

INDIA

**STRENGTHENING REGIONAL COOPERATION FOR
WILDLIFE PROTECTION PROJECT**

DRAFT

OPERATIONS MANUAL

April, 2012

**Wildlife Division
Ministry of Environment and Forests
India**

PROJECT OPERATIONS MANUAL

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INDIA: STRENGTHENING REGIONAL COOPERATION FOR WILDLIFE PROTECTION

I. PROJECT OBJECTIVES AND SCOPE

1.1 Project Development Objectives

The long-term vision of the regional program is to stabilize and, if possible, increase the population and habitats of critically endangered animals in Asia. Since wildlife and habitats cross administrative boundaries and because knowledge and capacity vary widely across and within countries, a regional approach is needed to address cross-border issues, build synergies, share skills, knowledge and experiences and build regional collaboration for the conservation of critical habitats and ecosystems.

The project development objective (PDO) is **to assist the participating governments of India and others to build or enhance shared capacity, institutions, knowledge and incentives to collaborate in tackling illegal wildlife trade and other selected regional conservation threats to habitats in border areas.** The project will focus on a selected set of country-specific initiatives as well as key mutually agreed regional activities that are crucial to attaining the regional strategic goals.

1.1.1 Project Beneficiaries

The proposed third phase aims to contribute to a global public good (conservation of endangered species) by addressing its inverse, a global public bad (illegal wildlife trade). It is clear that when the project objectives are met, global benefits will be generated. Also, India will benefit through more effective utilization of its budget on wildlife crime enforcement and, insofar as there are presumed links between wildlife crime and other criminal activities, there would be additional benefits from the interdiction of other global crimes. However, the global public good aspect makes it inherently difficult to quantify all the benefits from undertaking the regional project, including the proposed third phase.¹

Since the third phase includes enhancements to wildlife management and knowledge for India, the country's stock of natural capital would increase. Recent economic analysis by the World Bank demonstrates that increases in natural capital are vital for fueling sustainable increases in national wealth, again suggesting the scope for national benefits.² In addition, since many of India's rural poor rely on these natural resources for their livelihoods, increasing natural capital productivity would have positive development outcomes as well.

1.1.2 PDO Level Results Indicators

Key Performance Indicators

¹ A pure public good is defined as a commodity that is non rival in consumption – i.e., many can consume it simultaneously (e.g., clean air or conservation). And it is non excludable. Once provided, one cannot feasibly restrict who benefits since the entire globe benefits from clean air or a rare species being conserved in its natural habitat. Thus, identifying beneficiaries in this context is at best only a partial exercise.

² World Bank. 2006, *Where is the Wealth of Nations: Measuring Capital for the 21st Century*, Washington DC.

- Progress towards the development of sustainable regional mechanisms for addressing illegal wildlife trade and other conservation threats
- Development of at least one protocol each on a common research agenda, knowledge sharing, collaboration and division of labor
- Agreement among the enforcement agencies on at least two regional protocols, including approaches and solutions
- Implementation of at least three regional pilots or initiatives in wildlife enforcement and conservation
- Improvement of India's capacity to fight wildlife crime through the development of information/intelligence networks and to boost conservation through better PA management and training to staff in the relevant agency

1.2 Project Components

1.2.1 Landscape approach for regional cooperation in wildlife conservation and protection

The third phase of the regional project focuses on two main areas: (i) strengthening the capacity of institutions in India to allow the country to take the lead on wildlife conservation in South Asia; and (ii) capacity building to address the illegal wildlife trade in cooperation with other countries in the region participating in the APL.

The project interventions would enhance the capacity of the Wildlife Division (WD) of India's Ministry of Environment and Forests (MOEF) to *inter alia*, steer its neighboring countries toward adopting wildlife conservation policies and strategic management initiatives, thereby improving trans-boundary conservation. Moreover, the project would strengthen the Wildlife Crime Control Bureau (WCCB) to effectively address wildlife trafficking in the region. The countries participating in the first and second phases of the regional project have common borders with India. Hence, India's participation in the regional project and its leadership are critical for building and sustaining cross border cooperation in wildlife conservation and crime control.

The landscape approach to management of cross-border ecosystems among the countries participating in this regional project is essential to the long-term conservation of charismatic and flagship species, like the Royal Bengal Tiger, Asiatic Lion, Indian Elephant, One Horned Rhino, Asiatic Black Bear and Red Panda (to name a few) because these wildlife require vast roaming spaces. Compatible management policies and introduction of cross-border corridors would ensure landscape level connectivity that is essential to the survival of flagship species. It is critical that these species are managed effectively not only in the designated PAs within India but also along the corridors that link ecosystems across India's boundaries. The conservation of flagship species would lead to improved natural habitats for all species and, ultimately, healthy ecosystems for Asia.

India's participation represents the third phase of the regional project with Bangladesh and Nepal participating in the first phase and Bhutan joining in the second phase. At the November 2010 meeting of conservation officials from Bangladesh, Bhutan, India and Nepal, the participants discussed the project's regional issues and agreed to adopt specific mechanisms for collaboration in addressing the threats to wildlife and habitats. At that meeting, the officials conveyed their commitment to join the Regional Policy Steering

Committee (a regional governance structure under the project) for ensuring regional coordination as soon as the Committee is established and work towards institutionalizing regional cooperation in wildlife conservation in South Asia.

1.2.2 Project Components

Component 1: Capacity building for wildlife conservation and cooperation for addressing the illegal trans-boundary wildlife trade (US\$21.6 million)

Component 1 aims to bring about regional harmonization and collaboration in cross border wildlife conservation and management, combating wildlife crime through strengthened legislative and regulatory frameworks, well-equipped specialized agencies and systems, as well as relevant training and awareness programs for staff across the range of agencies that contribute to the enforcement of wildlife laws and regulations. This component will support strengthening the capacity of the Wildlife Division (WD) in the Ministry of Environment and Forests (MOEF) for undertaking policy development and analysis.

Additionally, the project will strengthen MOEF's leadership role and strategic approach to regional coordination in wildlife conservation. This role will be supported by implementing agencies under MOEF's jurisdiction, such as WCCB. Targeted interventions are envisaged under the project for WCCB which has the national mandate for the control of illegal wildlife crime and trade. The interventions under this component are aimed at bolstering WCCB's role as South Asia's leader in wildlife crime and trade control.

Two broad areas are identified for support: (i) technical assistance in monitoring and evaluation (M&E), policy analysis and development to build WD/MOEF's leadership in regional wildlife conservation and management; and (ii) assistance to WCCB to carry out the effective control of illegal wildlife crime and trade in cooperation with the other countries. Under these two broad areas, specific activities that would enhance India's role in regional capacity building, cooperation and coordination will be carried out.

Sub-component 1.1: Technical assistance to WD/MOEF on policy analysis and research and M&E (US\$ 9.1 million)

GOI considers the development of suitable policies a pre-requisite to effective management of wildlife in India. WD/MOEF is responsible for carrying out activities related to wildlife conservation with the State Governments and for providing financial and technical assistance to them for the scientific management of India's wildlife resources. It is also responsible for carrying out the activities related to wildlife research and training of personnel involved in wildlife management through the Wildlife Institute of India. WD/MOEF has been entrusted with the mandate of policy development and M&E of programs implemented by agencies under WD/MOEF's jurisdiction as well as special projects, such as Project Tiger and Project Elephant. Stakeholder involvement is considered an important aspect of the policy making process of WD/MOEF.

The activities under this sub-component would enhance the capacity of WD/MOEF to discharge its mandate and lead regional efforts on wildlife conservation and management. This will be achieved through: (i) technical assistance for carrying out policy studies, strengthening regulation and developing M&E systems; (ii) support for modern field,

research and IT equipment; (iii) staff training and capacity building, including study tours and exchange programs with regional and international conservation agencies; and (iv) support for institutionalizing regional coordination of wildlife protection and conservation. The key outputs of this sub-component would include:

- Improved institutional capacity in WD/MOEF in the areas of policy analysis and research as well as M&E
- Strengthened capacity of technical staff in selected agencies under MOEF's purview to conduct effective and collaborative wildlife conservation and management
- Improved technical skills of staff in state agencies in participatory wildlife conservation and management, particularly in cross border areas
- Effective policy recommendations for mainstreaming conservation in the development process, including landscape approaches to conservation
- Progress towards institutionalizing regional collaboration and coordination in wildlife protection, conservation and management in South Asia

Sub-component 1.2: Capacity building and training for WCCB (US\$12.5 million)

GOI established WCCB – through the 2007 amendment to the Wildlife (Protection) Act – in response to the increasing incidence of wildlife crime. Its mandate includes facilitating coordinated universal action against wildlife crime and ensuring India's compliance with relevant international treaty obligations. India is well placed to play a prominent role in the South Asia region in this regard. India proposes to assist other countries in South Asia in curbing wildlife crime through improved information, communications and coordination, better legal frameworks, judicial awareness and reforms. WCCB has a unique advantage since no other neighboring country has an institution dedicated to wildlife crime control. Yet, at present, WCCB remains a fledgling institution. To strengthen WCCB, GOI approved an increase of over 300 new staff for WCCB. This sub-component would assist WCCB in training and building the capacity of newly recruited staff. Moreover, the institution needs assistance to strengthen its capacity in communications, forensics, and prosecution skills. WCCB would like to explore options for a twinning arrangement with U.S. Fish and Wildlife Service (USFWS) to develop such skills which may be supported under this sub-component.

WCCB proposes to take the lead in capacity building for the region on wildlife forensics and training for regional partners. Sub-component 1.2 would support the establishment of a forensics service laboratory at WCCB. If savings from the WCCB forensics service laboratory allocation become available, laboratories to provide basic forensic services in the other participating countries may be built as well. Also, WCCB will establish a communications and wildlife crime data collection network under this sub-component. WCCB plans to host bilateral and multilateral cooperation/coordination meetings on various aspects of wildlife crime and illegal trade control through this project. The key outputs for this sub-component would include:

- Development and installation of a wildlife crime and criminal data network
- Establishment of a service laboratory for wildlife forensic testing for India and other countries in South Asia
- Institutional development, capacity building and training for WCCB through a twinning arrangement with USFWS

- Establishment of a regional center of excellence for training on wildlife crime enforcement and investigation, including training and capacity building for staff from countries in South Asia
- Studies and research on wildlife crime
- Programs for exchange of technical knowledge with internationally renowned institutions and centers of excellence on wildlife crime and trade control

Component 2: Promoting wildlife conservation in Asia (US\$4.6 million)

Sub-component 2.1: Virtual Regional Center of Excellence (VRCE) for wildlife conservation (US\$0.5 million)

VRCE would seek to fill crucial knowledge and information gaps in addressing regional threats to conservation. It entails the creation of VRCE that would include a network of scientists and practitioners whose mission would be to expand the scope and quality of research in wildlife conservation needed to develop a common response against illegal wildlife trade in and outside the region and to address other regional conservation and landscape level issues to be agreed by the participating countries.³ For all participating countries to benefit from knowledge sharing efforts, VRCE could sponsor the creation of a local networking forum in each country to facilitate the exchange of research information, collaboration and coordination of country level institutions involved in wildlife conservation research. Coordination of the forum in India would be facilitated by WD/MOEF.

VRCE would provide the first (and only) coordinated, institutional response for research and knowledge dissemination on wildlife conservation in South Asia with possible links to analogous efforts in East Asia.⁴ The exclusive focus will be on either promoting a conservation-related regional public good or addressing a regional public bad. Given the existence of national institutions with expertise in this area already, it is critical for VRCE to bring value-added and not duplicate existing efforts. By playing the role of coordinator and facilitator of knowledge and expertise, VRCE could become a vehicle for promoting dialogue and good practices as well as disseminating knowledge. Because VRCE will be virtual and will have no central physical facility, it will rely heavily on state-of-the-art information and telecommunication technology (ICT) to conduct its business and to attain its objectives.

A Regional Operational Steering Committee (ROSC) – described in Section IV of the main text – would assist in the development of VRCE’s overall program and objectives.⁵ VRCE would be managed by a director and the position is envisaged to rotate among the participating countries to assure appropriate ownership and representation. VRCE’s director would be responsible for coordinating the development and implementation of the regional work program for the VRCE and developing, in conjunction with the national counterparts, the country programs that would give VRCE its added value at the local level. The

³ Knowledge generation and research within the VRCE would focus primarily on conservation and species management research. Better management of PAs, species and stronger conservation would enable the establishment and maintenance of systems and mechanisms to address the threats to wildlife due to poaching and illegal trade.

⁴ Laos and Vietnam may join the VRCE at a later stage. Connection to other knowledge hubs and centers of excellence in Southeast Asia and Africa may be established through the relevant partnership mechanisms under the Global Tiger Recovery Program and the South-South Experience Exchange Program, respectively.

⁵ VRCE would be managed by a director and this position is envisaged to rotate among the participating countries to assure appropriate ownership and representation.

directorate would be housed within the project coordination/management/implementation unit of each participating country during its management tenure that would coincide with its turn to chair the ROSC. In India, the PMU in WD/MOEF will host the VRCE directorate when India is the chair of the ROSC.

South Asia Wildlife Enforcement Network (SAWEN). During the first meeting of the South Asia Experts Group on Illegal Wildlife Trade in May 2010, the participating countries agreed on the structure, functions, and operational parameters for SAWEN along the lines of the Association of South East Asian Nations Wildlife Enforcement Network (ASEAN-WEN). SAWEN was formally established in January 2011 with an aim to strengthen regional law enforcement activities through bilateral and multilateral arrangements. If requested by the participating countries, support would be provided under the project for the institutional development of SAWEN.

