

MEGHALAYA COMMUNITY-LED LANDSCAPE MANAGEMENT PROJECT



MEGHALAYA BASIN MANAGEMENT AGENCY



THE WORLD BANK
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Community Operations Manual

Abbreviations and acronyms

BPL	Below Poverty Line
CBO	Community Based Organisation
CC	Climate Change
CDD	Community Driven Development
CLLMP	Community Led Land Scape Management Project/ Project
CNRMP	Community Natural Resource Management Plan
C&RD	Community and Rural Development Department, Govt. of
FD	Forest Department
GIS	Geographic Information System
GoM	Government of Meghalaya
GoI	Government of India
Govt.	Government
IBDLP	Integrated Basin Development and Livelihood Project
MBDA	Meghalaya Basin Development Authority
MBMA	Meghalaya Basin Management Agency
NREGA	National Rural Employment Guarantee Act
NRLM	National Rural Livelihood Mission
NRM	Natural Resource Management
PD	Project Director
PDO	Project Development Objective
PRA	Participatory Rural Appraisal
Rs.	Indian Rupees
SHG	Self Help Group
SPMU	State Project Management Unit

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1. A Guide to the Community Operations Manual

This is the Community Operations Manual (COM) for the Community-Led Landscape Management Project (CLLMP) of the Government of Meghalaya (GoM), being implemented with World Bank (WB) assistance in Meghalaya.

What is the purpose of this manual?

The manual has been developed to support the implementation of the CLLMP. It explains the policies, guidelines and procedures relating to the project, along with the timelines, roles and responsibilities for effective implementation.

The COM is meant to be used as a reference manual which gives information on the project – what to do, who should do it, how to do it and by when to do it.

This COM would be available in the public domain at www.clmp.com A printed copy in the local language will be available with the Village Natural Resources Management Committee (VNRMC) in every village.

Who is expected to use this manual?

This manual is meant primarily for the project personnel from MBMA as well as VNRMC members who are engaged in the implementation of CLLMP.

However, the COM is also meant to inform all interested community members about the benefits and processes of the project, which is community-driven, and therefore, based on community needs and priorities.

Finally, the COM is also likely to be used by other stakeholders and institutions which might be involved with the implementation or outcome of the project. These include the following:

- People who own land or assets that will be affected by the project
- People who use agricultural land, forests, or rivers that will be affected by the project
- Indigenous people who may have specific natural resource or cultural rights that are protected by law
- People's organisations and institutions such as NGOs, CBOs, etc.
- Locally disadvantaged groups and/or voiceless groups such as the very poor
- Migrants and people living in informal settlements within the geographical area of the project

What information does this manual contain?

The manual describes the objectives, components, institutional structure and implementation arrangements for CLLMP. It also details the process, timelines and stakeholders involved in the project implementation. By reading the COM, a person will be able to clearly understand the following and similar issues:

- a. What is the reason that this project is being implemented?
- b. Why and how is this project a community-driven one?
- c. What are the project's objectives: how can the community plan to manage their natural resources and implement the plan as per the schedule?
- d. Who are the primary stakeholders and what are their roles and responsibilities?
- e. What is the support that will be provided to the project implementers at the village-level in terms of financial resources, training, technological support, intellectual skills etc.?
- f. How will the community ensure that all its members are involved in the project implementation and monitoring?
- g. How will the community ensure that the project is implemented in a timely and effective manner?
- h. How can the community develop their capacities with regard to natural resources management (NRM) interventions in the future?

The COM is a living document; this means that as the project is implemented and new lessons emerge, the manual will be updated to incorporate this learning.

2. Introduction

What is Natural Resources Management?

Natural Resources Management (NRM) is a set of allied/linked activities meant to ensure that environmental assets such as soil, water, vegetation, forests, bio-diversity etc. are both protected and improved within a specified geographical area. NRM activities are implemented by a number of stakeholders, from private individuals to communities to local governments. They are focused on ensuring environmental, social and economic sustainability for present and future generations.

How does Landscape Management support the management of natural resources?

An integrated approach to NRM focuses on landscape management – wherein major challenges of climate change, water scarcity, deforestation, loss of bio-diversity, food security, loss of income and resultant poverty etc. are addressed at the local level by multiple stakeholders collaborating to integrate their multiple land use objectives. The intended outcome for CLLMP is to reduce poverty, increase food production, protect ecosystems and increase resilience to climate change.

How can NRM be made participatory and sustainable?

One way to ensure that landscape-based NRM is carried out in a participatory and sustainable manner is to apply the principles of community-driven development (CDD) to it - transparency, participation, demand-responsiveness, greater downward accountability, and enhanced local-level capacity at the individual, community and institutional levels (Bank, n.d.).

Such an approach has the effect of ensuring that NRM is carried out by the very communities it is intended to benefit, and that the communities develop a sense of stewardship towards the environmental assets under their purview.. In India, this approach gains traction through the enhanced role of Panchayati Raj Institutions (PRIs) and the communities they represent, as formalised by constitutional amendment in 1992.

A look at the natural resources scenario in Meghalaya

Meghalaya, a state in northeast India, is spread over an area of 22,429 sq. km, most of it hills and valleys with elevation upto 1,950 m above sea level. These hills are known as the Khasi, Garo and Jaintia hills. The state is bounded by Assam in the north and Northwest and Cachar area of Assam in the East; it shares an international border of 443 kms with Bangladesh in the South and Southwest.

Meghalaya is unique amongst Indian states, in the fact that natural resources in the state are traditionally largely managed by communities. Meghalaya has a forest cover of about 77 percent of its geographical area. Of this, nearly 90 percent of the forests in Meghalaya are managed under customary law by the Khasi, the Garo and the Jaintia tribes (the state's majority population). Waterbodies, rivers and springs too are considered common property like forests, and are managed by traditional tribal institutions.

Meghalaya's natural resources have been adversely affected in recent years, with degradation of soil and water quality and productivity, decreasing forest cover, loss of bio-diversity and adverse effect of climate change. The situation is exacerbated by traditional agricultural practices such as shifting cultivation, mining and other resource-detrimental anthropogenic activities.

In summation, it can be said that there is an urgent need for natural resources interventions to look at reversing this rate of deforestation and loss of soil fertility through afforestation, natural regeneration, soil and water conservation measures, soil productivity enhancement measures and so on.

3. Project Description

3.1 Background

Due to a worrying combination of climate change impacts and anthropogenic activities, the natural resources in Meghalaya - forests, land and water - are rapidly degrading. The majority of Meghalaya's population relies on these natural resources for their primary income and livelihood. This degradation, therefore, is a major cause of concern, from both the environment as well as the social and economic points of view. Accordingly, there is an urgent need for natural resources interventions to look at reversing this situation.

The Government of Meghalaya has addressed this issue holistically – by adopting a community-based integrated approach to stem the natural resources degradation and tackle its fallouts. This approach is both appropriate and sustainable, since most of the natural resources are owned by communities in Meghalaya. With this background and approach in mind, the Government of Meghalaya launched its flagship programme, the Integrated

Basin Development Project (IBDLP), in 2012. IBDLP is a citizen-centric and demand-driven programme that focuses on the development of community participation and capacity-building as the pathway to sustainable eco-systems development.

3.2 Brief Description of CLLMP

Nestled under IBDLP, the **Community-Led Landscape Management Programme of the Government of Meghalaya** looks at natural resources management through a community-led landscape approach.

The **Community-Led Landscape Management Project (CLLMP)**, which receives support from the World Bank, is a part of the CLLM-Programme.

The CLLMP has the following three components:

1. Strengthening Knowledge and Capacity of Communities for Natural Resources Management
2. Community-Led Landscape Planning and Implementation
3. Project Management and Governance

3.3 Scope

The CLLMP focuses on increasing the capacities of communities and traditional institutions (TI) to manage their natural resources such as soil, springs and other water sources, forests and bio-diversity, etc.

The Project will be planned and implemented in about 400 villages using a decentralised and participatory approach, with financial autonomy to the PRIs i.e. the Village Council (Dorbar, Nokma, Doloï) and the Village Natural Resources Management Committee (VNRMC). There will be a strong focus on institution-building at the village-level, by ensuring systematic capacity-building on technical and social skill-sets (prior to CNRM planning), including resource mapping and data collection, land use planning, project design and monitoring

The Project will also extend such training to communities beyond the targeted project villages and support efforts made by them to access funding from various rural and natural resource initiatives and schemes.

The Project will also invest in improving the process and outcome delivery, by developing and adhering to effective systems and processes, supported by information technology. These include financial management, procurement management, citizens' engagement, grievance redressal and monitoring and evaluation through social audits at the community level.

3.4 Objectives

The project objective is "*to strengthen community-led landscape management in landscapes in the state of Meghalaya.*"

Explained more fully, the project objectives include the following sub-objectives:

Sustainable Management of natural resource for economic growth: to manage and conserve the natural resources, especially forests, soil and water sources, in a manner that supports the financial and physical well-being of communities in the State

Institutional development. develop and institutionalise a model for government support to community-led management of natural resources, that can be replicated in other parts of India.

3.5 Benefits

The Project will benefit all villages/communities in the state by providing some members from each community with the opportunity to develop skills and capacities relating to technical, fiduciary and managerial areas, such as community-led project management, fiduciary skills, natural resource management, conflict resolution, etc.

Traditional institutions such as village councils and traditional leaders, community-based organisations working on natural resource management issues, women and youth groups, SHGs etc. will also benefit from the project. The benefit will accrue from capacity-building, knowledge-sharing, promotion of innovative approaches and activities in NRM, access to technology for decision making and technical, managerial and financial support for preparation and implementation of Community Natural Resource Management (CNRM) plans.

The partnering beneficiaries of the Project are village communities (the estimated number is not less than 100,000, of which fifty percent are women) in the targeted landscapes that depend on land, forests, water and agroforestry for their livelihood.

The Project will ensure increased availability of water, biological resource and soil productivity which will impact the around 55500 ha. of land in 400 villages under different activities as summarised below

Particulars	Area (in ha.)	Outcomes
Agriculture land – Kharif	8278	20-30% increase in crop production
Agriculture land – Rabi	5466	20-30% increase in crop production
Horticulture	4830	10% of better culturable wasteland used for horticulture
Agro-forestry	5217	30% of culturable wasteland used for agro-forestry

Particulars	Area (in ha.)	Outcomes
Forestry	12585	50% of highly degraded forest area developed as dense forests through reforestation and natural regeneration
Soil and water conservation measures	22632	Mainly in culturable wastelands and degraded forest areas. Only area not treated under any of the previous schemes will be undertaken for development
Mining affected area treatment	600	Rough estimate
Treated area under the project	31510	
Average area per village	78.78	

3.6 TimePeriod

5 years from 2018 to 2023.

3.7 Geographical Area

All 6026 villages in Meghalaya, located in 11 districts, are eligible for inclusion in the CLLM-Programme.

A smaller number of villages will be eligible for inclusion in the CLLMP (as planned under Component 2). These villages will be supported from the World Bank assistance. These villages will be selected from a North-East Space Application Centre (NESAC) -classified set of critical landscapes. In 2012, NESAC conducted a watershed-based vulnerability analysis of all 35 watershed and 179 sub-watersheds of Meghalaya. Based on vegetation index, slope and soil brightness index, it accordingly classified landscapes as (i) most critical (very high priority), (ii) moderately critical (high priority), and (iii) low priority areas.

Since the NESAC classification is over 5 years old, it is likely that the number of villages under the different categories may have increased over the years. Therefore, ground-truthing of classified villages will be undertaken by MBMA before intervention under the Project.

3.8 Project Components

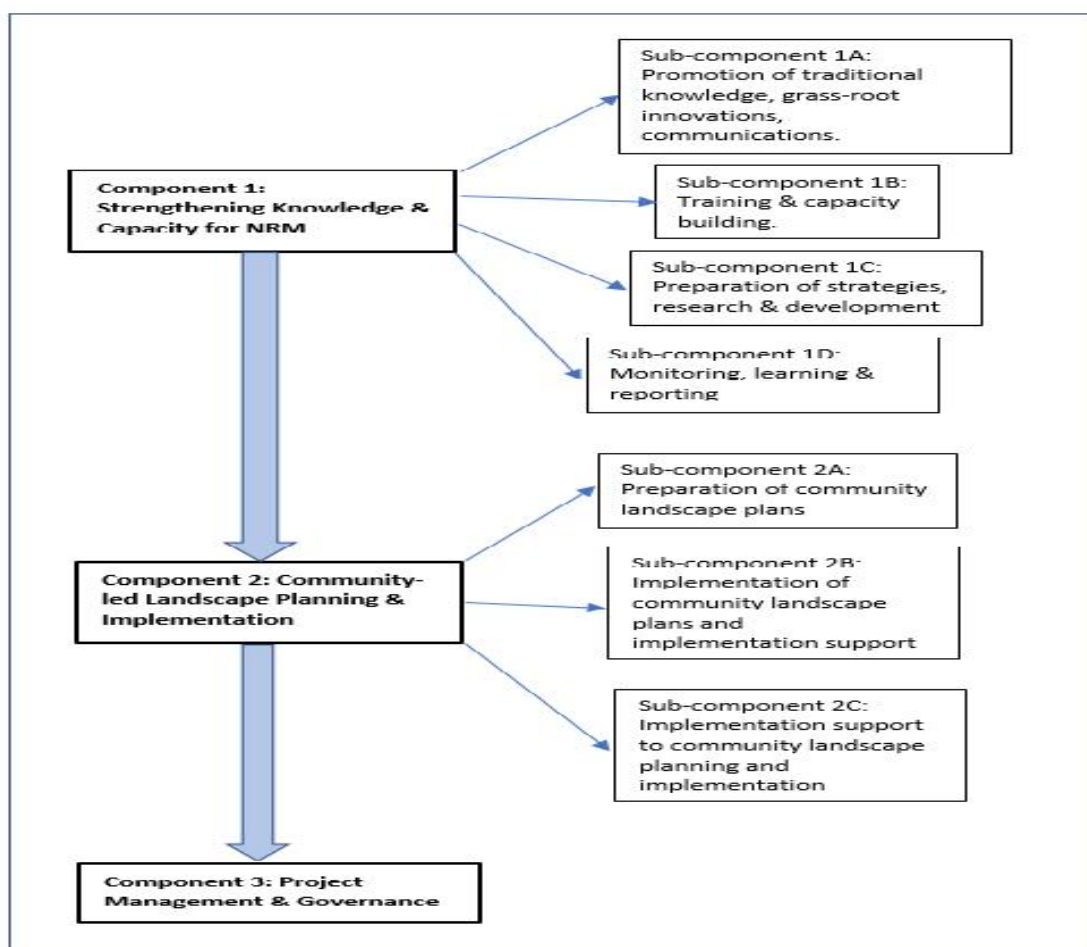


Figure (1): This diagram outlines the various components and sub-components, and their relationship

The CLLMP has the following three components:

1. Strengthening Knowledge and Capacity of Communities for Natural Resources Management
2. Community-Led Landscape Planning and Implementation
3. Project Management and Governance.

Under Component 2, Project will look at supporting about 400 villages (based on NESAC classification), with the intention of developing a replicable set of best practices relating to the

- a. planning and implementation of community-based natural resources projects
- b. institutional capacity-building
- c. environmental and social processes and practices to prevent harm and promote benefit

- d. knowledge management including sharing of traditional knowledge relating to natural resources management.

For all other villages falling outside the NESAC classification, the Government of Meghalaya will provide funding under various State and Central-sponsored schemes, for the implementation of the community natural resources plans (CNRM plans).

Assistance under Components 1 and 3 will be extended to all villages in Meghalaya.

The Project components/sub-components are as follows:

Component 1: Strengthening Knowledge and Capacity of Communities for NRM

This component will be implemented in the entire State through World Bank support. This component is related to the development of capacities through the promotion and dissemination of traditional and contemporary innovations, research, as well as monitoring and sharing best practices. This component has the following sub-components:

A. Promotion of traditional knowledge, grass-root innovations and communication

Participatory documentation and dissemination of traditional knowledge and practices related to sustainable NRM, including lessons from other NRM projects, will be taken up. This will include developing a comprehensive Knowledge Management Strategy, and developing IT- and ICT-based platforms for the purpose of the above.

In addition, innovation grants and catalytic funds to encourage new approaches in NRM products and services and community NRM respectively will be made available to non CLLMP villages.

The District Project Management Units (DPMUs) will encourage communities to take up the CLLMP approach, and initiate small activities as a precursor to taking up larger-scale activities in NRM.

B. Strengthen communities through training and capacity building

This will include stakeholders' training in the relevant natural resources domain areas, as well as allied areas such as project management, good governance, IT and GIS, and soft skills such as leadership, communication etc. Technical manuals and other tools will be developed and disseminated to project implementing institutions, and exposure visits will be arranged. In addition, the training infrastructure at block level, through BNRGSK/ Enterprise Facilitation Centres, will be strengthened.

C. Preparation of strategies, research and development

The activities to be taken up under this sub-component are various research studies carried out to support CLLMP. These include a baseline survey, a study to understand the drivers of deforestation and natural resource degradation, and a study related to the rehabilitation of population displaced due to mining activity.

D. Monitoring, learning and reporting

A State-wide Management Information System (MIS) for CLLMP will be developed, which will have convergence with other databases and information systems available with the State Government. This MIS system will also help villagers, traditional leaders, farmers, Government officials, project team members, facilitating NGOs/CBOs and other stakeholders to understand their roles and responsibilities and manage their natural resources more efficiently.

Component 2: Community-led Landscape Planning and Implementation

This component will be implemented in select villages through World Bank support. This component is concerned with the planning and implementation of community-driven management of natural resources through NRM Plans.

The following sub-components are part of Component 2 - Community-led Landscape Planning and Implementation.

A. Preparation of CNRM Plans

The COM provides detailed guidance and formats/templates on community consultation and preparation and implementation of community natural resources plans (please see Annexure 4).

Communities will identify the leading causes of degradation of natural resources in their area and agree on actions to address/mitigate the impacts, besides identifying new opportunities that will lead to improvement in natural resources. They will develop and implement NRM plans with the help of community facilitating teams (subject matter specialists) at the block level and NRM service providers at the village level.

The NRM plan preparation at the village-level will be preceded by community sensitisation and mobilisation around NRM and social issues, based on participatory processes (please see Annexure 1 and 4). The formation of the Village NRM Committee (VNRMC), selection of its executive committee and opening of its operational bank account will follow this initial step. The next steps will be that of the submission of Expression of Interest (EoI) [please see Annexure 2] by the village for participating in CLLMP, as well as training and capacity building of village NRM service providers and members of the VNRMC executive committee.

Funds for plan preparation will be released to those villages whose Expressions of Interest (EOI) for participation in the project are selected, an agreed number of committee members receive the basic training on the project and the VNRMCS sign the Village Grant Agreement (VGA) with the DPMU to carry out plan preparation as per the COM. The first set of (400) villages that successfully meet the eligibility criteria will be selected for CLLMP.

B. CNRM Plan Implementation

The cycle of plan preparation and implementation in each village will take approximately 4 years i.e. 1 year for plan preparation, 2 years for plan implementation and 1 year for consolidation.

After the CNRM plan is approved, the implementation of plans will be in a staged manner, agreed through an addendum to the Village Grant Agreement (VGA) between the VNRMCS and respective DPMUs. The addendum will specify the fund releases and linked milestones and criteria for the plan. After implementation of the agreed-upon criteria-based first-stage activities in their plan (please see Annexure 4), communities will implement the next stage of activities. This approach is meant to incentivise performance and outcome achievement by the communities.

The interventions will include soil and water conservation measures, soil health improvement and productivity enhancement measures, spring-shed development and water management plans, nursery and agro-forestry and community forestry, optimisation of shifting cultivation, rehabilitation of areas affected by mining etc.

C. CNRM Implementation Support

This sub-component will look at providing the following support during implementation of the CNRM plans:

All data/ information products relating to development, governance, project design, planning, monitoring etc. will be made available at different levels, by the State Project Management Unit (SPMU), with support from the Block Project Management Units (BPMUs). Data on land use, land cover and other information related to Natural Resource Management will also be represented and shared and through the use of Geographical Information Systems (GIS) maps and other ICT tools. This data will be used to develop the CNRM plans, as well as subsequently, monitor the progress of its implementation. Activities under this sub-component will involve acquisition of satellite data, production of maps & reports and training of technical personnel in SPMU, selected service providers (youth facilitators)

and community members. These activities will be carried out under the direction of the SPMU.

Monitoring and Evaluation (M&E) will consist of

1. In-house monitoring – SPMU will undertake the progress monitoring of physical targets, as well as financial and procurement monitoring, on a regular basis to assess and course-correct, as may be required.

The Social and Environment Monitoring Plan will be integrated with the planning, operation and maintenance stage of the Project on a timely basis. Quarterly and six-monthly progress reports will cover compliance of safeguards issues for developing of NRM plans, implementation, screening and classification of activities.

The SPMU will also put in place a citizens' feedback mechanism to determine the success of the project. Using citizen report cards/score cards, information will be collected during the different project Stages to capture feedback on performance and areas of improvement.

Additionally, a separate website will be designed for the project for publishing notices, news and project documents, etc. The website will also have a system wherein feedback and suggestions from citizens can be recorded.

2. At the community level, a social audit will be carried out every six months in accordance with the procedures laid out in the COM. The responsibility for this will lie with the Social Audit Committee, which has to be socially inclusive and must have representation from women's groups, elected representatives, traditional institutions, youth and vulnerable communities. The Social Audit process must uphold principles of transparency, accountability, equity and social responsibility. (Please also see Chapter 8)
3. External evaluation and reporting, done by external agencies on annual basis, as well as mid-and end-term basis.

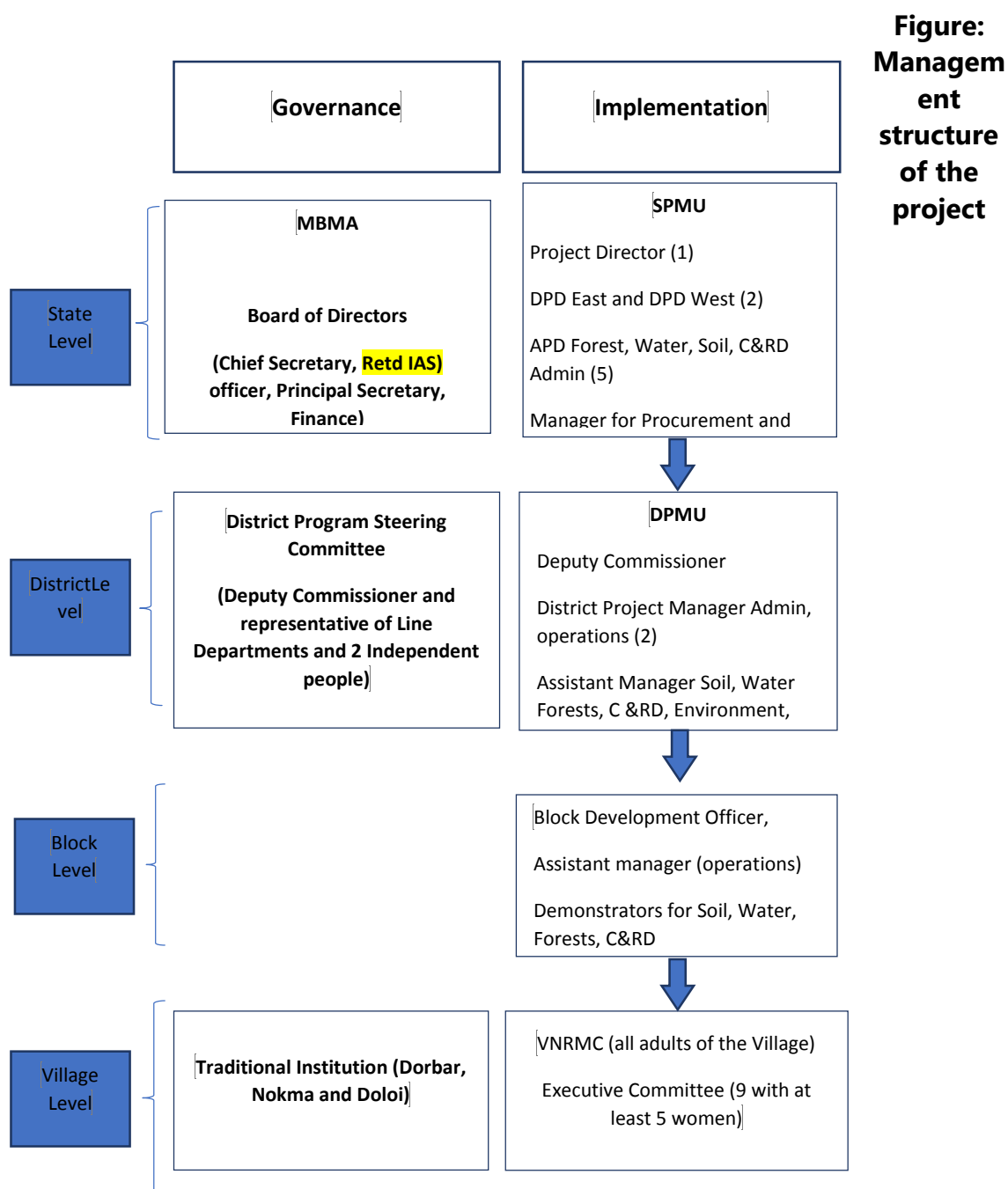
Component 3: Project Management and Governance

The project implementation relies on a management and governance structure from the State down to the village level, with clear-cut roles and responsibilities for staff members at each level. The details are given in Chapter 4. All staff positions will be filled during the pendency of the project with qualified people. The details of this management structure are provided below.

This component will support the strengthening of the institutional capacity and knowledge management of the project implementing entity MBMA for the implementation and management of the project. This would include the

establishment of the SPMU and 7 DPMUs, administrative support to 20 BPMUs, supervision of project activities etc.

The implementation arrangements will cover the details regarding financial management, disbursement and procurement, which are covered in subsequent chapters.



State Level

The overall management and coordination will be the responsibility of the Meghalaya Basin Management Agency (MBMA). The Government of Meghalaya has registered MBMA as an existing Section 8 Company under Companies Act, 2013. The CLLM-Programme and Project will be controlled and supervised by the Board of Directors of MBMA. The Board of Directors of MBMA will meet on a quarterly basis to review and approve the work plans and budget, assess the progress, and course-correct the project activities, as required. They will assess and facilitate convergence across different line departments and stakeholders at the state level in this regard, as well.

State Project Management Unit (SPMU)

The SPMU undertakes overall planning and implementation of the project.

The day-to-day executive control of the Project is with the State Project Director (PD), who heads the State Project Management Unit (SPMU).

Reporting to the PD are 2 Deputy Project Directors (DPD) for Garo Hills and Jaintia/Khasi Hills, as well as 5 Additional Project Directors (APD) for activities related to Soil, Water, Forest, Community and Rural Development and Administration.

The APD (Administration) is also be responsible for Finance and Procurement. In addition, they will supervise 5 Managers (Environment Management, Social Safeguards and, Monitoring and Evaluation, Knowledge Management, Training and Capacity Building).

Subordinate staff such as program associates, multi-tasking assistants and drivers support the SPMU.

All SPMU staff are on a full-time basis. The GIS Lab of MBDA manages the execution and supervision of GIS activities and reports to the Project Director.

