

Annexure 4

National Rural Livelihoods Mission

**State Perspective and Implementation
Plan
(20XX-XX)**

Template

**MINISTRY OF RURAL DEVELOPMENT,
GOVERNMENT OF INDIA**

Guidance Notes

Chapters

Summary of the SPIP

- Context (summary of diagnostics)
- Detailed Program Components
 - Social Mobilization and Institution Building
 - Financial Inclusion
 - Livelihoods Promotion
- Implementation Arrangements
- Financing Plan

Chapter 1: State Situational Analysis

- a. *This chapter sets the context. Typically each section needs to have a qualitative analysis of the current context in the given area substantiated by data (both secondary and primary wherever possible)*
- b. *While providing the data, first provide the state level scenario and then provide the district level scenario and always indicate the source of data*

1.1 Demographic Profile of the State

Insert the map of the state and give a brief introduction to the demographic profile of the state.

Data to be used : State level data and District-wise total rural population, District-wise % of female population, District-wise % of SC population, District-wise % of ST population, District-wise % of minority population, District-wise % of differently abled population, District wise rural female literacy rate.

1.2 Rural Poverty Context in the State

- a. Poverty and Human Development:

Briefly summarize the extent of poverty and status of human development in the state and the key challenges/constraints and opportunities for the state

Data to be used: District-wise % of rural households below official poverty line, District-wise average monthly per capita expenditure (in Rest), District Wise data on malnutrition, school drop-outs and migration.

Note: For this section, data presented shall be disaggregated for SCs, STs, minorities

b. Vulnerabilities

- Household level vulnerabilities

Briefly summarize the vulnerabilities that affect an individual household and/or its immediate community. For e.g.: disability, food insecurity, etc.

Data to be used : State level data on % of women with low BMI, % of married women with anemia, % of women headed households, % of single women, % of children underweight, Infant Mortality Rate, Maternal Mortality Rate, Coverage and reach of PDS, Off take of PDS among poor

District wise data on % of children underweight, Under 5 Mortality rate, Food Security outcome

Note: For this section, any available primary data/sampled study needs to be presented

- District/state level vulnerabilities (explain)

Summarize the vulnerabilities that affect the community as a whole; often a factor of the location (for e.g. geographically isolated, flood-prone, drought-prone, LWE areas, proximity to extractive industries; coastal, remote hilly areas, Scheduled Areas, areas with majority SC/ST including PVTG/minority population).

Data to be used: District wise data on Flood, Cyclone, Drought affected and LWE areas, District wise HIV incidence, District wise data extractive industries, District wise Scheduled Areas, District wise distribution of SCs, STs, PVTGs and minorities.

Note: For this section, any available primary data/sampled study needs to be presented

1. 3 Context of Social Inclusion and Social Mobilization

Briefly summarize the extent of social mobilization in the state and the context of exclusion (gender, social, economic, geographic, caste based). A specific gender analysis shall be taken up to highlight gender relations at the household and community level, to identify specific vulnerabilities of women, their livelihoods, constraints and coping mechanisms.

The section needs to end with the key challenges and opportunities for social inclusion and mobilization in the state.

Data to be used: Primary data/ sampled studies on gender assessment/audit in the state, district wise female work participation, District-wise number of SHGs; number of SHGs from other government departments/other NGOs, quality of SHGs; no. of active and defunct SHGs, number of SHGs linked to credit; % of members who are SC/STs including PVTGs/minorities/disabled; District wise No of federations;

Note: For this section, any available primary data/sampled study on the prevalence of social exclusion, gender audits/assessments and quality of SHGs/SHG federations needs to be presented in addition to the secondary data

1.4 Context of Financial Inclusion

Briefly summarize the status of indebtedness of the poor, saving options, the sources of their credit, status of SHG bank linkage and the context of banking infrastructure in the state and the overall status of access to insurance for the poor. The section will end with an overall summary identifying the key challenges/constraints for financial inclusion in the state and outline the opportunities.

