollinating insects to agricultural land and commons. With regard to the adaptation to climate change, SLEM is consistent with the Pilot on Adaptation (SPA) in that it will give priority to integrating climate change risk management into sustainable land management planning but also in adapting production systems to better cope with climate variability and change.

The SLEM program responds to the strategies and strategic programs of GEF and it also builds on the operational approach that GEF has piloted (country program approach) to ensure effective and efficient planning, implementation, mainstreaming and upscaling of successful SLEM innovations.

D. COORDINATION WITH OTHER RELATED INITIATIVES:

By its very nature SLEM is a partnership program and as such requires a mechanism to ensure stakeholders' engagement in actions for meeting its objectives. The Mainstreaming and Upscaling Project is the mechanism through which the program will be organized at national level to implement the partnership approach, ensure coordination among agencies and seek to achieve the objectives of the program. This process has been initiated already at the early planning stage, and as demonstrated in the submission of the SLEM Program to Council in November 2007, a number of partnerships have already been established. Currently, the partners under SLEM-CPP include UNDP, FAO and the World Bank.

UNDP is participating with two Full Size Projects (FSP) (Sustainable Land Management in Shifting Cultivation Areas of Nagaland for Ecological and Livelihood Security and Integrated Land Use Management to Combat Land Degradation in Madhya Pradesh) and with one MSP (Sustainable Participatory Management of Natural Resources to Control Land Degradation in the Thar Ecosystem). FAO is participating with one Medium Size Project (Reversing Environmental Degradation Through the Propagation of Sustainable Land Management (SLM) among resource poor communities in Southern India which takes a hydrological unit pilot project approach. The World Bank is participating with two FSPs "Sustainable Rural Livelihood Security through Innovations in Land and

Ecosystem Management" as part of the World Bank supported project "National Agriculture Innovation Project" (NAIP) , and "Sustainable Land, Water and Biodiversity Conservation and Management for Improved Livelihoods in Uttarakhand Watershed Sector" which is part of the World Bank supported "Uttarakhand Decentralized Watershed Development Project" and with one MSP which is this Mainstreaming and Upscaling Project. The PIFs have been approved for all three World Bank projects and for one of the UNDP FSPs. It is expected that at a later stage when the Partnership starts its implementation phase, and demonstrates results new resources and partners may join in.

E. THE INCREMENTAL REASONING OF THE PROJECT:

The incremental cost reasoning and the answer to the question "what if there is no GEF support?" is based on the multisectoral and umbrella approach that has been defined for this program. There are several reasons why such an approach offers the best possibilities to achieve lasting SLEM results. They include:

- **Multi-sectoral approach:** The multi-partner and programmatic approach will ensure that lessons learned through the sharing of experiences and monitoring and evaluation results will be readily available to all partners and thereby form an efficient basis for upscaling successful examples. Lack of effective consideration of institutional sustainability has constrained policy implementation. The GEF contribution to these fundamental functions of the Partnership will considerably enhance the possibility to reach out to all stakeholders and the multiplier effect of the GEF investment will be considerable. Without the Mainstreaming and Upscaling Project, the possibilities to establishing a multi-sectoral partnership approach would be severely limited and therefore, through the Mainstreaming and Upscaling Project GEF positions itself as a key player in reaching the objectives of the SLEM-CPP and to expanding the partnership both in terms of participation of development partners (both governmental and non-governmental) and in terms of resources to be mobilized. This MSP project is a prerequisite for monitoring progress at Program level. Without the MSP project there would in essence be no Program but just a number of parallel independent projects. This project will enable the Government to monitor at national level, progress with regard to the adoption and implementation of SLEM principles and practices.
- **Community participation and livelihood:** The approach to land degradation, poverty reduction and watershed development has been largely sectoral in the past with the effect of fragmenting policies, institutions, and on-the-ground measures. The approach to land degradation and associated loss of biodiversity has not adequately focused on the factors determining the interlinkages between environmental degradation, property rights and poverty. Sufficient efforts have not been made to promote collective efforts at natural resource management and in particular common property resources in order to reduce the risk to, and vulnerability of, the poor. Many past efforts did not mobilize rural communities. The technology adopted to combat land degradation and biodiversity loss has not always been low-cost nor has it been presented as a basket of options among

which stakeholders could choose. Given that the problems of land degradation and biodiversity loss are to a large extent linked to marginal areas where farmers and villagers are not able to afford costly interventions, the lack of low cost options has hindered progress. Moreover, gender and equity issues have been poorly integrated into project design.

- Sustainability of interventions: There has been a tendency in the past to focus too much on rehabilitation of degraded natural resources, rather than on measures to prevent degradation. Past projects have not taken account of challenges of climate change as a factor which can considerably alter the conditions under which farmers and other natural resource users will have to operate. Similarly, past projects underestimated the importance of understanding local coping strategies for dealing with climate variability. For example, there has been little appreciation of how well suited pastoral production systems are for efficient resource utilization and livelihood security under arid and semi-arid conditions.

F. RISKS, INCLUDING CLIMATE CHANGE RISKS THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND RISK MANAGEMENT MEASURES:

The risks associated with the Mainstreaming and Upscaling Project are primarily related to establishing the project within the Ministry of Environment and Forest in such a way that it will be accepted by other ministries, donors, civil society and the NGO community as a transparent and professionally competent unit to pursue the management, the coordination, the outreach, the upscaling and the M&E functions at program level. The credibility of the Project as well as the entire SLEM-CPP will be fundamental to developing the partnership as per the ambitious intentions outlined for it. Considerable effort has therefore gone into selecting a well respected and competent organization to lead the day-to-day implementation of the Mainstreaming and Upscaling Project. The composition, the precise mandate and the operational modalities that have been designed and agreed upon for the management and governance will set the stage for the SLEM-CPP as well as for the Mainstreaming and Upscaling Project. In order to ensure that the Mainstreaming and Upscaling Project will live up to its mandate and expectations, the World Bank as the lead GEF Agency, in close cooperation with senior management in the MoEF, will closely follow the initial stages of program implementation and use its convening power to ensure that all partners are thoroughly briefed on the objectives and operational modalities of the Mainstreaming and Upscaling Project as well as of the SLEM-CPP. Further, in order to ensure maximum buy-in of local partners, a heavy involvement of local expertise has been designed into the mainstreaming and Upscaling Project.

With regard to risks related to the SLEM-CPP, they are primarily related to initially selecting a competent and respected Technical Facilitation organization (see further below) and thereafter to the capacity of Indian institutions at all levels, national, state, district and local as well as NGOs and civil society, to successfully incorporate the results from the Partnership Program into their operations and scale up innovations throughout their areas of influence. A well functioning Mainstreaming and Upscaling Project will mitigate this risk as an important part of its mandate is to ensure upscaling and

mainstreaming of successful experiences. With regard to risks related to Climate Change, the program incorporates climate variability and change as one key parameter to be taken into consideration in the development and implementation of individual projects under the program.

| Risk | Risk Mitigation | Risk Level |
|---|---|------------|
| Limited capacity of the Technical Facilitation Organization (TFO) to fully implement its Terms of Reference | A thorough process for selecting the TFO undertaken by the project sponsoring MOEF and close supervision during the implementation phase. Selection of a "society type " of organization which has considerable experience in project implementation with an oversight structure headed by MOEF. | Medium |
| Ability of MoEF to engage other Ministries and Departments to actively participate in the program | The seniority of leadership in the MoEF combined with the selection of a well reputed and experienced national organization, with national outreach to lead the program should ensure buy-in of other Ministries and Departments to the program. The composition of the National National Policy and Steering Committee is designed to include all stakeholders in the program and well prepared meetings of the NPSC will ensure their active participation throughout the project period. The prior experience of MOEF in coordination with other GOI agencies and Multi-donor agencies under the GEF Empowered Committee on GEF activities provides a platform to build upon the institutional oversight necessary for the success of the MSP. | Medium |
| Limited ability of institutions at Union and State level as well of Civil Society organizations to absorb and actively contribute to generating lessons learned and their upscaling | Well prepared and marketed outcomes of the program will facilitate their uptake of concerned stakeholders. In addition, the strong signal sent through the XIth Development Plan, emphasizing the need to focus development efforts on marginalized groups and marginalized areas of the country, is an important motivation for union and state institutions to take advantage of the SLEM-CPP. The selected TFO is well connected with society groups and has a wide network of institutes and organizations in different bio-geographical zones of India. A bottom up approach to build support to SLEM policy is better suited to result in actions than if initiated solely from central level. | Medium |

G. COST-EFFECTIVENESS AS REFLECTED IN THE PROJECT DESIGN:

The GEF funding proposed for this program will be fundamental for establishing the type of partnership and management functions of the overall partnership initiatives. The program will pursue a multi-sectoral approach with involvement of several ministries and departments of national and state governments as well as governmental and non-governmental development partners. This can only be done if a strong coordination function is in place with a responsibility for ensuring that available resources (GEF and non-GEF resources) are invested in activities that will bring an added value related to achieving the global environmental benefits expected of the program. Without the GEF contribution it would not be possible to establish the programmatic function to be defined in a Policy Mainstreaming and Upscaling Project.

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

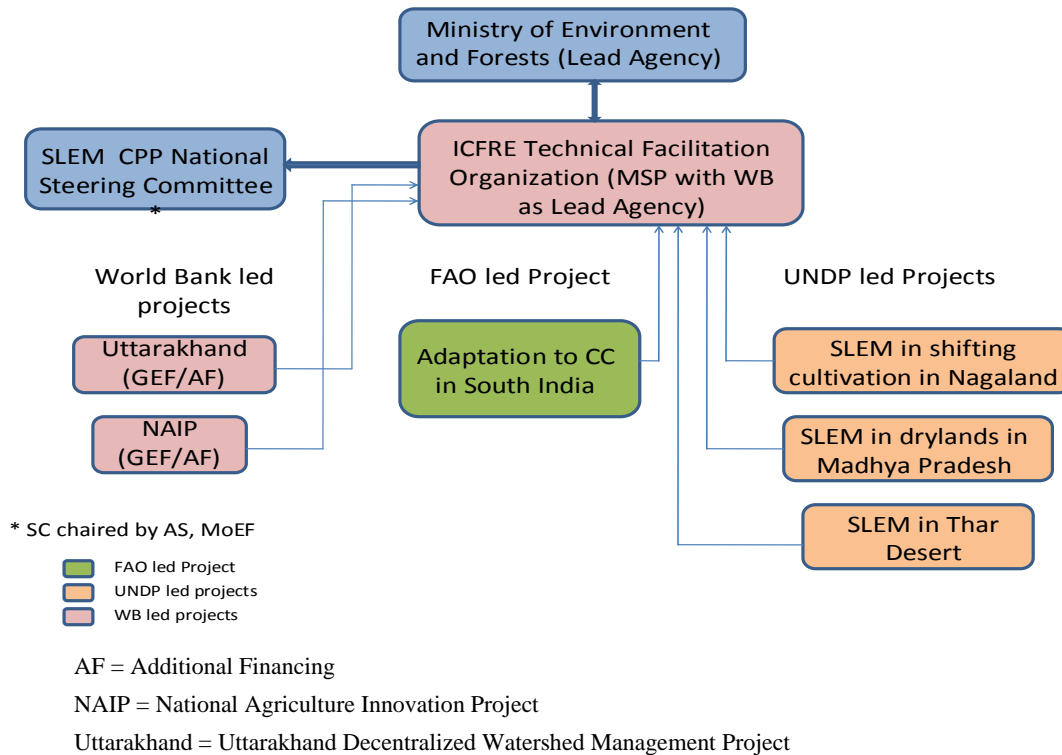
A. PROJECT IMPLEMENTATION ARRANGEMENT:

The Ministry of Environment and Forest (MoEF) is the focal point Ministry for GEF. MoEF is the ministry responsible for the preparation of and leading the implementation of Government policies related to sustainable land management, biodiversity conservation and climate change. The MoEF and the GEF Empowerment Committee are also responsible for coordination among GEF Implementing Agencies at national and program levels and for addressing operational level issues related to GEF funded operations. The MoEF will therefore serve as the focal point for communication on the SLEM CPP during its implementation. Within the Ministry, the Desertification Cell has been selected as the lead technical division as one its main responsibilities are to facilitate mainstreaming of SLEM practices within the Government of India policies and programs. The placing of the project under the Desertification Cell of the MoEF is thus to secure the involvement of partner organizations in all aspects of project and program planning and implementation.

The key functions of the MoEF in the implementation of the SLEM Partnership will be: (i) to provide overall guidance to the SLEM Partnership; (ii) to initiate actions with regard to key policy and institutional reforms required for mainstreaming and upscaling SLEM best practices, approaches and policies; (iii) to liaise with other key ministries/departments; and (iv) to provide necessary directions for constituting the National Steering Committee (NSC). A technical Facilitation Organization (TFO) will assist the MoEF in implementing the SLEM partnership program. The figure below shows the relationships between the MoEF, the TFO, the NSC and the component projects of the SLEM CPP.

Figure 1:

Reporting lines in the SLEM Partnership Program



Organizational Set-up:

Technical Facilitation Organization (Figure 1): A technical facilitation organization (TFO) will function as an executing agency, on behalf of the MoEF, to undertake day-to-day management and monitoring of the program. The MoEF has designated the Indian Council of Forestry Research and Education (ICFRE), Dehradun, an autonomous society established in June 1991 under MoEF, as the TFO. The activities to be undertaken by the TFO are described in Section G above and will include the coordination, planning, cooperation, outreach, and implementation and M&E functions of the SLEM-CPP. The TFO will also identify best practices in the areas of land management, water harvesting and conservation, biodiversity conservation, adaptation to climate change, etc. based upon review of the outcomes of the projects under the SLEM-CPP. It will provide advice on policy and institutional related products to be presented to the NSC for consideration in the interest of improved land management, biodiversity conservation and adaptation to climate change. The good functioning of the TFO will rely on smooth collaboration with project implementing agencies of the projects under the SLEM CPP as well as with MoEF. To this end the TFO will have a person posted in the MoEF to coordinate communication between ICFRE and the Ministry.