District Project Management Unit (DPMU):

In addition to district level planning and coordination, DPMU will also conduct training needs assessment and facilitate training and capacity building activities at the district, block and village level through resource institutions. There are 7 DPMUs in place. The project operations at the district level will be governed by the District Project Steering Committee within the DPMU.

Each DPMU is headed by the Deputy Commissioner and managed by two District Project Managers (DPM) and one Assistant Manager (AM). They will provide technical and safeguards oversight and carry out planning, M&E, procurement, finance and capacity building for the project. The DPMU will draw upon technical government officers from respective line departments (Soil and Water Conservation, Water Resources, Forest, C&RD).

Block Project Management Unit (BPMU):

There are expected to be 20 BPMUs. At the block level, overall supervision will be provided by the Block Development Officer (BDO). Existing Enterprise Facilitation Centre (EFC) and government officers from the Department of Soil and Water Conservation, Water Resource Department, Forest Department and C&RD Department will support Village Natural Resource Management Committee (VNRMC) to plan and implement CNRM plans.

Village level (VNRMC)

Since the project is community-driven, the village is considered the primary unit of planning and implementation of the CLLM-Programme and Project.

The VNRMC will comprise of one male and one female member of each house hold. They will appoint an executive committee to undertake day-to-day operations of the project. This committee will have a total membership of nine, of which four members will be women. Members may be elected from Self Help Groups, Women Groups, Youth Groups etc.

The VNRMC is responsible overall for preparation and implementation of plans and management of project fund, procurement and supervising, forming various sub committees under the project, etc. The roles and responsibilities of the VNRMC and its members are discussed further in Chapter 4.

The VNRMC will select upto eight youth to undertake training and offer services as NRM facilitators in the core areas of forest, soil and water, environment, social, community and rural development management. These facilitators (service providers) will support the VNRMC executive committee in the preparation and implementation of the CNRM plan. The VNRMC would budget and pay for the services of these facilitators, as per the type of support procured.

3.9 Guiding Principles

The following *guiding principles* will be part of the foundation for all planning and implementation under the project.

1. The project implementing agencies and other stakeholders must ensure integration of the following aspects during the different Stages of the project.
 - a. **Community Ownership:** The project is designed to encourage each member of the village community to take ownership of the existing and new natural resources developed in their community by contributing their time, money and labour and money towards plan implementation.
 - b. **Accountability:** Individual community members, the Village Council and the VNPMC must work in consonance to ensure that the project is implemented in a timely and cost-effective manner. Priority must be given to those activities and plans that benefit the larger number, and information on planning and implementation must be shared and discussed regularly. Since NRM projects usually have multiple stakeholders, it becomes necessary to ensure, at the planning stage itself, that all activities and processes take into account potential conflicts of interest, and ensure that cooperation is maintained amongst stakeholders, who might have opposing goals.
 - c. **Gender and Inclusion:** Women, youth and under-represented constituencies such as the very poor, migrants and marginalised communities will be assured of opportunities to be part of the project planning and implementation, so as to ensure holistic development of the community. Women especially will be part of the project implementing institutions, and will occupy at least one-third of the key positions related to decision-making.
 - d. **Sustainability:** The VNPMC and Village Council will plan for the future maintenance of the created assets under the project to ensure sustainability.
 - e. **Community-level leadership development:** At the community-level, the decision-making process will be democratic, inclusive and participatory. The project aims to strengthen *community leadership* in natural resource management by investing in institutional capacity and implementation of community-developed landscape management plans. Community institutions at the village level will be offered technical assistance, skill-development and financial support to enable them to take informed decisions.
 - f. **Optimal use of financial investment:** The community will explore ways to maintain cost efficiency while not compromising on quality.

- g. Equal access to and community management of natural resources: The community will have equitable access to and shared responsibility for natural resources under the project.
- h. Promotion of a learning culture: The project will promote a learning culture where stakeholders can share, discuss and learn from one another. It will encourage new thinking and innovations in the way of doing things.
The community will draw from traditional wisdom, while developing new skills and capacities relating to knowledge management and technology such as GIS.
- i. Transparency: The project activities will be carried out in a transparent and fair manner at all times. The project will adopt *social accountability*, which would be a combination of participatory processes guiding social audit, citizen score card and report card, to acquire feedback on performance and record citizens' recommendations for improvement.

The project will also adopt an effective grievance redressal mechanism (GRM) and project monitoring & evaluation (PM&E) system to ensure *transparency* in its implementation. The use of technology, such as mobile based apps, website and toll-free helpline numbers have been envisaged to make the redressal mechanism widely accessible. Further, information pertaining to the project will be disclosed on the official website and at the district offices.

Finally, the project will follow all disclosure norms as prescribed by the Right to Information Act (RTI).

2. Application of environmental and social safeguards by the project (as outlined in the Social and Environmental Management documents, which are available at <http://www.mbda.gov.in/publication/index.html>), which will ensure that the following list of activities are avoided with CLLMP funding:
 - a. Activities that are in violation of existing laws and policies of Government of India and the Government of Meghalaya
 - b. Purchase of land
 - c. Construction of dam (existing or new) of 10 m height or more
 - d. Use banned pesticides, agrochemicals in WHO classes IA, IB and II
 - e. Activities that would adversely affect religious or cultural sites and historical assets
 - f. No individual to be excluded to participate in the proposed interventions based on any criteria (social, economic, gender, land ownership etc.)

- g. Activities that lead to alteration, conversion, deforestation or degradation of natural forests or natural habitats
- h. Financing of elections or election campaigns
- i. Activities on lands under dispute
- j. Activities which are partially or fully supported under other sources of funding

4. Project Implementing Institutions: Roles and Responsibilities

The CLLM-Project will be implemented successfully if there is a joint relationship among the communities and VNRMCs with the various Project Management Units at the state, district and block levels. The various stakeholders have to fulfil their roles and responsibilities, as given below, in order for the CNRM plan and capacity-building to be done. Broadly speaking, the roles and responsibilities are:

Village Community and VNRMC: Will plan and implement the village CNRM project, as per the approved plan by MBMA

MBMA and Project Management Units: Provide approvals and overall coordination and technical assistance to the village communities, build capacities in various domain areas, initially carry out social mobilisation.

No.	Institution	Composition	Roles and responsibilities	Accountable to
State-Level				
1.	SPMU	PD, 2 DPDs, 5 APDs, 5 Managers, support staff, MBDA GIS Lab	a. Provides infrastructural and institutional support to district and block units and VNRMCs. b. Preparation and approval of State-level CLLMP Plan c. Reporting on the above d. Financial management e. Procurement management and monitoring [reference procurement performance indicators in Project Appraisal Document]; conducting independent procurement post review through external consultants with terms and reference and reporting requirements	MBMA

			agreed with the Bank; procurement capacity building; implementation of procurement risk mitigation measures f. Preparation and dissemination of technical manuals for project activities, including COM g. Preparation and implementation of Knowledge Management strategy h. Preparation of various research studies, baseline study, strategy paper and action plans i. Provide geo-spatial data and analysis to support CNRM planning and monitoring j. Monitoring and evaluation through IT and ICT platforms, including the citizens' engagement process k. Grievance redressal	
District-Level				
2.	DPMU	Deputy Commissioner, 2 DPMs, supported by officers of line departments	a. Technical and safeguards oversight b. Screening and approval of CNRM plans c. Finance management, release of funds to VNRMC, procurement d. Carrying out procurements, as approved by SPMU, for Districts and Block offices e. M&E for the project, including facilitation of the citizens' engagement	SPMU

			process f. Training needs assessment and capacity- building g. Grievance redressal	
Block-Level				
3.	BPMU	Block Development Officer, supported by officers from line departments and EFCs	a. Social/community mobilisation around CLLMP b. Helping village set up VNRMC c. Facilitating preparation of EoIs and screening them before sending to DPMU d. Grievance redressal e. Supporting VNMRC with record keeping for procurement and financial audits	DPMU
Village-Level				
4.	VNRMC	All adult males and females in village	a. VNRMC General Council shall meet once every 3 months. The quorum shall be fulfilled by 60 % representation of total members, with at least half being women. b. Elect the Executive Committee comprising of 7-9 members, 4 of which should be women and one the village headman. c. Elect Executive Committee office-bearers for the positions of Chairperson, Secretary and Book-keeper, of which the position of Secretary should be filled by a woman. d. Have the right to remove or dissolve the Executive Committee of the VNRMC or any member of the Executive Committee at	• BPMU and DPMU. • Traditional Institution

			any time during their tenure and elect new members. e. Review the work of the Executive Committee, against planned targets. f. Formulate Procurement Committee and review financial and procurement activity and decisions taken, as presented by the Executive Committee, once every quarter. g. Provide approval to the rules, new or modified, prepared by the Executive Committee. h. Open and maintain a bank account in its name, to be used for the purposes of CNRM plan implementation. i. Carry out community-level monitoring of the plan implementation, through Social Audit, as outlined in the COM. j. Review grievance redressal activity once every quarter k. Select upto eight NRM service providers	
5.	VNRMC Executive Committee	7-9 members, of which at least 4 are women	a. Meet regularly at least once in a month, preferably on a predetermined date or on a date convened by the Secretary in consultation with the President. All the matters placed before the executive committee shall be decided unanimously. The quorum of Executive Body Meeting shall be	VNRMC

			fulfilled by 60 percent representation of total members of which half should be women. The attendance of the members, the date, time and venue, the agenda and all proceedings shall be recorded by the Secretary in the prescribed Minutes register and shall be confirmed by the Chairperson or the person presiding over the meeting. b. Planning and implementing the CNRM plan for the village, in consultation with and with the support of the project staff at BPMU and DPMU levels. c. Plan the budget for the CNRM plan, oversee proper utilisation of the money allocated during plan implementation and ensure financial and procurement probity. d. Enter into a contract with the Village NRM service providers, and make payment for their services e. Set up the 3-member Purchase Committee, including 2 women members, and orient them. f. Carry out procurement as per agreed procedures and maintenance of all procurement records such as quotations, comparison	
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			statements, bills/invoices from suppliers; goods received note; stock register, payments made/payment voucher details, etc.. g. Have the power to make and change decisions, make modifications, stay or cancel the decisions. h. Maintain books of accounts and all other supporting documents. i. Select the bank signatories for the VNRMC bank account, of which one shall be a woman. The bank signatories will be selected for a period of one year. They will have the responsibility of endorsing, signing and encashing cheques. The Executive Committee has the right to remove bank signatories at any time during their tenure and elect new ones from among the existing committee members. j. Ensure monitoring and evaluation of the works carried out with the support of Line Department and submit progress reports to the concerned authorities, as required k. Place the proposal of selection of members for vacant posts or the resignation and expulsion any member before the VNRMC General Council.	
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			l. Prepare and make the presentation of the Annual Report and Annual Accounts before the General Council. m. Grievance redressal.	
	Executive Committee office-bearers	President	a. Preside over all the Executive Committee and General Council meetings of the VNRMC b. Represent the VNRMC in other forums and with other stakeholders and organisations c. Shall be one of the signatories on all legal/financial documents.	VNRMC Executive Committee
		Secretary	a. Convene and participate in the VNRMC General Council and Executive Committee meetings and arrange for implementation of their resolutions and decisions. Prepare agenda and minutes and circulate the same. b. Arrange for maintenance of the records and documents as well as property relating to the CLLMP, such as the Meetings/Minutes register etc. Prepare the Annual Report, including the Annual Accounts. c. Facilitate all monitoring and evaluation, including the social audit. d. Be one of the signatories for the bank account.	VNRMC Executive Committee
		Book-keeper	a. To manage the funds subject to the supervision of the Executive	VNRMC Executive Committee

			Committee and arrange for maintenance of the accounts of the VNRMC as per the required formats and compliances b. Ensure that the grant received record and utilisation certificates, cash book, cheque issue/withdrawal record, bank account statements and reconciliation with the cash book are maintained, vouchers and receipts etc. are maintained on a daily or up-to-date basis. c. To perform all financial/legal functions assigned by the Executive Committee, including the functions linked with the VNRMC bank account.	
	NRM service providers	Upto eight youth, each trained in one of the following areas: forest, soil and water, environment, social, community and rural development management	a. Help the VNRMC Executive Committee to plan and implement the CNRM plan for the village.	VNRMC Executive Committee
6.	Social Audit Committee	Please see Social Audit Chapter.	Please see Social Audit Chapter.	

5. Project Implementation Stages

The main activities and milestones are given in the table below.

Stage	Step	Activity	Responsibility
Initial	1	Establishment of SPMU, DPMUs, BPMUs and orientation of all project staff on CLLMP	MBMA
	2	Identification of NESAC-classified critical and very critical landscapes (ground-truthing)	SPMU
Social Mobilisation and pre-CNRM plan preparation	3	1. Sensitisation and awareness on IBDLP and CLLMP, and discussion of NRM issues and Green Citizens' Charter with the villages. 2. Dissemination of the Community Operations Manual.	DPMUs and BPMUs under the overall direction of SPMU
	4	1. Formation of Village NRM Committees and Executive Committees 2. Identification of NRM service providers for training and capacity building	Village and VNRMC, including its Executive Committee
	5	Submission of Expression of Interest (EoI) to BPMU for participation in CLLM-Project	VNRMC – Executive Committee, BPMU to do initial screening
	6	Screening of EoIs from VNRMCs	Screening by DPMU, followed by recommendation

			made to SPMU
	7	Opening of bank account for above	Village and VNRMC, including its Executive Committee
	8	Signing of Village Grant Agreement	Signing with BPMU/DPMU under overall direction of SPMU
	9	Training and capacity building, awareness, critical consultancies, research and development, and knowledge management underway	SPMU with DPMU
CNRM Plan Preparation	10	Release of funds to VNRMCs for CNRM Plan preparation for villages which have undergone training on plan preparation	DPMU
	11	1. Procurement of services of village NRM service providers and their training 2. Requisition for expert assistance from block level and district level experts 3. CNRM Plan preparation	VNRMC Executive Committee SPMU
	12	Submission of CNRM Plan	VNRMC Executive Committee to DPMU through BPMU
	13	Review and approval of CNRM plan	DPMU
	14	Plan approval and signing of Addendum with milestones to Village Grant Agreement between DPMU and VNRMC	DPMU
n Imp	15	Training for VNRMC committee members and NRM service	SPMU and DPMU

		providers on CNRM plan implementation	
	16	Release of funds for CNRM Plan implementation in tranches	SPMU to VNRMC
	17	1. Procurement of material as per agreed procedures 2. Requisition for expert assistance from block level and district level experts	VNRMC Purchase Committee VNRMC Executive Committee
		CNRM Plan implementation and compliance with project requirements • Internal Monitoring: Social Audit • Grievance Redressal Mechanism • Compliance with project requirements, ongoing monitoring and evaluation, ongoing reporting	VNRMC Executive Committee Social Audit Committee VNRMC and Project Management Units SPMU with DPMU

5.1 Project Implementation: Preparation Stage

Detailed explanations of the various steps and activities in this stage are given below.

Preparation Stage

By whom: MBMA, SPMU and DPMU/BPMU

By when: before entering the villages

1. MBMA will manage the project under the overall umbrella of the IBDLP governance and management structure at the state, district and block level.

MBMA has established a state-level project management unit (SPMU) and will use existing GoM structures at the District and Block levels (to act as DPMU and BPMU) and the traditional tribal institutions (Dorbars, Nokma, Dolo) at the village level for implementing the project.

As part of the initial preparation for the project, the SPMU will ensure that all staff positions are filled with qualified personnel and all logistical arrangements are completed.

2. The Project villages will be shortlisted from a NESAC-classified list of villages where natural resources degradation is high. In 2012, the North-East Space Application Centre (NESAC) conducted watershed-based vulnerability analysis of all 35 watershed and 179 sub watersheds of Meghalaya and classified landscapes as (i) most critical (very high priority), (ii) moderately critical (high priority), and (iii) low priority areas based on vegetation index, slope and soil brightness index.

This list will be updated through a ground-truthing exercise and use of GIS tools by the SPMU and DPMUs.

3. Training and orientation of project functionaries (SPMU, DPMU, BPMU, linked departments and consultants/consulting institutions) on the goal and objectives of the project, the processes, roles and responsibilities of each project entity and stakeholders.
4. Preparation, pre-testing and finalisation of the Community Operations Note, Financial Manual, Procurement Manual and other technical manuals, if any.
5. Development of training modules relating to technical knowledge, applicable fiduciary procedures, operational skills and project management, and soft skills such as leadership, conflict resolution etc., for project stakeholders at various levels. The training modules should be based on a training needs analysis, and should be tailored to the project objectives.
6. Development of the training modules relating to the CNRM plan preparation and implementation, meant for VNRMC members and NRM service providers.
7. Development of the training plan calendar, and identification of resource people etc.
8. Commissioning of the baseline study, and preparatory work on other research studies and action plans, that are part of the project.
9. Preparation of communication and information (IEC) packages for village communities, which will be used by the project social staff during the mobilisation stage. Orientation of the project social staff through workshops on how to mobilise and prepare the communities for the project on IEC.

Since CLLMP is a community-led project, it is vital that every village community member receives complete information on the project so as to enable them to take the appropriate collective decisions in a

collective manner. The communication must be designed to address questions that are of relevance to women, youth, the old, the poor, the marginalised, and migrants/ people from other areas.

During the CLLMP project, it is proposed to set up and implement a comprehensive citizen's engagement process, which will result in a report card/score-card being generated. However, in the true spirit of citizens' engagement, it is as important to ensure that citizen contribute to the project during the planning and implementation Stages in order to course-correct etc. A continuous communication loop will be able to support this aspect.

Therefore, it can be seen that communication (IEC) is an integral part of the project strategy and implementation.

The communication strategy will cover all aspects of the project, such as

- project planning and implementation
- interaction and communication flow among project functionaries
- interaction between the target communities and the project functionaries, including support for the social aspects of the project, including gender
- communication to be used by the VNRMC in the execution of their duties
- external communications and media
- ICT

In order for the communication to be targeted, and therefore, more effective, it is proposed to divide the audiences in the following manner:

Primary audience: Village community and VNRMC

Secondary audience: Project functionaries and other PRIs in the villages

Tertiary audience: Other associated departments, people in public life, media, development professionals/organisations.

More details are provided in the note on messaging/content, by stage and target audience is provided in Chapter 7.

10. Commissioning of the project website, and public disclosure of contract award notices and all key documents and information.
11. Development of the Knowledge Management Strategy and action plan for the project, and commissioning of the MIS system, including its integration with the existing system. The MBDA GIS Lab will share and integrate all available GIS data available for village-level in a manner that can be used for the social mobilisation.
12. Development of the M&E process and tools for results-based management and to ensure that data and information on the progress

of the project towards achievement of the outcomes are available to the SPMU for course-correction and decision-making.

The frequency of data collection will be mainly annual, and sources of data include perception survey (for citizen engagement and gender), field survey, skills and institutional assessment and review of key documents.

The M&E activities will

- (i) generate information on progress of the project and meet the World Bank's routine reporting requirements, i.e. the six-monthly progress report, Implementation Status and Results (ISR) report which is developed for each country and publicly disclosable, and data and information requirements for the mid-term review (MTR) of the project
- (ii) analyse and aggregate data generated at regional and local levels to provide timely feedback for decision-making and
- (iii) document and disseminate key lessons to all stakeholders in Meghalaya

Besides the information collected by the SPMU on an annual basis, the citizen engagement process including perception surveys, and social audits will also inform the M&E process.

13. Development of the citizen engagement strategy, tools and process: The project explicitly seeks to support engagement of stakeholders and beneficiaries through consultative processes, engagement, and capacity building in integrated landscape planning, management, and feedback mechanisms to elaborate and adjust the natural resources management approach. Feedback mechanisms will be developed in the project design to ensure transparency, accountability, and learning as well as a continuous dialogue with local level beneficiaries and other stakeholders. Particular attention will be given during implementation to the capacity of the local structures to close the feedback loop and report on action taken in this regard. The specific elements of the framework for citizen engagement include (a) support to engagement of rural communities and households in planning and management; (b) support to community engagement in determining local investment in land and watersheds; (c) support to a feedback mechanism from stakeholders and beneficiaries to be designed to process concerns and questions from beneficiaries and other stakeholders at different levels, with a view to resolving these concerns and questions; and (d) specific third-party monitoring of project activities will be supported three times during project implementation (in the first year, at midterm and at completion) to ensure transparency and feedback on these activities.

14. Development of the social audit process.

15. Development of the grievance redressal process. A simplified mobile based feedback system will be used to capture and feed data into the MIS. Additionally, NGOs/ CBOs, where available, will facilitate the partnering beneficiaries' access to the grievance redressal mechanisms. They will be oriented during this stage.

5.2 Project Implementation: Community Mobilisation Stage

Detailed explanations of the various steps and activities in this stage are given below.

Community mobilisation and sensitisation

By whom: DPMU/BPMU

By when: on entering the villages

1. BPMU officials and social staff, along with officials from line departments will visit all villages in their respective blocks to carry out sensitisation and awareness-generation activities.

These officials will organise series of village level meetings, where all households in a village will participate, to discuss issue of natural resource degradation that affect them and how they can jointly manage them. The households will also be sensitised on the IBDLP approach, the CLLM-Project and its eligibility criteria and activities.

The community mobilisation should be done according to social/participatory guidelines.

The first few interactions with the villagers, particularly in the early stages of the project, are very crucial. This is the time when the initial impressions about the project are formed, and a buy-in is achieved. It is also important to make the community members understand the difference in the approach of this project in contrast to other projects and schemes being implemented by the government.

It is vital that no promises are made which lie outside the purview of the project. Rather, every effort should be made to ensure that the community accepts that they will be the ones to drive the project.

Who does the village entry?

A community facilitation team consisting of technical and social staff from the BPMU and line departments should be set up. Only this team should be responsible for community mobilisation in the first year.

How is village entry done?

The community facilitation team should be equipped with the IEC toolkit, consisting of the COM, flipcharts, audio-visual material, flyers and brochures etc., along with a camera. They should also have the GIS data sheet for the village. They should visit the village during the daytime, several times over a period of a few weeks, and do walkabouts.

Who should the team meet?

The team should visit – in their homes or common place - the formal leaders, community influencers, elders and other informal opinion makers in the village. It is necessary that the meetings are spread out and not necessarily organised in the home of the village headman.

The team should meet with village women in small groups, at least a few times in the initial weeks.

There should also be meetings in local schools, and with local youth and any other group that might be characterised as under-represented and vulnerable.

The team should make every effort to walk through the village, and form an idea about the informal and independent communication channels and social networks that exist in the community.

What should be the communication during this stage?

Please refer to Chapter 7.

2. After a few weeks, it is expected that the community facilitation team would have been able to attract the attention and interest of the community with regard to CLLMP. This is the time to organise the formal village meeting with the Village Council.

The date and time of the meeting should be well-publicised and efforts made to include all sections of society in it. For the communication content, please refer to Chapter 7. The meeting should be held in a common place, with space for seating and presentation. Seating arrangements should be participatory (round-table).

It may be necessary to have more than one meeting. There should be an effort made to precede the general meeting with a women-only meeting, at which their concerns, questions and suggestions should be understood, addressed and recorded.

Enough time should be scheduled for the meeting, which is the formal kick-off for the project. The project should be explained in a comprehensive manner, including the components, steps of implementations, roles and responsibilities and what is required from

the community as the next step. Salient points from the EMF and SMF should also be shared. At the end of this process, all stakeholders must have a common understanding of the project, and be able to move forward together on the planning of the next step – the PRA exercises for resource mapping, as well as the signing of the Green Charter. The citizens' charter would be a joint undertaking by the community to conserve and sustainably manage their natural resources. Please refer to the format in Annexure 1.

During the village-level interactions and meetings, the community facilitation team should begin the process of collecting/cross-checking basic socio-economic data for the village as per the format given in Annexure 4. This should include details of activities and funding for other development schemes, government or other donors, being carried out in the village.

At the end of this consultative process, the team would have a dossier on the village containing the following information:

- Objective socio-economic data
- Information on other development work in the village
- Information on village-level governance structure – formal and informal, if any
- Channels of communication and social networks including names and contact details for prominent individuals
- Issues that could positively or negatively impact the project (potential risks, assumptions), special characteristics and needs of the community
- Process documentation and documentation of interactions and meetings, including photographic and audio-visual.

The social staff will use specially designed IEC material in print and audio-visual/ICT form to support the mobilisation process, generate interest in and goodwill for the CLLM-Project and Programme, and bring the community together. Linkages will be built with the traditional institutions, and the process of collecting traditional knowledge will begin.

The COM will also be introduced to the community at this time.

Formation of VNRMC, village selection for CLLMP

By whom: DPMU/BPMU and VNRMC

By when: during community mobilisation stage

3. During this stage, villages will be guided and encouraged to constitute their Village NRM Committee (VNRMC) and its Executive Committee as per the directions given in the COM. The roles and responsibilities of the VNRMC and its Executive Committee and office-bearers is given below.

Role and Responsibilities of the VNRMC General Council

- i. Powers of the VNRMC General Council
 - It shall elect the Executive Committee comprising of 7-9 members, 4 of which should be women. In villages where there is a Village Employment Committee (VEC), the Secretary of the VEC shall be appointed as the Secretary of the Executive Committee.
 - It shall have the right to remove or dissolve the Executive Committee of the VNRMC or any member of the Executive Committee at any time during their tenure and elect new members.
 - It shall review and the work of the Executive Committee, against planned targets.
 - It shall set up the Purchase Committee with three members, which is a sub-committee of the Executive Committee to carry out procurement as per agreed procedures.
 - It shall review financial and procurement activities planned and completed, and decisions taken, as presented by the Purchase Committee, once a year.
 - It shall provide approval to the rules, new or modified, prepared by the Executive Committee.
 - It shall open and maintain a bank account in its name, to be used for the purposes of CNRM plan implementation.
 - It shall carry out community-level monitoring of the plan implementation, through Social Audit.
- ii. Conducting of General Council Meeting

The VNRMC General Council shall meet once every 3 months. The quorum shall be fulfilled by 60 % representation of total members, with at least half being women.