The key outputs of Sub-component 2.1 would include:

- Publication of research and pilot project results
- Sponsorship of workshops, lectures and seminars
- Special seminars aimed at decision makers in the participating governments (legislators, administrators and policy makers)
- Training modules and teaching materials for wildlife managers
- Development of protocols for informing policy and wildlife managers in the field

Sub-component 2.2: Innovative research and pilot projects with a regional dimension (US\$4.1 million)

To sharpen incentives, promote demand-driven interventions and encourage attention to regional conservation benefits, this sub-component would support innovative research and pilot projects that would contribute towards more effective conservation at the national and regional levels. A competitive, demand-driven approach to reward innovation and efficiency of the staff of WD/MOEF, WCCB and other implementing agencies under MOEF's jurisdiction would be applied in selecting the activities that would receive support under Sub-component 2.2. A transparent review and approval process for proposals submitted for funding will be developed and implemented. The eligibility criteria (including a negative list of activities) will be specified in the operational manual to be finalized prior to disbursement. In line with the request of GOI, *no* field based activities within PAs will be supported under this sub-component. Since the precise activities to be supported would be identified only during the preparation of the funding proposals, a typical list of potential activities can be assumed at this stage. WD/MOEF has prepared an environmental and social management framework and it will ensure that activities funded under Sub-component 2.2 have no adverse environmental and/or social impacts.

Research in endangered species conservation. Conservation of endangered species is a priority area for WD/MOEF. Some of the flagship endangered species in India are: Royal Bengal Tiger, Asian elephant, One horned rhino, Asiatic lion, leopard and snow leopard, to name a few. Information on such endangered species, their habitats and behavior is necessary for developing better management approaches. The funding proposals would either focus on research that addresses a threat to an endangered flagship species or involve animal population surveys and monitoring to support the assessment of species, including studies of habitats and prey species.

Endangered species recovery plans. Endangered species recovery plans would identify long-term conservation strategies and detail specific actions that must be taken to recover the species population. In many cases, although the species has been identified as endangered, no species recovery plans have been prepared. This sub-component will provide an opportunity for the development of such plans. The recovery plans would have site-specific management actions to achieve the plan's goal for the conservation and survival of the species. It should also have measurable criteria for determining whether the plan's goals have been met. WD/MOEF is encouraged to propose programs in partnership with other stakeholders, such as research institutions in the preparation of such recovery plans.

Human-wildlife conflict (HWC) management. Carnivore-human conflict (CHC) is a serious concern in India given the increasing trend of communities being affected by CHC. Carnivores such as the tiger, leopard, snow leopard, wild dog, bear and wolf are primary contributors to the conflict. These carnivores come in contact with humans mainly through predation of livestock. Pilot projects to address the conflict are urgently needed if the carnivore population, especially the charismatic and flagship species, is to be protected. Community participation in implementing the pilot projects is critical for long-term success. This would require: (i) awareness raising among the communities on the importance of conservation; (ii) training on techniques of handling stray carnivore intrusions to villages without harming charismatic species; and (iii) establishment of an effective communication system between the communities and the response teams from responsible agencies (for example, exploring the possibility of training select community members in basic immobilization techniques and containment until the response teams arrive, training to the response teams on safe tranquilizing and capture methods, etc). With the experience gained from implementing the pilots, they can be replicated to address CHC elsewhere in the country.

Human-elephant conflict (HEC) is escalating in the country. Current approaches have done little to address the problems effectively. Translocations and elephant drives used as a HEC management tool in many countries have proven to be a costly failure to both humans and elephants. They have largely failed because the approach neglects the root causes of the problem. Most PAs are already at or even beyond carrying capacity and hold the maximum number of elephants they can support. Additionally, PAs are generally primary or mature forests and they provide sub-optimal habitat for edge species, such as elephants that prefer degraded forest habitats. There is a need, therefore, to find a new approach for HEC management by developing mechanisms that turn wild elephants from economic liabilities and the foes of local farmers to wild, living, communal and economic assets.

Through telemetry data on elephant movements and socio-economic assessments that can be supported under the project, human-elephant coexistence models can be developed. This will provide concerned agencies in India with a tremendous opportunity to pioneer new science and observation-based adaptive management approaches with the potential to convert HEC into one of human-elephant coexistence.

The activities that may be supported under the sub-component would include:

- Research in endangered species conservation
- Preparation of endangered species recovery plans

- Pilot programs in human-wildlife conflict management models with financial and other incentives to encourage human-wildlife coexistence

Component 3: Project coordination and communication (US\$3.8 million)

Sub-component 3.1: Project management and monitoring (US\$0.8 million)

This sub-component would focus on project management and monitoring. MOEF will be responsible for overall project implementation although specific components/activities will be implemented by WD/MOEF and WCCB. MOEF will create a National Project Steering Committee (NPSC) responsible for overall project oversight at the country level. Day-to-day project management will be undertaken by a project management unit (PMU) within WD/MOEF. The PMU will be responsible for implementation of WD/MOEF activities as well as the coordination and monitoring of WCCB-implemented activities. In turn, a Project Implementation Cell (PIC) will be established within WCCB for day-to-day implementation of its activities.

Sub-component 3.2: Project communications (US\$3.0 million)

The project will adopt a multi-pronged approach to communications in order to meet regional and local challenges. In addition to relying on the regular communication mechanisms of WD/MOEF and WCCB, the project would support a public awareness campaign targeted at illegal wildlife crime and wildlife conservation. Additionally, a wide range of consultations with various stakeholder groups will be conducted at the national and local levels. It is expected that rolling consultations will continue throughout the project cycle. The communications sub-component will be developed and implemented in collaboration with World Bank specialists in external relations. Implementation will be coordinated, as needed, with GTI in view of the latter’s broader geographic mandate to engage in demand side management.

1.3 Project Cost and Financing

Total project financing requirements are estimated at US\$ 39 million, of which IDA financing will be US\$36 million (92% financed by IDA). Project costs by components are outlined in Table 1 below.

Table 1. Project Costs by Component

Project Cost by Component	Project cost (US\$ million)	IBRD or IDA Financing (US\$ million)	% Financing
Component 1: Capacity building for wildlife conservation and cooperation for addressing the illegal trans-boundary wildlife trade	21.6	21.6	
Component 2: Promoting wildlife conservation			

in South Asia	4.6	4.6	
Component 3: Project coordination and communication	3.8	3.8	
Total Baseline Costs	TBD	TBD	
Price contingencies	TBD	TBD	
Total Project Costs	30.0	30.0	
Total Financing Required	30.0	30.0	100

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II. PROJECT IMPLEMENTATION ARRANGEMENTS

2.1. Regional Project Coordination

The participating countries have agreed that a strong regional coordination mechanism would need to be in place to ensure the achievement of the PDO. Regional coordination would be exercised at two levels: (i) the policy level; and (ii) the operational level. At the policy level, a Regional Policy Steering Committee (RPSC) would be established. At the operational level, an Operational Steering Committee for Regional Coordination (OSCRC) of the project would be established. The OSCRC's main responsibilities are to ensure effective coordination of project activities that have regional implications and to foster dialogue on wildlife conservation issues among the participating countries. Any contentious issues that cannot be resolved by the OSCRC may be elevated to the RPSC for recourse. The project implementation/management/coordination units (PIU/PMU/PCU) in the participating countries chairing the RPSC and the OSCRC will serve as the secretariats to both committees.⁶ In the case of India, the Wildlife Division in the Ministry of Environment and Forests (WD/MOEF) will serve as the secretariat for both committees.

2.2 Implementation Arrangements in Bangladesh

Project administration

Overall responsibility for project implementation will be with MOEF. The latter will implement the project through WD/MOEF and the Wildlife Crime Control Bureau (WCCB). MOEF will create a National Project Steering Committee (NPSC) with responsibility for overall project oversight at the country level.

MOEF will establish a project management unit (PMU) at WD. The PMU would be headed by a Project Director (PD) and supported by financial, procurement and technical staff. The PMU, under the PD, will be responsible for the day to day activities under the project, including financial management, procurement, monitoring and evaluation of project activities as well as coordination with MOEF and IDA. MOEF has already identified the PD from among WD staff. The financial management, procurement and technical staff will be hired on a contractual basis and funded under the project. WCCB will establish a project implementation cell (PIC) headed by a Project Manager (already identified). The latter will be responsible for the day-to-day implementation of activities under WCCB's purview. The PIC will hire financial, procurement and technical staff on a contractual basis and they will be funded under the project. The PMU in WD/MOEF will be responsible for the consolidation of all reports to be submitted to MOEF and IDA.

⁶ Coordination among the policy and operational regional committees, the PIU/PCUs and GTI will be encouraged.

National Project Steering Committee (NPSC): NPSC will be chaired by the Secretary of MOEF or his nominee and will include members from the relevant ministries, government departments/agencies, relevant civil societies and research organizations dealing with wildlife conservation and research. The PSC will meet semi-annually to review project progress and provide policy directions and guidance. The main responsibilities of the PSC will be as follows:

- To meet semi-annually (unless exceptional circumstances demand otherwise) to review project implementation;
- To provide oversight, policy guidance and approve the project's annual work plan and budget;
- To facilitate inter-agency coordination so as to ensure compliance and adherence to the project development objectives;
- To resolve disputes or conflicts related to the project if any;
- To endorse all changes in the project implementation arrangements; and
- To review and endorse any policy, and regulatory institutional recommendations from the project.

The PMU will serve as the secretariat to the NPSC.

Project Implementation Committee (PIC). A project implementation committee (PIC) will be established jointly by the WD and WCCB, comprising of senior officials from the WD (IGFWL, FA(MoEF), IGFPE, IG/DIG NTCA, DIGWL/PD, JDWL), WCCB (AD WCCB, JD/DD HQT) and a representative from the Bank as an observer. The PIC will be chaired by the ADGWL&DirectorWLPreservation. The responsibilities of the PIC will be as follows:

- Review the quarterly progress of the project as well as annually, based on reports prepared by the PIU
- Guide the PIU in the implementation of the project
- Review and approve updated procurement plans and IUFs.
- Make independent field visits to the project areas to assess field implementation
- Provide guidance on all technical aspects of the project
- Ensure compliance with safeguards requirements of the GOI and the World Bank;

The Project Director will have the following responsibilities:

- Coordinate day-to-day implementation of tasks under the project by the various implementing teams and agencies, as specified in the Project Implementation Plan (PIP).
- Organize monthly meetings with the various project component teams for stocktaking and effectiveness.
- Support the MOEF to convene the NPSC of the project twice a year to review progress on project implementation. Organize and circulate agenda and other communications for the Committee. Record the minutes of these meetings. Convey the minutes to MOEF and the Bank.
- Ensure that the project sub-committees or evaluation committees (as they may be) and the project teams have the necessary knowledge and expertise to conduct their work, including, for example to draft technical specifications and evaluate technical bid

- proposals. Procure necessary *ad hoc* TA to support these project groups.
- Prepare and distribute consolidated, periodic reports of the project teams and consultants to the relevant government and other participating institutions, including the semi-annual and annual reports to the World Bank, reflecting: (i) the status of implementation progress, problems encountered, corrective actions needed, rationale for actions; and (ii) current costs of each project component and estimated costs of completion.
 - As required, take actions to expedite project activities, including, but not restricted to, decision-making and document processing by the relevant governmental agencies. Monitor official documents and contracts as they pass through the approval processes.
 - In a timely fashion, prepare and submit to relevant government institutions and the Bank of annual audit reports of project expenditure and accounts.
 - Ensure accurate and timely compilation of project indicators by each implementation team.
 - Facilitate the preparation of the World Bank standard Project Implementation Completion Report (ICR).
 - Carefully manage the records and official documents of the project.
 - Ensuring compliance with the fiduciary requirements of the GOI and the World Bank;
 - Submit consolidated work plan and budgets to the MOES and subsequent submission to Ministry of Planning through their line ministry i.e. MOEF for inclusion in the Annual Development Budget and approval.
 - Ensure execution project activities approved by the NPSC;
 - Ensuring the provision of adequate and qualified staff for project execution at the PIC level;
 - Responsible for the expenditures from the project account, ensuring that the project activities are well coordinated and that the necessary preconditions are met concerning post-project ownership, operations, maintenance and sustainability of project assets;
 - Review the implementation of project activities on a monthly basis and report to the PMU within agreed timelines, including submission of reports required by the authorities and the Bank;
 - Ensuring compliance with the safeguards requirements of the GOI and the World Bank;
 - Coordinating project activities with the relevant implementing agencies.

Project Manager of PIC will have following responsibilities:

- Coordinate day-to-day implementation of tasks under the project by the WCCB, as specified in the PIP.
- Organize monthly meetings with the various project component teams for stocktaking and effectiveness.
- Ensure that the project sub-committees or evaluation committees (as they may be) and the project teams have the necessary knowledge and expertise to conduct their work, including, for example to draft technical specifications and evaluate technical bid proposals. Procure necessary *ad hoc* TA to support these project groups.
- Prepare and distribute consolidated, periodic reports of the project teams and consultants to the relevant government and other participating institutions, including the semi-annual and annual reports to the PMU, reflecting: (i) the status of implementation progress, problems encountered, corrective actions needed, rationale

for actions; and (ii) current costs of each project component and estimated costs of completion.