Management Tasks of TFO:

The management function of the Policy Mainstreaming and Upscaling Project will include fiduciary requirements and financial management responsibilities relevant to this project, as each of the projects in the partnership program has its own functions in this regard. The TFO has established a Program Implementation Unit (PIU) reporting to the Deputy Director General, Extension. The PIU consists of a Director and technical and administrative support staff. Seven subject matter specialists (land degradation, biodiversity conservation, climate change and environmental safeguard, M&E, policy analysis, Communications and coordination) will be recruited as soon as the project becomes operational (details in Annex C). PIU shall also receive regular technical support from various Institutes/Centers (twelve in number) of ICFRE located in different bio-geographical zones. Location Map of current SLEM projects and concerned ICFRE Institutes/Centers is attached for ready reference. Various Divisions at the ICFRE Headquarters like Biodiversity and Climate Change, Policy Research, etc. will provide requisite support as and when required. An operational manual will guide the administrative work of the PIU and delineating the procedures for interaction and sharing of responsibilities between MoEF, the National Steering Committee and ICFRE. The manual will also specify all regulations related to financial management, hiring of consultants, travel regulations and purchase of equipment.

In addition to this the TFO will be responsible for reaching out to new partners who will be able to participate under the SLEM program framework both as co-financiers of individual projects and as technical partners.

The TFO will receive, on behalf of the MoEF, progress reports from the projects under the SLEM and consolidate them for presentation and discussion in the NSC (see further below). The TFO will participate in supervision missions undertaken by SLEM Implementing Agencies (World Bank, UNDP and FAO) for the purpose of thematic monitoring of SLEM related outcomes. In addition, the TFO will undertake separate visits to projects and other sites to gather and discuss experiences and knowledge, record specific “best practices” as a basis for preparing lessons learned for wider dissemination. This will not prevent individual projects from interacting directly with the MoEF when so required.

Technical Tasks of TFO: The tasks and related activities for their implementation are shown below:

| Sl. No. | Task | Activities | 1 st Year | | 2 nd Year | | 3 rd Year | |
|---------|---|---|----------------------|---|----------------------|---|----------------------|---|
| 1 | Distill and capture lessons learned and best practices in the areas of land management, biodiversity conservation and adaptation to climate change based on experiences from projects included in the SLEM partnership, but also from other relevant projects | Identification of best practices through visits of various project and other relevant sites | √ | √ | √ | √ | √ | √ |
| | | Project M&E expert to identify best practices through M&E function | | | √ | √ | √ | √ |
| | | Identification of best practices through literature screening | √ | √ | √ | √ | √ | √ |
| | | Engaging subject specialists | | √ | √ | √ | √ | √ |

| | | | | | | | | |
|---|---|--|---|---|---|---|---|---|
| 2 | Prepare and support dissemination of outreach material and activities for practitioners and decision makers in the areas of land management, biodiversity conservation and adaptation to climate change | Identify methods to be used for dissemination of information regarding best SLEM practices | | √ | √ | | √ | |
| | | Shortlist agencies who may be used to develop outreach material | | | √ | √ | √ | |
| | | Based upon procurement guidelines of the World Bank select agency to undertake activity | | | √ | √ | √ | |
| | | Project communication expert to guide and supervise outreach material preparation using various media | √ | √ | √ | √ | √ | √ |
| | | Development and updating of Web portal for display of outreach material and best practices | | √ | √ | √ | √ | √ |
| 3 | Development of capacity and skills to enhance and promote land management, biodiversity conservation and adaptation to climate change. | Identification and short listing of the training institutions/ Resource persons for imparting training for capacity building on related subjects | | √ | √ | √ | √ | √ |
| | | Preparation of Training Material | | √ | | | | |
| | | Stakeholder's Training | | √ | √ | √ | √ | √ |
| | | Workshops/Conferences/Symposia | | | | | | |
| 4 | Design and operate the M&E function of the program for both effectiveness of the umbrella program and the achievement of SLEM outcomes | Designing of the M&E formats as per GEF parameters for the achievement of SLEM outcomes | √ | | | | | |
| | | Design and maintain a program website for sharing experience within the program and with external partners | √ | √ | √ | √ | √ | √ |
| | | Training of concerned officials ICFRE/SLEM Projects | √ | √ | | | | |
| | | Implementation of M&E function for both the overall program and SLEM outcomes at national, state and local levels | | √ | √ | √ | √ | √ |
| | | Feedback through visits to SLEM Projects and other sites on SLEM outcomes | √ | √ | √ | √ | √ | √ |
| | | Inputs from MoEF and NSC | | | | | | |
| | | Revision of M&E framework as per feedback for both the overall program and SLEM outcomes at national, state and local levels | | | | √ | √ | √ |
| | | Establish institutional mechanism to assess and promote participation of more organizations in SLEM programs | | √ | | | | |
| | | Project M&E expert to guide and supervise | | | | | | |
| 5 | Prepare studies and guidelines as to how policy and institutional aspects of land management, biodiversity conservation and adaptation to climate change could be developed and implemented in the interest of more efficient, effective and sustainable management of natural resources. | Preparation of Comprehensive base line study and the development of indicators | √ | √ | √ | | | |
| | | Inputs from MoEF and NSC | | √ | √ | √ | √ | √ |
| | | Inputs from Subject specific studies(Issue Based Studies) | | √ | √ | √ | √ | √ |
| | | Technical instruments to monitor progress towards achievement of policy and institutional outcomes in place | | √ | | | | |
| | | Preparation of studies and guidelines | | | √ | √ | √ | √ |

| | | | | | | | | | |
|---|--|--|--|--|---|---|---|---|---|
| | | Project Policy Analyst to guide and supervise the entire process of preparation of studies | | | | | | | |
| 6 | Prepare a Toolkit and Manual at the end of the project period containing tools, guidelines and approaches for up-scaling and replicating successful experiences and lessons learned in land management, biodiversity conservation and adaptation to climate change | Inputs from MoEF and NSC | | | √ | √ | √ | √ | |
| | | Identification of requisite policy and institutional reforms based on shortlisted best practices | | | | √ | √ | | |
| | | Shortlist agencies who may be used to develop Toolkit and Manual | | | | √ | | | |
| | | Based upon procurement guidelines of the World Bank select agency to undertake activity | | | | | | √ | √ |
| | | Project Policy Analyst to guide and supervise the entire process | | | | | | | |

Administrative Tasks of TFO:

| Sl. No. | Task | Activities | 1 st Year | 2 nd Year | 3 rd Year |
|---------|---|--|----------------------|----------------------|----------------------|
| 1 | Serve as the Secretariat of the Governing Body of the project | Constitution of the National Steering Committee | √ | | |
| | | Convene and organize meetings of NSC | √ | √ | √ |
| | | Assist MoEF in institutionalizing and up-scaling the SLEM best practices | √ | √ | √ |
| 2 | Execution of the project | Creation of SLEM Unit at ICFRE | √ | √ | √ |
| | | Preparation of Operation Manual | √ | | |
| | | Short listing and hiring of Technical Consultants and other support staff based upon procurement guidelines as agreed with the World Bank | √ | √ | √ |
| | | Preparation of Procurement Plan | √ | √ | √ |
| | | Procurement of goods based upon procurement guidelines agreed with the World Bank | √ | √ | √ |
| | | Financial Advisor and Procurement Officer to supervise the procurement as per guidelines agreed with the World Bank | √ | √ | √ |
| | | Implementation of various day to day activities as per agreed terms and conditions under overall supervision of DG, DDG (Extension) and Project Director | √ | √ | √ |
| 3 | Preparation of Project Completion Report | | √ | √ | √ |

2. National Steering Committee: The essence of the SLEM-CPP is to apply a multi-sectoral approach to land management, related biodiversity conservation and climate change/adaptation issues in several States of India. In order to do so, a number of organizations representing different capacities related to the issues at hand will participate in the planning and implementation of the program. These will include government organizations at union and state level and non-governmental as well as civil society organizations. For this purpose, a **National Steering Committee (NSC)** with representation of all key stakeholders will be officially notified under the chairpersonship of Additional Secretary, MoEF and shall become functional within three months of entering into force of the Mainstreaming and Upscaling project.

The NSC will (i) endorse the annual work plan and budgets of SLEM projects, (ii) review and comment on a consolidated technical progress report on the SLEM prepared by the TFO on the basis of progress reports obtained from each project in the SLEM partnership, (iii) review progress of the TFO on the implementation of the Mainstreaming and Upscaling project, and (iv) discuss and endorse national and state level policy and strategy recommendations prepared by the TFO and agree on an action plan and timetable for their integration into their respective agencies. The NSC will meet twice a year with one meeting, at the end of the calendar year focusing on work plans and progress of the program and one meeting primarily focusing on policy and strategy issues. As the program gains momentum it is expected, however, that policy and strategy issues will feature on the agenda on both the meetings. Through its inclusive membership (see below) it is expected that each partner's comparative advantage is fully exploited, that activities are well coordinated and that the views of all stakeholders are fully taken into account. The proposed composition of the **National Steering Committee** and its role is as follows:

Composition of National Steering Committee:

Chairperson: Additional Secretary, MoEF

Members:

1. Director –General, ICFRE
2. Nodal Officer GEF, Ministry of Environment & Forests
3. Representative from Ministry of Rural Development.
4. Representative from Ministry of Water Resources.
5. Representative from Ministry of Agriculture.
6. Representative of Department of Economic Affairs.
7. Representative from UNDP, World Bank and FAO
8. Three Technical/Policy Experts (Land Degradation, Adaptation to Climate Change and Biodiversity Conservation)*
9. DDG Extension, ICFRE -Member Secretary
10. National Project Directors of SLEM Projects
11. Two representatives from NGOs and Civil Societies*
12. Project Director- PIU SLEM, ICFRE

* To be nominated by Chairperson in consultation with ICFRE

Role of National Steering Committee

- 1) To suggest measures for conveying improvements and amendments in policy and institutions to relevant government organizations and to civil societies.
- 2) To advise on policy and institutional areas that can be taken up for analysis and study under the project in the interest of improved land and ecosystems management, biodiversity conservation and adaptation to climate change.

- 3) To provide overall guidance to the SLEM Projects on sustainable land and ecosystem management
- 4) To ensure participation of other stakeholders and co-opt more members as needed

B. PLAN OF ACTION:

The MSP will support three blocks of activities:

(1) Institutional policy and mainstreaming of sustainable ecosystem and land management: This will include services for developing analytical baselines for harmonization of SLEM policy, and technical instruments to monitor the progress of mainstreaming SLEM into policy. It will also support an inter-institutional mechanism for SLEM policy coordination with MoA, MRD, MoEF and other key GoI agencies.

(2) Outreach and knowledge management for scaling up of sustainable land and ecosystem management solutions: This will include inventorying of technical and socio-economic solutions and applicable practices for SLEM and establishing a database which will be accessible to sectoral organizations and public. The technical base will be used for training and outreach activities. Outreach activities will be conducted to include other NGOs and multilateral agencies to participate in the program.

(3) Program management and monitoring and evaluation: An SLEM-CPP Operational manual, M&E and reporting system to monitor both the parameters of SLEM programmatic outcomes and the implementation process of the program will be developed as priority during year one.

The table below summarizes the **Plan of Action** for the three year project period:

| Year 1 | Year 2 | Year 3 |
|---|--|--|
| Engagement of Technical Specialist/Experts viz., Land Degradation, Biodiversity Conservation, Climate Change and Environmental Safeguards, Policy Analyst, M&E Specialist, Communication specialist and Coordinator at MoEF | Finalization of Baseline Study | Further M&E evaluation of the projects |
| Procurements of Goods projected for the TFO functioning | Finalization of best practices from the on going SLEM projects | Finalization of Extension strategies |
| Establish NSC during first three months after effectiveness and initiate regular meetings | Regular Steering Committee Meetings Steering committee follow through the conclusions of the baseline study | Steering committee meetings |
| Visits to Six project sites for the identification and finalization of criteria and indicators for M&E | Preparation of outreach material | Finalization and Mainstreaming of Best Practices |

| | | |
|---|---|---|
| | | |
| Constitution of Steering committee and organization of its 1st meeting | Steering committee meetings | Finalization of Institutional and Policy reforms |
| Initiate Baseline study | Organization of trainings for SLEM project executives, staff and stakeholders | Steering committee follow through on the possible expansion of the program |
| Preparation of outreach material including issuing best practice notes | Organization of Workshops for popularizing the SLEM concept Continue issuing best practice notes | Organization of trainings for SLEM project executives, staff and stakeholders Continue including issuing best practice notes |
| Training of stakeholders | Preparation of Annual report of the project | Include in the Annual report summary and recommendation of the trainings |
| Workshop organization stressing the theme of up-scaling and mainstreaming of the best practices of the projects | Conduct workshop for program projects and external partners on SLEM approaches | Organization of Workshops for popularizing the SLEM concept and its strength in India |
| Preparation of Interim report of the TFO | | Preparation of Annual report of the project |

Two of the major tasks of TFO - the baseline study and the mainstreaming and up-scaling tasks - are explained in further detail below:

Baseline Study: In the first year, the preparation of a **comprehensive Baseline Study** will be launched. The TOR will be completed within two months of the formal award of the TFO project. The baseline study will include a thorough analysis of the underlying causes to land degradation, its impact on biodiversity and how land management is impacted by climate variability and change. The study will also cover the socio-economic aspects of sustainable land management and document the learning of experiences from local communities. The analysis, which will be carried out in the first 15 months, will also identify institutions and organizations, governmental as well as non-governmental, at union and state level that are concerned with issues related to controlling and preventing land degradation, biodiversity conservation and the effects of climate change, directly and/or indirectly, *vis-a vis*, the mandates they have. The analysis will also suggest a range of options for addressing the barriers to SLEM with a view to solving the problem; options related to policy and institutional interventions as well as to actions on-the-ground. In addition, it will analyze policy and program guidelines of the concerned Ministries/Departments responsible for fostering SLEM and identify the interventions/best practices that have a potential to be scaled-up and mainstreamed/integrated into the said policies and programs and come up with an approach paper/document for advocacy. Several institutes like ICAR, ICFRE institutes, universities have already standardized and documented a wealth of best practices that

would help attain sustainable land management. For the initial approach paper/document, the project will draw upon this knowledge.

