

PROJECT IMPLEMENTATION PLAN

ON

**BIODIVERSITY CONSERVATION & RURAL
LIVELIHOOD IMPROVEMENT PROJECT
(BCRLIP)**

BY



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Abbreviations

ATR	Action Taken Report
ARR	Action Required Report
BANTA	Best Alternative to a Negotiated Agreement
BCRLIP	Biodiversity Conservation and Rural Livelihood Improvement Project
BD	Biodiversity
BSA	Biologically Significant Areas
BSF	Border Security Force
CAAA	Controller of Aid Accounts & Audit
C&AG	Comptroller and Accountant General
CBO	Community Based Organisation
CCF	Chief Conservator of Forests
CEO	Chief Executive Officer
CF	Conservator of Forest
CS	Case Studies
CWLW	Chief Wildlife Warden
DDO	Drawing and Disbursing Officer
DEA	Department of Economic Affairs
DFO	Divisional Forest Officer
DRDA	District Rural Development Agency
EAP	Externally Aided Project
EB	Executive Body
ED	Eco-development
EDC	Eco-Development Committee
EIA	Environmental Impact Assessment
EOI	Expression of Interest
FA	Finance Advisor
FC	Forensic Cell
FD	Forest Department
FDA	Forest Development Agency
FM	Financial Management
FPC	Forest Protection Committee
FREEP	Forest Research Education and Extension Project
FSI	Forest Survey of India
GB	General Body
GCA	GIR Conservation Area
GEF	Global Environmental Facility
GIS	Geographical Information System
GOI	Government of India
GOS	Government of State
GS	Gram Sabha
GSA	Group Self Assessments
HH	Household
ICB	International Competitive Bidding
IDA	International Development Agency
IEDP	India Eco-development Project
IFD	Integrated Finance Division
IR	Iconised Reference
IT	Information and Technology
ITBP	Indian –Tibetan Border Police
JFMC	Joint forest Management Committee
KABP	Knowledge, Attitude, Behaviour and Practices
LH	Livelihood
LI	Livelihood Improvement

LRK	Little Rann of Kutch
LS	Landscape
M&E	Monitoring & Evaluation
MCG	Landscape
MGA	Monitoring and Core Group
MIS	Management Information System
MOA	Memorandum of Association
MoEF	Ministry of Environment & Forests
MoF	Ministry of Finance
MOL	Measure of Livelihoods
MTR	Mid Term report
NAP	National Afforestation Programme
NCB	National Competitive Bidding
NGO	Non Government organization
NPC	National Project Coordinator
NPD	National Project Director
NRSA	National Remote Sensing Agency
NTFP	Non-Timber Forest Produce
NWFP	Non-Wood Forest Produce
PA	Protected Area
PCCF	Principal Chief Conservator of Forests
PF	Protected Area
PFU	Project Facilitation Unit
PI	Participation Index
PM	Project Management
PMC	Project Management Cell
PRI	Panchayat Raj Institutions
REE	Research Education Extension
RF	Reserve Forest
RFP	Request for Proposal
RL	Rural Livelihood
RLI	Rural Livelihood Impact
SAR	Staff Appraisal Report
SC	Scheduled Cast
SG	Small Grant
SHG	Self Help Group
ST	Scheduled Tribe
TOR	Terms of Reference
TTF	Tiger Task Force
UC	Utilisation Certificate
VC	Vulnerability Context
VCF	Village Community Fund
VI	Village Investment
VSS	Village Sangrakshan Samiti
VLO	Village Level Organisation
WB	The World Bank
WBR	Well-Being Rank
WII	Wildlife Institute of India
WL	Wildlife

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1. BACKGROUND

India, with a geographical area of 3.28 million sq km is the seventh largest and the second most populous country in the world. India is a mega diverse country, one of twelve countries that collectively accounts for 60-70% of the world's biodiversity.

The richness of India's biodiversity owes it to three unparalleled attributes. The first is her amazing spectrum of ecosystems actuated by the diverse agglomeration of landforms spaced out in a wide range of latitudes and longitudes. Together with a wide array of climatic regimes these present an impressive range of physical environment. Secondly, India lies in the confluence zone of three major 'centres of origin of life on earth or 'Bio-geographic Realms' viz. Indo-malayan, Eurasian and Afro-tropical. The third attribute is India's rich cultural heritage of compassion for all life forms and the longstanding tradition of conservation.

It is no surprise therefore that India with its 2.4% of world's landmass supports 8.1% of world's biodiversity. There are an estimated 45000-47000 species of plants and some 90,000 species of fauna that constitute respectively 11% and 7% of those recorded in the world. At least 166 species of crops that account for about 6.7% of the total crop species in the world and an estimated 320 species of wild relatives of cultivated crops are believed to have originated in India. It has 10 biogeographic zones representing different ecosystems as well as 91 eco-cultural zones, which are inhabited by more than 4500 community groups.

Around 20 percent of the geographical area of the country is covered with forests and many of these forest areas have tribal or traditional communities dependent on forest resources for their subsistence and livelihoods. For such communities the forests are an integral part of their life with important and irreplaceable social and cultural values.

A total area of 155978 km² which works out to approximately 4.74% of the country's total geographical area has been categorized as Protected Areas (PAs). Protected Areas in India have been declared with the primary objective of biodiversity conservation and exclude most activities related to resource extraction and use by local communities. Very few direct benefits of PAs therefore accrue to local communities. The cost of conservation, however, has primarily been borne by such communities (such as depredation of crops and livestock by wild animals, death and/or injury to humans by wild animals, opportunity costs from denied access to use of resources within PAs). This has led to hostility and conflict between local/tribal communities and PA managers, degradation of PA resources due to lack of local ownership and little or no political support for PAs at the local level.

Increasingly, the root causes of this conflict, which arise from the lack of viable alternatives and/or solutions to the issues of local communities, are being realized by the government as well as the conservationists and many schemes that aim to balance the costs and the accrual of benefits of PAs have been initiated. These include development of sustainable livelihoods, sharing of tourism revenues, employment generation, as well as faster and more adequate compensation for wildlife damage. These initiatives are being implemented by the Forest Department as well as NGOs with varying degrees of success.

The mid 1970s through to the 80s and 90s of the last century saw the emergence of new thoughts and practices in the realm of forest and wildlife management in the country. Driven primarily by the realisation that the needs and aspirations of forest dependent communities had to go hand in hand with the demands of nature conservation, practices like the Joint Forest Management were adopted. This, in turn, led to innovative experiments by a few wildlife managers in different parts of the country providing farming and livelihood support and in some cases alternatives for energy and wild bio-resources. They named the

package of such initiatives as 'ecodevelopment'. This had clearly arisen out of a felt need and showed promise.

During the year 2003 in an amendment to the Wildlife (Protection) Act 1972, two new categories of PAs have been created, the Conservation Reserve and the Community Reserve wherein people would have a large say in planning and decision-making.

Following the disappearance of tigers during 2004 from the Sariska tiger reserve and the need for addressing tiger conservation issues elsewhere in the country, the Government of India appointed a Tiger Task Force (TTF) to review the entire situation and make recommendations. As a follow up to the TTF recommendations, during September 2006 the Government of India passed the Wildlife (Protection) Amendment Act 2006 to formally establish the National Tiger Conservation Authority.

During the past few years there is a growing realization that the only way to address security of biodiversity is through large spatial scale of landscapes around PAs and addressing biodiversity conservation through the principles of landscape ecology that considers people and their activities as the cornerstone of landscape conservation. It has been realized that in countries like India where a large number of people continue to depend on forest resources for their subsistence and livelihoods, one of the keys to successful conservation lies in involving local communities in natural resource management. Among the many requirements of sustained involvement are development of economic, institutional and policy incentives in the form of sustainable livelihoods, tenurial security and capacity development.

Clearly Biodiversity Conservation and Rural Livelihoods Improvement Project (BCRLIP) is a felt need that emerges from the past experience and lessons learned.

1.1 PROJECT DESCRIPTION

The Biodiversity Conservation and Rural Livelihood Improvement Project (BCRLIP) visualizes a multi sector and, seemingly antagonistic, multi theme project on a landscape which has often been talked about but not addressed before in a time bound project mode.

A brief foray into the sequence of events in the last few decades in the conservation sector is relevant, as these have led to the recognition of the need of a more inclusive management strategy. It is indeed this recognition that has brought home the need of scaling up conservation-management beyond the PAs to landscape level.

Rural people, particularly the poor and underprivileged, also have found themselves at the receiving end of the shrinkage and degradation of natural ecosystems. Loss of productivity and decline in ecosystem services, especially hydrological cycles and water regime, has impaired the productivity of farms and pastures and undermined the availability of NWFP(non wood forest produce), making life difficult for those dependent on these resources for subsistence and livelihoods. The root causes for marginalization and impoverishment must indeed be seen in the all pervading degradation and the exploitative mechanisms implicit in the long standing power structures in society. This adversity impedes the conservation of biodiversity and wildlife as it does the wellbeing of the people living in and around forests and non-forest natural areas. The adverse environmental impacts are manifest in denudation, decline in aquifer recharge and augmented severity of droughts and floods.

Scaling up management to 'landscape' level if properly implemented is expected to facilitate overall development in two ways. Firstly it will enable forest department to rationalise management on a larger canvass so as to secure biodiversity and also ensure sustainable availability of bio-resources to the needy,

particularly the subsistence dependent. This would afford options for provisioning livelihoods that if dependent on forests are sustainable, as well as others capable of reducing unsustainable dependence. Having taken care of the needy in this manner, strict regulation and if needed enforcement can be used against those who pursue profits at the cost of biodiversity and ecological security. A larger landscape canvas will enable the much needed convergence within the forestry-wildlife sector in terms of rational use of forests and other natural land, leading to better conservation and production. This can be achieved by rationalised management zoning based on biodiversity significance and livelihood facilitation.

Secondly it will afford an opportunity to the forest-wildlife sector to stand as a development-agency in the company of other line agencies by dint of better provisioning of not just bio-resources but also livelihoods. Supported by meaningful awareness measures it will enable a better understanding of the natural area functions and the mandate of the forest-wildlife sector in preserving these functions for indirect benefits to the society from local to global level. If also supported at the level of Central and state governments including the national Planning Commission and the State Planning Boards, the landscape approach can bring about better convergence of the development inputs of various government and non-government agencies towards repairing the incongruities in land use and rural development initiatives. This can begin by redirection of current inputs of the different government agencies at the district level and yield quick time results by augmenting the overall development inputs for fostering conservation compatible livelihood avenues. It is emphasized that if the various sector inputs converge in such a manner as to reduce the threats to natural ecosystems, their restored ecological services including water security will significantly enhance benefits to the society at large and to the poor and underprivileged in particular. A key requirement here would be appropriate configuration of the landscape that takes an integrated view of conservation and livelihoods realised through rational management zoning.

The process should indeed lead to a net gain for biodiversity and ecological services also in two ways. One, it will help PA management by reducing pressures and also lead to amelioration of forests and pastures restoring the degraded 'dispersal' habitats in the areas outside PAs. Two with livelihood facilitation for the needy it will foster and forge their stake in the PA and non-PA segments of the landscape in the interest of long term security of conservation and livelihood values.

1.2 THE PROJECT SITES:

The project shall focus on two sites (on a landscape scale) of global and national biodiversity importance in India. These 'landscapes' ranging in area from around 4463 to 6979 sq km consist of one or more protected areas, surrounded by land uses (called 'production areas') which are as varied as non-PA forests, revenue lands, private holdings and human habitations. Each of these forms a viable ecological, socio-economic and administrative unit.

The main effort has been to identify the management needs and objectives of each of the sub-components of the landscape keeping in mind the primary objective of conserving biodiversity while improving rural livelihoods. At present two sites have been identified and a preliminary assessment carried out for implementation of this work. An additional two sites will be decided based on various priority exercises carried out in India to identify critical and vulnerable protected area and its surrounding Landscapes.

The two sites have been selected on the basis of the following criteria:

- Biodiversity values (e.g., biological representativeness, biological uniqueness, biodiversity richness, ecosystem value and functions, etc.),

- socio-economic values (e.g., economic value, socio-cultural value, scientific value, etc.) and
- conservation feasibility (e.g., protection status, level of threats, size and ecological vulnerability, management capacity and commitment to conservation, and new models of participatory natural resource management of state governments and local communities, etc.).

A Map on the following page shows the two sites at a glance and a Table provides their basic area details:

Project sites at a glance

S N o	Land- scape	State	Area (sq km)	Administrative Units (no.)			Villages in the LS		Human presence in the LS	
				PA	FD	Dist	Total Villages	Target Villages	Total HH	Target HH
1	Askot	Uttarakhand	4463	1	1	1	129	85	14010	5757
2	LittleRann Kachchh	Gujarat	6979	1	8	5	108	75	52634	32790
	TOTAL		11542	2	9	6	237	160	66644	38547

PA=Protected Area, FD=Forest Division, HH=Households.

1.3 BIOLOGICAL ASSESSMENT AND BRIEF DESCRIPTION OF THE LANDSCAPES:

1.3.1 Little Rann of Kachchh (LRK) Landscape

Little Rann of Kachchh (LRK) is a unique landscape comprising saline mudflat and marshes, which in monsoon gets transformed into a very large seasonal wetland proving a haven for the migrant avifaunal and invertebrate diversity. The Rann is the only stronghold for the endangered wild equid subspecies *Equus hemionus khur* in Asia. During the monsoon the seasonal wetland charged by freshwater inflow and ingress of seawater teems with plant and animal life. It becomes a major marine nursery for the famous endemic “Kachchh Prawn” and a feeding ground for numerous fish and invertebrate species. This large saline mudflat has been the traditional breeding ground for the lesser flamingo since 1893. It lies in the migratory route of a large number of bird species and draws a host of waterfowl and demoiselle and common cranes.

The entire landscape can be divided into five or four major physiographical entities:

The saline flat land -the Little Rann. The soils are heavy and contain high quantity of sodium salts and gypsum. It is this sterile salt soaked plain that gives it the name Rann. Several ephemeral rivers like the Machhu, Brahmani, Kankavati, Umai, Fulku etc. from the south; the Rupen and Saraswati from the east; and Banas from the northeast- drain into the Ranns during the monsoon.

Sandy or rocky and salt free higher grounds amidst the Rann- the bets and Dhasis. Out of 74 such bets, Pung is the largest and Mardak is the highest ones. The monsoon rains flood the vast flat area of Rann to a depth of about 0.5 to 1 meter. During the monsoon, the bets are the only areas in the Little Rann which are above flood level.

The saline & sandy transitional area between low lying Rann & the village uplands –the fringe. Undulating, sandy or rocky village uplands where large areas are either under rainfed cultivation or common property lands including low productive pasture lands (gauchars or revenue wastelands)

Tidal creeks in Gulf of Kachchh which get extended upto south-western part of Little Rann. Area of Little Rann reflects very high degree of seasonal dynamics and represented in either dry or wet phases. The physiographical diversity of the landscape coupled with seasonal dynamics of dry and wet phases of Rann; create mosaic of habitats for different wildlife species.

Climate: The climate is tropical monsoonal and recorded wide fluctuations in inter and intra-annual temperatures and rainfall. In general terms, the landscape recorded the regions with arid and semi-arid climates. In the entire landscape, the average annual temperature hovers between 12oC in winter to around 44oC in peak summer. Inside the Little Rann of Kachchh area, temperature sometime reaches as high as 50oC and also drop below freezing point. The evaporation rate is considered as one of the highest in the country.

The geology and soil of LRK landscape need to be described in two distinct parts: the one specifically associated with the Little Rann and the other with the peripheral mainlands. According to Merh and Malik (1996) in geological time-scale the Rann was part of Arabian Sea. However, combined effects of continuous seismicity related tectonism, withdrawal of sea and inflow of large quantity of silts by many major rivers like Banas, Sarawati and Rupen, slowly filled and raised the sea surface, giving the landform of Little Rann of Kachchh. Because of the excessive salinity and long dry spells, the sediment of Rann show poor development of organic life. Further, when the Rann gets flooded with rain water, the coarser fluvial sands and silts are deposited at the mouths of the inflowing streams and rivers, while the fine sediments are carried further into the Rann to mingle with marine sediment of inter-tidal mud-flat.

Drainage: As described earlier, while the landscape is quite flatter in Rann area and thus without any distinct drainage pattern, the surrounding uplands have many seasonal rivers and streams, which drain their water in the Rann area. In the eastern side, important rivers include Banas, Rupen and Saraswati, while ephemeral rivers like Machchhu, Brahmani, Kankavati and Fulku merge with Rann on its southern boundary. The western and northern-extended parts have many smaller, ephemeral rivers and streams e.g. Ranotar and Dabhodanwari. The rain water collected in the Rann, drains out in Gulf of Kachchh through Hadakiya and Chachchh creeks.

Bio-geographically, the LRK landscape is a confluence zone of three major Biotic Provinces (Rodgers and Panwar, 1988) (a) 3A-Kachchh Desert (b) 4B- Semi-arid Gujarat-Rajwara (c) 10A-West Coast.

In order to understand the range of biological diversity in the landscape, identification of biologically significant areas (including the important sites and vital corridors and linkages) and major threats therein, three pronged approach was adopted: (i) wide spread consultations with subject experts, local naturalists, forest department officials, wildlife researchers and local community representatives (ii) review of existing literature on biological aspects of the landscape, and (iii) limited field surveys to validate few important information.

Vegetation and Forest Types: In general, the vegetation is very sparse and controlled mostly by the salinity gradient and the soil type. Barrenness is widespread and found in the form of saline desert, stony and rocky areas, sandy patches etc. *Prosopis juliflora* is the most widespread plant species in the entire landscape and forms dense thickets. In certain areas a few other hardy species like *Suaeda*, *Tamarix*, *Salvadora*, *Capparis* etc. also found in good number and forms different associations.

Although seasonal succession processes are not well documented for the LRK area, certain paths are explained by Shah (1993) and GEER (1999). Accordingly, the hyper-saline Rann get rejuvenated with life only when it gets waterlogged during monsoon and many phytoplanktons and algal species colonize the water. More than 100 species of phytoplankton were reported from the landscape. This rich diversity of phytoplankton provide food item for more than 25 species of zooplankton and many more species of fish and prawns (GEER, 1999). In bets and fringe areas, the ecological succession is mainly controlled by the level of soil salinity, and grazing and life traits of plants. Accordingly, Cyperus and Scirpus species are the early colonizers on the low lying Rann having higher salinity and clay content.

Flora and Fauna: Vast extent of saline mudflats has no vegetation, except on the fringe and Bets. Majority of ground vegetation is ephemeral which actively grow with the onset of monsoon and gets dried subsequently. During the GEER Foundation survey in 1999, 253 species of plants were collected from the LRK landscape.

The Rann fringes and the bets are the most critical habitats that support good diversity of wildlife. Important large mammalian species in the landscape include Wild Ass (*Equus hemionus khur*), Chinkara (*Gazella bennetti*); Black buck (*Antelope crevicapra*), Nilgai (*Boselaphus tragocamelus*), Wolf (*Canis lupus pallipes*), Fox (*Vulpes bengalensis*), Jackal (*Canis aureus*) and Desert cat (*Felis sylvestris ornate*). Globally threatened Caracal (*Felis caracal*) is also reported from the landscape. However, important small mammals include Porcupine (*Hystrix indica*), Indian Pangolin (*Manis crassicaudata*), Pale Hedgehog (*Paraechinus micropus*) etc.

Wild Ass

Wild Ass is the 'flagship' species of the landscape. Historically, Wild Ass was distributed widely in the arid zone of north-west India including the Pakistan. Today, the wild ass is more or less restricted to the Little Rann of Kutch. Recently these animals are dispersed out towards the GRK in the north and south-east of the LRK to the Bhal region- another saline flat tract.

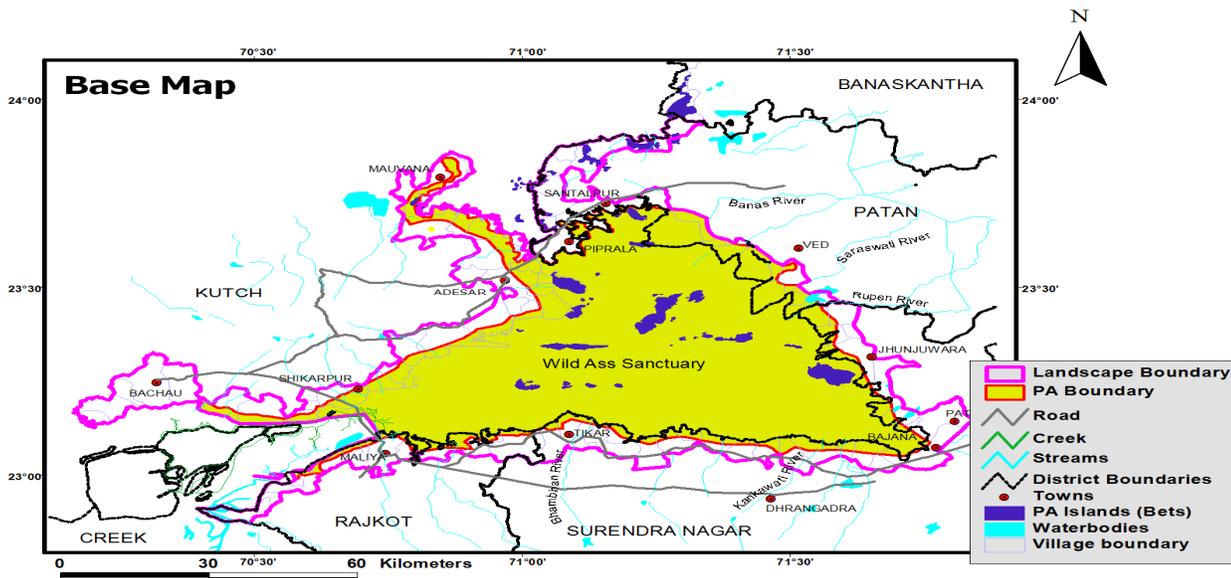
According to the available records, the wild ass population reached to a count of 362 in 1963 which can be attributed to the outbreak of epidemic (i.e. African horse sickness) between 1958 and 1963 (GEER 1999). However, population start recovering from that lowest point and reached to about 3863 animals in 2004.

According to IUCN/SSC- Equid's Specialist group, the population of wild ass in the LRK landscape needs to be well above 2500. While, the present Wild Ass population reached to that point, quite a large number of animals are dispersed to long distances outside LRK and reached upto Pakistan border in north and Bhal region in the south. According to last wild ass census (2004), more than 650 wild asses were recorded beyond 10 km of the WAS. A family band of about 25 individuals was reported in the north-eastern part of Nal Sarovar. These wild asses had been in this area since last 20 yrs (RFO, Nal-Sarovar- Pers. Comm.). Conclusively, the population trend of the wild ass suggests that the wild ass population is growing exponentially and the increased animals are dispersing and occupying different habitats well beyond the LRK. That most of the outwardly dispersed animals invariably raid the crop fields to meet their food requirement. This is one of the major issues of human-wildlife conflicts in the entire landscape. Within LRK, wild ass predominantly uses bets, fringe and Rann areas, suggesting their importance and critical roles in the life-cycle of wild ass.

Habitat Diversity: Based on the surveys conducted under this study, consultations with different stakeholders and review of literature, a detailed classification of wildlife habitats was made. Accordingly, more than 35 wildlife habitats could be delineated from the entire landscape. This many types of habitats

were formed mainly due to broad physiographical differentiations and strong seasonal dynamics, especially in the Rann area (dry and wet phases). The classification suggests that while at coarser level habitats in the LRK landscape seems quite homogeneous, yet at finer level the landscape showed very rich diversity in the habitats. These habitats while supporting various flora and fauna, including many rare and endangered species, also provide ample opportunities to extract various benefits for local communities.

LRK LANDSCAPE



The area is heavily used by humans and is responsible for the production of 31% of the country's inland salt. There are 108 villages with about 52634 families (2.5 lakh human) and 2.6 lakh livestock population in this landscape. Salt making, agriculture, livestock rearing and seasonal fishing are the major economic activities in this area. Occupational calendar suggests that fishing in seasonal wetlands and salt-making activities in the Rann area are non-overlapping activities. Therefore, there are quite a large number of households who are engaged in both the activities. Majority of agriculture is rain-fed. Livestock rearing is mostly free grazing with some supplementing from crop residues. Other than resident livestock population, a large number of migrant livestock also visits the area en route better grazing areas in South Gujarat, the Great Rann Kachchh and Rajasthan.

1.3.2 Askot Landscape

The landscape of very high biodiversity values is an amazing agglomeration of diverse biomes governed by a successive regime of bio-climatic conditions created by a wide range of altitudes (500 m to over 6900 msl) and diverse landforms with a number of glaciers feeding major rivers that meet the Kali forming international boundary with Nepal in this Himalayan tract. Starting with subtropical sal (a dipterocarp), the biome diversity covers temperate and cool-temperate biomes with a rich mix of conifer and broadleaved forests, and moves on through sub-alpine and alpine Betula and Juniper tree-scrub with extensive alpine grasslands to snow bound peaks with concomitant numerous glaciers, beyond which lies the nival trans-

Himalaya cold desert linking up with the Tibetan plateau. The river valleys in their temperate and sub-tropical course also have distinct bio-climatic variation resulting in a great diversity of arboreal orchids. Askot has over 2600 vascular plants, over 250 birds and 37 mammals, among them the snow leopard, black bear, Himalayan thar, bharal, musk deer, goral, serow, sambhar and barking deer. The diverse pheasant diversity itself has a number of species, among them snow cock, Satyr tragopan, monal, koklas, kaleej and cheer pheasants. A wide range of NWFP such as herbs, honey, fruits and food plants, lichens and a larva (*Cordyceps sinensis*) that gets infected by a fungus and thereby acquires as a high value Chinese medicinal value.



Climate: Sharp variation in altitudes in the tract plays a greater role in determining climatic factors in the landscape, and in combination with terrain, shapes peculiar micro-climatic attributes in different locales. To add to the diverse conditions that such a range of altitudes produce, is the landscape's special bio-geographic location on the east-to-west (longitudinal) transition zone of the flora and fauna of Himalaya, and its proximity to Tibet, that enables it to share characteristic elements and affinities of all three. The Askot landscape is the converging point of the Western Himalaya, the Central (Nepal) Himalaya, and the Trans-Himalaya (Tibetan-Palaearctic) transitions. All three bio-geographic zones represent distinct habitats.

The varied combination of altitude and aspect of each mountain slope, also expose it to different number of hours of sunlight and intensity of solar radiation. Unique combinations of these, and other factors such as severity of slope, varying soil depth and moisture regimes, produce very diverse habitats within a small geographic area, for both plant and animal species that have specialized to occupy specific niches.

Rainfall is quite variable in this area. Averaging below 200 cm annually in the lower reaches of these valleys, the areas in the Greater Himalaya zone here, for example the Panchachuli basin on the western flanks receives as much as 300 cm of torrential rain. The upper Trans-Himalaya reaches of these valleys, on the other hand, are in the rain-shadow, and comprise an arid cold-desert area that receives less than 15 cm of rain annually. This is excluding the precipitation in the form of snow in winter. Snow at the high altitudes is heavy and wet, and unlike other places in the trans-Himalaya where dry snow is blown away by strong winds, it accumulates up to the roofs of the alpine habitations, making it necessary for people to migrate with their livestock to lower villages in the montane belt in early October. Avalanches are a regular phenomenon, as witnessed by the huge compacted cones of avalanche debris along many gorges, forming snow bridges across the rivers at many points that can sometimes remain un-melted till the following winter.

The land tenure and land-use configuration in the landscape is interesting. Reserve Forests cover only 5.9% of this very bio diverse landscape. Van Panchayats, or Village Forests managed by Village Forest Councils cover 46.42% of the landscape, and hold some of the most pristine areas of highest biodiversity values. Just three high-altitude villages; Kuti, Shipu and Ralam together hold 799.39 square kilometers of Sub-alpine, Alpine and Nival landscape, way exceeding the notified area of the Sanctuary. Agriculture land comprises only 2.31% of the landscape. Significantly Civil and Soyam Revenue lands comprise 45.30% of the landscape. The RF Blocks in the Sanctuary, and in the landscape (5.9%) as well are fragmented, and lie within the Sub-tropical and Warm temperate life-zones with only a very small proportion of them falling within the cold temperate and Alpine zone.

Agriculture related biodiversity: Although agriculture land covers just 2.3% of the project landscape and though landholdings are marginal and fragmented, there is rich crop diversity in the landscapes. 211 different local varieties of food crops were identified as grown in the landscape¹, of which 105 can be classified as cereals or pseudo-cereals, 21 pulse crops, 10 oil-yielding plants, and 10 species. 41 varieties of paddy (*Oriza*) are grown here, of which 31 are upland varieties not requiring field flooding. 20 varieties of wheat and barley (*Triticum*) are grown and 14 varieties of Finger millet (*Eleusine coracana*) apart from 5 other millets from the *Panicum* and *Pennisetum* genus. Almost 31 different vegetables and 31 fruits plants are millets from the *Panicum* and *Pennisetum* genus. Almost 31 different vegetables and 31 fruits plants are grown (refer lists attached). Many plants from the wild are also eaten and are mentioned in the list of plants of economic value that is also attached. Villages located above 1800 meters do not cultivate more than 7-8 varieties of vegetables in a year due to the short growing season but they use 10 to 12 different wild plants as vegetables. Liquor is made from 4 types of cereals namely koni (*Setaria italica*), barley, millets and buckwheat. The equivalent of staple cooked as rice are paddy, setaria, amaranth and roti and its equivalents are made from wheat, maize, barley, triticum, millets and buckwheats.

Some varieties of crops existing in the project landscape are of particular interest in the context of forest dwelling or forest-proximate communities. Varieties are sometimes progressively selected for considerations such as productivity, resistance to uncertain rainfall, but also for pest resistance (a species of wheat, for example, that macaques and langurs find difficult to eat because of a very spikey ear-head), taste, colour, nutritive value, suitability to climate and maturing time. *Setaria*, amaranth, barley, triticum and the millets are gradually being cultivated and eaten less by local populations, often driven by the perception that eating such traditional crops is socially and economically inferior.

Protected Area: The Askot Musk Deer Sanctuary in Pithoragarh District of Uttarakhand was set up in 1986, vide Notification No. 96(1)/14-3-30/84 dated 30.7.1986. The Askot Sanctuary was unusual in at least two respects. One that it encompassed a very large range of altitudinal gradients, from about 560 msl to 6,904 m at the summit of Panchachuli II. Two, that it included a very large number of villages (111 villages), a town (Dharchula), and a Military Cantonment within its boundaries.

There is another aspect that is worthy of mention here. While the area notified under the Askot Sanctuary is 600 square kilometers, the actual area that is demarcated as per the boundary description in the notification covers about 2,901 square kilometers. This was discovered and highlighted by the Himalaya Region Project of the Foundation for Ecological Security after they had done a large-scale exercise mapping the configuration of Van Panchayat Forests, Reserve Forests, Protected Areas, and Civil and Soyam land in the Greater and Trans-Himalaya areas of Uttarakhand. On investigating as to how this could have happened, it was discovered that neither the Van Panchayat Forests, which comprise about a third of the area under the Sanctuary, nor the Civil and Soyam land, which comprise almost 57% of the area, had actually been mapped to scale in the cadastral mapping system, and that the area in the land records (Non-ZA Khatauni) was a notional figure. These figures seem to have been used from the Tehsil land records.

It is also interesting to note the distribution of land-use categories under the 2,901 sq km presently being administered as the Askot Musk Deer Sanctuary:

Reserve Forest Area:	9.86%
Van Panchayat Forest Area:	29.54%
Civil and Soyam Land Area:	56.88%
Agriculture Land Area:	3.55%
Rivers and water bodies:	0.17%

1.4 PROJECT OBJECTIVES:

The project development objective is to enhance institutional capacity for integrating sustainable livelihoods and biodiversity conservation at the landscape level. This is to be achieved by improving policies, tools and methodologies, knowledge and skills for developing multi-stakeholder partnerships that support mainstreaming of biodiversity conservation objectives, improving rural livelihoods, enhancing learning and replication of successful participatory conservation models, and improving cost-effectiveness and sustainable funding for conservation of biodiversity at the landscape level..

The Project Global Environmental Objective is to enhance the conservation of globally significant biodiversity and ensure its long-term sustainability by promoting appropriate conservation practices in biodiversity-rich landscapes. This will be accomplished by targeted interventions in and around protected areas as well as changing management practices in intervening production landscapes and eco-sensitive sites.

1.5. KEY INDICATORS OF SUCCESS:

The key outcome indicators anticipated from the project are the following:

- 4 lakh ha. of land in conservation lands more effectively managed
- At least 50,000 ha of targeted production lands across two demonstration landscapes are managed for conservation outcomes and sustainable livelihoods
- An institutional and methodological framework for integration of conservation and sustainable livelihood goals fully developed and applied through demonstration in two landscape sites.
- At least 3 new sites/landscapes adopting conservation best practices that emanate from the project;

1.6 PROJECT PHASING:

The project will be implemented in two phases. Phase I will include support for knowledge management and development and testing of conservation approaches in two demonstration landscape sites. Phase II will support a broader national capacity building program and support for further testing and demonstration of landscape conservation approach in two additional sites based on experience and capacity constraints for landscape conservation. Phase II activities will start in Year 3 of the project, and project support to the additional landscapes would be contingent on the achievement of agreed performance outcomes and criteria. The two additional landscape sites will be identified when there is a clearer indication of gaps and opportunities for further testing of landscape approaches. The preparation of Phase II components will be initiated in the first year of implementation of the project.

Project activities would be sequenced based on their readiness. The project will start with support for two demonstration landscape sites that have already met agreed qualifying and readiness conditions² and the field-based knowledge management component. Subsequently, two additional landscape sites that meet the qualifying and readiness conditions and a national capacity building component will be financed. The preparation of the additional landscape sites and national capacity building components will be initiated in the first year of the project and expected to be funded from the third year onwards.

2. PROJECT COMPONENTS

The Project supports three complementary components that are aimed at improving institutional capacity for strengthening and mainstreaming conservation outcomes and improving local livelihoods across two globally and nationally important landscapes under different management regimes and its replication elsewhere in the country.