Data to be used: State level and district wise % of household credit requirement serviced by moneylenders, banks (for SCs/STs/minorities) , District-wise banking infrastructure (number of branches for commercial banks, RRBs and cooperative banks), District wise number of SHGs linked to credit , Bank wise data on SHG bank Linkage , district-wise) % of households accessing insurance products AABY/RSBY/JBY

Note: For this section, any available primary data/sampled study on the status of financial inclusion in the state needs to be presented in addition to the secondary data

1.5 Livelihood Context (State specific)

Initially describe the existing livelihood profile of the poor, particularly the vulnerable communities (identified in earlier section). Based on the description, provide detailed information of various livelihood options for the poor.

a. Agriculture and allied activities (horticulture etc.)

Describe the current situation of agriculture specifically for the poor (lease farmers, small and marginal farmers). Firstly Describe the current levels of productivity, key constraints (access to seeds, extension services, fertilizers, credit, market linkages) faced by the poor in agriculture and the opportunities for the poor.

Data to be used: District-wise: % of households that are landless/marginal holdings/small holders, District-wise productivity of the 3 major crops, District-wise

cropping intensity, District-wise irrigation intensity, District wise fertilizer usage, District wise data on % of households able to access inputs (quality seeds, extension services, credit, fertilizer) , district-wise data on % of households who are members of agricultural cooperatives

Note: For this section, any available primary data/sampled study on the value chain analysis of agriculture specifically in the context of share farmers, small and marginal farmers needs to be presented in addition to the secondary data

b. Livestock

Describe the current situation of livestock based livelihoods (big ruminants, small ruminants – goats/ sheep, poultry, fishery) among the poor, the current productivities, key constraints to access services like AI, vet care, marketing, etc.; the participation of poor in the institutions, the value chain analysis of 2-3 important livestock sub sector of the state and the opportunities of the sub sector in the state.

Data to be used: District wise % of households owning milch cattle, Sheep, Goats among the marginal and small farmers. For state- average productivity of milch cattle, % of households that are members of dairy cooperatives; % of members who are women, milk produced, % consumed, % marketed (marketable surplus); % of marketable surplus sold to cooperative dairies/sold in the open market. District wise the number of vet care centers, their outreach (both in terms of services and population/ animals serviced). If Fishery, Poultry is a major sector similar data to be used for analyzing the situation in poultry and fishery.

Note: For this section, any available primary data/sampled study on the value chain analysis of livestock sector specifically in the context of share farmers, small and marginal farmers' needs to be presented in addition to the secondary data

c. Non-Farm/NTFPs

Briefly describe the major non-farm/NTFP clusters in the state and analyze the status of the poor who are part of these leading clusters in terms of key constraints (access to backward and forward linkages) faced by them and the opportunities for growth.

Data to be used: District wise % of households engaged in the state's leading non-farm clusters⁸⁰ with disaggregated data for SCs, STs including PVTGs, minorities, District wise % of NTFP collection and marketing (separate data for SC/STs including PVTGs), Value chain analysis/input-output constraints for each of these sectors

Note: Wherever available Primary data /sampled studies on the value chain analysis of the key non-farm clusters needs to be presented.

⁸⁰ States to identify leading non-farm clusters (e.g. sericulture, handloom and so on)

d. Jobs

Describe the status of the service sector in the state, the key constraints and opportunities for the sector.

e. Livelihoods of tribal communities

Briefly describe the major sources of livelihood among tribal communities in the state.

Data to be used: District wise % of different livelihood sectors as engaged by ST and PVTG households. Describe the status, value chain analysis, key constraints and opportunities for each of these sectors especially with respect to tribal households.

For this section any primary data/ sampled studies on the value chain analysis of each the livelihood sectors specifically in the context of the ST and PVTG households needs to be presented, in addition to secondary data.

1.6 Performance of NREGA in the state

Describe the performance of NREGA in the state and substantiate that with data on the typical key indicators of NREGA performance both at the state and district level

1.7 Performance of other leading Social Welfare Schemes

- a. NRHM in the state
- b. PDS in the state
- c. Pensions (old-age, widow, disabled)
- d. ICDS
- e. RSBY, AABY

Describe the performance of the above mentioned leading social security programmes of Government of India and substantiate that with data on the typical key indicators of performance for these schemes both at the state and district level

1.8 Role of PRIs

Describe briefly the functioning of Panchayati Raj Institutions in the state. Key indicators to be used:

- a. Tier structure of PRIs in the state
- b. Devolution of powers to the PRIs
- c. Gram Sabha meetings
- d. Audit expenditures
- e. Representation of vulnerable groups including women, SCs, STs.