Outreach and Knowledge Management for Scaling-up of Sustainable Land Management Solutions: Based on the information generated through the M&E framework and also from visits to project areas and other relevant sites, suitable outreach material will be developed on the subject of land management, biodiversity conservation and adaptation to climate change for decision-makers and practitioners. This outreach material will include teaching/learning tools and materials, including written, audio/visual material, e-learning tools, field visits, semi-annual best practice notes in the vernacular language, models for mainstreaming etc. For this purpose, trainings, workshops, conferences and other media will be organized to disseminate best practices, lessons learnt, and up-scaling and mainstreaming strategies. Apart from discussing these issues in regular steering committee meetings, ten workshops will be organized for project implementation authorities and staff over the three year period. These will enhance their capacities and lead to more focused implementation of project related activities. An information database will be established by the end of year 2 containing technical solutions related to SLEM. The technical solutions so framed will be circulated to all States of India including the States implementing the SLEM projects. This information will also be sent to leading NGOs involved in SLEM related activities. A Toolkit and Manual will be prepared at the end of the project period containing tools, guidelines and approaches for up-scaling and replicating successful experiences and lessons learned in land management, biodiversity conservation and adaptation to climate change. The key activities that will be undertaken with regard to the outreach function are:


- (i) Identify innovative methods to be used for dissemination of information regarding best SLEM practices
- (ii) Shortlist agencies who may be used to develop outreach material
- (iii) Based upon procurement guidelines of the World Bank select agency to undertake activity
- (iv) Project communication expert to guide and supervise outreach material preparation using various media
- (v) Development and updating of Web portal for display of outreach material and best practices

PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF:

The Mainstreaming and Upscaling Project is fully consistent with the PIF as endorsed by the GEF CEO on 17 April 2008. The minor cost differences at project appraisal are a result of the detailed activity planning and the inclusion of 7% contingencies for price and physical contingencies. At the time of the appraisal the monthly accumulated inflation for March 2009 based on CIP index was 7.81% as reported by Indian Ministry of Labor.

PART V: AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.

| Agency Coordinator, Agency name | Signature | Date (Month, day, year) | Project Contact Person | Telephone | Email Address |
|---|---|----------------------------|---|------------------|---------------------------|
| Steve Gorman <i>GEF Executive Coordinator The World Bank</i> |  | April 15, 2009 | Malcolm Jansen <i>Regional GEF Coordinator (SAR) World Bank</i> | 202 458- 2748 | Mjansen@worl dbank.org |
| | | | | | |
| | | | | | |

- Annex A:** Project Results Framework
- Annex B:** Responses to Project Reviewers
- Annex C:** Consultants to be hired under the Project
- Annex D:** Additional Information on the MSP Implementing Agency
- Annex E:** Budget and Costs
- Annex F:** Financial Management, Audits, Progress Reporting
- Annex G:** Procurement
- Annex H:** Integrated Safeguards Data Sheet

ANNEX A: PROJECT RESULTS FRAMEWORK

One of the main tasks implemented under the MSP will be to design in detail the results framework not only for this project but for the entire SLEM-CPP. As the project through which the SLEM-CPP as such will be monitored, it will be one of the key functions of the Mainstreaming and Upscaling Project to develop a results framework for the Program. The results framework as attached to this document will be the starting point for this process but, as explained in Part III of this document, proper analyses of the situation in India both with regard to institutional and physical aspects of land degradation, biodiversity loss and vulnerability to climate change will be important inputs into formulating a project results framework that has taken all facts into consideration. It will be important to involve partner organizations in the development of the results framework so that it will properly reflect all aspects and interests of stakeholders.

| Project Development Objective | Result/Outcome Indicators | Use of Results Information |
|--|---|--|
| Harmonize, coordinate and monitor interventions in agricultural and natural resource management strategies that enhance agricultural productivity while minimize environmental impacts | A mechanism in place for policy and institutional cooperation in order to facilitate implementation and monitoring of policy and institutional change | To be reviewed at regular meetings of the NSC for Policy Mainstreaming and Institutional Reforms as a basis for recommendations to a wider audience on actions required |
| Intermediate Results | Results Indicators for Each Component | Use of Outcome Monitoring |
| Component One: Institutional Policy and Mainstreaming | <ul style="list-style-type: none"> • Analytical Baselines for harmonization of SLEM policy in place by end of fifteen months • Inter institutional mechanism for SLEM policy coordination with participation of MoA, MRD, MoEF and other key GoI agencies in place by end of year one • Road map for policy and Institutional harmonization developed and government endorsed by end of year two • Technical instruments to monitor progress towards achievement of policy and institutional outcomes in place within the first year of operation • At least 2-3 policy or strategies integrated into national and state level | To be reviewed at regular meetings of the NSC for Policy Mainstreaming and Institutional Reforms as a basis for recommendations related to management of the program and for providing information and recommendations on SLEM to a wider audience |

| | | |
|--|---|---|
| | <p>sectoral policies.</p> <ul style="list-style-type: none"> • Annual SLEM meetings take place on regular basis | |
| <p>Component Two: Outreach and knowledge management for scaling up of sustainable land management solutions</p> | <ul style="list-style-type: none"> • Communication strategy developed • Technical and socio-economic solutions for SLEM inventoried and dispatched throughout India as of end of year one on a continuous basis • Information database on SLEM established by end of year two • At least two additional state participating in the program with specific projects by the end of the project period subject to availability of funds • At least five additional NGOs engaged in the projects under the program and promoting SLEM principles by the end of the project period subject to availability of funds • At least two additional multilateral agencies that have agreed to participate in the program at the end of year three | <p>To be reviewed at regular meetings of the NSC for Policy Mainstreaming and Institutional Reforms as a basis for recommendations related to management of the program and for providing information and recommendations on SLEM to a wider audience</p> |
| <p>Component Three: Program Management and M&E</p> | <ul style="list-style-type: none"> • SLEM-CPP operational manual in place and adopted by the GEF Empowerment Committee at the start of the SLEM-CPP operations • A program level M&E system with monitoring parameters to measure SLEM programmatic outcomes and implementation constraints developed within the first year of operation • M&E system for monitoring the progress of the program for harmonization and coordination of SLEM activities in India • SLEM-CPP reporting system in place by mid first year | <p>To be reviewed at regular meetings of the Steering Committee for Policy Mainstreaming and Institutional Reforms as a basis for recommendations related to management of the program</p> |

**Arrangements for Results Monitoring for the Project
Policy and Institutional Reform for Mainstreaming and Upscaling SLEM in India**

| Outcome Indicators | Target Values | | | | Data Collection and Reporting | |
|---|--|---|---|---|---|------------------------------------|
| | Baseline YR 1 | YR2 | YR3 | Frequency of Reports | Data Collection Instruments | Responsibility for Data Collection |
| Project Development Objective Harmonize, coordinate and monitor interventions in agricultural and natural resource management strategies that enhance agricultural productivity while minimize environmental impacts | | | | | | |
| A mechanism in place for policy and institutional cooperation in order to facilitate implementation and monitoring of policy and institutional change | <ul style="list-style-type: none"> • Technical Facilitation Organization (TFO) in place. • Setting up of National Steering Committee | TFO functions as per Plan of Action National and Steering Committee meets regularly | TFO functions as per Plan of Action National Steering Committee meets regularly | Minutes of meetings. Two every year for NSC | Minutes of meetings | TFO |
| Component 1: Institutional Policy and Mainstreaming | | | | | | |
| Analytical Baselines for harmonization of SLEM policy in place by end of fifteen month | Baseline Study completed by end of fifteen month | Baseline study verified and endorsed by ICFRE | Continuous verification of data and information in baseline report | Draft report for discussion at ICFRE. Final report for endorsement of National Steering Committee | M&E instruments; meetings with projects and relevant institutions | TFO |
| Inter institutional mechanism for SLEM policy coordination with participation of MoA, MRD, MoEF and other key GoI agencies in place by end of year one | National Steering Committee established and operational | National Steering Committee operational | National Steering Committee operational | Minutes of meetings. Two every year for NSC | Minutes of meetings | TFO |
| Road map for policy and Institutional harmonization developed and government endorsed by end of year two | Information and data for preparation of roadmap collected through baseline report | Roadmap presented, discussed possibly amended and endorsed by NSC through ICFRE/TFO | Roadmap under implementation | Draft report year two followed by final report | Same as for baseline report | TFO |
| Technical instruments to monitor progress towards achievement of policy and institutional outcomes in place within the first year of operation | System put in place by TFO | System in operation | System in operation | System presented NSC and endorsed year one | Same as for baseline report | TFO |
| Annual SLEM meetings take place on regular basis | Principle and schedule put in | Agreed schedule | Agreed schedule | Minutes of meetings | Minutes of meetings | TFO |

| | | | | | | |
|---|---|---------------------------|---|---|--|-----|
| | place by TFO | implemented | implemented | | | |
| Component Two: Outreach and knowledge management for scaling up of sustainable land management solutions | | | | | | |
| Technical solutions for SLEM inventoried and dispatched throughout India as of end of year one on a continuous basis | System set in place by TFO | System operational | System operational | Annual reports of TFO | Annual reports and feedback from "customers" | TFO |
| Information database on SLEM established by end of year two | Database established by TFO | Database operational | Database operational | Annual reports of TFO | Annual reports and feedback from "customers" | TFO |
| At least two additional state participating in the program with specific projects by the end of the project period subject to availability of funds | Number of states at launch of the program | One more state | A second new state | Annual reports of TFO | Annual reports | TFO |
| At least five additional NGOs engaged in the projects under the program and promoting SLEM principles by the end of the project period subject to availability of funds | Number of NGOs at launch of the program | | At least five more NGOs | Annual reports of TFO | Annual reports | TFO |
| At least two additional multilateral agencies that have agreed to participate in the program at the end of year three | Number of Multilateral at launch of the program | | At least two multilateral agencies participating in the program | Annual reports of | Annual reports | TFO |
| Component Three Program Management and M&E | | | | | | |
| SLEM-CPP operational manual in place and adopted by the GEF Empowerment Committee at the start of the SLEM-CPP operations | OP in placed and operation after endorsement by GEF Empowerment Committee | OP in use and functioning | OP in use and functioning | One manual | Manual | TFO |
| A program level M&E system with monitoring parameters to measure SLEM programmatic outcomes and implementation constraints developed within the first year of operation | M&E system developed by end of year one | M&E system operational | M&E system operational | Regular M&E reports and outcomes presented as feed back to projects and ICFRE/TFO | M&E system | TFO |

| | | | | | | |
|--|---|---------------------------|---------------------------|---|-----------------------------------|-----|
| SLEM-CPP reporting system in place by mid first year | Reporting system developed by TFO and endorsed by NSC | Reporting system in place | Reporting system in place | Annual reports presented to NSC for endorsement before distribution to all stakeholders | Inputs from projects and from TFO | TFO |
|--|---|---------------------------|---------------------------|---|-----------------------------------|-----|

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF)

Council members have commented on the SLEM Program and as this MSP will answer to the concerns expressed in these questions, they are responded to here. In summary the comments were (i) that there should be PIFs for individual projects, (ii) the results frameworks should have clearer outputs and targets, and (iii) information on methodology for selection of local projects.

Each individual project included in the program has its own PIF and its own FSP or MSP document as appropriate. At this stage PIFs have been submitted and approved as per GEF procedures for five out of seven projects under preparation for inclusion in the program. Comments received on the PIFs from Council members and/or from STAP will be treated as per standard GEF procedures.

As each project included in the Program has its own PIF, FSP or MSP, they also have their own individual results framework subject to scrutiny by Council members and STAP. Thus, a results framework is attached to this MSP document defining objectives, outputs and outcome indicators as well as M&E procedures. With regard to this project, the emphasis is on upscaling and mainstreaming policies, approaches and techniques leading to sustainable land and ecosystem management combined with conserving biodiversity while taking account of climate change and variability.

The projects currently included under the partnership, have been selected to represent different challenges and different geographical regions in India. There are thus projects in mountainous areas, in areas where shifting cultivation is widely practiced, in dryland areas and in coastal areas. The projects are also located in different states of India. Each location represents its own unique challenges with regard to sustainable land management in the context of biodiversity conservation and adaptation to climate change, both in technical terms and in terms of policy and institutional environment. This spread of challenges is combined with three different Implementing Agencies involved in the program (The World Bank, UNDP and FAO) bringing different experiences to the projects and it should thus be possible to generate lessons learned that will be widely applicable. A core activity under the MSP will be lessons learned and knowledge dissemination using various communication means and outreach activities. With regard to the inclusion of new projects in a possible second phase of the program, the baseline study that will be undertaken by this mainstreaming and upscaling project initially (highlighting technical and institutional bottlenecks and gaps), should prepare the ground for a rational selection of new initiatives.

ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT

| <i>Position Titles</i> | <i>\$/ person week</i> | <i>Estimated person weeks</i> | <i>Tasks to be performed</i> |
|--|--------------------------------|---------------------------------------|--|
| For Project Management | | | |
| Local | | | |
| | 553 | 800 | This includes project management staff to be paid by the GEF contribution and the Counterpart as per table E |
| | | | |
| International | | | |
| | | | |
| | | | |
| | | | |
| For Technical Assistance * | | | |
| Local Consultants to be paid by GEF contribution | | | |
| Specialist, Land Degradation | 212.5 | 144 | Lead the work in field of expertise |
| Specialist, Biodiversity | 212.5 | 144 | Lead the work in field of expertise |
| Specialist, Climate Change | 212.5 | 144 | Lead the work in field of expertise |
| Specialist, M&E | 212.5 | 144 | Lead the work in field of expertise |
| Specialist, Policy Analysis | 212.5 | 144 | Lead the work in field of expertise |
| Specialist, Communication | 187.5 | 144 | Lead the work in field of expertise |
| Subject Matter specialists as per need during the project period | 254.2 | 80 | ToRs will be prepared as per requirements |

- *In addition to technical assistance paid for over the GEF contribution, ICFRE will provide technical assistance through allocating staff from its technical divisions and decentralized centers throughout the project period. Thus, approximately up to six months per year will be made available from each of the following divisions: Biodiversity and Climate Change, Policy Research, Soil Conservation, Ecology, Natural Resource Management, Non-Timber Forest Products, Media and Communication, IT (will provide eight months per year), Centers located outside headquarters will provide two man months per year. These contributions are valued at a total of US\$563,030 for the duration of the project (Rs 48.5/US\$).
- The professional consultants under the project contribute to all three components. This is the reason that project management and M&E cost is not fully aligned with the project management cost shown in the respective table. Details on the costs of the professional consultants are provided in the detailed budget table.