The project will be initially implemented in two landscape sites in different bio-geographic zones of the country. The sites were selected on the basis of the following criteria: biodiversity values (e.g., biological representativeness, biological uniqueness, biodiversity richness, ecosystem value and functions, etc.), socio-economic values (e.g., economic value, socio-cultural value, scientific value, etc.) and conservation feasibility (e.g., protection status, level of threats, size and ecological vulnerability, management capacity and commitment to conservation, and new models of participatory natural resource management of state governments and local communities, etc.). Each landscape unit contains a mosaic of land uses, but typically would include one or more protected areas that are interspersed with reserved and production forests, agricultural lands and human settlements, and other forms of land use, that collectively form a viable ecological, socio-economic and administrative unit. The two landscape sites are: Rann of Kutch/Wild Ass Landscape in Gujarat and Askote landscape in Uttarakhand. In addition, three sites, namely Periyar Learning Center in Kerala, Kalakad Learning Center in Tamil Nadu and Gir Learning Center in Gujarat will receive support as centers of learning and excellence to support the scaling up and replication of the lessons and experiences from the two demonstration landscapes and other conservation initiatives in the country, including the concluded GEF/IDA Ecodevelopment project.

Component One: Demonstration of Landscape Conservation Approaches in Two Pilot Sites US\$ 13.84million. This component will focus on skills, capacity and knowledge to better integrate sustainable conservation and livelihood outcomes at the landscape level in two pilot landscapes (Little Rann of Kutch in Gujarat and Askote in Uttarakhand). Lessons from the two pilot sites will feed into the development of the national capacity component (Component 2). The outcome of Component 1 would be sustainable management of natural resources at the landscape level. This component will have four complementary activities.

a) Participatory Biological and Socio-Economic Mapping of the Landscape Units: The first step towards improving understanding of biological values and resource dependencies and threats in the landscape would be: (i) biological mapping to identify areas of high biodiversity and conservation value within the landscape, including key dispersal corridors; and (ii) overlay of socio-economic information to identify resource dependencies and threats and 'hot-spots' or locations for targeted interventions under the project. This exercise will also help appropriate management options for the high biodiversity areas and provide information that could guide project investments in conservation management and livelihood. Under the sub-component, the project will support consultancies for mapping, and training and stakeholder consultations.

b)Strengthening Conservation Management Planning in High Biodiversity Areas: This sub-component will support the revision of management plans of protected areas within the landscape to integrate ecological and sustainability considerations with land use and social needs, and boundary rationalization and biological corridor management to appropriately cover ecosystems in addition to species. Management planning will be undertaken in a consultative manner with local stakeholders and facilitate the resolution of boundary disputes. The project will support the testing of different approaches for participatory management of ecosystems and habitats within protected areas and conservation corridors and other biodiversity important areas involving local stakeholders, as appropriate. It will improved communications and visitor management, monitoring and assessment of ecological and social impacts.

c)Mainstreaming biodiversity Consideration in Production Landscapes: In order to facilitate the integration of biodiversity considerations in buffer zones and production areas within the landscapes, at he project will support dialogue and capacity development to facilitate common agreement and framework for cooperation in biodiversity conservation, and support studies and technical assistance to facilitate integration of biodiversity considerations in sector plans of development agencies (e.g. forestry, fisheries, agriculture, irrigation, infrastructure, etc). This component will also support studies on valuation of ecosystem service from specific landscape units to promote better understanding and appreciation of the contribution and relevance of biodiversity conservation and protected areas to regional development agendas.

d)Improving Participatory Conservation and Livelihood Outcomes: The project will build on existing participatory models of conservation and support the incorporation of rural livelihood interventions around protected areas, critical hotspots and corridors within the landscape. Building on the information generated from the biological and socio-economic mapping, this sub-component will support the preparation and implementation of participatory village –level microplans plans that prioritize potential investments for improving sustainable use of resources and improving local livelihoods improvements will be facilitated by planning teams, training, technical support for livelihood and income generation activities, and participatory community monitoring to validate investments and reciprocal commitments to conservation, and documentation and dissemination of good practices.

Component Two: Strengthening knowledge Management and National Capacity for Replication of Landscape Conservation Approaches: US \$5.80 million. This component will support improved knowledge and capacity development building on learning and experience from the two demonstration landscapes (Component 1) and other local conservation models (including the previously funded GEF/IDA Ecodevelopment project). This component will have two sub-components.

a) Improving knowledge and capacity through Field Learning Centres: This sub-component will support the development of field learning centres at Kalakad, Periyar and Gir to provide hands-on training (including to staff from the two landscapes sites in Component 1) through study tours, exchange assignments and workshops and supporting documentation and dissemination of conservation best practice. These three sites have developed good experience, best practice and capacity through previous donor and locally funded programs and hence can be great value in extending learning and expertise to participants in other biodiversity rich landscapes. The field learning centers will be supported through additional specialized training for improving teaching skills, development and preparation of teaching materials and field guides, limited teaching equipment and operating costs. Each of the three centers will specialize on specific topics based on their exiting experience and skills. The Kalakad Training Center will focus on community mobilization and microplanning, participatory

monitoring, management of self help groups. The Periyar Training Center will primarily support training in community institutional development and organization, sustainable financing for protected areas and community livelihoods, private –public cooperation. The Gir Training Center has expertise in regional planning and multi-sectoral coordination based on experience in the Greater Gir Landscape.

b) Improving National Capacity for Landscape Conservation: This component will be implemented through the Wildlife Institute of India (WII) to facilitate the promotion of landscape conservation approached nationwide. This sub-component will support distillation of lessons from field and learning sites; curriculum development; new training courses for policy makers, senior and mid-level forestry and wildlife staff, ranged forest officers and other development sector agencies to build capacity and support for landscape conservation, and development of operational manual and guidelines for landscape management. Trainees will be selected from priority high biodiversity landscapes within at least five of the ten biogeographic zones in the country, to build skills and promote uptake of landscape conservation with national funding. WII will establish close linkages with the here field learning centers and two pilot landscapes to courses will supplement current WII training models on protected area planning wildlife management. This sub-component will also support documentation of best practices regional workshops and international study tours for WII and landscape level staff.

Component Three: Scaling Up and Replication of Successful Models of Conservation in Additional Landscapes Sites: US\$7.79 million. This component will include support for scaling up of successful model of landscape conservation to additional areas from Year 3 onwards, with and without project support, building on, and expanding experience from the initial two demonstration sites. Two additional sites will receive project support and it is expected that other capacitate sites will replicate landscape conservation approaches utilizing Government of India and State conservation funding. The additional landscape sites will be selected on the basis of the following criteria: biodiversity values, level of threats, conservation feasibility and level of political support and state readiness³. The design and preparation of the two additional landscape sites will be completed by the end of Year 2 of the project for which consultancy support will be provided through the project.

Component Four: Coordination for Landscape Conservation: US\$ 3.09 million. The component will support the coordination of landscape conservation at the Ministry of Environment and Forests (MOEF). Activities to be financed include: establishment of Management Information Systems for Project and landscape monitoring, impact evaluation, and limited operational and technical support to enable MOEF to coordinate and administer the implementation of project activities and facilitate its replication elsewhere in India. This component will also support the preparation of the two additional landscape sites for project support (Component 3). It will also support the establishment of national communication system for the project, policy and legal studies relating to conservation, impact assessment and review and third party monitoring of the project. It will also support efforts to facilitate the convergence of existing and potential funding sources for conservation in India in support of promoting landscape conservation action in India.

3. Procedures for Implementation of Project Components

3.1 Component 1: *Demonstration of Landscape Conservation Approaches in selected pilot sites*

This component will focus on developing, testing and refining tools, knowledge and skills for improving biodiversity conservation outcomes in two demonstration landscapes (Little Rann of Kutch in Gujarat and Askot in Uttarakhand). Each landscape unit contains a mosaic of land uses, but typically includes one or more protected areas that are interspersed with reserved and production forests, agricultural lands, human settlements, and other forms of land use. They collectively form a viable ecological, socio-economic and administrative unit. Both these landscapes form a heterogeneous land area composed of a cluster of interacting stands (patches) or ecosystems that are repeated in similar form and also reflect the totality of physical, ecological and geographical entities, integrating all natural and human induced patterns and processes. Each landscape has been assessed for its conservation needs in the context of livelihood security of resident communities, the existing institutional and legal framework and potential to absorb investments.

The outcome of Component 1 would be the development and application of an institutional and methodological framework for integration of conservation objectives within the demonstration landscapes. Such a framework would evolve through the development and testing of a sequence of steps and actions that are aimed at development of appropriate tools and methodologies for improving the management of conservation areas within the landscape. These steps and actions are described below, along with their institutional arrangements:

3.1.1: Conduct of Secondary literature search on both the landscapes

The secondary literature search will focus on two aspects

- I. Biological values and the ecological importance of the area – Information from documents like the gazetteers, working plans, management plans, survey reports and any studies done by WII or any other university in these landscapes. This work will be contracted out to a conservation biologist or a wildlife biologist.
- II. Planned/proposed development activities like infrastructure, welfare schemes, PRI level activities in the landscape.- Data to be compiled from each district, block and panchayat office. In addition, Information to be collected from Lead banks within the landscape and regional offices of the MOEF. A social scientist and a village or town planner or a regional social science institute will be contracted for this work.

This knowledge bank is to be used as one of the inputs for planning of interventions in these landscapes.

3.1.2: Undertaking Participatory Conservation Mapping of each Landscape

The objective of the landscape conservation mapping exercise is to identify and assign conservation values to individual components of the landscape so as to help determine appropriate management options for these individual components. The landscape conservation mapping exercise will help identify critical areas of biodiversity that lie outside the existing protected areas within the landscape, key dispersal corridors, locations of high pressure and vulnerability, and options for rationalization of protected area boundaries to improve their ecological viability and conservation value. This mapping will provide the basis for defining options for management of resources within the landscape.

This exercise is to be undertaken in a participatory manner involving all stakeholders – district, block and PRI authorities, departments of the government – forest, rural development, mines, water resources, animal husbandry, agriculture, land records office and the local villagers living within each landscape. Stakeholder consultations are critical to understand the nature and scope of development planning and activities that are ongoing and proposed within the landscape and build consensus on the broad objectives of conservation that are anticipated within the landscape. Consultation to be undertaken through informal discussions, workshops, meetings and other communication means.

The tools, processes and techniques for doing this mapping will be the following:

- Prepare baseline maps using 1:25,000 SOI Toposheets of the project area(s)
- Procure satellite imagery of the area and correlate with the toposheet maps.
- Geo reference the maps and create layers – forest areas, pasture lands, grasslands, plantations, roads and railways, agriculture land, water bodies, infrastructure including mines,
- Validate these maps and the status of landscapes on the ground through “ground truthing” of the maps. A sample survey of a few plots within the landscape to be carried out to ascertain the information seen on the map and the imagery is correct.
- Divide the landscape map into different zones as shown in the imagery or toposheet e.g forest area, habitation, river etc., Mark the various forest divisions and PAs on this Map.
- Classify areas with PAs and other forest area with high biodiversity area(s) (from the information based on secondary literature) into high value and other zones.
- Conduct participatory resource use mapping in all villages which fall within or around a 10 km radius of the forested areas for Ascot and all villages for Rann. PRA Techniques like social and resource mapping, transects, seasonal calendars and focussed group discussions with different user groups in the villages to be undertaken. The information on when, what, how and where do the local people collect their resources from to be collated from these exercises
- Use GPS to mark the local resource use boundary of each village and geo reference this on the toposheet maps.
- The proposed development areas to be overlaid into the maps as these will not feature like the existing infrastructure on the maps
- Use this primary data to demarcate areas into appropriate zones. These zones thus demarcated will range from no use conservation areas/seasonal use areas to intensive use for livelihoods.

The participatory mapping of Conservation landscapes is to be contracted out to appropriate institutions. The GIS based work is to be contracted out to an organization with GIS experts, wildlife and social scientists like WII or IGCMC, WWF India.

The landscape level mapping is to be done by a team comprising of the following:-

GIS expert, a geographer, wildlife biologist, social scientist, village representatives, land record officer of representative areas, one representative from an NGO or academic community. Ground truthing to be done by GIS expert, local village representatives, and land record officers.

For the resource mapping at village level, all user groups within the village should be involved in the exercise. Resource mapping to be conducted by field team comprising of an forest guard, social scientist, villagers of each village.

A workshop to be conducted for building the capacity of team members prior to the resource mapping in villages for the local level team on the following topics:-- PRA tools, what do we mean by participatory techniques, how to do SWOT, how to use GPS etc.

3.1.3: Formulation of Level Conservation Management Vision

Based on the results of the conservation mapping exercise, the project will support a conservation management vision and statement for each landscape. This would be prepared through a consultative process facilitated by workshops and meetings. The landscape vision statement will provide (i) a decision support framework for landscape level planning for biodiversity objectives; (ii) integrate multiple landscape level objectives for biodiversity; (iii) understand trade-offs amongst objectives; and (iv) determine 'responsibilities' for objectives among the tenure holders. This sub-component will support stakeholder consultation workshops, meetings and other communication tools, awareness activities and technical assistance to support the development of a landscape planning framework or guidelines.

Three broad steps are to be undertaken for formulation of the Landscape Level Vision:

- a) A series of Panchayat level workshops to be conducted for developing the conservation management vision. The villagers of each village under a single panchayat will be the participants. The following steps to be undertaken in each village level workshop.
 - The information generated through the mapping exercise to be fed back to all stakeholders by using maps and charts. {ensure that all resource user groups, especially women are part of the process}
 - Participatory situation analysis to be carried out: This is one of the critical elements and needs to be at the planning phase as well as when you need to develop a strategy for the area.
 - Stakeholder negotiation and agreements: This will help us get the stakeholders to agree on the zonation or redefine the zones. This process should be transparent and should lay down each group's interests, expectations, needs, priorities, strengths and weakness. This is very important for reaching consensus which could lead to some compromises and tradeoffs.
 - Conflict negotiation if any:
 - Agreement on zonation of the areas used by each panchayat.
 - Identify uses within each zone and its intensity and extent
 - Identify strategies correlated with each landuse and zonation
- b) Compile all panchayat level strategies/documents/maps to a district level document and a landscape map.

- c) Develop the vision document for each landscape based on the information compiled above. The vision document is to be accompanied by a landscape map demarcated into the agreed zones.

For carrying out all of the above: A team comprising of Sarpanch, local forest officer, a NGO, a women representative of the zilla panchayat will do all consultations with the stakeholders at the Panchayat level.

Capacity building of the panchayat team members to be undertaken to provide them with required attitude, skills, knowledge on PRA tools, negotiation skills, and participant observation techniques.

Another team comprising of Forest officer, Chairman zillaparishad, NGO and SDM is to do consultations with infrastructure agencies and then help the panchayat level teams to compile all the documents together.

The Conservation vision for each landscape is to be written by a team comprising of the one forest officials, one representative from District authorities, a wildlife expert and a social scientist based on the compiled documents and in consultation with the other teams. The final zonation map to be completed by the same agencies, which did the participatory mapping.

3.1.4: Formulation of Conservation Management Plans and Strategy for each zone within each landscape

Depending on the classification of the zones on basis of the consensus above, zonal conservation and management plans to be formulated keeping in mind the zonal use classifications. For each zone, specific steps to be taken are:

3.1.4.1 Revision of Management Plans for High conservation zone, especially for Protected Areas within Landscape

Revision of management plans to be done to incorporate ecological and sustainability considerations, including boundary rationalization, biological corridor management and broadening the focus to cover ecosystems in addition to species.

The following steps to be undertaken for preparation/ revision of a PA Management Plan:

- a. Review the past management practices within and around the planning area and teasing out lessons, both negative and positive.
- b. Undertake the biological/ecological, socio-economic field assessments to upgrade beyond the level gained from the secondary sources and from consultations with subject matter experts and local communities.
- c. Establish the rationale for conservation by identifying specific conservation values rooted in the PA in the following categories-
 - Biological e.g. endangered species/ communities of plants and animals
 - Ecological processes and functions: e.g. catchments capability, water quality, routes of seed dispersal
 - Physical attributes: e.g. hot springs, fragile geological formations, plant and animal fossils
 - Recreational: e.g. significant opportunities for wild animals and birds sightings, natural scenic areas/sites, wilderness experience
 - Scientific: e.g. research opportunities, medicinal plants

- Educational: e.g. conservation awareness programmes, nature education and professional training opportunities
- Economic: e.g. providing insurance for NTFP resources in the surrounding managed forests; limited livestock grazing in consonance with legal provisions; water for drinking, irrigation or generation of hydro power, eco-tourism benefits to local communities
- Others: e.g. i. Cultural- rock paintings, spiritually important sites; ii. Religious- sacred groves, ancient temples, sites of pilgrimage; iii. Historical- sites of monuments and events etc.

d. Carry out boundary marking and do village level consultations to resolve boundary disputes if any

e. Liason with the Forest Rights committee of each Panchayat and obtain copies of claims of rights if any under the Forest Right Act.

f. Identify and define zones within the PA and develop zone specific plans

g. Share information on zone plans with villagers impacting or living within the zone.

h. Obtain suggestions/comments on these plans from local community and incorporate them into the zone plans

i. Develop PA maps on GIS platform

j. Establish mechanisms for regular community consultations and information sharing.

k. Develop procedures for monitoring of habitat within the PA.

l. Identify areas of research within the PA.

m. Identify areas of personnel training and development of capacities of staff and local institutions.

n. Improve staff facilities and amenities for improvement in work efficacy.

A team comprising of the DFO/PA incharge and all range officers will carry out the revision of the management plan. Consultations with local community will be done by respective range officers and a social scientist.

GIS maps, research priorities, monitoring protocols will be developed by a conservation biologist and a GIS expert in consultation with PA incharge.

The main responsibilities of the team is:

- Formulate the draft PA Management Plan (Initial Draft) to include (a) reviewing and documenting existing information (e.g., physical attributes; environmental profiles; project preparation phase socioeconomic profiles of park communities; relevant political, administrative and legal elements; existing infrastructure, staffing and budgetary allocations, etc); (b) identifying potential sources of additional information and all important remaining gaps in baseline information; (c) identifying relevant existing or projected district-level or provincial development programs that may impact the PA directly or indirectly; (d) listing preliminary park objectives and overall mission for local communities participatory feedback to the team; (e) evaluating critical time line research activities and review Terms of References (TORs) prior to contractual action or fieldwork to ensure key issue

are addressed and appropriate methods are being proposed; and (f) drafting a detailed list of specific activities detailing the next steps in the park planning process, including time lines, assigned roles and responsibilities.

- Undertake field surveys, research studies, and community-based socioeconomic assessments and their analysis. This will be used to divide the PA into management zones
- Review of infrastructure material and staffing requirements is required to establish overall financial implications and feasibility of implementing the proposed plan as is, enabling planners to make revisions that better fit projected budgetary and staffing realities.
- Circulate the draft management plan for comments and review especially to WII, district administration, other scientific institutions and panchayat office.
- Organise workshop and several local community meetings to discuss, assess and revise the draft plan, and to build support for PA management actions and strategies.
- Formal Government's approval to be solicited
- Development of implementation schedule of the plan.

Conduct training workshop on park planning and management (including the role of management plans, their formulation, review and periodic revision) in each park, led by the international park specialist with input from senior park staff, drawing on relevant case examples from the general region, and ensuring staff are provided with technical manuals, examples of management plans and other relevant background materials.

The project will support the testing of different approaches to improve ecosystems and habitats, within protected areas and conservation corridors that will be complemented with scientific monitoring to assess ecological impacts of each approach. It will support improved communications and visitor management, as well as opportunity for documentation of conservation knowledge and practices, and outreach and awareness.

3.1.4.2: Update of Working Plans For Production Forests/Areas which may overlap with intensive zones or otherwise:

- The existing working plans or management plans to integrate biodiversity considerations in them.
- Support critical investments for conservation in important production areas, such as production forest areas that are managed for timber, bamboo and non-timber forest products, wetlands that are supporting fishing, grasslands that support livestock grazing, and other biodiversity important production areas.
- Develop site specific strategies for each different production area which would depend on the local circumstances.
- Retain about 20% of the non-commercial species (not of the combined tree density of all species) to substantially maintain the prevailing diversity of the treated area. At present these commercially unimportant non-fruit bearing species are spared from felling only in those patches where trees of favoured species are absent.

- Add components on NTFP removal and record and monitor their extraction.
- Set up/use a existing local community institution to collect/remove NTFP with the reciprocal responsibility for quantitative limits and employing non-destructive (often traditional) methods.
- Identify and recognise 'ecologically significant sites' and important macro habitats e.g. riparian forest-strip or forest swamp and provide for ensuring no removals of lianas/ climbers as well as dead and dying trees and large decaying logs on the floor. Likewise low density dry deciduous forests with shrubs and grass cover on the floor or the 'grassy blanks' should be left alone and not considered for restocking or planting up.
- Provide alternatives where demand on forest resources is huge.
- Develop PA maps on GIS platform
- Establish mechanisms for regular community consultations and information sharing.
- Develop procedures for monitoring of habitat within the Production zone.

The following measures to be incorporated to improve the working plans:

- Spare at least three snags (dead standing trees) and three snag recruits (dying trees) of the largest dbh per hectare equitably distributed from felling needed for shelter by cavity nesting birds.
- Spare at least three den trees (large trees with basal hollows) per hectare as 'habitats' for small mammals, and beehives.
- Leave at least five largest size hollow (economically unimportant) logs/ woody debris per hectare.
- Maintain along major drainages no-disturbance no-activity zone is maintained on either bank, with a width thrice the average height of tallest trees.
- Sandy banks along streams and foreshore areas of the reservoir are protected from livestock movement, grazing and encroachment as they bear nesting sites for reptilians including turtles and crocodilians. These also constitute significant 'loafing' habitats of otter and provide sites for holts or their breeding dens.
- Perennial waterholes and caves are identified recorded and protected against disturbance.
- S. No. i to iv are entered on marking lists and monitored during every coupe inspection and recorded.
- S. No. iv to vii are monitored opportunistically and inspection is recorded.
- Where plantations of commercial and industrial tree species are raised over large contiguous stretches, it is necessary to leave at least 10-20 % area unplanted in strips that connect nearby streams retaining the natural forest undisturbed (higher in species rich forests) in addition to the riparian strips.

A team comprising of the DFO incharge and all range officers will carry out the revision of the working/management plan. Consultations with local community will be done by respective range officers and

a social scientist. GIS maps, research priorities, monitoring protocols will be developed by a conservation biologist and a GIS expert in consultation with DFO incharge.

3.1.4.3: Development of Conservation Zones like critical corridors and other non PA high value areas which can be limited use zones

The project will build on existing participatory models of conservation and sustainable livelihoods of local communities that live within or adjacent to these areas. This component will support the incorporation of rural livelihood interventions particularly in critical hotspots and critical corridors within the landscape.

- a. Carry out detailed data collection at HH and village level especially on socio-economic and resource use parameters.
- b. Analysis and compilation of the data collected. Information generated through this to be used to:
- c. Formulate a conservation and livelihood strategy : (no use/limited use/seasonal use)
- d. Mobilise the community for village level planning
- e. Develop site specific village-level plans
- f. Facilitate the initiation of a process for record and settlement of rights, if any.
- g. Build capacity for community decision making and prioritization of potential alternative options or sustainable resource use/livelihood
- h. Facilitate identification and development of participatory community monitoring of reciprocal commitments to conservation and impacts on biodiversity.
- i. Measurement of monitoring parameters to develop a baseline

The project will finance a range of activities including, project facilitation teams to assist with socio-economic survey and mapping, capacity building of communities for community decision making and conflict resolution, investments at alternative livelihoods and sustainable resource use, monitoring to validate investments and documentation and dissemination of participatory approaches.

3.1.4.4: Integrated and Sustainable Use Planning for Semi intensive zones

- a. Areas and intensity of resource use to be assessed using participatory tools and exercises.
- b. Negotiations and consultations carried out to assess whether the uses can be rotated or managed seasonally
- c. Conservation measures to be developed and conservation incentives designed and provided
- d. Develop site specific village-level plans and facilitate the initiation of settlement of rights and sustainable use of resources.
- e. Build capacity of local community for community decision making and prioritization of potential alternative options or sustainable resource use/livelihood investments at the local level.
- f. Capacity building of users to decide on development issues—how much development is possible??

- g. Identify and develop schedules for participatory monitoring and use of the area
- h. Measurement of monitoring parameters to develop a baseline

3.1.4.5: Integrated and Sustainable Use Planning for an intensive use or multiple use zones:

The following steps are to be carried out:

- b. Measure Intensity of use and Productivity levels
- c. Map and identify multiple users and their rights etc
- d. List out opportunity costs and other input costs
- e. Develop livelihood strategies for sustainable use
- f. List out the planned outputs and revenues
- g. Develop and establish the revenue sharing arrangements
- h. Identify parameters for monitoring and develop schedules for monitoring
- i. Measurement of monitoring parameters to develop a baseline

For each zone within a landscape where resource use is present, a planning team (consisting of a contract ecologist, sociologist, planner, livelihood specialist and social mobilizers) to be constituted to provide technical and planning inputs for implementation of project activities, along with facilitation support from local NGOs, as appropriate.

The team's primary responsibilities will include:

- ❖ information dissemination, social mobilization of the community.
- ❖ Strengthening of local village level institutions and setting up of a Village Conservation Council;
- ❖ Design and conduct biological field surveys as well as social and resource utilization surveys;
- ❖ Map existing user rights and facilitate dialogue to resolve or manage use rights;
- ❖ List out scale and seasonality of specific forms of resource utilization within the landscape including the protected areas (e.g. agriculture, grazing, fuel wood collection, salt mining, fishing, etc.);
- ❖ List number, location and circumstances of the stakeholders utilizing specific resources, and
- ❖ Record customary rights and conflicts in resource use by different stakeholders within the landscapes. In terms of customary rights the mapping would provide information on:
 - location and size of the area and condition of resource;
 - primary users, including those belonging to vulnerable group, that currently use or depend on these common lands;
- ❖ Develop participatory monitoring mechanisms of community and conservation activities; and
- ❖ Facilitate resolution of conflicts over resource use.

- ❖ Coordinate with other development sector partners through the Landscape level Biodiversity Societies or other similar coordinating entities to facilitate integration of development support within the landscapes
- ❖ Plan the social and environmental screening and mitigation action at the village level
- ❖ Ensure communities have access to technical support and capacity development in the implementation of livelihood or resource management strategies.

The main steps to be followed for village level planning is

- ❖ Problem analysis in the context of biodiversity conservation and livelihood improvement.
- ❖ Assessment of threats like poaching, forest fires etc
- ❖ Communicating unequivocal information about the project to village level stakeholders;
- ❖ Compile and share the information base of the area so as to aid in the process of planning
- ❖ Building linkages and convergence with the relevant line departments to implement different components of the micro-plan, seek its implementation and monitor the same
- ❖ Develop the village level conservation and sustainable use and livelihood strategies
- ❖ Organise meetings with individual villages to review the developed strategies.

3.1.5 Procedures and Guidelines for Institutional and implementation arrangements at the local level

The overall institutional arrangements are being designed to ensure integration of conservation objectives and strengthening livelihood security into the landscape plan, implementation and its sustainability.

This entire exercise will have a bottom up approach:

Various teams have been assigned specific tasks which will be carried out by them. However, for ensuring that the teams are supervised and facilitated and also that the strategies and plans are implemented, the following institutional arrangements are to be set up:

At the village level: especially for the village level site specific planning and implementation

A village level body to be set up which would have its executive members comprising of Sarpanch and one member from each village level institution like Village council, VDC, EDC, Van panchayat, FRC etc with atleast 2 women members. The village level body is to be called the Village Conservation Committee and all villagers should nominate one person from each HH as its member. Facilitators like a social scientist, a CSO representative, a forest official should also help VCC in the village level planning.

Households at each village will be organized into user groups; such groups will be collectively responsible for formulation of community-level microplans, prioritizations of investments, ensuring community reciprocal commitments and participatory monitoring of biodiversity and socio-economic impacts. Specific eligibility criteria would help prioritize community level investments and ensure their direct linkage with conservation objectives and reciprocal commitments to conservation. Local and national NGOs with appropriate expertise

would be contracted to assist with microplanning, and capacity building at the community level as well as for independent monitoring of social and economic impacts of the project interventions.

Strengthening of the VCCs and other existing local bodies: Assessment of the interest, capacity and skills of the communities and their institutions to be assessed. This will give opportunity to prepare a institutional profile's. On basis of that provide training in resource mapping, natural resource management evaluation, formation of self help groups, maintaining of minutes of community meetings and basic account keeping and monitoring of resource use.

All the village level plans to be integrated at the panchayat level. This will have to be done by the VCC with the help of local NGO if available, and then get approved by the Panchayat. In case there are no credible NGOs present in the project area, capacity building will be done of a PRI functionary to play the role of a village level energizer and facilitator.

Overlapping or conflicting claims to resources and rights are likely to surface during the participatory resource and social mapping and planning exercises. If such disputes cannot be settled by the planning teams and the concerned VCCs or other local body, the project will pursue arbitration under an arrangement which closely resembles customary conflict resolution. The arbitration function will be performed by the Panchayat in case the dispute is between 2 or more villages of the same Panchayat. Else, Zilla Parishads or District Authorities will resolve such disputes.

The village level planning (i.e. micro planning) is to be undertaken holistically for all the development needs and aspirations of each village and not in the context of conservation only but also those of gender and disadvantaged sections of the society.

All project supported investments must be based on some minimum level of cost sharing by involving local communities

A clear and transparent linkage must exist between improving conservation and sustainable resource use and the proposed investment, so that the village project agreements between communities and local governmental institutions support sustainable practices by creating adequate incentives for local communities to take measurable actions that supports conservation of natural resources and their sustainable use

All project investments, including restrictions on resource access (if any) must evolve through a common understanding and consensus amongst the local communities.

To be eligible for inclusion in the village plans for funding under the project, activities should comply with the following criteria:

Conserve and sustainably use land and other natural resources either directly or indirectly by creating sufficient incentives to commit local people to specific, measurable actions that improve the sustainability of resource use.

Provide equitable share of benefits to local communities and mitigate any negative impacts to women, poor and disadvantaged groups who are currently most dependent on the land

Be socially sound and institutionally feasible ensuring that associated activities are culturally acceptable and do not impose an unnecessary heavy burden on individuals and that local institutional capacity is adequate to organize resource management, distribute benefits from common resources, provide physical

maintenance, meet community agreements to resource use and access restrictions, ensure alternative livelihood benefits to affected members and monitor project impacts

Be low cost and financially feasible so that costs are within local norms, returns are sufficient to compensate for resource use limitations, and, for all investments intended to produce cash revenue or benefits that can be monetized, market linkages are adequate, cash flow requirements are viable, and returns compare favorably with alternative investment options.

Be technically feasible and innovative so that inputs and technical advice are adequate, physical conditions are suitable and the activity is technically sound.

Be environmentally sustainable in support of global environmental objectives

Selected and owned by local communities as ensured by a budgetary constraint mechanism, community contribution or co-financing requirement, and a commitment by the community to bear maintenance costs of any infrastructure component

Be supplemental or incremental in nature to ensure that activities supported under the project are not a substitution for what should be supported by the government as part of their development responsibilities or not of global benefit.

Implementation of Village level plans Activities discussed and agreed with the community would form the basis of the village level plans. Once approved, an agreement would be signed between the relevant village committees and the LBCs for carrying out the proposed activities. With technical support from the planning team and state extension staff, and NGOs, the villages will implement the activities in their individual villages. The planning teams will convene periodic meetings (quarterly) to review implementation progress (including social and environmental compliance and action) and resolve any specific issues arising from project implementation and monitor implementation outcomes and impacts. For all activities funded under the GEF alternative and incorporated in the village plans a separate monitoring sheet will be prepared that will cater to establish firmly lessons of policy relevance.

See annex for how to carry out a village level micro plan

(ANNEX OF SETTING UP AND MANAGEMENT OF VILLAGE COMMUNITY FUNDS)

At the District level: All Panchayat level plans to get consolidated at the Block or the subdivision level. The consolidated plans will then go to the district level and become part of one plan.

All districts have a district level planning committee which is supposed to comprise of one official from each department. This committee is to be revived and all the district level plans have to be reviewed and approved by them. This committee is headed by the DC which will help in integrating the conservation objectives in the district level planning activities. This committee will also function as a conflict/dispute resolving body that will arbitrate conflicts/disputes between communities or villages on access/use of resources.

The implementation of the landscape approach under the project can be further strengthened by capacity building of different line agencies and creating awareness about the value of the landscape approach to them:

Visits of district and field level functionaries of the different line agencies to Field Learning Centres like Periyar, KMTR and GHNP can go a long way in promoting the needed awareness and understanding why such convergence is necessary and how it can be realized on ground.

Some of the activities that the different concerned line agencies can complement are

- ❖ Support agriculture by improved dry farming techniques and choice of crops.
- ❖ Undertake aquifer recharge, water harvesting structures and lift irrigation from rivers and reservoirs in concert with forest department.
- ❖ Support livestock productivity by development of pastures and small fodder farms in a stakeholder user-group mode in association with forest department.
- ❖ Animal husbandry in particular should facilitate concurrent gradual but steady shift to smaller number of more productive livestock.
- ❖ Lake, reservoir, river, Rann fisheries should favour first the subsistence dependent fisher folk and release them from fish traders operating as loan sharks.
- ❖ Take up focused enhancement of education, public health and family welfare programmes as well as infrastructure development.
- ❖ Consolidate and strengthen transparent and democratic institutional structures with a bias for the empowerment of women, tribal and land less.

At each landscape level: Landscape Biodiversity Societies (LBS's) or other Foundation or Societies, as appropriate, to be constituted to facilitate the integration of district level plans and project activities in the overall development strategies and activities in the two landscape sites. LBS will liaise with other government agencies and development agencies active in the landscape to coordinate project implementation and access resources from other programs. LBS will also be responsible to ensure that development activities within the landscape are in harmony with the conservation focus within the landscape, and complement project activities.

Landscape Biodiversity Societies will comprise of a senior forest official, PA incharge and , District collector, local community representative and NGO representative???