1.9 Existing Livelihood Initiatives and social sector initiatives in the State (by the State Government , NGOs and externally aided projects)

Describe briefly successful livelihood existing livelihood Initiatives and social sector initiatives in the State implemented by the State government, NGOs and externally aided projects

Chapter 2: Mission and Objectives of NRLM

Briefly describe the mission of the NRLM in the state, the guiding principles, the values /nonnegotiable, the main objectives and the key results expected

PROGRAM STRATEGIES

Note:

- *List out best practices in the state in the chapters wherever relevant*
- *While defining strategy differentiate between strategy for intensive and non-intensive blocks*

Chapter 3: Social Inclusion and Mobilization – Strategies and Activities

3.1 Summary of diagnostics on vulnerability and social exclusion

Based on the diagnostics analysis in chapter 1, the following need to be identified:

- 1) Vulnerable social, economic and occupational groups including (but not restricted to) SCs, STs, minorities, single women and women headed households, persons with disability, landless, small and marginal farmers, persons working in hazardous occupations, migrant labor.*
- 2) Districts and blocks of the state with high incidence of poverty and vulnerability*

3.2 Summary of diagnostics on social mobilization

The analysis related to status of social mobilization that has been done in chapter 1 needs to be summarized so as to set the context for what needs to be done in the area of social inclusion and social mobilization. Also the key outcomes to be achieved as part of social mobilization needs to be mentioned upfront.

3.3. Key strategies

a. Social Inclusion and Universal Social Mobilization

What would the process to be followed to identify the poor and what are the strategies to be used to ensure universal social mobilization, what would be the strategies for difficult-to-mobilize groups such as disabled, migrants, PVTGs and other such groups.

b. Promoting SHGs

What will be the key elements of the SHG formation and building strategy, what would be the non-negotiable, what will the key features of the SHG's, the key milestones to be achieved etc.

c. Inclusion of Pre-existing SHGs and Federations

What would be the strategy to assess and support preexisting SHG's and SHG federations

d. Building federations at different levels for sustaining collective action

What will be the levels and locations of federations - village, GP, cluster, block etc.- to be guided by the federating logic and best practices and experience in the state context, What would be the key elements of the strategy to promote SHG federations, the key features of these SHG federations , key milestones to be reached by them etc.

f. Role of Community professional and community resource person

Clearly detail the role to be played by the community resource persons and the community professionals and the strategy to identify, select, train and manage them.

g. Capacity building of the community and the staff

Detail out the capacity building strategy for the community and for the staff

h. Social Mobilization in Non –Intensive Blocks

Strategy to be followed for social mobilization in the non- intensive blocks

Chapter 4: Financial Inclusion

The chapter should start with the analysis of the diagnostics related to status of Financial Inclusion that has been done in chapter 1 so as to set the context for what needs to be done in the area of financial inclusion. Also the key outcomes to be achieved as part of social mobilization needs to be mentioned upfront.

4.1 Summary of diagnostics on Financial Inclusion

A summary of the diagnostics related to status of Financial Inclusion that has been done in chapter 1

4.2 Strategies and activities for Financial Inclusion

Clearly outline the strategy to be followed for

- a) Bank Finance– access to savings and credit services*
- b) Financial assistance to be provided as part of NRLM*

c) *Insurance*

a) Bank Finance

Detail out the strategy to be used for enabling access to Bank Finance

- Membership and participation of SRLM at SLBC
- Partnerships with the major commercial banks
- Trainings and exposure visit for bankers and other stake holders
- Alternate models for delivering financial services
- New Product development
- Insurance services poor

b.) **Financial assistance to be provided as part of NRLM** (*Individual States could choose to use a different terminology(instead of using the terms “revolving fund” and “capital subsidy” to describe the financial assistance from NRLM)*)

i. *Revolving Fund*

Stating the need and purpose of providing this revolving fund support, detailing the amount to be provided, the eligibility criteria to be used, the detail at what stage of the SHG would be the Micro investment Planning be carried out and how would it be carried out. The same to be described for the revolving fund to be provided in the non-intensive blocks as well.