ANNEX D: ADDITIONAL INFORMATION ON THE MSP IMPLEMENTING AGENCY

Indian Council of Forestry Research and Education (ICFRE)

I. Background

The Indian Council of Forestry Research and Education (ICFRE) was established as an autonomous body in June 1991 and in December 1996 registered under the Societies Act and is a subordinate office of the Union Ministry of Environment and Forests with the Secretary of the Ministry serving as the chairperson of the Board of Governors.

ICFRE is the apex body in the national forestry research system and is responsible for planning, promoting, conducting and coordinating research, education and extension services covering all aspects of forestry. ICFRE works through applied based forestry research on emerging issues in its sector of responsibility, including global concerns such as climate change, conservation of biological diversity, combating desertification and sustainable management and development of natural resources.

The objectives of ICFRE are:

- To undertake, aid, promote and coordinate forestry education, research and their applications.
- To develop and maintain a national library and information centre for forestry and allied sciences.
- To act as a clearing-house for research and general information related to forests and wildlife.
- To develop forestry extension programs and propagates the same through mass media, audio-visual aids and through the extension machinery.
- To provide consultancy services in the field of forestry research, education and allied sciences.
- To undertake other tasks considered necessary to attain the above objectives.

In line with these objectives ICFRE provides the following services:

- Production, certification and supply of quality seeds of fuel, fodder and timber species.
- Studies in the field of Social forestry and Agro-forestry.
- Conservation and eco-restoration of ecologically fragile and disturbed areas.
- Utilization of non-conventional woods and weeds for manufacturing of forest products.
- Developing technologies for reclamation of wastelands.
- Stock improvement programs of different species.
- Geological, geo-morphological and micro-morphological studies on skeletal and sodic soils.
- Development of technologies for eco-friendly preservatives.

II. Type of Organization

ICFRE is an autonomous institute with the ICFRE Society being the apex decision making body. The Minister of Environment and Forest is the President of the ICFRE Society and a Chairman of the Board of Governors. The Board of Governors meets once a year. The Director General is the CEO of ICFRE and reports to the Board of Governors.

III. Governing Board Members & Key Personnel

Administration and financial management arrangements

The Director General (DG) of ICFRE is the CEO of the society and carries out the business as per approved mandate from Board of Governors (BOG). For efficient management of business, BOG has delegated all executive powers required for carrying out routine activities including financial and administrative ones, to the DG.

The Headquarters of ICFRE is stationed at Dehradun, Uttarakhand. The ICFRE has four Directorates: Research, Education, Extension and Administration, headed by Deputy Director Generals (DDG), with responsibility for supervision and control of the activities of the twelve institutes/centers located in different parts of the country. The DDGs are assisted by various divisions under them, each headed by an Assistant Director General. The DDGs have been delegated with certain financial and administrative powers so as to expedite the administrative process.

The ICFRE follows the same financial, accounting, procurement and auditing procedure that is laid down in the General Financial Rules, 2005 of Government of India

(http://finmin.nic.in/the_ministry/dept_expenditure/GFRS/GFR2005.pdf).

The organogram of ICFRE is attached as Enclosure 1.

ICFRE is organized in ten Divisions with distinct functions as follows:

| Division | Functions |
|-------------------------------|--|
| Administration | Finance, Personnel management and IT Services |
| Project Formulation | Formulation of New Projects |
| Biodiversity, Climate Change | Climate Change |
| Planning and Programming | Sanction of new research projects and review of ongoing projects |
| Education | Grants to Universities |
| Monitoring and Evaluation | Monitoring and Evaluation of Research projects |
| Environment Impact Assessment | Assessment of development projects for environmental impact |
| Policy Research | Formulation of forest policy and acts |
| Media and Publications | Extension Program and Publications |
| Statistics | Collection and publication of forest statistics |

IV. Member Institutions

Institutes and Centers under ICFRE: In order to implement its objectives and pursue its services, ICFRE has a network of eight Regional Research Institutes and four Research Centers located in different bio-geographical regions of the country to cater to the research and extension services.

The Regional Research institutes are as follows:

Research institutes under ICFRE are the following:

- Forest Research institute (FRI), Dehradun
- Institute of Forest Genetics and Tree Breeding (IFGTB), Coimbatore
- Institute of Wood Science and Technology (IWST), Bangalore
- Tropical Forest Research Institute (TFRI), Jabalpur

- Rain Forest Research Institute (RFRI), Jorhat
- Arid Forest Research Institute (AFRI), Jodhpur
- Himalayan Forest Research Institute (HFRI), Shimla
- Institute of Forest Productivity (IFP), Ranchi
-

The Research Centers are as following:

- Centre for Social Forestry and Eco- Rehabilitation (CSFER), Allahabad
- Centre for Forestry Research and Human Resource Development (CFRHRD), Chhindwara
- Forest Research Centre (FRC), Hyderabad
- Advanced Research Centre for Bamboo and Rattans (ARCBR), Aizawl

V. Recent Projects/Activities

Projects Completed During the Year 2006-2007

(Externally aided)

| Project | Name | Reference |
|------------|---|--|
| Project 1: | Utilization of economic potential of Parthenium Sub-project (i): Preparation of composites Sub-project (ii): Preparation of alpha cellulose and handmade paper | FRI-262/Chem-13/External/2004-2007 |
| Project 2: | Alkaline peroxide mechanical pulping/bleaching | FRI-331/CandP-17/External/2005-2007 |
| Project 3: | Development of ecorestoration model for Iron Ore Mines of Bihar and Orissa | FRI- 179/Eco-9/External/2001-2007 |
| Project 4 | Efficacy testing of the insecticide-Actara 25 WSG (Thiamethoxam) against termites | FRI-266/FED-18/External/2004-2007 |
| Project 5 | Utilization of Sisal fibre for making Composites and Handmade paper | FRI- 268/FPD-49/External/2004-2006 |
| Project 6 | Micropropagation of chirpine (Pinus roxburghii) and shisham (Dalbergia sissoo) | FRI- 222/ GandTP -13/ External/2002-2006 |
| Project 7 | Preparation and publication of a souvenir to mark the Centenary of FRI | FRI- 342/Path-20/External/2006-2007 |
| Project 8 | Technology transfer and development of a model village by skill up-gradation and capacity building of rural communities for socio-economic upliftment, SRTT funded project Subtitle: Integrated Utilisation of Lantana | FRI-297/PLO-2/External/2005-2007 |
| Project 9 | Networking forest plantations in a crowded world: Optimizing ecosystem services through improved planning and management strategies funded by E.U. under ECCP | FRI-288/RCS-1/External/2005-2006 |
| Project 10 | Development of mechanism for computation and forecast of growing stock in strip forests of Haryana taking into account the year wise plantation and survival of relevant species | FRI-289/RCS-2/External/2005-2007 |
| Project 11 | Studies on interrelationship between production level and marketing of important forestry species in Punjab | FRI-174/RSM-9/ External/2000-2007 |
| Project 12 | Studies on Himalayan Pines Sub-project 1: Seed Technology Sub-project 2: Nursery and planting technology Sub-project 3: Plant physiology | FRI-175/Silva-12/1995-2006 |
| Project 13 | Sample survey to update rates and ratios of Minor Forest Products and Timber in India | FRI-294/Stat-2 /External/2005-2006 |

Externally Aided Projects Continued During the Year 2006-2007

| Project | Name | Reference |
|----------------|---|---|
| Project 1: | Development of tissue culture technique for protocol development of Bambusa balcooa and Melocanna bambusoides | FRI-258/Bot-37/External/2004-2007 |
| Project 2: | Network program for establishment of demonstrations of bamboo plantations in Uttaranchal | FRI -257/Bot-36/External/2004-2007 |
| Project 3: | Micropropagation of promising interspecific F hybrids of Eucalyptus and 1 field plantations | FRI-220/ GandTP- 11 / External/2002-2007 |
| Project 4 | Development of micro-propagation protocol for clonal multiplication and germplasm conservation of Swertia chirata Buch. Ham. | FRI-332/Bot-46/External/2005-2006 |
| Project 5 | Development of suitable propagation technology of three Terminalia species | FRI-261/Bot-40/External/2003-2006 |
| Project 6 | Creation of germplasm bank of medicinally important tree species of Punjab | FRI-336/Bot-50/External/2006-2009 |
| Project 7 | Evaluation and standardization of the methods employed in identity of the medicinal plants employing woods of Himalayan and sub-Himalayan tract | FRI-276/Bot-41/External/2004-2007 |
| Project 8 | Expert system for Indian woods - their microstructure, identification, properties and uses | FRI-277/Bot-42/External/2005-2008 |
| Project 9 | Ex-situ conservation of some rare and endangered plants of Uttarakhand | FRI-277/Bot-42/External/2005-2008 |
| Project 10 | Development of Live Red Data Book | FRI-277/Bot-42/External/2006-2009 |
| Project 11 | Identification, development and utilization of natural dyes from the forest plants of Uttaranchal | FRI-249/Chem-12/External/2003-2007; Extended upto December 2007 |
| Project 12 | Studies on population status and berberine content in different provenances of Berberis aristata DC in H.P. and standardization of its propagation techniques | FRI-329/Chem-15/External/2005-2008 |
| Project 13 | Ecorestoration studies in Uranium mines | FRI-265/Eco-14/ External/2005- 2009 |
| Project 14 | Forest fire monitoring and management | FRI-295/Eco-17/External/2005- 2007 |
| Project 15 | Impacts of tourism on environment of Roopkund and Pindari areas of Nanda Devi Biosphere Reserve of Uttaranchal | FRI-280/Eco-15/External/ 2004-2007 |
| Project 16 | Income generation for women in rural areas of Uttaranchal through vermicomposting of organic solid waste into manure | FRI-/Eco-16/External/2005-2008 |
| Project 17 | Restoration of biodiversity in the hills of Kujapuri following Badrivan Restoration Approach | FRI-264/Eco-15/External/2004-2007 |
| Project | Garden of the Great Arc | FRI-263/Eco-12/External/ |

| | | |
|------------|--|--------------------------------------|
| 18 | | 2004-2008 |
| Project 19 | Biotechnological approaches for improvement of plant species with special reference to pulp and paper | FRI-267/FPD-48/External/2004-2006 |
| Project 20 | Deployment of the promising F1 hybrids of Eucalyptus citriodora and Eucalyptus torelliana for establishment of vegetative multiplication garden and their field trials | FR-338/GandTP-17/External/2006-2009 |
| Project 21 | Follow up-project on advance genetic improvement in SPA, SO and Progeny trials of different forest tree species in Punjab | FRI-339/GandTP 18/External/2006-2009 |
| Project 22 | Genetic improvement of Asparagus racemosus (Wilf) to enhance root production and saponin content | FRI-340/GandTP-19/External/2005-2008 |
| Project 23 | Study on pathogenic and molecular variability in Fusarium solani causing shisham (Dalbergia sissoo) wilt. | FRI-272/Path-17/External/2004-2007 |
| Project 24 | Researches on natural decay resistance of juvenile timbers like poplars | FRI- 283/Path-18/External/2005-2008 |
| Project 25 | Collection and dissemination of market information on commercially important medicinal plants of Uttaranchal | FRI-282/RSM-16/External/2005-2008 |
| Project 26 | Preparation of local volume tables of khair, sal, shisham and teak for UP Forest Development Corporation, Lucknow | FRI-255/RSM-15/ External/ 2003-2008 |
| Project 27 | Preparation of Management Plan of Sukhna Wildlife Sanctuary and Working Plan of Chandigarh Forest Division | FRI-273/RSM-15/ External/ 2004-2008 |
| Project 28 | Preparation of Working Plan for Dadra and Nagar Haveli Forest Division | FRI-328/NWFP-20/External/2005-2008 |
| Project 29 | Technology transfer and development of a model village by skill upgradation and capacity building of rural communities for socio-economic upliftment | FRI- 287/PLO-1/External/2005-2008 |
| Project 30 | Farm forestry extension and its marketing and economic linkages | FRI- 367/RSM-18/External/2005-2008 |
| Project 31 | Development of genetically superior planting material and cultivation technology for increasing productivity of Jatropha curcas Sub-Project: Seed Technology | FRI- 286/Silva-23/External/2005-2008 |
| Project 32 | Genetic improvement of Jatropha curcas for adaptability and oil yield | FRI- 293/Silva-24/External/2005-2010 |
| Project 33 | Development of silvicultural practices for promoting cultivation of Taxus baccata, Rhododendron arboreum and Phyllanthus amarus | FRI- 294/Silva-25/External/2005-2008 |
| Project 34 | Development of technological package for the production and quality evaluation of seeds of important medicinal plant species under National Medicinal Plant Board | FRI-285/Silva-22/External/2004 2007 |

VI. Annual Budget: The annual budget of ICFRE is presented in the table below:

| Sl No. | Budget Component | 2006-07 Rs. In crores | 2007-08 Rs. In crores | 2008-09 Rs. In crores | 2006-07 In USD | 2007-08 In USD | 2008-09 In USD |
|--------|------------------|-----------------------------|-----------------------------|-----------------------------|-------------------|----------------------|-------------------|
| 1 | Plan | 55.03 | 54.00 | 87.93 | 11194060.21 | 10984540.28 | 17886493.08 |
| 2 | Non-Plan | 14.00 | 17.00 | 17.69 | 284784.38 | 3458096.01 | 3598454.03 |
| 3 | North-East | 4.00 | 5.00 | 5.00 | 813669.65 | 1017087.06 | 1017087.06 |
| 4 | Revenue receipt | 4.11 | 3.04 | 3.15 | 836045.57 | 618388.93 | 640764.84 |

Note: 1 crore equals Rs.10, 000,000

VII. Procurement

The ICRFE follows the general procurement rules applicable to all ministries of Departments regarding procurement of goods required for use in the public service. This includes financial powers of procuring goods in public interest and the responsibility and accountability to bring efficiency, economy, and transparency in matters relating to public procurement and for fair and equitable treatment of suppliers and promotion of competition in public procurement. The ICRFE applies the following principles:

- Need for economy and efficiency
- Need for high quality services
- Fair opportunity to all eligible bidders
- Development of domestic contracting, manufacturing and consulting firms
- Transparency in procurement process

The following procurement methods are used by ICRFE for different value and technology:

Goods, Works and Services (Other than Consultancy Services):

- International Competitive Bidding (ICB)
- National Competitive Bidding (NCB)
- Limited Competitive Bidding (LCB)
- Shopping for goods (including use of rate contracts) and Civil Works
- Direct Contracting

Consultancy Services

- Quality and Cost- Based Selection (QCBS)
- Quality- Based Selection [QBS]
- Selection Under Fixed a Fixed Budget (FBS)
- Least- Cost Selection [LCS]
- Selection Based on the Consultants' Qualification (CQS)
- Single Source Selection (SSS)

Proprietary goods

- Through Direct contracting the firm owning the brand.