There is a clear need and scope for ensuring convergence of different line agency programs. A greater awareness and understanding of ecological services and bio-resources provided by the landscape are critical for the well being of the people of the landscape is needed. Different line agencies including the forest department as well as NGOs must be made aware on the benefits from natural areas are essential for the welfare of the local people for whom they themselves are mandated to work. The transition to re-organizing development at the landscape level, however well justified, is but essentially a matter for a policy shift at the state government level with the full involvement of the state planning board and the concerned state line departments. The project can play the role of a catalyst through promoting among the different line agencies an awareness of the merit of the landscape approach and the means of realizing it by a judicious redirection of their ongoing activities. The project implementation arrangements through the landscape societies must seek to ensure convergence of at the state to district and village levels.

All management arrangements and community livelihood investments at the local level to be detailed in a legally binding Memorandum of Understanding (refer Annex ___ for draft MOU between local community

institutions and BCRLIP Society) between the local institutions (such as the Village Council, Gram Panchayat, Van Panchayat or similar active institution, as appropriate depending on the situation within each of the landscape sites).

Local people would contribute to the costs of regular village microplan investments, including community oriented activities, to be deposited in a Village Common Fund (VCF);

There should be no upper limit to the amount a community can contribute and deposit in the VCF;

The project will match village contributions up to a given amount per community, with the upper limit being decided at the initiation of the project;

The total investment cost would be calculated as the sum of all resources, cash and non-cash; the value of labour, and other in-kind contributions would be calculated on the basis of local market value;

To build ownership and long-term sustainability, all village investments would flow through the VCF, thereby encouraging the beneficiary community to seek co-financing and leverage funds through the provision of loans for approved community investments and other needs. Over time, this financing management system can continue to build and sustain community fiscal resources.

The project will establish procedures to screen requested resource development or income generating investments to ensure that they are technically feasible, have positive environmental impact and are part of a holistic approach to the local ecosystem management, likely to generate supplementary income, comply with sound social and environmental principles and are sustainable. Decisions regarding the priority investments will be made by mutual consent of the planning teams, local community institutions and the community, with subsequent endorsement by the Landscape Biodiversity Society. If required by budgetary or implementation capacity constraints, proposed activities will be prioritized based on their expected positive impact on global environmental objectives, the conservation and sustainable utilization of the land and sustainable livelihood activities. The activities also need to be implemented in such a way that they create a learning situation and results that are of policy relevance. Examples of appropriate land management and livelihood activities might include (this is not a restricted listing):

- ❖ improved agricultural practices,
- ❖ improved livestock and pasture management,
- ❖ forest management and rehabilitation, including community forestry,
- ❖ environmentally friendly minor infrastructure rehabilitation (village irrigation and drinking water supply systems, minor erosion control structures, etc),
- ❖ medicinal and non-timber product development,
- ❖ processing of agricultural practices,
- ❖ alternative livelihood options (handicrafts/ handlooms enterprises, agricultural product processing and development, mushroom cultivation, marketing support, skills development, etc) and
- ❖ natural resource conflict management.

This sub-component will support the incorporation of biodiversity considerations into local and regional planning and regulation, in order to try to minimize the threats on protected areas and biodiversity sensitive

areas. In particular, project support would be provided to identify and assess such threats and options for their mitigation, meetings and dialogue with key agencies (infrastructure, roads, irrigation, industry, etc.) and capacity building to promote convergence of planning in support of conservation, environmental assessment, and integration of biodiversity in sector development plans, and monitoring. This component will also support studies on valuation of ecosystem services from specific landscape units to promote better understanding and appreciation of the contribution and relevance of biodiversity conservation and protected areas to regional development agendas.

3.1.6 Identification of Capacity and Skills for Improving Conservation Outcomes in landscapes: As mentioned in specific sections, the project will support efforts to identify specific capacity and skills requirements for broader planning and management of conservation areas and training and development of these skill for conservation of biodiversity within the landscapes. It will also support staff and community capacity development, cross visits to learning sites, national and international study tours and training, workshops, communications and documentation and dissemination in the demonstration landscapes.

3.1.7 Participatory Monitoring and Evaluation mechanisms: A monitoring system to be designed to provide for continuous learning and adjustment of approach, and involve setting up of participatory monitoring based on self-defined indicators (by community groups, VCCs, Planning Teams, etc), input and output monitoring data from the Planning teams and Landscape Societies, impact/outcome monitoring by an independent group (for mid-term review and Implementation Completion), and Bank supervision. A framework for monitoring will be developed and will include description of the institutional arrangements and processes incorporating participatory monitoring and learning systems, selection of indicators, sampling methods, interval and intensity of sampling and mechanisms for feedback and project improvement. Three areas of significance for monitoring and achievement of project objectives will

- i. the ecological aspects of field activities for biodiversity conservation and landscape management;
- ii. community participation in conservation, sustainable use and livelihood improvement, community compliance with conservation and resource use agreements, and outcome of livelihood activities; and
- iii. institutional aspects at the landscape levels and modalities for conflict resolution and new community-based agreements on resource use.

3.2 Component 2: *Strengthening Knowledge Management and National Capacity for Landscape Conservation*

This component has two sub-components.

- A. Subcomponent A will support documentation, dissemination and skills transfer to successful conservation tools and methodologies emerging from Component 1 as well as other successful past conservation initiatives. This will be achieved through the development of selected sites ¹ as field learning centres for providing hands – on training, supporting documentation and dissemination of best practices, supporting policy and legal studies relating to conservation and resource use and supporting development of participatory monitoring and evaluation models for conservation

B. Sub- component B will support a broader national capacity effort for further testing, replication and promotion of participatory landscape conservation approaches more broadly in India from Year 3 onwards based on identified capacity needs in the first two years of the project. This sub-component would be defined in more detail during the implementation of the project, and would likely include support for national institutional capacity development (located in a suitable institution) and staff and stakeholder training on experiences and learning emanating from Component 1 as well as other participatory programs.

3.2.1 Sub-Component A: documentation, dissemination and skills transfer of successful conservation tools and methodologies.

This sub-component will support capacity building, documentation and dissemination of experiences and learning from Components 1 and 2 above, and other successful conservation models, including those arising from the previous India Ecodevelopment project. Specifically, this component will support the following activities:

Operation and setting up of Field Learning Centers: Three training centres will be set up under this component. These are Kalakad in Tamil Nadu, Periyar in Kerala and Gir in Gujarat. These will serve as foci/centers of excellence and learning for improving capacity, skills and expertise in participatory conservation management

- ❖ Financial support to set up and operationalise these centres around protected areas and/or their related institutions.
- ❖ These centers of excellence would provide training, skills development courses and workshops, cross visits and opportunities for exchange assignments for other protected areas staff, NGOs and community groups throughout the country.
- ❖ Support to be provided to these centers for personnel and skills training, preparation of teaching materials and field guides, equipment and operating costs.

Periyar Tiger Reserve-Kerala (PTR):

Availing opportunity of assistance from India Ecodevelopment Project this site stands out countrywide in multilateral performance that has weaned poachers, improved protection in a participatory manner including inspiring women volunteers and substantially improved stakeholder incomes sustainably while reducing dependence on park bio-resources. It has also excelled in setting up effectively functional institutions from grassroots to the park level fostering Periyar Foundation. Release of stakeholders from debt-trap and harnessing ecotourism for enhancing stakeholder incomes are also outstanding achievements. Requisites of state support needed in such a programme also can also be learnt here.

Focus of training program at Periyar

The Training Center at Periyar will provide specialized learning and expertise in the following areas:

- participatory microplanning procedures and methodologies
- methodologies for consensus building, conflict resolution, community participatory appraisal, and environmental impact assessment
- strategies for revenue generation and income development

- management of resource use conflicts and strategies for their mitigation
- operation and management of community revolving funds
- strategies for community protection and conservation response
- community financial management and capacity development

Institutional arrangements

The Periyar Foundation would be responsible for implementation of the training activities. The Foundation will use its existing staff of ecologist, ecotourism officer, ecologist, education officer and wildlife staff to support the training. Additional staff would be required to support the work. The Foundation will network with other institutions, like the WII, TBGRI, KFRI, Gandhi Gram Rural University, School of Social Studies, MG university etc in areas of training, documentation and research

Kalakad Mundanthurai Tiger Reserve Tamil Nadu (KMTR):

KMTR has also rendered excellent performance in all above aspects except the participatory ecotourism development and the setting up of a functional apex fostering Foundation. It has effectively ameliorated much higher levels of poverty through alternate livelihood packages and almost entirely weaned people from forest dependence. Its use of the hydrological merits and societal utility of watersheds in order to elicit broad based support for conservation is a model for emulation. Cogent Government orders that helped setting up of grassroots institutions allowing decisive participation of key stakeholders is yet another model. Continuing growth of revolving funds that support micro-enterprises that have pulled hundreds of households from advanced poverty presents an example of sustainability.

The Training Center at Kalakad will provide specialized learning and expertise in the following areas:

- participatory microplanning procedures and methodologies
- methodologies for consensus building, conflict resolution, community participatory appraisal, and environmental impact assessment
- management of resource use conflicts and strategies for their mitigation
- operation and management of community revolving funds
- strategies for community protection and conservation response
- community financial management and capacity development
- Establishment of management of self help groups
- Environmental education and extension

Institutional arrangements

The Conservator of Forests of Tirunelveli will have overall responsibility for implementation of the program. The ecologist and ecodevelopment officer along with the park staff will provide resource support to the program. Additional staff will be recruited under the project to facilitate the training. The services of resource persons from Gandhi Gram University, School of Social Studies will also facilitate the conduct of the training.

Greater Gir Conservation Area-Gujarat (GCA):

The objective is to help establish the Greater Gir Regional Conservation Planning Centre [GRPCPC] for the biodiversity conservation with special focus on the conservation of Asiatic Lion in the Gir Region. Its long term goal would be to establish GRPCPC as the National Centre of Excellence for the Regional Conservation Planning with Planning, demonstration and outreach capabilities. The specific focus of GRPCPC would be the following:

- Piloting the demonstration of the Regional Conservation Planning for the Biodiversity Conservation.

- Providing capacity and expertise for Regional Conservation Planning to other biodiversity conservation landscape sites.

The Gir Region for the Biodiversity conservation with focus on Asiatic Lion conservation is, therefore, defined based on the following criteria:

1. The current distribution of resident Asiatic Lion population in the wild including rural farm lands, government grasslands, scrublands and Forestlands.
2. Hilly/ undulating terrain.

1. Potential sites for conservation of the Asiatic Lion within the Greater Gir Landscape are the following:

Sl.	District	Taluka Sub District]	Number of Villages	Total Geographical area	Of Area, Forestland and Protected Area	Total the	
1	Junagadh	Bheshan			Protected Area		
		Junagadh					
		Visavadar					
		Mendarda					
		Maliya					Forest Land
		Talala					
		Veraval					
		Sutrapada					
		Una					
Sub-Total							
2	Amreli	Dhari			Protected Area		
		Liliya					
		Bagasara					
		Khambha					
		Savarkundala					Forest land
		Rajula					
		Jafrabad					
Sub-Total							
3	Bhavnagar	Gariyadhar			Protected Area		
		Palitana					
		Mahuva					
		Talaja					Forestland
Sub-Total							
Grand Total							

Focus of the regional planning would be on the following: -

- i. Conservation of core area Gir PA.
- ii. Conservation of satellite habitats such as Girnar – Mitiyala – Grasslands of Maliya – Savarkundla – Mahuva – Palitana and Talaja, coastal forests, etc.
- iii. Conservation of corridors connecting core area i.e. Gir PA with satellite habitats.
- iv. Eco-system compatible development of local communities outside the core area, satellite habitats and corridors.
- v. Anti-poaching measures
- vi. Measures preventing man-animal conflict.
- vii. Wildlife health and rescue, post rescue care.
- viii. Awareness and education.
- ix. Increased support for monitoring, research and study.

2. Immediate Action Plan

- i. Regional planning with adequate inputs of ecologists, field biologists, sociologists and economists. - One year.
- ii. Identification and notifications of satellite habitats and corridors connecting them. – Six months.
- iii. Administrative integration of management areas to be covered under one regional plan.
- iv. Ecodevelopment for villages near core, satellite areas and corridors corridors.

3. Management Strategy

- i. The Government of Gujarat, with support from the Govt. of India, to spear head the programme / efforts. Gujarat Lion Conservation Society to actively support the action plan.
- ii. Strengthening the anti poaching measures.
- iii. Participation of local communities.
- iv. Participation of world conservation communities.
- v. Highly regulated eco-tourism to generate future funds for development of local communities.

Indicative Training Plan

In the light of the discussion above and as gleaned from consultations and as appraised in the context of the current status of capacities in the different landscape sites the following the following training, capacity enhancement and skill development initiatives are identified as the felt needs for the BCRLIP:

A. Biodiversity and Ecological Services Conservation

- a) Rational management zoning and zone-wise management planning of landscape for conservation and compatible livelihoods in the light of existing PA(s) and identified biodiversity significant areas. Learning about functions/ legal mandates of other agencies. Also use of modern technology as planning tools e.g. Remote-sensing, GIS, GPS. Target group: Lead and next level PA and forest division personnel.
- b) Participatory planning and implementation of protection patrolling (including fire protection) and ecotourism activities both as a means of more effective management regulation and as an avenue for livelihoods of key stakeholders. Target Group: RFO to forest/wildlife guards, CBOs and SHG members.
- c) Participatory conduct through local SHGs of forestry operations including harvest of timber and firewood in high forest and plantations including safeguards for biodiversity conservation; replanting, tending, thinning etc to the exclusion of labour contractors engaged by authorised PSUs. In addition distribution of firewood available from these forestry operations among local community including livelihood dependents, at concession-rates. Where CBOs e.g. Van Panchayats in Askot control the access and use of these resources similar capacity enhancement programmes are needed. Target Group: RFO down to FG, field functionaries of PSUs and CBO leaders.
- d) Effective participatory planning and regulation of livestock grazing including facilitation of pasture development and fodder farming and participatory enforcement against commercial livestock. Target Group: Same as b) above.
- e) Skill enhancement in bee keeping, wood and bamboo based handicrafts including facilitation of TCPC (Training *cum* Production Centre) where needed. Target Group: Same as b) above and functionaries of 'Small Scale Industry' personnel of government and non-government bodies.

- f) Participatory planning and regulation of NWFP measures covering spatiotemporal harvest regimes for collection, grading, processing, value addition and marketing. Target Group: Same as a) and b).
- g) Participatory mitigation and control of wildlife damage to crops and livestock including SHG based operation and maintenance of wildlife barriers e.g. power fence and elephant proof trenches. Target Group: Same as b), c) and d) above.

B. Improvement of rural livelihoods – General

- a) Objective village level micro-planning including identification of key stakeholders and livelihood planning covering both bio-resource dependent and non-dependent livelihoods. Target Group: Forest, other line agencies and NGO personnel and CBOs.
- b) Capacitating CBOs including PRIs: Critical value of ecological services and biodiversity conservation for environmental and economic security and for farm and livestock productivity, biodiversity and livelihood linkages, bio-resources and local knowledge based micro-planning, leadership development, democratic functioning and ensuring decisive participation of key stakeholders and conflict resolution. Target Group: Forest-wildlife and other line agency district and field level personnel, PRI and other CBO leaders, NGOs.
- c) Constitution of democratic and secular CBOs and enabling of decisive participation by key stakeholders. Capacity enhancement of CBOs in managing their affairs and interfacing with higher level institutional structures. Target Group: Senior and middle level LS personnel in forest department, NGOs and SHG and CBO leaders.
- d) Convergence issues and how to elicit converged inputs from different line agencies including the forest department, public health and education. Target Group: State Heads & next level senior HQ officers of Forest-Wildlife & other Line Agencies, PA/ Forest /Line Agencies senior personnel, District level PRI, NGOs and CBO leaders.
- e) Creating, augmenting and operating revolving funds for supporting various land based and non-land based incomes and micro-enterprise including release from 'debt' and 'tenure' traps. Target Group: Same as c) above.
- f) Developing nutritional supplements using local traditional cereals, millets and local herbs as micro-enterprise that can profit from assured supply to women and child development initiatives including mid-day meals in schools and women health programmes. Target Group: Field level functionaries in public health and education sectors, women-SHGs, CBOs.

C. Bio-resources dependent livelihoods – non-extractive and extractive

- a) Non-extractive: Capacity enhancement and facilitation of key stakeholders in participatory protection and ecotourism. Target Group: RFO down to Forest/WL Guard, CBOs and concerned SHG/ USG members.
- b) Extractive: Already covered under sub-items c), d), e) and f) of Item A above.

D. Land based non-bio-resource livelihoods: Target Groups: District level line agency and NGO personnel, CBO leads, farmers, farm-SHGs, Livestock-SHGs.

- a) Agriculture: Dry land farming, contour bunding, water harvesting, green house based farming of vegetables in very cold areas (, Askot), controlling eutrophication of wetlands.
- b) Organic farming as an aspect of agriculture: Techniques, allied care including composting, pest control, processing, accessing and obtaining certification, marketing.
- c) Animal Husbandry: Promoting smaller numbers of more productive livestock in place of scrub livestock, pasture development, fodder farms, promotion of local forage crops in agriculture, buying and using crop-residues in lean season as an SHG activity. Also wool (sheep, yak, pashmina goat) based cottage industry.

The menu of training options and mode of delivery will be quite broad based. This would include regular courses and specialised subject training modules at the national and state level training institutions in the forest-wildlife and other sectors e.g. rural development, small scale industry and fisheries. Some of these institutions may even be asked to develop interfacing special course modules covering integration of conservation, rural livelihood improvement and the conventional aspects of rural development as an enabling tool for needed multiple line-agency convergence.

Institutions and trainers in private or NGO domain can also be asked to formulate close-knit short training modules that include site visits to proven sites where such integrated development has been targeted and achieved with some success. These can include visits to other ongoing or recently concluded projects in one or more aspects of landscape level initiative contemplated by BCRLIP. In addition it is suggested that Periyar and Pench-MP Tiger Reserves (IEDP), KMTR (FREEP) and GHNP that have successfully set up functional modules interlinking conservation and rural livelihoods be recognised as 'Learning Centres' for BCRLIP. These learning-centre-sites should be facilitated to structure separate training modules for different level personnel of line agencies and CBOs with support for group instructions and local visit including equipment, infrastructure (lecture hall, accommodation for trainees) and group-transport vehicles (purchased or hired).

All these suggested modes will also have programmes for training of trainers that may belong to institutions or NGOs, the latter especially those retained for facilitating project activities in landscapes. *In situ* awareness, site-interaction based skill enhancement and local workshops would be some more modes of capacity enhancement. The Table on the next page suggests the mode of delivery of these training and skill enhancement programmes for being supported under BCRLIP.

Documentation and dissemination of practices in participatory conservation:

This component will support documentation of best practices from project landscape and other sites, develop and test operational guidelines of their application, and dissemination of such learning more widely through website development, workshops, publications and participation in national and international conservation meetings, cross visits, travel seminars and the establishment of learning networks within the seven project sites and other relevant sites within the country.

Extension of learning from national and international experiences:

The project will support study tours, structured learning and other methods to extend opportunities for local PA managers to learn and experience participatory approaches from other sites in India and overseas, in particular related to aspects of institutional and financial sustainability, participatory monitoring, and replication and enforcement.

Enhancing knowledge for improved understanding of policy and legal issues related to conservation:

This sub-component will support the development of policy guidance notes based on learning from Components 1 and 2 and other similar participatory conservation initiatives in the country, special studies and workshops to improve understanding of policy and legal issues related to conservation, workshops to inform and facilitate scaling up and legal literacy awareness, and study tours and field visits to project landscape sites for cross learning, and support to pilot activities on implementation of key legislation, including the recently passed Schedule Caste and Forest Dwellers Act.

Improved Policy and legal climate to promote participatory landscape conservation.

An enabling policy environment is an essential prerequisite for the success of such an initiative that seeks to herald a new conservation regime based not only on protected areas but on larger and more viable

conservation units called landscapes. It is recognized that the prevailing policy provisions may not adequately support this new regime. Thus this project component is dedicated to reviewing the extant policy framework in the concerned states and at the national level and suggest necessary modifications.

The project will support an analysis of law, policy, regulatory regimes and institutions in the following manner:

Building on the gaps and constraints, the project will support studies for detailed analysis of key policies to highlight provisions that require review in the light of the project's requirements. Such analysis would be based on close and continuous interactions with key stakeholders and would aim at seeing the efficacy of existing policy and legal regimes vis-a-vis felt needs and experiences from the ground. A similar exercise will be carried out in relation to state government guidelines, notifications and orders (for instance pertaining to JFM, benefit sharing, transparency and so on). The analysis will particularly focus on constraints to decisive community participation, especially of key stakeholders, in conservation and positive incentives to such communities for conservation.

The analysis will also identify functional and robust enabling institutions suited to give effect to the principles and purposes of biodiversity conservation and rural livelihoods in the landscape.

In addition, the project will support studies on understanding and resolving conflicts vis a vis the rights regimes including an evaluation of the state of rights (including customary) relating to issues of ownership, access and usufruct use of the people inhabiting the landscape.

Based on these actions, the project will develop recommendations to:

Modify existing key relevant policies to bring these in line with project principles, which will inherently be supportive of long term sustainable conservation. These would be built around elements of participation, democracy and ownership on part of all stakeholders.

Prescribe modifications to existing guidelines or draft fresh ones in consonance with project principles and objectives.

Based on the above, the project will provide the basis and justification for the integration of landscape conservation into MoEF (Centrally Sponsored and Central Sector) Schemes - National Tiger Conservation Authority; Protection of Wildlife Outside Protected Areas; Development of National Parks and Sanctuaries; Project Elephant by developing guidelines to reorient the thrust of these schemes towards landscape level participatory conservation practices.

Using the national level project institutions as a lever, the MOEF will be able to promote the recommendations and guidelines so developed with the Ministry of Environment and Forests and the Planning Commission.

Similarly the empowered committees at the state level will serve as a platform to facilitate the requisite amendments in state laws, policies and regulatory regimes.

Institutional Mechanism

A large part of the effort under this sub component pertains to strategic research and collation of existing information. The training centers will liaise closely with civil society groups within project states to develop new law and policy recommendations and guidelines.

At the national level consultant(s) may need to be hired in order to anchor the technical aspects of this work and to align recommendations emerging from PFUs with the understanding emerging at the national level.

The high powered national steering committee will be appropriate body to facilitate the adoption of recommendations by the MoEF.

3.2.2 Sub component B: National capacity Building for implementing participatory conservation and landscape approaches:

Wildlife Institute of India, Dehradun have been identified as one of the National Capacity Building Institution which will aim to :

- 1. To support and facilitate capacity building initiatives in landscape level planning and management for sustainable ecosystems and livelihoods in identified landscapes – Ascot and the Little Rann of Kachchh.**
- 2. To build capacities / skills of the faculty and staff of Wildlife Institute of India on critical issues related to landscape level planning and management**
- 3. To demonstrate and facilitate enhanced capacity of spearhead teams in the select field learning centers to function as trainers for building capacities of local staff and stakeholders in the centers.**
- 4. To develop strategies and provide technical support to revive and strengthen the regional wildlife training centers in the states**
- 5. To build national level institutional capacity of key stakeholders to understand and apply landscape level (LSL) planning and management for sustainable ecosystems and livelihoods in identified representative landscapes**

KEY OUTPUTS:

1. The field co-ordination centers at Askot and Little Rann of Kachchh are in place with built in capacity of spearhead teams to implement the project initiatives in a holistic manner.
2. Field learning centers are technically equipped to provide hands-on training, documentation and dissemination and development of participatory monitoring and impact assessment.
3. The regional wildlife training centers in Uttarakhand and M.P. state are revived and strengthened to cater to the needs of capacity building of the local and regional level stakeholders
4. The capacity / skills in the faculty / staff of WII on critical LSL level issues of management is enhanced
5. Enhanced understanding of the context, principles and relevance of LSL approach for sustainable natural resource governance among various target groups of stakeholders in various priority landscapes.

6. Key stakeholders possess improved knowledge and skills about LSL planning methodologies and tools
7. Stakeholders are enabled with improved management capacity and skills for joint planning and integrated implementation of initiatives for attaining an ecologically sustainable landscape and sustainable resource use practice.

3.3 Component 3: *Scaling up and Replication of Successful Models of Conservation in Additional Landscape Sites.*

This will support further testing and scaling up of conservation approaches to two additional landscapes from Year 3 onwards, building on, and expanding on experiences from the initial two demonstration sites. The two new sites would be selected when there is better understanding of gaps and opportunities for new learning and experiences in conservation following implementation in the initial two demonstration landscape sites.

This component will be designed in year 1 and would be implemented in year 3. The following steps are to be taken in year 1 for this component

1. Identify 2 additional landscape sites.
2. Criteria for site identification and short-listing are:
 - a. High biodiversity value
 - b. High pressures and threats
 - c. Availability of institutional capacity to deal with the pressures and threats
 - d. Willingness/readiness of State Governments to use the landscape conservation approach

3.4 Component 4: *National Coordination for Landscape Conservation.*

This component will support the overall strengthening of coordination mechanisms for landscape conservation. Activities to be financed include: establishment of MIS and GIS systems for project and landscape monitoring, impact evaluation, limited operational and technical support to assist the Conservation & Survey Division, MoEF to coordinate and administer the implementation of project activities and facilitate its replication elsewhere in India. It will facilitate efforts to ensure convergence of existing and potential funding sources for conservation and support the preparation of phase II of the project (national capacity building and additional landscape sites).

The project duration would be for a period of six years. GEF will finance capacity building, training and other measures to strengthen conservation management including mapping and conservation planning and associated studies; technical support and training to mainstream conservation outcomes in sector development plans and programs within the landscapes and improve learning, dissemination of best practices and lessons in participatory conservation and their replication.

Expected Outputs and Milestones

1. Management Plans / Working Plans for all PA/Forests in 2 LS have been prepared or revised, or reviewed by yr 2 to ensure that they incorporate participatory principles and processes for defined biodiversity and livelihoods objectives.
2. Guidelines for incorporating participatory approaches to bio-diversity and livelihoods planning of PAs/Forests have been compiled drawing on the experiences of 2 LS by yr 4.
3. Simple and practical monitoring systems to track PA/Forest dependent biodiversity and livelihoods indicators have been established and documented in each of 2 LS by yr 3
4. Biologically Significant Areas in the 2 LS have been well researched and effective monitoring of biodiversity indicators initiated in at least 75% of them by end of project.
5. Important indicator species in the 2 landscapes show stable or increasing population trends by end of project (eop).

Expected Outputs and Milestones:

1. Microplans (MP) have been prepared in all 160 project villages in 2 LS
2. Livelihoods of target populations in 2 LS are monitored and show improving trends by end of project.
3. Vulnerability of target population is monitored and shows declining trends of vulnerability by end of project.
4. 50% of target population confirms having actively participated in the planning process in each LS
5. Annual plans under the Micro plans in 2 LS have been implemented and monitored in yrs 3 to 6
6. Domesticated biodiversity is regularly monitored and in target villages of the 2 LS shows a stable or improving trend

Expected Outputs and Milestones:

1. Line agencies are investing at least 30% of the funds required to implement micro-plans and livelihoods programmes in 2 LS by yr 3
2. Inter-sectoral District Plans for the 2 LS show increasing trends in budgetary allocation to biodiversity conservation and livelihood support schemes.

3. Annual multi-stakeholder coordination meetings are taking place in each of 2 LS by yr 3.
4. Annual training on biodiversity and livelihoods issues has been provided to key functionaries in all relevant line departments and the administration in project districts of the 2 LS.

IMPLEMENTATION APPROACH:

Since the landscape level planning and management involves a cross sectoral and integrated approach where many stakeholders will have to contribute directly or indirectly towards the agreed developmental goals for ecological and environmental sustainability and efforts for poverty alleviation in the landscape. Therefore, it will be necessary to very critically identify the stakeholders – their mandate, understanding, perceptions and the role they can play in the larger landscape management under a joint action plan for the agreed outcomes. Therefore, sensitizing the stakeholders about the larger concept of LSL planning , management and related issues and its relevance in to day's context will be the starting point for the sequence of events for initiating capacity building efforts and this will be achieved through focused workshops and dialogues with a cross section of stakeholders *most importantly the policy makers and planners who eventually will facilitate support to take up similar exercises at the field levels in the identified representative landscapes. A very strong support and push from the Bank, the Union government, and the State Governments in whose jurisdiction the representative landscapes are falling will hold the key to success in translating the vision into action*□

The initial stages of consultations and workshops will also provide opportunities to conduct knowledge surveys to identify the capacity needs of various stakeholders. The training of trainers (ToT) mode will be the major focus while imparting the training programmes for capacity building of stakeholders. Such capacities in the field learning centers and field co-ordination centers will provide future follow up by the core teams / spearhead teams consisting of multisectoral stakeholder representatives at the sites for multiplier effect. A variety of participatory training approaches with adult education techniques will be used including class room session, group work, role play, simulation exercises, case studies, field visits, training workshop, and consultation workshops, etc for diverse categories of stakeholders and thematic areas where their capacities need to be built and up graded.

The landscape level planning and management approach basically is an attempt for a change in policy and practices governing the management and use of natural resources and livelihood linkages of local communities in a larger area and therefore, will need serious efforts to sensitize and enable all the stakeholders to understand and accept the purpose ; are capable to develop an agreed joint plan of action for the larger landscape ; its implementation and management by them as a mechanism of change in partnership and owning accountability for the quality of the resulting stewardship.

The efforts to build capacities in landscape level planning and management and its various facets will be initiated in Ascot and the Rann of Kachchh will be initiated in the first phase. It will have to be ensured that the landscape level functions, current land use patterns- their ecological sustainability or otherwise and the short and long term interventions to curb and control the ecologically unsustainable practices are developed in a participatory mode and the stakeholders are enabled to understand the context and relevance of the landscape level planning and management issues and can adopt to more realistic management through an integrated multi-sectoral approach. Capacity building will elaborate on actions to enable specific organizational unit (stakeholders) to plan, implement and own responsibility for specific landscape level management and its monitoring under the larger mutually agreed joint action plan for the landscape. The important stakeholders in the representative landscapes will be - the community organizations and

members, PA management and forest department, other government agencies (the line departments of the area dealing with land use management – agriculture, horticulture and developmental departments – DRDA, social welfare, education, health and animal husbandry departments) and NGO's.

The major objectives, outputs, the proposed themes for capacity building and the target stakeholders for the representative landscapes as well as the mode of capacity building are summarized in table 1.