- As required, take actions to expedite project activities, including, but not restricted to, decision-making and document processing by the WCCB. Monitor official documents and contracts as they pass through the approval processes.
- In a timely fashion, prepare and submit to PMU the annual audit reports of project expenditure and accounts to be submitted to the World Bank.
- Ensure accurate and timely compilation of project indicators by each implementation team.
- Contribute to the preparation of the World Bank standard Project Implementation Completion Report (ICR).
- Carefully manage the records and official documents of the project.
- Ensuring compliance with the fiduciary requirements of the GOI and the World Bank;
- Ensure execution project activities approved by the NPSC;
- Ensuring the provision of adequate and qualified staff for project execution at the PMU/PIC level;
- Responsible for the expenditures from the project account, ensuring that the project activities are well coordinated and that the necessary preconditions are met concerning post-project ownership, operations, maintenance and sustainability of project assets;
- Review the implementation of project activities on a monthly basis and report to the PMU, including submission of reports required by the authorities and the Bank;
- Ensuring compliance with the safeguards requirements of the GOI and the World Bank;

Procurement Officer. The Procurement Officer will be responsible for ensuring that procurement under the project is conducted in accordance with the procedures and timetables agreed with the Bank and co-financiers. In so doing, he/she will:

- Liaise with the World Bank procurement staff;
- Collaborate closely with other concerned agencies on procurement matters, especially on technical matters, such as preparation of technical specifications, etc.;
- In conjunction with project teams, prepare advertisements, bidding documents, letters of invitation, draft contracts, evaluation reports, etc.;
- Submit advertisements, bidding documents, letters of invitation, evaluation reports, contracts to the Bank for those items subject to prior review;
- Obtain timely World Bank no-objections for procurement documents;
- In conjunction with the project teams, organize and help manage bidder conferences. In due time for bid evaluations, organize and support evaluation committees (as appropriate, economize evaluation efforts by identifying standing members to serve on various evaluation committees under the project). Ensure proper documentation of committees' deliberations and findings. Ensure timely ministerial approval of evaluation committees' recommendations (including, as appropriate, Steering Committee review) and of prospective contracts.
- Initiate and complete internal approvals and contract signatures;
- Submit signed contract, completion/delivery certificates, etc., to the financial official for payments;

- Track progress of procurement activities against the plans set forth in the PIP. Highlight variations in progress, record reasons and identify remedial actions.
- Collect data on procurement from other agencies concerned and contribute to periodic progress reports to be submitted to the PIU Manager, and the Bank; and
- Maintain up-to-date and accurate project procurement records.
- Prepare and submit for Bank review periodic procurement progress reports

In order to perform these tasks, the incumbent should have the following experience and qualifications: (i) A thorough knowledge of World Bank procurement procedures; (ii) Experience in working on World Bank financed projects; (iii) A University degree in a relevant field such as engineering, law or public procurement.

The Financial Management Specialist will be responsible for financial management of the project, including the following:

- Develop and implement an accounting and financial planning system;
- Manage short and long-term financial planning of the project;
- Carry out financial performance reviews of project activities, in accordance with Bank requirements;
- Review and recommend all requests for payment for project activities;
- Keep up-to-date and accurate project accounts;
- Sign off on monthly and annual budget and financial management reports prepared for the project and present them as required to the World Bank and to donors;
- Verify invoices, bills and documents received from suppliers, contractors and consultants in order to ensure correct payments;
- Manage the special account; Verify disbursement information in signed contracts against Credit Agreement (the disbursement schedule and disbursement letter).
- Prepare withdrawal applications and obtain authorizing signature from MoF/MoEF (or of designated persons including, as appropriate, the PIU Manager).
- Arrange payments for against statement of expenses (SOEs).
- Track disbursements of the Bank loan and government funds.
- Monitor project expenditures and costs (local and foreign).
- Liaise with key ministries and organizations concerned with the project implementation – such as the Ministry of Finance and other participants.
- Preparation of documents for the audit of the project account
- Preparation of required reports (FMRs) on the basis of the Finance Management System
- Assist PD to develop and implement the operational manual (OM) incorporating all financial control and segregation duties for the project activities related to financial transactions and reporting.
- Guide PD to implement accounting software after designing the chart of accounts and the reporting formats for the accounting software.
- Ensure control and management of proper records of project assets and purchases, including inventory records and take necessary steps to carry out at least annual physical verification of inventory and fixed assets.
- Prepare TOR for hiring chartered accountancy firm for carrying out annual internal audit of the project.
- Assess the need for additional financial monitoring reports under the project, and track project progress in relation to overall budget allocations and spend under each components/subcomponents.

- Continually assess fiduciary risks and report any concerns to the PD.
- Ensure all compliance of the laws, rules and regulations of the concerned Ministries, Governments and the Financing Agreement with the World Bank.
- Manage the work of other personnel to be engaged for dealing with financial matters of the project.

The FMS should be qualified Chartered Accountant/ Certified Public Accountant/ CMA with at least five years experience in a supervisory position on financial management in any government/semi government organization, development projects or MBA/Masters in Finance with at least ten years experience in any position carrying on financial management responsibilities in any government/semi government organization or donor funded (IDA/ADB/UNDP, etc.) development projects. The FMS should have IT knowledge including thorough understanding on government accounting, budgeting and auditing system. The person should have fluency in oral and written English. Experience in donor funded projects will be an additional qualification.

Accounts Officer/Disbursement Officer will be responsible for assisting and reporting to Financial Management Specialist of the project, including the following:

- Maintain register, books and other records in appropriate order to meet statutory and reporting requirements of IDA and GOI and to facilitate classification and analysis of financial information including file maintenance in orderly and easily retrievable manners.
- Timely and accurately record transactions in a computerized environment to fulfill accurate and efficient reporting requirement consistently.
- Check and verify bills, for procurement of goods, works and services for the project as per applicable rules and forwarding to the PD for payment approval.
- Write and verify cheques and present those to the signatories and arrange delivery of the signed cheques to the beneficiaries, ensure timely recording of all payments and timely prepare Bank Reconciliation Statement.
- Prepare document for timely replenishment of donor's fund and submission of withdrawal request.
- Draft quarterly Interim Unaudited Financial Report (IUFR) and ensuring their timely submission to IDA.
- Prepare annual and quarterly disbursement forecast for all component of the project in line with the procurement and implementation plan.
- Liaise with Accounts Section for the reporting as per the need of the Ministry.
- Ensure deduction payment and processing of funds transfer etc related to the direct/ indirect tax laws of the country including Income Tax, sales/ VAT) and.
- Assist both external and internal auditors in carrying out audit by providing necessary financial information and respond to the audit queries.
- Perform any other duty, as and when, delegated by the PD.

Accounts Officer/Disbursement Officer should be Masters in Finance/ accounting// Masters in Economics or BBA with major in accounting/Finance. Computer literacy (MS world, excl, etc), proficiency in internet, and fluency in oral and written English are required for this position. At least 5 years of experience in handling accounting matters independently. Knowledge of accounting software and application is essential. Experience in donor funded projects will be an additional qualification.

The PMU/PIC will be responsible for relevant fiduciary activities (financial management and procurement) of the project. The PMU/PIC will support the relevant implementing units to procure goods and services to implement their activities under the various components. The implementing units will establish technical units to implement their activities under the project. The technical units will be responsible for the technical aspects of the activities (develop TORs, technical specifications, supervise the activities of consultants that are hired by them and be responsible for the technical outputs, etc.). The PMU will keep overall accounts for the project and submit quarterly interim un-audited financial reports (IUFs) satisfactory to the Bank. PIC will submit all documents related to project activity planning and implementation to PMU who will be responsible for consolidating and submitting to the NPSC and the World Bank

2.3 Proposal Advisory Committee

I. Tasks and Responsibilities

A Proposal Review Committee (PRC) is a team of experts tasked with providing scientifically based wildlife conservation expertise to the Project⁷ on Proposals⁸ submitted under the sub-component 2.2 of the Project. The PRC is an advisory body, which will ensure value addition to the Proposals that will be funded through the project. The PRC will:

1. Review the Proposals submitted, taking into account the criteria and indicators established under the sub-component 2.2.
2. Provide guidance to the Project Proponents (PPs) in the form of recommendations and critical requirements to ensure technical value addition to the Proposals to improve the design and quality of the Proposals, including assessing the appropriateness of outcome indicators
3. Review of Proposal implementation as and when necessary and provide further guidance to PPs to improve the implementation
4. Serve as Peer Reviewers for Proposals submitted by the participating regional countries and provide written comments and suggestions to ensure the proposals have transboundary wildlife benefits

II. Membership

The PRC is broadly constituted, comprising of Members with expertise in the wildlife conservation aspects of the Project. It shall comprise the following members:

ADGWL : Chair

IGFWL: Member

AD/ representative of WCCB: Member

Two serving IFS officers (above CCF) with experience of working in wildlife crime control within or outside forest establishment: members

Representatives of Commissionerate of Customs and CBI/Delhi Police Crime Branch

Former forest/ police/DRI officials one each - not below the rank of IG: members

⁷ "Project" means Adaptable Program Loan on Strengthening Regional Cooperation for Wildlife Protection in Asia.

⁸ A Proposal is a document developed using the format on Project Proposals under the sub-component 2.2 that will be reviewed by the PRC for its technical soundness and by the PIC for its operational standards.

Two representatives of CSOs involved in enforcement related activities

The PD and PMU will act as the Secretary and Secretariat to the PRC.

(i) Term of Office

PRC Members shall be appointed by the MoEor the entire duration of the Project. They shall be appointed as individuals on the basis of their technical expertise, and serve on the PRC as knowledgeable individuals in the subject area, while representing their organizations or affiliations mainly to ensure when providing technical recommendations to the project.

(ii) Remuneration and Reimbursement of Expenses

PRC Members shall receive an honorarium for their services and if invited to review the implementation progress that requires traveling to proposal sites, travel expenses and per diems will be provided in accordance with GOI's established rules and procedures.

(iii) Resignation or Termination of Membership from the PRC

A PRC Member may resign or withdraw from the PRC at any time upon written notification to the Chair. Membership from the PRC may be terminated at any time based on a majority recommendation of the TRC membership with the concurrence of the World Bank upon which written notification of termination will be made by the PD.

(iv) Appointment of Alternate Members to the PRC

The MoEF will appoint a suitable replacement to the PRC with concurrence of the World Bank. The replacement member should possess equivalent or better technical expertise and experience than the original member.

III. Working Procedure

PRC Members shall review Proposals and related information made available to them by the PMU, and provide advice on the Proposals. Members may be asked, in relation to Proposals, to identify key issues, conduct further investigation, or to seek counsel from others as required. From time to time, Members may be asked to comment on written drafts pertaining to the subjects within the mandate of the PRC.

The PMU shall provide secretarial support to the PRC, which would include calling for Proposals, timely dissemination to PRC Members for desk review, reviewing the operational requirements of the Proposals, organizing the PRC Meetings and related logistics and making payments, coordinating with PRCs of the participating countries of the Project to obtaining timely comments for Proposals, taking minutes and disseminating the minutes to the Members, sending PRC Members review comments to the project proponents, organizing site visits for the PRC Members during implementation and making related logistical arrangements and payments.

IV. Transparency and Confidentiality

The membership, terms of reference and operating procedures of PRC and evaluating criteria shall be published on the project website.

While PRC meetings are not open to the public, Project staff of the Secretariat (i.e. PIU) shall be allowed to attend the meetings as observers, but may be asked to recuse themselves from any part of the discussion by the PRC Chairperson. The PPs shall be given the opportunity to present their proposals to the PRC committee and respond to any clarifications that PRC Members may require and provide additional details of the proposal. The Chairperson may grant observer status, for all or part of the PRC deliberations, to selected individuals including Project staff whose attendance would benefit the deliberations of the PRC.

If a non-governmental entity who are part of the PRC have partnered in a given Proposal, he/she shall recuse himself/herself from reviewing documents and in the deliberations.

V. PRC Proposal Review Processes

(a) Scope and Call for Proposals

Call for Proposals (CFPs) process shall take place once a year. The Secretariat shall send out CFPs to the implementing agencies for project areas pre-determined by the NPSC. The submission of proposals will follow a two stage process: (i) a project concept; and (ii) a detailed project proposal. Implementing agencies shall ensure the field-base staff develops the Proposals within the guidelines of Window 2 based on the priorities of each department within the pre-determined areas approved by PSC and submit the Project Concept to the Secretariat within one month from the time of CFPs. Upon approval of the project concept by the PRC, the PP will submit a detailed project proposal which includes a procurement plan and environmental and social safeguards assessments in accordance with the ESMF, within five months of the date of approval of the project concept.

(b) Review Process

The PMU shall undertake an initial screening of Proposals for completeness of the required information at both stages of the proposal review process such as ensuring that the basic eligibility criteria for the Project Concept Note and requirements of the Detailed Project Proposals such as technical and operational (financial, procurement and safeguards) information are met. If there are any significant gaps, particularly on operational sections of the Proposal, the PMU shall send out written comments to the PPs to complete the gaps and re-submit the Proposal. The PPs shall be given maximum of 2 weeks for the re-submission.

STAGE 1: The first stage of the proposal review process is for review of Project Concept Notes (PCN) (format provided in Attachment 3). The PMU shall send out the PCN and evaluation criteria for each PCN to PRC Members. The PRC Members shall be given maximum of 2 weeks to carry out a desk review. Each PCN shall be reviewed by all Members of the PRC. The PCN shall be also circulated for peer review to other participating countries PRCs and shall be given 2 weeks to submit written comments.

PRC Members shall undertake a comprehensive assessment against evaluation criteria provided in the end of this section for PCN review.

PRC Members shall be called in for the PRC meeting within 10 working days of the desk review period to interact with the PPs for further clarifications and information and to discuss the PCN among the PRC Members. Each reviewer shall present their comments and other PRC Members shall contribute to the discussion to reach consensus on the PCN outcome. In addition, the Secretary to the PRC shall present the comments received from other countries, which the PRC Members shall take into consideration during the discussion.

The PRC shall agree on the final recommendations for each proposal at the end of the discussions and the PIU shall note down the recommendations in detail to be provided to the PPs.

The PMU shall send out written recommendations to the PPs requesting for further improvements to the PCN where necessary.

The Secretariat shall submit the PRC endorsed PCNs for World Bank concurrence.