VNRMC Executive Committee

The VNRMC General Council would elect an Executive Committee (EC) consisting of nine representatives of which a minimum of four would be women. The EC office-bearers would comprise Chairperson, Secretary

and Book-keeper. Of these positions, at least one should be held by a woman. The village Headman will also be a member of this committee.

i. Powers and responsibilities of the Executive Committee:

- It shall have the responsibility of planning and implementing the CNRM plan for the village, in consultation with and with the support of the project staff at BPMU and DPMU levels.
- It shall contract the Village NRM service providers
- It shall plan the budget for the CNRM plan with realistic cost estimates and timelines, oversee proper utilisation of the money allocated during plan implementation and ensure financial and procurement probity.
- It shall have the power to make and change decisions, make modifications, stay or cancel the decisions.
- It shall maintain procurement records such as quotations, minutes, invoices, payment vouchers, etc., and books of accounts and all other supporting documents.
- It shall select the bank signatories for the VNPMC bank account, preferably including the Secretary. At least one signatory will be a woman. The bank signatories will be selected for a period of one year. They will have the responsibility of endorsing, signing and encashing cheques. The Executive Committee has the right to remove bank signatories at any time during their tenure and elect new ones from among the existing committee members.
- It shall ensure monitoring and evaluation of the works carried out and submit progress reports to the concerned authorities, as required
- It shall place the proposal of selection of members for vacant posts or the resignation and expulsion of any member before the VNPMC General Council.
- It shall maintain the necessary books of account, as required, such as
- It shall prepare and make the presentation of the Annual Report and Annual Accounts before the General Council.

ii. Conducting of Executive Committee meeting

The Executive Committee shall meet regularly at least once in a month, preferably on a predetermined date or on a date convened by the Secretary in consultation with the President. All the matters placed before the executive committee shall be decided unanimously. The quorum shall be fulfilled by 60 percent representation of total members of which half should

be women. The attendance of the members, the date, time and venue, the agenda and all proceedings shall be recorded by the Secretary in the prescribed Minutes Register and shall be confirmed by the Chairperson or the person presiding over the meeting.

iii. Roles and responsibilities of office bearers

<i>Office bearer</i>	<i>Role and responsibilities</i>
President	Preside over all the Executive Committee and General Body meetings of the VNRMC Represent the VNRMC in other forums and with other stakeholders and organisations Shall be one of the signatories on all legal and financial documents
Secretary	Convene and participate in the VNRMC General Council and Executive Committee meetings and arrange for implementation of their resolutions and decisions. Prepare agenda and minutes and circulate the same. Arrange for maintenance of the records and documents as well as property relating to the CLLM-Project, such as the Meetings/Minutes register etc. Prepare the Annual Report, including the Annual Accounts. Facilitate all monitoring and evaluation, including the social audit.
Book-keeper	To manage the funds subject to the supervision of the Executive Committee and arrange for maintenance of the accounts of the VNRMC as per the required formats and compliances To perform all financial/legal functions assigned by the Executive Committee, including the functions linked with the VNRMC bank account. Ensure that the grant received record and utilisation certificates, cash book, cheque issue/withdrawal record, bank account statements and reconciliation with the cash book are maintained, vouchers and receipts etc. are maintained on a daily or up-to-date basis.

4. The VNRMC will also nominate up to eight educated youth (to undertake training in the core areas of forest, soil and water, environment, social,

community and rural development management) to be eligible as village NRM service providers. They will be available to the VNRMC on contractual payment to assist in the preparation and implementation of the CNRM Plan.

5. All villages in Meghalaya are eligible to participate in the CLLM-Programme of the Government of Meghalaya.

For the CLLM-Project, the World Bank assistance will be used for planning and implementation of Community NRM Plans (Component 2 of the Project) in select villages.

The villages (or cluster of villages) will submit their Expression of Interest to their respective BPMU, for inclusion under the project/project through a signed application (please see Annexure 2 for template).

The Expression of Interest by each village (or cluster of villages) will be screened using the following major and optional criteria:

Major criteria

- Each Village constitutes a VNRMC where one female (head of the family) and one male member of each household are members. If the VEC is active and performing efficiently in the village it shall be known and designated as the VNRMC only for the purpose of the Project. The VNRMCs shall form a separate Executive Committee comprising of 7-9 members where at least 50% should be women.
- VNRMC must agree to open a Bank account for Village NRM committee
- Every member who attends the meeting for signing Citizens' Green Charter should sign the Green Charter
- Availability of sufficient, undisputed land for Treatment under CLLM-Project
- Favourable Track Record and Percentage performance under various State and Centrally sponsored schemes, particularly in NRM works under MGNREGS (this will be a "ranking criteria" to shortlist villages if there are more number of applicants)
- All activities under the Project has to be planned and in line with the guidance in the Community Operations Manual of the Project that is available in the website www.clmp.com or in the office of the Project District Programme Management Unit.
- Villages already cover through the Megh-LAMP Project will not be eligible for selection under CLLMP.

Optional criteria

- Land dispute, if any, is resolved or failing that, is excluded from planned development
- Traditional/Indigenous Technical Knowledge holders on NRM are identified

- Community nursery is established
 - Selected upto 3 youths who will act as Village Community Facilitators in the areas of Forests, Soil and Water, Environment, Social, Community and Rural Development, GIS and on convergence with other Resources.
6. After an initial screening to ensure that the EoI is complete, the BPMU will submit the screened EoIs to the respective DPMU.

After validation and evaluation of its EoI, the DPMU will select the village for either the programme or the project, based on the first set that is selected. For the 400 villages selected under the project, the selection will be made in proportion to the number of villages in critical landscape in each of Garo, Khasi and Jaintia regions. The DPMU will decide the source of financing for each village (WB assistance / other sources under CLLM-Programme under planned convergence). All those villages who submit their valid expression of interest and which are not covered under CLLM-Project will be covered under CLLM-Programme in a staged manner.

7. The DPMU will then forward the approved EoIs and names of selected villages to the SPMU for final approval, and release of funds for plan preparation (first tranche).

5.3 CNRM Plan Preparation and Implementation Stage

Detailed explanations of the various steps and activities in this stage are given below.

CNRM Plan Preparation

By whom: VNRMC, supported by SPMU/DPMU

When: After village has been selected

1. Once the EoI of a particular village is screened and approved by the DPMU, it will be sent to the SPMU for final approval. After this, the VNRMC will sign the Village Grant Agreement, in the format given in Annexure 3, with the DPMU to carry out plan preparation as per the guidance in the COM. Thereafter, an agreed number of committee members will receive the foundational training for plan preparation. Following the satisfactory completion of these steps, the funds for plan preparation will be released to that village.

The procurement of services of village NRM service providers and the requisition of expert assistance from block level and district level experts will be done by the Executive Committee of the VNRMC. The ToRs for the service providers have to be cleared by the World Bank, and they would then be selected through an open and competitive process.

2. Thereafter, the process of the CNRM Plan preparation will begin. The SPMU, with help from the BPMU, will provide the geo-spatial data and analysis to inform the planning process in each village. The VNRM and its Executive Committee, along with the village NRM service providers will develop the plan. This will be done using a participatory set of processes, and using the template and instructions given in Annexure 4. The broad outline of the planning process is given below:

1. Outlining Priority Areas for Intervention

- a. The results of participatory processes by the village NRM committee, village facilitators/ service providers (PRA exercise/social mapping – demographics, knowledge, infrastructure and institutions, resource mapping, vulnerability mapping, livelihood dependencies etc) will lead to the identification of priority areas for intervention, and their geographical location.
- b. These priority areas will focus on using a landscape approach to address the lead causes for environmental degradation (deforestation, mining) and/ or identifying critical natural resources on which livelihoods depend for their conservation/ rejuvenation
- c. The priority areas and selected interventions will be mapped using GIS

2. The CNRM Plan

- a. Based on the priority areas, the CNRM plan consisting of areas of intervention and specific activities to address these priorities will be developed using the format available with the COM.
- b. An indicative and non-exhaustive list of interventions that could be carried out in convergence with other State and Central sponsored schemes will be provided as an annexure with broad heads such as:
 - i. Land Management Plan
 - ii. Water Management Plan
 - iii. Agroforestry and Community Forestry
 - iv. Optimisation of shifting cultivation
 - v. Rehabilitation of areas affected by mining
- c. The CNRM Plan will span 3-4 years with broad objectives, anticipated outcomes and the implementation schedule for activities; The plan will have a more detailed annual plan with six-monthly milestones and realistic budget. The six-monthly milestones and annual plan will detail indicators of success for each intervention/ activity that the village chooses to undertake as part of the plan.

3. Roles and Responsibilities

The plan will outline the roles and responsibilities of stakeholders in the implementation and monitoring of interventions ensuring that there is fair distribution of responsibility towards the achievement of success in interventions across community members and a plan for continuation of participatory processes through the implementation of the plan.

4. Once the plan is ready, the VNRMC will submit it to the BPMU. BPMU will conduct a quality assessment of the Village CNRM Plan. BPMU can suggest/ make qualitative improvements in the plans in consultation with the VNRMC Executive Committee before sending it to DPMU.

CNRM Plan Approval

By whom: DPMU supported by BPMU

When: After plan has been submitted

5. Following the submission of the CNRM plan from a village through the BPMU, the respective DPMU will approve it as per the sequence given below:

Block level

- a. BPMU will prepare a consolidated statement of all village CNRM plans received by it
- b. Consolidated block plan will be sent by BPMU to respective DPMU along with village CNRM plans and recommendations therein.

District level

- a. DPMU will constitute a committee to review, appraise and approve village CNRM plans. The village plans, if not found to be in order, can be returned by DPMU to VNRMC through the BPMU for amendments.
- b. The DPMU will prepare the district plans which will be aggregation of
a) all village CNRM plans b) Block sub-plans c) and District sub-plan.

Once the DPMU has approved of a particular village's plan, it will sign a VGA and Addendum with that particular village. If required, each VNRMC can review and revise their CNRM plan whenever required and get the revised plan approved by the DPMU. DPMU can consider such plans on merit depending on budget availability, technical feasibility, financial viability, economic and environmental relevance and social acceptability.

6. Villages selected under the CLLM-Project will nominate up to 7 members of their VNRMC Executive Committees and village NRM service providers for training on CNRM plan implementation.

CNRM Plan Implementation

By whom: VNRMC, supported by DPMU

When: After CNRM plan has been approved

7. Communities will implement their CNRM plans in a staged manner. This will be outlined and agreed through a Village Grant Agreement between the VNRMC and the respective DPMU. Communities will begin plan implementation with activities mentioned as 'first stage activities'. If the implementation meets agreed-upon criteria as mentioned in the Village Grant Agreement Addendum, they will graduate to the next stage of financing. As the first step in implementing the approved CNRM Plan, DPMU will release project funds directly to VNRMC on six-monthly basis for project operations based on their annual plan and six-monthly progress report or completion report, whichever is earlier.
8. The VNRMC Executive Committee will start the procurement of , in line with the agreed procurement procedurest. These are explained in detail in Chapter 12. The VNRMC Executive Committee will begin the financial management process in line with the process explained in Chapter 11.
9. During the course of plan implementation, the VNRMC will ensure that all activity – physical/technical, social and gender, financial and procurement, as well as documentation and reporting etc. is carried out in compliance with project requirements. A Grievance Redressal Mechanism will be in place, as explained in Chapter 10.
10. During the plan implementation, social audits will be carried out bi-annually as part of monitoring. The process is explained in Chapter 8.
11. Additionally, Procurement review will be done by the SPMU. The SPMU will establish internal prior review thresholds that will be reflected in the Procurement Manual for the project and the Procurement chapter of the COM. Additionally, the SPMU will conduct independent procurement post review for district- and subdistrict-level procurements according to the terms of reference and reporting requirements satisfactory to the World Bank.

6. Capacity-building through training and development

Under the CLLMP Project, capacity-building will be taken up for all project staff and stakeholders, with the objective of developing capacities to ensure that project activities are planned and executed within time and budget, and that the Project Development Objectives (PDOs) are met. Some of the proposed activities are as follows:

1. State- and regional-level workshops on sharing of unique and traditional NRM practices, relevant for climate change adaptation such as conservation of indigenous varieties of crops, natural spring rejuvenation etc. and lessons from other NRM projects
2. Sharing of NRM-related knowledge with the community through a web-based platform and using GIS tools and development of knowledge networks
3. Training stakeholders and beneficiaries on community leadership and management of natural resources and the approaches promoted by the project
4. Fiduciary Management for Communities
5. Development of training facilities at block level Bharat Nirman Rajiv Gandhi Seva Kendra (BNRGSK)/Enterprise Facilitation Centers
6. National and international exposure visits for project stakeholders

The following target groups will be covered during capacity-building:

1. Project staff from SPMU, DPMU and BPMU
2. Members of the VNRM Executive Committees
3. Village-level NRM service providers

Capacity development activities will be implemented through classroom-based training, skill development, exposure visits, field schools, hands-on demonstrations etc. They will cover the following thrust areas - natural resources management, skill development, livelihood enterprise development, gender sensitisation, governance, legal issues, institutional strengthening, financial and procurement management etc.

The topics to be covered during capacity-building for different stakeholders are given below:

Stakeholder	Topics
1. MBMA/SPMU	• Orientation & sensitisation to community-driven projects • Orientation on CLLMP and concept of landscape-based natural resources management

	• Project rules & regulations, procedures relating to finance and procurement • Application of ESMF to planning & implementation • M&E
2. DPMU	• Orientation on CLLMP and concept of landscape-based natural resources management • Project rules & regulations, procedures relating to finance and procurement • Application of ESMF to planning & implementation • Community mobilisation basics • Social audit • Citizens' engagement • Communications • M&E
3. BPMU	• Orientation on CLLMP and concept of landscape-based natural resources management • Community mobilisation basics • Social audit • Citizens' engagement • Communications • Convergence with other government programmes and helping with the exit strategy • Record keeping by VNRMC for fiduciary review and audits
4. VNRMC Executive Committee Village NRM Service Providers	• Orientation on CLLMP and concept of landscape-based natural resources management • Project rules, regulations, procedures, record keeping, etc. • Community mobilisation basics • Social audit • Citizens' engagement • Communications • Leadership • Conflict resolution • Gender sensitisation • Technical training on the thematic areas as below Soil and Water Conservation Contour Trenches, field bunds, gully

	plugs, Small water storage structures, Percolation Pits, Well Recharge Pits, Sunken Ponds Drainage Line Treatment (Loose Boulder Structures, Gabion, check weir and small check dams), Afforestation/ Preventing erosion through vegetative cover, Assisted natural regeneration of degraded areas, Slope Stabilization, Community ponds, tanks including de-siltation and rehabilitation Land Productivity Enhancement Land levelling for cultivation; De-siltation and rehabilitation of community ponds/tanks; Treatment of alkali soils, de-acidification or detoxification etc. Development of organic fertilizers, farm yard manure, green leaf, tank silt, vermi- compost units; Organic Farming and homestead gardens; Agri-horti-silvi -pastoral model Springshed Development Spring Inventorisation; Afforestation, regeneration of natural forests in the immediate catchment of springs; Protection of spring water from contamination; Revival of existing water bodies linked to springs; Contour/Staggered Trenches and other measures to increase groundwater percolation, rainwater harvesting; Construction/ Improvement of Spring Chamber/ Collection tank Afforestation, Agroforestry and Community Forestry Forestry/ Agro-forestry; Plantation of fodder trees, grasses, Shrubs, Silvipasture treatments; Community forestry activities/ planning; NTFP based activities; Seed production and
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	nursery raising; Restoration of degraded sacred groves; Nurseries for endemic, rare species
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The training modules will be designed after a training needs assessment of a representative section of the stakeholders. The pedagogy will focus on practical training, and follow-up field training and exposure visits. At least 50 percent of the attendees for the exposure visits will be women. The training will be carried out as per the Project Training Plan, and in line with the technical manuals.

7. Project IEC

The project will be supported by appropriate IEC activities and material during the different Stages, as given in the table below.

All IEC material must be in local language and dialects, and carry cultural and gender cues.

	Primary audience	Secondary audience	Tertiary audience
Project preparation stage		Development of CLLMP logo and legend Development of social and IEC manual <i>PPTs and brochures</i> • What is NRM and the landscape management approach? • What is CDD? • Importance of CNRM in realising long-term social and economic benefits for the State • Role of government as a facilitator only • Orientation on the CLLM project and project: objectives, structure, mechanisms, reporting and documentation M&E, including social audit, GRM, communication strategy and CNRM planning, and available GIS data are to be explained in detail	

		• PRAs and social mobilisation processes and tools, including gender issues and sensitivity to under-represented groups and vulnerable groups • EMF and SMF – salient points • Essential project management skills including soft skills • Understanding the flow of communication among different project functionaries and levels • Understanding the roles and responsibilities at different levels • Understanding how convergence works under the CLLM-Project A set of FAQs should be generated by the project functionaries at different levels Development of IEC tools such as PPTS, flip charts, brochures, fliers, wall-paintings, formats for Green Charter and EoI, website and social media pages etc., on a standardised design format.	
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		GIS data sheets for each village and contiguous area prepared.	
Community Mobilisation and Preparation	Public announcements used for initial outreach in village <i>flip charts, brochures and fliers</i> • What is NRM and the landscape management approach? • What is CDD? • Importance of CNRM in realising long-term social and economic benefits for the State • Role of government as a facilitator only – community ownership of project, and how people can contribute their time, labour etc. • Orientation on the CLLM project and project: objectives, structure, mechanisms, reporting and documentation M&E, including social audit, GRM,	Based on the field activities, IEC material should be altered and enhanced to bring in more relevant. Communication strategy should be finalised at this time. Process documentation should begin, in written and audio-visual format. Social media platforms engagement for CLLMP	Print media advert and short newsletter giving details of CLLM-Project Media coverage of Project launch

	communication strategy and CNRM planning, financial procedures and procurement guidelines and available GIS data are to be explained in detail • PRAs and social mobilisation processes and tools, including gender issues and sensitivity to under-represented groups and vulnerable groups • EMF and SMF – salient points • Essential project management skills including soft skills • Understanding the flow of communication among different project functionaries and levels • Understanding the roles and responsibilities at different levels • Understanding the Innovation grants and Catalytic Funds		
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	Understanding how convergence works under the CLLM-Project Introduction of the COM and who to contact for further information Sharing of GIS data sheet for the village and contiguous areas. Communication flow diagram within the village and VNRMC to be shown on wall-paintings		
CNRM Plan preparation	CNRM-related activities are to be displayed on blackboard/wall in common area/community building. Hand-drawn social map, once drawn, is to be printed and put up in common area. Citizens' engagement process to begin. Understanding how convergence works under the CLLM-Project and what projects and sources of funding are available for funding	Process documentation continues.	Dissemination through social media, short newsletter and emails to opinion-makers and media.

CNRM Plan implementation	Importance of community ongoing monitoring, social audit, grievance redressal etc. Participation in VNRMC meetings. Importance of whistle-blowing and how to use RTI Effective planning for long-term O&M of assets and natural resources Sensitisation of stakeholders regarding post project sustainability Feedback and learning to be shared with community.	Presentation of communities' activities on social media. Communities to open their own social media accounts for CLLMP. How to teach communities to do IEC in a decentralised manner. Documentation of best and worst practices. Process documentation continues.	Regular news dissemination to opinion-makers and media at state and national levels. Site visits organised for media. Coverage of project villages on mainstream villages. Other exposure visits, as required for other stakeholders and communities.
Consolidation	Dissemination in community about maintenance of the created NRM assets and sustainability of project interventions Roles, responsibilities of stakeholders and mechanisms for future maintenance Convergence with other development programs and schemes	Documentation of best and worst practices. Publishing the project success stories in blog form etc. Sharing learnings from project within government and development community.	

8. Project Monitoring and Evaluation

Under CLLMP, a State-level MIS will be set up to document and inform all project activities, including M&E. At the community level, M&E will be carried out by social audits (please see Chapter 8) and citizens' engagement process. Broadly speaking, the process will be as follows:

1. Development of the M&E process and tools for results-based management and to ensure that data and information on the progress of the project towards achievement of the outcomes are available to the SPMU for course-correction and decision-making.

The frequency of data collection will be annual, and sources of data include perception survey (for citizen engagement and gender), field survey, skills and institutional assessment and review of key documents.

The M&E activities will

- generate information on progress of the project and meet the World Bank's routine reporting requirements, i.e. the six-monthly progress report, Implementation Status and Results (ISR) report which is developed for each country and publicly disclosable, and data and information requirements for the mid-term review (MTR) of the project
- (ii) analyse and aggregate data generated at regional and local levels to provide timely feedback for decision-making and
- document and disseminate key lessons to all stakeholders in Meghalaya

Besides the information collected by the SPMU on an annual basis, the citizen engagement process including perception surveys, and social audits will also inform the M&E process.

2. Development of the citizen engagement strategy, tools and process. The specific elements of the framework for citizen engagement include: (a) support to engagement of rural communities and households in planning and management; (b) support community engagement in determining local investment in land and watersheds; (c) support to a feedback mechanism from stakeholders and partnering beneficiaries to be designed to process concerns and questions from partnering beneficiaries and other stakeholders at different levels, with a view to resolving these concerns and questions; and (d) specific third-party monitoring of project activities will be supported two times during project implementation (at mid-term and at completion) to ensure transparency and feedback on these activities.

Contribution to PDO	Relevant Citizen Engagement Activities	Citizen Engagement Results and Approach to Management
The PDO is supported by citizen engagement as • An integrative tool for social accountability toward rural households and communities across the targeted landscapes and range of interventions and • As a means to provide a voice and engage with local actors and ultimate beneficiaries to ensure that local and regional institutional capacity in planning and implementation and local improvements, responding to local problems, demands, and needs.	• Feedback mechanism across landscapes (third-party monitoring) and closing of the feedback loop through fora for engagement (focus group discussions) • Capacity building of local government structures in landscape management (soil and water conservation, agroforestry and so on) and delivery of interventions to take account of feedback	• Share of target beneficiaries with rating 'Satisfied' or above on process and impact of project interventions (disaggregated by sex) • Data source: Field-based perception survey based on a sample in all landscapes implemented by a third party

CLLMP: Results Framework and Monitoring

<i>Project Level Indicators</i>											
Indicator Name	Baseline	YR1	YR2	YR3	YR4	YR5	End target	How often	Data Source/ Methodology	Done by	Description of Indicator
Village NRM committees functioning with adequate fiduciary capacities, and capable of monitoring capacities to lead on landscapes management. (Number)	0	50	150	400	400	400	400	Annual	Audits of fiduciary processes, technical skills, and use of IT systems for monitoring and preparation of corrective plans.	SPMU	Improved capacity of Village NRM Committees to lead on landscapes management.
Share of village-level NRM Plans under implementation according to agreed criteria (Percentage)	0	10	50	75	90	90	90	Annual	Field Survey	SPMU	Community-led management through the village-level NRM plans that have been developed by communities (based on direct support and increased capacity) and have been approved and adopted under the project by DPMUs and SPMUs. Villages will implement the plans in a staged manner, agreed through a Village Grant Agreement between the Village NRM Committee and respective District Project Management Units (DPMU). Communities will first implement agreed first stage activities in their plan and graduate to the next stage of financing if implementation meets agreed criteria. This approach is meant to incentivize performance-based access to funds by the communities. Actual interventions needed will be decided by the community in their respective plans but will relate to soil and water conservation measures; soil health improvement and productivity enhancement measures; spring-shed development and water management

											plans; nursery, agro-forestry and community forestry; optimization of shifting cultivation; rehabilitation of areas affected by mining etc. Criteria for assessing successful implementation will be agreed in the Village Grant Agreement.
Share of target beneficiaries with rating 'Satisfied' or above on process and impact of project interventions (disaggregated by sex) (Percentage)	0			40		70	70	Biennial	Perception Survey	SPMU	The indicator captures citizen engagement (corporate requirement). A feedback loop will be included. The dimensions under the perception survey to be included are: (1) Increase in productivity of agriculture and allied activities (2) management and access to forests, (3) livelihood aspects, and (4) others.
Land area under sustainable landscape management practices (Hectare(Ha)) - (Corporate)	0	5000	12500	22000	28000	31510	31510	Annual	Field Survey	SPMU	The indicator measures, in hectares, the land area for which new and/or improved sustainable landscape management practices have been introduced. Land is the terrestrial biologically productive system comprising soil, vegetation, and the associated ecological and hydrological processes; Adoption refers to change of practice or change in the use of a technology promoted or introduced by the project ; Sustainable landscape management (SLM) practices refers to a combination of at least two technologies and approaches to increase land quality and restore degraded lands for example, agronomic, vegetative, structural, and management measures that, applied as a combination, increase the connectivity between protected areas, forest land, rangeland, and agriculture land.
Intermediate level indicators											
Share of villages supported with capacity-building	0	10	20	60	70	70	70	Annual	Field survey	SPMU	Relates to all PDO indicators and captures Village NRM committee

package in NRM (Percentage)									Skills assessment		members, Village Council Members, Village service providers (state-wide) that have been trained by the project and found skilled (in skills assessment) in natural resources management and especially integrated landscape management.
Forest area brought under management plans (Hectare(Ha)) - (Corporate)	0	700	4000	8000	12585	12585	12585	Annual	Review of forest management plans and approvals	SPMU	No description provided.
Meghalaya Basin Management Agency functional as Agency of Excellence in community-led NRM (Yes/No)	No	No	No	Yes	Yes	Yes	Yes	Annual	Review of key documents and websites Institutional assessment	SPMU	Relates to all four PDO indicators. MBMA will be functional as Agency of Excellence in community-led NRM in terms of knowledge-sharing and innovation platform as assessed by an institutional assessment. In developing as a center of excellence, it will be supported by the Meghalaya Institute of Natural Resource Management drawing on the strengths of the Department of Science and technology, State Institute of Rural Development (SIRD), the Forest Training Institute (FTI), Tura and the Soil and Water Conservation Department's Training Institute.
Community NRM management plans prepared and approved by Village CNRM Committees and DPMU of MBMA that include financing from other central and state government sources available for NRM (Number)	0	25	75	150	150		400	Annual	Review of community NRM management plans including financing table and approvals Field survey	SPMU and DPMU	Cumulative targets. This indicator is related to PDO#2 and PDO#3. It further captures convergence of government sources for NRM.
Share of Village NRM Committees with equal or more representation of women among the 7-9 members of the Executive Committee (Percentage)	20	30	50	75	90		100	Annual	Review of minutes of Village NRM Committees minutes	SPMU	Gender indicator.

Citizens' Engagement Process – an overview of the process

1. Identify and determine objectives and rationale: why is citizen engagement envisaged for CLLMP within an organisational context, as well as a broader political and societal context? What is the outcome, and how will it be utilised to improve the project?
2. What are the approaches or methods that can be taken up to listen, analyse with transparency, share, and ultimately empower the partnering beneficiaries?
3. Ensure that time and resources to plan and execute on a timely basis are available
4. Develop internal capacity at MBMA and SPMC to undertake such a process, and identify the implementing process and players
5. Plan the process, keeping in mind the following issues:
 - Representativeness: How will citizens be chosen so that they are representative of the population?
 - Independence: Will impartial facilitators/moderators be chosen? Is a fair process in place to give all involved a chance to participate, not favouring one perspective over another?
 - Level of involvement: Will citizens be involved in setting the agenda? Defining the rules of the process? Choosing experts? Defining their need for information?
 - Is there a genuine commitment by the organisation/department to the process and its outcomes?
 - Providing information on the process and pre-testing for clarity and understanding by the target audience
 - Time availability: Have participants been provided with enough time for to inform themselves and to discuss amongst themselves?
 - Structured decision-making: Are the objectives clear, realistic and transparent? How will it be made clear to participants, *from the beginning*, how the information generated will be used? Has a communication strategy been developed to inform the general public and participants of the outcomes?

Community M&E through Social Audit

PART I- CONCEPTS, PROVISIONS AND STEPS OF SOCIAL AUDIT

I. Understanding Social Audit

- **Key Elements of a Social Audit**

Social audit is primarily conducted by the community with independent facilitation and support provided by civil society organizations with the aim to :- (a) monitor the effectiveness and efficiency of the implementation of the CLLM project; (b) initiate course correction measures, whenever necessary; (c) to monitor and encourage transparency in the implementation mechanisms; (d) to educate the citizens making them aware of their rights and entitlements under the CLLM project; (e) to enhance citizens' ownership of the project; (f) to seek feedback on ways and means of improving the implementation of the project; and (g) to be used as a platform for redressal of grievances.