Table 1: PROPOSED FORMAT OF SCOPE, KEY FOCUS AREAS AND REQUIRED INPUTS TO MULTISECTORAL STAKEHOLDERS

OBJECTIVES	OUTPUTS	TRAINING FOCUS /THEMES	Target Stakeholders							
			SFD PA/non PA	LDA's	CBO's	NGO's	PPM	PRI's	PR's	C.S
To support and facilitate capacity building initiatives in the two select landscapes level planning and management for ecosystems and sustainable livelihoods in identified landscape – Ascot and the Little Rann of Kachchh	Enhanced understanding of the context, principles and relevance of LSL approach for sustainable natural resource governance	(A) : Principles /concepts /rationale of LSL planning and management	✓	✓	✓	✓	✓	✓	✓	✓
		MODE	RSGWS	RSGWS	RSGWS	RSGWS	WS	TWS	FV	AwP
	Improved knowledge and skills about LSL planning methodologies and tools	(B) : Ecological and biological values of LS and sustainability issues	✓	✓	✓	✓	✓	✓	✓	✓
		MODE	RSGWS	RSGWS	RSGWS	RSGWS	WS	TWS	FV	AwP
		(C) : Base line participatory ecologically sustainable LSL map	✓	✓	✓	✓	✓	✓	✓	✓
Capacity and skills										

for joint planning and implementation of initiatives for attaining an ecologically sustainable landscape management and resource use practice acquired. Relevant training materials and curriculum in landscape conservation methodology and tools are in place									
	MODE	TWS	TWS	TWS					
	(D) : Stakeholders analysis Characters/ perceptions/ limitations	✓	✓		✓				
	MODE	TWS	TWS		TWS				
	(E) : Management capacities	✓	✓	✓	✓				
	1, Planning	✓	✓	✓	✓	✓			
	2 Livelihoods	✓	✓	✓	✓	✓	✓		
	3. Co-ordination	✓	✓		✓		✓		
	4. Conflict resolution	✓	✓	✓	✓	✓	✓	✓	
	5. Monitoring	✓	✓	✓	✓	✓	✓	✓	✓
6. Institutional mechanism									
7. LTFM									
MODE	TWS	TWS	TWS	TWS	WS	WS	WS	WS	
(F) : Categorization and valuation of ecosystem services and goods	✓	✓	✓			✓			

		MODE	TWS	TWS	TWS			WS		
		(G) : Land use analysis and links with conservation and amelioration measures to enhance levels of sustainability	✓		✓			✓		
		1. PA and non PA areas	✓		✓		✓	✓	✓	✓
		2. Ecologically sensitive / fragile areas	✓	✓	✓	✓	✓	✓	✓	✓
		3. Biological corridors	✓	✓	✓	✓		✓	✓	✓
		4. On and off farm areas								
		5. Developmental issues								
		6. Water resources management								
		MODE	TWS	TWS	TWS		WS	WS	FV	FV/ AwP
		(H) : Local community involvement in LSL conservation and management	✓		✓	✓				✓
		1. Resource dependence	✓		✓			✓		
		2. Socio econom	✓		✓	✓			✓	✓

		ics and organizations	✓	✓		✓			✓	
		3. gender issues		✓				✓		✓
		4. Infrastructure								
		5. Current skills and improvement needs	✓		✓	✓				
		6. Action planning for conservation compatible livelihoods								
		MODE	TWS	WS	TWS	WS		WS	WS	AwP
		(I): Development of training materials and curriculum, refinement of methodology and tools for LLPM	✓	✓	✓	✓	✓	✓	✓	✓
		MODE	WII/OS							

<p>1. To build capacities/skills of the faculty and staff of Wildlife Institute of India on critical issues related to landscape level planning and management</p>	<p>1. Enhanced capacity /skills in the faculty / staff of WII to add on capacity building efforts for various stakeholders.</p>	<p>Capacity building initiatives for WII faculty and staff -</p> <ol style="list-style-type: none"> 1. Conflict resolution and negotiation 2. Communication skills 3. management information and its outreach at landscape level 4. Methodologies and tools for landscape level planning and management 5. Macro & micro level issues of participatory biodiversity conservation 6. Sustainable livelihoods and conservation 7. On and off farm production enhancement 8. Watershe 								
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		d managem ent and conservat ion 9. MIS / GIS for land use planning								
		MODE	STC /FV							
3. To demonstrat e and facilitate enhanced capacity of core teams in the select field learning centers to function as trainers for building capacities of local staff and stakeholde rs in the centers	1. Field learnin g centers are equippe d to provide hands- on training , support ing docume ntation and develop ment of particip atory monitor ing and evaluati on.	(A) : Facilita ting develo pment of Field Learni ng Centers for support ing the spearhe ad teams in providi ng hands- on trainin gs, docum entatio n and dissem ination of best practic es								

		MODE	Trg-SHT							
		(B) : Revisiting the Field Learning Centers for critical analysis of the current working of the good practices and suggesting appropriate strategies for sustainability								
		MODE	R&M.	R&M.	R&M.	R&M	R&M	R&M.	R&M	R&M
4. To develop strategies and provide technical support to revive and strengthen the regional wildlife training centres in the states	1. Two regional wildlife training centers in Uttarakh and and M.P. state are revived and strengthened to cater to the needs of capacity building of the local and regional level	(A) : Facilitating development of Wildlife Training Centers for supporting the spearhead teams in providing hands-on trainings,								

	stakeholders	documentation and dissemination of best practices									
		MODE	Trg-SHT								
1. To build national level institutional capacity of key stakeholders to understand and apply landscape level (LSL) planning and management for sustainable ecosystems and livelihoods in identified representative landscapes.	1. Enhanced understanding of the context, principles and relevance of LSL approach for sustainable natural resource governance.	(A): Principles /concepts /rationale of LSL planning and management	✓	✓	✓	✓	✓	✓	✓	✓	
		MODE	RSGWS	RSGWS	RSGWS	RSGWS	WS	TWS	FV	AwP	
	2. Improved knowledge and skills about LSL planning methodologies and tools	(B) : Ecological and biological values of LS and sustainability issues	✓	✓	✓	✓	✓	✓	✓	✓	✓
		MODE	RSGWS	RSGWS	RSGWS	RSGWS	WS	TWS	FV	AwP	
3. Capacity and skills for joint planning	(C) : Base line participatory ecologically sustainable	✓	✓	✓	✓	✓	✓	✓	✓	✓	

	and implementation of initiatives for attaining an ecologically sustainable landscape management and resource use practice acquired	LSL map							
		MODE	TWS	TWS	TWS				
		(D) : Stakeholders analysis							
		Characters/perceptions/limitations	✓	✓		✓			
		MODE	TWS	TWS		TWS			
		(E) : Management capacities	✓	✓	✓	✓		✓	
		1, Planning	✓	✓	✓	✓			
		2 Livelihoods	✓	✓	✓	✓	✓	✓	
		3. Co-ordination	✓	✓	✓	✓		✓	
		4. Conflict resolution	✓	✓	✓	✓	✓	✓	✓
5. Monitoring									
6. Institutional mechanism									
7. LTFM									
MODE	TWS	TWS	TWS	TWS	WS	WS	WS	WS	
(F) : Categorization and valuation of ecosystem services and goods	✓	✓	✓			✓			
MODE	TWS	TWS	TWS			WS			

		(G) : Land use analysis and links with conservation and amelioration measures to enhance levels of sustainability	✓ ✓		✓			✓	✓	✓	✓
		1. PA and non PA areas									✓
		2. Ecologically sensitive / fragile areas									
		3. Biological corridors									
		4. On and off farm areas									
		5. Developmental issues									
		6. Water resources management									
		MODE	TWS	TWS	TWS		WS	WS	FV	FV/ AwP	
		(H) : Local community involvement in LSL conservation and management	✓	✓	✓			✓			
		1. Resource	✓	✓	✓	✓		✓			

		dependence	✓	✓	✓	✓		✓		✓
		2. Socio economics and organizations	✓	✓	✓		✓	✓	✓	✓
		3. gender issues	✓	✓	✓	✓		✓		
		4. Infrastructure								
		5. Current skills and improvement needs	✓	✓	✓	✓	✓	✓	✓	
		6. Action planning for conservation compatible livelihoods								
		MODE	TWS	WS	TWS	WS		WS	WS	AwP

Abbreviation used:

CBO -Community Based Organizations, CS -Civil Society, LDA - Line Department Agencies, NGO - Non-Government Organization, PR - People’s Representatives, PRI -Panchayati Raj Institutions,

PPM - Planners and Policy Makers, SFD - State Forest Department, WII- Wildlife Institute of India

Awp.-Awareness Programme, FV -Field Visit, R. & M. - Research and Monitoring, RSGWS- Representative Stakeholder Group Workshop, SHT -Spear Head Team, TWS -Training Workshop, WS –Workshop, STC- Short term course, OS- Out Source

4. PROJECT IMPLEMENTATION ARRANGEMENTS AND INSTITUTIONAL FRAMEWORK

The following project implementation arrangements and institutional framework have been arrived at after a series of consultations held with experts and includes the feedback received from participants at the landscape level, state level and the national level project design consultation workshops.

Note: The suggested arrangement should be read as being generic and indicative in nature in view of the wide variation in size and composition of the landscapes under consideration of the BCRLI project. There are bound to be landscape specific adaptations of these and it is suggested that these be worked out and finalized by the respective state governments at the outset in Year 1 of the project implementation.

Past and ongoing similar experiences with Project Implementation

The suggested project implementation institutional arrangement has taken lessons and learnings from following successful institutional models:

- 1) Chilika Development Authority (Orissa)
- 2) Gulf of Mannar Biosphere Reserve Project (Tamil Nadu)
- 3) Madhya Pradesh Society for Rural Livelihoods Promotion (Madhya Pradesh)

These sites are briefly profiled and their implementation arrangement are briefly discussed in the following.

Chilika Development Authority

Chilika in the eastern state of Orissa is the largest brackish water lagoon in the country. Spread over 1165 sq km, it is a highly productive ecosystem with rich fishery resources on which depend some 1,00,000 fisher folk.

Designated as a Ramsar site in 1981, it suffered from serious problems of siltation, undesirable changes in salinity and decrease in fish productivity along with excessive extraction of Bio-resources and an over all loss of biodiversity. These problems resulted in Chilika being declared as an endangered wetland and included in the Montreux Record in 1993.

Chilika Development Authority (CDA) was created in 1992 as a state created Society for the revival of the endangered wetland.

Since then the CDA has successfully carried out the following rejuvenation and eco-development activities in an integrated manner involving various relevant state agencies and non government agencies:

- a) Mitigation of siltation – Activity carried out by Soil and Conservation Department of the state government
- b) Mitigation of choking of outer channel and the lagoon mouth – Central Water and Power Research station, Pune along with the IIT, Chennai and National Institute of Oceanography (NIO), Goa are involved in planning and taking ameliorative actions
- c) Improvement of Ecosystem of Nalbana Island – Wildlife division of the state is involved in this activity
- d) Weed Management – NRSA, Hyderabad and Orissa Renewable Energy Development Agency have been involved in this activity

- e) Development of fishery resource and upliftment of socio-economic condition and other allied activities – District authorities and Fisheries Department have provided support

One of the key lesson and learning from this model has been the fact that a Society model of project implementation has facilitated ready accessing of several expert agencies from within and outside the state for the needful.

Gulf of Mannar Biosphere Reserve

The Gulf of Mannar Biosphere Reserve is the first marine reserve to have been declared as such, not only in India but also in South and South East Asia. The Commission on National Parks of the International Union for Conservation of Nature and WWF identified this reserve as a potential Biosphere Reserve, given its diversity and special multiple use management status. The Biosphere Reserve was set up in 1989 jointly by the Government of India and the State Government.

The Gulf of Mannar Biosphere Reserve Trust (**GOMBRT**) was established by the Government of Tamil Nadu in G.O.Ms.No.263, FR (V) - E & F Department, Dated: 18.12.2000. The Trust is registered under the Tamilnadu Society Registration Act 1975.

The overall objective of this project is to conserve the Gulf of Mannar Biosphere Reserve's globally significant assemblage of coastal biodiversity including coral reefs and to demonstrate in a large biosphere reserve with various multiple uses, how to integrate biodiversity conservation, sustainable coastal zone management and livelihood development. The focus of the project is on empowering local communities to manage the coastal ecosystem and wild resources in partnership with Government and villageers. The project measures include (i) village level institutional capacities will be strengthened, (ii) stake holders will adopt sustainable livelihoods and (iii) an independent, Statutory Trust will ensure effective inter-sectoral co-operation in the sustainable conservation and utilization of the GOMBR's biodiversity resources.

The Trust is ensuring prioritised support to community-based management initiatives such as seaweed horticulture that flourishes in the Reserve.

The Trust has statutory authority to play a focal role in the implementation of the project, providing the institutional framework and working with the Government to strengthen the overall policy framework so as to enable Government agencies to better co-ordinate and collaborate in the enforcement of coastal and marine zone biodiversity conservation.

The project has focused on specific roles for various institutions and agencies in the project implementation arrangements.

The Forest Department and Fisheries department play an important role in involving local communities in conservation efforts through sustainable use of marine bio-resources.

Each village committee has to prepare a micro plan for the conservation and sustainable use of local marine resources, identifying alternate livelihoods for the dependent families of the village. The other Government departments like Fisheries, Rural Development, Animal Husbandry, Agriculture, Horticulture are involved in the creation of profitable alternate income generation activities for the marine dependent families, so that the current pressure on the marine resources get progressively eased and rationalised. The

micro plan of all the 125 dependent villages will collectively form the basis for the formulation and implementation of various activities in respect of conservation, sustainable use of marine resources, as well as socio-economic upliftment of the dependent fisherman communities.

It is seen that a Trust has been found useful for inter-sectoral coordination and involvement of local people for the conservation and sustainable use of local resources and augmentation of alternate livelihoods for the resource dependent villagers.

Madhya Pradesh Rural Livelihoods Project (MPRLP)

Established in 2004 MPRL project is an innovative rural livelihoods improvement project.

The Project strategy focuses on following areas:

- Watershed and agricultural development
- Community forest management
- Micro-enterprises
- Livestock, fisheries and poultry
- Support to migrant labour
- Improving access to information
- Addressing gender issues
- Capacity building

It seeks to enhance poor people's livelihoods in tribal dominated districts of the State through an inter-linked two-track strategy.

First by strengthening the resource base that generates livelihoods; and then by fostering micro-enterprises that provide employment and income opportunities to the rural poor.

The first initiative seeks to improve land, water and forest resources of poor people through integrated watershed management and community forest management.

The second track seeks to promote enterprises that lead to value-addition of agricultural and forest produce as well as other micro-enterprises. Multiple livelihoods strategies of the project would also include migrant labour support and access to information.

Departments of Tribal Welfare, Forests, Agriculture, Animal Husbandry and the SHG Directorate are closely involved with the project both at the district and State levels. The project would also collaborate with NGOs for capacity building, action research and information dissemination.

The first phase of the project was operational in 822 villages of eight predominantly tribal districts namely Badwani, Dhar, Jhabua, Mandla, Dindori, Anuppur, Shahdol and Sheopur. Decision to include Sheopur district with significant population of primitive tribal group *Sahariya* in the first phase was taken in middle of 2005.

In the second phase, the Project covers about 4000 villages in the same districts including 822 villages of the first phase.

The Project focuses on the poor and vulnerable: tribal populations, scheduled castes, women, landless and displaced households, migrant and casual labourers. Recognising the vulnerability of migrant labourers, planned support programme will

concentrate on developing bargaining skills, technical expertise and disseminating information on rights at the village level. The project will develop and implement its gender strategy, defining participation norms for women, reflecting not just representation but participation in decision making as well.

The key innovative institutional aspect of the project is that funds are channeled from the Zila Panchayat to the Gram Kosh (village fund) of the Gram Sabha (village assembly).

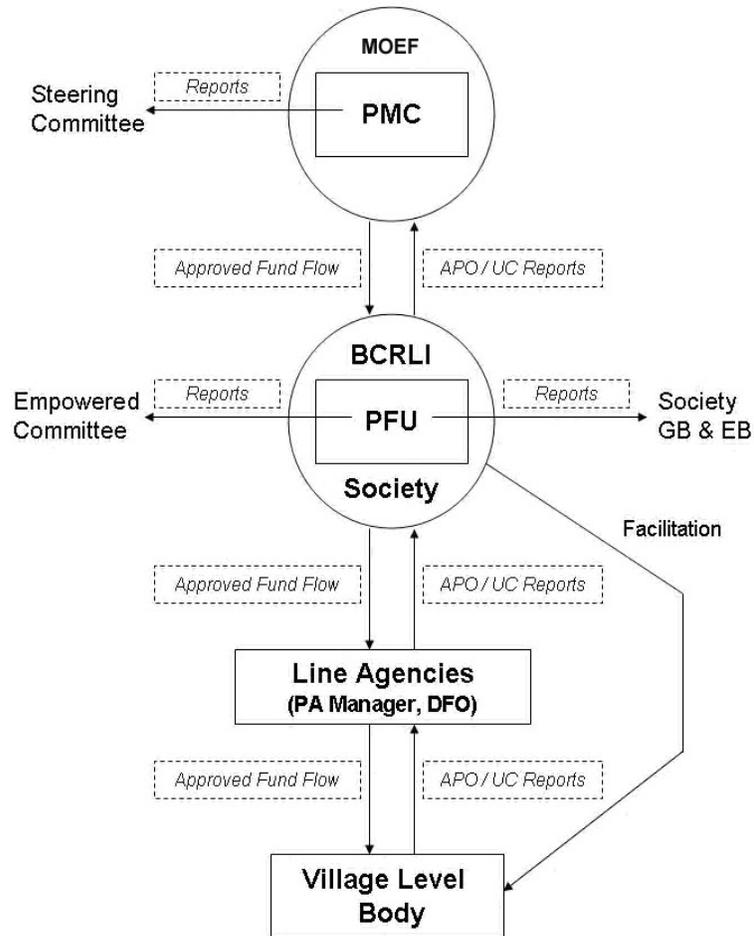
This is expected to fill crucial resource gaps that hinder the implementation of identified strategies on an effective scale. The project directs efforts and resources on the development and performance of the Gram Sabha, other organisations and user groups in which the poor are represented in the district level institutions. The project operates at village, district and state levels promoting innovation and convergence of resources in responding to people's livelihood choices. There is a separate Innovation Fund supporting innovative proposals capable of generating livelihoods. To provide constant support to the project at the village level, village specialists are employed by the Gram Sabha, who are supported by the PFTs (Project Field Teams) and District Project Support Units. Selected livelihood promoters would be given intensive training in community mobilisation and other skill-sets.

This model has key learnings for BCRLIP as in this project the Gram Sabha is playing an extremely important role in the implementation of the project at the grassroots.

ARRANGEMENT

It is understood that the Conservation & Survey Division in the MOEF would manage the BCRLIP and that the Joint Secretary (CS) will be the National Project Director (NPD).

Following is a graphic depiction of the suggested arrangement:



CSD, MoEF: Conservation & Survey Division, Ministry of Environment and Forests; PMC: Project Management Cell; PFU: Project Facilitation Unit; GB: General Body; EB: Executive Body; APO: Annual Plan of Operations; UC: Utilisation Reports; DFO: Divisional Forest Officer

ARRANGEMENT AT THE NATIONAL LEVEL:

The Conservation & Survey Division in the Ministry of Environment and Forests (MOEF) shall oversee and coordinate the implementation of BCRLIP. A high powered National Project Steering Committee and a Project Management Cell (PMC) shall be established as under at MOEF:

National Project Steering Committee

Role:

- a) Support project implementation through requisite and timely administrative and financial decision making on behalf of the Ministry
- b) Review project's progress and tender advice to the PMC as necessary.
- c) Promote 'Convergence' and hence synergy within the different divisions of the Ministry in relation to BCRLIP implementation

Composition:

Chair – Secretary, MoEF

Vice Chair – Additional Secretary

Members:

Additional Director General ADG- Wildlife (WL)

Additional Secretary and Financial Advisor (FA)

Member Secretary (NTCA)

Chairman, National Biodiversity Authority

Joint Secretary, Conservation & Survey, MoEF (NPD) - BCRLIP

Additional Director, (EAP), NPC

Periodicity:

The Committee may meet once every 3 months during the first year of the project implementation and once every 6 months from second year onwards.

Project Management Cell (PMC)

It is proposed that a Project management Cell be created at the Conservation & Survey Division in MOEF.

Role:

Generic

- (i) Promoting learning and exchange across the states;
- (ii) Supporting innovation in landscape approaches beyond the project sites;

- (iii) Ensuring coordination between sites;
- (iv) Undertaking project performance review and providing oversight;
- (v) Documentation and dissemination of best practices;
- (vi) Promoting liaison across different sectors;
- (vii) Promoting reform and change in conservation
- (viii) Be informed on policy lessons emerging from the landscapes and engage the MoEF with them

Procedural Matters

- 1) Act as the national manager of the project
- 2) Hire the requisite technical and support staff on contract basis
- 3) Responsible for all budgetary planning and reportings under the project
- 3) Approve the annual plans under BCRLIP as received from the project implementers in the states
- 4) Review the progress reports / utilization certificates (UC) as received from the project implementers in the states
- 5) Ensure timely transfer of funds to the states, and keep and maintain accounts and conduct of audits as required and specified
- 6) Outsource activities like the project outreach and communication
- 7) Set up a GIS facility and an in-house M&E arrangement
- 8) Liaison with the states, the World Bank, other divisions within the MOEF and other Ministries, Planning Commission etc, as required
- 9) Address such issues of technical, administrative and financial nature that are referred to it by the project implementers in the states
- 10) Timely project reporting and organisation of mandated regular meetings, Annual National Seminar etc
- 11) Any other role as mandated by the project Steering Committee

Composition:

Regular appointees:

- 1) National Project Director – Joint Secretary, (CS), MoEF
- 2) National Project Coordinator – Additional Director(EAP)

Staff on contract:

Finance Specialist (1)

Communication Specialist (1)

M&E specialist (1)

Project Assistant (2)

Accountant (1)

Data Entry Operator (1)

Personal Assistant (1)

Dispatch Rider/Helper (2)

Other office technical / support staff (as required).

Senior level staff on retainership contract of 3 months spread over 12 months period

BD Expert (1)

Social sector Expert (1)

Policy, law and Institutional Expert (1)

National Project Director (NPD):

a)He / she would be expected to ensure smooth functioning of the project at the GOI level

b)He / she would be the national face of the project

c)He / she would act as the member secretary of the project Steering Committee and any other such review body set up by the Ministry for the project

d)He / she would represent the MOEF in all third party interactions (with the donor, state governments, other Ministries of the Union, media etc)

e)He / she would hire all the consultancies / consultants under the project

d)All project staff at the PMC would ultimately report to him / her and be accountable to him / her

National Project Coordinator (NPC):

a)He / she would be expected to provide expert assistance to the NPD in the smooth functioning of the project

b)He / she would be expected to act as the executive officer in charge of the Project Management Cell (PMC) at the MoEF

c)He / she would ensure that the project M&E arrangement is well in place and functioning

- d)He / she would ensure that the project fund flows timely to the project states
- e)He / she would ensure that all project reports / reporting are received / made in a timely manner
- f)He / she would keep the NPD fully informed about the functioning of the PMC at the MoEF and seek directions from him from time to time
- g)He / she would have administrative control over the project consultants and other such outsourced services available to the PIC

Requisite HR considerations:

- a)A person of requisite authority and experience to act as the National Project Director (NPD)
- b)A person of requisite seniority, knowledge, experience, proven aptitude and interest to act as the National Project Coordinator (NPC)
- c)In order that the NPC is a fully functional and output driven body the NPC should be available full time to the PMC
- d)Since M&E would be one of the most crucial in house functions of the PMC it is suggested that GIS driven M&E expertise should be made available to the PMC
- e)Any ‘full time’ or ‘part time’ consultant to be hired by the PMC must have a well considered TOR so that the expertise so accessed is full utilised by the PMC
- d)For the PMC to become fully functional and non-dependent it would need to have an in house support staff (recruited for the project duration from the open market or on deputation) of requisite administrative and financial acumen.
- e) It would be useful to retain the services of senior level experts in BD, Social sector and in policy, law and institutional field to provide advice from time to time to the PMC on relevant matters.

STATE LEVEL

The state shall implement the project in a participatory manner in the identified Landscape

Felt need/s:

- a). It is necessary that the concerned state fully owns up the project and confirms it through a **formal resolution** by the state to this effect well in the beginning of the life of the project
- b). It is necessary that the project planning and implementation is participatory in letter and in spirit
- c). It is necessary that all key players from the government and non government sector have an opportunity and space to raise their respective ‘voices’ and concerns, if any, and to participate as equal partners in project planning and implementation
- d). It is necessary that the project is well communicated at different levels and times to all concerned

e). It is necessary that all players involved in project implementation are well addressed by the project in terms of their capacity needs enhancement and a hand holding / facilitation requirement, if any

The state shall put the requisite mechanisms in place for:

- a) Implementation of the project in the field
- b) Timely administrative and financial review and sanctions for various activities under the project
- c) Smooth funds flow to the grass roots level
- d) Timely reporting to the NPD at PMC
- e) Timely and proper accounting and auditing of project expenses and funds
- f) 'Convergence' of resources in the state to achieve the project objectives
- g) Provide a platform and space for critical as well as constructive 'voices' from the civil society to find an expression and full consideration by the project implementers
- h) Establishing upfront enabling institutions (policy and guidelines) to assist the communities in meeting their planning, implementation and reciprocal commitment / contribution needs under the project.

ARRANGEMENT AT THE STATE LEVEL:

Empowered Committee

Role

It is a high powered official Committee mandated to take administrative and financial decisions (on behalf of the state) for project implementation and to review project progress and to facilitate 'convergence' of human and financial resources for the implementation of the project.

Composition

Chairman – Chief Secretary

Members – Secretaries and HoDs of relevant state department's including Finance (membership to be finalised by the concerned state government) and State Biodiversity Board.

Member Secretary – Chief Wildlife Warden

Periodicity of meetings

This committee may meet once every 3 months for the first year during which all project start up activities are expected to be in place. Later it may meet once every 6 months.

LANDSCAPE LEVEL

The requirement of the landscape level institutional arrangement is based on following considerations:

- The landscape (although centered around a PA or a number of PA s in some states) is a mosaic of different land uses with various agencies involved
- The landscape is only a notional unit created for the specific purpose of BCRLIP as a project and with the specific consideration that biodiversity conservation and livelihood improvement need a much larger geographic scale to be mutually complementing than the small PA centric scale.
- BCRLIP as a concept requires that project planning and implementation is carried out in such a manner that all players are involved and contribute to the process

- Existing spaces at the district, sub district and village level need to be utilized for facilitating 'convergence' of thought and action and mainstreaming of biodiversity conservation concerns amongst all the line agency programs and enhancing scope for rural livelihood improvement in the plans of the forest and wildlife conservation sector.
- There is an appropriate platform and space available for dispassionate discussions, dialogues and debates to take place during planning as well as implementation phase of the project

Autonomous Society

The state government shall create a **registered Society/Foundation** to be called as **Biodiversity Conservation and Livelihood improvement Society** (hereafter called as the 'Society/Foundation') as the Landscape level project facilitation agency with the following role and composition:

Role

- a) Act as the receiver, depository and disbursing officer of all project funds
- b) Provide assistance to the field (grass roots) level and the line agency/ies in meeting their capacity enhancement needs
- c) Outsource activities like support (hand holding) to grass roots organisation/s in meeting the latter's project objective of preparation of micro plans in a participatory manner, and subsequent implementation thereof either by itself or by soliciting technical guidance, assistance (or even outsourcing select activity on turn key basis) from expert line agencies.
- d) Development of an inclusive constituency for the project amongst various players like the political leadership, the other line agencies, NGOs, media, research agencies, CBOs etc leading to a functional 'convergence' of thought and action amongst them.
- e) Actively seek non project funds as an additionality (even during the life of the project) and as a means to ensure project sustainability beyond the project's life.
- f) Establish working M&E structures as per the project M&E plan to ensure administrative and financial accountability and to establish feed back mechanisms for inclusive decision making at all levels of project implementation
- g) Review the minutes/ reports of the Empowered Committee in order to keep abreast of the project implementation status from time to time and to be able to issue any needed policy directives
- h) Review the functioning of the Executive Body (EB) of the Society and conduct of the various state level events (workshops, meetings, etc) under the project
- i) Run a small but efficient and autonomous office to be known as the Project Facilitation Unit (PFU).

Composition

There shall be a General Body, an Executive Body and an office of the CEO of the Society as under:

General Body

Chair: Hon. Chief Minister / Hon. Vice Chair of the State Planning Board / Hon. Forest Minister / Chief Secretary

Members:

- 1) PS / Secretary of relevant line agencies
- 2) PCCF and any other concerned official of the FD
- 3) Relevant Commissioner/s / Dist Collector / Dy. Commissioner /State Biodiversity Board
- 4) CF/s and Divisional level heads of various line departments in the Landscape
- 5) District level heads of various line departments in the landscape
- 5) Civil society representatives including elected representatives, NGOs and PRIs
- 6) Representatives of notable Technical agency / institutions in the state
- 7) Representatives of Army / ITBP / BSF etc (where applicable)
- 8) Any other as decided by the state

Member Secretary: Chief Wildlife Warden (ex officio)

Executive Body

Chair: Principal Secretary / Secretary / Div Commissioner or any other senior official with a multi sector coordination authority

Members:

- 1) District level officials of the relevant line departments
- 2) Civil Society representatives including local NGO/Biodiversity Management Committee
- 3) Select representatives of the local bodies (PRI / EDC/ VFC/ JFMC/ Village Council / Van Panchayat etc)
- 4) Representatives of the academia and scientific institutions active in the landscape
- 4) Any other (as decided by the state)

Member Secretary: CEO (CCF/CF) of the Society

Office of the CEO (PFU)

The office of the Society's CEO shall be termed as the Project Facilitation Unit (PFU) with following roles and responsibilities:

Role

- a) Project facilitation in terms of fund flow, planning and implementation support to various actors in the landscape
- b) Promotion of capacity enhancement activities of various players in the project
- c) Promotion of 'convergence' amongst various agencies (government and non-government) working in the LS
- d) Enter into MOU with other agencies active in the LS
- d) Organisation of project M&E
- e) Project accounting, auditing and reportings

Responsibilities

- 1) It shall receive and disburse project funds as under:
 - a) The PMC at the MOEF shall transfer the project funds directly into the Society account/s
 - b) The PFU shall in accordance with the Annual Plan of Operations (APO) based on approved micro plan for the village allocate and transfer the funds into the accounts of the grass roots implementing agency either directly or through the officer I/C of PA/ Forest Division in the landscape, as decided by the State Government.
 - c) The PFU shall as per the approved project APO of the concerned line agency, transfer the funds to the relevant government line agency (Park Manager / DFO/ any other)
 - d) The PFU shall work closely with the other line agencies in the landscape.
 - c) Retain Society's administrative and facilitation costs in the Society's account
- 2) It shall act as a dispassionate third party to promote conflict resolution wherever required.
- 3) It shall organize timely meetings of the Society's GB and EB.
- 4) It shall ensure timely accounting, auditing and reporting under the project.

Composition

Regular staff:

Head of PFU – CEO of the Society (CCF / CF on deputation to the Society)

LS Program Manager - Dy CF (on deputation to the Society) or an equally experienced person recruited from the open market

Staff on contract:

LS Program Manager (M&E)

LS Program Manager (Capacity Enhancement)

GIS / MIS Manager
 Small Grants Fund Manager
 Database administrator
 Finance assistant (1)
 Administrative assistant (1)
 Other support staff (as required)

DISTRICT LEVEL

District level actions for ‘Convergence’ amongst various line agencies in the district

What is visualized?

‘Convergence’ in the context of BCRLIP has following elements:

- a) Develop a ‘shared vision’ on BCRLIP at the district level
- b) Mainstreaming of Biodiversity conservation concerns in district planning and implementation process
- c) Review and redirection of rural developmental programs and schemes (both of the government and non government agencies) in the district to further the shared vision of BCRLIP in the district
- d) Awareness building and capacity enhancement of relevant line agencies in the concerned district/s

The diversity of situations in the various landscapes as under does not readily allow the visualization of a uniform arrangement at this level:

LS	District	Forest administrative units
Askot	The Landscape is smaller and lies entirely within a district	The landscape is smaller than and lies entirely within a single forest administrative division
Little Rann of Kachch	The landscape encompasses areas that fall in 5 different districts	The landscape includes areas in which 10 different forest administrative divisions have stake and ongoing activities

Accordingly at the district level an appropriate existing institutional ‘space’ is proposed to be utilized by the BCRLIP for bringing about functional ‘convergence’ in thought and action amongst the various relevant line agencies in the district.

Methodology

- The Executive Body of the Society shall mandate an existing district level committee / forum to operationalise the ‘convergence’ agenda of BCRLIP at the district level
- The Society in turn shall provide the convener of the said committee as well as the concerned district collector and other officials with ‘material’ (Educational and awareness related) and ‘experience’ (in form of formal and informal training programs and visits to relevant learning centres within and outside the state) for the needful

- The Society shall follow up from time to time with the progress made on the 'convergence' front by the said district level committee including experience sharing at the national level annual seminar (to be organized annually by the PMC at the MoEF)
- The Society's annual progress shall report details of the initiatives taken and gains made on 'convergence' in the concerned district
- The project's M&E arrangement shall take progress achieved with 'convergence' in the district fully into account

SUB DISTRICT LEVEL

(Taluka / Development Block / Tehsil / Forest Range etc)

Just like the district level even at the sub district level it would be left to the PFU under the direction of the Society's EB to identify and vest with the responsibility to organize and coordinate the availability of relevant technical expertise and inputs into the grass roots micro-planning

What is visualized?

Since it is at the sub district level where the technical expertise in form of tehsildar, forest range officers, sub engineers, and inspectors of various relevant departments like revenue, forest, agriculture, minor irrigation, PHE, animal husbandry, soil conservation, industries, non conventional sources of energy etc are present and available, it is proposed to look for existing mechanisms which could be utilized to technically appraise and approve relevant portions of the micro-plans as they are put into place. In addition it is at this level that the micro-planning process at the grass roots would need to build synergies with in order to capture information in the micro-plans regarding ongoing schemes, plans and processes which would then help focus ongoing developmental initiatives meet in the true spirit of 'convergence' such rural livelihood improvement needs that the limited project funds may not be able to address or fulfill.

It is at this level that the local political / PRI leadership in form of Block Pramukh etc operate with good understanding of local conditions and needs and whose inputs and ownership of the grass roots micro-planning exercise would be useful and essential.

Actions

The PFU shall identify and coordinate with such sub district level coordination mechanisms which could then fulfill the requirements as mentioned before with respect to the participatory micro-planning preparation as well as implementation processes

The PFU shall detail such mechanisms (as per the field realities of the concerned landscape) which would enable technical appraisal and approval of such Rural Livelihood Improvement activities (eg. community energy plantations, agricultural field bunding, small anicuts, village ponds, approach roads, landslide stabilization structures etc) which may require technical inputs from experts.

The project presumes that the grass roots need hand holding for the following:

- a) Preparing an inclusive micro plan for the village which has been worked out in full consultation and understanding of various players (sub village groups, PRI, village elders and religious and traditional village heads, different government and non government functionaries active in the village, local and interested research agencies etc) using standard as well as innovative consultative tools

- b) Reviving / building social capital (bonding and bridging amongst village HHs / communities) within the village for facilitating inclusive planning and implementation of project activities
- c) Identify, and cultivate natural leaders amongst the local people to act in due course as the agents of change
- d) Training for skills up gradation of village youth and women and the village level agency for basic project management activities like keeping minutes, maintaining accounts, conducting audits and M&E and documentation of various works in a participatory and transparent manner
- e) Enabling the villagers and their representatives to find and express their 'voice' at various forums at the village and other levels
- f) Play the role of knowledge and information providers to the grass roots on different government schemes and other innovative ideas, peer to peer learning, exchange visits, etc
- g) Ensure the quality of village annual plans and assist the village level agency to access expert support for technical approvals of their planned works of technical nature
- h) Promote sustained 'convergence' of various government agencies as a goal of the village level agency

Role of the Society :

The Society (PFU) shall facilitate the following:

- a) Identify and hire suitable third party agency (NGO / expert institution / individual/s) to play the role of local level facilitator of the grass roots level project planning and implementation agency, in landscapes where it itself is not directly playing that role.
- b) Organise an initiation cum sensitisation program for the local project facilitating agency (to be called **Gram Mitra** or similar such local term) so that they are clear about the project's expectations and their role therein.
- c) The Gram Mitra is the NGO outsourced by the Society to assist the communities in planning, implementation and monitoring of project activities/outputs. To do so they will be required to prepare a cadre of change agents (the promising leaders from within the community) who should be leading the charge. All this will need long term hand holding, and not just getting the communities to put a micro-plan in place. Therefore a comprehensive TOR for the 'Gram Mitra' will need to be put in place by the PFU.
- d) The PFU will get the Gram Mitra to organise capacity enhancement visits and training programs for the village youths and others identified for local leadership roles.
- e) The village 'change agents' as described before once they get trained, then their services will need to be compensated through the Gram Mitra as they will be in constant touch with them. But it is visualized that in due course say after the MTR stage if they have been able to prove their worth, it should be for the community to recognise their services and remunerate them (to the extent possible) accordingly. Such approach will go a long way in ensuring sustainability of project outcomes.
- f) The EB of the Society shall review and approve the first year village Annual Plans prepared on the basis of the village micro plan and later it shall be the PFU that shall carry out the said function.
- g) Shall transfer RLI funds earmarked for the village as per the approved Annual Plan into the grass roots agency accounts through the relevant line agency (PA manager or the DFO) within 15 days of the receipt of the concerned funds by it from the PMC at the MEF

- h) Shall set up a mechanism in place by which regular progress reports and audited accounts (audit to be carried out by a CA on the panel of the Society) of the expenses are received from the grass roots agency without any delay
- i) A participatory M&E arrangement shall be put in place for all activities being undertaken by the grass roots agency.
- j) Shall hire third party expert agency/ies to carry out project impact assessment studies from time to time during the life of the project with special emphasis on identification of state of maturity (build up of social and economic capital) of the grass roots agency to ensure sustainability of the project gains beyond the life of the project.