The PP shall submit a Detailed Project Proposal based on the approved PCN, incorporating the comments received from PRC and WB within 5 months of receiving formal clearance of the PCN.

STAGE 2: The second stage of the proposal review process is for review of Detailed Project Proposal (DPP) (Format provided in Attachment 4). The PMU shall send out the DPP and evaluation criteria for each Proposal to PRC Members. The PRC Members shall be given maximum of 3 weeks to carry out a desk review. Each DPP shall be reviewed by all Members of the PRC. The DPP shall be also circulated for peer review to other participating countries PRCs and shall be given 3 weeks to submit written comments.

PRC Members shall undertake a comprehensive assessment against evaluation criteria provided in the end of this section for DPP review.

PRC Members shall be called in for the PRC meeting within 10 working days of the desk review period to interact with the PPs for further clarifications and information and to discuss the DPP among the PRC Members. Each reviewer shall present their comments and other PRC Members shall contribute to the discussion to reach consensus on the DPP outcome. In addition, the Secretary to the PRC shall present the comments received from other countries, which the PRC Members shall take into consideration during the discussion.

The PRC shall agree on the final recommendations for each proposal at the end of the discussions and the PMU shall note down the recommendations in detail to be provided to the PPs. The DPP (with the final recommendations from the PRC) will be submitted to the World Bank for comments and concurrence at this stage and the World Bank shall respond within 2 weeks.

The PMU shall send out written recommendations to the PPs requesting for further improvements to the DPP where necessary. The PP shall submit a revised DPP within 2 weeks of receiving written comments from the PMU.

The PIU shall re-circulate the final DPP among the PRC Members for a final desk review to ensure recommendations are taken into account for which the PRC members shall be given

one week to respond back. At this stage, the final Proposals shall be divided among the PRC Members randomly to reduce the time needed for the final endorsement.

The Secretariat shall submit the PRC endorsed final Proposals to the World Bank for record purposes.

(c) Proposal Review Criteria

STAGE 1 (Project Concept Review):

Relevance of Project Concept: This set of criteria assesses the relevance of the project concept to the priorities of sub-component 2.2.

- Project Concept should address a key priority identified for sub-component 2.2
- Project Concept should address key issues that contribute towards more effective conservation with regional benefits
- Project Concept should have elements of innovativeness and potential for upscaling

Organizational Capacity: The criteria below should assess the ability of the PP to successfully implement the activity.

- The main implementing agencies should play a key role in implementing the proposed project
- If partnerships are proposed, the partners should have the key expertise and experience to implement the proposed project

Environmental and Social Safeguards: The criteria below should assess the potential environmental and social impacts of the proposed project.

- The proposed project should not result in significant or irreversible environmental impacts
- The proposed project should not result in adverse impacts on project affected communities, indigenous and vulnerable groups.

STAGE 2 (Detailed Proposal Review):

Organization capacity criteria: This set of criteria assesses the ability or readiness of the PPs and partners to accomplish the work proposed. The Proposal must demonstrate that the PP can complete the proposed activities, which are likely to succeed in bringing out national and regional conservation benefits and have potential for up-scaling.

- Proposal includes coordination and cooperation between other stakeholders and identifies the actions that are priorities to the area
- Proposal describes how the applicant manage all aspects of work, including use of common procedures, data sharing, monitoring, and reporting
- Proposal identifies dedicated staff in place to implement the Proposal activities
- Proposal identifies existing processes or protocols that will be used to implement actions and monitor outcomes

- Proposal describes how GOI and World Bank compliance requirements can be addressed in a reasonable time and provides an estimated timeline
- Proposal identifies mechanisms of institutionalization of the Proposal activities within the relevant agency

Technical Criteria: This set of criteria assesses the Proposal on its benefit to the overall Project, and the overall technical merit of the proposed activities. The Proposal must provide a clear description of how the proposed actions would address a larger conservation issue that contributes towards addressing the respective agencies priorities towards improving the management of wildlife.

- Proposal describes the reason or unique opportunity for completing the proposed actions. PP should describe how the proposed actions contribute to a broader-scale conservation effort at landscape level
- Proposal implements priority conservation actions which have both national and regional benefits.
- Proposal identifies methods/procedures used in conservation action
- Proposal describes distinct, obtainable, and quantifiable or verifiable outputs and outcomes to be accomplished
- Proposal describes how the activities will benefit targeted species or their habitats (short and long-term)
- Proposal describes regional conservation benefits of the proposed activities (short and long-term)
- Proposal makes substantial effort to improve and monitor the status of habitats and/or threatened/endangered species

Operational criteria: This set of criteria assesses the fiduciary and safeguards operational requirements in place for the Proposal to be implemented.

- Proposal includes a realistic procurement plan
- Proposal includes a realistic cost break down of activities
- Proposal identifies the likely environmental and social impacts of the proposal and provides steps that will be taken to mitigate negative impacts as outlined in the ESMF
- Proposal describes a monitoring plan to ensure the Proposal activities are adequately monitored and evaluated to determine the effectiveness of conservation actions and provide for adaptive management for future efforts. The monitoring plan may include identifying appropriate monitoring protocols and establishing baselines, developing monitoring standards, timeframes for conducting monitoring activities, and expectations for monitoring
- Proposal describes how performance reports will clearly document monitoring results and operating standards

2.4 Results Monitoring and Evaluation

Monitoring and evaluation (M&E) will be embedded in the various components of the project and technical assistance provided through the project will include support for M&E. The capacity of the implementing agencies in M&E is weak. As South Asia's first regional operation, the project poses unique challenges in implementation and, in particular, M&E. Hence, it emphasizes strong technical support for M&E at participating countries and

regional levels and tries to achieve a balance among the outcomes, outputs and process indicators to track project progress.

The PMU will work closely with the Head of the WL Division of the MOEF on the monitoring and evaluation of the project based on the results framework. Mid-term and end-of-project evaluations will be carried out by independent consultants subcontracted by the PMU (Attachment 5). The PMU will also carry out technical, environmental and social audits through independent consultants during project implementation. The PMU will ensure that the following cross-cutting issues are embedded in the project activities and are regularly monitored and reported: (i) women's participation and gender equity; (ii) compliance with the environmental and social safeguards; and (iii) good governance.

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III. Financial Management and Disbursement Arrangements

The PMU of WD/MOEF and the PIC of WCCB will carry out the following activities with regards to financial management and disbursements:

- Annual budgetary provision for the project and monitoring of project expenditure against project budget
- Approval of annual work plan and budgets
- Ensuring sufficient and timely funds flow for activities at WD/MOEF and WCCB
- Regular financial reporting at all levels of the project and compilation of quarterly financial reports and annual financial statements of the project
- Timely submission of annual reimbursement claims to IDA
- Ensuring annual external and internal audits at for the project according to agreed terms of reference (TOR)

Project plan. A project plan will be prepared by WD/MOEF and WCCB and agreed with MOEF. Based on the project plan, an annual work plan would be formulated as the basis for determining the funds required for each year of implementation. MOEF would agree on the amount of transfers to WD and WCCB.

Budgeting. Based on the annual work plan, the PMU and PIC would request the budget provision for the project. The Government of India (GOI) will allocate the budget to MOEF in accordance with GOI's fund release procedures. The allocation approved by GOI will be itemized in the Union's Budget under a separate budget head within MOEF as "xx – RWLP (Externally Aided Project)." The budget head will be confirmed during negotiations.

Fund flows. Designated officers of MOEF will have the authority to use the project budget head. Based on sanctions and bills provided by such officers, the payments can be made through the Treasury. The PMU and PIC will issue a sanction order to the pay and accounts officer (PAO) who would process the payments. Since all payments would be made by PAO, no separate bank account is envisaged at the central level. The project funds would flow directly from MOEF's PAO to WD/MOEF and WCCB.

Accounting system. MOEF's PAO will maintain accounts as required by GOI's accounting system while the PMU and PIC will maintain parallel sets of accounts (or books) for WD/MOEF and WCCB in their computerized accounting systems for timely reporting. Both implementing agencies will keep detailed accounts of transfers and expenditures. The PMU and PIC will maintain the project accounts separately using computerized accounting software and follow double-entry accounting system. The PMU and PIC will prepare quarterly Interim Unaudited Financial Reports (IUFs) and they will be consolidated by the PMU in WD and submitted to IDA on a quarterly basis.

The PMU and PIC will reconcile their accounts with MOEF's PAO on a monthly basis and with the accounts for WD/MOEF and WCCB on a quarterly basis. Only amounts that are actually disbursed will be eligible for IDA financing. To strengthen the internal control

framework, procedures would be introduced to improve the management of advances and accounts at various levels of the project.

Accounting software. The PMU and PIC will implement TALLY (an accounting software) for project accounting at WD and WCCB. The required cash book and accounts will be generated by the software. It is expected that the IUFRR and accounting reports will be prepared on the basis of TALLY records. A Chart of Accounts will be developed to enable uniform data capture and will be classified by expenditure center, budget heads, and project components.

Auditing. The project accounts will be audited by India’s Controller and Auditor General (CAG) for components executed by MOEF (via WD) and WCCB. The CAG has agreed to issue a consolidated audit report for the project as long as MOEF submits the consolidated project financial statement. The CAG may accept the latter on the basis of a sample test check audit. The project audit report is to be submitted to IDA six months after the end of each financial year. The format of the project financial statements will be outlined in the Financial Management Manual.

Internal audits. Internal audits are required and they will be carried out by a chartered accounting firm. The auditors will be selected on the basis of criteria agreed with IDA. The audit will be carried out according to agreed TOR. The internal audit will cover all IDA-financed project activities, including those implemented by the PMU at WD and PIC at WCCB on a quarterly basis. The auditor will be selected from the panel of chartered accounting firms approved by the CAG. The auditors will be appointed based on selection criteria agreed with IDA. The PMU and PIC will constitute an audit committee for reviewing the internal and external audit reports. Within six months of project effectiveness, the PMU will have in place suitable external and internal auditor(s) pursuant to TOR acceptable to IDA.

The following audit reports will be monitored by IDA’s Audit Reports Compliance System.

Implementing Agency	Audit	Audit Due Date
GOI	Designated Account	6 months after end of each fiscal year
MOEF/WD/PMU	Project financial statements	6 months after end of each fiscal year
MOEF/WCCB/PIC	Project financial statements	6 months after end of each fiscal year

Disclosure. The following information will be disclosed through MOEF’s website: (i) quarterly IUFRRs; (ii) annual project financial statements; (iii) annual project audit reports.

Disbursements. One designated account for the IDA funds will be maintained in the Reserve Bank of India for the project and operated by the Controller Aid Accounts and Audits (CAAA) in accordance with IDA’s operational policies. There will be a one-time fixed advance of US\$ [amount] million for IDA funds and will be maintained throughout the project life and adjusted toward the end of project implementation. The PMU will submit withdrawal applications supported by IUFRRs to CAAA for submission to IDA and for replenishment of the designated account or reimbursement. IDA will replenish the

designated account equivalent to the amounts claimed as eligible expenditures and as reported in the IUFs.

Disbursements will be made on the basis of the project’s quarterly IUFs. These IUFs will reflect the actual expenditures under various components. Any advances to the implementing agencies will be separately shown in the IUFs. The PMU will submit consolidated IUFs for all project components within 45 days of the end of each quarter.

All expenditures reported in the IUFs will be subject to confirmation/certification by the annual audit reports. Any difference between the expenditure reported in the IUFs and those reported in the annual audit reports will be analyzed. Expenditures deemed by IDA as ineligible for funding (refundable to IDA) will be adjusted in subsequent disbursements. Confirmation on the agreed IUF format will be provided during negotiations.

Table 3.1 India: Financial Management Action Plan

Agreed Actions	By Whom	Time Frame
Appointment of accountants	WD/WCCB	Prior to effectiveness
FM system to be operational	WD/WCCB	Within 3 months of effectiveness
FM Manual/Procedures	WD/WCCB	Prior to effectiveness
FM Training	WD/WCCB/Bank	Within 3 months of effectiveness

General Provisions: The accounting and internal control systems of the PMU/PIC will be maintained according to international accounting standards acceptable to the World Bank. The PMU/PIC financial reporting for the Bank will be done according to international standards.

Currency: The functional currency of the project is US Dollars and the accounting records for the Project will be maintained in US Dollars (USD) and India Rupees.

Foreign Currency: Transactions denominated in currencies other than US Dollar are translated at the Reserve Bank established rates ruling when they occur. Foreign currency monetary assets and liabilities are translated at the rates ruling at last day of the reporting period. Foreign currency non-monetary assets and liabilities are translated at historical rates

Fixed assets and Capital Items: The fixed assets held by PMU/PIC are shown in the financial statements (IUFs) at cost at the moment of purchase. No depreciation will be provided in these statements as per WB FM requirements. The internal control of fixed assets such as furniture, equipment, machinery and any other capital assets to be used in the project, will be maintained by the PMU/PIC. All employees are responsible and accountable for fixed assets in their possession. Any acquired or donated assets will be recorded in a Fixed Asset Register, if the items are considered as asset, like equipment, vehicle, vessel, building, etc. Technical reports are to be register also. This record will include a description of the asset, date received, cost or estimated value, location, and an indication if it was purchased or donated. The Fixed Asset Record will be maintained by the Accountant who should be notified about worn out or obsolete assets with no cash value

Cash Control: A Petty Cash Fund will be established.

PMU/PIC Travel Guidelines: All project related travel will be approved by the Manager. The project will cover hotel/accommodation expenses of the employees during travel for business purposes within the territory of India based on receipt provided. The maximum amount for accommodation and food expenses that can be covered is Rs. xx per day per person. The receipt should be presented by the employee to the accountant within 15 days after the business trip. The GoI travel guidelines will also imply the GoI employees while traveling for business purposes within the territory of India. The request for the per diems can be made within 30 days after the business trip took place.