ii. *Capital Subsidy*

Stating the need and purpose of providing this amount, detailing the amount to be provided a capital subsidy and at what level would it be provided. The eligibility criteria to be used (whatever level), at what stage of the institutions would this be provided needs to be specified. It also needs to be specified what will the process followed at the community institution level (for e.g. how would the prioritization among the SHGs and among the members within the SHGs be done, what would be this capital subsidy be used. The same needs to be described for the capital subsidy to be provided in the non-intensive blocks.

c.) *Insurance*

Describe the strategies and activities to be taken up as part of providing insurance services for the poor

Chapter 5: Strategies and Activities to be taken up as part of Livelihood Promotion

The NRLM framework mentions that the three pillars of NRLM Livelihoods Inclusion are

1. *‘Vulnerability reduction’ and ‘livelihoods enhancement’ through deepening/enhancing and expanding existing livelihoods options and tapping new*

- opportunities within the key livelihoods that are virtually universally practiced like agriculture, livestock, fisheries, forest produce collection, etc.;*
2. *'Employment' - building skills for the job market outside; and*
 3. *'Enterprises' - nurturing self-employed and entrepreneurs (for micro-enterprises).*

The plan should clearly outline what is the strategy to be followed under each of these pillars i.e.

1a) Vulnerability reduction

- **Food Security :**

Given the context of the state, what would be the models for food security i.e. would models like collective purchasing through the community institutions for food security be promoted if not are there other models to be tried out for ensuring food security at the household level. What would be the role of the community institutions

- **Health Security**

What would be the strategy for the state reducing health expenditures of the poor? Are there existing programmes in the state which have a successful outreach hand and with whom there could be convergence or would the state want to have specific models of need based health financing / or comprehensive health intervention covering preventive and curative aspect as part of the NRLM. What would be the role of the community institutions in the strategy for health security?

- **Access to entitlements like NREGA, Pensions, PDS :***What would be the different models to be tried out to ensure access to entitlements for the poor. Specifically what would be the role of the institutions of the poor in ensuring these entitlements and what would be their relationship with the line departments responsible for implementing these entitlement programmes.*

1b) Livelihood enhancement

Strategy for Interventions in Agriculture sector, Livestock Sector (Dairy, Fisheries, Poultry) and in the Non-Farm Sector : What are the interventions that would be given the highest priority and what would be taken up as part of these interventions to start with, the justification for the prioritization, the detail of the interventions and the role of the community institutions/producer collectives in the intervention, the financing strategy, role of project staff, community professionals , role of technical partners

1c) Infrastructure and Marketing Support Fund for Livelihoods

NRLM provides for utilization of up to 20% of the total fund outlay in the annual NRLM plan of the state (25% in the case of North Eastern States) for the infrastructure and marketing support. The framework mentions that this fund is meant to provide end-to-end livelihoods solutions for the poor, their SHGs, federations and livelihoods collectives.

The states in their action plan need to clearly detail out the probable activities they would be supporting as part of this component, what would be the appraisal process for providing this support and detail how this support fits in well with overall livelihood enhancement strategy.

2) ‘employment’ - building skills for the job market outside

The NRLM framework mentions that NRLM would offer complete ‘jobs’ solution i.e. identifying the unemployed, skilling and re-skilling them, placing them in jobs, providing post placement support, counseling and mentorship, and leveraging an alumni network. For this to happen:

a. Partnerships with both public and private sector are critical

The State action plan should clearly mention what are the different models of partnership with various skill development organizations in general and the private sector in particular that would be developed and pursued.

b. Institutional mechanism to be put in place:

It is also mentioned that “ 15% of the NRLM Central allocation has been earmarked for placement-linked skill development. Half of the allocation (i.e. 7.5%) would be given to SRLMs [following the funding pattern of 75:25 for states or 90:10 for north-eastern states] that have set up dedicated institutional mechanism(s) for implementing skill development projects”.

The state action plan needs to clearly mention the details of the institutional arrangements to be put in place for implementing the skill development projects.