Village level agencies in different Landscapes

It has been seen that in most landscapes there are active or dormant village level agencies which were created either as a result of some project which has since expired (eg MPFP, KFP) or been created by the state as traditional institutions like the Van panchayat (UK) or for the implementation of the recently started Forest Development Agency (FDA) program or state specific project like Tamil Nadu Afforestation Project or SNEHAL (Gujarat). Following are the kinds of village agencies present in the villages in the various landscapes:

Landscapes	Grass root agencies	PRI
Askot-Uttarakhand	Van Panchayat (specific to Uttarakhand)	Gram Panchayat
LRK-Gujarat	JFMC (under the FDA), VDC (SNEHEL), Pani Samiti	Gram Panchayat

Action

- 1) The PFU shall request the Gram Sabha in each target village to meet, discuss and select an existing village level agency (except in Askot LS where the Van Panchayats are already identified as the sole candidates) to act as the planning and implementing agency at the village level for BCRLIP.
- 2) The chosen agency shall then revitalize itself (if it is not already fully active) in a democratic fashion by electing its Executive Body consisting of a President, Vice President, Secretary (if it is not in an ex officio capacity as per the existing government circular in the matter), Treasurer and members. It is presumed that all adult male and female in the village (unless otherwise specified by a government notification) shall constitute the General Body of the said agency. It is also expected that the said chosen agency shall provide mandatory representation on its Executive Body to women, SC/ ST/ OBC, landless and other marginalized and NR dependent people in the village. (The state shall frame enabling rules for the same where these do not already exist or are not comprehensive enough).
- 3) The *Gram Mitra* (under the guidance of PFU) is expected to interact closely with the BCRLIP village agency for initiating capacity enhancement activities and for initiating the process of micro-planning as per the project guidelines and other instructions / circulars issued by the concerned state government in the matter.

Responsibility

The BCRLIP village agency shall (in close association with the *Gram Mitra*) be responsible for the following:

- a) Participatory micro-planning for the identification of rural livelihood improvement activities in the village
- b) Participatory and transparent implementation of the RLI activities in the village
- c) Open and operate a bank account in the nearest nationalized Bank for accessing the BCRLIP funds from the Society and to utilize the funds as per the project guidelines and norms.
- d) Prepare and submit timely reports to the PFU
- e) Maintain proper accounts and ensure their annual audit by the PFU appointed chartered accountant or any other auditor as provided under the project norms
- f) Create and develop a Village Common Fund (VCF) in accordance with project guidelines
- g) Adequate space in the working of the Village level agency shall be provided to the sub - village user groups or SHG/s in accordance with project guidelines and norms specified for the purpose under the Micro-planning guidelines and enabling government circulars in the matter
- h) Access technical advice and expertise from relevant line agencies and other experts on as per need basis and remunerate them for their services
- i) Build and strengthen links with the PR Institutions in the village so that necessary synergies can be developed

PROJECT IMPLEMENTATION PLAN															
Activities	Sub activities		Year wise												
			Year 1	Year 2	Year 3	Year 4	Year 5	Year 6							
PLANNING															
	Protected Area Guidelines finalised														
	Working Plan Guidelines finalised														
	Micro Plan Guidelines finalised														
	Target Village List validated														
	LS Baselines (Social /Biodiversity)														
	Protected Area Planning / review														
	Working Plan revision														
	Micro Planning														
	Validation of BSA														
IMPLEMENTATION															
	National and LS level institutions established and operationalised														
	Staffing														
	Procurement														
	Fund flow mechanism formalised and operationalised														
	Consultation with line departments														

5. MONITORING, EVALUATION & LEARNING:

Monitoring and evaluation has been mainstreamed into all project components and will be conducted at three levels: (i) national level, in relation to learning and replication impact ; (ii) site-level impact monitoring; both biological and socio-economic, and (iii) project implementation. A detailed monitoring and evaluation program has been developed during project preparation to monitor the impact of project interventions. Project outcome indicators would cover a range of ecological, social and institutional parameters, with adequate funding to strengthen existing and relevant base lines (biological, socio-economic) and measure the impact of project interventions measured against the baseline. Outcome indicators include (i) more effective management of PAs within landscapes (ii) effective conservation of biodiversity within production landscape units (i.e. outside protected areas) measured through vegetation quality/cover and stability or increase of populations of key indicator species; (iii) local communities deriving measurable social and economic benefits from the conservation and sustainable use of biodiversity and rural livelihood activities connected to biodiversity conservation; (iv) broader civil society and political support for conservation; (v) biodiversity conservation activities mainstreamed and implemented in forestry and rural development at target sites; (vi) functioning national networks of learning centers for biodiversity training; and (vii) improved capacity, knowledge and awareness of biodiversity conservation issues and actions. There will be a strong emphasis on community involvement in monitoring including tools based on local ecological knowledge.

5.1 Description of Monitoring and Learning System

The Monitoring, Evaluation and Learning (ME&L) system of BCRLIP would consist of the following broad components, namely

- (i) Progress monitoring of project inputs and outputs;
- (ii) Performance monitoring of community institutions, livelihood investment, and project processes;
- (iii) Internal Learning, feedback and Social accountability measures; and
- (iv) Baseline and impact assessment

Each of the above mentioned components are described in detail in the following paragraphs.

Progress monitoring would cover activities/inputs and outputs to assess progress against planned activities. The progress monitoring would track mainly quantitative indicators for each of the project components and sub-components. The following are the example of some indicators on which quantitative information would be collected at regular intervals of monthly, quarterly and six monthly basis as appropriate. The Project Management Cell(HQ) with the help of an MIS consultant would prepare a detail list of indicators that cover all components of the project.

- Coverage of the project - geographic, demographic, coverage of socio-economic groups
- Project funds, human resources, capacity building (training, exposure, etc.)
- Component wise number of Plans submitted and approved,
- Number of Community based organizations.
- Number of livelihoods asset created and value of asset

- Number of economic and social infrastructure created
- Amount of beneficiary contribution
- Training received by the target groups
- Facilities created for disabled and vulnerable groups
- Progress in various dimensions of social mobilisation and pro-poor inclusion
- Progress of convergence with private sectors, financial institutions, line depts.
- Number and type of training received by the project staff, etc.
- Number of complaints received and disposed

A Computerised Management Information System (CMIS) will be the main instrument for tracking physical progress against the quarterly, annual and cumulative targets/activities of the project. The CMIS would capture information related to activities (and its immediate results or outputs) that are conducted under each of the four project components.

The data would be collected on monthly, quarterly and six monthly basis depending upon the nature of inputs/activities. The CMIS would largely serve the purpose of internal progress review (both physical and financial) against the planned activities and reporting to the MOEF, the World Bank and other stakeholders. This would also provide necessary information/reports for quality monitoring of project inputs and outputs, process monitoring and thematic studies by the external agency as proposed later in this chapter.

It is planned to integrate the financial information with the physical progress data to get a comprehensive view of financial analysis of different activities. The proposed MIS would be developed in a manner that it provides financial information matching with the physical progress data.

For monitoring quality aspects of project activities and outputs it is proposed that an external agency would be engaged. The agency on every six month would conduct quality monitoring of activities and outputs including utilisation of resources on sample basis. The findings of the agency will be consolidated into a report which would be shared concurrently with the World Bank and the Project management. It is anticipated that this monitoring would raise various operational issues which would require compliance from the project management.

A consultancy firm would be hired to design and develop the CMIS software and to provide handholding support to the MOEF, state government and landscape staff for operation and maintenance of the software initially for one year. Similarly for developing, training and maintenance of accounting software a consultancy firm would be engaged.

Criteria and indicators for assessing CBO (community based organizations) performance

CRITERIA

INDICATORS

1. Characteristics

- Size
- Social homogeneity: kinship/other social ties, Absence of dependency relations.
- Not dominated by politically/economically powerful households
- Inclusion of poorest, vulnerable, different-abled persons

CRITERIA	INDICATORS
2. Identity & structure	<ul style="list-style-type: none"> • Members know the purpose • Members represent their households • Continuity in household representatives • All members can give an account of all the group's activities. • All members can give an account (General) of the group's finances.
3. Leadership	<ul style="list-style-type: none"> • Leadership role changes as per agreed norms including bank signatories • Leaders have been elected/selected by the members. • Selection/election of leader based on desired characteristics
4. Functioning	<ul style="list-style-type: none"> • CBO has a set of rules (bye laws) which has been discussed and agreed and sanctions for rule breakers. • Regular group meeting takes place with 80-90% attendance. • Majority of members contribute to group discussion and decision making.
5. Independence (Proportional to the age of CBO)	<ul style="list-style-type: none"> • Maintenance of records with diminishing support from the project • Majority decisions are taken independent of the project staff • Majority of activities taken up independent of the project • CBO makes use of planning skills on its own.
6. Resource mobilization	<ul style="list-style-type: none"> • CBO mobilises specialised skills/services from the government.
7. Resource Management	<ul style="list-style-type: none"> • (Equitable) investment of project funds (poorer people included) • The CBO has shown ability to negotiate with the various stakeholders • Group effectively oversees/ manages the work of service providers • Budget control • Transparency
8. Skill acquisition & use	<ul style="list-style-type: none"> • X% of Groups members have attended Y training programmes (including specialised training) • Groups have used planning skills to identify and solve operational problems.
9. Distribution of benefits	<ul style="list-style-type: none"> • The need of poorer members and women are specially met
10. Links with external agencies	<ul style="list-style-type: none"> • CBO obtains govt. scheme/bank finance/technical assistance/market linkage, etc. to meet identified needs • CBO members have basic knowledge of available schemes, resources, technology centres etc. and use

The institutional performance tracking would be undertaken annually for all types of CBOs and would be used as triggers for project assistance and also be used for developing capacity building strategy.

The MOEF Monitoring & Learning Specialist, State and landscape MIS and Finance Officer will be responsible to accomplish this task on a timely basis.

5.2 Process monitoring (PM)

The Process monitoring would be undertaken to help the project management and others involved in the project to understand factors responsible for deviation in the implementation process and actions necessary to increase management effectiveness. PM would, therefore, verify the quality and performances of the project implementation on a continuous basis and give inputs for correction.

The monitorable processes on which project needs qualitative assessment can be broadly divided into two categories – (i) field implementation related processes; and (ii) project management related processes. The processes would be identified on the basis of their critical importance in the project. Some examples under these two categories are given below.

i. Field implementation related processes that can be monitored are

- Process of CBO formation and development
- Inclusiveness in planning, execution and benefits sharing
- Institutional performance of CBOs
- MIP implementation and quality of project goods and services
- Utilization of infrastructure created by the project, etc.
- Compliance to the social and environmental safeguards
- Intermediary impacts of project activities/inputs
- Convergence of CBOs with Private sectors including financial institutions, line depts, etc.

ii. Project management and Organisational development related issues

- Staff recruitment and capacity building process
- Relationship between different levels of project management units
- Role clarity of staff
- Process of procurement of goods, works and services
- Village and beneficiary selection process
- MIP, Value chain proposal appraisal process
- Fund disbursement process to the CBOs and units
- Process of social accountability/information disclosure plan
- Performance of MIS and internal learning system, etc.
- Adherence to the business standards
- Coordination among various stakeholders at the field level, etc.
- Performance of wider dissemination mechanism of the project

The Process Monitoring would be carried out six monthly by an external agency hired for the entire project period. The rationale behind engaging an external agency for PM are (a) bringing objectivity to the exercise avoiding biases in the findings that might come into play, and (b) to deal with the constraints of lack of capacity of internal staff for undertaking such assignment.

Broadly the PM would follow the steps below:

- The process of PM would start with the identification of monitorable processes, process steps and their corresponding indicators of success. The processes will be identified on the basis of their **criticality** to the project.

- As next step the samples for PM would be selected in consultation with the MoEF. Significant degree of qualitative information is expected from the PM to validate the indicators of the Result framework. Hence, while identifying issue/processes for PM the agency should ensure that issues selected are pertinent to the indicators of the Result framework. It is therefore important that the PM agency would first prepare a synopsis of their study before each round (after the workshop) and get it approved by the MoEF before proceeding for the field work.
- A team of 2-3 professionals from the PM agency along with the ME&L specialist and concerned technical specialists from the MoEF would be involved in researching the issue and collect data to substantiate their findings.

For the field implementation related processes where community is involved data will be collected using the participatory appraisal tools like meeting with the CBO representatives, etc. The benefit of using participatory tools is that the data providers will get on-the-spot analysis of the information provided by them. During data collection at the field the presence of the landscape level Coordinators and Community Resource Person is necessary as this would help them to follow up on the issues came up during the process monitoring.

- The PM would be objective in its findings and presented in a structured manner. The findings and observations of PM would be shared in a workshop and an Action Required Report (ARR) would be prepared for follow up action. The subsequent round of PM will review the actions taken of the previous ARR and document it in the form of Action Taken Report (ATR) in the current report.

The final report of the PM would cover :

- Issues/processes identified for process monitoring and rationale for identification,
- methodology followed for data collection and analysis,
- process discussion, concerns/gaps,
- synthesis of findings in relation to the specific indicator/s of the Results Framework
- suggested actions/recommendations
- Agreed actions in the form of Action Required Report; and
- Action Taken Report of the previous round.

c) Thematic studies

Thematic studies on specific issues would also contribute in assessing performance of the project. Also to validate the qualitative indicators of the Result framework the thematic studies would be required. Specialized agencies will be hired to conduct these studies. The studies will be evaluative in nature but will also capture the good practices of the project. It is difficult to anticipate that on what issues/themes such studies would be conducted and in what periodicity as it is understood that indication for thematic studies would emerge as the project progresses and from the findings of the process monitoring and external quality monitoring stated above.

Internal Learning, feedback and Social accountability measures

Monitoring is also about consolidating learning and its sharing among the stakeholders of the project including the community. Various measures are therefore proposed in this regard.

a) Social Accountability and disclosure measures:

As a first step towards facilitating learning among the stakeholders, especially among the primary ones, the project would proactively undertake measures which promote information disclosure and social accountability. The following measures are proposed.

5.3 Impact evaluation

Impact evaluation would involve comparing qualitative and quantitative outcomes before and after the project. The Outcome and output indicators would be the point of reference to establish the net effect of the project. The impact evaluation would consider major assumptions to establish causal relationship between Activities, outputs and outcomes. The impact evaluation study would require rigorous methodology and quality analysis. Two impact evaluations are planned during the project period. The Mid Term Evaluation would be commissioned at the end of PY-3, while the Final Impact study would be conducted at the end of the project.

Institutional arrangement for M&L

The MoEF will be responsible for the overall ME&L. It will employ and maintain throughout the project period, a full-time M&L Specialist who will be assisted by a Communication Officer and an MIS Assistant. Besides the full time staff the PMC will hire the services of the specialised agencies for (a) design and develop Computerised Management Information System, (b) Quality monitoring of project inputs, (c) Process monitoring, (d) Thematic studies, and (e) baseline and impact studies. At the landscape level there would be an MIS & Finance Officer who would coordinate the ME&L functions in the landscape.

Summary of M&L system

M&L Component	Information collected on	Instrument	Type of data	Frequency	By whom to whom
Progress monitoring	Inputs & outputs	Pro-forma, Computerized MIS, & Computerised FMS	Quantitative	Monthly/quarterly	Landscape – state - MoEF
Performance monitoring	- Institutional performances of CBOs, - Livelihood investment, & - Project processes	- Assessment against Institutional Development Indicators; - Process monitoring - Thematic studies	Qualitative	- Annual - Six monthly demand based	LANDSCAPE & STATE - External - External
Internal learning	Project processes, best practices, information disclosure, etc.	- Disclosure of info. Sharing at workshops at various level, - Peer review	Qualitative	- Monthly at the PANCHAYAT LEVEL, VILLAGE - Quarterly for LANDSCAPE	- LANDSCAPE & STATE

				& STATE - six monthly for MOEF & STATE	
Baseline & Impact Evaluation	Before and after the project, Project impacts and outcomes	Baseline and Impact evaluation	Quantitative & Qualitative	Before project, Mid term & Post project	External

Participation Index

Participation Index or PI provides insights on participation and targeting. It is a simple tool, which captures involvement of target communities in various activities of a development intervention. However, it does not capture the degree of participation or involvement by the community but gives an indication and direction for further research in participation. In other words, it is an assessment of participation of target community in the project activities since inception according to their social class, well-being rank (WBR) and sex, answering the basic question of 'which household participated in which activity and how frequent is their participation? The basic purpose is to monitor whether most deprived in the community, poor, very poor (SC and ST families, wage earners, landless households, women headed households in this case), are participating in these key activities, meant for them. PI gives vital insights into the implementation processes of any project and peoples' access to various project created opportunities and assets. If repeated at regular intervals, PI helps make on-course corrections in implementation methodology to maximize participation of target community in the project.

Utility of the tool:

Participation Index(PI) is useful in the following:

- Programme planning and capacity building at community level;
- On-course correction in programme implementation;
- Maintaining equity in resource allocation to different groups and sub-groups within the community;
- Social audit process;
- Tracking beneficiaries of major project activities;
- Developing awareness about different project activities;
- Developing baseline of community involvement in project activities;
- Mapping overall picture of HH participation in different activities;

Tool Implementation Process

Before making use of the tool, a checklist of all activities undertaken in the development intervention is prepared based on the available secondary information in consultation with the members of Project team. The list of activities so prepared is crosschecked with other available information and then validated with the communities /villagers. This list is then categorized into broad activities. The exercise is conducted with all the households in the hamlet or village irrespective of their membership status in community institutions like SHGs. The profile of activities is presented before the villagers and household wise information is extracted based on their participation in different activities since the beginning of the project in that watershed village. Analysis of the available primary information is done in a participatory manner involving the community and the findings are presented before them. PI

can be conducted in every six month and with little facilitation any community resource person can do the exercise.

The Applicability and Validity

Participation Index has been applied successfully across more than 10000 Households in Western Orissa Rural Livelihoods Project. The tool has been found useful in guiding overall Project strategy and implementation methodology. The tool has also been implemented by many other development projects (Western India Rainfed Farming Project, Eastern India Rainfed Farming Project, Karnataka Watershed Development Project etc.)

The simplicity of the tool allows its easy customization and validity to any development setting.

Group Self Assessment (GSA)

Group Self Assessment (GSA) is capacity assessment tool for community institutions (Self Help Groups, Village based Groups, Federations, User Groups, Watershed committees, Bio-diversity Groups, Common Interest Group etc.). The assessment is done by the group member themselves. The members assess the progress, achievements, group processes and thereby find out areas of further improvement and capacity building requirements. The assessment is generally carried out bi-annually. Vision building is one of the important aspects of GSA. Here the members are motivated to set a vision for themselves, which they want their group to achieve in coming 5 years or 10 years. Once the vision is set, the group measures its status (when the exercise is conducted), against the vision. GSA has a set of 6 – 9 parameters and each parameter has series of sub-parameters on which the community institution like SHGs, Village level committees assess their own strength and assign a score. After going through all the parameters and sub-parameters and scoring against each one of them, a summary of score is prepared. The exercise is facilitated either by development project staff or by community volunteers trained on the tool. The group initially discusses each criterion in detail and then generates consensus on scoring their institution on that criteria. The exercise generates both qualitative and quantitative analysis useful to groups, community institutions and the project.

Tool Implementation Process

Before making use of the tool, the indicators of assessment are customized to the roles and structure of the group. The list of indicators and sub-indicators is prepared with the Project team and community members which are further validated through community groups.

Utility of GSA

- Periodic assessment of the groups and community institutions through self reflection;
- Assessing capacity building requirements of the groups and for the project as a whole;
- Strategizing institution building plans;
- Sensitizing members about their own strength;

GSA leads to identification of areas of strengths and weaknesses; build on the strengths and reduce weaknesses. GSA provides an opportunity to hold a mirror to the members on the strength of the group.

The generic version of the tool has six parameters related to:

1. Group Participation;
2. Group Norms and Awareness;
3. Maintenance of Transparency
4. Financial Strength and Group Fund Management;
5. Group Planning and Activities;
6. Groups Relations with Local Resource Organizations;

The exercise is conducted with all the Groups functioning in the Project area mobilized for a specific purpose. The analysis of the reflection data is done based on designed analysis templates. GSA can be conducted in a Group every six month with facilitation by trained community resource person.

The Applicability and Validity

GSA has been applied successfully across more than 500 different types of community institutions in Western Orissa Rural Livelihoods Project. The tool has been found useful in community empowerment and in guiding overall Project strategy and implementation methodology. The tool has also been implemented by many other development projects (Western India Rainfed Farming Project, Eastern India Rainfed Farming Project, Karnataka Watershed Development Project etc.)

The simplicity of the tool allows its easy customization and validity to any development setting.

Measure of Livelihoods (MOL)

Measure of Livelihoods (MoL) is an impact assessment tool, which measures livelihoods status of people by tracking changes in the five capitals, namely, physical, financial, social, human and natural, which are considered vital to the livelihoods of people. MoL has three parts:

- **Iconised References (IR):** Villagers identify five different persons in the village, whose capital status show a gradual variation from lowest to the highest or vice-versa on all the five capitals. Yet these five persons are distinctly identified in their category. Then the

rest of the community identifies itself with these references. The tool is derived from a series of indicators on five capitals, which are locally relevant and selected by the people.

- **Case Studies (CS):** Case studies of families which show unexpected or sharp variation in their asset status is prepared to understand the interplay of capitals underlying factors which cause such wide variation. Selection of family is done after the capital tracking is finished for the target group.
- **Vulnerability Context (VC): VC is the third most important component of MoL.** It involves mapping of the vulnerable factors which influences and alters the growth or transformation in capital of people. Some of these factors are beyond the influence of the project, some of the factors are influenced to some extent and some factors are fully influenced by the project. There is a vulnerability continuum in which peoples' livelihoods grow.

MoL maps the five capitals against the Well Being Ranking created by the community for their village. For example, key physical assets available with the poorest in the area and the richest in the area are clearly mapped out using the tool. The first part provides quantitative data and trends on how the five capitals behave within the project area. The second part provides the qualitative aspects, within the same sample, so that managers can take critical decisions such as re-strategising. Third part provides contextual information, which validates first and second part and also addresses attributability of changes in livelihoods.

Utility of MOL

- In tracking livelihood status of the HH's , trends in the impact on livelihood status of target community
- In planning and decision making at the various levels for better programming and support to the community
- In understanding change in case of selected households which will help managers to take critical decisions related to reformulation of strategies

MOL is based on **the concept of five capitals in Sustainable Rural Livelihoods Framework:**

- a. **Financial Capital:** direct result of increase in income status (salary, loan, savings, jewellery, etc);
- b. **Social Capital:** Community based organizations, exposure visits, various other interaction forums, membership of CBOs, etc;
- c. **Physical Capital:** with increased income and livelihoods options (LBA/NLBA), more assets like household items, vehicle being acquired by HH;
- d. **Human Capital:** Capacity building, awareness on health, education etc., literacy for women, exposure visits;
- e. **Natural Capital:** interventions on agriculture, improved crop varieties, land based activities increasing productivity of natural capital;

Tool implementation process

The concept of the five capitals is explained to the community. The members are allowed to seek clarification, if any, on the five capitals. Taking one capital at a time, level one indicator is explained to them. The most representative person in the group representing level one indicator is found out. Similarly representative persons in other levels are also found out. These representative persons are made icons. The group members are then requested to identify themselves with one of the icons in that capital. The members get a score according to the level they fit in; if a member identifies herself with the 4th level then she gets a score of 4 in that capital. This process is then repeated for all other capitals. When done for the first time, MoL generates the livelihoods baseline for that group in the project. Case studies are recorded where there is interesting variation in the capital status of members.

The Applicability and Validity

MOL has been applied successfully across more than 3000 Households in Western Orissa Rural Livelihoods Project. The tool has been found useful in guiding project strategy and in understanding impacts. The tool has also been implemented by many other development projects (Western India Rainfed Farming Project, Eastern India Rainfed Farming Project, Karnataka Watershed Development Project etc.).

The simplicity of the tool allows its easy customization and validity to any development setting especially in the livelihood sector.

6. FINANCIAL MANAGEMENT:

Fund Flow:

Government Of India level:

Following steps define the standard budgeting and fund flow procedures followed by the government of India:

- a) Planning Commission – The Planning Commission approves any new plan as proposed by a Ministry of the Union and allocates agreed financial resources for the same
- b) Ministry of Finance (Department of Economic Affairs) – The DEA in the MoF acts as the governing body in respect of all fund flows originating under an externally aided project (EAP) like the BCRLIP.
- c) Ministry of Environment and Forests – The MoEF is the nodal union Ministry for planning and implementation of a project like the BCRLIP. It is responsible for submission of timely budgetary demands for disbursement to the DEA in MoF. Accordingly the Project Management Cell (PMC) at the MOEF shall submit timely budgetary requests (original and revised) to the IFD (Internal Finance Division) in the MoEF following standard procedures for sanction of budget and allocation of funds.
- d) The PMC at the MoEF shall on receipt and review of state's Annual Plan of Operation (APO), progress report/s if any due and the Utilisation Certificate (UC) for funds if any, released in the preceding financial year send the allocation request to the IFD of MoEF. On receipt of due sanctions from the IFD issue the sanction order authorizing the concerned Drawing and Disbursing Officer (DDO) for the release of funds due through a crossed demand draft made in the name of the respective BCRLI Society following the FDA model of fund disbursement. The said sanction order shall specify the terms and conditions under which the funds shall be utilized by the BCRLI Society including standard norms of accounting and auditing as in vogue in the FDA system.

State level:

- e) The project implementation institutional arrangement for BCRLIP suggests the formation of an autonomous Society (called as the BCRLIP Society) by the respective state to act as the facilitator of the project implementation in the concerned landscape. The Project Facilitation Unit (PFU) which is the office of the Chief Executive Officer (CEO) of the Society shall receive the funds against its approved APO from the PMC at MoEF and hold the same in an exclusive bank account opened for the purpose in a nationalized Bank.
- f) The PFU shall in effect hold the following three kinds of funds:\
 - Funds (F1) meant for activities relating to BD conservation and capacity enhancement (as per the APO) in the PA and the non PA forest areas, to be implemented by the PA manager and the non PA forest manager respectively.
 - Funds (F2) meant for RLI activities (as per the APO based on the pre approved micro-plan for the village) to be implemented by the village level agency.
 - Funds (F3) meant for Society management, facilitation and capacity enhancement activities and for meeting directly the funding support need (emerging out of micro plan implementation needs as arrived at either at the Society EB meeting or in the district level coordination meet) of any other line agency.

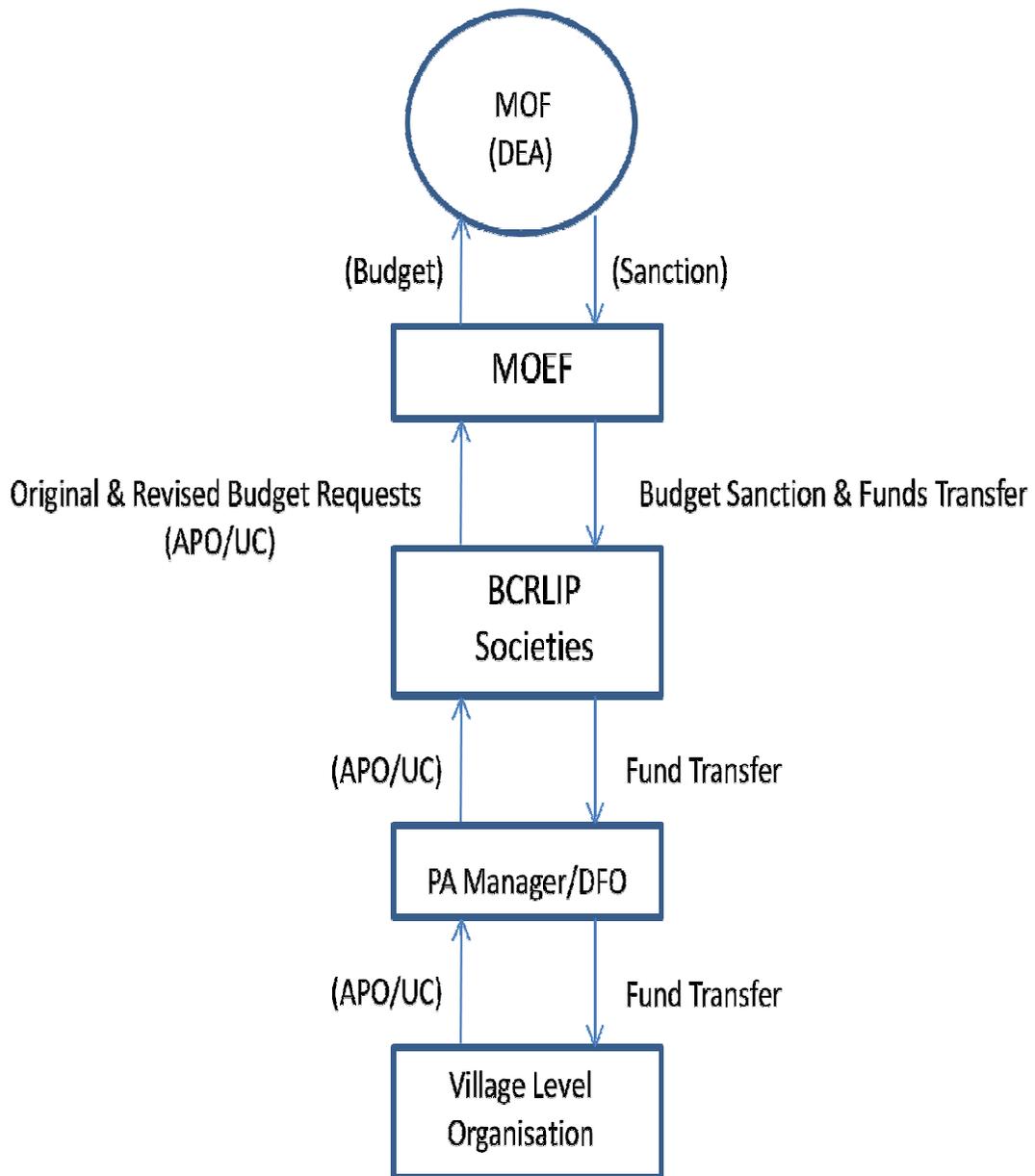
g) In light of the above the PFU shall retain F3 funds in its own account and transfer funds due (in accordance with a pre approved APO and on receipt and review of progress reports, periodic accounts etc) as under:

- F1 and F2 funds either to the PA manager or the concerned Divisional Forest Officer through demand drafts (separately for F1 and F2 funds) for the needful at their end.
- In turn the concerned PA manager (for the villages falling within the PA) and the DFO (for the villages falling in his / her jurisdiction) as the case may be shall transfer F2 funds in to the account of the village level agency through a demand draft.
- Such transfer of funds shall be made within 15 days of the receipt of funds by the PFU from the PMC and within 7 days of the receipt of the funds by the PA manager or the DFO from the PFU.

Village level

h) The village level agency shall submit timely APO (for the activities mandated by the pre approved Micro-plan for the village) and any other progress report / account due to the concerned PA manager or to the non PA forest manager as the case may be (with a copy to the PFU) which in turn shall transfer requisite funds through a demand draft in the manner as specified in para h) into the accounts of the said agency.

Arrangement:



APO – Annual Plan of Operations; DFO – Div Forest Officer; PA – Protected Area; UC – Utilisation Certificate; DEA – Department of Economic affairs; MOEF – Ministry of Environment and Forests; MOF – Ministry of Finance;

Terms and conditions for funds disbursement (based on FDA model) to the Society by the PMC at MoEF:

- a. The funds received by the 'Society' shall be deposited in their exclusive and separate current account in a Nationalised Bank, which would be operated jointly by the CEO and the Finance Officer of the Society
- b. The Society shall release the amount earmarked for the concerned line agency or the village level agency (name) by demand draft within 15 days of receipt of funds from MOEF based on the fund requirement, progress of implementation and utilisation of earlier releases.
- c. The concerned line agency (name) or the respective village level agency (name) shall deposit the funds thus received from the Society in their exclusive and separate account in a Nationalised Bank / a Cooperative Bank / a Post Office, which would be operated singly by the Officer in charge of the line agency and in the case of the village level agency jointly by the President and the Member Secretary of the agency (name).
- d. Each line agency (name) or the village level agency (name) shall submit a monthly statement of accounts and progress of works carried out by them to the Society.
- e. The Society shall submit a quarterly report and an annual report to the respective state nodal department (Forest Department) and the MOEF
- f. The funds released under BCRLIP shall be subject to audit by the Comptroller and Auditor General of India or his nominated officer. Any other agency / officer/s authorized by the MoEF shall have access to the records, books and accounts of the Society and the concerned line agency and the village level agency for the funds received under the project.
- g. The Society shall be responsible for the guidance, coordination, supervision, periodical reporting and monitoring the implementation of the project by the relevant implementing agencies.
- h. The Society shall submit a non-diversion and non –embezzlement certificate each time a request for release of funds is made to MoEF
- i. The audit of accounts of the Society and the relevant implementing agencies shall be carried out on an annual basis by reputed Chartered Accountant who is also on the panel of C&AG

Accounting and Reporting:

1. The project accounting would be maintained at four levels:
 - a. Level 1: MoEF will be separate legal entity at the central level and would be reporting CAAA. Conservation & Survey Division would maintain their accounts using computerized accounting software and follow double entry accrual based system. MOEF would maintain a separate bank account for this project. The authority would maintain BCRLIP society wise accounts so that the advance given and work done can be reported properly. The books of account to be maintained are cash book, BCRLIP ledger, general ledger and other relevant works ledger. Formats of the books/registers for the project would be provided in the FM Manual The project will prepare and submit quarterly financial monitoring reports (FMRs) from the start of the project. The agreed formats of the FMRs would be included in the Financial Management Manual. FMR for every quarter is to be submitted within 45 days from the quarter end. The audited accounts for the project are to be submitted to the Bank within 6 months from the end of the financial year. MOEF would carry out bank reconciliation on a monthly basis. The project financial statements which need to be audited and submitted would be designed as a part of the FMM. This project would

be shown as a separate endowment fund in the overall entity balance sheet which would be maintained as per the formats provided in the CAG'S Guidelines.