Internal Control: The PMU/PIC internal control systems will ensure that financial records are reliable and complete. In particular, the internal control systems will ensure proper recording and safeguarding of assets and resources, adherence to management policies and orderly and efficiently conduct of business.

- A) **Control Environment** – PMU/PIC has good competence and organizational methods to ensure control environment at the necessary level.
- B) **Control activities** – authorization procedures: all the transactions are authorized by 2 people – Manager and accountant, this is suitable for small organization; segregation of duties: the main segregations should be performed between Manager, procurement officer and accountant. Procurement officer should be responsible for procurement arrangements, including delivery of goods and services, accountant – should be responsible for preparation of payment arrangements and proper recording and maintaining records, preparation of financial reporting, Manager – should approve all the transactions, monitor activity of the procurement officer and accountant, monitor reports, etc.
- C) **Information and communication** – the management should organize timely and appropriate information about the project implementation, projects expenditures and sources of funds. This information should be delivered to relevant agencies (WB team, project beneficiaries, etc.)
- D) **Monitoring** – The proper monitoring of the project will be organized by the WB supervision team as well as by financial management specialists and report any weaknesses identified.

Financial Control System: All transactions will be reflected by supporting documentation, which will provide objective and verifiable data. The process of registering the supporting documents is the first step for record keeping and providing an audit trail. Support documents are normally received from external source but are in some cases prepared internally. It is suggested that the source documents are to be registered by Reference Codes with the following format:

ID YY MM NNN

- ID a two character alphanumeric code that represents the type of source document
- YY a two character numeric code that represents the current year
- MM a two character numeric code that represents the current month
- NNN a three character numeric sequential number

Source documents can be classified as invoices, purchase orders, travel expense forms, etc. All transactions are registered into Transaction Log.

Project Books and Records: Transactions will be posted through a journal. The journals are books of original entry for records and contain information including the account number, a description of the transaction, reference information (no.), and the transaction amount. The PMU/PIC will have separate ledgers for each source of Funds. The Chart of Accounts developed for the project will follow the same logical framework structure used for activity scheduling, work product definition, procurement planning, loan disbursement planning and cost estimates of the Project. Journalizing is the process of entering the transactions into a journal based on a source documents. The proper journal entry is recorded by posting the data into a journal one at a time. Reverse Journal Entries are used to correct errors if required.

The following books of original entry (journals) will be maintained:

- General Ledger
- Fixed Assets Register
- Procurement Records
- Budget

1. General Ledger

Maintains account balances used for standard reporting. It should contain the following information:

Date

Transaction number

Description (with quantity/no. Of items, as appropriate)

Source document reference number

Account number

Amount (debit or credit)

All transactions that are posted in the general ledger will show expenses made and sources received.

2. Fixed Assets Register

The Fixed Assets Register is used for identifying and controlling equipment purchased under the project.

3. Procurement Records: Procurement record will be maintained as per GoI and WB's procedures prescribed for the purposes.

4. Budget

The budget journal is used to record the original budget amounts for the accounts and to make corrections in those amounts after appropriate decisions. For the Project, the original budget information is recorded in the legal agreement between the Government of India and the IDA as a "Summary Project Cost Estimate". However, this is a budget for the duration of the Project. The annual budget figure for each of the project accounts will be recorded before the beginning of each fiscal year and will be based on the Project Implementation Plan and the Procurement Implementation Plan for the Project, among other information. The budget figures provide a basis for performance evaluation and taking actions in the event that budgeted figures do not match actual figures.

The allocation of Credit proceeds is given in the Table above, which also indicates the financing for the various categories of expenses. The project will be executed over a period of five years when the Credit amount of \$30 million would be fully disbursed. The proposed closing date for the project would be xxx, 200x. The IDA funds will be disbursed either as direct payments, or to the Special Account. All replenishments for transactions above the prior-review threshold will be fully documented. Supporting documentation for all transactions, including completion reports, goods received noted and acceptance certificates will be retained by the PMU/PIC and made available to the Bank during project supervision. There is no plan to move to forecast-based periodic disbursements.

Commitments: A contract constitutes the basic document for accounting of commitments and disbursements. When a contract is signed, the Accountant establishes a Contract Payment Record with an initial commitment equal to the contract price. As each payment is made, its date and amount are noted on the contract payment record; at any given moment the undisbursed portion of the amount committed shall be the difference between the initial commitment and the sum of the payments already made.

Purchases. Invoices from suppliers and consultants are matched by the Accountant to an approved goods delivery note or similar document and to the original purchase order, and contract, if necessary. The procurement officer as well as Accountant and Manager approve the invoice. Payments are effected in two ways, depending upon the source of financing: (i) from IDA – a bank payment order from the relevant SA is prepared and funds are transferred from the SA either directly to the foreign supplier or via the Transit account to the local supplier/consultant.

Presentation of Invoices: Invoices are submitted by the contractor or supplier as specified in the contract. Each invoice shall clearly specify the corresponding work performed, or be supported by a statement of works, as appropriate. The invoice shows the costs, taxes shown separately, of the work done, the amount of any withholding for the mobilization advance, the total to be paid, the contractor's/supplier's bank account to which payment should be made, and the pertinent reference to the accompanying statement(s) of work. Invoices are dated and signed by the contractor's/supplier's authorized representative.

Checking of Invoices: The Procurement Officer will verify the invoice and attached statements of work, certify the service performed, and then transmit the file to the Accountant for payment. The PMU/PIC may commission a confirmation (certification) of the statement of works by an external consultant, as required. The Accountant will check the breakdown of the invoice against the undisbursed portion of the commitment shown on the contract payment record, and shall authorize the payment. Except in the event of duly proven *force major*, the total time that elapses between receipt of the invoice by the PMU/PIC and the issuance of the payment order to the bank (regarding payment to the contractor/supplier) shall not exceed 15 working days. Compliance with this rule is a factor in evaluation of the performance of PMU/PIC staff concerned, as well as the performance of the PMU/PIC.

Authorization of Payments: Authorization of a payment involves the following operations:

- (1) Preparation of a payment order for the net amount to be paid to the contractor's/supplier's bank account as specified in the corresponding invoice;
- (2) Recording of the payment in the contract payment record.

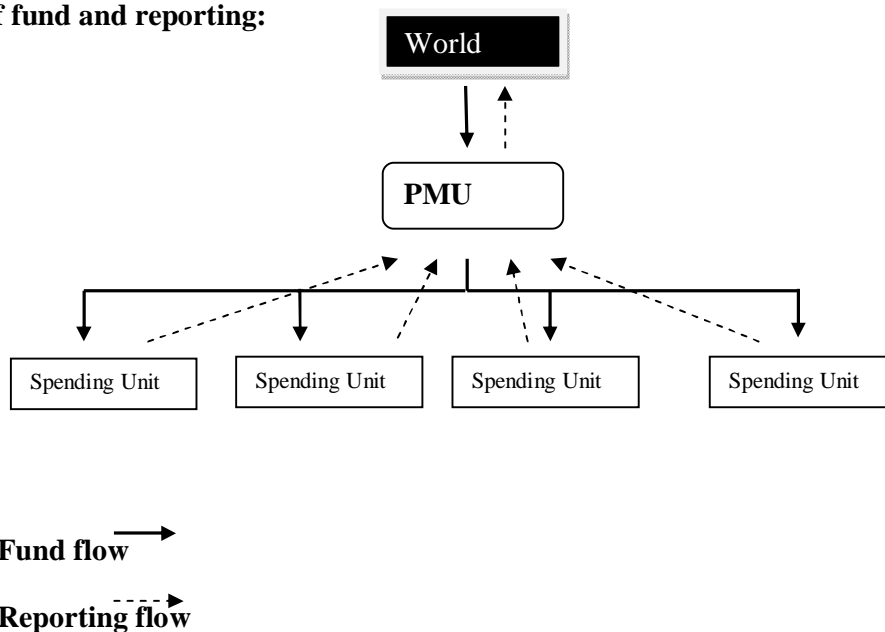
Payment Orders: Payment orders shall be signed by the accountant and countersigned by the Manager of the PMU/PIC. A photocopy of the signed payment order and, if signature authority has been delegated, of the instrument incorporating such delegation, shall be attached to the invoice before it is placed in the file of supporting accounting documentation kept by the Accountant for use by the auditors.

Closure of Contract: Upon final acceptance of the works and services performed, all retention moneys or the balance thereof will be released. The contract at that time is closed, and any undisbursed commitment voided.

The designated account will be operated under authorized signature of the Project Director.

The PMU/PIC will ensure that the bank/cash books are reconciled with bank statements every month. They will separately submit applications documenting the expenditures from the previous advance and requesting for additional advance based on cash forecast to be deposited in the Designated Accounts on a trimester basis. The withdrawal application will be accompanied by reconciled statements from the bank in which the account is maintained, showing Designated Account transactions. Supporting documentation will be maintained by PMU/PIC for at least one fiscal year after the year in which the last disbursement from the project took place, and will be available for review by IDA staff and independent auditors.

Flow of fund and reporting:



Disbursement: The project would be a five year IDA credit of US\$ 30 million with GOI contributing an additional {US\$xx in staff salaries and overheads.} IDA financing in each category will be 100 percent of all costs including taxes. The IDA fund will be disbursed under transaction-based {or report based, to be decided} traditional WB disbursement procedures. IDA will require full documentation where contracts for: (i) goods exceed US\$300,000; (ii) works exceed US\$500,000; (iii) consulting firms exceed US\$100,000; and (iv) individual consultants exceed US\$50,000. Expenditures below the above thresholds will

be claimed through Statement of Expenditures (SoEs). The following table shows the IDA financing under different categories:

Table: Allocation of IDA Credit Proceeds

Description	Project Cost (\$ in million)	Financing % inclusive of taxes
Goods, Works, Services, OC and Proposals	30,000,000	100%
Total	30,000,000	

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IV. Procurement Arrangements

A PMU at the WD and a PIC at the WCCB shall be responsible for managing the overall project procurement.

Measures completed during project preparation: (a) delegation of one person from the PMU/PIC as Procurement Focal Points (PFP) during the preparation to work on procurement issues; (b) Finalized Procurement Plan; and (c) Agree on Procurement Risk Mitigation Plan (PRMP);

Measures to be completed by credit effectiveness: (a) Dedicate at least one person from the agency as Procurement Officer (PO) in the PMU and reporting to the Project Director (PD) while the PD will be acting as PFP for the project ; (b) Hire one procurement consultant, having experience in international procurement financed by multilateral development partners, to support the PMU on the procurement activities under the project and guide the PMU on procurement issues for 36 months extendable to 48 months, if required.

Measures to be taken during project implementation: (a) The PFP and PO should undergo procurement training both at national and international level before significant procurement takes place. (b) The PMU/PIC will submit quarterly PRMP status report to IDA starting from 6 months after the project effectiveness. (c) The procurement officers will be a mandatory part of the tender/ bid evaluation meetings to assist and guide the evaluation committee members in the evaluation process. (d) For the contracts following World Bank's Guidelines, latest standard bid document and/or Request for Proposal (RFP) should be used. For all contracts, Bank's standard format for evaluation report should be used. (e) The Bank will arrange procurement orientation or training workshops as and when required to enhance the procurement capacity of the agency. (f) The Procurement plan will be updated at least annually or as required.

In addition, the following additional steps will be followed as part of procurement and implementation arrangements: (a) Alert WD and WCCB officials/staff about Fraud & Corruption issues; (b) Alert bidders about Fraud & Corruption issues; (c) The multiple dropping of bids will not be permissible for all procurement under the Bank financed project. (d) Award of contracts within the initial bid validity period, and closely monitor the timing; (e) Take action against the corrupt bidder in accordance with The Bank Guidelines for International Competitive Bidding (ICB) and PPA for National Competitive Bidding (NCB); (f) Preserve records and all documents regarding public procurement, in accordance with the PPA provisions (g) Publish contract award information in dg Market /UNDB online, CPTU's website and agencies' website within two weeks of contract award; (h) Ensure timely payments to the suppliers/ contractors/consultants and impose liquidated damages for delayed completion, (i) PD will provide the oversight function for procurement; (j) Bids should be submitted and opened in public in one location immediately after the deadline for submission.

Procurement for the proposed project would be carried out in accordance with the World Bank's "Guidelines: Procurement under IBRD Loans and IDA Credits" dated May 2004 (Revised October 2006 and May 2010); and "Guidelines: Selection and Employment of Consultants by World Bank Borrowers" dated May 2004 (Revised October 2006 and May

2010), and the provisions stipulated in the Legal Agreement. Within the overall context of Bank Guidelines, local procurement of goods, works, and services (for which the shortlist entirely comprised of national consultants) will follow the GFRs of Govt of India{Government's Public Procurement Act xx - PPA, Public Procurement Rules and PPA}, with the exceptions listed in the following paragraph 7. In case of any conflicts between Bank Guidelines and PPA or ambiguous/confusing interpretation in between, the Bank Guidelines shall prevail.

1. Exceptions to PPA and associated Public Procurement Rules, for national competitive bidding (goods and works) are as follows:
 - a. post bidding negotiations shall not be allowed with the lowest evaluated or any other bidder;
 - b. bids should be submitted and opened in public in one location immediately after the deadline for submission;
 - c. rebidding shall not be carried out, except with the Association's prior agreement;
 - d. lottery in award of contracts shall not be allowed;
 - e. bidders' qualification / experience requirement shall be mandatory;
 - f. bids shall not be invited on the basis of percentage above or below the estimated cost and contract award shall be based on the lowest evaluated bid price of compliant bid from eligible and qualified bidder; and
 - g. single stage two envelope procurement system shall not be allowed.