3) Enterprise promotion and RSETI

NRLM framework mentions the fact that NRM would encourage public sector banks to set up RSETIs in all districts of the country and that a one-time grant of Rs.1 Crore is/would be made to set up one RSETI in each district in each state, while the state governments would provide free land for the institutes in the districts. Other recurring costs of the institutes are/would be borne by the sponsoring banks. RUDSETI would provide structured technical assistance to banks and RSETIs for improving the effectiveness of their programmes. Further it is mentioned that RSETI Operational Manual would guide RSETIs.

The states should have finalized the RSETI Operational Manual and the key features of the manual should be mentioned in the SPIP

Chapter 6: Convergence and Partnerships

6.1 Convergence with NREGA:

MGNREGS and NRLM offer scope for convergence to improve their effectiveness and impact by building synergies. If converged, NRLM could facilitate the institutions of the poor at village level to discuss MGNREGS in their regular meetings, be involved in preparing job cards, selecting works, supporting in wage payment, creating awareness about entitlements and rights in MGNREGS, social audit.

The state action plan needs to details out the plan for convergence with MGNREGS at the state level, district level and at the level of the institutions of the poor

6.2 Convergence with other line departments:

The plan needs to highlight what would be the plan for convergence at the state level, district level and at the level of the institutions of the poor

6.3 Innovation forums for Partnerships

The plan needs to mention when and how (the process to be followed) the innovation forums with the objective of identifying potential partners needs to be mentioned

6.4 Partnerships with NGOs and other civil society organizations:

The partnerships with them would be critical and within the ambit of the national framework for partnership with NGOs and other CSOs, guided by NRLM core beliefs and values. NRLM would proactively seek these partnerships in various geographic and thematic areas at two levels - strategic and implementation, subject to mutual agreement on processes and outcomes. For planning partnerships, it would carry out diagnosis of the status in each block to map the presence of NGOs/CSOs and their social mobilization and thematic efforts. Some of the possible areas of partnerships would include:

- i. Implementation of the programme in specified clusters of villages or blocks;*
- ii. Up-scaling and deepening thematic interventions in areas of significant presence;*
- iii. Service provision in their core competence areas;*
- iv. Linking SHGs and their federations with various initiatives of line ministries;*
- v. Innovations;*
- vi. Joint Policy Advocacy and learning forums/platforms; and*
- vii. Continuous dialogue with NGOs and other CSOs to improve NRLM implementation.*

Among the above, the action plan needs to identify and specify which areas of partnership would be pursued and why. The plan also needs to mention the process through which these partners would be identified.

6.5 Convergence with Externally Aided Programmes

SPIP needs to mention the plan for convergence with the externally aided livelihood programmes being implemented in the state

6.6 Partnerships with the academic, Training and Research Institutions:

The action plan needs to mention the academic, training and research institutions in the state with whom partnerships would be forged. The process to be followed and the areas of possible partnership needs to be highlighted as well.

6.6 Public-Public, Public-Private, Public-Private-Community Partnerships:

The state action plan needs to detail probable areas for such partnership and how these partnerships would be developed.

Chapter 7: Social Inclusion

This chapter should start with the summary of diagnostics related to status of social exclusion (gender, social, economic, geographic) that has been done in chapter 1. As part of the social inclusion strategy, clearly outline the strategy and timelines to be followed for:

- a) **State Poverty Assessments (SPA):** A full social assessment including identifications of social issues in the proposed project areas, especially issues of the disadvantaged groups (STs, SCs, minorities, disabled, landless, vulnerable occupation groups etc.), women and youth. The SPA shall be based on situation analysis and community level consultations.;
- b) **Social Inclusion Plans (SIP):** Based on findings from SPAs, Social Inclusion Plans outlining differentiated strategies and mechanisms for tribal communities and other vulnerable groups
- c) **Integrated Action Plan (IAP) districts (where applicable):** Key strategies to work in the government notified Integrated Action Plan (IAP) districts affected by left wing extremism and having high concentration of poverty and vulnerability.

IMPLEMENTATION PLAN

Chapter 8: Implementation Plan

8.1. Intensive and Non-Intensive Approaches

Brief description of intensive and non-intensive approaches explaining the package of interventions

8.2 Project Cycle in a village and in the block in a typical intensive block:

The details of the typical processes in a village to be followed and the chronology in which they would be followed like the village entry, participatory identification of the

poor, SHG formation and strengthening, Revolving fund and bank finance, livelihood promotion, SHG federations, Capital subsidy etc. needs to be detailed out.