It is necessary for the Social Audit to have the following key elements to be effective:

1. Needs to be participatory and consultative.
2. Needs to create space for accommodating diverse opinions and viewpoints.
3. Needs to be comprehensive, assessing all direct and indirect impacts on the village/ region.
4. Needs to be inclusive and open throughout the exercise.
5. Needs to reflect the local needs and priorities.
6. Needs to widely share and disseminate information to reach all.
7. Needs to create a dialogue among all project stakeholders.
8. Needs to be a continuous process
9. Need to be independent from the agencies implementing the programme
10. Need to have complete access to official records pertaining to all physical, financial and administrative aspects of the programme in a demystified manner such that citizens and beneficiaries can understand
11. Need to have officially sanctioned outcomes

- **Key Stakeholders in Social Audit**

As per the Meghalaya Community Participation and Public Services Social Audit Act, 2017, the four primary stakeholders of a social audit process are the community (citizens residing in the village), VNRMCS or village institutions (elected local bodies who represent the area where the social audit is taking place), the nodal agencies and line departments (who are responsible for the CLLM project being audited), Social Audit Mechanism viz., State Social Audit Council, District Social Audit Coordinator, Village

Social Audit Committee and the Social Audit Facilitators (civil society institution facilitating the social audit process).

II. Benefits of Social Audit

Accountability- Essentially an accountability tool, social audit develops community's capacity to demand accountability in the implementation of the CLLM project.

Transparency- Social Audit process demands transparency both from the implementing agencies and social audit facilitators by making their actions and information open to public scrutiny at all stages.

Empowerment- The community's scrutiny and own assessment of the work done under the CLLM project helps to develop their capacities and of others in implementing it.

Participation and Inclusion- Social Audit provides an opportunity to assess the collective gains from the CLLM project and whether the benefits have been equitably distributed among all social/economic groups or not.

Grievance Redressal- When project is collectively audited in the presence of stakeholders, it is possible that some partnering beneficiaries may not have received benefits. The audit provides a platform to air their grievance and seek redressal.

Project effectiveness- Feedback and recommendations of social audits brought to the attention of decision makers can lead to modifications in the project design and improve its effectiveness.

Education- The Social audit process educates communities about scope of the CLLM project, the activities that can be undertaken, power of the community to hold implementing agencies accountable for their work and the need for all sections of the community to benefit equitably. Consequently, the process helps in building community ownership of the project.

Mutual trust – Social audit process can be looked upon as a level playing field for initiating a dialogue between the functionaries and the community.

Role clarity- On conducting a social audit, community members develop clarity on their roles and limitations within which government functionaries operate.

III. Steps for undertaking Social Audit

Social Audit for CLLMP shall be taken up as per the The Meghalaya Community Participation And Public Services Social Audit Act, 2017 and rules and procedures thereof. For more information please refer <http://mssat.nic.in>.

10. Grievance Redress Mechanism (GRM)

Introduction

Grievance Redress Mechanism (GRM) is an important element of project management that resolves the grievances of partnering beneficiaries on project activities and implementation. The mechanism helps to ensure that the project partnering beneficiaries are aware about the project benefits; and that the concerns raised by them on the implementation aspect are addressed effectively.

GRM for World-Bank supported projects

Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

Grievance Redressal Mechanism for Community Led Landscape Management Project

A designated Grievance Redressal Officer & Appellate Authority are to be identified in all the PMUs- from state to village level, to ensure accountability of the implementing agencies in addressing the grievances. Moreover, at the district level, it is required to have an identified person to monitor the GRM and co-ordinate with all the BPMUs & VPMUs as per the flow chart of the proposed GRM.

Table 1.1: List of Proposed GROs and Appellate Authority for GRM under CLLMP

Level	Roles	Grievance Redressal Officer	Method of Sending Grievance	Time Frame to Resolve Issues
First Level Village Project Management Unit	First level of handling grievances reported by any aggrieved person or complainant. GRO would be responsible for maintaining a grievance register for recording number of grievances received. Document discussion on grievances and minutes of the meetings, resolution status GRO would also share copy of these grievances with the Block Project Management Unit	Village Headman/Appointed Individual	Traditional method: written application to the Headman	
Second Level Block Project Management Unit	If the aggrieved person or complainant is not satisfied with the resolution provided at the first level, then he would approach the GRO at the BPMU. GRO would provide resolution by appropriate liaising with relevant departments - horticulture, agriculture, irrigation, etc. GRO would maintain a grievance register that records number of grievances received. Discussion on grievances and minutes of the meetings.	Assistant Manager	GRO will receive complaints through the headman or may independently receive complaints from aggrieved persons	

Third Level District Project Management	If the aggrieved person or complainant is not satisfied with the resolution provided at the above two levels, the she/he would approach the District level GRO at the village level would also share a copy of the grievance status with the District Project Management Unit	Assistant Manager.	GRO will receive all complaints through the Project Associate	
Fourth Level State Project	This level would have the Ombudsman to handle Grievances which could not be resolved in the lower Cells. This Ombudsman would head the Grievance Redress Cell of CLLMP	Manager.	GRO will receive all issues through Asst. Manager	
Ancillary Level This would include the	If the issue cannot be addressed/ outside the purview of the GRC then it may be taken by the Office of the District Commissioner or a Legal Court.	District Commissioner and Legal court.		

Addressing Grievances through Electronic Method

Electronic mode of GRM is quite effective in reducing the time taken for Grievance Redressal. The web portal of MBMA needs to be designed in a manner to incorporate a 'Grievances' section, specifically developed for CLLMP. Another mechanism of electronic mode for addressing grievances is through a toll-free helpline number to make the mechanism widely accessible and gender friendly. Flow chart outlining the electronic mode of GRM for CLLMP is shown in Fig 1.1.

ADDRESSING GRIEVANCES THROUGH ELECTRONIC METHOD

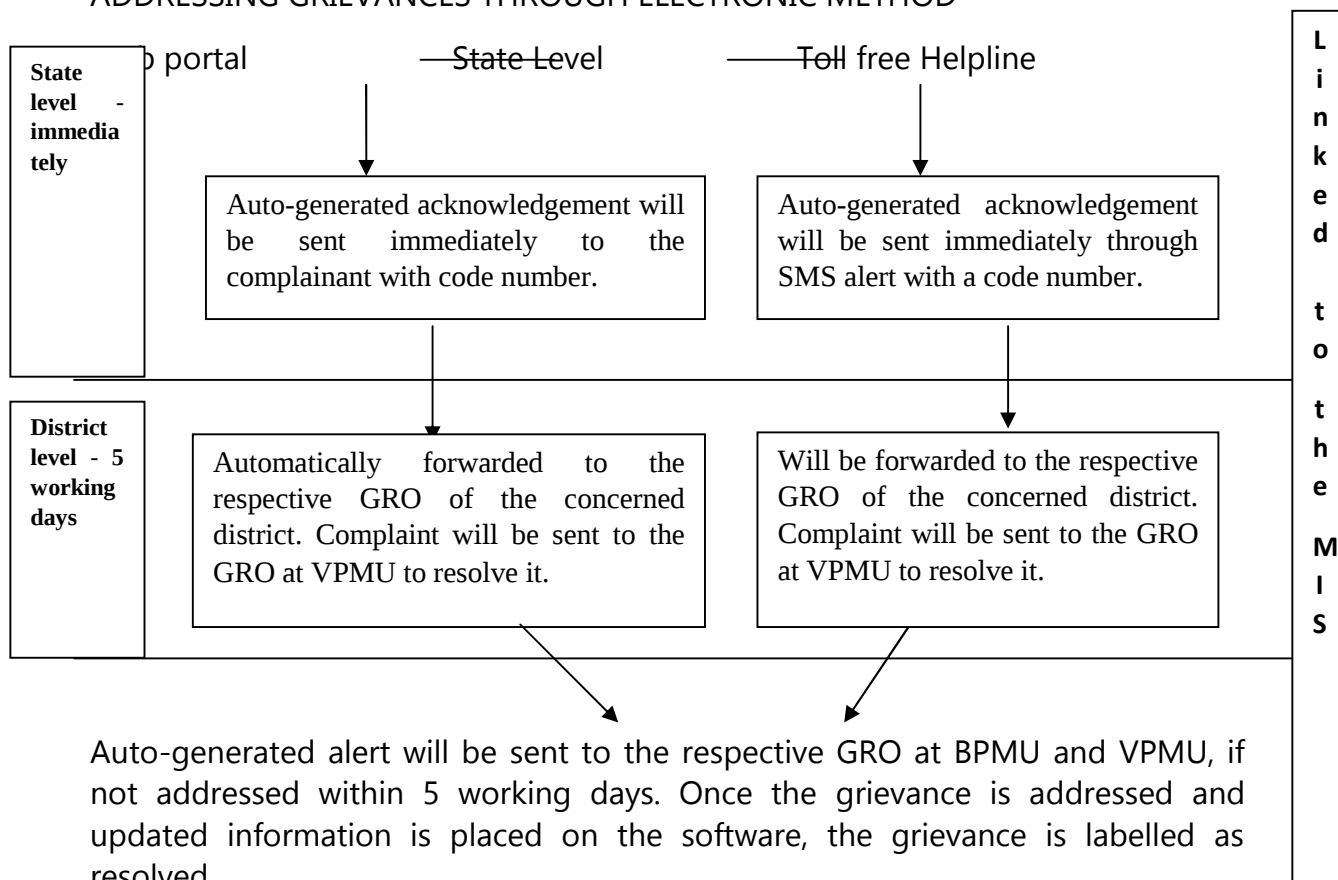


Figure 1.1: Flow diagram for electronic mode of GRM.

Setting up of electronic mode of GRM is a time-consuming process. Therefore, this necessitates the setting up of a GRM system right from inception stage of project implementation, to address possible grievances. MBMA will implement the Right to Information Act, 2005 and put in place all necessary systems and procedures on their official website. Furthermore, Appellate Authorities (AAs) have been designated to hear and dispose of first appeal(s) filed under the RTI Act.

Nature of Grievances

The nature of grievances received may include institutions specific (internal) to a project or others that have emerged over time in response to needs identified while the project evolved. For this project, grievances can be segregated under the following heads: Procurement, Quality of services provided, Financial, Social, Environmental, addressing of grievances, etc.

Accessibility by the aggrieved person

The aggrieved person can verify the status of the grievances with the reference of acknowledgement number or the unique code number provided to them. If any aggrieved person wants his/her identity to be kept confidential, necessary arrangements ought to be made for the said purpose. The status of grievances can be made accessible in the websites of MBMA without disclosing the name and details of the aggrieved person.

Linking of GRM to Management Information System (MIS)

Management and Information System of the project is the tool for monitoring and management of GRM. All the grievances received need to be entered into the MIS by the respective PMUs. The status of the grievances to be updated as and when addressed or forwarded by the respective PMUs. Based on the requirements, provision to be created in the MIS for generating periodical reports on GRM.

11. Financial Management

1. Financial Management (FM) - overall responsibility of MBMA

SPMU will have the overall responsibility of maintaining the financial management system for the Project and ensuring that these functions are carried out in accordance with the project's legal agreements. These activities will include

- a) adequate annual budgetary provision of the Project in the State Budget and effective monitoring and utilisation as per Project Legal Agreement;
- b) sufficient and timely flow of funds to DPMU and VNRMC at all times for implementation of project activities;
- c) maintenance of adequate and competent financial management staff in SPMU, DPMU;
- d) appropriate accounting of project expenditures at SPMU;
- e) oversight on project funds spent by VNRMC as per Village Grant Agreement;
- f) control over assets created under the project by VNRMC;
- g) preparation and timely submission of interim financial reports, to the World Bank; and,
- h) timely submission of audit reports and project financial statements to the World Bank.

2. FM Roles and responsibilities of DPMU and SPMU

DPMU

- Support MBMA in the development of payment schedule of Village Grant Agreement
- Open separate bank account for receipt of project funds from MBMA.
- Submit timely request to MBMA for release of funds.
- Timely sanction and release of funds/tranches to VNRMC as per terms of Village Grant Agreement.
- Timely payments for other project activities.
- Accounting and reconciliation for receipt and payment/release of funds of VNRMC.
- Training and Capacity building of VNRMC on accounting matters
- Follow -up with VNRMC for timely submission of utilisation certificates
- Physical verification of the assets created by VNRMC under the Project.

- Maintain a database for tracking of funds released to VNRMC and utilisation certificates submitted by VNRMC.
- Submit timely financial reports and project progress reports to MBMA.
- Assist MBMA in the verification and audit process.
- Carry out any other FM tasks assigned by MBMA.

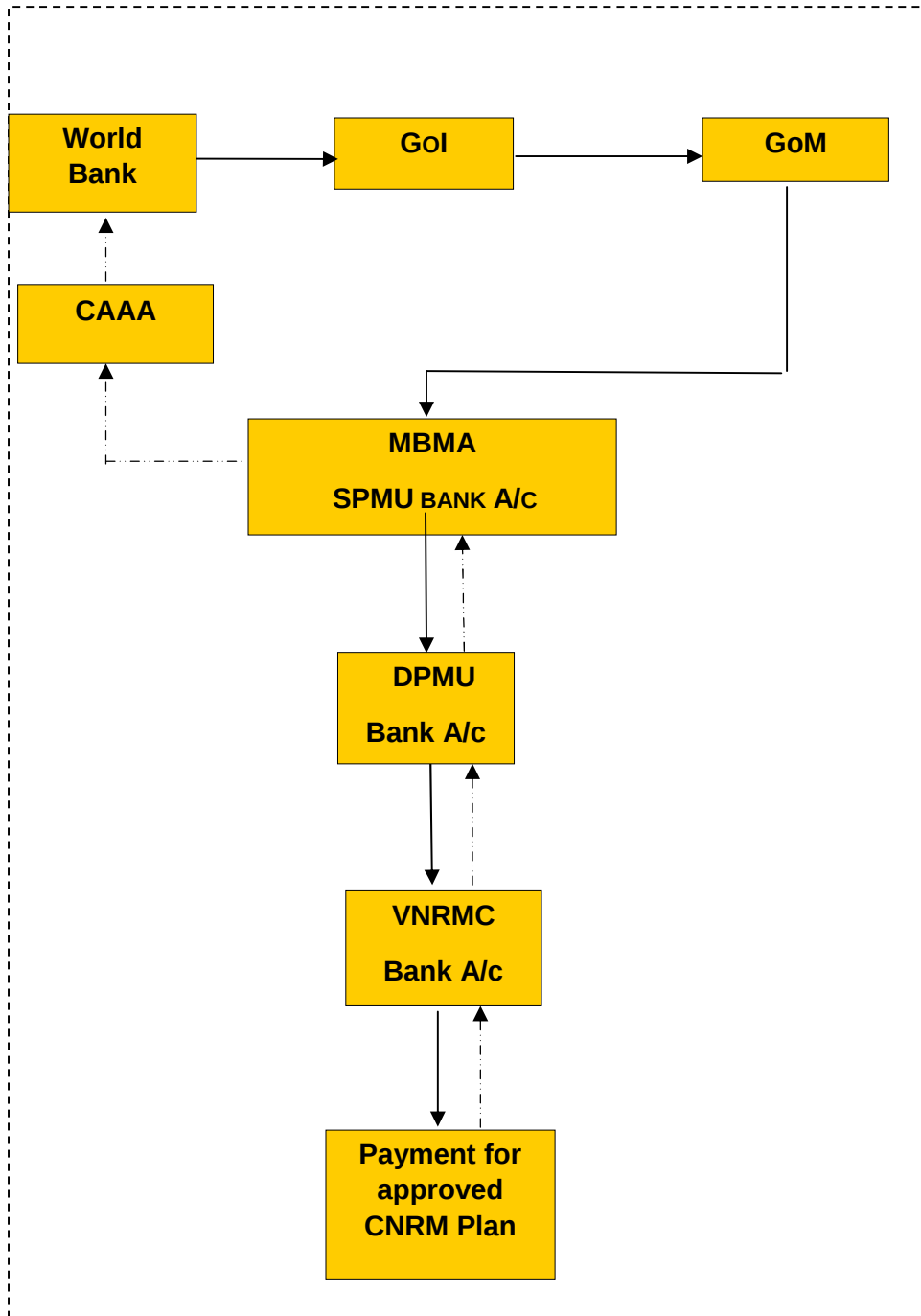
VNRMC

- Open separate bank account for the Project Identify two persons from the community who will be responsible for joint signatory of cheque.
- Nominate one person from the community with knowledge and experience in book keeping.
- Segregation of roles and responsibilities on procurement, payment and accounting
- Submit timely request to DPMU for release of funds/ tranches.
- Payment for CNRM activities as per approved CNRM Plan
- Accounting, maintenance of books of accounts and bank reconciliation
- Timely preparation and submission of utilisation certificates to DPMU.
- Assist MBMA and DPMU in the verification and audit process.

3. Fund Flow Arrangement

Fund Flow —————>

Information Flow - - - - ->



4. Basis for release of funds:

FUND FLOW LEVEL	BASIS OF RELEASE
MBMA (SPMU to DPMU)	i. For community led activities, SPMU will release funds to DPMU in three tranches as per the financial terms agreed in the Village Grant Agreement (i) Preparation of CNRM Plan, (ii) First Year Implementation of CNRM Plan (60%), (ii) Second Year Implementation of CNRM Plan (40%) ii. For other project activities, SPMU will release funds to DPMU based on the quarterly demand (i.e. expenditure forecast statement) submitted by DPMU. iii. Funds will be released into DPMU bank account opened specifically for the Project. iv. Funds will be released by SPMU within 15 days of receiving demand request from DPMU. v. DPMU will submit quarterly financial reports to SPMU providing (i) utilisation of funds spent by DPMU; (ii) funds transferred by DPMU to VNRMC. vi. DPMU will submit six monthly financial reports to SPMU on the funds spent by VNRMC.
DPMU to VNRMC	i. DPMU will release funds in three tranches after receipt of funds from SPMU. ii. Release will be as per the financial terms agreed in the Village Grant Agreement between MBMA (SPMU) and VNRMCs. iii. Funds will be released within one month of receiving demand request from VNRMC. <i>First Tranche (for preparation of CNRM plans):</i> i. VNRMC should be registered in the project. ii. VNRMC should open separate bank account for the Project. iii. Copy of the resolution approved by Executive Committee of the VNRMC providing two authorised signatories of bank account. iv. A letter indicating the name of the Book-keeper who will maintain books of accounts. <i>Second Tranche (for First Year implementation of CNRM Plans)</i> v. Only after approval of CNRM plans by DPMU vi. Submission of utilisation certificates and bank statements of first tranche. vii. Copy of the resolution approved by Executive

	Committee of the VNPMC providing the list of activities that will be undertaken from the approved CNRM plans. viii. Funds will be released to a maximum of 60% of the budget approved for each activity. <i>Third Tranche (for Second Year implementation and completion of CNRM Plans)</i> ix. Submission of utilisation certificate and bank statements of the previous tranche. x. Physical progress reports of the activity with photographs, containing location information. xi. Remaining 40% funds required to complete the activity will be released.
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5. Accounting

DPMU

- The books of accounts shall preferably be maintained in an off the shelf accounting software. Till such time, the system is procured and operational, the books of accounts shall be kept manually.
- Maintain books of accounts following double entry accounting principles.
- Preferably use chart of accounts for uniformity and tracking of receipts and expenditures for easy consolidation of accounts.
- Proper segregation of duties for procurement, payment and accounting functions
- Periodic reconciliation of accounts and bank balances
- The books of accounts shall be closed on March 31 of each financial year.
- The books of accounts shall be preserved till the closure of the Project.
- Following books of accounts and registers shall be prepared and maintained at DPMU.
 - i. Cash Book
 - ii. General Ledger and Subsidiary ledgers
 - iii. Journal Register
 - iv. Fixed Assets Register
 - v. Cheque issue Register – to maintain record of Cheques issued and cleared from Bank
 - vi. Bank Pass Book and bank statements
 - vii. Bill Register (to record date of receipt of bill, date of bill approval for payment and date of issue of cheque/cash).
 - viii. Establishment Register (Details of employee and salary payments etc.)

- ix. Vouchers, bills and supporting documents
 - x. Any other register required for the project prescribed by MBMA (SPMU).
- Following books of accounts and registers shall be prepared and maintained at VNRM. The books of accounts shall be preserved till the closure of the Project. Formats for these are given in the section "Community Book-keeping and Accounting" within this chapter.
 - i. Minute Book
 - ii. Cash Book
 - iii. Community contribution register
 - iv. Cheque issue Register – to maintain record of Cheque issued and cleared from Bank
 - v. Bank Pass Book
 - vi. Bill Register (to record date of receipt of bill, date of bill approval for payment and date of issue of cheque/cash).
 - vii. Vouchers, bills and supporting documents
 - viii. Any other register required for the project prescribed by MBMA (SPMU and DPMU).

6. Expenditure / Financial Reporting

- DPMU shall submit financial reports and expenditure statements for the payments made by DPMU (i) utilisation of funds spent by DPMU for own activities; (ii) funds transferred by DPMU to VNRM within one month from the end of each calendar quarter.
- VNRM shall submit Utilisation certificates to DPMU within one month from end of each half year.
- DPMU shall maintain a database for tracking of funds released to VNRCs and utilisation certificates received from VNRM. It should be shared with SPMU on a six-monthly basis.

7. Bank Account and Payment

- DPMU and VNRM shall open a bank account exclusively in the name of the Project. Each bank account should have at least two signatories to be jointly operated by following officers:
 - DPMU – XXXXX and XXXXXXXX
 - VNRM: President and Secretary
- Mode of payment:
 - a. **DPMU:** The mode of payment should be electronic transfer or account payee cheques.

b. **VNRMC:** The preferred mode of payment shall be account payee cheque.

- **Payment standards:** The payment shall be made to contractors and supplier of goods and services within 15 days from the date of issue of Running Account Bill / invoice. VNRMC and DPMU shall maintain a Bill register which should record the date of receipt of bill, date of bill approval for payment and date of issue of cheque/cash.

8. Financial Audit

Full time audit officers in SPMU will carry out audit which will focus mainly on

- (i) quality of maintenance of accounting records at VNRMC
- (ii) payment, expenditure reporting in Utilization Certificate and procurement functions carried at VNRMC
- (iii) Bank reconciliation function carried at VNRMC.
- (iv) The selection of VNRMC will be carried in such a manner that all VNRMC are covered for internal audit during the lifetime of the project.

Formats of Community Book-Keeping and Accounting

Format 1: Cash Book: Two column to record Cash and Bank transactions

Receipt					Payment				
Date	Particular	Amount			Date	Particular	Amount		
		Cash	Bank	Total			Cash	Bank	Total

Format 2: Minute Book

VNRMC	
Project	
Date	
Time	
Meeting Attended by	
Absent from Meeting	
Agenda Points	
Discussion Points	
Decision Taken in the meeting	
Action item	
Name, designation and Signature of persons attended the meeting	

Format 3: Community Contribution Register

District				
Block				
VNRMC				
Date of Contribution	Receipt No	Name of Beneficiary	Amount	Date on which Cash / Cheque deposited into Bank

Format 4: Cheque Issue Register

Date of issue of Cheque	Bill No	Particular of Bill	Party to whom cheque is issued	Cheque No	Amount

Format 5: Bill Register

Date of Receipt of Bill	Particular of Bill	Amount	Date of Passing of Bill	Date of issue of Cheque / Date of payment of cash	Cheque No (If applicable)

Format 6: Payment Voucher

Payment Voucher	
<i>VNRMC</i>	<i>(Date)</i>
Voucher No:	
Cash/Cheque	
Particular – Activity of CNRM Plan	Amount

Amount (in words):	
Payment Made to <i>(Name of party)</i>	
Write Cheque No (If paid by Cheque)	Revenue Stamp if paid in cash
Approved By	

Format 7: Utilization Certificate

Utilisation Certificate for CNRM Village Grant				
<i>District</i> <i>Block</i> <i>VNRMC</i>	<i>(Date)</i>			
Particulars	Amount (Rs.)			
	Budget	Year 1	Year 2	Year 3
A) Opening Balance		CNRM Plan preparation	CNRM Plan imple menta tion	CNRM Plan Compl etion.
B) Receipt - Funds received from DPMU				
C) Expenditure- Activity as per CNRM approved Plan				
1.				
2.				
3.				
4.				
5.				
6.				
7.				
D) Closing Balance				

Certified that above mentioned amount was spent for the purpose for which it was sanctioned. The books of record are up to date and kept ready for inspection. At the time of inspection, if it is found that any of the above amounts have been mis-utilised, we will be held jointly responsible. The accounts are placed on..... before executive Committee and General Body and certified by them under resolution.

Signature (President)

Signature (Secretary)

Signature (Book Keeper)

Do's and Don'ts for Community Financial Management

DO's	DON'Ts
✓ The bank account opened for project shall be exclusively used to deposit receipt and payment for project activities.	✓ Do not use project bank account to deposit and make payments of other schemes.
✓ To the extent possible, make payments through cheque. The cheques must be signed by Joint Signatories only.	✓ To avoid misuse of cheque book, it shall not be in the custody of members who are authorized signatories to the cheque.
✓ Withdraw cash from bank account only for activities agreed in Executive Body Meeting and recorded in Minute Book. ✓ Cash withdrawn from bank account shall be kept in safe custody of at least three members of Executive Committee.	✓ Do not withdraw large amount of cash from Bank Account. ✓ Do not withdraw cash in advance. ✓ Do not withdraw cash from bank account to make payment for other schemes.
✓ There must be clear segregation of roles and responsibilities between Executive Committee members i.e. (i) member responsible for procurement shall not be involved in payment (both - cash and cheque), (ii) member responsible for approval of bill shall not be involved in payment, (iii) member making the payment shall not be involved in maintenance of books, (iv) member responsible for	Do not involve same members for all critical functions – Procurement, Approval, Payment and Accounting.

maintenance of books shall not be custodian of cash. ✓ Procurement, Approval, Payment and Accounting functions must be rotated among members in every two years.	
✓ Monitor payment against each budget activity. ✓ Converse and appraise matters to members in Executive Committee meetings. ✓ Inform DPMU in advance, if you foresee that payment will exceed the budget in future.	CNRM Plan shall not include activities that are presently financed or will be financed during project period from any other government scheme.
✓ Identify a bookkeeper/accountant who has knowledge in accounting and book keeping. ✓ Provide training to bookkeeper under the project.	Do not nominate a member who is presently responsible for accounting of another scheme.
✓ Bill must be approved by authorized member of the committee. ✓ Books shall be updated immediately after payment is made. ✓ Maintain books as per suggested format. ✓ Preserve vouchers, bills and supporting documents. ✓ Bank reconciliation must be carried on monthly basis.	✓ Do not make payment, if bill is not approved. ✓ Do not group bills, to update books later.
✓ Submit Utilization Certificate as per suggested format and Bank statement to DPMU on six-monthly basis. ✓ Submit physical progress reports of each activity with photographs, containing location information.	
✓ Place accounts before executive Committee and General Body meetings. ✓ Preserve books for audit till closure of Project.	

12. Procurement Management

All procurement, including community-driven procurement will follow the procedures outlined in the World Bank's Procurement Regulations for Borrowers for Goods, Works, Non-Consulting and Consulting Services, dated July 1, 2016; and community procurement will be governed by the provisions of paragraphs 6.9 and 6.10 of Annex XII of the Regulations. The procurement chapter of the COM should be referred to at the community level for project operations.

Introduction

Procurement Chapter of Community Operations Manual provides simple, step-by-step instructions to communities on how they will go about procuring various goods, works and services required for the implementation of their sub-projects and promote a consistent and uniform approach for planning, execution, reporting and monitoring of Project related procurements through application of defined rules and procedures, thereby enhancing the capacity of the beneficiaries to undertake procurements to meet the Project needs.