The PMU/PIC will prepare a Procurement Plan as per the agreed project budget which will be reviewed and agreed to by the Bank. The final Procurement Plan will be posted in the Image Bank and will also be available in the project's database. The Procurement Plan will be updated annually or as required to reflect the project's progress, its implementation needs and improvements in institutional capacity.

Particular Methods of Procurement of Goods and Works : Except as otherwise agreed in the procurement plan, civil works and goods may be procured on the basis of International Competitive Bidding. The following table specifies the methods of procurement to be followed in accordance with the Government's PPA for goods and works procured locally other than International Competitive Bidding. The procurement will be done using the Bank's Standard Bidding Documents (SBD) for all ICB and National SBD agreed with (or satisfactory to) the Bank. The Procurement Plan shall specify the circumstances under which such methods may be used:

Procurement Methods
(a) National/International Competitive Bidding
(b) Shopping
(c) Direct Contracting
(d) Community Participation in Procurement

Methods of Procurement of Consultants' Services: Except as otherwise provided in paragraph 2 below, consultants' services shall be procured under contracts awarded on the basis of Quality and Cost-based Selection. Within the overall context of the Consultant Guidelines, Short lists of consultants for services estimated to cost less than the ceiling established in the procurement plan, may be composed entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines, with selection following the PPA. The following table specifies methods of procurement, other than

Quality- and Cost-based Selection, which may be used for consultants' services. The Procurement Plan shall specify the circumstances under which such methods may be used.

Procurement Method
(a) Quality-based Selection
(b) Fixed Budget Selection
(c) Consultants' Qualifications
(d) Least-Cost Selection
(e) Single-Source Selection
(f) Individual Consultants

Incremental Operating Costs: The operating costs will include incremental operating costs for incremental project staff, operations and maintenance of vehicles (fuel, maintenance, insurance etc), renting of vehicles, office utilities, office supplies and stationeries, unforeseen requirement of printing materials, souvenirs, events, workshops, rental of office buildings, bank charges, advertising costs or any other operational cost agreed with IDA, but excluding salaries of permanent Government officials, which will be disbursed on the basis of the annual budgets.

Prior review Thresholds: The Procurement Plan shall set forth those contracts which shall be subject to the Bank's prior review. All other contracts shall be subject to Post Review by the Association. Initial Procurement plan agreed with the borrower for the first eighteen months indicates the following prior review thresholds which will be updated annually based on the review of the capacity and performance of the implementing agency and will be reflected in the updated procurement plan as appropriate:

- each contract for goods and works procured on the basis of International Competitive Bidding;
- the first contract for goods by each implementing agency following the National Competitive Bidding method, regardless of value, and thereafter all contracts estimated to cost US\$ 300,000 equivalent or more, regardless of the procedure;
- the first contract for works following the National Competitive Bidding method, regardless of value, and thereafter all contracts for works estimated to cost US\$ 500,000 equivalent or more, regardless of the procurement method applied;
- each contract for consultants' services provided by a firm, estimated to cost the equivalent of \$100,000 or more;
- each contract for services of individual consultants, estimated to cost the equivalent of \$50,000 or more; and
- all contracts for goods procured through Direct Contracting, and all contracts for consultants' services procured under single source selection.

Post Review: For compliance with the IDA's procurement procedures, IDA 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% (Twenty percent)** of the post-review contracts in the project. Procurement post-

reviews will be done on annual or semi-annual basis depending on the number of post-review contracts.

Procurement Plan: The procurement plan for the project, prepared by BFD as per DPP, will be reviewed and accepted by the WB. This plan will be updated annually or as required to reflect the latest circumstances. As per the initial procurement plan, as indicated in the table below, the total procurement under the project is 32.24% of project cost, comprising Works of around US\$ 6978114, followed by Goods US\$ 2831404 and services US\$ 1796029

Goods

Ref No.	Contract Description	Estimated Cost (Thousand US\$)	Selection Method	Review By Bank (Prior/ Post)	Expected proposal Opening Date	Comments

Works

Ref No.	Contract Description	Estimated Cost (Thousand US\$)	Selection Method	Review By Bank (Prior/ Post)	Expected proposal Opening Date	Comments

Services

Ref No.	Contract Description	Estimated Cost (Thousand US\$)	Selection Method	Review By Bank (Prior/ Post)	Expected proposal Opening Date	Comments

Ref No.	Contract Description	Estimated Cost (Thousand US\$)	Selection Method	Review By Bank (Prior/Post)	Expected proposal Opening Date	Comments

General Guidelines on the Responsibilities of the Procurement Officer:

Responsibilities of the Procurement Officer for the purchase of goods exceeding US\$100,000

Goods (information systems and computers, etc) exceeding US\$100,000 will be procured by International Competitive bidding (ICB) (see Credit Agreement, Schedule 4, Section xx., Part xx, page --) in accordance with the World Bank Guidelines in this respect and the “Standard Bidding Documents” related to Procurement of Goods.

Responsibilities of the Procurement Officer for the purchase of goods under US\$100,000

Purchase of goods under US\$100,000 but above US\$50,000

Goods (office equipment, computers and printers) in this price range will be procured by Shopping (see Credit Agreement, Schedule 4, Section xx., Part xx page --)

In this case, the Responsibilities of the Procurement Officer are to:

- Organize the advertisement of the procurement of the goods, as required by the Guidelines, in Development Business and/or the local press
- Collect the subsequent Expressions of Interest received and file/copy them properly
- Prepare the short list of the firms and the Request for Quotations/Letter of Invitation (LOI)
- Receive World Bank’s no objection on the shortlist and the Request for Quotations/Letter of Invitation (LOI) for the firms in the short list
- Issue the RFP/LOI to the shortlisted firms
- Receive the price quotations from the shortlisted firms
- Organize the evaluation committee
- Organize the evaluation of the proposals by the evaluation committee
- Forward the evaluation reports and all other documents related to the procurement activity and the award of the contract to the winner (draft contract included), to the World Bank for review and no objection
- Enter into negotiations and conclude the contract agreement with the winner

- Inform the Finance Section of the disbursement planning associated to the contract in order for this Section to organize via appropriate Requests for Withdrawals the replenishments of the Special Account, if necessary, or Direct Payment(s) from the Credit Account
- Register the contract at the Custom Service to ensure duty waiver.
- Issue the memo requesting payment to the PMU/PIC Director by submitting the whole package of documents related to the procurement activity.

Purchase of goods under US\$50,000

Goods (office equipment, computers, and supplies) can be procured by Shopping (see Credit Agreement, Schedule 4, Section xx., Part xx page --). International Shopping may also be used for these purchases if recommended by the World Bank.

In case of National Shopping, the responsibilities of the Procurement Officer is to

- Prepare the shortlist of firms and the letter of invitation (LOI) to bid
- Receive World Bank's no objection on the shortlist and the Letter of Invitation (LOI) for the firms in the short list
- Issue the request for quotations to the shortlisted firms
- Receive the bids from the shortlisted firms
- Organize the evaluation committee
- Organize the evaluation of the bids by the evaluation committee
- Forward the evaluation reports and all other documents related to the procurement and the award of the contract to the winner (draft contract included), to the World Bank for review and no objection
- Enter into negotiations and conclude the contract agreement with the winner
- Inform the Finance Section of the disbursement planning associated to the contract in order for this Section to organize via appropriate Requests for Withdrawals the replenishments of the Special Account, if necessary, or the Direct Payments from the Loan Account
- Register the contract, if payments will be made out of the Special Account, at the commercial bank where the Special Account is for the payment
- Issue the memo requesting payment to the PMU/PIC Director by submitting the whole package of documents related to the procurement activity.

Responsibilities of the Procurement Officer for the employment of Consultants under QCBS

Consultant's services will be procured by the Quality- and Cost - Based Selection method (see Credit Agreement, Schedule 4, Section xx., Part xx, page --)

In this case, the Responsibilities of the Procurement Officer is to

- Organize the advertisement of the procurement of Consultant's services, as required by the Guidelines, in Development Business and the international press, if appropriate)
- Collect the subsequent Expressions of Interest received and file/copy them properly
- Prepare the short list of the firms and the Request for Proposals/Letter of Invitation (LOI)

- Receive World Bank's no objection on the shortlist and the Request for Proposals (RFP)/Letter of Invitation (LOI) for the firms in the short list
- Issue the RFP/LOI to the shortlisted firms
- Receive the proposals from the shortlisted firms
- Organize the evaluation committee
- Organize the evaluation of the proposals by the evaluation committee
- Forward the evaluation reports and all other documents related to the procurement and the award of the contract to the winner (draft contract included), to the World Bank for review and no objection
- Enter into negotiations and conclude the contract agreement with the winner
- Inform the Finance Section of the disbursement planning associated to the contract in order for this Section to organize via appropriate Requests for Withdrawals the replenishments of the Special Account, if necessary, or Direct Payments from the Loan Account
- Transfer to the PMU/PIC Director the whole package of documents related to the procurement for final transmission to the Finance Section and subsequent payment(s).

Responsibilities of the Procurement Officer for the employment of Consultants under LC

In this case, the Responsibilities of the Procurement Officer is to

- Prepare the shortlist of firms and the letter of invitation (LOI) to bid
- Receive World Bank's no objection on the shortlist and the Letter of Invitation (LOI) for the firms in the short list
- Issue the LOI to the shortlisted firms
- Receive the bids from the shortlisted firms
- Organize the evaluation committee
- Organize the evaluation of the bids by the evaluation committee
- Forward the evaluation reports and all other documents related to the procurement and the award of the contract to the winner (draft contract included), to the World Bank for review and no objection
- Enter into negotiations and conclude the contract agreement with the winner
- Inform the Finance Section of the disbursement planning associated to the contract in order for this Section to organize via appropriate Requests for Withdrawals the replenishments of the Special Account, if necessary, or the Direct Payments from the Loan Account
- Transfer to the PMU/PIC Director the whole package of documents related to the procurement for final transmission to the Finance Section and subsequent payment(s).

Responsibilities of the Procurement Officer for the employment of Consultants when selection is based on consultant's qualifications

This selection method will be used for assignments under US\$100,000 only, when the need for preparing and evaluating competitive proposals is not justified. In such a case, the PMU/PIC will review the TOR (prepared by the technical unit of the relevant component), request expressions of interest and information on the consultant's experience and competence, establish a shortlist and propose to the World Bank no objection the consultant with the most appropriate qualifications and references. A technical and financial proposal is

required. The World Bank will also have to issue its no objection on the terms and conditions of the contract, if required by the Credit Agreement.

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V. Environmental and Social Safeguards

The implementing agencies will be responsible for implementing the Environmental and Social Management Framework of the project. The environmental and social safeguards requirements for this project are outlined in detail in the Environmental and Social Management Framework (ESMF) and it should be used as a template for undertaking environmental and social analysis.

5.1 Environmental Safeguards Management

Activities selected under the project will fall into two categories for carrying out environmental assessments; (a) activities falling within Environmental Impact Assessment (EIA) regulations of the country (b) activities that do not fall within the EIA regulation but still require environmental analysis in complying with OP 4.01 of the World Bank Safeguard Policies.

Activities that fall under (a) above have to follow the EIA clearance and approval process of the GOI and subsequently get clearance from IDA. For such activities, the initial step after identification of the activity is to develop a TOR. The TOR needs to be approved by the Department of Environment (DOE) and IDA in case of having to undertake an EIA or IEE (Initial Environmental Examination). Thereafter, the relevant implementing agency will carry out the EIA and submit the same initially to DOE for evaluation and approval. At the same time the report should be submitted informally to IDA for review and comment. All EIA/IEEs are required to undergo the public consultation process required under the law. IDA comments may be incorporated into the documents before it is cleared by the respective implementing agencies. Upon receiving formal approval from the of DOE for the EIA or the IEE, the finalized EIA/IEE/EMP will be forwarded to IDA for formal concurrence, as IDA is unable to provide formal clearance until the required national clearances are obtained. IDA clearance of the EIA/IEE/EMP as required per ESMF is a pre-requisite for disbursement of funds for the civil works and any other activity that is deemed to have a potential for adverse environmental impacts. Once the project is approved and implemented, monitoring of implementation progress of each sub-project/activity will be carried out periodically by the implementing agencies, WD and WCCB and IDA. Monitoring progress will be fed back to IDA, DOE (where necessary) and NPSC by the implementing agencies through the PMU.

For those activities that do not fall under EIA regulations of GOI, but will need an environmental assessment as per the ESMF, the respective agency will be responsible in preparing the TOR and for carrying out the assessments, with or without public consultation as the need may be, with concurrence from IDA. The Environmental Assessments (EAs), Environmental Management Plans (EMPs) or checklists will be formally approved by IDA prior to fund disbursements for the specific activities.

The EMP should consists of a set of mitigation, management, monitoring, and institutional measures to be taken during implementation and operation to eliminate adverse environmental and social impacts, offset them, or reduce them to acceptable levels. The plan

should also include the actions needed to implement these measures. In preparation of an EMP, the EA consultant should:

- Identify the set of responses to potentially adverse impacts;
- Determine requirements for ensuring that those responses are made effectively and in a timely manner
- Describe the means for meeting those requirements.

More specifically, the EMP should include the following components:

- The EMP should identify feasible and cost-effective measures that may reduce potentially significant adverse environmental impacts to acceptable levels. The plan includes compensatory measures if mitigation measures are not feasible, cost-effective, or sufficient.
- The EMP should define monitoring objectives and specify the type of monitoring needed, with linkages to the impacts assessed in the EA report and the mitigation measures described in the EMP.
- To strengthen the project sponsor's environmental management capability, EMPs should mention any technical assistance that may be needed by the borrower.
- For all three aspects (mitigation, monitoring, and capacity development), the EMP should provide (a) an implementation schedule for measures that must be carried out as part of the project, showing phasing and coordination with overall project implementation plans; and (b) the capital and recurrent cost estimates and sources of funds for implementing the EMP.
- The EMP must be integrated into the project's overall planning, design, budget, and implementation.