X. Contacts

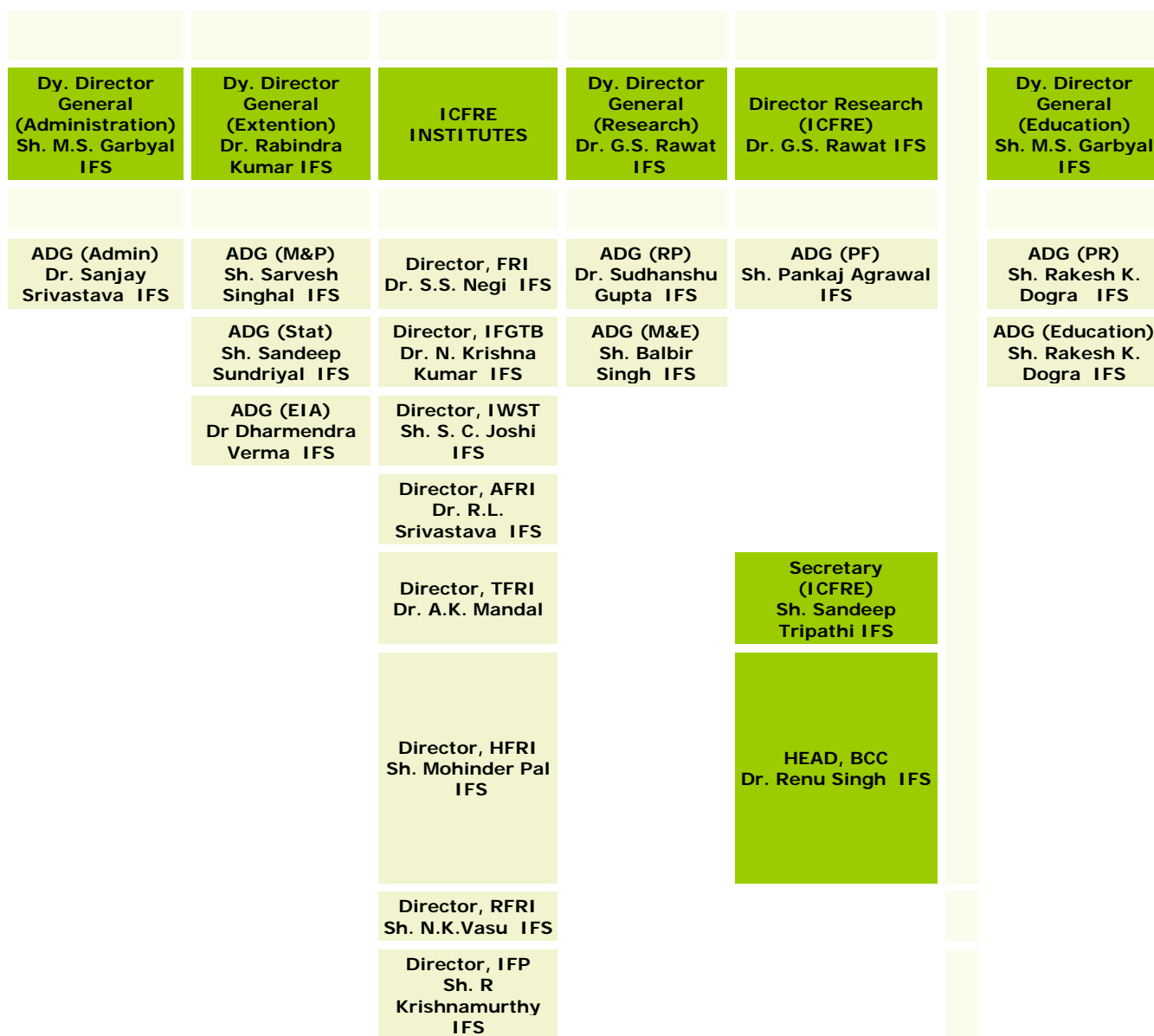
| Name | Designation | Tel. Office | Tel. Res. | E-Mail |
|--------------------------|-------------------------------------|---------------------|-----------------|--|
| Sh. Jagdish Kishwan, IFS | Director-General, ICFRE Dehradun | +91-135- 2759382 | +91-135-2754748 | <u>dg@icfre.org</u> <u>jkishwan@icfre.org</u> |

Enclosure 1: Organigram of ICFRE

ICFRE SOCIETY
President
Sh. Sevugan Regupathy
Ministry of Environment & Forest
(Government of India)

Board of Governors
Sh. Vijai Sharma IAS
Chairman, Secretary, MoEF

Chief Executive
Sh. Jagdish Kishwan IFS
Director General



ANNEX E: BUDGETING & COSTS

Medium Size Project: Policy and Institutional Reform for Mainstreaming and Upscaling SLEM in India (Appraisal)

| S. No | Description | Unit cost in USD | Year 1 | Year 2 | Year 3 | Financing in USD | | | Remarks |
|------------|--|---------------------|-----------|-----------|-----------|------------------|----------------------|-----------|--|
| | | | | | | GEF Financing | MSP Co- Financing | Total | |
| 1 | Consultant Services | | | | | | | | |
| 1.1 | Technical Specialists/ Experts | | | | | | | | |
| 1.1a | Specialist(Land Degradation) | 850.00 | 10,200.00 | 10,200.00 | 10,200.00 | 30,600.00 | - | 30,600.00 | Unit cost is cost per man-month |
| 1.1b | Specialist (Biodiversity Conservation) | 850.00 | 10,200.00 | 10,200.00 | 10,200.00 | 30,600.00 | - | 30,600.00 | Unit cost is cost per man-month |
| 1.1c | Specialist (Climate Change Adaptability) | 850.00 | 10,200.00 | 10,200.00 | 10,200.00 | 30,600.00 | - | 30,600.00 | Unit cost is cost per man-month |
| 1.1d | M&E Specialist | 850.00 | 10,200.00 | 10,200.00 | 10,200.00 | 30,600.00 | - | 30,600.00 | Unit cost is cost per man-month |
| 1.1e | Policy Analyst | 850.00 | 10,200.00 | 10,200.00 | 10,200.00 | 30,600.00 | - | 30,600.00 | Unit cost is cost per man-month |
| 1.1f | Communications Specialist | 750.00 | 9,000.00 | 9,000.00 | 8,543.53 | 26,543.53 | - | 26,543.53 | Unit cost is cost per man-month |
| 1.1g | Coordinator at MoEF | 750.00 | 8,543.53 | 8,543.53 | 8,543.53 | 25,630.59 | - | 25,630.59 | Unit cost is cost per man-month |
| 1.1h | Engaging subject specialists or Agency (on job or issue basis) | 1,017.09 | 4,068.35 | 6,102.52 | 10,170.87 | 20,341.74 | - | 20,341.74 | Unit cost is cost per job |
| 1.1i | Inter Institutional Coordination | lump sum | 1,000.00 | 3,000.00 | 3,000.00 | 7,000.00 | - | 7,000.00 | |
| 1.2 | Technical Support by ICFRE Divisions | | | | | | - | - | |
| 1.2a | Head Biodiversity & Climate Change | 1,779.90 | 10,679.40 | 10,679.40 | 10,679.40 | - | 32,038.20 | 32,038.20 | 1. Six man months will be availed from each Division for the project in an year. 2.IT Cell shall provide 8 man months in an year. 3.Each of the two nodal officers from each institutes/Centers will render 2 man months per year. |
| 1.2b | Scientist Biodiversity & Climate Change | 1,017.09 | 6,102.52 | 6,102.52 | 6,102.52 | - | 18,307.57 | 18,307.57 | |
| 1.2c | Policy Research | 1,779.90 | 10,679.40 | 10,679.40 | 10,679.40 | - | 32,038.20 | 32,038.20 | |
| 1.2d | Statistics | 1,780.90 | 10,685.40 | 10,685.40 | 10,685.40 | - | 32,056.20 | 32,056.20 | |
| 1.2e | Soil Conservation | 1,781.90 | 10,691.40 | 10,691.40 | 10,691.40 | - | 32,074.20 | 32,074.20 | |
| 1.2f | Ecology | 1,782.90 | 10,697.40 | 10,697.40 | 10,697.40 | - | 32,092.20 | 32,092.20 | |

| S. No | Description | Unit cost | Year 1 | Year 2 | Year 3 | Financing in USD | | | Remarks |
|------------|--|-----------|-----------|-----------|-----------|-------------------|-------------------|---------------------|---|
| | | | | | | GEF Financing | MSP Co-Financing | Total | |
| 1.2g | Natural Resource Management | 1,783.90 | 10,703.40 | 10,703.40 | 10,703.40 | - | 32,110.20 | 32,110.20 | |
| 1.2h | Non Wood Forest Products | 1,784.90 | 10,709.40 | 10,709.40 | 10,709.40 | - | 32,128.20 | 32,128.20 | |
| 1.2i | Media and Communication | 1,785.90 | 10,715.40 | 10,715.40 | 10,715.40 | - | 32,146.20 | 32,146.20 | |
| 1.2j | IT Cell | 1,017.09 | 8,136.70 | 8,136.70 | 8,136.70 | | 24,410.09 | 24,410.09 | |
| 1.2k | Nodal Officers (8 field Institutes and 4 Centers) | 1,830.76 | 87,876.32 | 87,876.32 | 87,876.32 | - | 263,628.96 | 263,628.96 | |
| 1.2l | Assistant Director General (EIA) | 1,830.76 | 10,984.56 | 10,984.56 | 10,984.56 | | 32,953.68 | 32,953.68 | |
| 1.2m | Deputy Director General Extension | 2,034.17 | 12,205.02 | 8,136.68 | 8,136.68 | - | 28,478.38 | 28,478.38 | |
| | | | | | | | | | |
| 1.3 | Training Programme | | | | | | | | |
| 1.3a | Stakeholder Group Training (Project Implementing members and other Government and Non-Governmental institutions involved in SLEM Activities) | 6,102.52 | 12,205.04 | 18,307.56 | 24,410.08 | 54,922.68 | - | 54,922.68 | Unit cost is cost per training |
| 1.3b | Workshop/Conference/Seminar | 10,170.87 | 20,341.74 | 40,683.48 | 40,683.48 | 101,708.70 | - | 101,708.70 | Unit cost is cost per workshop |
| | | | | | | | - | | |
| 1.4 | Consultant Studies | | | | | | - | | |
| 1.4a | Preparation of Comprehensive base line analysis | lump sum | 27,375.92 | 32,375.92 | - | 59,751.83 | - | 59,751.83 | Study will be done over a period of two years |
| 1.4b | Hiring Auditors | 9,000.00 | 9,000.00 | 9,000.00 | 9,000.00 | 27,000.00 | - | 27,000.00 | |
| | Sub-total for Consultant Services | | | | | 475,899.07 | 624,462.27 | 1,100,361.35 | |
| | | | | | | | | | |
| 2 | Project Management Costs | | | | | | | | |
| 2.1 | Staff costs** | | | | | | | | |
| 2.1a | Project Director | 1,779.90 | 21,358.80 | 21,358.80 | 21,358.80 | - | 64,076.40 | 64,076.40 | Unit cost is cost per man-month |
| 2.1b | Scientist | 1,017.09 | 12,205.08 | 12,205.08 | 12,205.08 | - | 36,615.24 | 36,615.24 | Unit cost is cost per man-month |
| 2.1c | clerk-1 | 406.83 | 4,881.96 | 4,881.96 | 4,881.96 | - | 14,645.88 | 14,645.88 | Unit cost is cost per man-month |
| 2.1d | Accountant | | | | | | | | Unit cost is cost per man-month |

| S. No | Description | Unit cost | Year 1 | Year 2 | Year 3 | Financing in USD | | | Remarks |
|------------|--|-----------|-----------|-----------|-----------|------------------|------------------|------------|-----------------------------------|
| | | | | | | GEF Financing | MSP Co-Financing | Total | |
| | | 305.13 | 3,661.56 | 3,661.56 | 3,661.56 | 10,984.68 | - | 10,984.68 | |
| 2.1e | clerk-2 | 142.39 | 1,708.68 | 1,708.68 | 1,708.68 | 5,126.04 | - | 5,126.04 | Unit cost is cost per man-month |
| 2.1f | Office-assistance-3 No. | 305.13 | 3,661.56 | 3,661.56 | 3,661.56 | 10,984.68 | - | 10,984.68 | Unit cost is cost per man-month |
| 2.1g | Secretarial assistance | 152.56 | 1,830.72 | 1,830.72 | 1,830.72 | 5,492.16 | - | 5,492.16 | Unit cost is cost per man-month |
| 2.1h | Driving assistance | | | | | - | - | - | Unit cost is cost per man-month |
| 2.1i | Procurement Officer | 1,779.90 | 21,358.80 | 21,358.80 | 21,358.80 | - | 64,076.40 | 64,076.40 | Unit cost is cost per man-month |
| 2.1j | Procurement clerk | 406.83 | 4,881.96 | 4,881.96 | 4,881.96 | - | 14,645.88 | 14,645.88 | Unit cost is cost per man-month |
| 2.1k | Financial Advisor | 1,779.90 | 21,358.80 | 21,358.80 | 21,358.80 | - | 64,076.40 | 64,076.40 | Unit cost is cost per man-month |
| 2.1l | Finance clerk -1 | 406.83 | 4,881.96 | 4,881.96 | 4,881.96 | - | 14,646.05 | 14,646.05 | Unit cost is cost per man-month |
| 2.1m | Accounts Clerk | 406.83 | 4,881.96 | 4,881.96 | 4,881.96 | - | 14,646.05 | 14,646.05 | Unit cost is cost per man-month |
| 2.1n | DDO | 935.72 | 11,228.64 | 11,228.64 | 11,228.64 | - | 33,685.92 | 33,685.92 | Unit cost is cost per man-month |
| | | | | | | | | | |
| 2.2 | Recurrent costs | | | | | | | | |
| 2.2a | Travel costs -Rs 30,000/- per person for 5 days | 1,830.76 | 73,230.40 | 73,230.40 | 54,922.80 | 201,383.60 | - | 201,383.60 | Unit cost is cost per visit- |
| 2.2b | Office stationary/Consumables | 508.54 | 6,102.48 | 6,102.48 | 6,102.48 | 18,307.44 | - | 18,307.44 | Unit cost is cost per month |
| 2.2c | Publications | 3,051.26 | 9,153.78 | 18,307.56 | 18,307.56 | 45,768.90 | | 45,768.90 | Unit cost is cost per publication |
| 2.2d | Communication costs | 203.42 | 2,441.04 | 2,441.04 | 2,441.04 | 7,323.12 | - | 7,323.12 | Unit cost is cost per month |
| 2.2e | National Steering Committee (meetings and related costs) | 3,051.26 | 6,102.52 | 12,205.04 | 12,205.04 | 30,512.60 | - | 30,512.60 | Unit cost is cost per meeting |
| 2.2f | Office space | 19,426.36 | 19,426.36 | 19,426.36 | 19,426.36 | - | 58,279.08 | 58,279.08 | |
| 2.2g | Vehicle on hire | 7,000.00 | 7,000.00 | 7,000.00 | 7,000.00 | 21,000.00 | - | 21,000.00 | |
| | | | | | | | | | |
| 2.3 | Establish and Operate M&E System | | | | | | | | |
| 2.3a | Data collection & Data Processing | lump sum | 7,500.00 | 7,500.00 | | 15,000.00 | - | 15,000.00 | |
| 2.3b | Report preparation | lump sum | 3,000.00 | 3,000.00 | 3,000.00 | 9,000.00 | - | 9,000.00 | |