Community Led Procurement

The thrust of the CLLMP is the involvement of communities in the formulation, design, and implementation of their sub-projects, including in decisions regarding the procurement of goods, works, consulting and non-consulting services that conform to quality standards, in accordance the approved Community Natural Resource Management Plan [CNRMP] and subsequent to the signing of the Village Grant Agreement between the VNRMCs and MBMA. The communities should be capacitated and empowered to carry out procurements required to implement their approved CNRMPs with the highest ethical standards, in accordance with agreed procedures. Community procurement means any type of procurement undertaken by VNRMC under the Project to implement its approved CNRMP.

Principles of Community Procurement

1. *Openness [Transparency]* : All procurement procedures must be carried in an open transparent manner by displaying all details of procurement at prominent places in the village from the beginning of the process.
2. *Lawfulness* : Procurement of goods/works/services would not violate any law.
3. *Equity* : Community members and organizations have equal opportunities to participate in decision-making processes of the project: identification, procurement, implementation, monitoring and evaluation, and other related processes, including equal opportunity in the engagement of community organizations as contractors/service providers.
4. *Participatory* : The procurement process should be participatory and known and informed to all. Everybody should have the same access to know the process; parties involved, prices offered by them, method to select the party and details of selected parties and product.

5. *Accountability* : The beneficiaries will give full and accurate account of procurements undertaken to implement and complete their approved CNRM Plans.
6. *Integrity* : The beneficiaries will conduct its procurements in a manner that maintains highest standards of ethics and integrity.
7. *Simplification and Social Benefit* : Purchase of goods, works, consulting and non-consulting services should be done locally wherever it is possible to support development of local suppliers/business, using methods and documents as agreed.
8. *Fairness*: Equal opportunity must be given to all suppliers interested in supplying items to the beneficiaries and uniform evaluation procedures must be adopted.
9. *Value for Money*: Items procured should meet the required technical specification and the quality standards, preferably ISI, and the best price including when compared with Government rates.

The procurement documents, including the contract, should be aligned with these principles, and should contain disclosure/transparency provisions and expected social impacts/benefits [e.g., consultation, community monitoring, and social benefits like exercise of fair labor practices, etc.].

Benefits of Community Procurement

- ✓ Promotes community dialogue and consensus building through information gathering
- ✓ Strengthens citizen voice and community empowerment
- ✓ Educates the community on available budgets and establishes realistic expectations about budgetary expenditures
- ✓ Builds ownership as well as technical capacity of local communities in procurement practices
- ✓ Results in greater transparency and accountability in procurement practices
- ✓ Helps curb corruption and waste, save money and generate local employment and asset creation
- ✓ Communities can use local labour, local materials, and indigenous knowledge

Challenges of Community Procurement

- ✓ Elite Capture/hijack by elite members to the community to extract personal benefits through community procurement
- ✓ It may not be easy for the communities to develop the confidence, skills and capacity to deal with the management of procurement processes
- ✓ Challenges related to capacitating the communities in the absence of which, there is risk of inefficient procurement leading to increased cost of activities, decreased quality of goods/works and services, and also delays in implementation

- ✓ In order to ensure that marginalised groups are not excluded, it is imperative for participatory processes to be open and inclusive
- ✓ Disputes within the village level committees and/or within the community may hamper the timely procurements leading to delays and cost overruns

Important aspects of Community Procurement

Procurements undertaken by communities should consider the following :

- ✓ DEMAND ESTIMATION:WHAT will be procured and in WHAT QUANTITIES [*procurements should be aligned with the approved CNRMP*]
- ✓ SUPPLY MARKET SURVEY: to identify suppliers in the nearest and neighbouring markets who can meet the demand and to invite quotations [*a minimum of 3 quotations are required*]
- ✓ ESTIMATED COST [*should be within with the funds made available for approved CNRMP*]
- ✓ HOW will it be procured [*Competitive or Direct Purchase including and thresholds of procurement*]
- ✓ WHO will procure it [*Name of Beneficiaries and their authorized representatives/Purchase Committee*]
- ✓ WHEN will it be procured [*Time at which the procurements are required as well as time taken for procurement to complete the sub-project on a timely basis*]
- ✓ WHERE the goods/material/works/services will be delivered [*location/delivery point/transportation, etc.*]

Rate Bank

Floating of Enquiry [FoE] process will be adopted by DPMU under the guidance of MBMA for creating database of rate bank comprising of standard specifications, price lists, and a database of suppliers for items to be purchased by the communities. The rate bank will be periodically updated [preferably in every 6 months] or if there is a sudden change in the market rate.

Procurement Process/Steps

The steps in procurement, in consonance with the PPSD Strategy and Procurement plan,are as below:

- Need assessment [*based on the approved CNRMP*] through a participatory process;
- Preparing a procurement plan
- Establishing a Purchase Committee comprising of community members
- Posting a general advertisement in a public place [i] including shopping areas, community hall/centre, government office, etc.; [ii] community discussion groups; [iii] local radio stations; (iv) local newspapers etc.
- Selecting a procurement method [as per procurement plan] and following the steps as per the method.

Purchase Committee

PurchaseCommittee means a sub-committee of the VNRMC comprising of the representatives of the community, elected by the community, which shall assist the VNRMC in the planning, execution, administration and monitoring of the procurement functions in line with the approved CNRM Plans.

The Purchase Committee shall be establishedthrough an elective process requiring a minimum level of capability and assurance of character, to be specified by the VNRMC, and the inclusion of at least one female member. The members of the Purchase Committee should not be members of other sub-committees formed by the VNRMC and/or not related to the members of other Committees formed by the VNRMC or suppliers from who purchases will be made, and should be willing to undertake this responsibility.

The quorum of the Purchase Committee will be a minimum three members with at least two women. Where the beneficiary communities cover two or more villages, then representation from each village/community would be essential.The procurement process will commence only after procurement training and related documents have been provided to the Purchase Committee and VNRMC. A record of such trainings with details such as number of trainings, number of people trained, etc., will be kept both at the DPMU and SPMU.

The membership would on a rotational basis and would be reconstituted through election by the community, based on the above criteria.

Some of the functions of the Purchase Committee are :

- Sending Request for Quotations [RFQ] to potential suppliers in the market
- Obtaining quotations within the specified period [*normally 14 days*]
- Preparing comparison statement in the defined format for submission to and approval of VNRMC
- Recording procurement decision on award of contract in the presence of community members in the Minutes Register
- Issue Supply Order to the lowest evaluated responsive supplier
- Received and check supplies received for quantity and quality defects
- Record goods received in the stock register
- Keep all records related to procurement such as Request for Quotations [RFQ] issued, quotations received, comparison statement, record of decision taken by the community on placing award, invoices, payments made, etc.
- Submitting written justification for non-competitive procurement [e.g., spare parts, proprietary items, etc.] for approval of VNRMC

Important Procurement Records to be Maintained

Some of the important procurement records to be maintained are:

1. Approved CNRM Plan
2. Details of procurement training conducted [e.g., date, duration, venue, conducted by, name/number of participants, new or refresher training, etc.]
3. Procurement Plan aligned with the approved CNRM Plan
4. Community/social estimates and technical estimates, as approved/sanctioned
5. Rate Bank prepared and provided by DPMU while planning any procurement
6. Composition, and formulation of Purchase Committee – dated and signed by VNRMC
7. Details of Request for Quotations sent out to suppliers [e.g., date of RFQ, number of RFQs sent out, etc.]
8. Quotations received
9. Comparison Statement – signed and dated by the Purchase Committee
10. Record of process and methods of procurement in the Minutes Register
11. Date of Purchase with name and quantities of items procured
12. Updated stock register
13. Goods Received Note
14. Challans/invoices/cash memo from suppliers
15. Details of payments made [copies of vouchers and cheques, etc.] against details of all goods/items/services received
16. In case of civil works, design, bills of quantities and estimates, Engineers' site visit book dated and signed, measurement book, certification of the Engineer on quality of construction, etc.
17. For Non-competitive procurements, a record of justification and agreement for buying the items and file should keep invoice and vouchers of payment

Financial Limits and Methods

A threshold may be defined as "the quantitative point at which an action is triggered, especially a lower limit" and therefore monetary thresholds as referred below would represent the value limits of individual goods supply or non-consulting services, consulting services and works contracts beyond which the procurement conditions may change. These thresholds determine the most efficient method of procurement to be used under a specific project or programme.

Key Implementing Units	Description of Procurement	Maximum Value (Threshold) per Contract and Method of Procurement			Review Procedure												
VNRMC Purchase Committee	Expenditure for common goods and services as well as sub-projects under Component 2. Example, constructing a village meeting/ storage space, investing in water harvesting technique, springshed management, check dam building, buying seeds and saplings, , buying stones, cement, hiring labour or any other activity as approved under the CNRMPlans etc. Additionally, office management related procurement of goods, equipment, works.	<u>Goods, Non-Consulting Services and Works</u> <table><tr><td>Method</td><td>Goods& Non-Consulting</td><td>Works</td></tr><tr><td>Petty Purchase</td><td>≤ INR 10,000</td><td><u>NA</u></td></tr><tr><td>Request for Quotations *</td><td>≤ INR 100,000</td><td><u>10,00,000</u></td></tr><tr><td>Direct Contracting/Selection</td><td>≤ INR 50,000 with due justifications and approval of the procurement committee</td><td></td></tr></table> <u>Services</u> Individual Consultants up to a value of INR 1,00,000 per contract following competitive procedures. Institutional Consultants up to a value of INR 10,00,000 per contract following competitive methods of CQS, FBS, LCS and SSS The above are the maximum per contract value that can be issued at this level. If there is a need to procure an item above this value, the process will be prior reviewed by respective District. Goods, Works and Non-			Method	Goods& Non-Consulting	Works	Petty Purchase	≤ INR 10,000	<u>NA</u>	Request for Quotations *	≤ INR 100,000	<u>10,00,000</u>	Direct Contracting/Selection	≤ INR 50,000 with due justifications and approval of the procurement committee		Post Review of 15% of such sub projects to be undertaken by third party hired by the SPMU under TOR and reporting requirements satisfactory to the Bank. Field level physical review. Additionally, sample checks can be done following CDD procurement review procedures
Method	Goods& Non-Consulting	Works															
Petty Purchase	≤ INR 10,000	<u>NA</u>															
Request for Quotations *	≤ INR 100,000	<u>10,00,000</u>															
Direct Contracting/Selection	≤ INR 50,000 with due justifications and approval of the procurement committee																

		Consulting estimated to be more than US\$ 50,000 (INR 32.5 Lakhs) and Consultant Services estimated to cost more than US \$ 5,000 (INR 3.25 Lakhs) will be prior reviewed by SPMU - MBMA	
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*In exceptional situation where (i) an adequate market to seek 3 quotations is not available in the location where the VNRMCM is located (ii) cost of transportation etc., out weighs the benefits of seeking quotations from district Head Quarters and other cities/towns), direct contracting method should be adopted. There should be adequate justification in the documentation that the above situation exists and the Project retainsthe right to terminate the contract issued and recover the sums from the VNRMCMs, if the justification is found invalid. To ensure that the single source is not charging excessive prices, unit rate should be verified as reasonable and comparable with government rates, wherever available.

Request for Quotations [RFQ]

Threshold for Goods and Non-Consulting Services: applicable for each procurement of goods upto INR 100,000 [Rupees One Lakh] only; and

Threshold for Works : applicable for each procurement of works upto INR 10,00,000 [Rupees Ten Lakhs] only

RFQ is a procurement method based on comparing price quotations obtained from several suppliers. A minimum of 3 quotations is required to ensure competitive prices. RFQ is an appropriate method for procuring readily available off the shelf goods or standard specifications commodities of small value or simple civil work of small value.

The request for RFQ shall be made with detailed description, specification, quantity and quality of the goods, terms of delivery or specifications of work, as well as desired delivery or completion of time and place. If the quotations are called for more than one items/works, it should be indicated whether the evaluation would be for each item-wise.

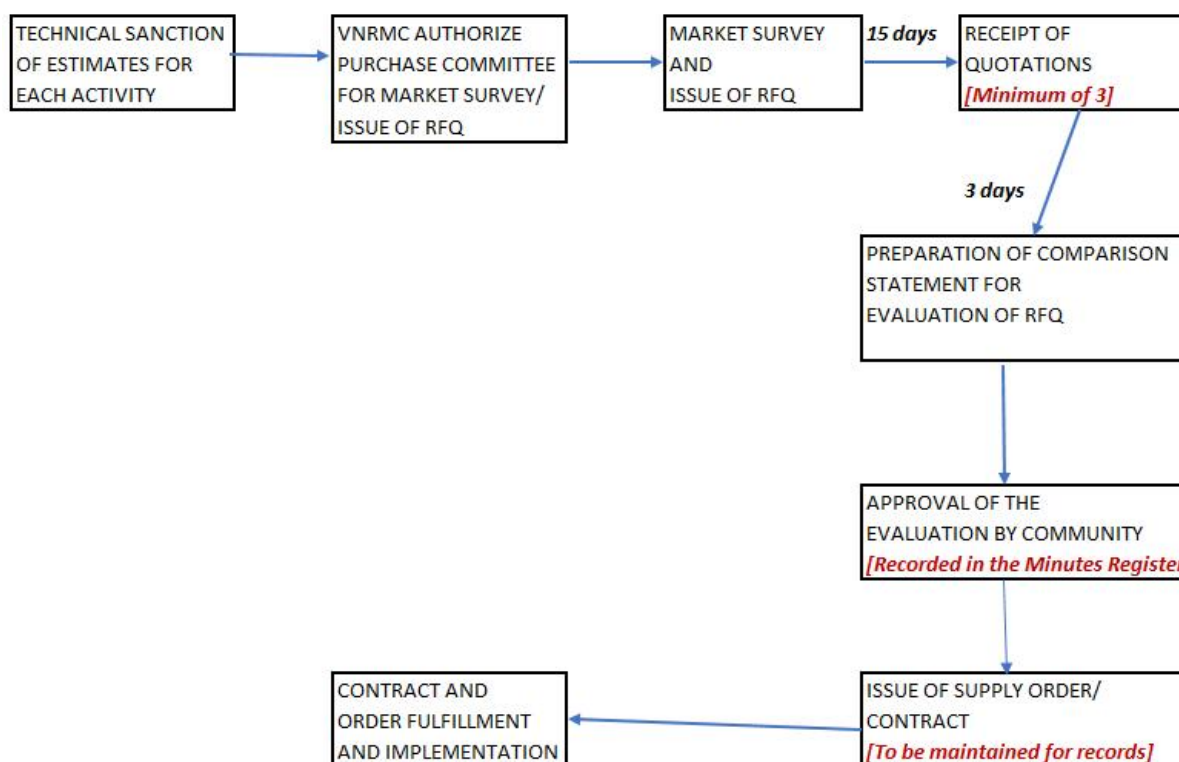
Quotations/rates can be obtained through market survey and/or by issuing Requests for Quotations to the Suppliers listed in the Rate Bank. A minimum of three quotations should be obtained for comparison of prices.

Steps Involved in RFQ

1. Inviting RFQ : The VNRMCM shall authorise the Purchase Committee to conduct a market survey and issue Request for Quotations [RFQ] for obtaining sealed quotations/rates as per the technical sanction. A member of Purchase Committee shall sign the RFQ. The RFQ includes the description of the requirements, the last date and time for submission and the validity period of quotations. Quotations

can be submitted either by post or in person on any day till the last date and time mentioned in the RFQ.

2. Receipt of Quotations : The Purchase Committee shall ensure that the quotations/rates are obtained in sealed envelopes within 14 days from the date of issue RFQ.
3. Opening and Evaluation of Quotations : The sealed quotations received shall be opened by the Purchase Committee and shall be initialled by all the members of the Purchase Committee. The Purchase Committee shall then prepare the evaluation report containing a Comparison Statement based on the market survey and the quotations received, as per the criteria specified in the RFQ, with a recommendation for award of contract to the lowest evaluated responsive supplier. Factors such as availability, and transportation costs may be taken into account when comparing quotations received from potential suppliers. In case the lowest supplier has not been recommended, reasons thereof should be recorded and approval sought from VNPMC. The Purchase Committee shall place its recommendations and decision before the institutional village functionaries and procurement decision recorded in the Minutes Register. The Purchase Committee, on behalf of community, will then issue the Supply/Purchase Order.
4. Receipt, Inspection and Acceptance of Goods : The Purchase Committee shall receive the goods/material and check for quantity mismatches, quality defects/damaged goods and price accuracy and make entries in the stock register once accepted.
5. Storage : To avoid the risk of damage, wastage and theft, in case the materials procured are not kept on site, a safe storage place must be identified by the VNPMC. The VNPMC may decide who will make entries in the stock register and keys to the storage room. This decision should be recorded in the Minutes Register.
6. Sustainability : Service and guarantee period must be entered into for goods purchased.



Direct Contracting

This method is usually used where only one supplier/contractor/serviceprovider is available locally, or, when the cost of using a competitive process such as RFQ is likely to be much higher relative to the value of goods procured directly from the available source. This method should not be applied extensively. Examples of direct contracting include procurement of proprietary goods, spare parts, stones, works that are small and scattered or in remote location where mobilization cost for contractors would be unreasonably high, etc. Justification for Direct Contracting should be available in community procurement records. To ensure that the single source is not charging excessive prices, unit rate should be verified as reasonable and comparable with government rates, wherever available. The Project retains the right to terminate the contract issued and recover the sums from the communities, if the justification is found invalid.

Labour

The need for skilled labour will be estimated before the implementation of the approved CNRMP and will be included in the cost of the approved CNRMP. Communities may decide whether to hire skilled labour, or unskilled labour, or contribute in kind. In case of hiring of labour, the standard pay rates for labour and scales should not exceed government norms.

Consultancy Services

DPMU and BPMU will assist VNRMCs in initial stage for selection of consultant and other services if required and approved in CNRMP. At VNRMC level Consultant

Qualification Selection (CQS), Least Cost Selection (LCS), Fixed Budget Selection (FBS) Single Source Selection (SSS) are appropriate methods.

Institutional Consultant

1. CQS: On the basis of local advertisement/notice, select best firm on qualification basis. Ask for technical and financial proposal from the only selected firm. Negotiate and award, if technical proposal accepted.
2. LCS: On the basis of local advertisement/notice, minimum marks for technical qualification. Use two envelope system (Technical & Financial). Open technical & disqualify less than minimum marks firm. Open financial proposal, award to lowest quote among the technically short-listed firm.
3. SSS: If any service provider is hired through single source, the same should be justified and approved by purchase committee of the DPMU within the threshold limit.

Internal Controls

The following internal controls are recommended in the procurement process :

- ✓ Initiation of procurements will commence only after procurement trainings and related documentation has been provided to the VNRMC and Purchase Committee
- ✓ Each VNRMC to have a unique procurement plan for its approved CNRMP endorsed by the VNRMC
- ✓ Term of Purchase Committee will be limited to a year; fresh members of the Purchase Committee will be elected through a democratic voting process
- ✓ Any decision taken on procurement shall be taken in the presence of community members, and the decision recorded in the VNRMC Minutes Register
- ✓ Member of the Purchase Committee will not be members of any other Committee constituted by the VNRMC
- ✓ The members of the Purchase Committee should not be related to the members of other Committees formed by the VNRMC or suppliers from who purchases will be made
- ✓ In case friends or relatives of the any member of the Purchase Committee area supplier from who the RFQ has been invited, the concerned member[s] cannot participate in evaluation process and preparing the comparison statement
- ✓ The Social Audit Committee shall conduct physical verification of material procured and reconcile this with store records such as Stock Register, etc.
- ✓ Community procurement will be subject to procurement post review by SPMU-appointed third party consultants under TOR and reporting requirements satisfactory to the Bank

Audit

The Financial Manual for VNRMC envisages External Audit by a firm appointed by CAG, and Internal Audit by firms of Chartered Accountants appointed by the Project.

Verification of documents relating to procurement of material and proper implementation of the Community Procurement as outlined in this Manual, and procurement function of VNRMCs would form part of Internal Audit. It would be the responsibility of the VNRMC to facilitate the Audit and ensure that the books and records relating to procurement are produced before the Auditors. It would also be their duty to effect compliance to the audit findings timely and completely

Transparency

- ✓ Information with respect to intended procurement through quotations should be displayed by the VNRMC on the notice boards, Community Halls and other public places accessible to all members of VNRMC
- ✓ Any member of the community implementing its approved CNRMP can request for examination the documents regarding procurement. In such a case, the VNTMC shall facilitate the inspection of the procurement documents
- ✓ At each meeting of the VNRMC the proceedings book of the meetings and copies of project related documents, including procurement records, shall be kept at the venue for inspection by the Community
- ✓ Any procurement related complaint shall be submitted to MBMA through a toll-free number and/or through web based complaint made available by CLLMP for redressal.
- ✓ Sign boards displaying pertinent information [e.g., name of the CNRMP being implemented, name of beneficiaries, financial information, major activities planned, duration of the CNRMP, etc.] about the CNRMP being implemented should be installed at the site of implementation of the CNRMP

Amendments in the Community Procurement Manual

During the course of the implementation of the Project, there may arise a situation requiring amendment to this Manual to ensure smooth procurement and to remove any hindrances. In such an eventuality, a Proposal for Amendment can be moved by the Project or by a VNRMC, giving the nature and reasons thereof. The proposal shall be examined by the Project Director and if found reasonable, shall be placed before a Committee comprising of equal representatives of the project and the VNRMCs and chaired by the Project Director. The amendment shall be passed by a simple majority and forwarded to the World Bank for its approval. On approval by the World Bank, the amendment shall be incorporated in the Manual and disseminated to all the VNRMCs who shall likewise include the amendment in their copy of the Manual.

Procurement Capacity Building of Communities

For effective implementation of Community Procurement, the Project will initiate capacity building measures for imparting training to VNRMCs on procurement and in the use of this manual prior to initiating any procurements by VNRMC. Trainings may be conducted initially by MBMA where the Project staff shall be acclimatized with the concept of community procurement, methods of procurement, procurement

administration, etc., and the procedures and responsibilities prescribed in this manual. Extensive training should be given to the DPMUs on the procurement procedures stipulated in the Manual so that they can guide and assist the VNRMCs in their implementation. Refresher trainings should be organised for the VNRMCs periodically throughout the implementation of the Project. A record of such trainings will be kept at all levels [VNRMC, DPMU, SPMU].

Formats

1. For issuing shopping documents to supplier[Format A]
2. Format of inviting quotation [Format B]
3. Procurement Plan format for Goods andServices[Format C]
4. Procurement Plan format for consultant/firm [Format D]
5. Quotation comparison Form [Format E]
6. Goods received notes/receipt[Format F]

REQUEST FOR QUOTATIONS FOR SUPPLY OF
GOODS UNDER NATIONAL SHOPPING PROCEDURES

To

Dear Sirs,

Sub : INVITATION FOR QUOTATIONS FOR SUPPLY OF

The Government of India has received financing from the World Bank in various currencies towards the cost of the Meghalaya Community-Led Landscape Management Project and intends to apply part of the proceeds towards eligible payments under the contract for which this request for quotations is issued. The *[insert name of Village]* invites quotations from eligible bidders for the following goods.

Sl. No.	Brief Description of the Goods	Specifications *	Unit of Measurement [e.g., Kg, Bag]	Quantity	Delivery Period [Days]	Place of Delivery	Installation Requirement [if any]
1							
2							
3							
4							

*[*Where ISI certification marked goods are available in market, purchaser should generally limit the procurement to goods with those or equivalent marking only.]*

2. The Bidders may submit Quotations for any or all items. *[Purchaser should select one of the two options. Where evaluation is to be done for all items together, select 'all items'; otherwise select 'any items']*

3. **Bid Price**

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

4. Each bidder shall submit only one quotation.

5. **Validity of Quotation**

Quotation shall remain valid for a period not less than 30 days after the deadline date specified for submission.

6. **Evaluation of Quotations**

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

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

The Quotations would be evaluated for the entire item together/would be evaluated separately for each item *[select one of the options]*. Taxes shall not be taken into account in evaluation.

7. **Award of contract**

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

- 7.1 Notwithstanding the above, the Purchaser reserves the right to accept or reject any quotations and to cancel the bidding process and reject all quotations at any time prior to the award of contract.
- 7.2 The bidder whose bid is accepted will be notified of the award of contract by the Purchaser prior to expiration of the quotation validity period. The terms of the accepted offer shall be incorporated in the purchase order.

8. Payment shall be made immediately after delivery of the goods.
9. Normal commercial warranty/ guarantee shall be applicable to the supplied goods.
10. You are requested to provide your offer latest byhours on*[date]*.
11. We look forward to receiving your quotations and thank you for your interest in this project.

[Purchaser]

Name:

Address:

.....

Tel. No.

Fax No.

FORMAT OF QUOTATION

Sl. No.	Description Goods	Specifications	Qty.	Unit	Quoted Unit Rate at Destination [Rs.]	Total Amount	
						In Figures	In Words

Gross Total Cost : Rs.[in figures]

Rs. [in words]

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

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

We hereby certify that we have taken steps to ensure that no person acting for us or on our behalf has engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices [as defined in the prevailing World Bank's sanctions procedures] in competing for or in performing the Contract.

Signature of Supplier

Date :

Format C

Procurement Plan formats [For Goods – Materials, Equipments]

[illegible]

Format D**Procurement Plan Formats [For Consultants – Individuals/Firms]**

What type of service is needed	Period for which needed	Needed for how many days?	Type of Agency [Individual or firm]	Estimated Cost [Rs.]	Which selection method will be used?

Format E

Quotations Comparison Form

Name of Supplier	Quotation No. & Date [MM/DD/YYYY]	Name of Item/s and Price quoted Rate		Remark [Additional Information]	Decision (Selected/Rejected with Reason)
1	2	3		4	
		Item A	Item B	Additional information may be related to incidental services related to supply, such as transportation, etc.	A seller can be rejected based on several reasons. Some of them are given below: The information provided in the quotation is incomplete; The supplier cannot deliver the supplies in the time required; The supplier does not have the capacity to deliver; The quoted price is high; The guarantees are not available (if applicable); The supplier can not provide after sales support (if applicable).
		Price A	Price B		

Signature of
Member 1

Signature of
Member 2

Signature of
Member 3

Date :

[Signature and Date of Purchase committee members]

Goods Received Note/receipt

Received with thanks from _____ on [date] _____ the
following items.

DATE OF SUPPLY	DESCRIPTION	QUANTITY	UNIT PRICE	VALUE
Total				

GOODS HAVE BEEN CERTIFIED AS CORRECT RECEIPTS.

Name of receiving Officer..... Signature..... Date.....

Certified by..... Signature..... Date.....

13. Post-project O&M

The project functionaries will plan a gradual withdrawal from the CNRM activities and their linked processes after the second year of the project implementation and work with the respective VNRMCs to consolidate activities and linkages, and plan for sustainability of the assets created and interventions taken up during the project. Scaling up of project interventions through convergence with financial and technical assistance from other programmes/projects of the State Government will also be planned. The post-project O&M Plan will address issues such as:

1. Maintenance of created assets
 2. Continuing NRM interventions
 3. Sustainability and scaling up of institutions created under the project
 4. Creating and consolidating backward and forward linkages
 5. Development of the O&M village-level fund, and outlining VNRMC members' contribution to it through donations, or fines etc.
 6. Planning for convergence with allied government programmes, on a technical and financial basis, including developing strong linkages with concerned line department officials and the Block Development Officer
 7. Implementation arrangements for O&M of the created assets, including roles and responsibilities of the different stakeholders, financial arrangements etc.
- Developing clear rules and guidelines regarding management and usage of O&M funds, opening of separate bank accounts, rotation of signatories to operate the account, bookkeeping and record maintenance, making annual plans and budgets, etc by the VNRMC, and approved by VNRMC General Council.