During project implementation, the project sponsor should report on compliance with:

- (1) Measures agreed with World Bank on the basis of the findings and results of the EA, including implementation of any EMP, as set out in the project documents
- (2) The status of mitigatory measures; and
- (3) The findings of monitoring programs.

Project Component-specific review process

All relevant activities under sub-components 1.2 and 2.2 will require the preparation of activity-specific/sub-proposal-specific EA/EMPs/checklists. All EA/EMPs/checklists has to be reviewed and cleared by IDA prior to commencement of activities on the ground. The environmental mitigation requirements identified in EA/EMPs/checklists will have to be reflected in contractual documents wherever it is necessary.

The implementing agencies will be required to follow the generic guidelines in identifying the level of assessment/mitigations measures needed (or the tool to be adopted) for different activities under each component as per the chapter 4 of the ESMF. All activities that require safeguards interventions have to complete the environmental screening checklist (Attachment 6) and obtain approval from IDA prior to moving forward to the next step. The terms of references and formats for various tools (EA/EMPs/checklists) are provided in Chapter 4 of ESMF and annexes linked to the tools.

5.2 Social Safeguards Management

While major social impacts are not anticipated by the project, there is a possibility that the project will impact the livelihoods of people. In order to ensure that such negative impacts are addressed these impacts need to be identified, documented and response measures developed.

The project will also ensure that component-specific mitigation measures identified in the Social Management Framework are implemented during the project period.

Project Component-specific review process

All relevant activities under sub-components 1.2 and 2.2 will require the preparation of activity-specific/sub-proposal-specific SIA/checklists. All SIA/checklists has to be reviewed and cleared by IDA prior to commencement of activities on the ground. The social mitigation requirements identified in SIA/checklists will have to be reflected in contractual documents wherever it is necessary.

The implementing agencies will be required to follow the generic guidelines in identifying the level of assessment/mitigations measures needed to ensure social safeguards (or the tool to be adopted) for different activities under each component as per the chapter 5 of the ESMF. All activities that require safeguards interventions have to complete the social screening checklist (Attachment 7) and obtain approval from IDA prior to moving forward to the next step. The terms of references and formats for various tools (SIAs/checklists) are provided in ESMF and annexes linked to the tools.

Grievance Redressal mechanism

Each implementing agency with the support of the PMU will establish grievance redressal systems at the sites of sub-component 2.2 proposals that have been identified to contribute towards social impacts. The implementing agencies will make efforts at project level to resolve grievances through negotiations *involving community leaders and PAP's representatives*. In case dispute is not resolved at local level, the matter will be placed before a Grievance Resolution Committee to be established at the national level under the MOEF.

The Grievance Resolution Committee (GRC) at the site shall be constitute a panel of at least four Members, one of whom shall be the field-based project staff (at the respective sites), to be selected by the implementing agency. S/He will be responsible to provide secretarial support to the panel. It will include a representative from the residents of the project area, who would be publicly known to be a person of integrity, good judgment and commands respect, who can be considered independent and will chair the GRC. Other persons would be at least one representative from local Government bodies or NGO/CBOs and a representative from the PAPs in the area.

The designated project staff shall:

- Convene meetings of the committee as necessary at such place or places in the project area as s/he considers appropriate; and
- Provide all necessary secretarial support to the committee including recording of the committee meeting discussions and dissemination of deliberations and decisions taken to all concerned parties.

The chair of the GRC shall:

- Conduct the proceedings in an informal manner as s/he considers appropriate with the object to bring an amicable settlement between the parties;

The report of the members shall be recorded in writing and attested copies thereof shall be provided to the parties. In case of continuing differences and notwithstanding the provisions of nationally applicable legislation, the GRC can take a decision regarding entitlement and compensation. The decision taken during negotiations and GRC meetings shall be formally recorded for future reference and presentation in the court, if necessary.

If the matter cannot be resolved at the local level, complaints will be referred to the Secretary, MOEF, who will head a committee that includes the Social Management Specialist, the respective PAP representative and members of well-known national level NGO/Community-Based Organization (CBOs). All expenses incurred in arranging grievance negotiations and meetings of GRC as well as logistics required, shall be arranged by PIU.

The aggrieved PAP, if not satisfied with the decision of Grievance Resolution Committee, has the right to refer his / her petition to court of law.

5.3 Safeguards Implementation, Reporting and Monitoring Responsibilities

The implementing agencies are responsible for conducting necessary safeguards assessments and management plans as defined in the Environmental and Social Management Framework (ESMF). The WD and WCCB are also required to conduct their own monitoring of safeguards compliance of their activities and report to PMU on an agreed reporting schedule. In addition, PMU will also conduct monitoring of environmental and social safeguards compliance annually and manage the CSIA consultancy to ensure compliance and report to NPSC, PMC and the World Bank.

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VI. INFORMATION DISCLOSURE, STAKEHOLDER CONSULTATION AND GOVERNANCE AND ACCOUNTABILITY

6.1 Information Disclosure

The project recognizes that transparency and accountability are of fundamental importance to the development process and to achieving project objective to conserve and manage the environment and natural resources in India. Transparency is essential to building and maintaining public dialogue and increasing public awareness about the project. It is also critical for enhancing good governance, accountability, and development effectiveness. Openness promotes engagement with stakeholders, which, in turn, improves the design and implementation of projects and policies, and strengthens the project development outcomes. It facilitates public oversight of project operations during their preparation and implementation, which not only assists in exposing potential wrongdoing and corruption, but also enhances the possibility that problems will be identified and addressed early on.

All project-related documents will be made available for public access at the PMU in hard copies and can be reviewed on request. All final reports related to project will be uploaded to a project website. Deliberations made at PMC and other implementation committee meetings do not required to be disclosed. However, minutes of all NPSC and Project Review Committee meetings will be disclosed to public. This Operations Manual will be also available for public through the PMC, implementing agencies and the offices of the project sites and the project website.

6.2 Stakeholder Consultations

Stakeholders for this project include communities in the buffer areas of PAs, government department staff, an active environmental conservation NGO lobby, wildlife enthusiasts and private sector involved with ecotourism. In keeping with consultation requirements of the World Bank, the project will require to conduct extensive consultations with the stakeholder groups as part of project implementation in order to obtain a wide spectrum of views, ideas and concerns about conservation priorities in the participating country. In addition, during implementation the relevant agencies will need to consult with such groups as necessary to address mandatory project -related issues that affect them. Project will be guided by the Social Impact Assessment and Continuous Social Impact Assessment to conduct targeted consultations.

6.3 Governance and Accountability

The project has prepared a Governance and Accountability Action Plan (**Attachment 9**), which will be closely monitored by the PCU, NPSC and the World Bank to ensure potential governance and accountability issues are mitigated at all times.

Attachment 1: Sample TOR for Audit of the Project Accounts

Audit Objectives

The objective of the audit of the Project Financial Statement (PFS) is to enable the auditor to express a professional opinion on the financial statements of the project and to issue a report on the adequacy of the internal controls and the Implementing Agency's (IA) compliance with the covenants of the Grant agreement and applicable laws and regulations as of December 31, 2002. The audit will cover the period ending December 31 of each year, as reported by the PFS, as well as an opinion on the Statement of Expenditures (SOE) or Replenishment Reports used as the basis of disbursements and Special Account (SA). The engagement will include: (1) a special purpose audit of the Project, including the resources provided by the Bank, those of other co-financing institutions, if any, and counterpart funds provided by the Governments; (2) an audit of the financial statements of the PIU on the financial position of Project.

The project accounts (books of account) provide the basis for preparation of the PFS and are established to reflect the financial transactions in respect of the project, as maintained by the Project Implementation Unit (PIU).

The specific objectives of the audit are to:

- Issue an opinion as to whether the Statement of Sources and Uses of Funds, corresponding expenditure detail and the supplementary financial information for the Project present fairly, in all material respects, the funds received and the disbursements made during the period audited, as well as the cumulative investments (expenditures) as at the closing date, in accordance with the requirements of the respective agreement with the Bank.
- Issue an opinion as to whether:
 - (a) the expenditures included in the requests for reimbursement supported by Statements of Expenditure (SOEs) are eligible, and if the information presented in the SOEs is reasonably dependable;
 - (b) the accounting and the internal control procedures used for the preparation of the SOEs are adequate; and
 - (c) Project funds have been used only for Project purposes, in accordance with the requirements established in the corresponding agreement with the World Bank.
- Issue an opinion as to whether the Special Account and Advance Accounts used for managing the funds provided by the Bank present fairly the availability of funds at the end of the period audited, as well as the transactions made during the period audited, in accordance with the provisions for the use of the funds established in the corresponding agreement with the Bank.
- Report on the adequacy of the internal control structure of the implementing institution in regard to the project. For this, the auditor should evaluate and obtain a sufficient understanding of the internal control structure of the institution as it relates to the Project, evaluating control risks and identifying reportable conditions, including material weaknesses in the internal control structure. This evaluation should also include the

internal controls related to the contribution of counterpart funds for the Project. Deficiencies and weaknesses, including those that do not affect the financial statements, will be discussed in a "Management Letter" which should report to the IA such weaknesses in the internal control system, the deficiencies observed and other findings.

The auditors should also follow up and report on the status of deficiencies reported in prior years and/or the actions taken by the IA on the audit recommendations made in prior years.

Coverage of the Audit

The audit would cover the project financial statements as well as PMU financial statements as of December 31, 200x.

Scope of the Audit

The audit should be performed in accordance with International Standards on Auditing (ISA) issued by the International Federation of Accountants (IFAC). Therefore, the audit must include adequate planning, the evaluation and testing of the internal control structure and systems, and obtaining sufficient objective evidence to allow the auditors to reach reasonable conclusions on which to base their opinions. The auditors must be alert for situations or transactions that may indicate fraudulent, wasteful or illegal acts and expenditures. If such evidence exists, the auditors must contact a duly authorized representative of the Bank, and exercise caution and due professional care in expanding their audit steps and procedures related to fraudulent or illegal acts.

In conducting the audit, special attention should be paid to the following:

- (a) All external funds have been used in accordance with the conditions of the relevant financing agreements, with due attention to economy and efficiency, and only for the purposes for which the financing was provided. Relevant financing agreement is the IDA Credit Agreement xx signed , 200x between IDA and the Republic of Moldova, and the PHRD Grant Agreement signed on xx, 200x, between IDA and the Republic of Moldova;
- (b) Counterpart funds have been provided and used in accordance with the relevant financing agreements, with due attention to economy and efficiency, and only for the purposes for which they were provided;
- (c) Goods and services financed have been procured in accordance with the relevant financing agreement;
- (d) All necessary supporting documents, records, and accounts have been kept in respect of all project ventures including expenditures reported via SOEs, FMRs or SAs. Clear linkages should exist between the books of account and reports presented to the Bank.
- (e) Where Special Accounts have been used, they have been maintained in accordance with the provisions of the relevant financing agreement;
- (f) The Project accounts have been prepared in accordance with the MSP rules and give a true and fair view of the financial situation of the project at December 31, 200x and of resources and expenditures for the year ended on that date.

- (g) The financial statements give a true and fair view of the financial situation of the Project as at December 31, 200x

Project Financial Statements

The Project Financial Statements should include:

- (1) a Summary of Funds received, showing the World Bank, project funds from other donors, and counterpart funds separately;
- (2) a Summary of Expenditures shown under the main project headings and by main categories of expenditures, both for the current fiscal year and accumulated to date.

As an annex to the Project Financial Statements, the Project's reconciliation between the amounts shown as "received by the project from the World Bank" and that shown as being disbursed by the World Bank should be included. The mechanism for the disbursement, i.e. Special Accounts, Statements of Expenditures, Project Management Reports or direct reimbursement should be indicated.

Statements of Expenditures (SOEs) and Replenishment Reports (RR)

In addition to the audit of the PFS, the auditor is required to audit all SOEs used as the basis for the submission of withdrawal applications, or the expenditures incurred as reported in the RRs, if used in lieu of SOEs as the basis for the submission of withdrawal applications. The auditor should apply such tests and controls as the auditor considers necessary under the circumstances. These expenditures should be carefully compared for project eligibility with the relevant financing agreements, and with reference to the Project Brief and the related Project Operational Manual (POM) for guidance when be considered as necessary. In case of identified ineligible expenditures as having been included in withdrawal applications and reimbursed against, these should be separately noted by the auditor. Annexed to the Project Financial Statements should be a schedule listing individual SOE withdrawal applications by specific reference number and amount. The total withdrawals under the SOE procedure should be part of the overall reconciliation of Bank disbursements described above. Where RRs are used in lieu of SOEs as the basis for the submission of withdrawal applications, the relevant extracts all such RRs should be annexed to the Project Financial Statements (i.e. the parts of the RRs reporting actual expenditures incurred).

Special Account

In conjunction with the audit of the Project Financial Statements, the auditor is also required to audit the activities of the Special Account and the Transit Accounts associated with the Project.

The Special Accounts usually comprise:

- deposits and replenishments received from the Bank
- payments substantiated by withdrawal applications
- interest that may be earned from the balances and which belong to the borrower; and
- the remaining balances at the end of each fiscal year.

Transit Accounts mean the accounts opened by the Borrower for the purpose of making payments in the local currency to local suppliers/contractors/consultants, as well as for operating costs. Review of management of Transit Accounts should focus on compliance with requirements stated in the World Bank Disbursement Handbook, Chapter 6 – “Withdrawal Arrangements for Special Accounts, and, in particular paras 6.6 - 6.8.