| S. No | Description | Unit cost | Year 1 | Year 2 | Year 3 | Financing in USD | | | Remarks |
|----------|---|-----------|-----------|----------|----------|-------------------|---------------------|---------------------|----------------------------|
| | | | | | | GEF Financing | MSP Co-Financing | Total | |
| 2.3c | Web designing | 4,068.35 | 4,068.35 | 4,068.35 | 4,068.35 | 12,205.05 | - | 12,205.05 | Unit cost is cost per year |
| | Sub Total For Project Management | | | | | 393,088.27 | 379,393.30 | 772,481.57 | |
| 3 | Goods | | | | | | | | |
| 3.1 | Office Furniture | 20,219.69 | 20,219.69 | - | - | 20,219.69 | - | 20,219.69 | |
| 3.2 | Office Equipment**** | | 28,000.00 | - | | 28,000.00 | | 28,000.00 | |
| | Sub Total for Goods | | | | | 48,219.69 | | 48,219.69 | |
| | Total | | | | | 917,207.03 | 1,003,855.57 | 1,921,062.61 | |
| | Contingencies (7%) | | | | | 64,204.49 | - | 64,204.49 | |
| | GRAND TOTAL | | | | | 981,411.53 | 1,003,855.57 | 1,985,267.10 | |

* State INR - USD conversion rate

1USD=48.0INR

** The World Bank will not pay the salaries of the staff. Salaries of the staff of the implementing organisation will be counted as counterpart finance.

***Travel costs per consultant include - daily fees + per diem + travel/ transport costs

**** This includes computers, printers, scanner, photocopier, camera, heat convectors, ACs

ANNEX F: FINANCIAL MANAGEMENT SYSTEMS, REPORTING AND AUDITING

FM Assessment

GEF Grant of US\$ 981,000 for MSP services of ICFRE

Implementation Arrangements

1. ICFRE is registered as a society under the Societies Act and is functional from 1991. Implementing and key counterpart entity for this grant is ICFRE. A Project Implementation Unit (PIU) led by Project Director will execute this project. The cell has already been commissioned to carry out the preparation work.
2. Project Director shall be the responsible official and contact person for the Bank on all matters concerning the grant. The Project Director will be assisted by the FA&CAO of ICFRE and such other persons required for implementing the grant. The PD and FA&CAO will be responsible for all matters relating to financial management of the grant i.e., maintenance of separate accounts and records, transactional and financial control, submission of the Statement of Sources and Uses of Funds to audit and onward transmission of the audit report to the Bank. It may be noted that all goods, works and services to be procured out of grant funds will be done using the Bank's procedures.

Project Budgeting and Funds Flow

3. ICFRE uses bank account concept for funds. Grant funds will flow through directly from World Bank to ICFRE.
4. ICFRE has agreed to open a specific bank account in Union Bank of India. This bank account would be exclusively used for receiving and spending money related to this project and would be operated by the DDO under the guidance of Project Director and CAFAO.
5. Once the project agreement is signed the budget head would be created by the accounts department. The project director would prepare the annual budget requirements and would get the same approved by the DG. **The annual work plan would also be approved by the National Steering Committee of the SLEM project.** Once the budget is approved the same would be entered in the financial system after which expenditure can be incurred. Parallel to this activity, the bank account would be opened with the permission from DG.

Accounting and Reporting

6. The responsibility of accounting for the grant funds will vest with the Project Director and FA & CAO of the PIU.
7. The grant funds will be accounted for in a separately maintained bank account, cash book and books of account. Separate ledger accounts will be maintained by the PIU for the grant funded activity to record utilization of funds for the purpose/ purposes intended supported by annual audit certification.
8. ICFRE uses computerized accounting software for preparation of accounts. For the project in the accounting system they would open separate cash book and corresponding ledgers which would result in capturing the accounts for this project exclusively and reporting on them separately.

9. The following accounting reports would be generated from the software for the TF:
 - a. Receipts and payment statement
 - b. Cash book and bank book
 - c. General ledger

The format of the financial statements to be certified by the auditor is outlined at the end of this note.

10. All grant related receipts and payments/ withdrawals will be reconciled with monthly bank statements.
11. All equipments purchased would be accounted as assets and maintained in the FAR.
12. Staffing at the ICFRE: Even though the number of staff is limited, the staff are mostly commerce graduates who understand project accounting. The accounts section would hire one accounts clerk who would be commerce graduate, and nominate him for carrying out the work and he would work under the guidance of head clerk for maintaining the accounts and records for the project.
13. A simple statement of sources and use of funds (Interim Unaudited Financial Report) in the format attached will be used for reporting. This statement shall be submitted to the Bank on a quarterly basis.

Disbursement Arrangements:

14. Disbursements from Grant will be made based on quarterly Interim unaudited financial reports¹ (IUFRR) submitted by the project. These IUFRRs would reflect the actual expenditure for the grant components. Any advances given by the project would be separately shown in the IUFRRs.
15. The bank will finance actual expenditures that are made on grant components as reported in the IUFRRs. All expenditures reported in the IUFRRs will be subject to confirmation/certification by the annual audit reports. Any discrepancies between the expenditure reported by the annual audited IUFRRs and those reported in the annual audit reports will be adjusted in subsequent disbursements. The format of IUFRR is outlined in the assessment note.
16. **A designated account would be maintained in a commercial bank² by ICFRE and** would be operated in accordance with the Bank's operational policies. As initial advance **\$1,00,000** of the grant would be transferred to the Designated Account. The project will submit withdrawal applications to Bank for replenishment of the designated account or reimbursement.

¹ To be submitted within 45 days from end of quarter.

² The bank should be a schedule bank and acceptable to the World Bank.

17. The following are the major type of activities envisaged under the TF:³

| S. No. | Category | Amount in \$ Million |
|--------|--|----------------------|
| 1 | Consultancy services | 0.319 |
| 2 | Project assets – Goods and Equipments | 0.048 |
| 3 | Incremental operating costs (Project Mgmt and M&E) | 0.393 |
| 4 | Training | 0.157 |
| 5 | Unallocated | 0.064 |
| | Total | 0.981 |

18. For ease of disbursement a single category of “Consultancy, Training, Goods, services and IOC” with a reimbursable percentage of 100% would be adopted for this TF. The World Bank will not pay the salaries of the ICFRE staff. ICFRE staff salaries would be counted as counterpart finance. ICFRE would be contributing from their own sources in kind \$1,004,000 which is not reimbursable from the TF. Specific activities which are funded by ICFRE, are outlined in the cost table.

Internal Control

19. All financial controls applicable to routine ICFRE expenditures will also apply to the expenditures made from the grant funds. The PD will verify and pass the payment which would be checked and processed by the accounts department. All payments will be approved/ vetted in accordance with the schedule of powers in place for ICFRE. All grant related receipts and payments/ withdrawals will be reconciled with periodic Bank Statements.
20. As the grant is less than a million dollars, internal audit would be conducted annually. The audit will be conducted by a private firm of Chartered Accountants empanelled with the C&AG. The report would be prepared on an annual basis and would be shared with the bank along with compliance within three months from the end of the financial year.

External Audit

21. The Designated Account, IUFR’s & Project Financial Statement prepared by the PIU will be audited by a private firm of Chartered Accountants empanelled with the CAG and the audit report and audited financial statements (Statement of Sources and Uses of Funds) will be provided to the Bank within six months of the close of the financial year. The selection of the audit firm and ToR shall be intimated to and cleared with the Bank prior to their appointment. The following audit report will be monitored in the Audit Reports Compliance System (ARCS):

| Implementing Agency | Audit | Auditors | Audit Due Date |
|---------------------|--|---------------------------------|--|
| ICFRE | Project Financial Statement/Designated Account | A firm of chartered accountants | 6 months after the end of each fiscal year (March 31 st) |

³ Based on plan submitted by client with proposal.

22. There is an annual cycle of entity audit for ICFRE which will also cover the grant funded activities. However since this a statutory requirement, this audit report would not be tracked in ARCS. But the entity report would be shared by ICFRE with the bank once annual report is published.

Adequacy of FM Arrangements

23. The FM risk rating for the grant is currently rated as **Moderate**. Overall the financial management arrangements at ICFRE after taking the above indicated steps may be considered adequate to support the use of funds under the Grant.

Supervision

24. The supervision will be limited to half yearly supervision as the risk level is moderate. This would require more of desk review rather than on field supervision. Further if any future requirements arise in the field to strengthen the FM/reporting arrangements then field visits would be carried out based on the facts and issues.

Quarterly IUF

| Interim Unaudited Financial Report | | | | | | | |
|---|--------------------------|-------------------------------------|------------------------------------|---------------------------------|---|--------------------------------------|-----------------------|
| Grant No. | | | | Application no. | | | |
| Grant Name | | | | Period | | | |
| | | | | | | | |
| | | Report for the Quarter ending _____ | | | | | |
| | | | | | | INR in Lakhs | |
| Particulars | | Total project budget | Expenditure For the quarter | Expenditure For the year | Cumulative Expenditure till date | Requirement for next 6 months | Budget balance |
| | | A | B | C | D | E | F=A-D |
| Source of Funds | | | | | | | |
| <i>Grant from WB</i> | 1 | | | | | | |
| <i>ICFRE contribution in kind</i> | 2 | | | | | | |
| Total | 1+2 | | | | | | |
| Usage of funds | | | | | | | |
| <i>Consulting services</i> | 3 | | | | | | |
| <i>Training workshop</i> | 4 | | | | | | |
| <i>Goods and equipment</i> | 5 | | | | | | |
| <i>Incremental operating cost</i> | 6 | | | | | | |
| <i>ICFRE own expenditure (ineligible)</i> | 7 | | | | | | |
| Actual expenditure | 3+4+5+6+7 | | | | | | |
| <i>Advances</i> | 8 | | | | | | |
| Total | 3+4+5+6+7+8 | | | | | | |
| | | | | | | | |
| Grant Balance | 1+2-(3+4+5+6+7+8) | | | | | | |
| | | | | | | | |
| Grant requirement for next 6 months | | | | | | | |
| | | | | | | | |
| Grant disbursement requested in this application | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Project Director | | | | | | FACAO | |

** Attach BRS and bank statement for the designated account

Grant Financial Statement

| Grant Financial Statement | | | |
|-----------------------------------|---|-----------------------------|--------------------------|
| Grant No. | | | |
| Grant Name | | | |
| | Project Financial statement as on _____ | | |
| | | | |
| Particulars | | For the Current year | For the Last year |
| | | I | II |
| Source of Funds | | | |
| <i>Grant from WB</i> | (A) | | |
| <i>ICFRE contribution in kind</i> | (B) | | |
| Total | $C=(A+B)$ | | |
| | | | |
| Usage of funds | | | |
| <i>Consulting services</i> | (D) | | |
| <i>Training workshop</i> | (E) | | |
| <i>Goods and equipment</i> | (F) | | |
| <i>Incremental operating cost</i> | (G) | | |
| <i>ICFRE expenditure</i> | (H) | | |
| Actual expenditure | $I=(D+E+F+G+H)$ | | |
| Advances | (J) | | |
| Grant Bank Balance | (K) | | |
| Total | $C=(I+J+K)$ | | |
| | | | |
| | | | |
| | | | |
| Project Director | | | FACAO |

Grant Financial Statement (to be submitted yearly after audit is done)

| Schedules for project expenditure | | | |
|--|-----------------------------------|------------------------------|-----------------------------|
| Grant No. | | | |
| Grant Name | | | |
| | | | |
| Consultancy | Contract Value | Expenditure till date | Contract Balance |
| Consultancy 1 | | | |
| Consultancy 2 | | | |
| Consultancy 3 | | | |
| Consultancy 4 | | | |
| Consultancy 5 | | | |
| Total | | | |
| | | | |
| Assets | Expenditure till last year | For the current year | Cumulative till date |
| Asset Type 1 | | | |
| Asset Type 2 | | | |
| Asset Type 3 | | | |
| Total | | | |
| | | | |
| | | | |
| Other expenses | Expenditure till last year | For the current year | Cumulative till date |
| Office operational expense | | | |
| Training and workshops | | | |
| Total | | | |
| | | | |

Reconciliation of Claims to Total Applications of Funds

Name of the Project _____

Loan / Credit / Grant No. _____

Report for the year ended _____

| | Amt (Rs. '000) | | |
|--|----------------|---------------|-----------------|
| | Current Year | Previous Year | Project to date |
| Bank Funds claimed (A) | | | |
| Withdrawal Claims for 1 st quarter as per FMR | | | |
| Withdrawal Claims for 2 nd quarter as per FMR | | | |
| Withdrawal Claims for 3 rd quarter as per FMR | | | |
| Withdrawal Claims for 4 th quarter as per FMR | | | |
| Total bank funds claimed | | | |
| Total Expenditure made during the year (B) | | | |
| Expenditure as per books of account | | | |
| Less: Outstanding advances (C) | II | | |
| Ineligible expenditures (D) | III | | |
| Total Eligible Expenditures Claimed (E)=(B)-(C)-(D) | IV | | |
| World Bank Share @100% of (E) | V | | |
| Claims in excess of expenditure | I-V | | |

Project Director

FACAO

Date

Date

Notes:

1. Total expenditure made during the year (B above) must be the same as the Total Expenditures shown on the Statement of Sources and Applications of Funds
2. Outstanding Advances (C above) reflect funds drawn but not settled by the end of the year (i.e. unsettled advances).