Overall, the VNRMCs will be in charge of maintenance of the assets, with the active participation of the village communities. The technical manuals for the different interventions will provide the requisite guidance. It is expected that communities will have, in addition to the NRM service providers, a large number of members trained in the planning and implementation of the different interventions. In addition, to encourage community participation, a rotational watch and ward by all families in the village, as well as a fire-fighting unit to combat forest fires, would be set up on a voluntary basis. The VNRMC will maintain a record of all trained community volunteers and allocate responsibilities, assess performance and achievement through physical verification, and document the same.

Some of the planned O&M activities are given below.

- Soil and water conservation: maintenance of community ponds and tanks by cleaning and desilting, maintaining vegetative cover, structural repair, measurement of water discharge and water quality monitoring, etc.
- Land productivity measures: Continuing with planned interventions, maintenance of nurseries and plantations etc.

- Springshed: Repair structure, cleaning of collection of spring chamber/collection tank, maintain trenches, fence, natural vegetative fences etc.
- Afforestation: monitoring and maintenance of community nursery and plantation etc.

Meghalaya Community Led Landscape Management Project
Innovations Fund Guidelines

Part 1: Introduction and Context

1.1 Project Overview

The project Meghalaya '**Community – Led Landscape Management Project** (CLLMP), supported by the World Bank, aims to strengthen community-led natural resource management based on a landscape approach in Meghalaya. The Meghalaya Basin Management Agency (MBMA) is implementing the Project over a period of 5 years from 2018 to 2023.

The project aims to address the growing environmental challenges of landscape degradation, water shortages and climate change, building on the unique community-led natural resource governance structures of the state. It aims to systematically strengthen communities and related institutions, including relevant line departments of the Government of Meghalaya for improved governance and management of natural resources, such as land, springs and other water sources, forests, and biodiversity, using a landscape approach. It will do this by providing access to knowledge, skills and capacity building to manage and benefit from the sustainable management of natural resources. The project will prioritize the empowerment of women and youth to play a more active role in decision making in sustainable natural resource management.

1.1.1 The Landscape Approach: Land often has competing demands on it – a plot of land could be used for agriculture, for forestry, for recreation, for mining and so on. However, in making decisions on land use, it is important to consider how best the land can be used so as to lead to increased productivity, economic and livelihood benefits, while not being degraded, eroded or polluted which may lead to harmful consequences for human well being in the long term. This planning and decision making process is called a 'landscape approach'. The CLLMP project will support communities to plan their landscape in a sustainable way, strengthening the resource base to reduce soil and water erosion, improve forest quality and water supply through springs which will lead to more productive landscapes for livelihoods for upstream and downstream communities, and also support other economic development activities such as eco-tourism.

1.2 Environmental and Natural Resource Context

The natural resource base is integral to development in the state of Meghalaya, as key economic activities such as agriculture, horticulture, forestry and the development of tourism are dependent on it. However, the states natural resources are being rapidly degraded. In an assessment from 2011–2012, about 22 percent of the state's area was degraded, primarily because of loss of vegetation cover (19.4 percent) and erosion (2.37 percent). Given the hilly terrain, loss of top soil makes valleys unsuitable for cultivation and increases incidences of landslides and floods. *Jhum* or shifting cultivation, practiced extensively in the state is a significant cause of forest loss and degradation, in the short term. Further, despite receiving the highest rainfall in the world, several towns in Meghalaya currently face water shortages. The

state has 60,000 natural springs which provide drinking water for 80 percent of the population. However, over 54 percent of these springs have either dried or their water discharge has reduced by more than half. While the state has 77% of its area under forest cover, the quality of forests is deteriorating with several dense forests degrading into open forests.

Meghalaya has a unique community-based natural resource management (NRM) system. Distinct from the most states in India, where the state is responsible for the protection and management of forests, nearly 90 percent of the forests in Meghalaya are managed under customary law by the Khasi, the Garo, and the Jaintia tribes, the majority population of the state. Their elaborate system of use-based classification of their lands has been in practice for centuries. It is these laws that have also resulted in stringent protection of forests designated as sacred groves. These sacred groves are one of the most species-rich areas and protect the catchment areas of rivers. The national and the state forest laws do not formally recognize this form of community management. Several of these traditional practices are being eroded with information not being passed on to subsequent generations. These forests are designated as 'unclassified forests' in the state records and for the most part do not receive technical or financial support from state institutions. There are also currently no water-related institutions or legal frameworks for water management in the state. Waterbodies, rivers, and springs are considered common property like forests and are managed by traditional tribal institutions.

Part 2: The Innovations Fund

2.1 The Innovations Fund

While there are well-established technologies and traditional practices currently in use for natural resource management; there is a need to document and recognise innovative best practices that can be scaled up, support the revival of unique practices that may be dying out, and also incentivise innovative ideas and technologies that provide solutions to the environmental challenges faced by the state. Innovations in how individuals and communities take decisions and mobilise themselves to ensure inclusiveness and sustainability in the management of natural resources are equally important. A CLLMP innovations fund has been established to foster the above.

2.2 Objectives

- i) To support innovations for sustainable natural resource management, related to the conservation and protection of soil, water, forests; the sustainable use of natural resources; rehabilitation of degraded or deforested lands; and that contribute to climate change mitigation and adaptation and the uptake of clean and eco-friendly technology.
- ii) To stimulate innovations in processes and systems for community-led NRM that empowers the community to better manage and benefit from sustainable natural resource management.

To meet the above objectives the project will support a range of activities including:

- a) Identification of innovations, which could be in the form of traditional knowledge, processes and institutions or technology and its application.
- b) Documentation, collation, dissemination and scale up innovations
- c) Incubation of innovative ideas or technologies, including supporting their commercial application
- d) Research and action research towards proposed innovative solutions

2.3 Outcomes

It is anticipated that support to innovations and innovative approaches in Meghalaya, under the project will lead to:

- i) Individuals and Institutions recognised for innovative solutions that have resulted in sustainable natural resource management
- ii) Identification of new innovative solutions that can address natural resource degradation in the state
- iii) Revival and transference of traditional knowledge and good practices
- iv) An increase in Institutions such as traditional institutions, village level Natural resource management committees, women and youth groups and individuals empowered through access to knowledge and capacity building on innovative technologies and practices and its use in landscape planning.
- v) Increased percentage of land under sustainable landscapes management practices

2.4 Scope of innovation

The innovation fund will be applicable to innovations that are new practices or technology but also to incremental changes, such as adapting existing practices or technology. They could be the application of practices or technology in a new way or applying a combination of approaches/ technology, or introducing/ applying a practice in a new region or context. Traditional Knowledge like living root bridges, sacred groves, bamboo drip irrigation can be classified under innovations. Other community driven practices will be considered only if they are unique (not common knowledge or already under practice throughout the state or country).

Eligible innovations must be supported by scientific research and evidence and have demonstrated 'proof of concept'. Communities involved in natural resource management under CLLMP should consider the innovation suitable for adoption and justification for why the innovation would be successful in achieving outcomes, taking into consideration the likely level of application and adoption or further development of the innovation past the funding period. In the application, the approximate level (scale/ scope) of adoption of the innovation should be identified (For example, the innovation will help reduce soil erosion in 700 Ha in year one, 1400 Ha in year two; or the innovation will potentially benefit 5000 households with increased access to information). Quantitative or qualitative evidence should be provided to support the claim. Projects can target a range of adoption rates, and the current adoption will be assessed along with activities to be funded, expected

contribution to the anticipated outcomes, any cost sharing, value for money and risks.

2.5 Types of eligible Innovations

S.No	Type of Innovation	Description and Examples
1	Technological Innovation for sustainable NRM	The development, improvement, scale up, promotion or application of technology and associated techniques, skills, methods, and processes used for the accomplishment of sustainable natural resource management objectives This includes but is not limited to: - technologies that address soil and water conservation, biodiversity conservation, integrated pest management, improvement of degraded areas, prevention of soil, water and wind erosion, rejuvenation of degraded areas and climate change adaptation. - Examples include bamboo drip irrigation, innovative practices for sustainable <i>jhum</i> cultivation, development of applications and technology for planning interventions, innovative use of GIS for landscape planning and management, maintenance of living root bridges, NTFP certification (and the supporting cultivation and harvesting processes to ensure sustainable NTFP harvesting).
2	Process or Governance Innovation for sustainable NRM	The activities, processes and institutional structures that lead to among others, empowering communities to engage in sustainable natural resource management; Innovations that include but are not limited to: - Systems and processes that incentivise behaviour change for the judicious planning and conservation of natural resources, preservation and promotion of traditional knowledge and - governance structures that preserve and conserve natural resources - Examples include systems such as reinforcing and strengthening unique practices such as sacred groves, documentation of traditional knowledge and practices, establishing systems for Payment for Ecosystem Services,

		strengthening local processes and systems for responsible, eco-friendly tourism, establishment/ capacity building of an Eco-tourism committee
3	Traditional Knowledge	Innovations relating to traditional knowledge will recognise and support the following: - Documentation, sharing and transfer of indigenous knowledge for sustainable NRM within communities and to the next generation - Applying innovative methods to revive good traditional practices, promote and scale up existing practices and encourage the use of an effective practice that is slowly dying. - examples of traditional knowledge are the conservation of sacred groves, living root bridges and other applications of knowledge for sustainable land use, NRM and climate adaptation.
4	Innovative Solution to an Environmental challenge	While innovations in this category may fall into one of the above categories, this category will support action research and innovative ideas to address solutions to environmental challenges faced by the state. - Action research on the challenge and devising a solution/ new technology or applying a known technology to address the challenge - Sensitising, mobilising, building capacity of community members to form institutional and governance structures or undertake behaviour change etc to address the problem - Applying a known technology or process in a new context to address an environmental problem - examples of known challenges range from addressing deforestation, addressing pollution and degradation caused by mining, loss of valuable traditional knowledge, conflicts related to natural resources, measures for climate change adaptation, NRM solutions for disaster resilience, protection of water sources, managing environmental impacts of tourists etc.

Part 3: Process and Application Eligibility

To ensure a fair process, cover a wide range and scope of innovations and stakeholders, the Innovation Fund will be rolled out through two parallel processes:

3.1 Grassroots Innovation Dialogues and Fund

To document the unique and innovative traditional knowledge of communities as well as understand the priority areas of landscape degradation that need technological and institutional solutions, the project will organize a series of grassroots innovation dialogues.

3.1.1 **Thematic Areas** for the dialogues will include, but are not limited to the following:

- Traditional knowledge for natural resource management
- Unique natural and cultural heritage of Meghalaya
- Innovative Soil and Water conservation measures
- Spring shed Rejuvenation and Management
- Forest Conservation and Regeneration
- Climate Change Adaptation
- Clean and eco-friendly technology
- Innovations by Women
- Unique Institutions and processes that have achieved environmental conservation or addressed an environmental issue

3.1.2 **Nominations** will be invited from individuals, groups and organisations to participate in the Innovation dialogues. The innovation dialogues will be advertised through the CLLMP website, local newspaper, community radio, IEC material shared at the village level and through word of mouth. Individuals and groups may nominate themselves or others for participation. The nominations can be submitted to the VNRM committee at the village level, Block level line department representatives at the block level and District Project Management Unit (DPMU) at the District level.

3.1.3 **Eligibility** to apply for participation in the dialogues includes the following:

- Individuals or groups with a proof of concept that meets the criteria outlined in the eligible innovations as it applies to the state of Meghalaya (section 2.5)
- Traditional and Local government institutions from all villages in Meghalaya
- Village Executive Committees and Village Natural Resource Management Committees from all villages in Meghalaya
- Universities, Schools and Science Clubs of Meghalaya
- Civil society and non-governmental organisations with evidence of at least 3 years working experience in the district/ state of Meghalaya

3.1.4 The Innovations Dialogues will provide a platform for invited and shortlisted individuals, groups and organisations to present their ideas and innovations. The dialogues will be organized based on thematic areas and targeted to address the specific concerns, priority areas and unique practices and traditional knowledge within districts. It is envisaged that over the 4 years of the project, 15-20 innovation dialogues will be held and 50-80 innovations presented and supported. To increase exposure to the types of innovations in the state and catalyze innovative thinking, district and block level line departments, members of VNRM committees and heads of traditional organisations, will all be encouraged to participate in the innovation dialogues. The innovations will be documented systematically. Based on a selection criteria in as outlined Part 4, the district innovation committee will shortlist eligible innovations for financial support through the grassroots innovations fund.

3.1.5 Grassroots Innovation Funds will be disbursed to innovations that are shortlisted by the District Innovations Committee to further enable their improvement, scale up and recognition. Support of between INR 1,00,000 to an upper funding limit of INR 5,00,000 will be available to the individual or group based on meeting of selection criteria. The final approval for the disbursement of funding to the selected innovations will be given by the State Innovations Committee and State Project Management Unit (SPMU). Grassroots innovations that receive funding will be required to submit a utilization certificate and progress report on their innovation after 6 months or on completion of the expenditure whichever is earlier. An innovation that requires higher financial support will be identified through/by the Innovation Fund Search Committee.

3.2 Innovation Fund: Workshops and Call for Expression of Interest

Under the project, innovations that helpful to the promotion and success of CLLMP interventions having a wider geographical scope and application, than a village or district and higher need for financial support will be identified by the SPMU, Deputy Commissioners/District Innovations Committee through a series of Regional and State Level Workshops. Prior to organization of the workshops, the SPMU and DPMU will scout for unique traditional and innovative practices relating to NRM at the village, district, regional, state and national level. The Deputy Commissioners will also play a leading role in identification of potential innovative practices within their respective Districts. Consultations will also be held with NGOs, Civil Society and thematic experts during the scouting process.

Based on the results of the findings and thorough assessment of the potential innovations during the scouting, identified innovators/group of innovators etc. will be invited to submit a concept note that will be vetted by a Technical Committee headed by the Additional Project Director with members consisting of Deputy Project Directors, OSD MINR and thematic experts. The technical evaluation results will be placed before the State Level Innovations Committee for taking a final selection. The final list of selected innovators will be called for presentations at a State Level

Workshop where the innovations will be ranked according to merit. The top 5 innovations will be invited to submit an expression of interest along with a detailed proposal that will include financial proposals. The detailed proposals will be placed before the State Level Innovations Committee for final consideration.

In addition to above process, recognizing the unique and special role that sacred groves and living root bridges play in the State, the Meghalaya Basin Management Agency will take up initiatives to support the above under the Innovation Fund.

3.2.1 Eligibility includes meeting the criteria outlined in the eligible innovations as they apply to the state of Meghalaya (section 2.5) and will be open to:

- Individuals or groups with a proof of concept or innovation
- Traditional and Local government institutions from all villages in Meghalaya
- Village Executive Committees and Village Natural Resource Management Committees from all villages in Meghalaya
- Registered Civil society and Non-Governmental Organisations
- Recognized Academic Institutions
- Private Sector institutions or for profit registered companies in India working with a socially and environmentally benign mandate

3.2.2 Scouting and Selection of Innovations will be undertaken on a continuous basis through quick research and through established and trusted networks available with the SPMU and/or District Innovations Committee. The innovators so identified will submit the proposals as per the application form provided as Annex 2.

3.2.3 Selection of proposals will be based on an assessment by the State Innovations Committee based on criteria as defined in Part 4. Once proposals are shortlisted, the committee may recommend certain modifications or additions to the proposals before making the final decision on selection. If a party does not hear from the State Innovations Committee, they must assume they have not made the selection criteria.

3.2.4 A Contract will be signed with the selected party outlining the Terms of Reference, including reporting requirements on progress and budget expenditure, disbursement linked milestones, activities that are ineligible for funding (Annex III) and other statutory and legal requirements.

3.3 Principles for applying

It will be the responsibility of the applicant to adhere to certain principles in making their nomination and application:

Conflict of Interest: The innovation fund under this project is available to support innovations that improve natural resource management, landscapes and benefit

communities. Applications and nominations that are motivated by material or personal interest of an individual or group will not be supported under this fund. In case of any perceived or potential conflict of interest, applicants must disclose what these could be and the steps the applicant intends to take to resolve or otherwise deal with the conflict.

False and misleading information: Applicants should be aware that the giving of false or misleading information is a serious offence under section 415 of the Indian Penal Code.

Privacy and Transparency: Information provided in the applications is for the purposes of administration of the fund and assessment of the application. In providing the information (personal or otherwise) applicants consent to the department using the information for the above mentioned purposes and other related purposes. The department may disclose an applicant's personal information to relevant parties that may be engaged for the purposes of assessment, program evaluation or through a legal entitlement to access such information. The selection of applicants will be done in a fair and transparent manner, as per mentioned criteria and recipients of the grant will be contacted based on the information provided. Based on this criteria, the committee's decision will be final.

Grievance Redressal: Communities and individuals who believe that they are adversely affected by interventions may submit complaints to existing project-level grievance redress mechanisms at District and State level or the WB's Grievance Redress Service (GRS). The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/GRS>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

4: Criteria for Selection of Innovation

The nominations received under the Grassroots Innovation Fund and the proposals received under the Call for Proposals will be assessed by the District Innovations Committee and State Innovations Committee as per the following criteria:

Criteria 1 Contribution to Outcomes

1. Does the idea/ proposal contribute to sustainable Natural Resource Management?

2. Does it provide a solution to a pressing environmental challenge?
3. How unique and innovative is the idea/ concept/ proposal?
4. How technically feasible is its implementation?
5. What is the potential for the innovation to achieve scale (Consider how many Ha of land or individuals could the innovation potentially address)
6. Does it have clear and measurable indicators of success (Ha of land, number of water bodies, clearly defined milestones for the development or application of the technology) and a realistic timeline?

Criteria 2 Capacity to Deliver

7. Does the nominee/ applicant have the skills, knowledge and experience to achieve results and manage the project?
8. Does the applicant have the required access with the community and familiarity with the project area?
9. Does the applicant have a plan to monitor the results and improvise based on results?
10. Does the applicant have a plan to report on and communicate the results?
11. Has the applicant considered relevant partnerships to enhance the potential for success?

Criteria 3 Financial Appraisal

12. Is the budget forecast realistic and linked to project activities?
13. Is the innovation/ idea to be supported good value for money? (consider its potential to benefit the landscape and people, timeline for deployment, opportunity cost of investing in the specific idea/innovation over others)
14. Is there, or has there been any financial contribution from the applicant or other sources towards the idea/innovation? (This would further demonstrate credibility and intent of the applicant)
15. Can the project be realistically launched and concluded within the project period?

Will the idea/ innovation continue once it stops receiving funding?

Annexures

Annexure 1: Template for Citizens' Green Charter

CITIZENS GREEN CHARTER

This Citizens Green Charter made on this.....day of2018, between Meghalaya Basin Management Agency (MBMA), represented by The Nodal Officer/District Project Manager of the District Project Management Unit of.....District, here in after referred to as the **First Party** and the..... Village Natural Resource Management Committee (VNRMC), hereafter referred to as **Second Party**, represented by Headman / Nokma etc which expression, unless repugnant to the context shall also include the Secretary and Chairperson.

1. Members of the VNRMC above 18 years of age should give an undertaking to abide by the provisions of this charter, that seeks to conserve the Natural Resources i.e., Soil, Water & Forest of the village.
2. Members should get themselves involved and support the community led interventions to restore and sustainably manage forests, land and water resources in the village.
3. Members will undertake not to carry out any activity that is detrimental to the environment and natural resources.
4. Set up a VNRMC where One Male and One Female member of each household in the Village will be members
5. The VNRMCs shall form a separate Executive Committee comprising of 7-9 members (at least 50% should be women).
6. VNRMC will prepare the CNRM Plan and carry out intervention as per plan
7. VNRMC will Open a Bank Account that shall be operated by two members of the Executive Committee of which, one member shall be a woman besides the Chairman.

The joint signatories should be approved by the VNRMC

The VNRMC shall ensure availability of un-disputed sizable plot(s) of land for CNRM interventions meant for the Community at large and not for benefit of any individual.

Signature and Seal of the First Party

Represented by

Nodal Officer/DPM/ADPM

1. Block Development Officer

Witnesses:

1. _____
Member

2. _____
Member

Signature and Seal of the Second Party

Represented by

1. Rangbah
Shnong/Sirdar/Wahdadar/Daloi/Nokma

2. Chairman/President VEC

3. Secretary VEC

All members present in the VEC General Body
meeting

meet must sign in additional pages to attached separately)

Annexure 2: Template for CLLMP EoI

Expression of Interest for CNRM Village Grant	
<i>(VNRMC Name, Block and District)</i>	<i>(Date:)</i>
Particulars	Yes/No (Please mention details)
VNRMC formed	Yes/No
Citizens' Green Charter signed by VNRMC	Yes (Enclosed)/No
Bank account for Village NRM committee will be opened if selected under the project	Yes/ No
Availability of undisputed land for the project	Yes/ No
Percentage performance under various State and Centrally sponsored schemes, particularly MGNREGS	(details)
VNRMC and Executive Committee set up	Yes (names and positions) / No
Land dispute	Yes/No
Agree to implement all activities under the project as per the CLLMP Community Operations Manual	Yes/No
Village covered under Megha-LAMP	Yes/No
NRM traditional knowledge holders identified	Yes/No
Community nursery established	Yes/No
3 youths who will act as Village Community Facilitators identified	Yes/No
Certified that the above is true.	
Seal & Signature (President) Seal & Signature (Secretary)	

Annexure 3: Template for Village Grant Agreement

VILLAGE GRANT AGREEMENT

This Village Grant Agreement made on this.....day of2018, between Meghalaya Basin Management Agency (MBMA), represented by The Nodal Officer/District Project Manager of the District Project Management Unit of.....District, here in after referred to as the **First Party** and the..... Village Natural Resource Management Committee (VNRMC), hereafter referred to as **Second Party**, represented by Headman / Nokma etc which expression, unless repugnant to the context shall also include the Secretary and Chairperson.

Members of the VNRMC above 18 years of age should give an undertaking to abide by the provisions of this charter, that seeks to conserve the Natural Resources i.e., Soil, Water & Forest of the village.

Members should get themselves involved and support the community led interventions to restore and sustainably manage forests, land and water resources in the village.

Members will undertake not to carry out any activity that is detrimental to the environment and natural resources.

Now therefore, the VNRMC agrees to support/contribute for implementing of different activities of Community Led Landscape Management Project (CLLMP) as per approved CNRM Plan as follows:

1. Each Village constitutes a VNRMC where one female and one male member of each household are members. Wherever the VEC is active and performing efficiently in the village it shall be known and designated as the VNRMC only for the purpose of the Project.
2. The VNRMC should undertake to prepare, update and implement the Community Natural Resource Management Plan (CNRMP). Wherever, required the VNRMC can seek the assistance of the BPMU/DPMU.
3. The approved CNRM Plan shall be implemented as per the Community Operations Manual and Technical Manual.
4. The VNRMCs shall form a separate Executive Committee comprising of 7-9 members where at least 50% should be women.
5. The VNRMC shall constitute a Purchase sub-Committee with at least one woman member for the purpose of purchase and procurement of materials and inputs for the Project.
6. The VNRMC shall open a separate bank account exclusively for transfer and transactions of CLLMP funds that will be jointly operated by the Chairman and 1

female member of the Executive Committee of the VNRMC. The Joint Signatories should be approved by the VNRMC.

7. Separate books of accounts shall be maintained for all financial transactions under CLLMP. The MBMA may at any point of time, examine the books of account of the VNRMC and call for such other information as it deems necessary to ensure realisation of Project Development Objectives (PDO).
8. The VNRMC shall ensure that CLLMP funds are not diverted /misused for other purposes. If in the opinion of MBMA authorities, the VNRMC indulge in such activities which are detrimental to the project, appropriate action will be taken including termination of the agreement.
9. The tenure of this Executive Committee shall be decided by the VNRMC and renewed if required annually based on their performances.
10. The Community Facilitators shall give an undertaking to ensure that they are available for facilitating the activities under CLLMP till the end of the Project.
11. The Executive Committee shall meet at least once every fortnight to discuss and review the progress of works.
12. The VEC and Dorbar will make efforts to converge and use resources made available through MGNREGS and other Centrally Sponsored Schemes (CSS) and State Plan Schemes (SPS).
13. VNRMC shall mobilize key stakeholders for discussion on issues related to mapping of natural resources, demarcation of village boundary etc and cooperate with respective BPMU /DPMU/SPMU GIS Team for generating village resource map which is acceptable to the communities concerned. VNRMCs shall also take up measures for ensuring necessary geo-tagging of all proposed interventions with photographs, before, during and post interventions.
14. In cases where CNRM intervention sites belong to private individuals, clans, institutions etc, VNRMC shall ensure to take necessary measures in consultation with respective BPMU and DPMU for signing an Agreement between land owners and respective VNRMC prior to implementation of CNRM interventions wherever required and applicable for ensuring smooth implementation and long term benefits to the target communities.
15. VNRMC shall undertake to conserve forests and protect springs, natural water streams and other water bodies from pollution and over exploitation of the resources.
16. VNRMC shall promote equity amongst the poor through preferential allocation of usufruct rights in common lands.
17. The Village Grant Agreement will remain valid for complete period of the Project.

18. VNPMC shall explore possibilities of contribution toward a Landscape Maintenance Fund, for maintenance of assets created under the project beyond project period through community consultation and dialogue.

IN WITNESS THEREOF, the aforesaid parties put their signatures and seal on the day.....monthandyear in the presence of the Block Development Officer,Block.

Signature and Seal of the First Party

Signature and Seal of the Second Party

Represented by

Represented by

Nodal Officer/DPM/ADPM

4. Rangbah
Shnong/Sirdar/Wahdadar/Daloi/Nokma

2. Block Development Officer

5. Chairman/President VEC

Witnesses:

1. _____
Member

6. Secretary VEC
All members present in the VEC General Body meeting

2. _____
Member

(All VEC members present in the meet must sign in additional pages to attached separately)

Annexure 4: Template for CNRM Plan and Addendum preparation

Village Summary Sheet

Parameters		Village Information			Parameters		Village Information		
1	Traditional Land tenure system (Hima/Raid//Doloiship/sirdarship/Nokma aking etc)				2	Settlement code: (Village=1; Town=2; Semi Urban = 3; City=4; Others(specify)=5			
3(a)	Is your Village under Pvt. Individual Land lord ? Y/N:.....; If Yes,				3(b)	Name of Landlord/Land owner			
3(c)	Annual rate of land lease for House & Homestead garden.	Rs/hectare/year			3(d)	Annual rate of lease for Cultivable land. (By Pvt. Landlord)	Rs/hectare/year		
3(e)	Year village was established in this location				3(f)	Cultivable land outside the village area? Y/N:.....If Y (Specify) village and purpose.			
4	Distance from Block HQ (Km)	Km			5	Distance from District HQ (Km)	Km		
6	Public Transport Facilities to & from village Yes/No:....if yes (specify)	1. 2.			7	Other mode of Transport	1. 2.		
8	Communities inhabiting the village (in order of HHs & population)	M	F	Total	9	Demographic Break up	M	F	Total
						0 - 4			
						4- 18			
						18 – 55			
						Above 55			
10	Nos of HHs with PDS/ SECC Ration cards				11	Nos of HHs with Health Cards			
14	Energy/ Fuel used by households				15	Major occupations of people in the village (in order of importance)			

	Fuel Type		Total Population		Occupations	HHs
	Charcoal					
	Biomass					
	Wood					
	LPG					
16	GPS Coordinates:					
		North	South		East	West
a	Latitude					
b	Longitude					
c	Elevation Reading (MSL)					
17	Village Geographical Area (Ha)	Total Forest Area (Ha)	Total Area of Water Bodies (Ha)		Total Area under Agri-Horticulture (Ha)	Total Degraded land area (Ha)
	N to S:.....Km E to W:.....Km Total:.....sq.Km	Ha	Ha		Ha	Ha
18	Average Annual Rainfall			19	Soil Type	
	-----mm					
20	Date of Village NRM Plan facilitated at the village			21	Nos of Participants present for Village NRM Plan	M.....F..... Total.....