- b. Level 2: BCRLIP society will be a separate legal entity at the state level and would be reporting to the MOEF. These societies would maintain their accounts using the same computerized accounting software as MOEF and follow double entry accrual based system. BCRLIP society would maintain a separate bank account for this project. The accounting software would be used as the source for preparing financial reports and reporting to MOEF. The BCRLIP society would submit audited annual accounts to the MOEF within 4 months from the end of the financial year. The society would carry out bank reconciliation on a monthly basis.
2. A Financial Management Manual laying down in detail the applicable accounting policies and procedures with separate section for the bookkeeping and accounting arrangements at each level of the project is placed at ANNEXERUE VIII (page 175).

Reconciliation of Accounts and Internal Control

3. BCRLIP would reconcile their accounts with the balances released/unutilized by VLO on a monthly basis. Only amounts that are actually expended by VLO//BCRLIP are eligible for bank financing.
4. To strengthen the internal control framework, the project would implement procedural controls to improve management of advances at various levels and accounting for the same. Monthly review of all VLO accounts will be done by PFU(BCRLIP), PFU(BCRLIP) balances would be reviewed by BCRLIP society and the MOEF would be reviewing the BCRLIP society advances on a continuous basis.

Financial Management Staffing

5. The overall staff requirement at all three levels namely MOEF, BCRLIP society needs to be strengthened. The finance function at MOEF would be managed by a FAO (chartered accountant) and supported by the accountants (preferably B.Com. graduates). In case of the BCRLIP society the finance and accounts would be managed by finance managers (preferably CA's/M.Com) who will be assisted by accountants (preferably B.Com. graduates). In case of VLO, any graduate/+2 pass person within the village can be employed as book writer to write the books of account. In some cases the secretary of the VLO (department official) writes the books of accounts which are also acceptable provided the books are maintained properly and on a timely basis. Training on accounting arrangements at the VLO level will be provided to the book writers by PFU(BCRLIP).

State level Audit

6. State level: MOEF would appoint CA firms at every project state to perform Audits. The auditors would audit the BCRLIP society, PFU and VLO which are being funded by this project on a quarterly basis. This is a part of the inherent project design.
7. While the major role of the auditor would be akin to internal auditor, the auditor would on an annual basis certify the state project financial statements. Certification of the project financial statements would also include audit and certifying the project financial statements of BCRLIP SOCIETY and VLO which are funded by the project. The auditor would also take into cognizance the internal audit reports and internal control issues at the time of finalizing the audit report. The annual audit report submitted by auditor should consist of (i) annual financial statements (ii) audit opinion (iii) reconciliation of claims sent to MOEF and (iv) management letter highlighting weaknesses, if any, and identifying areas for improvement.
8. Each BCRLIP society would constitute an audit committee for reviewing the audit reports and taking up special audits of PFU/VLOs where there are indicative problems of financial issues.
9. The auditor would be selected from the panel of empanelled CA firms with the CAG. The auditors will be appointed based on selection criteria agreed with the Bank. TORs for the audit will also be agreed with the Bank by appraisal.

National level Audit

10. The Accounts of the Project would be audited by comptroller & Auditor General at MOEF level.
11. CAG would audit the Project financial statements based the books and records maintained at MOEF and based on the state audit reports and would produce a consolidated audit report. The annual audit report submitted by MOEF should consist of (i) annual financial statements (ii) audit opinion and (iii) management letter highlighting weaknesses, if any, and identifying areas for improvement. The auditors should also provide reconciliation of expenditures reported in the FMRs with the figures of project financial statements and withdrawal claims submitted during the year and certify the claims.
12. The annual project financial statements of MEF audited by the CAG would be submitted within 6 months of the close of financial year. Thus the following audit reports will be monitored in the Audit Reports Compliance System (ARCS):
13. The auditor would be selected from the panel of empanelled CA firms with the CAG. The auditors will be appointed based on selection criteria agreed with the Bank. TORs for the audit will also be agreed with the Bank by appraisal.
14. Entities registered as societies will be required to get their accounts audited annually as per the requirements of the Societies Registration Act by a CA firm. These audit reports will be used by the project for project management and monitoring purposes, but will not required to be submitted to the Bank.

Supervision

15. In the early stages, FM supervision activities will focus on the adequacy of action plan items designed. As the project implementation moves forward, desk reviews of internal, external audit reports and FMR will be conducted. Site visits will be planned as needed to review internal control procedures and practices. The focus during supervision will be on building capacity at all levels of accounting and reporting.

7. Procurement Arrangements

A. General

Procurement of all goods, works and services will be carried out in accordance with the World Bank's "Guidelines: Procurement Under IBRD Loans and IDA Credits" dated May 2004, revised October, 2006 (Procurement Guidelines); and "Guidelines: Selection and Employment of Consultants by World Bank Borrowers" dated May 2004, revised October, 2006 (Consultant Guidelines) and the agreed procedures described in the Legal Agreements.

The procurement arrangements for the project are described in general below. For each contract to be financed by the Loan/ Credit, the different procurement methods or consultant selection methods, estimated costs, prior review requirements etc are agreed between the Borrower and the Bank in the Procurement Plan. Initially the procurement plan will be prepared for first Eighteen months of the project. The Procurement Plan will be updated at least annually or as required to reflect the actual project implementation needs and improvements in institutional capacity.

1.1 Procurement:

The Biodiversity Conservation and Rural Livelihood Improvement Project (BCRLIP) aims to conserve biodiversity in two selected landscapes including wildlife protected area/critical conservation areas, while improving rural livelihoods through participatory approaches

Project Supports a bottom-up approach that focuses on community prioritizing decisions on majority of the Procurement activities. Most of the labour intensive conservation activity and related procurement will be carried out by the members of local community groups such as VSS, EDC, VFDC, JFMC. MOEF at the central level and State societies or foundations at the State level shall carry out procurement for their own requirements

Most of the procurement under the project relates to Bio Diversity conservation and livelihood to be carried out through Community Driven Procurement. Most of the conservation activity are labor intensive and will be carried out by the members of local community groups .such as Vann Samrakshan Samiti (VSS)or Eco Development Community (EDC) The Bio Diversity measures could include protection measures such as community patrolling, trenches, fences, soil and water conservation mostly through vegetative treatment and small stabilization structures such as gully plugging, terracing, staggered trenches. The livelihood activities include livestock improvement and fodder production though cattle breed improvement, fodder plantations, pasture re-generation, facilities for stall-feeding, eco-tourism, by working as nature guides, creating tourist accommodation facilities, operation of visitor attractions, e.g. museums, alternative income-generations through sericulture, bee-keeping, pig rearing, poultry, mushroom cultivation, inland fisheries, rope production, weaving, tailoring, food processing, etc.

In addition to the community driven procurement described above, the Central level, State level and Division level offices would need some small procurement for office equipment,

computers, printers ,copiers, fax machine, small civil work for office building including refurbishing of the office premises.

B. Assessment of the Agency's Capacity to Implement Procurement

Procurement activities will be carried out by MoEF at the central level and by State societies or foundations at the State level and by VSS,EDC,VFDC,JFMC or community group at the community level. .

Capacity assessment of Implementing Agency for the State of Kerala was carried out. Kerala has continued good practices in community driven procurement for Bio Diversity conservation as per earlier eco development project and also under the National Afforestation program. Some of the officers are also familiar with the Bank's procurement procedures. This however, is not the case with all the States and the procurement capacity and the level of community participation may vary from State to State. Since most of these entities are newly formed entities they have limited experience in Bank procurement and during the implementation of the project, capacity building for community as well as officials will be essentially required.

MOEF will be responsible for overall procurement activities. The **nodal officer**, responsible for procurement at the State level will be identified by appraisal and will be required to **attend training in Bank procurement** at one of the institutes like NIFM or ASCI.. In addition to carrying out procurement for the state institutions these officers will provide necessary guidance for community level procurement. As these officers are yet to be appointed their capacity can not be assessed at the moment

10. The key issue for implementation of the project includes but is not limited to capacity of the community and other Implementing agency. Other procurement risk may include excessive time taken for finalization of contracts, low delegation of powers, negotiation with the bidders, no single document which includes all rules, procedures and standard form to be followed, corruption in procurement of goods and in assigning field studies or study tours. selection of NGO's ,false performance certificates, deficiencies in planning, monitoring, evaluation and reporting, weak complaint monitoring systems, weak implementation, inadequate record keeping and lack of public disclosure of information on procurement actions

The overall project risk for procurement is high which will be reviewed and revised as needed during periodic missions. Risk Assessment, being dynamic process, will be reviewed during the period of project preparation and later during implementation.

Procurement Risk Mitigation

The above deficiencies and the other applicable deficiencies have been addressed by the following risk mitigation measures:

1) Capacity Issues: To address the capacity issue MOEF appoints a procurement consultant with sufficient knowledge and hands on experience of Bank funded project who will provide oversight function for the entire procurement of various societies. In addition to prior review of the first bid documents prepared by each of these societies shall randomly carry out sample reviews of bid documents,bid evaluation reports and post review reports. MOEF will also identify one nodal procurement person in each State and provide them with necessary training in Bank procurement procedures before appraisal. The focus of training

shall be on procedure applicable for this project. Continuous trainings and workshops would go a long way in building the capacity of the communities.

2) **Monitoring Mechanism** :To set up a strong monitoring mechanism including social audit to considerably reduce the possibility of things going wrong. Social oversight would be in the nature of requirement of approval of all micro plans by the sub committee and suo moto disclosure by VSS of contract award data and material procurement data, including cost of procurement, and labor employment at the place of work.

3) **Decision making** : Power to procure all the goods, equipments, and award of contract is vested with the Joint Secretary (CS). Further power to award contracts for goods & equipment and services is conferred as follows:

a) Joint Secretary will have full powers for according approval for the procurement of goods, equipments and services up to Rs. 5.00 lakhs at a time.

b) For contracts beyond Rs. 5. lakhs up to Rs 50 lakhs sub committee will consider the evaluation reports and other relevant information and accord approval for such contracts. Each Sub Committee will comprise of Joint Secretary(CS), MOEF, Director (IFD), MoEF and Additional Director (EAP)

3) **Procurement Committee**: VSS/EDC' will have procurement committees who will be trained on procurement aspects to assist the community.

4) **Procurement manual**: All procurements to be carried out as per agreed procurement manual, through a sub-committee, is expected to eliminate bias, prejudices, individual preferences and corruption while ensuring quality. Community driven procurement should similarly be done through a committee to lower the risk. To ensure consistency in procurement the procurement manual should be used. Use of simple procurement format which can be easily understood by the community will go a long way in ensuring smooth and consistent procurement under the project.

5) **Information sharing**: MOEF will maintain a project website. On the website the procurement plan, EOI , RFP, Bid documented should be loaded. The results of bidding (other than carried out by community) should be displayed within a set time. The name of the committee members should also be made public through the website. All procurement information shall be shared during community meetings, through notice boards and if feasible thru website. Putting visible signs in sites where works are being carried out by displaying the name of the contractor, scope of work being carried out, project cost and completion dates. All NCB procurement carried out at Centre, State or district level will be updated on the project website

6) **Complaints Redressal**: Developing mechanism of appropriate channels for complaints.

7) Firming up procurement mechanism including through community procurement sub-committee for need assessment, preparation of tender document, finalization of tendered rates pre and post inspection ,collective decision-making is preferred as against individual decision making. To ensure consistency the procurement manual prepared based on Bank Guideline shall be used by the community.

- 8) **Record Keeping** :To address inadequate record keeping PMU and DPU will maintain all records duly catalogued and indexed in a manner and the form which facilitates the right to information under the Right to Information Act, 2005 and ensure that all records that are appropriate to be computerized are, within a reasonable time and subject to availability of resources, computerized and connected through a network all over the state on different systems so that access to such records is facilitated.
- 8) **Procurement Audit** along with Financial Audit: The TOR for Financial Audit at community level will include compliance with agreed procurement procedures

Safeguard Issues: A separated GAAP (Governance And Accountability Action plan) is being prepared and given elsewhere in the pad. The GAAP addresses the issues identified during corruption mapping and proposed mitigation measures. The major thrust is on transparent and participatory approach, social audit, complaint handling ,civil society involvement, improving contracts documentation.

Procurement of Works

Community Driven:

This procurement will be identified from micro-plans/ Annual Action Plans to be prepared as per agreed procedures laid down in the Procurement Manual .Community operational manual will also provide complete information regarding procurement at the community level). These are mostly labour intensive works as described above and will be carried out by the Community themselves. Similarly majority of the livelihood activities are also labour intensive. Technical and professional guidance will be provided by the Forest Development Agency(FDA) and line departments. The procurement officer with the society will be available for providing guidance regarding procurement processes and methods to be followed The community can also hire services of technical experts.VSS/EDC will have a procurement committee which will be in-charge of procurement.

Project:

In addition to the above some small civil work for office building including refurbishing of the office premises may be required at the Centre, State or Division level. The above procurement is spread over the project period of six years. Contracts will be below US\$200,000 equivalent and the procurement would follow either NCB/Shopping depending on cost and nature of procurement and will be procured in accordance with the agreed procurement plan.

Procurement of Goods & Equipment:

Community Driven:

The equipment required for livelihood activities by the community will be procured by Community themselves. The equipment required for livelihood activities by the community will be procured by Community themselves as per the procedures specified in the manual.and will be procured in accordance with the agreed procurement plan.

The project envisages procurement of various goods and equipments by the State societies and MOEF spread over the project period.. The requirement is spread over seven states and over the project period of six years. Most of the contracts will be below US\$200,000 equivalent and the procurement would follow either NCB/Shopping/Direct Contracting depending on cost and nature of procurement.

Selection of Consultants:

There will be a few consultancies and NGO services under the project .These would be required to assist in the implementation, Monitoring and Evaluation of the project and to build capacity in the implementing institutions and the Communities. Shortlists of consultants for services estimated to cost equal or less than US\$500,000 equivalent per contract may be composed entirely of national consultants in accordance with the provisions of Paragraph 2.7 of the Consultant Guidelines. However, as per present arrangement no consultancy is estimated to cost more than \$500,000.The consultant will be procured following one of the following methods:

QCBS, Fixed Budget selection, Least Cost Selection, CQ, Single Source, Individual consultant, QBS as stipulated in the Procurement Manual and in accordance with the Bank's Guidelines.

NGO services under the project will also be procured in accordance with the agreed Bank procedures.

Shortlists of consultants for services estimated to cost equal or less than US\$500,000 equivalent per contract may be composed entirely of national consultants in accordance with the provisions of Paragraph 2.7 of the Consultant Guidelines. However, as per present arrangement no consultancy is estimated to cost more than \$500,000.

Training and Workshops:

As part of capacity building of both communities as also officials of the implementing agencies, a number of workshops and training programmes are envisaged under the project.

Operating Costs:

The costs will include salaries and allowances of contracted staff recruited in the implementing units at MOEF state as well as division levels, all staff travel and subsistence costs, and operating costs such as office rental and office supplies, vehicle rentals, equipment maintenance contracts, etc.

- **Procurement Methods**

Sl. No.	Expenditure Category	Contract Value US\$	Procurement Method
1	Works	i. > 50,000 per contract	National Competitive Bidding (NCB)

		ii. < 50,00 per contract iii < 10,00 per contract	Shopping Force Account based on merit and Bank clearance
2	Goods	i. > 30,000 per contract ii. < 30,000 per contract iii. < 1,000 per contract	National Competitive Bidding (NCB) Shopping Direct Contracting on merit and prior Bank approval
	Satellite imagery maps, Arial photography, topographical maps, proprietary equipments, spares, books, periodicals, software, training material(including video and audio) etc.	-	Direct Contracting with prior clearance from the Bank

- Goods estimated to cost \$500,000 or more and Works estimated to cost \$ 10 Million or more per contract will be procured following International Competitive Bidding (ICB) procedures as per section II of the Procurement Guidelines. No ICB procurement is envisaged at this stage.
-
- Direct contracting will include items like livestock, proprietary items, software, seeds, saplings, fertilizers etc. Any proprietary item above \$1000 can be procured under direct contracting after clearance from the Bank.
- For all procurement of Goods and works under NCB, the bidding documents shall be prepared following the Bank's Standard Bidding Document and shall be agreed to with the Bank, before issuing the same for invitation of bids. The following conditions must be met in order for the bidding process under NCB to be acceptable to the Bank:
 - i) Only the model bidding documents for NCB agreed with the GOI Task Force [and as amended from time to time], shall be used for bidding;
 - ii) Invitations to bid shall be advertised in at least one widely circulated national daily newspaper, at least 30 days prior to the deadline for the submission of bids;
 - iii) No special preference will be accorded to any bidder either for price or for other terms and conditions when competing with foreign bidders, state-owned enterprises, small-scale enterprises or enterprises from any given State;
 - iv) Except with the prior concurrence of the Bank, there shall be no negotiation of price with the bidders, even with the lowest evaluated bidder;
 - v) Extension of bid validity shall not be allowed without the prior concurrence of the Bank (a) for the first request for extension if it is longer than four weeks; and (b) for all subsequent requests for extension irrespective of the period (such concurrence will be considered by Bank only in cases of Force Majeure and circumstances beyond the control of the Purchaser / Employer);

- vi) Re-bidding shall not be carried out without the prior concurrence of the Bank. The system of rejecting bids outside a pre-determined margin or “bracket” of prices shall not be used in the project;
- vii) Rate contracts entered into by Directorate General of Supplies & Disposals, will not be acceptable as a substitute for NCB procedures. Such contracts will be acceptable however for any procurement under Shopping procedures Two or three envelop system will not be used.
- viii) Two or three envelop system will not be used

Consultancy Services

- All sole source consultancies will require a justification and Bank’s prior agreement.
-
- Short lists of consultants for services estimated to cost up to \$500,000 equivalent per contract may be composed entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

D. Review Requirements

Prior review

Goods and Works: During the initial 18 months of the project, the WB will carry out prior review of the following contracts: (i) for goods and works - first contract from each implementing agency using NCB, and thereafter contracts estimated to cost US\$ 100,000 equivalent or more, irrespective of the procedures; (ii) all contracts for goods and works

Consultancy Services	i. Equal to or more than \$200000	QCBS/ QBS
	ii. Less than \$200,000	FBS/LCS
	iii. As per merit, and generally less than \$100,000	CQ, SSS
	iv Less than or equal to \$30,000	Individual consultants/CQ/SSS

using direct contracting.

Consultants Services: The WB’s prior review will be required for consultants’ services contracts estimated to cost US\$100,000 equivalent or more for firms and US\$50,000 equivalent or more for individuals. All single-source contracts will be subject to prior agreement by the WB. All TORs of the consultants are subject to the WB’s prior review and clearance.

After 18 months, the above thresholds will be reviewed/defined/redefined in the revised procurement plan, if necessary but subject to the prior review and “no objection”

Post Review

For compliance with the WB's procurement procedures, the WB will carry out sample post review of contracts that are below the prior review threshold. Such review (ex-post and procurement audit) of contracts below the threshold will constitute a sample of about 20 percent of the contracts in each agency. All contracts not covered under prior review will be subject to post award review/ review during supervision missions/ review by consultants to be appointed by the by Bank.

Reporting. The project will prepare quarterly Procurement Monitoring Report (PROCMOR) providing status of procurement and the performance monitoring indicators, as per specific formats to be agreed with MOEF.

E. Procurement Plan

The Procurement Plan will be updated in agreement with the Project Team annually or as required to reflect the actual project implementation needs and improvements in institutional capacity.

F. Frequency of Procurement Supervision

In addition to the prior review supervision to be carried out from Bank offices, supervision missions annually to visit the field to carry out post review of procurement actions are considered necessary.

G. Details of the Procurement Arrangements Involving International Competition

1. Goods, Works, and Non Consulting Services

(a) List of contract packages to be procured following ICB and direct contracting:

1	2	3	4	5	6	7	8	9
Ref No.	Contract (Description)	Estimated Cost	Procurement Method	P-Q	Domestic Preference (yes/no)	Review by Bank (Prior / Post)	Expected Bid- Opening Date	Comments

(b) All ICB contracts and all direct contracting will be subject to prior review by the Bank.

2. Consulting Services

(a) List of consulting assignments with short-list of international firms.

1	2	3	4	5	6	7
Ref. No.	Description	Estimate	Selection	Review	Expected	Comments

	of Assignment	d Cost	Method	by Bank (Prior / Post)	Proposals Submission Date	

(b) Consultancy services estimated to cost above \$50000 per contract and single source selection of consultants (firms) for assignments estimated to cost above \$10000 will be subject to prior review by the Bank.

(c) Short lists composed entirely of national consultants: Short lists of consultants for services estimated to cost less than \$500,000 equivalent per contract, may be composed entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.

7. ENVIRONMENT & SOCIAL ASSESSMENT & INDIGENOUS DEVELOPMENT PLAN

Lessons Learnt

1. The major lessons learned from previous projects viz. India Ecodevelopment Project FREEP can be summarized as follows:
 - (i) Participatory approaches towards conservation, if implemented properly, are effective in improving biodiversity status and peoples' livelihoods.
 - (ii) Integration of traditional ecological knowledge systems with scientific principles and adaptive management approaches should be the method to follow in project interventions. Without these, achieving biodiversity conservation outcomes is not possible.
 - (iii) Definition of environmental conservation outcomes that the project interventions are meant to achieve is extremely important and should be done in the planning phase. This would help the project implementing agencies and participants understand what the environmental benefits of project implementation should be.
 - (iv) Linked to the definition of outcomes is the setting up of monitoring and evaluation systems for evaluating whether the interventions have succeeded. This involves collecting baseline data and developing environmental indicators for project success which are specific to the site-level and the planned intervention. NGOs, local communities and academic institutions should be involved in the monitoring process.

- (v) Consolidation and clear demarcation of PA and RF boundaries are important for smooth functioning of the project and to avoid future conflict situations. This should be done prior to the implementation of planned interventions.
- (vi) Careful site selection is extremely important and should be done based on thorough information about environmental factors such as topography, soil, drainage patterns and vegetation type, preferably using a GIS or some spatial information or mapping technique. Haphazard site selection will undermine project goals.
- (vii) Sustaining project institutions and positive impacts after the project term has been a major challenge across the board. Steps to ensure sustainability of efforts after the project period should be built into the planning and implementation phase. The absence of mechanisms to sustain project efforts can lead to a situation of disillusionment on the part of local communities.
- (viii) With regard to project implementation, building capacity within implementing agencies before conducting interventions is critical. Often what has happened with eco-development projects in the past is that capacity is built as project interventions are underway. This can and should be avoided as it is not an efficient use of project resources and hinders success. Capacity building should be done during the planning phase and should take place over at least 2 years and should include pilot projects.
- (ix) With regard to project administration, it has been observed in some sites that a sudden large inflow of funds can lead to high levels of corruption within implementing agencies, which in turn has had very destructive environmental impacts. Mechanisms must be put in place to avoid this in future. Funding should be proportioned to scale of the intervention and tied to achievement of outcomes.
- (x) Project funding procedures should also be streamlined.
- (xi) Given the level of capacity building that has to be achieved to realize the goals of BCRLIP across the 6 landscapes, a five year project period will be insufficient. It should be extended to 8–10 years.

Legal and Policy Assessment

1. **Legal and Policy Framework:** Though the Central Acts are applicable to the six sites (except UIV in accordance with article 370, Constitution of India), the different states also have their own legal and regulatory frameworks which have wider implication on the rights enjoyed by the community within the sanctuary/protected area and in the reserved forest within the landscape and on their livelihood. The implementation of the project would be in consistency with the existing legal and regulatory mechanisms. It has to comply with the provisions of the several Indian laws/policies and World Bank's safeguard policies. The safe guard policy of the World Bank which is triggered is Environmental Assessment (BP/OP 4.01), Forestry (OP 4.36), Pest Management (OP 4.09), Indigenous Peoples (OD 4.20), Natural Habitat (OP 4.04).
- (a) **The Schedule Tribes and other Forest Dwellers Act, (ST & FD) 2006** and its rules and regulations notified on January 2008, provides an enabling environment to address

conflicts related to rights, tenure, decentralized resource management and lays down responsibilities to protect and conserve bio-diversity, ecological sensitive areas, wild life and to prohibit activities that adversely affect conservation efforts . Broadly the project may consider two pronged approach to support activities to achieve its development objective which are (a) implement existing provisions under laws/policies that are not in conflict with the interest of the community; and (b) policy level initiatives on settlement of rights to land, usufruct rights, develop progressive incentive systems, opportunities to de-regulate the regime to support NTFP livelihood based activities and for grazing purpose.

2. **Adverse impacts on people –access to resources and relocation:** There is a mix of categories of land in the landscape or the project area i.e. WLS, reserved and protected forest and private land. The data and analysis in the reports reveals extensive human pressure — of grazing, resource use, commercial felling and government institutions (other than forest department) are dependent on all categories of land or the resource.
 - (a) **Access to resources:** As described in the above section on legal and policy framework section, it is clear that there are various rules and practices that govern access to resources as a right or concession in WLS/ RF. Moreover, with the recent legislation – Scheduled Tribe and Forest Dwellers Act provides scope to settle rights of the community. As part of the project scope opportunities will be explored to engage at policy level and develop an action plan to address the rights, benefit sharing arrangements and strengthen institutional mechanisms that are based on the principles of equity and inclusion.
 - (b) **Right to Information Act and need for a Legal Literacy Campaign:** Meaningful involvement of people requires better and timely access to information which at times is denied/withheld. The Right to Information Act, could ensure timely access to information regarding project activities. This will pave the way to more transparent working. In accordance with the Act, necessary information will need to be put in public domain. In addition, information may be displayed on the notice boards kept outside Range/DFO/Panchayat Office. Detailed work plans, financial outlays, expenditure incurred, etc will be displayed. School walls could be used for writing the necessary information. Since a large number of Acts/Rules etc are prevalent in the context of the project, it would be useful to implement a legal literacy campaign for various stakeholders.

Decision making framework and Environment and Social Screening Criteria

1. **Decision making framework:** The project supports the process of relationship building between local communities and government institutions, value addition in productions systems and improve collaboration of local people for conservation measures. This will require an approach that is inclusive, participatory and based on equity and accountability.

The project will operate at state, division, district and village level for planning, implementation and monitoring. The decisions of the communities at village level with technical support from project officials and line departments will form the core area for project operations will sequentially includes.

- (a) **Government institutional strengthening** - The program will initiate with capacity building of all identified partners on project concept and approach, roles and responsibilities, team building, gender sensitization, conflict management, systems developed to ensure transparency, equity and accountability, Environment and Social

guidelines, fund flow and accounting and monitoring systems – First Two months of Board Approval).

- (b) **Information Dissemination** - objectives, scope of the project, institutional arrangement, roles and responsibilities of communities and project officials, selection criteria of villages and socio-economic vulnerable households, criteria for identification of 'inviolate areas', benefit-sharing arrangement of forest produce, Environment and Social Guidelines for selection of sub-projects, budget envelope, grievance redressal systems (village, division, district and state) – (complete by end of 6th month).
- (c) **Local Level Institutional development** – Communities to map out various formal and informal institutions at village level and all service providers. Assessments of strengths and weaknesses of various institutions and service providers on transparency, equity and grievance management will be carried out by communities and partner agencies separately to provide the baseline to prepare realistic training program and identify all available resources that can be drawn upon as and when required - (complete by end of 7th month and prepare a training calendar end of 8th month).
- (d) **Participatory village conservation and livelihood plans and implementations**– Multi- disciplinary teams supported by Non-Government Organizations will assist villages to identify inviolate areas and vulnerable households (asset ownership, migration pattern and informal labour employment), formation of user groups (if required) and each group represented by 50% women from the vulnerable section. Two phase planning process will be carried out to cover an overall plan for the project period and annual plans.

Overall plan: Each group will prepare carry out PRA exercise and prepare hamlet/ward level plans based on the ESG guidelines. These individual plans will be collated for the project period at village level which will include a tentative budget. The village level plan will be appraised by two third majority of the members of Gram Sabha to addresses two parameters inclusion and equity in terms of their total share from the budget envelope. Through the consultative process the community will arrive at a consensus to phase out the implementation of the overall plan annually and will be endorsed by two-third majority of the members of Gram Sabha.

Annual plans: will be prepared based on participatory budget plans for each activity indicating share of contribution by each member for each activity. This plan will also include sequence of implementation.

- (a) The multi-disciplinary team will ensure that Environment and Social Screening guidelines are followed; livelihood and conservation related activities are well defined. In addition, the plans do not contravene the existing legal framework that promote communities rights and obligations – (end of 12th month). The process of annual plans will be carried out after a review of the implementation of the previous year by two-third majority of the Gram Sabha members.
- (b) Skill development – different types of training will be imparted to individuals, groups and others. The resource group and other specialized agencies will provide the necessary training as per the training calendar prepared from 9th month onwards.

Monitoring and Evaluation

1. The environment and social monitoring strategy will address institutional maturity in relation to participation, inclusiveness, transparency and equity; cause and effect of investments on livelihood that is based on conservation outcomes and environment and social safeguard framework. Monitoring by community and third party and thematic research will be parallel activities with mechanism for continuous feedbacks for learning and integrating with the training plan.

The monitoring framework would cover the indicators tools, samples, roles and responsibilities and mechanism for feedback. The broad questions which will need to be addressed are:

- (a) Institutional maturity index

Sl. No.	Objective	Indicator
1.	Participation	<ul style="list-style-type: none"> • Two adult members from every household in the village are members of village level institution • Growth of membership • Attendance in meetings • Quality of leadership • Sharing of roles and responsibilities • Selection of Executive Committee and representation of members representing user groups • Conflict resolution mechanism
2.	Inclusiveness	<ul style="list-style-type: none"> • Women members • Representation of women in the Executive Committee • Representation of landless • Representation of SC and STs
3.	Ownership	<ul style="list-style-type: none"> • Maintenance of accounts. • Contribution pattern • Voluntary contribution • Penalties on defaulter, • Benefit charges • Developed rules and regulation for management of transaction i.e. cost of investment and contribution for benefits.
4.	Transparency	<ul style="list-style-type: none"> • Information Sharing with members • Information of roles and responsibilities of Executive Committee and bye-laws. • Social audit for financial tracking in relation to assets created
5.	Capacity building	<ul style="list-style-type: none"> • User Groups have undergone minimum X trainings • Executive committee (especially the representatives of user groups) have undergone minimum X trainings

- (b) Livelihood with conservation outcomes

Sr. No.	Objective	Indicator
1.	Increased number of activities that are based on a sustainable framework	<ul style="list-style-type: none"> • Increased number of beneficiaries taking up livelihood activities with conservation outcomes; for example, setting up of medicinal plant nurseries • People forming groups to ensure sustainable extraction of

		natural resources
2.	Increased incomes coupled with sustainable use of natural resources and improvement in habitat quality	<ul style="list-style-type: none"> • Number of beneficiaries taking up stall feeding and reducing scrub cattle • Linking employment generation under NREGA with habitat improvement activities, such as restoration of degraded pastures and grazing lands, development of fodder banks on community lands, drainage line treatment etc
3.	Better return of investments	<ul style="list-style-type: none"> • Increased access to nearby markets by developing market linkages and incorporating principles of supply chain management • Development of new markets for which skills and input resources are available but linkages missing • Promoting value addition of natural products instead of trading in natural resource based raw materials
4.	Capacity Building	<ul style="list-style-type: none"> • At least X number of beneficiaries trained in new livelihood activities, such as, ecotourism, nature guide, adventure activities, horticulture practices etc • Stakeholders trained in accounting, business practices for small enterprises and for federating to negotiate for a better market price

(c) **Social safeguard**

Serial Number	Objective	Indicator
1.	Conflict Management	<ul style="list-style-type: none"> • Legal awareness of rights and responsibilities • Endorsement of action plan by community to implement the provisions of Schedule Tribe and Forest dwellers Act
2.	Equitable benefit sharing arrangement of NTFP and other resources.	<ul style="list-style-type: none"> • Incentives for communities • Policy interventions • Rules of engagements
3.	Relocation and resettlement	<ul style="list-style-type: none"> • Endorsement of inviolate areas by communities • Community demand driven relocation • Community managed relocation and rehabilitation

(d) **Environment safeguard**

Sr. No.	Objective	Indicator
1.	Reduction in adverse impacts on PA	<ul style="list-style-type: none"> • Reduction in scrub cattle • Increase in stall feeding • Reduction in firewood collection • Area brought under afforestation/fodder bank
2.	Biodiversity conservation	<ul style="list-style-type: none"> • Changes in siting of abundance of rare, vulnerable and endangered species • Number of medicinal plant nurseries set up • Reduction in incidences of poaching • Increase in population sizes of endangered/MAP species • Area of degraded habitats restored • Change in vegetation cover
3.	Sustainable use of natural resources	<ul style="list-style-type: none"> • Establishment of user groups for conservation and sustainable outcomes • Plan for sustainable extraction and use of natural resources

8. GOVERNANCE & ACCOUNTABILITY ACTION PLAN (GAAP)

1. GAAP attempts to address Governance and Accountability concerns of 'Biodiversity Conservation and Rural Livelihoods improvement project' with an estimated cost of \$30.4 million over a six year period, the first year being a preparatory phase. The project will be implemented in two selected landscapes across the country and has 4 components.

- i) Demonstration of Landscape Conservation approaches in two landscapes
- ii) Strengthening knowledge management and National Capacity for replication of landscape conservation approaches
- iii) Scaling Up and replication of successful model of Conservation in additional landscape sites.
- iv) Coordination for Landscape Conservation.

The activities in the project are:

- o GIS mapping,
- o training and workshops,
- o cross visits and study tours including overseas visits,
- o studies (through consultants),
- o grants to community institutions,
- o preparation of village level microplans,
- o revision of management plans of P.A.s
- o alternate livelihood investments,
- o documentation, publicity and website development,
- o monitoring,
- o recruitment of contractual staff and
- o procurement of equipment.

Areas of high corruption risk

The areas with high corruption risks in decreasing order are

- o investments for alternate livelihood and sustainable resource use;
- o grants to VSS to support participatory conservation initiatives and its extension to new areas;
- o procurement of equipments and maps;
- o field studies (on eco-system development, valuation etc.) through consultants;
- o study tours and
- o workshops and training.