Designated Account Statement

Name of the Project

Loan / Credit / Grant No.

Report for the period ending_____

Bank Account No.

Depository Bank

Address

Currency

| Particulars | US\$ | Exchange rate | INR |
|---|-------------|----------------------|------------|
| Opening balance as on | | | |
| Add: interest earned | | | |
| Add: Claim received from bank | | | |
| Less: Amount withdrawn for project expenditure | | | |
| Less: Bank charges | | | |
| Add/Less due to foreign exchange gain or loss | | | |
| Closing balance | | | |

** Attach BRS and the bank statement for the designated account

Risk Rating Sheet

| <i>Parameters</i> | <i>Remarks</i> | <i>Residual Risk</i> |
|---|--|----------------------|
| <i>INHERENT RISKS</i> | | |
| <i>Country level (India)</i> Quality of PFM institutions (see PEFA-PMF,CFAA, CPAR, CPIA & other diagnostics), standard of financial accounting, reporting and auditing, quality of FM profession. | The overall country rating is moderate | M |
| <i>Entity level (at PMU level)</i> Independence of entity's management, appropriateness of the organizational structure, impact of civil service rules | ICFRE is a society with independence, separate management and adequately staffed in terms of accounting capabilities | M |
| <i>Project level (at project level)</i> Relative size of the Bank loan, type of lending instrument, complexity of the project (e.g. sectors involved, number of implementing and sub-implementing entities, multi-donor etc.) | TF with very limited contracts mostly for consulting | M |
| <i>OVERALL INHERENT RISK</i> | | M |
| <i>CONTROL RISKS</i> | | |
| Budget | Will create own budget head for the project once the project is signed. | M |
| Accounting | All accounting at HO done by trained staff. Accounting reports for entity prepared on timely basis. Double entry cash based accounting system is being followed. | M |
| Internal Controls | Internal controls well established. They follow GFR based rules with clear demarcation of roles, responsibilities and DOP | M |
| Funds flow | Separate bank account would be opened for monitoring the fund | M |
| Financial Reporting | Accounting is done computerized. The reporting can be done within timelines | M |
| Auditing | Statutory audit being done by independent auditors. Internal audit would be done by CA firm which will be hired as required. | M |
| <i>OVERALL CONTROL RISK</i> | | M |
| <i>RESIDUAL RISK RATING</i> | | M |

ANNEX G: PROCUREMENT ARRANGEMENTS

A. General

1. Procurement for the proposed project would be carried out in accordance with the World Bank's "Guidelines: Procurement under IBRD Loans and IDA Credits" dated May 2004; revised October, 2006 and "Guidelines: Selection and Employment of Consultants by World Bank Borrowers" dated May 2004, revised October 2006 and the provisions stipulated in the Legal Agreement. Procurement under different components is described below. For each contract to be financed by the GEF Grant different procurement methods, consultant selection methods, estimated costs, prior review requirements, and time frame are agreed between the Borrower and the Bank and stipulated in the Procurement Plan. The Procurement Plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity.
2. **Procurement:** The MSP project will be implemented by ICFRE and comprises of three major components:(i) Institutional and policy mainstreaming; (ii) Outreach and knowledge management for scaling up of sustainable land management solutions and (iii) Program management and monitoring and evaluation.
 - 2.1.1 **Institutional and Policy mainstreaming Component** This component focuses and includes putting in place a mechanism for policy and institutional coordination in order to facilitate implementation and monitoring of policy and institutional change; the development of an analytical baseline for harmonizing of SLEM policies; and the creation of an enabling environment for SLEM policy and institutional harmonization This component envisages hiring of consultant services to carry out various studies and conduct workshops.
 - 2.1.2 **Outreach and knowledge management for scaling up of sustainable land management solution:** This activity will be done through identification and development of an inventory of technical SLEM solutions to be disseminated throughout the country and the development of a SLEM CPP communication strategy. This component envisages establishment of Information and Knowledge Database, hiring of consultants supporting the analytical and policy work in three focal areas, and various outreach activities..
 - 2.1.3 *SLEM Program Management and M&E:* The activities to be included under this would include the setting up of an office for the project and development of a program level M&E system which focuses on monitoring results indicators and targets established and functioning at the SLEM program level. *Project Management:* This would include the administrative and operational functioning of the project office. This component envisages hiring consultant services, individual consultant, purchase of office equipment and furniture, training programs, web designing, hiring of vehicle, travel cost etc:
- 2.2 **Procurement of Works:** No procurement of works is envisaged under this project.

- 2.3 **Procurement of Goods:** Goods procured under this project would include: purchase of office equipment, data collection and data analysis, web designing and office furniture adopting DGS&D rate contract or shopping method or NCB depending upon the value of the contract.
- 2.4 **Direct Contracting:** This project does not envisage procurement under direct contracting
- 2.5 **Selection of Consultants:** Selection of Consultant would include hiring of consulting firm, national consultants and individual consultants for implementing all components. Short lists of consultant firms for services estimated to cost less than US\$500,000 or equivalent per contract may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines. NGOs may be hired to implement component two.
- 2.6 **Non-Consulting Services:** If any such services are required, the procurement will be carried out using Bank's SBD as agreed or acceptable to Bank.
- 2.7 **Training:** Training will basically cover training events and workshops organized by ICFRE for knowledge dissemination across the Partnership program, semi- and annual NSC meetings for discussion of policy issues which emerge from the SLEM CPP component projects.
- 2.8 **Operating Cost:** This will mainly include incremental and operating cost for hiring of vehicles, purchase of consumables, maintenance of equipment, purchase of stationery, publication, meeting cost, cost for field/project visits of ICFRE project staff etc.
- 2.9 The procurement procedures and Standard Bidding Documents to be used for each procurement method, as well as model contracts for works and goods procured, and its steps are presented in the Project Implementation Manual.

B. Assessment of the agency's capacity to implement procurement

3. Procurement activities will be carried out by Indian Council of Forestry Research and Education (ICFRE), Dehradun, an autonomous body under the Ministry of Environment and Forestry (MOEF). Program National Steering Committee is created to support MOEF in for overseeing the implementation of the SLEM CPP. The ICFRE which will be specifically responsible for the procurement of Consulting services, purchase of office equipments, furniture, web designing, conducting meeting, workshops etc. Procurement Capacity Assessments have been carried out for ICFRE. The details on the assessments are given below.
- 3.1 **Indian Council of Forestry Research and Education (ICFRE), Dehradun.**
- 3.1.1 **Assessment of MOEF Capacity to Implement Procurement:** An assessment of the capacity of ICFRE to implement the procurement arrangements has been carried out by

the Bank procurement staff and included (a) a review of the organizational structure for implementing the project, and (b) interaction with the concerned procurement staff of ICFRE. The ICFRE has earlier handled World Bank assisted projects and they have made procurement following the Bank's Procurement Guidelines. An official working for the ICFRE, has been identified to look after the procurement activities of this project. He has not been trained in Bank's procurement procedure. However the GOI procurement rules followed by ICFRE are in line with Bank procurement guidelines. They follow the provisions contain in GFR 2005. The approval process is multilayer and time consuming.

3.1.2 **Procurement Risks and Mitigation Measures:** Bulk of the procurement under the MSP project falls and will be undertaken by the ICFRE and the value of the procurement also very small. As such the project does not carry a significant risk related to the equipment being procured by ICFRE.

3.1.3 The ICFRE will also publish information of contracts entered into by it and costing above INR 1,000,000 (US\$25,000 approximately) on its website to bring about transparency in decision making. ICFRE will maintain all records relating to procurement for up to 2 years after the close of the project. ICFRE will also maintain a separate record relating to complaints and their redressal.

3.4 Risks related to procurement and Mitigation Plan

The following table lists perceived procurement related risks and the mitigation plan.

| Perceived Risk | Action Completion | Mitigation measures |
|--|---|--|
| 1.No uniform procurement procedure and SBD's across the country. | 1.During project implementation phase | 1. Bank Procurement Guidelines, SBD's will be used by all the implementing/procuring agencies to have uniformity in procurement under the project. Also for uniformity and capacity building guidelines, templates, standard bidding documents, standard evaluation reports shall be collated and shared with ICFRE. |
| 2.Documentation Maintenance | 2.During project implementation phase | 2. At the beginning of the project a brief overview of the documents to be maintained and filed would be discussed with ICFRE. Subsequently during project implementation, the record keeping and documentation regarding procurement will be monitored. |
| 3.Probability of staff handling procurements being transferred | 3.During project implementation phase | 3. Agree with the PIA that the trained procurement staff will normally not to be transferred during the project period |
| 4. Capacity Building & training | 4. During project implementation phase | 4 .A project launch workshop which covers review of procurement plans and responsibilities and as capacity building measures to ensure the necessary capacity in ICFRE will be carried jointly with the Bank. An assessments updates of ICFRE procurement capacity will be carried during supervision. |
| 5.Contract Management | 5. Every quarter after the project is declared effective. | 5. A quarterly report of all ongoing contracts and a detailed status report including contract management issues such as delays, |

| | | |
|---|--|--|
| 6. Establish a Complaint redressal mechanism. | 6. Every quarter after the project is declared effective | payment, etc will be submitted to the Project Director in ICFRE and reviewed by him. The report will be simultaneously submitted to the Bank. 6.A quarterly report of all complaints received and action taken will be submitted to the Project Director at ICFRE fro his review and simultaneously submitted to the Bank |
|---|--|--|

4. Procurement Thresholds:

- 4.1 *Goods and equipment* - All contracts for goods and equipment between US\$ 200,000 and US\$ 20,000 will be procured following NCB procedures. Contracts below US\$ 20,000 or equivalent may be procured following shopping procedures. No ICB procurements is anticipated. Proprietary items and software may be procured following Direct Contracting Procedures after Bank’s prior approval. For Direct Contract, para 3.6 and 3.7 of the Procurement Guidelines will be followed.
- 4.2 *Works* – No procurement of works is envisaged under this project.
- 4.3 *Consultancy Services* - Procurement of Consultants above US\$200,000 or equivalent shall follow QCBS. Other methods of selection of consultants (QBS, FBS, LCS and CQS) shall follow the Bank guidelines for selection and employment of consultants and shall be limited to US\$100,000 or equivalent in each case. Single source selection for consultancies identified and included in the Procurement Plan, such contracts shall be limited to US\$50,000 or equivalent in each case. For Single Source Selection method of selection para 3.9 and 3.10 of the Consultants Guidelines will be followed.

5. Prior Review:

- 5.1 *Goods and equipment* –The first NCB contract irrespective of contract value and all contract value above USD 200,000 or its equivalent.
- 5.2 *Works* – *No works contract is envisaged under this project*

All Direct Contract will be prior reviewed.

- 5.3 *Consultancy services* – all contracts with firms above US\$100,000 or equivalent and with individuals above US\$50,000 or equivalent. All contracts following single source shall be subject to prior review.
- 6. **Post Review:** All contracts not covered under prior review will be subject to post award review. For this review, a sample of the contracts awarded shall be selected annually on a random basis and post award review conducted by the Bank or its representatives. The post review contracts to be reviewed will be 15% of the total post review contracts concluded during the given period of time.

7. **Others:** The ICFRE shall ensure that the Project is carried out in accordance with the provisions of the World Bank Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits (revised October 2006).

C. Procurement Plan

8. At the time of Project appraisal, an overall procurement plan for the first 18 months of project implementation has been prepared with the inputs of ICFRE as the Grant beneficiary. This plan has been agreed between the Grant beneficiary and the Project Team on March 31, 2009 and will be made available at the websites of ICFRE, Dehradun before the MSP is submitted for approval by SAR VP. It will also be made available in the project's database and in the Bank's external website within first three months. The Procurement Plan will be updated in agreement with the Project Team annually or as required to reflect the actual project implementation needs and improvements in institutional capacity.

D. Frequency of Procurement Supervision

9. In addition to the prior review to be carried out by Bank, general review of procurement will be undertaken during full fledged [bi-annual] supervision missions by the DPS.
10. The residual project risk for procurement is MODERATE.

E. Details of the Procurement Arrangements Involving International Competition

11.1 Goods, Works, and Non Consulting Services

- (a) List of contract packages to be procured following ICB and direct contracting:
NO ICB Contract is envisaged under this project.
- (b) ICB contracts estimated to cost above US\$500,000 per contract and all direct contracting will be subject to prior review by the Bank.