1. Resource Mapping Exercise

- *The exercise should be done in a public place, that all members of the community, can access and participate in;*
- *Facilitators should carry GIS map of village/ Google Earth Map*
- *Introduction on Resource Map to the community; entire community to be present*
- *Facilitate the community to draw the Village Resource Map of the village on the floor/ open ground /Chart Paper using participatory tools and locally available materials*
- *Facilitate community to draw village Boundary basic landmarks such as roads streams, rivers, forests, agricultural land etc*
- *Map out details of land use such as Community forest, clan forest, Pvt individual forest, Jhum area, important cash crop areas, Agriculture areas, Agro forestry, degraded land area, sand/stone quarries, coal mining areas, steep slope areas , low land areas, wasteland etc.*
- *Map out details of water bodies such as springs & springshed, water catchment areas, ponds, lakes, water reservoirs, sites for fishing etc*
- *Briefing and validation of the Resource Map with the community. Copy the Resource Map on the paper for official record. Use Standard legends for uniformity and convenience .*
- *Ensure that participants engaged in drawing Resource maps including VNRM committee sign and date at the back of the Resource Map and it is endorsed by the head of the village council*
- *It is recommended that the group prepare two copies of Resource Maps, so that one copy may be given to the community for their future reference. Take a photo*

2. Village Functionaries

2.1 Traditional Village Institutional Functionaries (Village Dorbar OR Nokma OR Doloi Council)

S No	Name in Full	Gender M/F	Age (Yrs)	Education	Occupation	Community	Religion and Denomination	Contact No and email address

2.2 Village Natural Resource Management Committee (9 member committee constituted from Village Council and VEC, SHG group, Women's group, youth; 4 members should be women)

S No	Name in Full	Designation	Gender M/F	Age (Yrs)	Education	Occupation	Community	Religion and Denomination	Contact No and email address
1									
2									
3									
4									
5									
6									
7									
8									
9									

2.3 Village Service Providers

SI No	Name in Full	Gender M/F	Age (Yrs)	Education	Area of specialisation/ focus (forests, water, soil, accounts, environmental and social safeguards, knowledge management, GIS)	Trained under CLLMP (Yes/ No?) If Yes, date training was received	Contact No and email address

3. Land use Pattern

SI No	Land use Category	Land Ownership (Community/Clan Govt/Pvt individual etc)	Name of the Sites	Quality of forest (Dense, Moderate, Open)	Land Area /stretch as in the village (Ha)	Present Uses/Benefits Timber, NTFP, Fuelwood, Medicinal & Aromatic plants, Others	Land Area available for Intervention (Ha)	Remarks
A.	Forest (Specify type)							
	Community Forest (Lawshnong/Songni Birung bolgrik)							
	Private or Clan Forest (Rikynti/Lawkur/Maharini/ Raid)							
	Protected Forests/ Catchment Areas/ Green Block (including Law a dong and law shnong)							
	District Council Reserve Forest							

B.	Cultivable Land	Land Ownership (Community/Clan Govt/Pvt)	Name of the Sites	Land Area /stretch as in the village (Ha)	Description of type of cultivation (Jhum/	Land Area available for Intervention	Remarks
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		individual etc)			Terrace/Bun/ Agro-forestry)	(Ha)	
1	Area under Agriculture (Mention Ha under each crop – Paddy, Maize others)						
2	Area under Horticulture (Mention Ha under each type)						
3	Area under Cash Crops 1 (Specify).....						
4	Area under Cash Crops 2 (Specify).....						
5	Area under Shifting Cultivation Average cycle (yrs).....						
6	Culturable Wasteland						

C.	Water Bodies	Ownership	Name of the water body/ Spring	Size/length of river/stream (Ha/Km)	Present Use/ Benefit (Fisheries/ Irrigation/ drinking water)	Number/ Area available for Intervention	Remarks
	Springs/Water Source						
	ponds						
	lakes						
	Streams within village area						
	Rivers within Village Geographical area						
	Others (Specify)						

D.	Indigenous/ Cultivated Trees and NTFPs in Forests	List of Species	Ha in which available	Name/ Ownership/ Type of Site	Main use (Household/ Commercial)
1.	Indigenous Tree species in Forest				
2.	NTFPs in Forest including medicinal shrubs/trees etc				
3.	Commercially valued Trees/ Shrubs/Plants in forests/				
4.	Fodder Species/ Valuable grasses in forests				
5.	Any vulnerable/ endangered species in Forest				

4. Area affected

4.1 . Land

Sl No	Category of Land/Water Body	Soil Erosion (In Ha)	Loss in productivity/ fertility (In Ha)	Forest Fires (In Ha)	Unscientific Mining (In Ha)	Deforestation (In Ha)	Solid/ Liquid Waste (In Ha)	Pest/Disease (in Ha)	Fragile Hill slopes (In Ha)	Short Fallows (In Ha)	Others (In Ha)	Total Area Affected (Ha)
1	Land											
a.	Forest											
b.	Cultivable land											
c.	Others (Specify)											

4.2 Water bodies Affected

Sl No	Category of Land/Water Body	Number # affected	Waste/ Pollution		Mining runoff	Siltation of water bodies	Over-extraction	Test Result (attach if available)	Others (Specify)
			Solid Waste	Domestic waste water					
2	Water Bodies								
a.	Springs (number of springs)								
b.	Stream (number)								
c.	River/ pond/ lake								

5. Disputes / Constraints encountered by Community

Have the people in your village faced any disputes or constraints related to issues of access and control over natural and other resources (water, food, land, fuelwood etc during the past 3 years? Yes/No:, If Yes,

SI No	Type of Resource	Dispute (Mention if within village or with other villages)	Constraint	Rating/Frequency/ Number of Months in the year	Proposed resolution	Priority (if the issue can be addressed through CNRM plan)
1	Village Geographical Boundary					
2	Drinking Water					
3	Water for irrigation					
4	Access to land for construction of House					
5	Access of land for cultivation					
6	Access to timber for construction etc					
7	Access to NTFP (Wild vegetables, canes and bamboo, lac, Herbal medicines etc)					
8	Access to Fodder					
9	Access to fuel wood					
10	Access to LPG					
11	Access to solar					

	cookers/ heaters					
12	Access to Food/PDS					
13	Others (Specify)					

6. Village Governance/ Management of Environment and Natural Resources

SI No	Environment Parameters	Policy & Management system In Place in Village (Y/N)	Management Committee/Volunteers in place (Y/N and Composition)			SHGs/CBOs/NGOS in the village with expertise/ mandate to address the issue (Y/N)			Contact Person and Contact Details	Further Action (Committee to be formed/ Training needed etc)
			Y/N	No of M	No of F	Y/N (If Y, Name of Organisation)	No of M	No of F		
1	Access for timber/NTFPs etc from community forest									
2	Access for cultivable land for villagers from community land									
3	Protection of spring sheds, water sources									
4	Protection of catchment areas									
5	Prevention of forest fires									
6	Conservation of aquatic life in rivers, streams etc									
7	System for Disposal of solid waste									
8	System for treatment of Household affluent									
9	Cleanliness of village – roads,									

	footpaths									
10	Social fencing for Protection of stray cattle/other domestic animals									
11	Participation of women in decision making at various platforms									
12	Rate of wages for both men and women for different types of labour									
13	Ensuring survival of young plantations (upto 5 years)									
14	Management of Afforested plots									
15	Eco-tourism									
16	Others (Specify)									

CNRM Plan Preparation

1. Plan Preparation

1.1 Community-led visioning and planning exercise

The exercise should build on the resource map and baseline information collected to arrive at potential interventions and initiatives the community would like to plan to achieve their vision for improvements in the state of natural resources of their village.

- Group Discussion - Groups of different age groups such as youth men, youth women, men above 30, women above 30 years old.
- Facilitate each group to discuss the pressures and challenges related to natural resources in the village, existing best practices and knowledge within the village and then envision improvements that could enhance the state of natural resources and contribute to an improved resource base.
- Facilitate them to prioritize new interventions and initiatives to achieve these improvements. Map out the proposed interventions and initiatives using the resource map and write up the interventions in a tabular format
- Copy the Vision map on paper for purpose of record and attach the group discussion points of different groups. The list of participants of each group may be attached for future reference.
- Geo-tag intervention sites, take photos of sites during the planning stage to compare through the cycle of intervention.

1.2. Intervention identification

Area of Intervention	Intervention 1	Intervention 2	Intervention 3	Intervention 4	Intervention 5	Remark on any traditional knowledge/ best practice within the village
	Activity/ Site	Activity/ Site	Activity/ Site	Activity/ Site	Activity/ Site	
Soil and Water Conservation						
Land Productivity Enhancement						
Spring Shed Management						
Afforestation/ Community Forestry Activities						
Capacity Building						
Others						

1.3Proposed List of Interventions Summary

SI No	Proposed Intervention	Name of Site	Land ownership	Nos of HHs expected to Benefit			Priority (High/ Medium/ Low)	Start date (MM/YY)	Completion date (MM/YY)
				BPL	APL	TOTAL			

3.1 Eligibility Screening

Sl. No	Activities/Subprojects with any of the attributes listed below will be ineligible for support under the proposed project due to environmental implications.	Yes/No
1	Any subproject/activities that is not consistent with Acts of GoI and GoM	
2	Subproject/activities that could intervene or damage/fragment and/or adversely affect/ impact natural habitats/ protected areas, reserve forests, including but not limited to, the following sites: • Siju Wildlife Sanctuary, South Garo Hills • Nongkhylllem Wildlife Sanctuary, Ri-Bhoi District • Baghmara Pitcher Plant Sanctuary, South Garo Hills • Balpakram National Park, South Garo Hills • Nokrek Ridge National Park, East Garo Hills • Nokrek Biosphere Reserve, East, West and South Garo Hills • Narpuh Wildlife Sanctuary, East Jaintia Hills	
3	Subproject/activities that support forest harvesting on a large/industrial scale	
4	Activity that involves construction of check dam >3m height	
5	Subprojects/activities that promote or require pesticides that falls in WHO classes IA, IB, or II and/or procurement of large amount of pesticides or toxic agro-chemicals.	
6	Subprojects/activities will not support large- scale clearing of land, dredging of water bodies, undercutting of slopes, replacement of natural vegetation that may cause permanent, irreversible impacts.	
7	Any activity that has a significant potential of causing forest fires	
8	Any project activity that leads to large-scale soil erosion and siltation of water bodies	
9	Any activity that promotes or involves incidence of child labour.	
10	Sub project/Activities that would adversely affect cultural sites, places of significance importance and protected historical assets (both living and built)	
11	Sub project/Activities that involves the felling of the 'prohibited trees' without a permit	
12	Sub project/Activities that seeks to impose restrictions or loss of access to using natural resources, including medicinal plants or those of economic value for livelihoods.	
13	Any activities involving use of Asbestos Containing Materials (e.g. Pipes for community irrigation schemes).	

If Yes- reject /modify activities in the plan to meet the criteria.

3.2 Regulatory Compliance Screening

If the answer to the questions posed in the screening process below is 'Yes', mitigation measures would be required to be put in place.

<i>S. No.</i>	<i>Regulatory requirements</i>		<i>Implications for project</i>
i	Are any of the activities located within a notified Eco Sensitive Zone (ESZ)? • Nokrek NP ESZ • Narpuh ESZ • Nongkhylleum WLS ESZ If yes, Are any of the activities on the list of activities regulated in ESZ? If yes, Has the required permission been taken?	Yes / No Yes / No Yes / No	1. Follow EGs on Soil and Water Conservation, Water Management, Afforestation activities 2. Follow MOEF Guidelines of Permissible activities in ESZ 3. Given (2) If any project activity is still likely to negatively impact any sensitive habitat or species, a separate site-specific Environment Management Plan would need to be prepared by the project to ensure mitigation measures for containing the impacts.
ii	Are any of the activities involving construction located between 100-300 meters from an archaeological site/monument. If yes, has permission been taken from the Archaeological Survey of India?	Yes / No Yes / No	Follow EGs on Chance find procedures
iv	Do any of the activities require license under the Fertilizer Order 1985 (selling, stocking, exhibiting for sale or distribution of bio-fertilizers and organic fertilizers)? If yes, has the license been taken?	Yes / No Yes / No	Follow General Rules under Fertilizer Order 1985¹

4. Community Estimates for Plan implementation

1 Soil and Water Conservation

SI No	Intervention	Land Ownership	Nos of sites	Name of site/s	Area (Ha)	Average Cost Per unit	Total Cost (INR)	Budget Break-up			Community Contribution (In kind)	Remarks
			A					Y1	Y2	Y3		
1.1	Contour Trenches, field bunds, gully plugs											
1.2	Small water storage structures, Percolation Pits, Well Recharge Pits, Sunken Ponds											
1.3	Drainage Line Treatment (Loose Boulder Structures, Gabion, check weir and small check dams)											
1.4	Afforestation/ Preventing erosion through vegetative cover											
1.5	Assisted natural regeneration of degraded areas											
1.6	Slope Stabilization											
1.7	Community ponds, tanks											

	including desiltation and rehabilitation											
--	--	--	--	--	--	--	--	--	--	--	--	--

2 Land Productivity Enhancement

SI No	Intervention (Pl. use code)	Land Ownership	Nos of sites	Name of site/s	Area (Ha)	Average Cost Per unit	Total Cost (INR)	Budget Break-up			Community Contribution (In kind)	Remarks
			A			B	AxB	Y1	Y2	Y3		
2.1	Land levelling for cultivation											
2.2	De-siltation and rehabilitation of community ponds, tanks											
2.3	Treatment of alkali soils, de-acidification or detoxification etc.											
2.4	Development of organic fertilizers, farm yard manure, green leaf, tank silt, vermi- compost units											
2.5	Organic Farming and homestead gardens											
2.6	Agri-horti-silvi - pastoral model											

3. Spring Shed Management

SI No	Intervention (Pl. use code)	Land Ownership	Nos of sites	Name of site/s	Area (Ha)	Average Cost Per unit	Total Cost (INR)	Budget Break-up			Community Contribution (In kind)	Remarks
								Y1	Y2	Y3		
3.1	Spring Inventorisation		A			B	AxB					
3.2	Afforestation, regeneration of natural forests in the immediate catchment of springs											
3.3	Protection of spring water from contamination											
3.4	Revival of existing water bodies linked to springs											
3.5	Contour/Staggered Trenches and other measures to increase groundwater percolation, rainwater harvesting											
3.6	Construction/ Improvement of Spring Chamber/ Collection tank											

4 Afforestation/ Community Forestry Activities

SI No	Intervention	Land Ownership	Nos of sites	Name of site/s	Area (Ha)	Average Cost Per unit	Total Cost (INR)	Budget Break-up			Community Contribution (In kind)	Remarks
								Y1	Y2	Y3		
			A			B	AxB					
4.1	Forestry/ Agro-forestry											
4.2	Plantation of fodder trees, grasses, Shrubs, Silviculture treatments											
4.3	Community forestry activities/ planning											
4.4	NTFP based activities											
4.5	Seed production and nursery raising											
4.6	Restoration of degraded sacred groves											
4.7	Nurseries for endemic, rare species											

5 Capacity Building and Institutional Strengthening

SI No	Intervention (Type of Training/ Cap Building Activity)	Nos of people	Average Cost Per unit	Total Cost (INR)	Source of Funds(INR)	Remarks
		A	B	AxB		

6 Other Activity (Please specify)

SI No	Intervention	Land Ownership	Nos of sites	Name of site/s	Area (Ha)	Average Cost Per unit	Total Cost (INR)	Budget Break-up			Community Contribution (in kind)	Remarks
			A			B	AxB	Y1	Y2	Y3		

Summary of Village CNRM Plan

S No	Intervention (Area and no. of units)	Estimated Total Cost (INR)	Yearly Budget			Source of Funding			Remarks
			Y1 ____	Y2____	Y3____	World Bank	Govt Scheme	Others	

Community Natural Resource Management Plan Checklists (to be submitted)

1. List of participants
2. Completed booklet
3. Resource Map
4. GPS Coordinates and maps of village area, different forest cover, springsheds, water bodies, catchment areas etc for generating Satellite images of different GIS layers of villages as required).
5. Summary of Village CNRM Plan with community estimates (budget)
6. Checklists: Eligibility Screening Checklist, Regulatory Compliance Screening form, Plan Checklist
7. Photos of PRA exercise, group discussions, proposed intervention areas

General Observation/Remarks of the Facilitators on the Village:

(Comment on number and composition of participants/ Any challenges/ feedback etc)

.....
.....

Signature & Date : Signature & Date :

Name of BPMU/ line department official..... Name of VNRMC Secretary/ President.....

Designation& Department

Environment Impacts and Mitigation

5.2 Possible Environment Impacts

Codes	Environment Impacts through selection of activities under NRM plan
A	Surface Water (Quality/Quantity)
B	Ground Water (Quality/Quantity)
C	Soil Erosion and gully formation
D	Run-off rate
E	Siltation of Water Bodies
F	Soil Fertility
G	Stability of hill Slopes
H	Forest Fire
I	Loss of Biodiversity (flora and fauna)
J	Aquatic Biodiversity
K	Invasion of Exotic Species
L	Places of Religious/Historial Importance/Monuments
M	Air / Noise Pollution
N	Sensitive, Endemic species, Medicinal plants
O	Loss of Natural Vegetation
P	Deforestation
Q	Harvesting of fuel wood
R	Community water sharing/budgeting
S	Pollution from domestic wastewater and solid waste into local streams (Quantity)

Sl. No	Project activities	Codes for possible environmental impacts																							
		A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	<i>Insert Applicable Mitigation measures followed</i>	<i>Insert applicable mitigation measures and EGs followed.</i>	<i>Application of traditional knowledge for conservation/mitigation</i>		
1	Soil and Water Conservation Measures																								
1.1	Contour Trenches, field bunds, gully plugs																								
1.2	Small water storage structures Percolation Pits Well Recharge Pits, Sunken Ponds																								
1.3	Drainage Line Treatment (Loose Boulder Structures, Gabion, check weir and small check dams)																								
1.4	Afforestation																								
1.5	Assisted natural regeneration of degraded areas																								
1.6	Slope stabilization																								
1.7	Water harvesting ponds																								
2	Land productivity Enhancement																								
2.1	Land levelling for cultivation																								
2.2	De-siltation and rehabilitation of community ponds, tanks																								
2.3	Treatment of alkali soils de-acidification or detoxification etc.																								
2.4	Development of organic																								

4.4	NTPF based activities																							
4.5	Seed production and nursery raising																							
4.6	Restoration of degraded sacred groves																							
4.7	Nurseries for endemic, rare species																							

ANNEX: Environmental Mitigation and Best Practice Guidelines

Activity	EG no#	Applicable Guidelines
General Guidelines Site Selection		
- Afforestation Activities - Soil and Water Conservation works and - Land levelling and treatment - Spring catchment treatment works	EG 1.1	The site selected for the activity must not be in areas that are: wildlife conflict areas, waste dumpsites, highly polluted/contaminated land or water areas, natural drainage courses, areas prone to floods.
	EG 1.2	Any cultural site including cemeteries and graves on proposed sites will, with the agreement of the community be well demarcated and the area will not be cleared or undergo any soil and water conservation measures or reforestation activities.
	EG 1.3	Avoid disturbing land on or near sites of historical significance and avoid using areas of historical importance for storing material, setting up nursery.
Soil and Water Conservation Works		
- Contour Trenches, - Stone Bunds, - Water Absorption trenches	EG 2.1	Ensure that material required for construction of bunds, nala bunds, water harvesting structures, etc., is procured on-site or from authorized quarries.
	EG 2.2	Ensure that the recharge structure is located at a safe distance (at least 15 metres) for possible sources of contamination (e.g., manure heaps, leach pit latrines, etc.)

• Gully Plugs (vegetative or earthen), • Field Bunds, Stone Outlets • Percolation Pits, • Well Recharge Pits • Sunken Ponds, other water small storage structures, • Drainage line treatment • Vegetation cover on treated and reclaimed land such as grasses and trees on S&WC measures • Development of pastures • Adoption of silvi-pature models • Afforestation • Development of fuel wood and energy plantations, shelter belts and wind breaks etc. • Rehabilitation of abandoned Shifting Cultivation areas	EG 2.3	Ensure that the design of the recharge structure includes silt trap and filter media to prevent contamination of the well.
	EG 2.4	Ensure that the open dug well is properly secured with a wall/fence and cover to avoid accidental falls.
	E.G 2.5	Special investigations should be conducted whilst undertaking vegetation cover in eco- sensitive catchments unless adequate buffer zones are in place.
	E.G 2.6	The material to be used for check dams will depend upon whatever is available locally and no check damming should be attempted unless suitable stone, brick, timber or brushwood is available at the location.
	E.G 2.7	All check dams constructed should not exceed 3 m height
	E.G 2.8	In view of high rainfall, contour bunding should be inward sloping. There should be guide furrows across slope to divert run off towards the inward side where a guide channel should be provided.
	E.G 2.9	When integrating agroforestry (alley cropping) into cultivated land, a 2 to 4-m spacing between trees is adequate for erosion control depending on species. The age of the perennials is also important as most species become effective sediment traps about two to three years after planting.
	E.G 2.10	Terracing must be constructed when the soil is neither too dry nor too wet. New terraces should be protected at their risers and outlets and should be carefully maintained, especially during the first two years.
	E.G 2.11	Terraces on steep slopes become unstable unless buttress is supported by grass sodding, stonewalls if stones are locally available.
	E.G 2.12	Proper arrangements are made for excess water disposal through grass sodded or stone pitched outlets. In case any runoff from higher hill slopes, forestlands or village is damaging the bench terraces, then diversion channels be made at upper portions to safely divert such run off to normal drainage ways.
	E.G 2.13	Vegetative barriers or vegetative hedges or live bunds are effective in reducing soil erosion and conserving moisture and are more economical than bunding on slope of 0.4 to 0.8 deg. In this system, the vegetative hedges act as barriers which slow down the run off velocity resulting in the deposition of eroded sediments and increased rainwater infiltration. It is advisable to establish the vegetative hedges on a small bund.
	E.G 2.14	The large quantities of farm run off collected from various fields should be finally discharged through well sodded grassed water way.
	E.G 2.15	Non-erosive velocities should continuously be maintained by grass sodding in the bed and sides of the streams.
	E.G 2.16	Fibrous rooted shrubs and grasses planted as hedges along the contour of the land slow the runoff, weaken the erosive power of water and cause it to deposit its load of valuable soil behind the hedgerows.

	E.G 2.17	In case of undertaking works in sensitive areas- all work must be done by manual means. All recognized natural habitats, wetlands and protected areas in the immediate vicinity of the activity must not be damaged or exploited.
Water Management		
<i>Spring shed management</i>	EG 3.1	The construction of a spring shed treatment often requires concrete structures and thus materials like cement, sand, gravel is required, as well as use of construction tools. For which general EHS guidelines should be followed.
• Inventory of springs • Afforestation • Regeneration of natural forest in the catchment • Protection of spring water • inventorisation of springs • protection of spring water from contamination • enhancement of water efficiency through revival of existing water bodies linked to springs • establishment of cadre of trained para-hydrogeologists	E.G 3.2	Construction of ponds and percolation pits, bunding, levelling, trenches, plantations in recharge zones should following Soil and water conservation manual, Forestry manual and Spring shed manual – which are all part of the community operations manual guidelines, and addressing open defection to ensure water quality should follow Swatch Bharat Mission guidelines.
	E.G 3.3	More detailed planning of plantation/afforestation activities would be required in catchments with good/pristine water quality status.
	E.G 3.4	In cases where a village already has one or more known water points connected to a spring, this may be linked to spring rejuvenation work, as many villages already have such systems but they may require extension or expansion.
	E.G 3.5	Ensure that any piped system connected to the spring has strainers/screens in place to block debris whilst implementing spring shed treatment works.
	E.G 3.6	Check that there are no latrines within 30 metres, particularly upstream of the spring.
	E.G 3.7	Make sure that, if the spring is to be connected to a piped water system, it is on higher ground than the area to be supplied so the water will flow with gravity.
	E.G 3.8	Only if needed, community water management scheme should utilize energy efficient pumps (e.g., BEE 5 star rated).
	E.G 3.9	No open defecation should be conducted within the protected area of the spring shed, wastewater from toilets as well as kitchens etc. pollution from livestock should not directly discharge in to any water body/spring. Sanitation schemes/Toilets could be financed through convergence with a combination of government programmes, such as Swatch Bharat Mission)
	E.G 3.10	Training local village men and women in basic hydrogeology and spring mapping and inventory to support identification of the spring shed area and recharge techniques, so that it can the area treatment may be scaled up to all springs within the catchment.
	E.G 3.11	Avoid use of AC (asbestos-cement) pipes for any community water management/irrigation lines

Community management of water sources	E.G 3.12	If a collection tank is needed, ensure it is built on stable land, not land which is subject to erosion or flooding and that the flow from the protected spring itself will not cause erosion or damage
	E.G 3.13	The spring shed management plan should incorporate checking the quality of water after spring shed treatment works have been completed and ensure community which is dependent on the spring has the required skills and has taken the measures required to monitor and maintain the spring in good condition.
	E.G 3.14	In order to maintain safe drinking water quality, the permanent protection/fencing of the catchment and the direct spring surroundings is essential. The protection measures must be enforced and fully respected and understood by the community to guarantee long-term sustainability. Ensure that liquid or solid waste is not disposed of in the close vicinity of the springs.
	E.G 3.15	Monitoring spring revival is essential, including includes continuous spring discharge measurements for which revival plans have been implemented.
	E.G 3.16	Construct separate usage points (washing, bathing, irrigation) away from the spring and transport the water by pipelines from source to the usage point. Ensure that waste-water from the usage points are not put back directly into the stream without treatment.
	E.G 3.17	Protect the mouth of each spring and disallow activities like bathing and washing at the source
	E.G 4.1	Deposition of any excavated soil and silt through catchment treatment works should not be dumped into existing water bodies/ springs
	E.G 4.2	Community should adopt water conservation practices (e.g., use of efficient irrigation methods such as drip and sprinkler irrigation, etc.)
	E.G 4.3	Avoid wastage and over-consumption of water (e.g., avoid crops that are water intensive, avoid over-extraction of groundwater).
	E.G 4.4	Adopt energy efficient equipment such as 5 star rated pumps, and energy alternatives where feasible (e.g., solar lights, solar water pumps, etc.)
	E.G 4.5	Project should support training to community to repair / maintain the water pipelines and ponds to prevent any wastage of water in case of breakage/ damage due to natural calamity.
	E.G 4.6	All solid waste streams which could potentially impact the spring shed area should be separated, reused or recycled when possible without burning of wastes or vegetation on site.
	E.G 4.7	Activities such as community recycling centres should be adopted to minimise litter from being disposed near water bodies. All green wastes should be mulched.