8.3 Phasing (Non Intensive and Intensive):

Phasing of Districts, Blocks, GPs, Villages, including the criteria/logic/rationale of phasing; (write names of districts and blocks in the annexure)

Phase	Intensive Blocks		Non-Intensive Blocks	
	Districts	Blocks	Districts	Blocks
I (2011-13)				
II (2013-15)				
III (2015-17)				
Total				

8.4 Results Framework

Results Indicators	Unit of Measure	Base-line	Cumulative Target Values					Frequency	Data Source/ Methodology	Responsibility for Data Collection
			YR 1	YR 2	YR3	YR 4	YR5			

8.5 Schedule of activities (especially the first 18 to 24 months)

8.6 Project Costing

Source	Rest. (Crore)	% of Total Cost
Total		100%

The main components for the Project budget are

Cost Components	Intensive Blocks	Non – Intensive Blocks	Gap filling (Alternative terminology)	Total
Institution Building				
Training and Capacity Building				

Revolving fund and capital subsidy				
Infrastructure creation & marketing				
Skills and Placements projects				
Administrative cost				

All amounts in Rest. Crore

Chapter 9: Support Structure

9.1 Support structure at the state level

Detail out the form of SRLM (society, trust or company), Details of the governing body/ EC (chairperson, members etc.), structure of SMMU (please provide organogram), job profiles of the key staff

Position	Level	Key Roles & responsibilities

9.2 Support Structure at the District Level:

Structure of the DMMU (please provide organogram) and job profiles of the key staff of DMMU needs to be provided in the Annexure

Position	Level	Key Roles & responsibilities

9.3 Support Structure at the Block Level:

Detail out the support structure at the Sub-District level (i.e. whether a BMMU or a PFT or a combination)

Position	Level	Key Roles & responsibilities

9.4 Human Resources (HR) Policy

- Recruitment and selection
- Immersion and induction
- Remunerations
- Performance management
- Appraisals and incentives
- Grievance redresses
- Staff learning and capacity building

- Space for HR in various formats and tenures – full-time, part-time, home-based, short-term/long-term, internship, sabbatical, etc., and deployment flexibility

9.5 Administrative and Financial Rules:

Chapter 10: Training and Capacity Building Strategy

10.1 Training and Capacity building of staff

Describe the methodology to be followed, partnerships to be developed and implementation arrangements for training of the staff at levels i.e. SMMU, DMMU and BMMU staff

10.2 Training and Capacity building of communities and their institutions

Describe the methodology to be followed, main content of the trainings partnerships to be developed and implementation arrangements for training of the community based institutions and their members

10.3 Training and Capacity building of Community Professionals

Describe the methodology to be followed, main content of the trainings partnerships to be developed and implementation arrangements for training of the community professionals

Chapter 11: Monitoring, Evaluation and Learning

11.1 Web based MIS and real time input-output monitoring at various levels :

How would data would be collected, entered, analyzed and used for decision making

11.2 Review Mechanism

What would be the Internal/external review mechanisms to be put in place at various levels?

11.3 Impact Assessment Studies

Details of how the Impact Assessment studies would be carried out?

Chapter 12: Communication

NRLM would be implemented across the state will touch lives millions of families to enhance their quality of life and livelihood. In order to meet this daunting task, the role, strategy and tools to communicate to different stakeholder at various stages is essential and needs to be carefully crafted.