Major share of the project fund will be spent through participatory mode as per the PAD.

Mitigation measures through project design and supervision

A large number of village level institutions (EDC/VSS) are passive with the forest/other sectoral departments playing the role of major actor. The project design/supervision arrangements, should therefore focus on:

- i) Increasing level of community participation through a facilitator (NGO) and registration as a society to access outside funds, deposit of resource value addition & sale receipts, operate independent account.
- ii) Empowering the community with a whole time accountant for proper record keeping and accounting.

- iii) Specifying institutional arrangements like CEO, Nodal Officer for forest areas, non-forest areas, State level steering committee, District level project facilitation committee etc.
- iv) Specifying fund flow arrangements, e.g. APO of each landscape to reach MOEF by October of the previous year and MOEF to finalize and place allotments before March.
- v) Firming up procurement mechanism including through community procurement sub-committee for need assessment, preparation of tender document, finalization of tendered rates pre and post inspection ,collective decision-making is preferred as against individual decision making.
- vi) Procedure for selection of beneficiary (VSS/EDC) for grants, (e.g. strong leadership, visible conservation action for atleast 5 years, medium to high level of participation).
- vii) Training, study tours and cross visits of key staff and community leaders to understand implementation procedure, individual/collective responsibility and results they are expected to deliver.
- viii) Prior approval of job contract rate, cost estimate of work before release of funds, funds to the tune of Rs.50,000/- and Rs.20,000/- to the departmental staff and community respectively; second advance after cross checking of the voucher only.
- ix) Payment within 15 days of completion of work after due verification through e-transfer or by cheques or before executive committee of VSS/EDC.
- x) Monitoring Committee at community level consisting of school teacher, panchayat representative, secretary of VSS/EDC (Departmental official) and two gram sabha members by rotation (Social audit).
- xi) System of checks at field level codified for various category of officials, supervision by higher officers, triangular checks (through NGO, sectoral officers, community members or Sarpanch etc.) and periodic review by World Bank team or through engaging consultants.
- xii) Well designed publicity materials for awareness of civil society (hoardings, flex hangings pamphlets, video & website) Project Implementation Plan (PIP), financial management plan and procurement plan should reflect above mitigation measures.

Remedies for deviation

These include suspension and departmental proceedings, criminal proceedings (vigilance case), recovery of unauthorized expenditure, withholding of pensionary benefits, transfer outside the project area for staff. In case of community leaders, impeachment of Chairman/Executive Committee members, attachment of landed property and freezing bank accounts can be resorted to besides debarring them from contesting panchayat or elections to higher office. Each official handling cash to furnish indemnity bond of Rs.1 lakh through salary deduction and Chairman of EDC/VSS that of Rs.50,000/- only by deduction from honorarium to be paid.

Fiduciary Arrangements

1.1.1 Project design features

The responsibility of overseeing the project at MoEF level, ultimate financial control at MOEF level and ground level implementation through existing departmental channel (wildlife wing) with CWLW or his deputy as head of the society down to P.A. and DFO level and overall steering and co-ordination at Chief Secretary/Additional Chief Secretary level, District level co-ordination by collector and that at landscape level by RDC seems satisfactory. Village level institutions need to be strengthened in the preparatory phase. Receipt of funds by drafts, separate bank account for project funds at all levels, integrated accounting system through a software for quick financial reporting and engagement of separate accountants at all levels are steps towards better governance and accountability.

All procurements through a sub-committee is expected to eliminate bias, prejudices, individual preferences and corruption while ensuring quality. Community driven procurement should similarly be done through a committee to lower the risk.

1.1.2 Supervision and monitoring features

Periodic supervision and monitoring is a sine-qua-non to prevent fraud and corruption / to limit this within acceptable levels in the field. For this, supervision should be 100% at section forester level, 75-80% at Range level, 50-60% at ACF level, 25-30% at PA/DFO level and 5-10% at CEO BCRLIP level. The implementation will be monitored by the Secretary BCRLIP society and MOEF at monthly and quarterly intervals and that of State Steering Committee once by the end of first quarter and again by the end of third quarter. At community level, monitoring committee as indicated in item (x) under mitigation measures will be put in place. A civil society group consisting of a sociologist, a tribal leader, a plant taxonomist, a wildlifer, an agriculture scientist and a veterinarian under the Chairmanship of M.P. may be formed to oversee the project activities and achievements every quarter to minimize corruption risks and promote better accountability.

Key aspects beyond traditional arrangements:

1.1.3 Understanding corruption risks

The following two types of risks are examined here.

- i) Fraud – Not taking up any activity or passing off the result of another activity of other project as of this and making false vouchers, mostly in seclusion.
- ii) Corruption – Inflating an estimate, sub-standard work or procurement, escalating wage rate, showing engagement of more labour, purchase and utilization of more material, deducting a parent cut/contingent expenditure during payment, delay in preparing vouchers, improper depiction of existing ground details before estimation, post inspection of procured articles and payment motivating to give bribe are some of the ways in which project funds are siphoned off.

1.1.4 Empowerment of recipient & communities:

Training of beneficiaries and community members on the system of fund flow, their responsibility and reciprocal commitments, accounting, monitoring system, micro planning etc can minimize corruption by making them active partners in participation.

1.1.5 Building partnership for civil society

Oversight and feedback:

This is currently lacking. This can be achieved through periodic regular consultations, encouraging individual/team field visits and sending feedback on progress of project/development of community.

Establishing procurement policies to mitigate collusion:

Procurement process starting from need assessment to post delivery inspection is best done by a sub-committee with technical experts. Threshold values for equipments / consultants for different levels of tender should be specified for strict compliance.

Building strong task teams:

It has been suggested to build teams for following purposes

- i) State level steering committee (Chairman – Chief Secretary – For overall review of progress and sorting out bottlenecks.
- ii) Co-ordination Committee (Chairman – RDC) – For co-ordination between various line departments and forest department.
- iii) Sub-Committee – For procurement, training, beneficiary selection, selection of VSS for grants etc.
- iv) Village level monitoring committee (Social audit committee) – To assess, monitor and evaluate work at village level at landscape level.
- v) Landscape level civil society monitoring committee - To assess, monitor and evaluate work at village level at landscape level.

Defining and announcing remedies:

Non-adherence or follow up of guidelines / instructions / suggestions of each of such committee will mean indiscipline or corrupt practices / behaviour and shall entail departmental / criminal proceedings. Committee may fix responsibility, conduct direct inquiry and order recovery of unauthorized expenditure.

Key remedies

Actions required for deviations from preventive measures and detection measures are warning (for first time), penalty equivalent to 5 percent of the work (for subsequent time) and after third time, the person should be debarred from handling cash.

Action required for fraud or corruption incidences are:

- i) Impeachment of community leaders and debarring from holding any public office and contest any election.
- ii) Collection of evidence from records, statements and depositions of public, beneficiary and photographs from site.
- iii) Institution of criminal cases / departmental action.
- iv) Black listing of contractor/supplier, NGOs, consultant, and drop of institution from the empanelled list.

Clear specification of the use of remedies in special cases

Misprocurement: Forfeiture of security deposit and withholding payment, action against the officer who passed the material/equipment at pre inspection stage, black listing the supplier, order to take back / replace the supply within a month, failing which cancellation of order and contract to second lowest tenderer or re-tender as the case may be. For misprocurement detected during post inspection, the officer making payment should be taken to task.

Suspension of disbursement: Suspension of disbursement for more than 15 days shall be treated as corrupt practice unless there is a valid ground for doing so, which has been reduced to writing. In such case, the officer who has suspended disbursement without cognate ground will be taken to task.

Suspension/cancellation of the project: Suspension/cancellation of the project approved by MOEF for a landscape is not acceptable. However, the sub-committee CEO, BCRLIP society level may suspend/cancel the project in one VSS/EDC and transfer the project to a different VSS/EDC on the recommendation of the FDA/PA within the division for the reasons to be recorded in writing (e.g. unwillingness, lack of co-operation, availability of a better/more eligible VSS/EDC. Suspension/cancellation without valid reasons will be treated as corrupt practices and authority responsible will be taken to task.

Action Plan on anti-corruption measures

Community participation

Intensive capacity building measures to be initiated to elicit active participation, grass root level micro planning, implementation and monitoring at VSS/EDC level to overcome external influence. An accountant on contractual basis need to be recruited and trained in accounting and generating reports. A village level (VSS/ EDC) monitoring committee to be formed to monitor all projects. Selection of livelihood options and beneficiaries recommended by SHG/Executive Committee should be approved by general body. List of all works completed and amount spent, work to be done and estimated cost etc., list of beneficiary, livelihood options chosen, amount of grant / materials procured etc to be prominently displayed in panchayat/VSS office.

Institutional arrangement

Member Secretary MOEF, CEO BCRLIP society, P.A. Manager, FDA Secretary, Chairman VSS/EDC should be provided with extra contractual staff for adherence to time limits for planning, project implementation, accounting and reporting. For proper monitoring, Chairman Steering Committee should be of the rank of Chief Secretary / Additional Chief Secretary. For landscape level and district level co-ordination, RDC and collector respectively be made responsible. Community organization should be a registered society for empowerment, more accountability and transparency in working financial management.

Financial management

PIP, FMP, Procurement Plan, operational manual are guidelines, which should be followed in right earnest. The APO from grass root level should be generated well in advance with adequate consultations so that it reaches MOEF by October of the previous year of the plan. Pre-consultations at planning stage will eliminate scope of suspension/cancellation/transfer of projects to other village. After the first release of funds by end of March at society level, the U.C. should be sent by the end of second quarter latest to ensure release of second installment. Monthly accounts by Ranges/EDC/VSS should be submitted by 25th and Divisional/P.A. accounts by 10th of next month with progress reports. The later should be online with specially developed software. Besides existing audit system, audit by engaging a C.A. will be done.

Procurement

Procurement should be made strictly as per procurement plan to be developed as per W.B. guidelines. Methods of shopping (quotation), local tender and NCB be adopted as per threshold value fixed by the bank. A procurement sub-committee with co-opted technical experts will decide on the need, specification, design of tender document, short-listing of tenders and suggest rates/firm with whom order is to be placed. Collective decision is expected to be sound and transparent.

Procurement of consultants for short duration studies to be as per W.B. guidelines, past performance of the person, capability and by a sub-committee.

Supervision system and monitoring:

Section Forester/Dy. Ranger should supervise 100 percent, Range Officer 75-80 p.c., SDFO 50-60 p.c., P.A. manager / DFO 25-30% and CEO BCRLIP 5-10 p.c. work. Landscape level monitoring committee should be requested by the CEO of the society to inspect work every quarter. All works at community level be supervised by community monitoring committee. Monthly, quarterly and half yearly review should be taken up at P.A./FDA, society and MOEF level respectively.

A quarterly meeting of CEOs of all landscape level societies should be organized which should also be attended by P.A. managers. Similar meeting should be organized by CEO of societies to review progress and sort out bottlenecks. Steering Committee meetings after end of first and third quarter will be organized.

Grants to VSS/EDC:

Advertisements will be issued in newspaper through radio/ TV specifying eligibility criteria of grants to community institutions, quantum of grants against each purpose and procedure of selection pamphlets in local language will also be printed and distributed amongst villages through staff of F.D. All applications will be short listed and finally selected by a sub-committee through objective prioritization.

Training:

Training and cross visits/study tour needs at different levels will be assessed, participants selected, training institutes empanelled, training schedule and study tour schedule prepared, rates for each collected from institutes/estimated locally at different levels and got approved in a sitting of sub-committee before actually taking up this activity.

Transparency:

All payments to be made within 15 days of completion either through cheques or e-transfer to bank accounts with intimation to concerned community organization. All payments made to be displayed in Panchayat/VSS/PA/FDA office and given in website. Mode of selection of VSS/EDC for grants, amount of grants and their purpose should also be displayed in notice board and website. Complaint boxes should be kept in all executive offices and sub-ordinate offices. All complaints to be screened and enquired into.

Dissemination of GAAP to all stakeholders & public:

1. Booklets in local language should be prepared giving salient points of institutional arrangements, reciprocal commitments (operational manual), F.M., procurement manual and distributed to various stakeholders.
2. Salient features of APO to be displayed in the office of each executing agency prominently showing clearly the procurement to be done, amount available, grants to be made, number of beneficiaries list of projects etc in a flex sheet.
3. Periodic advertisements of item 2 above in local newspapers be made with mention of working of a grievance cell / complaint box at society / PA / FDA levels.
4. Publicity through website, radio talk and T.V. show showing interaction with P.A. Manager/DFO/NGO/Community Groups/Members of civil society.

9. CAPACITY STRENGTHENING

Trainings provide knowledge, information, skills and attitudes. Most training programmes are designed to meet a trainee's needs *vis a vis* a well defined and recognized sector like forestry or rural development. The target trainees in such sectoral programmes happen to be well identified. However, on account of multi sector and multi theme nature of BCRLIP, the training plan for the project would need to look beyond the needs of upgrading skills for biodiversity conservation and improving rural livelihoods. For example, there is need of promoting self reliance and confidence among key stakeholders in order to enable their decisive participation in the CBOs and other decision making structures and processes for planning and implementation of project activities. This would imply that *in situ* capacity enhancement arrangements for key line agency and CBO functionaries in such skills would need to be topped up by some 'field learning centre' visits where this aspect has been addressed with success. Training plan therefore for BCRLIP shall in essence need to look for a wide menu of training needs and a judiciously determined mix of target trainees at various levels of project planning and implementation.

While institutions like the Wildlife Institute of India and Indira Gandhi National Forest Academy run course modules for PA managers and foresters in subjects like ecodevelopment and participatory forest management, their target trainees are at the PA/ forest division levels. Similarly National Institute of Rural Development and the like run courses in various aspects of rural development, but generally these do not cover the special context of forested or non-forest natural regions, especially the bio-resource dependent communities. Study tours as a part of these course modules also have limitations in coverage and may not cover those sites where successful and functional models of integrated conservation and livelihoods initiatives have come up over a period of time through a participatory process of innovative experimentation and institutional development. It is such proven sites that would have immense multilevel capacity enhancement potential as **field learning centres** (FLC) for stakeholders and implementers alike from the different BCRLIP sites. Such learning centres shall have to be enabled to have the minimum wherewithal for receiving, sheltering and giving the needed exposure through oral presentations, interaction with performing individuals, SHGs and field visits.

At the landscape level the approach shall have to follow identifying key actors and key beneficiaries whose stake would be the highest in the proper planning and implementation of BCRLIP. There is equally a need of capacity enhancement at the state level and national level of the individuals involved in the project as well of the training institutions potentially capable of providing such training to these individuals. Training institutions also need to be helped selectively in preparing themselves to be able to supply the training needs of the target trainees from the landscapes.

Who will hold stake in the landscape?

All people inhabiting the landscape and all government and non-government agencies operating there hold a stake in the better management of the landscape. The landscape offers life sustaining ecological services such as rich water regime, drinking water, oxygen rich atmosphere and moderation of floods and drought. It provides a host of products from wood to a number of NWFP including medicinal herbs. Many people in the landscape derive food and livelihoods from just subsistence level to large profits from NWFP through trade and industry. Water resources yield hydropower and sustain

productivity of agriculture and industry. The forage resources account for the productivity of livestock, which are a source of livelihood for many. These ecological services and the gene pool resources inherent in the biodiversity of the landscape provide an assurance for the present and prospective economic security of all within the landscape and contribute to such security at the state and national levels. So all people inhabiting the landscape are beneficiaries and have a stake in its care.

It is a different matter if many among all this wide range of beneficiaries are not aware of these values important for them in a direct and indirect manner. It is no surprise therefore that a majority of these stakeholders neither recognize nor acknowledge their stake in the sustainable management of the landscape in the form of perpetual availability of its services and goods. Most may also not be aware of the present conservation status of the landscape and of the prevailing threats that are undermining its ability and capacity for services and goods, which are more often than not taken for granted. *While personal greed may make some impervious to learning about these values, most people need and would want to be aware of them. They would also like to know about ways and skills required to be able to derive these benefits in a manner compatible with the sustainability of the production of these services and goods.*

Needless to say that for an objective and result oriented capacity enhancement programme different levels of stakeholders and 'actors' and their capacity and skill needs shall have to be identified. The key stakeholders and 'actors' in particular need to be determined as their higher capacity will yield maximum positive impacts both for conservation and livelihoods for the needy. Lack of such capacity will limit the positive impacts and may not be able to effectively arrest the negative ones.

Key stakeholders

The poor and landless are forced to look for livelihoods for subsistence and in the absence of better or more viable alternatives are forced to access and use biodiversity in an unsustainable manner. The tribal and other rural people who live inside or in the immediate vicinity of PA/ forest/ or other natural lands are also traditionally dependent on accessing and using bio-resources of these areas. As the population of users and their dependencies have increased they have also become increasingly linked with traders and intermediaries. This has undermined their traditional ethos of conservative use leading to a psyche to get the most before someone else got it. This in turn has led to destructive use jeopardising the sustainable productivity, especially of NWFP including medicinal plants. Many of these users are small farmers of marginal land and have poor farm incomes due to lack of skills and inputs needed to adopt and employ techniques that can optimise and maximise incomes.

Likewise among the poor and such farmers, a majority of households pursue livestock-raising often with low productive and poorly cared for 'scrub' variety that can subsist just by herding inside such forests/ natural grasslands. Even though the productivity of such livestock is low these are perceived as a 'capital' that can be en-cashed in time of need and hence also seen as a status symbol. Such bio-resource dependents, other than those who use these poor and needy people as tools for appropriating bio-resources for their personal profits, need to be recognised as key stakeholders. Further wherever women have participated with some voice in such measures for improving livelihoods, the results have been impressive. Women thus need to be assigned priority and should be also recognised as key stakeholders.

Key actors

Different line agencies including the forest department as well as NGOs need to be aware that the services and goods provided by the landscape are critical for the wellbeing of the people of the landscape for which they themselves are mandated to work. Their functions and the way these are rendered should help support positive landscape scale management because a decline in the landscape offerings can make their task so much more difficult, even unachievable. Obviously, this category of stakeholders are also the 'actors' that need to work in concert and converge their activities and inputs towards attaining the integrated purpose of ensuring conservation and improving incomes of those that are poor and are at present subsisting by using bio-resources unsustainably. Their need of capacity enhancement in the first place will cover the skills and ways needed to secure the ecological services and biodiversity and enabling communities to use these sustainably. In the second place and equally importantly it would also involve acquiring ability to facilitate empowerment of the poor, marginalised and women for their decisive participation in institutional structures at different levels for project planning and implementation.

Role of Field Learning Centres and potential site-candidature

Role

In a landscape level initiative integrating conservation and rural livelihoods, there are a number of aspects in which enhanced capacity of both stakeholders and implementers is bound to play a critical role. A very effective and expeditious manner of enhancing capacity in these aspects is by visiting and learning from action at a site where the processes, activities and supporting institutional mechanisms have delivered marked and sustainable success. It is this criterion that shall have to be used in selecting such site based field learning centres. As has emerged from an appraisal of various countrywide initiatives, the following sites suggest themselves:

Potential Sites

1. Periyar Tiger Reserve-Kerala (PTR): Availing opportunity of assistance from India Ecodevelopment Project this site stands out countrywide in multilateral performance that has weaned poachers, improved protection in a participatory manner including inspiring women volunteers and substantially improved stakeholder incomes sustainably while reducing dependence on park bio-resources. It has also excelled in setting up effectively functional institutions from grassroots to the park level fostering Periyar Foundation. Release of stakeholders from debt-trap and harnessing ecotourism for enhancing stakeholder incomes are also outstanding achievements. Requisites of state support needed in such a programme also can also be learnt here.
2. Kalakad Mundanthurai Tiger Reserve Tamil Nadui (KMTR): KMTR has also rendered excellent performance in all above aspects except the participatory ecotourism development and the setting up of a functional apex fostering Foundation. It has effectively ameliorated much higher levels of poverty through alternate livelihood packages and almost entirely weaned people from forest dependence. Its use of the hydrological merits and societal utility of watersheds in order to elicit broad based support for conservation is a model for emulation. Cogent Government orders that helped setting up of grassroots institutions allowing decisive participation of key stakeholders is yet another model. Continuing growth of revolving funds that support micro-enterprises that have pulled hundreds of households from advanced poverty presents an example of sustainability.

3. Gir Conservation Area-Gujarat (GCA):

Gir has a long and glorious history of nature education initiatives and successes. This has been as much on account of active nature conservation and educational NGOs in the state of Gujarat as the fact that the Gir National Park has consistently welcomed such initiatives. This is one aspect in which Gir Conservation Area as a Learning Centre has a lot to educate and train managers from other PAs in the country. Coupled with nature education is ecotourism which has also evolved to a high degree in Gir.

Presence of maldharis (local traditional livestock herders) inside the National Park and other fringe communities has enabled the managers at Gir to develop strategic eco-development models especially under the IEDP which can be used as learning models for others.

Provision of timely medical attention to a wild animal in distress has also been ingeniously developed in Gir National Park, which can be a suitable model to replicate elsewhere in the country.

10. ECONOMIC ANALYSIS

The aim of conventional economic analysis is to allow for decision-making regarding the appropriate choice between competing uses of scarce resources. The aim is to rank alternative public investment projects in the order of their contribution to society's development objectives, such that optimal resource allocation takes place.

Such an analysis measures social costs and benefits from the project in a manner that reflects the true value of the project to society. To do so, the analysis relies upon the use of shadow prices, instead of market prices, since market prices are subject to various distortions and do not reflect value to society but to individual economic agents (buyers/sellers). In practice, due to the complexity of objectives and constraints, shadow prices can only be an approximation of the social and environmental benefits and costs.

The steps involved in such a cost benefit analysis would be

- a. To list all project affected parties (including third parties, that is, those affected by externalities)
- b. To measure the effect of the project, in money terms, on the welfare of these parties
- c. To reduce all future effects (benefits and costs) to present values

If the net benefits (benefits minus costs) of this action (A) are higher than the net benefits from the next best alternative, then (A) is considered efficient.

Pre-requisites for carrying out such an analysis

- a. Comprehensive listing of all parties affected by the project (gainers and losers)
- b. Quantification, and if that is not possible, at least a detailed description of gains and losses that will occur as a result of the project
- c. Calculation of accurate shadow prices, which requires detailed input-output tables for the local economy, or local conversion factors for major inputs
- d. Calculation of a shadow rate of discount

- e. Identification of distributional impacts of the project – who gains and at whose expense, and the baseline welfare levels of the 2 sets of people – to enable calculation of equity impacts
- f. Identification of risks and uncertainties associated with the flow of net benefits over time, and the probabilities associated with different possible scenarios.

Feasibility of Cost Benefit Analysis approach for the BCRLIP

All the above require collection of a range of information and data about the project area, the people affected, and the projected ecosystem and ecological impacts of the intervention. Moreover, the same information should also be available for the alternatives to the proposed project. Only once these data are available will it be possible to calculate the Net Present Value (NPV) of the stream of benefits arising from the proposed project.

This NPV would then have to be compared against the NPV arising from alternative projects, to demonstrate that the net social benefits of the proposed project is the highest.

The project preparation process revealed that such information is not readily available for the project sites and the gathering of such information would require time and financial resources that were not available as part of the project preparation process.

Further, though rudimentary tools are available for assigning monetary values to conservation benefits, this is not an approach on which there is consensus within the discipline.

Given these constraints, it was considered more appropriate to avoid attempting any quantification of project benefits, and instead rely on a descriptive approach. Thus, as part of the economic analysis, a detailed listing has been provided of the potential benefits and costs that the project is likely to generate through its various components. Project design components that maximise potential benefits and mitigate costs and risks have also been described.

Overall Project Benefits

The following project components are readily visible from the results framework:

1. Develop, demonstrate and disseminate participatory approaches and methods to planning and management for BD conservation at the LS.

Benefits:

- i. The project will trigger a paradigm shift in conservation planning and management by graduating from looking at PAs as conservation foci to landscapes that incorporate multiple PAs and possibly several other land use regimes. The principal conservation strategy of the country has been the declaration of protected areas. In keeping with contemporary knowledge and thinking in the field of conservation, this strategy is sought to be ratcheted up to a landscape level conservation paradigm that integrates human livelihood and development concerns with those of conservation. Attempts at landscape level conservation have been made by both state agencies (via the provision of elephant reserves) as well as NGOs (WWF India has prioritised and is working in several landscapes with Tiger, Elephant and Rhino as species of focus). However, such efforts remain rudimentary in the absence of an overarching framework that integrates biodiversity, livelihoods, institutions and legal mechanisms. By engendering such a framework and field testing the landscape approach, the proposed project will place the

current conservation regime on a new trajectory. This will result in extension of the conservation umbrella to a whole range of biodiversity.

2. Demonstrate and disseminate community-based planning and management processes for sustainable livelihoods in the landscapes.

Benefits

- i. The project will strengthen the livelihoods-conservation linkage by generating incentives for conservation as a result of devolving control over natural resources and strengthening community husbandry of such resources. Apart from obvious conservation benefits, this will also benefit a range of marginalised and livelihood insecure communities and is likely to result in improved livelihood security for such people.
- ii. The project will directly cause a strengthening of the asset pentagon of marginalized communities – that is, their holdings of physical, financial, social, natural, and human capital - by either investing in such asset creation directly or by catalysing investments from non project sources such as government line departments.
- iii. At select sites, the project will also invest in institutionalising biodiversity conservation in the functioning of Panchayati Raj bodies, thereby lending sustainability and creating a large grass roots constituency for conservation. At such sites project investments have been proposed for capacity building of PRIs to strengthen their governance capacities, particularly with regard to natural resource management.
- iv. The project will also foster and capacitate other user group based institutions that will form the building blocks of a decentralised planning process. In addition, these user groups are envisioned as vehicles of sustainability.

3. Opportunities and mechanisms for greater convergence between schemes and agencies for sustainable biodiversity and livelihoods objectives are explored and promoted.

Benefits

- i. In the selected landscapes, biodiversity conservation will be mainstreamed in the decision making processes and priorities of government agencies and will cease to be a sector-specific concern only of the forest department.
- ii. This will cause a reduction in investments necessary to offset harmful or potentially harmful conservation impacts of activities of line agencies.

The project design proposes assistance to various line agencies from the BCRLI Society for framing their annual plans in a conservation friendly manner. Limited investments in line agencies are also proposed for this purpose. Rather than grants to line agencies, these transfers are viewed as investments that will leverage additional resources.

- iii. This will also trigger indirect investments by line agencies that enhance conservation outcomes. Thus project investments in the landscape will leverage additional funds that will be directed towards project objectives. Landscape indicative plans have proposed varying percentages of non project funds that will be leveraged via project investments.

4. Policy and legal frameworks that will clarify and harmonise livelihoods and conservation objectives are developed and promoted.

Benefits of this component take the scope of the project beyond the six landscapes where project investments will be directed.

- i. The national government will have a menu of law and policy options that will potentially make the law and policy climate in the country more conducive to sustainable conservation, particularly to enhanced participation by local communities in conservation decision making and practice.
- ii. This climate will also reduce the disconnect between competing claims of conservation and livelihood security (particularly of vulnerable groups), thus reducing the need for mitigatory investments for conflict resolution.

PROJECT LOG FRAME

Narrative Summary	Objectively Verifiable Indicators	Sources of Verification	Important Assumptions and external factors
<p>Goal</p> <p>Conservation of globally significant biodiversity and sustainable use of landscapes of high biodiversity value in India is assured.</p>	<ul style="list-style-type: none"> - Abundance indices for keystone species in India's landscapes of high biodiversity value show stable or increasing trends. - Species diversity indices in India's landscapes of high biodiversity value show stable or increasing trends. - Changes made to policy and legislative frameworks reduce conflict and constraints to sustainable biodiversity conservation and livelihoods promotion. - Management plans in critical landscapes have been prepared/reviewed using appropriate participatory principles to maximise local people's active involvement in conservation and to optimise the livelihood value of the LS.. 	<ul style="list-style-type: none"> - MoEF Reports - Project Tiger Reports - WB monitoring reports - PA and forest management plans 	

<p>Project Purpose</p> <p>Models and approaches for consultative management that integrates biodiversity and livelihood concerns in landscapes of high biodiversity value are demonstrated and lessons learned are disseminated widely for replication.</p>	<ul style="list-style-type: none"> - Improved and innovative Management Plans that address both biodiversity and livelihood issues have been prepared and implemented in a participatory manner in 2 high priority LS, including 2 PAs and 9 Forest Divisions, by eop. - Innovative methods for promoting and monitoring sustainably improved and ecologically sound livelihoods have been demonstrated and documented in 2 LS by eop. - Institutional mechanisms for promoting biodiversity conservation and sustainably improved livelihoods have been demonstrated and documented in 2 LS by eop. - Conflicts in policy and legal frameworks that constrain participatory biodiversity conservation and management are identified in 2 states and recommendations have been made for their improvement by eop. - Lessons learned from field work have been documented and disseminated widely by eop. 	<ul style="list-style-type: none"> - Management Plans - Annual work plans and budgets - Process documentation - Livelihood monitoring systems and tools - Process documentation - Project reports - Monitoring mission reports - Project reports - Project policy papers and proposals - Dissemination and outreach materials 	<ul style="list-style-type: none"> - Recommendations for change in policy and regulatory frameworks are acted upon. - Conservation of biodiversity and ecological services are accorded priority by development agencies in LS of high biodiversity value. - Sustainable livelihoods improvement particularly of the poor & marginalised is accorded priority by natural resource management and development agencies in landscapes of high biodiversity value. - Value of outreach for dissemination of lessons learned and success stories emerging from the project is appreciated and acted upon by project implementers
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<p>Project Results</p> <p>1. Participatory approaches and methods of planning and management for biodiversity conservation at the LS level are developed and demonstrated.</p>	<p>1.1 Management Plans / Working Plans for all PA/Forests in 2 LS have been prepared or revised, or reviewed by yr 2 to ensure that they incorporate participatory principles and processes for defined biodiversity and livelihoods objectives.</p> <p>1.2 Guidelines for incorporating participatory approaches to bio-diversity and livelihoods planning of PAs/Forests have been compiled drawing on the experiences of 2 LS by yr 4.</p> <p>1.3 Simple and practical monitoring systems to track PA/Forest dependent biodiversity and livelihoods indicators have been established and documented in each of 2 LS by yr 3</p> <p>1.4 Biologically Significant Areas in the 2 LS have been well researched and effective monitoring of biodiversity indicators initiated in at least 75% of them by eop.</p> <p>1.5 Important indicator species in the 2 landscapes show stable or increasing population trends by eop</p>	<ul style="list-style-type: none"> - Independent review report of management plans / working plans in the 2 Landscapes. - Monitoring reports - Published guidelines - Project Reports - Documentation of monitoring systems and outputs - Research papers - Monitoring reports - Monitoring reports 	
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<p>2. Community-based planning and management processes for sustainable livelihoods in project landscapes are demonstrated and disseminated.</p>	<p>2.1 Microplans (MP) have been prepared in all 463 project villages in 6 LS</p> <p>2.2 Livelihoods of target populations in 6 LS are monitored and show improving trends by eop.</p> <p>2.3 Vulnerability of target population is monitored and shows declining trends of vulnerability by eop.</p> <p>2.4 50% of target population confirms having actively participated in the planning process in each LS</p> <p>2.5 Representative and inclusive CBI are strengthened in all (160) project villages in the 2 LS.</p> <p>2.6 Annual plans under the MPs in 2 LS have been implemented and monitored in yrs 3 to 6</p> <p>2.7 Domesticated biodiversity is regularly monitored and in target villages of the 2 LS shows a stable or improving trend.</p>	<ul style="list-style-type: none"> - Review of microplans - MoL reports - Monitoring Reports - Independent survey reports - Independent review of group strength - Annual reports, work plans and budgets. - Monitoring reports - Annual reports. 	<ul style="list-style-type: none"> - Communities and their representatives wish to give priority to activities that will integrate conservation and livelihoods objectives.
<p>3. Biodiversity Conservation is Mainstreamed within Larger Development Processes in the Project Landscapes</p>	<p>3.1 Line agencies are investing at least 30% of the funds required to implement microplans and livelihoods programmes in 2 LS by yr 3</p> <p>3.2 Inter-sectoral District Plans for the 2 LS show increasing trends in budgetary allocation to biodiversity conservation and livelihood support schemes.</p> <p>3.2 Annual multi-stakeholder coordination meetings are taking place in each of 2 LS by yr 3.</p> <p>3.3 Annual training on biodiversity and livelihoods issues has been provided to key</p>	<ul style="list-style-type: none"> - Annual work plans and budgets - Monitoring reports - District plans - Review Reports - Minutes of meetings 	<ul style="list-style-type: none"> - Mechanisms for multi-stakeholder convergence are supported and promoted by state and national governments.

	functionaries in all relevant line departments and the administration in project districts of the 2 LS.	- Training records and reports.	
4. Project Learnings are Replicated and Promoted across the Country	<p>4.1 A review of policy and regulatory frameworks identifies gaps & areas of conflict with reference to the 2 LS in yr 1.</p> <p>4.2 Action research is being conducted in each of the 2 LS to identify and pilot test solutions to identified gaps and conflicts by yr 3.</p> <p>4.3 Proposals for improvements in policy and regulatory frameworks have been submitted to 2 state governments and MoEF by year 4.</p> <p>4.4 Sites as field Learning Centres (FLC) and WII promoted and facilitated in 4 sites by yr 1</p> <p>4.5 National level conferences and workshops have reviewed and commented on the proposals and made recommendations for improvement to GoI through the MoEF by yr 5</p> <p>4.6 Policy and legal frameworks are updated to address gaps and conflicts between biodiversity and livelihood objectives by eop.</p>	<p>- Review report</p> <p>- Action research proposals and reports</p> <p>- Proposals</p> <p>- Minutes of meetings and workshops.</p> <p>- Conference and workshop proceedings and recommendations.</p> <p>- Project reports</p> <p>- Monitoring reports</p>	- State and national governments accord priority to adopting new policy and regulatory frameworks intended to harmonise biodiversity conservation and livelihoods promotion.