	E.G 4.8	No diversion of water, creation of artificial sources within the spring shed area unless part of the NRM plan, this may result in less water being available to downstream communities.
	E.G 4.9	While desilting community water storage structures ensure safe disposal of desilted material (e.g., use on farm land) and avoid leaving desilted material close to the water storage structure.
	E.G 4.10	Community, through Gram Sabha to prepare rules and regulations as part of the Village NRM plan over sharing and rational use of water for households, and if needed to support recreational activities/eco-tourism.
	E.G 4.11	While refurbishing existing community water tank, ensure provision of protective fencing around the structure to prevent accidental falls.
Land Productivity and Soil Health Improvement		
- Land reclamation measures such as land levelling, de-siltation of village ponds, bunding etc. - Demonstration of integrating farming systems - Development of organic fertilizers, farm yard manure, green leaf, tank silt, vermi-compost units - Replacement of chemical fertilizers and	E.G 5.1	Residues from the previous crop, grass, shrubs, farmyard manure, compost, by products of agro-based products can be used for mulching which helps in reducing the splash effect of the rain, decreasing the velocity of runoff, and hence reducing the amount of soil loss.
	E.G 5.2	Ensure that the soil amendments used meet the respective BIS standards (non-conformity to standards may lead to contamination): - IS-10170-1982 for By-product Gypsum - IS-6046-1982 for Gypsum for agricultural use - IS 14403: 1996 for Agriculture Grade Iron Pyrites
	E.G 5.3	Improved fallows of short periods with selected leguminous trees, shrubs and herbaceous cover crops, are important for soil conservation especially in farming systems without fertilizer input compared to longer fallows associated with shifting cultivation
	E.G 5.4	On very steep slopes erosion occurs more easily and any mulching and seeding laid down may be washed away before the new grass or vegetation are properly established. In these situations, a special matting material to provide a cover for the exposed soil is recommended. The matting allows grass to grow through while preventing the soil from moving as the runoff travels across the land surface.
	E.G 5.5	Community should document traditional knowledge on organic farming practices, and promote use of indigenous bio-pesticides
	E.G 5.6	Ensure that there is no over-harvesting of local wild plant species for preparation of organic inputs to the soil.
	E.G 5.7	Demonstration of onsite production and adoption of vermi-compost should avoid alien species of earthworms (<i>E. foetida</i> , <i>E. euginiae</i>). Use native species of earthworms and adopt prescribed management practices to avoid infestation of flies and rodents within the compost preparation units.

- introduction of integrated nutrient management systems, - Treatment of alkali soils de-acidification or detoxification etc. - Introduction of health cards for nutritional related ailments - Optimisation of Shifting Cultivation	E.G 5.8	Use of soil test based nutrient application and proper method of stage of fertilizer application, including integrated nutrient management using farm yard manure.
	E.G 5.9	For acidification of high pH soils, organic matter will help to acidify the soil as microbes decompose the material, releasing CO ₂ which then forms carbonic acid. Organic acids are also released during humus decomposition.
	E.G 5.10	For acidic soils, applications of agricultural lime counter the acidification caused by cropping systems. Ultimately, the adoption of less acidifying farming practices should be ensured.
	E.G 5.11	Ensure safe disposal of desilted material from water bodies for use on farm land
	E.G 5.12	Ensure that the desilting activity in water bodies does not damage side slopes of the ponds or leave deep pits.
	E.G 5.13	Avoid leaving desilted material close to the water storage structure/pond
	E.G 5.14	No procurement of WHO banned Class I & Class II A and II B pesticides.
Afforestation/ Community Forestry Activities		
- Afforestation activities - Agro Forestry - Community Forestry - Fodder plantation - NTPP harvesting - Optimisation of Shifting Cultivation	E.G 6.1	Proper afforestation density in accordance with local conditions is vital for maintaining the stability of the forest ecosystem. The smaller the tree crown is, the bigger the afforestation density should be; conversely, the afforestation density should be smaller.
	E.G 6.2	Shrubs can be used for bio- fencing around plantations- they also have multiple benefits of being resistant to high wind velocity.
	E.G 6.3	In preparation of village NRM plan, the area selected for plantation in the plan/map will be furnished with a complete list of desired species selected for plantations.
	E.G 6.4	Community should maintain appropriate journals should be developed and maintained. These should detail the treatments undertaken, species planted and the survival rate.
	E.G 6.5	No species shall be planted on a large-scale until local trials and/or experience have shown that they are ecologically well-adapted to the site, are not invasive, and do not have significant negative ecological impacts.

E.G 6.6	Restoration of degraded lands should preferably be done through diverse set of local indigenous species and for better maintenance of forest ecosystem stability and prevent and control the incident of pests/diseases
E.G 6.7	Prepare a list of available exotics and non-natives and issue notification to the community for disallowing/allowing their use in plantation/restoration Community will not deliberately introduce any alien species with a high risk of invasive behaviour or any known invasive species, and will exercise diligence to prevent accidental or unintended introductions
E.G 6.8	Vegetation protection belt should be maintained between the edges of the forest plantation plot and the farmland;
E.G 6.9	Sensitize community regarding forest fire and its negative impacts on forest and other natural resources. Plantations raised under the project must be protected against fire incidences.
E.G 6.10	Use certified seeds for raising nursery plantations.
E.G 6.11	Nurseries should not be located on highly sloped areas, should be mainly flat with good drainage. This can be done by providing gentle slope and channels to drain out excess water from the nursery.
E.G 6.12	Most of the tree species need shade in the early stage of germination when the seedlings are still tender, and has a great effect in increasing the survival of seedlings.
E.G 6.13	The species selected should also have multiple benefits of meeting, food, fruit and other requirements of the villagers living in the vicinity, and also suit the needs of birds and wild animals dwelling in the area.
E.G 6.14	Encourage planting of fodder yielding trees for increased biomass on homesteads, degraded forestlands, community land and private non-arable areas.
E.G 6.15	Community should consult with subject matter specialists and district level forest officials when selecting area with slope over 35° for afforestation.
E.G 6.16	Project will support and facilitate participation in hands-on training and/or demonstration of new techniques or practices which facilitate sound, sustainable utilization of NTFPs
E.G 6.17	Nurseries should be established as near the planting site as possible to avoid time delays in transporting plants from nursery to plantation sites, ensure proper logistic and transit facilities.
	Dry grass, bamboo mat, palm leaves or wheat straw can be used as shading material but tin sheets should be avoided. Shade should be slanting towards North-South to protect the seedbeds or seedlings from the hot sun.
E.G 6.18	Proper collection of unused and damaged polythene bags for seedlings will be placed at the nursery site.

	E.G 6.19	The species selected should also have multiple benefits of meeting, food, fruit and other requirements of the villagers living in the vicinity, and also suit the needs of birds and wild animals dwelling in the area.
	E.G 6.20	In some areas, if community identifies sensitive species is present, works should not be carried out during sensitive periods (e.g. breeding season).
	E.G 6.21	The use of chemical pesticides in nurseries will not be permitted.
<i>Maintenance of plantations Agroforestry Community forestry</i>	E.G 6.22	Firewood collection of the forest litters should not be conducted in young plantations- to enhance the water retention capacity and soil fertility of the plantations. The application of inorganic fertilizer will be restricted to the period just after transplanting if needed following IPM and NM plan. This is to ensure that the fertilizer is available to the young transplanted trees.
	E.G 6.23	In order to ensure planting of quality plants, loosen the soil and weeding around the young trees. Efforts should be made to retain the natural vegetation of the young plantations. The vegetation residue after weeding should be kept in-site as mulches.
	E.G 6.24	In case of enrichment planting, there should not be too much of age difference between the old and new plants.
	E.G 6.25	Develop maps to delineate forestlands (wooded and shrubby areas) to ensure that they are left undisturbed and not converted to pastures later on.
	E.G 6.26	Ensure that all agroforestry plots have been planted with other species of herbs and shrubs for a viable under-story (as silvipasture treatments) for increasing the production of intermediate forest products, which will sustain interest and involvement of people and will also result in increased protection of land surface from erosion. In case of enrichment planting, there should not be too much of age difference between the old and new plants.
	E.G 6.27	Ensure local biodiversity is maintained within tree plantations and also along waterways and streams within the plantations. Ensure that all agroforestry plots have been planted with other species of herbs and shrubs for a viable under-story (as Silvipasture treatments) for increasing the production of intermediate forest products, which will sustain interest and involvement of people and will also result in increased protection of land surface from erosion.
	E.G 6.28	If during project implementation, the project workers encounter archaeological relics, fossils, human remains, or other items of historical or other cultural value EGs for chance finds will be followed. Ensure biodiversity is maintained within tree plantations and also along waterways and streams within the plantations.
	E.G 6.29	Protection measures for young saplings should be encouraged through windbreaks, shelter belts, weeding and biological control of insects and pests. If during project implementation, the project workers encounter archaeological relics, fossils, human remains, or other items of historical or other cultural value, the community will temporarily suspend any works which might damage these items.

	E.G 6.30	Avoid plantation of too many species at a given site in intimate mixtures, as this reduces their utility and lead to unwanted competition between species for nutrients, moisture and sunlight. Protection measures for young saplings should be encouraged
	E.G 6.31	The plantation development will be phased in order to generate biomass which could be manageable at a given time. Biomass generated should be made available as fire wood, communities should support creation of local biomass energy market. Avoid plantation of too many species at a given site in intimate mixtures, as this reduces their utility and lead to unwanted competition between species for nutrients, moisture and sunlight.
	E.G 6.32	A constant phyto-sanitary observation will be maintained to help prevent the outbreak and spread of any potential disease/pest into the whole plantation. The plantation development will be phased in order to generate biomass which could be manageable at a given time
	E.G 6.33	Monitoring for any signs of nutrient deficiency (e.g. yellowing of conifer needles) and applying the necessary remedy based on laboratory tests of the foliage and/or soil. Community should be trained in fire- fighting techniques
	E.G 6.34	Dead, dying or dry plants should be replaced within 15 days of completion of planting work. The use of fungicides and herbicides will not be encouraged on plantations.
	EG 6.35	In cases where any NTFP is collected, ensure proper storage of through ventilation, humidity control, etc. to prevent wastage of produce and to avoid health risk.
	E.G 6.36	Where Silvipastoral systems are established, livestock productivity should be monitored regularly. Training should be imparted for health of animals and nutritional standards and regular checking of diseases should be adopted.
Forest Fire Control	E.G 7.1	Community, through C- NRM plan, must identify causes of forest fire, and prepare a forest fire control plan working out the detailed plans for fire prevention, public education, patrolling, and fire response programs
	E.G 7.2	Fire prevention and control of the plantations under the project must be integrated with the state forest fire management system at all levels. Dead, dying or dry plants should be replaced within 15 days of completion of planting work.
	E.G 7.3	If the selected landscape is under threat from wildfire/jhum induced fires, then the community should be equipped with fire suppression equipment appropriate for the size of operations and that meets internationally recognized technical specifications to ensure that project financed investments do not come under threat.
	E.G 7.4	Fire prevention education and outreach to be included as part of Training activities under component 1B, to reduce the number of preventable fires. The width of these fire lines depends on many factors such as, type of forests, density, terrain, wind speed in the area etc. Such fire lines are usually cleared before the start of the fire season in order to avoid the spread of fires from one area to another.
	E.G 7.5	Project will support communities with new technology to enhance ability to plan for fire suppression, predict fire and develop a Community Fire Protection Plan.

	E.G 7.6	The project should promote non -conventional sources of fuel, like LPG and solar cookers to meet the needs of household fuel to combat burning of forests for fuel wood and charcoal.
	E.G 7.7	If inspection paths need to be constructed, they should be laid along contour line as much as possible, and with a maximum use of existing paths. Large scale excavation should be prohibited to avoid soil erosion. Maintenance and repair of inspection paths needs to be costed in the NRM plan.
	E.G 7.8	Regulate inflow of tourists as appropriate and assess accompanying demand on fuel wood from protected area, increased harvesting of selected NTFPs, or wild fruits, herbs et al for consumption and sale.
Eco tourism and Maintaince of natural, cultural heritage sites	E.G 8.1	Undertake orientation and training of local people involved in eco-tourism especially with relation to negative impacts of tourism on the environment and forest resources, including solid waste disposal.
	E.G 8.2	Incorporate green technology in the design, development and renovation of outdoor recreational opportunities, including energy saving, environmentally friendly, and cost efficient alternatives to past infrastructure construction and maintenance practices
	E.G 8.3	Assess location of tourist spots and ensure sites are not in fragile natural habitat areas.
	E.G 8.4	Undertake seasonal analysis of tourist inflow and co relate with breeding cycles of species those are attractive to tourists.
	E.G 8.5	Ensure all tourist areas are clearly marked with signage, have garbage disposal arrangements, and fire management equipment. People should be encouraged to keep to the designated paths.
	E.G 8.6	Provide orientation and briefings to tourists about protected area, make available educational and awareness material in appropriate language.
	E.G 8.7	Stop the construction activities in the area of the chance find and delineate the discovered site or area.
Chance Finds Procedure	E.G 9.1	Secure the site to prevent any damage or loss of removable objects. In cases of removable antiquities or sensitive remains, a night guard shall be arranged until the responsible local authorities take over.
	E.G 9.2	Notify the Village <i>Gramsabha</i> who in turn will notify responsible local or national authorities in charge of the Cultural Property of Meghalaya
	E.G 9.3	Relevant local or national authorities would be in charge of protecting and preserving the site before deciding on subsequent appropriate procedures. This would require a preliminary evaluation of the findings to be performed. The significance and importance of the findings should be assessed according to the various criteria relevant to cultural heritage; those include the aesthetic, historic, scientific or research, social and economic values

	E.G 9.4	Decisions on how to handle the finding shall be taken by the responsible authorities. This could include changes in the layout (such as when finding an irremovable remain of cultural or archeological importance) conservation, preservation, restoration and salvage.
	E.G 9.5	If the cultural sites and/or relics are of high value and site preservation is recommended by the professionals and required by the cultural relics authority, the community will need to make necessary design changes to accommodate the request and preserve the site.
	E.G 9.6	Decisions concerning the management of the finding shall be communicated in writing by relevant authorities.
	E.G 9.7	Construction works could resume only after permission is granted from the responsible local authorities concerning safeguard of the heritage.
Pollution Management	E.G 10.1	Ensure that all generator sets (if used) (diesel, petrol, kerosene, LPG, CNG) meet the 'CPCB noise and emission control standards for Generator Sets'.
	E.G 10.2	Ensure that all vehicles, machinery used in the project have a valid Pollution Under Control certification.
	E.G 10.3	Ensure that all waste water meets the 'CPCB General Standards' prior to disposal.
	E.G 10.4	Avoid release of waste water into water bodies, streams, without any treatment.
	E.G 10.5	Dispose non-biodegradable wastes at locations specified by the government (e.g. proper disposal material containers).
	E.G 10.6	Avoid burning of wastes (crop residues, leaf litter, plastic wastes, etc.), as far as possible, compost organic wastes.
	E.G. 10.7	In cases where community has milk cooling / processing unit- disposal of wastewater from the premises should be done into a soak pit located at least 15 metres away from any drinking water source.
Community Health and Safety	E.G 11.1	Adopt prescribed safety practices, including use of personal protection equipment (PPE), for handling, storage, use and disposal of pesticides (refer to Pest Management Guidelines).
	E.G 11.2	Adopt prescribed safety practices, including use of personal protection equipment (PPE), for handling any machinery.
		Ensure that all pits, holes, water storage structures, etc., must be adequately secured to prevent accidental falls.
	E.G 11.3	The project will not support any activities involving pesticides that are in Classes Ia, Ib and II of the WHO Recommended Classification of Pesticides by Hazard.

Village Grant Agreement – Performance Indicators

Village Grant Agreement - Indicators					
S No	Intervention	Overarching Indicators	Activity	Performance Indicators	Yes/No
1	Springshed Development	- Trained village facilitators consulted - Springshed manual followed - Budget utilised - Community Contribution received - Social Audit complete - Environment Screening complete and mitigation measures (if any) implemented	Spring Inventorisation	- Spring inventory (Including Spring discharge measurements, Water Quality Reports) - Springshed Management Plan	
2			Construction of Spring Chamber/ Collection tank	- Collection tank constructed on stable land - Potable water available (Water Quality Reports) - Procedure for community monitoring and maintenance of Spring in place - Authorised construction materials used - Debris disposed safely	
3			Contour/Staggered Trenches	- Trenches complete - Procedure for community maintenance of trenches in place - Soil disposed safely	
4			Afforestation, regeneration of natural forests in the immediate catchment of springs	- Saplings planted in catchment area - List of species planted (as per recommended species list) - 75%-80% survival of saplings at the end of year 1	
5			Protection of spring water from contamination	- Spring catchment area protected through natural or man-made fence - No solid/ liquid waste/ latrines or open defecation in protected area of springshed - Procedure for community monitoring and maintenance of fence in place	

6			Revival of existing water bodies linked to springs	- Revival plan - Measures taken for disposal of SW away from water bodies - Safe disposal of material incase of de-silting of water bodies	
7	Soil and Water Conservation	- Trained village facilitators consulted - Soil and Water Conservation manual followed - Budget utilised - Community Contribution received - Social Audit complete - Environment Screening complete and mitigation measures (if any) implemented	Contour Trenches, field bunds, gully plugs	- Trenches/ Structure complete - Procedure for community maintenance of trenches in place - Soil disposed safely	
8			Small water storage structures, Percolation Pits, Well Recharge Pits, Sunken Ponds	- Structure completed - Locally available materials used in construction - Includes measures to prevent contamination and located away from sources of contamination - Procedure for community monitoring and maintenance in place	
9			Drainage Line Treatment (Loose Boulder Structures, Gabion, check weir and small check dams)	- Structure completed - Locally available materials used in construction - Check dam does not exceed 3m in height	
10			De-siltation and rehabilitation of community ponds, tanks	- Safe disposal of silt	
11			Efficient irrigation methods	- Drip/ Sprinkler Irrigation system complete - Relevant system as per crop requirement used	
12			Preventing erosion through vegetative cover	- Monitoring and maintenance of vegetation (trees/shrubs/ grasses) by community - List of Species planted - recommended trees/ shrubs and grasses planted	
13	Land Productivity Enhancement		Land levelling for cultivation	- Land levelled - Incase of steep slopes, buttress supported by grass sodding/ stonewalls (if stones locally available) - Procedure for terrace protection and maintenance	

				in place	
14			Treatment of alkali soils, de-acidification or detoxification etc.	- Soil Test report and action (before and after)	
15			Development of organic fertilizers, farm yard manure, green leaf, tank silt, vermi-compost units	- Fertilizer output (quantity) - Fertilizer quality	
16			Organic Farming and homestead gardens	- Organic package of practices adopted - Model garden, employing package of practices and nursery for homestead gardens established - Certified seeds used	
17	Afforestation/ Community Forestry Activities	- Trained village facilitators consulted - Forestry manual followed - Budget utilised - Community Contribution received - Social Audit complete - Environment Screening complete and mitigation measures (if any) implemented	Adoption of Agri-horti-silvi - pastoral model	- List of Species planted - 75%-80% survival of saplings at the end of year 1	
18			Forestry/ Agro-forestry	- List of Species planted (as per approved list) - Procedure for monitoring in place (including monitoring of survival rate/ protection against forest fires) - 75%-80% survival of saplings at the end of year 1	
20			NTFP based activities	- Techniques/ practices for sustainable utilisation of NTFP	
21			Seed production	- Seed output (quantity) - Seed quality	

22			Nurseries (including endemic rare species)	- Sapling output measured - Sapling quality monitored - Certified seeds used - Nursery location optimal for sapling survival - Procedure for monitoring in place (survival rate/ forest fires/ species planted)	
23			Restoration of degraded sacred groves	- List of Species planted (as per approved list) - Procedure for monitoring in place (including monitoring of survival rate)	
24	Capacity Building and Institutional Strengthening	- Training completed - Budget utilised - Atleast 50% representation of women in training/ institution set up	Capacity Building and Institutional Strengthening	- List of community members/ village facilitators trained and area of training received - List of institutions set up, roles and responsibilities and training received	

Annexure 5: Composition of State and District Level Innovations Committee

The Institutional Mechanism to identify, screen, validate, select and approve an innovation that would be funded would be the District and State Level Innovations Committee. The composition and Terms of Reference for the State Level and District Level Innovations Committee are outlined as follows:

1. State Level Innovations Committee (SLIC)

The State Level Innovations Committee shall comprise of the following members:

Chairman: Agriculture Production Commissioner

Member Secretary: PD CLLMP

Executive Director MBDA

Director MBDA

DPD CLLMP

OSD MINR

The other members may be invited from among persons having domain knowledge and prominent innovators depending upon the innovation(s) to be appraised.

The terms of reference for the State Level Innovations Committee are as follows:

1. Approve innovation themes to be considered.
2. Approve practices that can be classified as innovations after due diligence, that include but not limited to, site visit, physical verification, technical and financial feasibility.
3. Put in place strategies for identification and documentation of Community driven innovations.
4. Commission studies, appoint teams to search and scout for innovative practices, within and outside the State.
5. Approve strategies for propagation and improvement of innovative traditional knowledge, technological and other innovations supporting natural resource based interventions etc.
6. Scrutinize, approve and recommend for sanction, proposals submitted by individuals, groups of individuals, institutions and NGOs.
7. Recommend a mechanism for monitoring and evaluation to ensure that Innovations are carried out in with due diligence and efficiency and in accordance with sound technical, financial, environmental and managerial standards, including the Anti-Corruption Guidelines and the Safeguard Documents, and that adequate records to reflect the financing, operations, resources and utilization of the funds is maintained.
8. Prepare a checklist of procedures to be followed by the District Level Innovations Committee for scrutiny and recommending proposals to the State Level Committee.
9. Create platforms for engaging communities in decision-making, improvement of innovations etc.
10. Prescribe powers and functions of the District Level Innovations Committee.
11. Assess the capability of the team and partnerships formed in applying for the innovative grant

12. Where relevant, provide feedback and suggestions to strengthen the effectiveness of the proposals for the innovative grant

District Level Innovations Committee:

Chairman: Deputy Commissioner
Member Secretary: District Planning Officer
District Programme Manager CLLMP

Members will consist of the following:

The other members may be invited from among persons having domain knowledge and prominent innovators depending upon the innovation(s) to be appraised.

The terms of reference for the District Level Innovations Committee are as follows:

1. Identify practices, approaches, traditional knowledge, indigenous technologies, social and cultural practices supporting natural resource conservation preservation and development through a process of due diligence and scrutiny by facilitating community dialogues and other community centric approaches and forward the same to the State Level Innovations Committee for review and approval.
2. Stimulate presentation and sharing of knowledge and experiences by Communities in natural resource improvement related activities.
3. Scout for innovative practices, within its powers and functions as prescribed by the State Level Innovations Committee.
4. Receive proposals from innovators within the district and forward the same to the State Level Innovations Committee for consideration after due scrutiny.
5. Work within the powers and functions as prescribed by the State Level Innovations Committee

Annexure 6: Innovation Fund: Submission of Concept Paper

1. Type of innovation (Tick as applicable)

1.	Technological Innovation for sustainable NRM	☐
2.	Process or Governance Innovation for sustainable NRM	☐
3.	Traditional Knowledge	☐
4.	Innovative Solution to an Environmental Challenge	☐

2. Innovation or Proof of Concept Summary (limit to 600 words)

Comment on what is the innovation proposed, the stage of innovation (research, pilot test, implementation, scale up) and on why it qualifies as an innovation, its uniqueness, applicability to Meghalaya, ability to address sustainable natural resource management or a priority environmental issue of the State. Include photos if relevant.

3. Project Description (limit to 600 words)

Comment on the implementation of the idea or innovation over the project period including its Scope and potential scale and include any evidence, qualitative or quantitative to support this claim

4. Project Area and Stakeholders (limit to 250 words)

Provide details on the project area and stakeholder who will be involved, benefit from the innovation; Provide a project area map if available

5. Project Activities

Details of Project activity that will be undertaken phase wise, or simultaneously and the timeline for each activity

6. Project Budget

Provide an activity-wise and year-wise Budget; Mention if there is any funding available from other sources

7. Indicators and Monitoring

What are the indicators of success for this innovation under the project period and how will these be monitored? (indicators should be specific, measurable, achievable, relevant and time bound eg are '100 Ha of land treated in year 1, 200 Ha in year 2' '400 people trained to use xyz technology' 'xyz

committee established successfully with 10 members including 50% women'

7. Communication and Reporting

Comment on how the results of the project will be communicated to a wider audience to increase awareness of the innovation and achieve scale

8. Anticipated Risks

Comment on any potential or anticipated risks that could impact the success/ uptake of the innovation?

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8. Implementation plan for beyond the life of the project

Comment on how sustainability of the activities undertaken during the project period can be addressed, once it stops receiving funding from the Innovations fund

9. Team and Partnerships

(Include Brief resume of each member/ organisation as relevant to the development/ roll out of the innovation)

10. Other Information

Any further information the applicant would like to provide in support of their application

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Annexure 7: List of activities ineligible for funding under the Innovations Fund

All activities will need to be in compliance with the projects Social and Environmental Management framework documents, available on the website <http://mcclmp.com>.

Activities/Subprojects with any of the attributes listed below will be ineligible for support under the proposed project due to social and environmental implications.

1. Any subproject/activities that is not consistent with Acts of Gol and GoM
2. Subproject/activities that could intervene or damage/fragment and/or adversely affect/ impact natural habitats/ protected areas, reserve forests, including but not limited to, the following sites:
 - Siju Wildlife Sanctuary, South Garo Hills
 - Nongkhyllam Wildlife Sanctuary, Ri-Bhoi District
 - Baghmara Pitcher Plant Sanctuary, South Garo Hills
 - Balpakram National Park, South Garo Hills
 - Nokrek Ridge National Park, East Garo Hills
 - Nokrek Biosphere Reserve, East, West and South Garo Hills
 - Narpuh Wildlife Sanctuary, East Jaintia Hills
3. Subproject/activities that support forest harvesting on a large/industrial scale
4. Activity that involves construction of check dam >3m height
5. Subprojects/activities that promote or require pesticides that falls in WHO classes IA, IB, or II and/or procurement of large amount of pesticides or toxic agro-chemicals.
6. Subprojects/activities will not support large- scale clearing of land, dredging of water bodies, undercutting of slopes, replacement of natural vegetation that may cause permanent, irreversible impacts.
7. Any activity that has a significant potential of causing forest fires
8. Any project activity that leads to large-scale soil erosion and siltation of water bodies
9. Any activity that promotes or involves incidence of child labour.
10. Sub project/Activities that would adversely affect cultural sites, places of significance importance and protected historical assets (both living and built)
11. Sub project/Activities that involves the felling of the 'prohibited trees' without a permit
12. Sub project/Activities that seeks to impose restrictions or loss of access to using natural resources, including medicinal plants or those of economic value for livelihoods.
13. Any activities involving use of Asbestos Containing Materials (e.g. Pipes for community irrigation schemes).
14. The introduction of plants, animals or other biological agents known to be, or that could become environmental hazards and disturb the ecological balance of the ecosystem or watershed

15. Activities designed to raise revenue for the group or individuals
16. Activities that are the core responsibility or business of applicant
17. Activities that are within the purview of other legal entities
18. Activities outside Meghalaya

MEGHALAYA BASIN MANAGEMENT AGENCY (MBMA)

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