11.2 Consulting Services

- (a) List of consulting assignments with short-list of international firms: No international consultancy service is envisaged under this project.
- (b) Consultancy services estimated to cost above US\$100,000, per contract and single source selection of consultants (firms) for assignments estimated to cost above US\$ 50,000 will be subject to prior review by the Bank.
- (c) Short lists composed entirely of national consultants: Short lists of consultants for services estimated to cost less than US\$ 500,000 or equivalent per contract may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

Note on Description of Procedures to be followed by PIUs

National Competitive Bidding Procedures:

- Only model bidding documents for NCB agreed with the GOI Task Force [and as amended from time to time] shall be used for bidding;
- Invitation to bid shall be advertised in at least one widely published national daily news paper, at least 30 days prior to the deadline for the submission of bids;
- No special preference will be accorded to any bidder for price or for other terms and conditions when competing with foreign bidders.
- Rebidding shall not be carried out without the prior concurrence of the Bank. The system of rejecting bids outside a pre-determined margin or 'bracket' of prices shall not be used.
- Except with the prior concurrence of the Bank, there shall be no negotiation of price with the bidders, even with the lowest evaluated bidder;
- Extension of bid validity shall not be allowed without the prior concurrence of the Bank (1) for the first request for extension if it is longer than four weeks and (2) for all subsequent request for extension irrespective of period (such concurrence will be considered by the Bank only in case of Force Majeure and the circumstances beyond the control of Government.
- Two or three envelope system shall not be used.
- Rate contracts entered into by DGS&D shall not be acceptable as a substitute for NCB procedures. Such contracts shall be acceptable for any procurement under Shopping
- The Contractor/supplier/consultant shall permit the Bank and/or persons appointed by the Bank to inspect the Supplier's offices and/or the accounts and records of the Supplier and its sub-contractors relating to the performance of the Contract, and to have such accounts and records audited by auditors appointed by the Bank if required by the Bank

ANNEX H : INTEGRATED SAFEGUARDS DATASHEET (APPRAISAL STAGE)

INTEGRATED SAFEGUARDS DATASHEET APPRAISAL STAGE

Report No.:

Date prepared/updated: 04/09/2009

I. Basic Information

1. Basic Project Data

| | | |
|---|----------------------------------|--------------|
| Country: India | Project ID: P112844 | |
| | Additional Project ID (if any): | |
| Project Name: Policy and Institutional Reform for Mainstreaming and Upscaling Sustainable Land and Ecosystem Management in India (Medium Size GEF Project) | | |
| Task Team Leader: Adriana J Damianova | | |
| Estimated Appraisal Date: March 31, 2009 | Estimated Board Date: 05/28/2009 | |
| Managing Unit: SASDI | Lending Instrument: TAL | |
| Sector: Agriculture Extension and Research; Sub-National Govt. Admin; Gen Agriculture, Fishing and forestry sector | | |
| Theme: Environment policies and institutions; Rural policies and institutions; Land Administration and management; Other Environment & Natural resources management | | |
| IBRD Amount (US\$m.): IDA Amount (US\$m.): GEF Amount (US\$m.): 981,000 PCF Amount (US\$m.): Other financing amounts by source: GOI | | |
| Environmental Category: C | | |
| Is this a transferred project | Yes [] | No [X] |
| Simplified Processing | Simple [X] | Repeater [] |
| Is this project processed under OP 8.00 (Rapid Response to Crises and Emergencies) | Yes [] | No [X] |

2. Project Objectives:

The goal of Sustainable Land and Ecosystem Management Country Partnership Program (SLEM CPP) is to ensure to realization of a holistic approach to sustainable land and ecosystem management throughout India. The proposed MSP project will enhance the institutional and policy framework for harmonization, coordination and monitoring of interventions in agricultural and natural resources management strategies. The aim is to promote sustainable land management and enhance agricultural productivity while minimizing environmental impacts.

3. Project Description:

Sustainable Land and Ecosystem Management Country Partnership Program (SLEM CPP) is an umbrella project which comprises several component projects led by three GEF Implementing Agencies (IA): the World Bank, UNDP and FAO. The proposed MSP Policy and Institutional Reform for Mainstreaming and Upscaling Sustainable Land and Ecosystem Management project is designed to strengthen the institutional and management functions of the Indian institutions responsible for the SLEM CPP, necessary to ensure effective mainstreaming of SLEM policies, monitoring and evaluation of the outcomes of SLEM partnership activities as well as to streamline the partnership coordination of GOI agencies and stakeholders. Each of the three IA organizations leads projects funded under CPP which contribute to the partnership objective. The CPP will pursue a multi-sectoral approach with involvement of several ministries and state departments as well as government and non-government partners. The overall program objectives could be only achieved if a strong coordination function is in place with a responsibility for ensuring that the available resources (GEF and non-GEF resources) are invested in activities that bring an added value to achieving the global environmental benefits.

The MOEF being the nodal Government agency for the SLEM CPP through a Technical Facilitation Organization (TFO) has put in place a robust implementation, monitoring and oversight framework for the program. The Indian Council of Forestry Research and Education (ICFRE), Dehradun, an autonomous society, under the MoEF is the TFO selected for the implementation of the MSP. The activities to be undertaken by the TFO will include coordination, planning, cooperation, outreach, and implementation and M&E functions of the program (each project under the program will have its own dedicated M & E function). The proposed implementation arrangements are designed to ensure that the lessons learnt from these projects are mainstreamed into institutional strategies and scaled up into land management policy.

The responsibility of the Technical Facilitation Organization (TFO) is to support the realization of the vision at national and state levels. The TFO will ensure the collection of knowledge and learning of experiences from all of India and on that basis formulate recommendations for policy, strategy and approaches for sustainable land and ecosystem management for each sector. The TFO will also disseminate the learning to other agencies including the civil society in order for them to benefit from the knowledge and incorporate them into their programs. The TFO will derive lessons learnt from the projects participating in SLEM and also provides them with technical backstopping when requested.

The MSP will have three blocks of activities:

(1) Institutional policy and mainstreaming: This will include services for developing analytical baselines for harmonization of SLEM policy, and technical instruments to monitor the progress of mainstreaming SLEM into policy. It will also support an inter-institutional mechanism for SLEM policy coordination with MoA, MRD, MoEF and other key GoI agencies.

(2) Outreach and knowledge management for scaling up of sustainable land management solutions: This will include inventorying of technical solutions and applicable practices for SLEM and establishing a database which will be accessible to sectoral organizations and public. The technical base will be used for training and outreach activities. Learning and experiences in

the social dimensions of sustainable land degradation will also be gathered and applied to the development of state and national policy, strategy and approaches. Outreach activities will be conducted to include NGOs and multilateral agencies to participate in the program.

(3) Program management and monitoring and evaluation: An SLEM-CPP Operational manual, M&E and reporting system to monitor global, state, and local level parameters of SLEM programmatic outcomes will be developed as priority during year one.

4. Project Location and salient physical characteristics relevant to the safeguard analysis:

The implementation of the project will be the responsibility of MOEF and will housed in the Indian Council of Forestry Research and Education (ICFRE), Dehradun.

This project focus is on institutional establishment for coordination of the program and foundations of policy improvements and will not be implementing any physical activities. Therefore, it will not have any significant environmental or social impacts. Each of the individual GEF projects under the partnership will be coordinated by the sectoral implementing agency and will project specific environmental and social assessments based on the safeguards rating assigned to the project. The MSP will not support any physical interventions or inputs related to field activities that may affect people, ecosystems, built or non-built environment and thus require specific environmental and social management frameworks. Therefore the proposed safeguards category for the Policy and Institutional Reform for Mainstreaming and Upscaling Sustainable Land and Ecosystem Management (MSP) is “C”.

5. Environmental and Social Safeguards Specialists on the Team:

Yuka Makino (SASDI) Natural Resources Management Specialist
 Kumar Amarendra Narayan Singh (SASDI) Social Development Specialist

| 6. Safeguard Policies Triggered <i>(please explain why)</i> | Yes | No |
|--|------------|-----------|
| Environmental Assessment (OP/BP 4.01) | | X |
| Natural Habitats (OP/BP 4.04) | | X |
| Forests (OP/BP 4.36) | | X |
| Pest Management (OP 4.09) | | X |
| Physical Cultural Resources (OP/BP 4.11) | | X |
| Indigenous Peoples (OP/BP 4.10) | | X |
| Involuntary Resettlement (OP/BP 4.12) | | X |
| Safety of Dams (OP/BP 4.37) | | X |
| Projects on International Waterways (OP/BP 7.50) | | X |
| Projects in Disputed Areas (OP/BP 7.60) | | X |

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

N/A

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

N/A

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts:

N/A

4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described:

The Ministry of Environment and Forest (MoEF) is the nodal point of this project and is responsible for the preparation, and leading the implementation of Government policies related to sustainable land management, biodiversity conservation and climate change. The MoEF has designated the Indian Council of Forestry Research and Education (ICFRE), Dehradun as the Technical Facilitation Organization for coordinating, planning, cooperation, outreach, and implementation, monitoring and evaluation of the Sustainable Land and Ecosystem Country Partnership Program (SLEM-CPP). The organization is lead Indian organization in environmental conservation, applied research covering various aspects of climate change, biological diversity, combating desertification and sustainable management of natural resources. Therefore the ICRFE's capacity is deemed appropriate to manage the project and program aspects related to global and local ecological concerns.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people:

This project is a partnership program and the key stakeholders are the government and donor organizations undertaking projects related to land degradation and sustainable development. Currently confirmed partners are UNDP, FAO and the World Bank. The projects that will be monitored under this program are: UNDP – “Sustainable Land Management in Shifting Cultivation Areas of Nagaland for Ecological” and “Livelihood Security and Integrated Land Use Management to Combat Land Degradation in Madhya Pradesh”; FAO – “Reversing environmental degradation through the propagation of Sustainable Land Management among resource poor communities in Southern India: A hydrological unit pilot project approach”; and the World Bank – “Sustainable Rural Livelihood Security through Innovations in Land Management” and “Ecosystem Management for Improved Livelihoods in Uttarakhand Watershed Sector”.

The individual parent projects supported under the SLEM CPP and financed by the World Bank have carried out environmental and social due diligence and have prepared the necessary Environmental and Social Assessments including consultations and disclosure of safeguard policies in their specific regions:

- National Agricultural Innovation Project (NAIP) – “in-country” disclosure 12/01/05 and submission to Infoshop – 12/12/05.
- Uttarakhand Decentralized Watershed Development Project (UDWDP) - “in-country” disclosure 01/28/04 and submission to Infoshop – 02/12/04.

For the purposes of additional financing to above parent projects the existing ESMFs will be used as needed.

| | |
|---|--|
| <i>B. Disclosure Requirements Date</i> | |
| Environmental Assessment/Audit/Management Plan/Other: | |
| Was the document disclosed <i>prior to appraisal?</i> | |
| Date of receipt by the Bank | |
| Date of "in-country" disclosure | |
| Date of submission to InfoShop | |
| For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors | |
| Resettlement Action Plan/Framework/Policy Process: | |
| Was the document disclosed <i>prior to appraisal?</i> | |
| Date of receipt by the Bank | |
| Date of "in-country" disclosure | |
| Date of submission to InfoShop | |
| Indigenous Peoples Plan/Planning Framework: | |
| Was the document disclosed <i>prior to appraisal?</i> | |
| Date of receipt by the Bank | |
| Date of "in-country" disclosure | |
| Date of submission to InfoShop | |
| Pest Management Plan: | |
| Was the document disclosed <i>prior to appraisal?</i> | |
| Date of receipt by the Bank | |
| Date of "in-country" disclosure | |
| Date of submission to InfoShop | |
| * If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP. | |
| If in-country disclosure of any of the above documents is not expected, please explain why: | |
| | |

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

| | | | |
|---|---------|--------|-----------|
| OP/BP 4.01 - Environment Assessment | | | |
| Does the project require a stand-alone EA (including EMP) report? | Yes [] | No [] | N/A [X] |
| If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report? | | | |
| Are the cost and the accountabilities for the EMP incorporated in the credit/loan? | | | |
| OP/BP 4.04 - Natural Habitats | | | |
| Would the project result in any significant conversion or degradation of critical natural habitats? | Yes [] | No [] | N/A [X] |
| If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank? | | | |
| OP 4.09 - Pest Management | | | |
| Does the EA adequately address the pest management issues? | Yes [] | No [] | N/A [X] |
| Is a separate PMP required? | Yes [] | No [] | N/A [X] |
| If yes, has the PMP been reviewed and approved by a safeguards specialist or Sector Manager? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist? | | | |
| OP/BP 4.11 – Physical Cultural Resources | | | |
| Does the EA include adequate measures related to cultural property? | Yes [] | No [] | N/A [X] |
| Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on physical cultural resources? | | | |
| OP/BP 4.10 - Indigenous Peoples | | | |
| Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples? | Yes [] | No [] | N/A [X] |
| If yes, then did the Regional unit responsible for safeguards or Sector Manager review the plan? | | | |
| If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit? | | | |
| OP/BP 4.12 - Involuntary Resettlement | | | |
| Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared? | Yes [] | No [] | N/A [X] |

| | |
|--|------------------------------------|
| If yes, then did the Regional unit responsible for safeguards or Sector Manager review and approve the plan/policy framework/process framework? | |
| OP/BP 4.36 – Forests | |
| Has the sector-wide analysis of policy and institutional issues and constraints been carried out? | Yes [] No [] N/A [X] |
| Does the project design include satisfactory measures to overcome these constraints? | |
| Does the project finance commercial harvesting, and if so, does it include provisions for certification system? | |
| OP/BP 4.37 - Safety of Dams | |
| Have dam safety plans been prepared? | Yes [] No [] N/A [X] |
| Have the TORs as well as composition for the independent Panel of Experts (POE) been reviewed and approved by the Bank? | |
| Has an Emergency Preparedness Plan (EPP) been prepared and arrangements been made for public awareness and training? | |
| OP/BP 7.50 - Projects on International Waterways | |
| Have the other riparians been notified of the project? | Yes [] No [] N/A [X] |
| If the project falls under one of the exceptions to the notification requirement, has this been cleared with the Legal Department, and the memo to the RVP prepared and sent? | |
| What are the reasons for the exception? Please explain: | |
| Has the RVP approved such an exception? | |
| OP/BP 7.60 - Projects in Disputed Areas | |
| Has the memo conveying all pertinent information on the international aspects of the project, including the procedures to be followed, and the recommendations for dealing with the issue, been prepared | Yes [] No [] N/A [X] |
| Does the PAD/MOP include the standard disclaimer referred to in the OP? | |
| The World Bank Policy on Disclosure of Information | |
| Have relevant safeguard policies documents been sent to the World Bank's Infoshop? | Yes [] No [] N/A [X] |
| Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs? | |
| All Safeguard Policies | |
| Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies? | Yes [] No [] N/A [X] |

| | |
|--|--|
| Have costs related to safeguard policy measures been included in the project cost? | |
| Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies? | |
| Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents? | |

D. Approvals

| <i>Signed and submitted by:</i> | <i>Name</i> | <i>Date</i> |
|---|-------------------------------|--------------------|
| Task Team Leader: | Adriana Damianova | |
| Environmental Specialist: | Yuka Makino | |
| Social Development Specialist | Kumar Amarendra Narayan Singh | |
| Additional Environmental and/or Social Development Specialist(s): | | |
| | | |
| <i>Approved by:</i> | | |
| Regional Safeguards Coordinator: | Frederick Edmund Brusberg | |
| Comments: | | |
| Sector Manager: | Karin Kemper | |
| Comments: | | |