Sample MOA and MOU

Memorandum of Agreement (MOA) -- General

This Memorandum of Agreement is entered between Forest Department & the Village Conservation Committee, Askot Panchayat and LBC for agreeing to carry out the following tasks?? For overall coordination of the BCLRIP project

1. Objective: The objective of this agreement is to provide a framework for the efficient undertaking of the _____.

2. Representation The following _____ will be the representatives from each of the following member organisations:

3. Activities undertaken under this MOA will be to:

1. Design and approve the programme framework
2. Coordinate and facilitate the functioning of the project
3. Review and evaluate the ongoing work
4. Facilitate linkages with government and NGOs
5. Actively disseminate project outputs
1. Carry out advocacy and lobbying

4. Duration: The duration of this MOA and its members will be three years. (wef).

5. General Provisions

This Agreement and the Annexes attached hereto shall form the entire Agreement between the above mentioned groups, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Agreement.

This project undertakes no responsibilities in respect of life, health, accident, travel or any other insurance coverage for any person who may be necessary or desirable for the purpose of this Agreement or for any personnel undertaking activities under this Agreement. Such responsibilities shall be borne by the respective NGOs/groups.

IN WITNESS THEREOF, the undersigned, duly appointed representatives of the above mentioned organizations, have on behalf of the organizations, signed the present Memorandum of Agreement on the dates indicated below their respective signatures.

NAME

SIGNATURE

DATE

Memorandum of Agreement (MOA) for steering groups

This Memorandum of Agreement is entered between FD, Gram Panchayat, and VCC for agreeing to be part of the Steering Group of the project onand undertake the overall coordination of the work carried out under the project

1. Objective: The objective of this agreement is to provide a framework for the efficient undertaking of the project.

2. Representation The project Steering Group will include up to two representatives from each of the following member organisations: _____.

3. Functions of the steering group will be to:

1. Design and approve the programme framework
2. Coordinate and facilitate the functioning of the project
3. Review and evaluate the ongoing work
4. Facilitate linkages with networks and groups
5. Actively disseminate project outputs
6. Carry out advocacy and lobbying
7. Select additional members if required

The SG organizations or members will also be taking up responsibility of a few tasks which are to be carried out under the project. In order to avoid any potential conflict of interest, the following has been decided and agreed upon:

- All tasks carried out will be peer reviewed by the SG members.
- No organisation will be paid any honorarium/remuneration for serving on the SG
- Any organisation (including those on the SG) may be eligible to receive money from the project based on their expertise to carry out any specific task
- The SG member will periodically report back to the SG on the progress of the work being undertaken.
- Decisions taken by the SG will be based on consensus.

In addition, it has been decided that the SG will appoint a coordinator who will report technically and administratively to SG to oversee the project

4. Duration: The duration of SG and its members will be three years. (wef).

The SG will meet physically at least once a year and in-between skype or WebEx calls will be arranged. Any member can leave the SG if it so desires by submitting a written resignation.

5. General Provisions

This Agreement and the Annexes attached hereto shall form the entire Agreement between the above mentioned NGOs, superseding the contents of any other negotiations and/or agreements, whether oral or in writing, pertaining to the subject of this Agreement.

The project undertakes no responsibilities in respect of life, health, accident, travel or any other insurance coverage for any person who may be necessary or desirable for the purpose of this Agreement or for any personnel undertaking activities under this Agreement. Such responsibilities shall be borne by the respective NGOs.

IN WITNESS THEREOF, the undersigned, duly appointed representatives of the above mentioned organizations, have on behalf of the organizations, signed the present Memorandum of Agreement on the dates indicated below their respective signatures.

NAME

SIGNATURE

DATE

MEMORANDUM OF UNDERSTANDING (MOU)

The Memorandum of Understanding is entered into between the ABC (hereinafter referred to as ABC, address, New Delhi – 110 00?) and XYZ (XYZ) hereinafter referred to as the Project Implementer – PI).

Whereas ABC has been working on issues related to biodiversity conservation and sustainable livelihoods in many areas. ABC has undertaken a project called BCLRIP. The overall goal of the project is to for achieving conservation of biodiversity and livelihood security for biodiversity-dependent people. One of the main outputs would be to understand, carry out

XYZ is an NGO registered as a Society under the Societies Registration Act in Delhi in 1987. It was established in the year ?? and works on environmental awareness, livelihood activities etc.

The details of work to be carried out by the PI (as set out in the concept note) is attached as **Annexure ??**. Now, therefore, this agreement witnesses as under:

1. The PI will carry out the following:

- To survey the villages ????
- To help build ????
- To mobilize???
- Strengthen the VCC's and ????

2. Any further technical assistance, if required, will be provided by the ABC.
3. The PI has to report the progress of work every six months to the ???

4. The funds will be transferred by ABC to the PI, by Demand Draft/cheque in favour of XYZ payable at ???.
5. Upon receipt of the Demand Draft/Cheque, PI will immediately sign and return to ABC an official receipt with revenue stamp.

6. ABC agrees to transfer the sanctioned sum to the PI in the following manner:

S.No.	Installment	AMOUNT (INR)	TIME OF RELEASE
1.	40 %	,000.00	After signing the MoU in Month, 2009
2.	30%	,000.00	After six month progress report
3.	30%.	,000.00	On submission of audited statement in month, 2009
TOTAL		,000.00	

7. The PI will submit a progress report by April 2008 and a final report by September 30th 2008.
8. The PI will submit a statement of expenditure and an audited financial report after completion of the work.
9. Time frame for the assignment would be a period of year (..... 2009.... 2009)
10. The PI agrees to carry out the activities as outlined in the concept format given in **(Annexure ??)**
11. This MoU and all matters arising out of or in connection with it shall be confidential between the PI and ABC, except:
 - (i) as may be approved by ABC in writing before disclosure.
 - (ii) as to what may from time to time become public knowledge.
12. No deviation from the approved proposal and its activities will be permitted, without ABC's written consent.
13. All publications and promotional material produced in the course of project must comply with ABC's visual guidelines and should be approved by ABC before any official release/launch.
14. In case the PI fails to complete the assignment in the specified period, for reasons not attributed to ABC and / or act of God such as floods, landslide, or any other natural calamity etc. or reasons provided by the PI for the delay are not considered valid or convincing ABC may terminate the assignment under this contract. In such case the PI shall refund all payments taken from ABC, along with interest at a rate of 8 (eight) percent per annum.
15. The PI agrees to return the signed Agreement and to direct all deliverables and administrative questions to Name, Designation, ABC.
16. To acknowledge acceptance of the terms and conditions of this agreement, a copy of this Memorandum of Understanding will be signed and returned by the PI. Each page of the MOU and Annexure 1 should be signed.

In witness whereof the parties have set their hands on the date mentioned below:

(For ABC)

Date:

Place:

(ABC)

Date:

Place:

I, name, designation for XYZ, Place, India, agree to the above terms and conditions.

PI

Date:

Place:

(Witness:)

Date:

Place:

Annexure-II

How to set up a village level committee/group

Gather together the entire village for an initial organizing meeting planning meeting. The purpose of this meeting is to decide in general terms what a village level committee is about and what will be its function and purpose. You should present the concept and ideas about a village level committee in this meeting for feedback, discussions and revision.

1. Define the purpose for which the village committee's is being set up.

This concern might be forest conservation and livelihoods security.

mental illness, loss, disability, addiction, family issue, or other life experience that you share with others. (Examples include AIDS, depression, unemployment, autism, gambling, adoption and breast feeding.)

2. Decide the structure of the committee.

At the beginning, try and include at least one member of each HH as a member.

From among these get the group to select 8-10 core committee members. Try and get 50% women on this core committee. Few members like Sarpanch, JFM committee person should be invited to also join the core committee.

3. Establish the group's initial focus.

Don't try to do everything at once. Consider focusing on only one or two activities at first. Here are some suggestions to choose from:

- ✓ Share the feelings and experiences.
- ✓ Exchange information and resources.
- ✓ Discuss new ways to solve old problems.
- ✓ Find ways to reduce stress and anxiety.
- ✓ Allow your group to develop slowly.

4. Make some rules and regulations of the committee

1. Schedule of meetings Once a month
2. Quorum: all major discisions with the entire committee members and not just core committee
3. All meetings minutes to be kept. At least 2/3rds of the core and general committee members to be present in the meetings.
4. Membership fee to be taken @ at least 2 Rs per HH.

5. Accounts to be maintained by core committee and shared with the entire committee quarterly.

5. *Pick a name.* You may want the name to define your purpose or area of interest. appropriate.

6. Define your relationship with outsiders/professionals.

Members of a local level committee are often told that they cannot run their group without a professional "expert". The real experts are the people who have the problem. They become more powerful and healthy by learning how to help each other as well as themselves. Do some trainings and capacity building of group members. Let them become their own experts.

7. Prepare a list of possible activities.

Activities may include reviewing village roads, sanitation, visit to nearby NGOS, a field trip to Market etc.

8. *Think "Mutual-Help" from the Start.*

Give every new member the opportunity to contribute to the group and feel appreciated from the beginning. Here are some ways to do this:

- ❖ Look within the general membership for programs and ideas.
- ❖ Rotate tasks among group members. Share in leading meetings, providing refreshments and other tasks.
- ❖ Choose where to meet.
- ❖ Everyone can help; share tasks to help people feel more involved in the success of the group.

Pick a location where people will feel comfortable in sharing feelings and experiences. Some groups meet in village ground, schools, panchayat bhavan. Other groups rotate their meetings in members' homes. When selecting a meeting place, look for the following:

- Central locations that are easy to find.
- Long-term availability.
- Access for people with disabilities.
- Access to public transportation.

Some problems may include:

- Monopolizers who talk forever. Set up guidelines for discussions. Some groups sit in a circle, allowing each member in turn to talk or pass. A specific time limit can also help. Also ensure the chair or leader of the group gives everyone his or her own turn.
- Not enough active listening. People respond positively when others genuinely listen to and care about what they say. Consider having "active listening"

training sessions to help members improve their verbal and nonverbal communication skills.

- Too much negativity. Refocus the group from negative to positive. Give members a task, such as listing common and unusual ways of solving shared problems.
- Leader burn-out. Encourage shared leadership.

Re-evaluate periodically. Be sure that the programs, meeting place, time and frequency continue to match the needs of group members.

9. Registration:

- ❖ Committee to register themselves as a society /trust/cooperative as appropriate looking at its functioning and state legal structure.
- ❖ Legal opinion from a competent lawyer to be obtained to decide on appropriate legal structure for registration

Steps to set up and run a village community fund

- The village committee after its registration will open a bank account.
- All members will pay a token amount of registration fee to the committee.
- This money to be deposited in the bank account.
- This fund to be entirely financed by community contributions equivalent to 10% of the cost of project interventions on livelihood support activities.
- Contributions in kind from the very poor households to be monetized and taken as their equivalent contribution.
- Level of these contributions to be reviewed after one year of implementation.
- The VCF to be further augmented through a range of landscape specific diversified menu of options:
 - interest received on loan extended to SHGs,
 - penalties charged by committee,
 - interest amount on bank deposits and the money made available to the local institution by sectoral line agencies in return for services rendered.
 - Payment for services to FD For example where fire or anti-poaching protection is done in a participatory manner with the forest department from interior patrol camps by VFC/ EDC members, 5% of wages could go the VCF.
- The VCF generated as above to be used to leverage more money especially from from PRIs/ DRDAs and used for development of community assets as well as for livelihood support activities. Such leveraging of funds through CONVERGENCE will be useful in enhancement of VCF and will be in conformity with the landscape approach.

Planning and implementing any livelihood interventions

A: Factors which influence livelihood choices

INTERNAL

- People, whose livelihoods are to be promoted: These aspects are to be studied:--
 1. What is the livelihood pattern of the people,
 2. Existing mix of activities in which different members of a household are engaged in,
 3. Seasonal cycle of activities in a year
 4. HH capacity
 - ❖ Household number of people
 - ❖ Cultural and social conditions
 - ❖ Skill sets and knowledge of the people
 - ❖ Shortfalls in a household's income and buffers from which these are met.
 - ❖ Opportunities accessible to them as well as barriers posed by the social and cultural conditions.
 - ❖ Finance, including credit available through out the year, to make investments as well as to even out cash-flows at different seasons
 5. HH Preference

- Organization/Agency/Authority which is going to promote/ support livelihoods. Assess the following to choose/select the organization and also judge its capabilities:-
 1. Purpose of the agency
 2. Organisation's core competency
 3. Legality of the organisation
 4. Source and duration of capital
 5. Duration of engagement in the field
 6. Strategies for withdrawal/exit strategies

EXTERNAL

- Factor Conditions
 - Demand Conditions
 - Industry Conditions
- Institutional Condition

Factor conditions:

A. Natural resources

Land: terrain, quantum, quality, distribution and uses

Water: annual rainfall, groundwater levels, sources of irrigation

Humidity

Forests: quantum, tree species and usage

Livestock

Mineral wealth

Energy sources

Are there any environmental threats to these natural resources?

B. Physical resources

Irrigation infrastructure: Tanks, Canals, Borewells

Shandies, *Haats*, Market yards

Warehouses

Electricity

Roads, Railway lines

Transport facilities

Post Office, Banks

Health facilities

C. Human resources

Population

No. of households and family size

No. of earning members per family

Labor availability and skill levels – manual, craft, service and knowledge base

Entrepreneurial ability of various communities in the population

Education profile of population

Health profile of population

Gender division of all the above

D. Social resources

Relationships of trust and reciprocity within and between communities

Gender relations

Caste relations

Agrarian relationships

E. Financial resources

Available sources of credit – formal and informal

Interest rates and collateral requirements on different credit sources

Credit requirements of different income/occupational groups of people

Savings mechanisms

Other financial services

For a factor condition to actually enable livelihood opportunities, it must have the 4-A's:

- **Asset:** The asset, physical or otherwise must exist.
- **Awareness:** People must be aware that such an asset exists.
- **Ability:** People must have the ability to use that asset.
- **Access:** People must have access to the asset.

Unless these are also present with the resources, they are not useful for any livelihood intervention effort.

Demand conditions: Whatever be the chosen livelihood activity, there is some output of goods / services. These goods / services are bought by some people that constitute the demand for them.

It is very important to carry out a survey to assess the market and demand of any intervention: who is demanding them? Is it local, what has been the status past few years increasing, decreasing or stagnant?

Industry conditions: The third element of this external context is the nature and status of the industry, of which, the livelihoods activity is a part. Here we use the word 'industry' in a broader sense, to include all economic activities. For example, production of paddy is a part of cereal food industry.

Thus, it is important to assess what is the status of the industry, in which we are going to promote livelihoods. Is it growing and vibrant? Is it stagnant and dieing? Are there other related and supporting industries that extend services?

These related and support industries often play a critical role in the chosen livelihood activity. Their presence or absence creates conditions for making one livelihood intervention more effective than the other.

Institutional conditions: Local institutions, state policies, tax laws, local norms and social arrangements all influence the choice and functioning of livelihood activities.

These together define the Institutional Condition of the livelihood choice.

B: Steps for analyzing and designing any livelihood intervention's:

- (i) Objective of the intervention state the objectives clearly. This gives the whole purpose of any intervention: some of these could be:
 - Enhancing income
 - Creating assets or wealth

- Increasing food and livelihood security
- Reducing pressures on forests
- Reducing variances in income
- Reducing rural to urban migration
- Establishing linkages with government schemes

(ii) Nature of the intervention

- **The sector in which we intervene:** Do we want to improve on an existing livelihood activity or promote a new one?
- **The point of intervention:** Which part of the value-addition chain will we focus on? Will we provide one missing input, such as technology development or credit, integrate the delivery of inputs, or intervene at multiple points providing several services?
- **The instrument of intervention:** What is the tool of intervention? Do we want to train the people to make the necessary changes? Do we want to change some policy to bring about changes that help people?

(iii) Design of the livelihood activity. Should incorporate the following

- HH level or Village level or federation
- Ownership??
- Management
- Size/scale
- Benefit sharing
- Trade offs
- Institutional mechanisms
- Funding : Grant or loan

C: Steps to plan a livelihood intervention

The basic steps to be carried out for any livelihood intervention are:

Stage I: Observing and Understanding the Local Economy

Step 1: Getting to Know the People: Understanding their diversified livelihood portfolio

Step 2: Assessing Factor Conditions

Step 3: Understanding Local Demand Condition:

- Identify enterprises existing in the area...

- Mapping all the products and services that go out and come in

Phases in a Livelihood Intervention:

- *The pilot phase:* when we are still testing out a new idea to see if it works on a small scale.
- *The development phase:* the pilot phase has proved successful and we are now developing a model, with the expectation of scaling it up or replicating it.
- *The scaling up or replication phase:* we now have a model, which works

Stage II: Selecting Livelihood Activities Suitable for the Poor in the Area

Step 1: Triangulation: Putting the information on people, the factor and demand conditions together

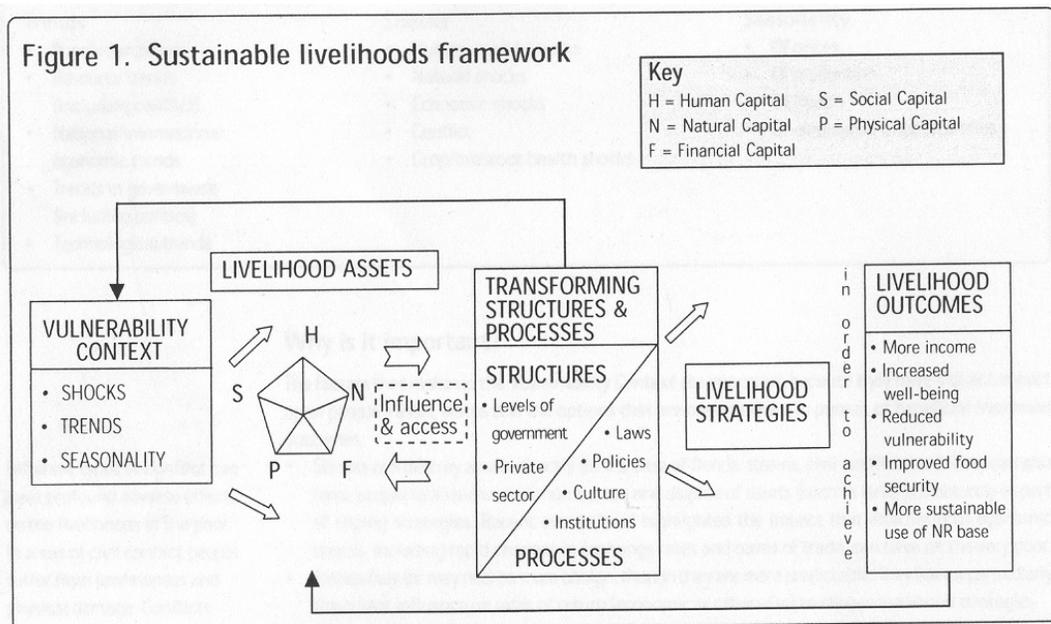
Step 2: Understanding the Demand Condition of the short-listed activities better

Stage III: Deciding on intervention

Step 1: Exercise for feasibility assessment, market studies, cost benefit analysis and development of business plan to be carried out.

Step 2: Overlaying Organizational Competence

The Sustainable Livelihood Framework also helps us look at some of these factor conditions.



Annexure: V

Information Sources for data collection

S.No	Particulars	Information Needed	Sources
1	District Background	<ul style="list-style-type: none"> • Location • Rainfall • Climate 	<ul style="list-style-type: none"> • District Economic Census: District Statistical Office/ Planning Office in some districts • District Potential Link Plan (published by NABARD for every district) • District Credit Plan (published by the lead bank of every district)
2	Population	<ul style="list-style-type: none"> • Rural - male, female • Urban - male, female • Computed Annualised Growth Rate - Rural, Urban 	<ul style="list-style-type: none"> • District Census Data: District Statistical Office/Planning Office in some districts
3	Literacy Rate	<ul style="list-style-type: none"> • Rural - male, female • Urban - male, female • Computed Annualised Growth Rate - Rural, Urban 	<ul style="list-style-type: none"> • District Census Data: District Statistical Office/Planning Office in some districts
4	Workers Participation Rate	<ul style="list-style-type: none"> • Rural - male, female • Urban - male female • Computed Annualised Growth Rate - Rural, Urban • Workers Classification as per NIC 	<ul style="list-style-type: none"> • District Census Data: District Statistical Office/Planning Office in some districts

S.No	Particulars	Information Needed	Sources
5	Land	<ul style="list-style-type: none"> • Land Use Classification • Cultivable Land Classification: small, marginal, medium, etc. both acre-wise and landholding-wise 	<ul style="list-style-type: none"> • Seasonal Crop Report: ICAR
6	Agriculture	<ul style="list-style-type: none"> • Cultivable Lands: Net, Gross & trend • Reasons, for changes, if any 	<ul style="list-style-type: none"> • Seasonal Crop Report
	(Compare data with adjacent district or state averages)	<ul style="list-style-type: none"> • Major food crops: cultivable area, productivity & trends • Major Non-food crops: cultivable area, productivity & trends • Availability of Market Infrastructure • Constraints in agriculture production & marketing 	<ul style="list-style-type: none"> • NABARD: District Potential Link Plan • LEAD Bank: Annual Credit Plan • APMAC • Discussion with Stakeholders
7	Water	<ul style="list-style-type: none"> • Irrigated Land: Net, Gross, trend • Sources of Irrigating Water 	<ul style="list-style-type: none"> • Seasonal Crop Report

S.No	Particulars	Information Needed	Sources
8	Animal Husbandry	<ul style="list-style-type: none"> • Major animals reared: Population, products production • Infrastructure for value addition & marketing trends • Marketing Trends and Constraints 	<ul style="list-style-type: none"> • Census of Animal Husbandry • NABARD: District Potential Credit Link Plan • Discussion with Stakeholders
9	Forestry	<ul style="list-style-type: none"> • Coverage, type & trend • Forest Produce - kinds and in Rs and trends • Participation of JFM • Scope for income generation 	<ul style="list-style-type: none"> • Seasonal Crop Report • NABARD: District Potential Link Plan • Directorate of Economics & Statistics • Discussion with Stakeholders
10	Mining and Quarrying	<ul style="list-style-type: none"> • Major elements mined/quarried • Production - kinds and in Rs • Employment opportunities: Scope 	<ul style="list-style-type: none"> • Directorate of Economic and Statistics • Discussion with Stakeholders
11	Manufacturing	<ul style="list-style-type: none"> • Units as per NIC 2 digit classification, • Persons employed • Employment opportunities: Scope 	<ul style="list-style-type: none"> • DIC • Discussion with Stakeholders

S.No	Particulars	Information Needed	Sources
12	Services	<ul style="list-style-type: none"> • Identify potential activities by assessing current employment, • employment absorption capacity by calculating Computed Annualised Growth Rate, etc 	<ul style="list-style-type: none"> • Random survey in at least five market areas
13	Financial Services	<ul style="list-style-type: none"> • Scheduled commercial Banks: Loan outstanding sector-wise: accounts and amounts • Portfolio Analysis 	<ul style="list-style-type: none"> • NABARD: District Potential Credit Link Plan • Lead Bank: Annual Report; RBI: Banking Statistics • Discussion with LEAD Bank
14	Government Schemes	<ul style="list-style-type: none"> • Performance status: Various development schemes 	<ul style="list-style-type: none"> • Discussion with DRDA, Govt. departments

Phases of Micro planning

The entire village level planning exercise can be divided into three phases:

Phase I Pre-Planning: This is basically an environment-building phase both at the level of the community as well as that of the implementing agency. It is also likely that during this phase when a number of questions and doubts that the community has about the project will be raised and will need to be addressed by the Local level CBO or NBO (can be called Gram Mitra). Hence communicating about the project becomes an important function in the pre-planning phase of the micro planning exercise.

Step 1: Environment Building

Establishing contact with the community:

Communicating about the project: At the outset it is necessary to make unequivocal, reliable information available to all stakeholders, particularly local communities at the village level. The project design provides for communications expertise within the PFU, which needs to be optimally used to thoroughly inform the community about the precise provisions of the project. The high profile nature of such projects and the lag time between project preparation and implementation are conditions that often provide opportunity for rumors and incomplete information to proliferate within the project area.

The micro planning process to be preceded (and accompanied) by a clear and sharp communication strategy that dispels myths and makes authentic information available to the primary stakeholders.

Identify key people in the village including potential leaders as change agents.

Collect baseline information (on Natural and Human resource base, livelihoods practiced, biodiversity dependencies, services, markets etc) using a few PRA tools like transect walk, timeline, and discussions with some key informants, group meetings etc.

Collect of secondary information from the Block office and from official data sources like the census, district statistical handbook

Look at existing micro-plans (if any) to identify the activities and areas they address. In case there are any sectoral micro-plans that have convergence with BCRLIP objectives, it should be taken note of and cross linkages established with such plan.

The planning and implementing team to interact with some key functionaries of relevant line departments like forest, agriculture, panchayat and rural development, animal husbandry, WCD, health, education etc to get an idea of their ongoing programmes and interventions as well as to inform them about BCRLIP and bring in a larger ownership of such agencies.

Step 2: Including the excluded: This is an all-important step and requires making a special effort to include the dalits, women, landless, disabled, tribals, people below the poverty line and

the minorities. If required, holding separate meetings with these groups to explain the process of micro planning and the importance of their participation in this process.

Step 3 Consultation and Orientation Meeting: The objective of this meeting is to arrive at a common understanding on micro planning with a focus on conservation and livelihoods. The participants in this meeting will be representatives from all sections of the village community, local level government functionaries from the relevant line departments and elected representatives of PRIs (Panchayati Raj Institutions)

Several such meetings to be conducted in each landscape in accordance with the units of intervention that have been identified for each landscape (such as clusters and so on). These will cover the following:

What is Biodiversity and why ecosystem conservation is critical?

How such conservation is beneficial for securing the productivity of farms and livestock besides affording other bio-resource needs and allied livelihoods?

How does the project define livelihoods?

How different livelihood choices affect biodiversity?

How to reach a balance between addressing the issue of poverty and conservation?

What is Micro planning?

Understanding the tools of Micro planning

How to develop a micro-plan

Finalizing a team to develop the micro-plan. This will involve building a role for the Gram Sabha and short-listing of potential team members from within the community.

Finalizing the timeline for the process

Phase II Planning

Step 4 Identifying problems and solutions: Each landscape will have its specific set of problems related to conservation. This step will involve the use of various tools like problem tree analysis, discussions, analysing timelines (if already developed under step 1)- all this with the objective of developing a deeper understanding of the various problems, the associated issues and challenges and then arriving at possible ways to tackle the same. At the end of this step the team would have clarity on the root cause of a problem, the impact it is having and what are the possible ways of mitigating the same. Typically in the landscapes that form a part of the BCRLIP, the likely problems can be:

Related to management of resources:

Unsustainable harvesting of NTFP

Crop raiding by wild animals leading to human wild life conflict

Grazing pressure or lack of adequate grazing land.

Related to livelihood options:

Lack of adequate employment opportunities

High dependence on wage labour

Head-loading

Poor agricultural productivity

Problem of water for protective irrigation and in some cases for drinking

Related to access to services: A word of caution may be added here - it may appear that the problems are politically neutral. We would like to emphasize that there is no such thing as political neutrality especially when we are talking of Natural resource management. The access and control regimes have political basis as well as political ramifications. The team has to incorporate this understanding both at the time of problem identification as well as at the time of arriving at solutions. Tools like social mapping, relationship matrix, stakeholder analysis, resource mapping, service mapping etc may be used to develop a clear understanding of the situation on the ground.

Step 5 Developing a village level micro-plan

With the understanding arrived at in step 4 the base for preparing a village level Micro-plan is ready.

Once the village micro plan is ready, a Gram Sabha would have to be conducted in order to;

- ❖ Revisit the solutions of identified problems
- ❖ Prioritise the solutions: since resources will be limited the GS will have to prioritise the solutions using an acceptable criterion. This criterion can be working first with the households that have unsustainable dependence on natural resources of the area.
- ❖ Identify solution and strategies: On the basis of the PRA baseline data, the problems prioritised, the solutions and strategies will have to be listed
- ❖ Identification of resource base: the various sources of financial and human resources required to implement the plan will have to be listed against the resources available. The different ways to mobilise additional resources using the convergence route will also have to be debated and worked out.

Step 6 Getting the Gram Sabha to ratify the Micro-plan

The final village level micro-plan to be presented in the gram sabha for ratification. The VCC to also look at the advantage of holding a separate gram sabha of women to elicit their inputs before taking the plan to the full gram sabha for ratification.

Phase III Post planning implementation and Review

Step 8 How to implement the village level Micro-plan

- ❖ Fixing responsibilities
- ❖ Owning responsibilities
- ❖ Setting systems for flow of funds

- ❖ Setting systems for flow of Information and monitoring and Evaluation
- ❖ Fixing responsibilities for technical and handholding support

Step 9 Review and monitoring

The agency anchoring the process at the village level will have to set a time frame for periodic meetings with the Gram sabha. In these meetings:

The goal and objective of the micro-plan will be revisited

The people present will run through the micro plan to see what took place as planned and what evolved during the implementation cycle

Review what needs to be done less/more/ differently

The anchoring agency publicly acknowledges the contributions of the community and others. The agency also uses the media to publicize good practices

Indicative Format for a Microplan: The broad headings under which the issues in a micro plan will be arranged are:

1. General description of the village: This chapter will contain a brief description of the village as outlines in the table below:

Name of the village	
Legal status of the village (revenue/forest/taungya)	
Name of the Gram Panchayat	
Block/District	
Name of the forest division/National Park/Sanctuary	
Name of the forest Range	
Name of the Forest Beat/ Compartment Number if available	
Any previous micro plans	
Total population	
Total HH	
Total Village area	
Total cultivated area	
Any village common land	
Any Village Forest area	

2. Demographic details of the village: This chapter will provide the information based on socio-economic parameters. The information can be collected through the Household survey, baseline survey or secondary sources. The summary of the data collected can be presented in the formats given below:

Demography:

Population break up according to Social category	Male	Female
SC (Caste wise)		
ST (Tribe wise)		
BC (Caste Wise)		
Others (Caste wise)		

Total			
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Age Class:

Age class	<18 years	18-45 years	45-60 years	>60 years
Male				
Female				
Total				

Education/literacy:

Educational status		Illiterate	Read and sign	10th pass	Technical training (ITI)	Degree level
SC	Male					
	Female					
	Total					
ST	Male					
	Female					
	Total					
BC	Male					
	Female					
	Total					
others	Male					
	Female					
	Total					
Total	Male					
	Female					
	Total					

Occupation profile: Most households in a village have a basket of occupations. Hence there is likely to be an overlap in the numbers given below. However this data will give a fair idea of the extent of dependence of the households on different sources.

Occupation	Number of households
Agriculture	
Collection and sale of forest products	
Goat and Sheep rearing	
Dairy farming	
Fisheries	
Weavers	
Potters	
Washer persons	
Masons	
Carpenters	
Business	
Govt. Employees	
Wage labourers	

Livestock in the village:

Type	Number of heads
Cows	
Oxen	
Buffaloes	
Sheep	
Goats	
Poultry	
Pigs	

4. Details of infrastructure and common facilities available in the village:

Type of infrastructure/facility	Location	Distance from village if in another village	Condition and status of present use
Primary School			
Secondary school			
High School			
College			
Primary Health Center			
Hospital			
Anganwadi Center			
Veterinary Hospital			
Gram Panchayat			
Block Office			
District Head Quarter			
Police Station			
Post Office			
Bank			
Bus facility			
Other means of transport			
Drinking water- Bore Well/hand pump			
Drinking water- Dug Well			
Drinking water-piped water supply			
Physical assets like community hall etc			

Sources of energy: The various sources of energy for electrification, cooking and irrigation purposes can be listed here with the information as to how many HH depend on the same.

Type of energy	Type of use	Number of HH dependent
Electricity	Domestic	
	Agriculture	

Fuel wood	Cooking	
Fuelwood	Sale	
Bio-gas	Domestic lighting	
	Cooking	
Solar	Cooking	
	Lighting	
	any other	

Government and other programmes: Describe the ongoing programmes of the Government (State and central) that can enhance the proposed project intervention. Here works being undertaken or planned under other micro-plans can also be described.

Name of the programme	Brief description	Number of beneficiaries/members
NREGA		
Micro-credit/Micro finance		
Community based groups		
JFM		

7. Markets:

Type	Location	Distance from village if in another location
PDS		
Forest Depot		
NTFP sale		
Weekly market		
Major market		

Details of Natural Resource Management: This chapter will provide a summary of the status of Natural resources (land, water, forest). Apart from giving a profile of the resources, their use and their current status, it will also give some indication of the state of natural resources in terms of bio-diversity. This information will help in developing the intervention strategy. Some of the data can be collected from secondary sources while the other can be collected from primary sources.

a. Land resources:

Category	Area in Ha	Status
Total area		
a. Forest area; Area with FPC/or any other community institution		
b. Area under agriculture		
Irrigated		
Unirrigated		
c. Plantation		
d. Cultivable waste land- private		
e. Forest area under cultivation		
f. Cultivable wasteland-common land		
g. Village common land		
h. Tank bed		
i. Area under grazing		

b. Agricultural crops grown:

Season	Dry crops	Area	Wet crops	Area
Kharif				
Rabi				
Total				

c. Irrigation Profile:

Type	Number	Area
Bore well		
Dug well		
Lift irrigation		
Canals		
Others		
Rainfed area	-	

d. Other water resources and their status (e.g. ponds, tanks etc)

e. Types of resource uses

	Part Used	Use	Months	Quantum	Used in the Household	Sold in the Local Market	Sold to a Trade	Sold in a Town	Collection done by	Habitat affected

The micro-plan may look something like this:

Problem/Issue	Solution	Activities	Resources	Responsibilities	Time frame

No plan is complete without a clear budgetary allocation and monitoring systems. The following two chapters would address these aspects of the plan.

Investments:

- a. Forest treatment plan (with a schedule and costs)
- b. Agriculture development plan (as above)
- c. Skill development plan
- d. Livelihood support and income generation activities

Type of activity	No. of persons	Type of training required	Type of infrastructure support required	Cost of infrastructure	Any cost sharing by participants	Balance amount required	Marketing arrangements

The above exercise can be carried out for all the activities proposed under the project with minor variations.

12. Monitoring: social, environmental and institutional

Parameter	Baseline	Target	Periodicity	Responsibility