12.1 Communication Flows (Internal and External)

The flow of communication both within program (i.e. between the various levels of the support structure (state, district, sub-district) and with the institutions of the poor at various levels (SHGs and their federations)) and with the external stakeholders needs to be clearly defined

12.2 Communication Strategy

The Communication Strategies of the project should specify how the following elements would be covered

- *A two-way vertical and horizontal flow of information.*
- *Facilitating participation of community in communication process.*
- *Developing continuous need identification mechanisms.*
- *Use of traditional forms and modern technology judiciously.*
- *Inherent accountability and transparency.*
- *Incorporate literacy and functional literacy aspects in communication process and technology.*

Chapter 13: Financial Management

13.1 Financial Management framework:

The framework needs to be in line with the financial management framework finalized at the national level. This should be a matrix that specified the key financial management and institutional arrangements at various levels. An illustration is given below

Level	Institutional Arrangement	Key Financial Management Arrangements
State Level	Executive Committee of SRLM	
	State Mission Management Unit	
District Level	District Mission Management Unit	
Sub-District Level	Block Mission Management Unit/ Project Facilitation Team	

Community level		
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13.2 Fund Flows

The basis for release of funds to the different levels and the nature of accounts at these levels needs to be detailed out

13.3 Staffing and capacity building

Details of the key staff for financial management at all level along with the plan for their capacity building

13.4 Accounting Policies and Procedures

A Financial Management Manual (FMM) needs to be prepared detailing the accounting and financial reporting requirements at the various levels.. The key components of FMM should include the accounting and financial management processes such as funds flow, budgeting and audit arrangements. The financial and accounting policies contained in these manuals shall supplement the policies adopted for State Society, District Units and Block Units.

13.5 Audit arrangements need to be specified

Chapter 14. Procurement Arrangements

Procurement

it will be mandatory for all participating State and District societies and other Government and non-Government agencies participating in the Implementation of NRLM components to adhere to the guidelines and procedures outlined in the NRLM Procurement Manual, issued at the National Level by MoRD, for carrying out procurement under NRLM. As part of the SPIP

(i) State Institutional Arrangements for procurement detailed at State, District, Block and Community level to ensure requisite staff in place. The Community Operations Manual to include a section on Community Procurement with State decided thresholds based on the limits given in NRLM Procurement manual

(ii) Needed staff hired at all level

(iii) A short note on capacity building of staff (planned timelines on training etc.)

(iv) Prior and post review mechanisms set in motion at various levels for procurement- as per the guidelines in NRLM Procurement

(v) *Procurement Plan for 18 months as per the Template available in NRLM manual*

Chapter 15: Social Management Framework

Describe in detail the social management framework in line with the social management framework finalized at the national level. The SMF should specifically include:

(i) Social Assessment: The social assessment would include a) the situation analysis identifying areas and social groups with high poverty and vulnerability, their specific social (gender) issues and possible responses b) field consultations with different social groups, NGOs, research agencies, government departments with dates, places and lists of attendees

(ii) Social Inclusion Plans: which would include specific and differentiated strategies for tribal communities as well as for the other socially disadvantaged groups of the poor.

(iii) Social Development Staff: needed at SMMU, DMMU, BMMU and CRP levels.

Chapter 16: Environment Management Framework

An Environmental Action Plan (EAP) will be developed by each State Mission Management Unit (SMMU) as part of the SPIP in line with the Environment Management Framework of NRLP.

The first year EAP would identify strategically important Green Opportunities, develop and field test a process for developing an Environmental Management Plan (EMP) that each SHG Federation would prepare.

The EMP would identify resources, livelihoods and their potential environmental impacts and indicate measures to secure these livelihoods. The EMP seeks to shift the onus for environmental management from the project alone to include the community institutions. Therefore, the key is to ensure that the SHG federation has the support, capacity and systems which will ensure that environmental considerations are integrated into the process of appraisal of the SHG micro-credit/investment plans.

To help the SHG Federations prepare the EMP, a cadre of Community Resource Persons (CRPs) called the Green-CRPs (G-CRPs) would be developed by the Project. The EAP would also consist of a capacity building plan for the entire implementation mechanism.

Chapter 17: Governance and Accountability Plan

Background to prepare matter on GAC

- *Economic : Being a livelihood project economic aspect is most important and checks (a) Quantity of service delivery and (b) Quality. Both in comparison to the standards determined by the project.*

- Social : Being a project on CDD social aspect checks points related to target beneficiary (a) Identification (b) Participation (c) Service delivery (d) Satisfaction (e) Feedback.
- Political : Being a multi stakeholder project political aspects checks whether decision making was (a) Fair (b) Equitable (c) Need based
- Institutional : This component has to ensure that above three checks and balances are in place.

GAC framework to identify key activities to be undertaken :

- Delivery Standards :

In accordance to National PIP – the State has to fix delivery standards for the project and project institutions for the respective State. From GAC perspective following is required

- Define standards of delivery by the project for the target beneficiaries
 - Define standards of delivery for the participating institutions.
 - Identify the method to capture the key delivery standards , methods to capture , frequency of capturing and method of analyzing .
 - Define the role of institutions to deliver the standards and mechanism for corrective action based on deviations .
- Prevention
 - Brief Para on Process standardization for easy adoption (project, finance , procurement)
 - Define methods for Standardizing documents , policies for disbursement / procurement performance assessment.
 - Define HR roles and responsibilities for GAC
 - Provide plan for Capacity building for using GAC tools .
 - Plan for Awareness generation and information dissemination on GAC
- Detection
 - Plan for Monitoring / tracking service delivery indicators.
 - Plan for Performance assessment of project and project staff on regular basis e.g. impact studies, Annual staff assessment
 - Lay down the Feedback Mechanism through which the project management will get field voices – citizen report card , community score card , social audit (M&E)
- Response : Correction and Deterrence
 - Details out the Grievance redress mechanism e.g. helpdesk ,postcard based communication from SHGs
 - Plan for Timely Corrective action e.g. performance linked payments ,

- Clear policy on punitive action e.g. sanctions policies for corruption and frauds.

GAC Action Plan in Tabular format : Identify limited key activities that would be taken up to tackle governance and accountability from the State level . May be two or three under each of the following categories (a) Preventive (b) Detection (c) Response . Once these are initiated the sub activities under each can be also identified. In the action plan the main activity , sub activities to be done under each , role of respective counterparts at different levels have to clearly mentioned.

GAC Focal Point : For ensuring that GAC initiatives are in place and followed religiously it utmost necessary that a GAC focal point is identified and mentioned in the PIP. This focal point has to at each level of Project implementation. This focal point also be responsible for RTI and corruption handling

Annexure

Phasing Plan for NRLM

Phase	Intensive Blocks WB Project		Intensive Blocks XXXX		Intensive Blocks NRLM		Total Intensive Blocks	
	Districts	Blocks	Districts	Blocks	Districts	Blocks	Districts	Blocks
I (2011-13)								
II (2013-15)								
III (2015-17)								
Total								

NRLM Roll Out Plan
(Please provide detailed list of districts and blocks)

Roll Out		Phase 1 (2011-23)	Phase II (2013-15)
Intensive Blocks WB Project	<i>Districts</i>		
	<i>Blocks</i>		
Intensive Blocks XXXX	<i>Districts</i>		
	<i>Blocks</i>		
Intensive Blocks NRLM	<i>Districts</i>		
	<i>Blocks</i>		
Non Intensive Blocks	<i>Districts</i>		
	<i>Blocks</i>		

Annexure:

Detailed Cost Tables

Institution Building

Formation costs for SHGs

Formation Costs for SHG federations

BMMU expenses

Payments to NGOs for formation of SHGs/SHG federations

Training and Capacity Building Expenses

Training and exposure visits of SHGs and its members

Training and exposure visits of SHG federations and its members

Setting up and operational expenses of Community Learning Academies (for training of CPs and CRPs)

Payments to NGOs for formation of SHGs/SHG federations

BMMU costs

Workshops/conferences/exposure visits for other stakeholders like bankers, line departments officials etc.

Revolving fund and capital subsidy

RF and Capita Subsidy support to SHGs and SHG federations

Food Security Fund to SHG federation

Health Security Fund to SHG federations

Infrastructure creation & marketing

Promotion of Livelihood Collectives and Support to SHG's/livelihood Collectives/SHG federations for Livelihood enhancing activities

Productivity enhancing activities including Technical Support Services through Partnerships

Provision of Productive Infrastructure for SHGs/SHG federations/Livelihood Collectives

Providing marketing linkages including through partnerships with Technical Support Agencies

Skills and Placements projects

Identification of youth in need of jobs

Market scan costs for finding possible job sectors

Partnerships with Placement Agencies

Post placement support costs for the youth

Administrative cost

SMMU costs

DMMU Costs

Monitoring and Evaluation

SMMU and DMMU setting up and recurring costs

Communication