The auditor must form an opinion as to the degree of compliance with the Bank's procedures and the balance of the Special Account at year-end. The audit should examine the eligibility and correctness of financial transactions during the period under review and fund balances at the end of such a period, the operation and use of the SA in accordance with the financing agreement, and the adequacy of internal controls for this type of disbursement mechanism.

For this project, the Special Account refers Section 2.02 (b) of the relevant financing agreements. Special Account statements and the auditor's report should be submitted with the Project Financial Statements.

Audit Opinion

Besides a primary opinion on the Project Financial Statements, the annual audit report of the Project Account should include a separate paragraph commenting on the accuracy and propriety of expenditures withdrawn under SOE- or, if appropriate, RR- procedures and the extent to which the Bank can rely on SOEs or, if appropriate, RRs, as a basis for grant disbursement. The auditor should also include a separate opinion on the project's Special Account(s). The financial statements, including the audit reports, should be received by the Bank no later than FOUR/SIX months after the end of the accounting period to which the audit refers. The auditor should submit the report in bound form, including the audit check list to the borrower's designated agent rather than to any staff member of the project entity. The agent should then promptly forward two copies of the audited accounts and report to the Bank.

Management Letter

In addition to the audit reports, the auditor will prepare a "management letter", in which the auditor will:

- give comments and observations on the accounting records, systems, and controls that were examined during the course of the audit;
- identify specific deficiencies and areas of weakness in systems and controls and make recommendations for their improvement;
- report on the degree of compliance of each of the financial covenants on the financing agreement and give comments, if any, on the internal and external matters affecting such compliance;
- communicate matters that have come to attention during the audit which might have a significant impact on the implementation of the project; and
- bring to the borrower's attention any other matters that the auditors consider pertinent.

Audit Reports

The auditor should deliver the final audit report to the IA before April 30, 2003. The reports are to be issued in English and Romanian, duly signed and bound, in original and 6 copies. The report for the Project should contain at least:

- A title page, table of contents, a transmittal letter to the IE, and a summary that includes: (a) a background section with a general description of the Project, the period covered, the Project objectives, and a clear identification of all the entities mentioned in the report; (b) the objectives and scope of the audit, and an clear explanation of the procedures performed (including alternate procedures when it was not possible to apply normal ones) and any limitation to the scope of the audit; (c) a brief summary of the audit results; costs or expenses questioned; internal control deficiencies; compliance with laws, regulations and terms of the agreements; and the status of recommendations made in prior audits; and (d) a brief summary of the comments made by the Entity's management with respect to the findings reported by the auditors.
- The opinion (auditor's report) on the Project financial statements, their corresponding notes and supplementary information. If applicable, any costs that are not supported by adequate records or that are not eligible under the terms of the grant agreement (questioned costs) should be identified. This section should include the financial statements along with their corresponding notes and attachments.
- The opinion (auditor's report) on the Statements of Expenditure (SOE Schedule) for the period audited. The auditor must issue an opinion on the eligibility of the expenditures submitted for reimbursement, the adequacy of the control procedures and the correct use of the Grant funds.
- The opinion (auditor's report) on the Special Account Statement and Advance Accounts Statements for the period audited. The auditor must issue an opinion as to whether the SA Statement and Advance Accounts Statements adequately reflect the flow of funds for the SA and AAs during the period audited, and if this activity has been only for purposes of the project.
- The opinion (auditor's report) on the PMU financial statements for the period audited. The auditor must issue an opinion as to whether the financial statements adequately reflect the financial position of PMU during the period audited, and other activities (other sources of financing and Projects implemented by PMU) do not damage the MSP activities.
- A report on the auditor understands of the internal control structure for the Project (and PMU's Entity). At a minimum the report, often referred to and identified as "Management Letter" should include: (a) the scope of the work performed by the auditor to obtain an understanding of the internal control structure and to evaluate the control risk; (b) a discussion of the most important internal controls of the IA, including controls established to ensure compliance with the terms of the agreements and applicable laws and regulations that could materially impact the financial statements or the contribution of counterpart funds; (c) the reportable conditions, including the identification of material weaknesses in the internal control structure of the implementing unit. Conditions that do not affect the financial statements should also be included in the report. This report satisfies the requirements of International Standard on Auditing No. 400.
- A report on the IE's compliance with the terms of the grant agreement and applicable laws and regulations related to the Project's financial activities. All reportable instances of

noncompliance must be reported and discussed along with the corresponding findings, and communicated to the IE's management in writing. This report may be part of the management letter.

Inspection and Acceptance of the Audit Work and the Reports

The Bank is responsible for inspecting and accepting the audit report of the Project, and may appoint an individual or company to carry out these activities, including the review of the working papers and the corresponding quality controls. During the review of the report, a representative of the Bank may contact the auditors directly to request any additional information related to the audit or the Project financial statements. The auditors must satisfy such requests promptly.

After the review, the Bank will communicate to the IA the results of the review. If the audit report is not fully satisfactory, the Bank will indicate the deficiencies identified, and will request that the Bank be informed of any corrective actions taken. The IA will also be informed of any aspects of the audit report that are not in compliance with the Terms of Reference, and whether the auditor needs to take corrective action immediately or for subsequent audits.

If the Bank does not accept a report due to deficiencies in the audit work, the auditor will carry out the necessary additional work at no additional cost to the IE, the Project or the Bank.

General

The auditor should be given access to all legal documents, correspondence, and any other information associated with the project and deemed necessary by the auditor. Confirmation should also be obtained of amounts disbursed and outstanding at the Bank. The Bank Task Team can assist in obtaining these confirmations.

It is highly desirable that the auditor become familiar with the General Financial Rules (GFR), and Financial Monitoring Reports for World Bank-Financed Projects: Guidelines for Borrowers (November 30, 2001), which summarize the World Bank's financial reporting and auditing requirements. The auditor should also be familiar with the Bank's Disbursement Handbook and the Project Brief, and Project Implementation. These documents will be obtained from the Task Team or the IA.

Attachment 2: Sample Forms for Financial Management Reports

Annexure- A

India

Ministry of Environment and Forest

Wild Life Department (WD) Wild Life Crime Control Bureau (WCCB)

Interim Unaudited Financial (IUFR) For the quarter_____

Government of India

Wild Life Department (WD) Interim Unaudited Financial (IUFR) Quarterly Report

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Financial Reports

Discussion of Project Progress

Project Sources and Uses of Funds

Uses of Funds by Project Activity

Bank Reconciliation Statement

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Key Output Monitoring Report

Procurement Management Reports

Statement of Procurement Expenditure by Contract

DISCUSSION ON PROJECT PROGRESS

Wild Life Department (WD)

For the Quarter ended

IUFR as part of progress reporting

1. The attached reports provide information on the progress of the project in terms of financial activity, key out put measures, and procurement for _____.

Comments on the IUFR:

Government of India
Wild Life Department (WD)
Credit No.
Project Sources & Uses of Funds
For the Quarter ended

(Rs. in Lac)

	Current Quarter		Year To Date		Cumulative To date	
	GOI	IDA	GOI	IDA	GOI	IDA
Opening Cash Balance						
Project Bank Account						
IDA Special Account						
Opening Balance Total	-	-	-	-	-	-
Add: Sources of Funds						
IDA Funds						
Government Funds						
Sources of Funds Total	-					
Total Receipts	-					
Less: Uses of Funds-Category wise						
1) Goods, works, consultants' services, Operating Costs and Training and Workshops						
2) Sub-grants						
Use of Funds Total-	-					
Closing Cash Balance	-					
Project Bank Account						
IDA Special Account						

**Government of India
Wild Life Department (WD)
Credit No.
Uses of Funds by Project Activity
For the Quarter ended**

Project Activities	Actual (BDT in Lac)			Planned (BDT in Lac)			Variance (BDT in Lac)			PAD (US\$ million)
	Current Quarter	Year-To Date	Cumulative To-Date	Current Quarter	Year-To Date	Cumulative To-Date	Current Quarter	Year-To Date	Cumulative To-Date	Life of Project
Total IDA/GOI Financed										

Government of India
Wild Life Department (WD)

Bank Reconciliation Statement
For the Quarter ended

Rs.

Balance as per Bank Statement as on _____

Less:

Add:

Balance as per Bank Book as on _____

=====

**Government of India
Wild Life Department (WD)
Credit No.
Key Output Monitoring Report
For the Quarter ended**

(BDT in Lac)

Component No	Activity/Output	Units of Output	Cumulative to Date		Actual to date as % of total Planned for project		PAD	
			Output	Cost	Output	Cost	Unit	Cost in US \$
3.3								

**Government of India
Wild Life Department (WD)
Credit No.
Statement of Project Expenditure by Contract
For the Quarter ended**

Contract Package No	Description of The contract	Signing date of the Contract	Suppliers / Consultant's Name	Contract Amount	Invoiced Amount	Amount Paid till the end of quarter		Delivery Date	
						GoI	IDA	As per Contract	Actual Delivery Date

Attachment 3: Sub-component 2.2. Concept Format

Project Title:

Applicant

Name of the Primary Department/Organization:

Mailing Address:

Physical Address:

Telephone:

Fax:

Email:

Principal Officer: *(name, position and contact telephone number)*

Project Contact: *(name, position and contact telephone number)*

If the proposal contains field-based activities, contacts of the responsible staff in the field: *(name, position and contact telephone number)*

Name of the Secondary Department/Organization: *(relevant only for joint proposals; if there are more than two, please extend this section and provide this same information for them)*

Contact Details:

Project Contact: *(name, position and contact telephone number)*

Note: Concept Note's main body should not exceed more than 10 pages and should include the following information.

1. Background and Context
2. Objective(s)
3. Proposed outline of project components and activities
4. Budget breakdown
5. Environmental and Social Safeguards Assessment Requirements

Annex 1: Map of the site

Annex 1: Environmental Screening Checklist (Attachment 4 of OM)

Annex 3: Social Screening Checklist (Attachment 5 of OM)

Annex 4: Any other information relevant to justify the concept

Attachment 4: Sub-component 2.2 Detailed Proposal Format

I PROJECT PROPOSAL COVER SHEET

Project Title:

Applicant

Name of the Primary Department/Organization:

Mailing Address:

Physical Address:

Telephone:

Fax:

Email:

Principal Officer: *(name, position and contact telephone number)*

Project Contact: *(name, position and contact telephone number)*

If the proposal contains field-based activities, contacts of the responsible staff in the field: *(name, position and contact telephone number)*

Name of the Secondary Department/Organization: *(relevant only for joint proposals; if there are more than two, please extend this section and provide this same information for them)*

Contact Details:

Project Contact: *(name, position and contact telephone number)*

II PROJECT DESCRIPTION

1. Project Background (maximum 3 pages and the map page)

This section should provide the background to the site including the analyzed data on the status of biodiversity. If species lists are to be included, please include them as annexes at the end of the proposal. This section should identify the key threats. A reasonably detailed map of the site should be also provided in the annex.

2. Project Objectives and Results (maximum 2 pages)

This section should contain a clear and specific statement of what the proposed project will accomplish. In addition, provide justifications based on defined selection and indicate the regional conservation benefits of the proposal. This section should address:

- (i) the project goal or impact - a statement of intention describing the purpose of the proposed project
- (ii) the problem(s) or challenge(s) the project intend to address and the rationale of the project – the importance of the project for biodiversity conservation and environmental management in the country; human dimension of the project--i.e., how will it impact people, including those from disadvantaged groups like IP, women, etc.;

- (iii) the objective(s) of the proposed project – the outcomes the project intend to achieve at the end of the project or measurable changes which will have occurred at the end of the project;
- (iv) the results of the project – measurable changes which will have occurred at the end of the project including tangible products and services that will be delivered by the project.

3. Description of Project Activities (maximum 5 pages)

This section should describe what will actually be done to produce the expected results and accomplish project objective(s) described in the earlier section. There should be a clear and direct linkage between the activities and the results.

Activity descriptions should be specific as possible, identifying what will be done, who will do it, when it will be done and where it will be done. This section should also provide the outputs expected at the completion of the activities.

4. Partnerships (maximum 1 page)

Describe how the stakeholders will be involved in the project. If it is a joint proposal, describe the reason behind the partnership and the role(s) played by each partner. If co-financing is secured or planned to be mobilized, provide details of it. Please note the project will not provide finances for overhead cost of partnering agencies.

5. Sustainability of the Project (maximum 1 page)

Sustainability is a critical aspect to ensure long-term benefits of the project efforts. The project should outline the steps that have been already taken or steps that will be taken during the implementation to ensure the sustainability of the project results. This could include efforts to create partnerships for management and monitoring, development of strategies to leverage resources, commitments to operations and maintenance, contingency plans for key personnel and partnerships changes, methods to monitor long-term changes to the biodiversity of the site and threats, marketing plan for the site, etc.

6. Risks to Successful Implementation (maximum 1 page)

Identify and list major risk factors that could result in the project not producing the expected results. These should include both internal factors and external factors. This section should also provide possible management measures that can be taken to mitigate the effects of these factors.

7. Implementation Plan and Time Frame (maximum 3 pages)

This section may be presented in graphical form and should indicate the sequence of all major activities and implementation milestones, including targeted beginning and ending dates for each step. Provide as much detail as possible.

8. Monitoring and Evaluation Plan (maximum 2 pages)

This section should contain description of how monitoring and evaluation will be done within the project, both during its implementation and at completion. Among the key issues to be addressed are:

- (i) how the performance of the project will be tracked in terms of achievement of the steps and milestones set forth in the Implementation Plan;
- (ii) how the impact of the project will be assessed in terms of achieving the project objective(s);
- (iii) how corrections and adjustment of the project design and plans will be facilitated on the basis of feedback received; and
- (iv) how the participation of various stakeholders in the project monitoring and evaluation process will be achieved.

Propose specific and measurable indicators relating to project performance and impact which can form the basis for monitoring and evaluation.

III PROJECT BUDGET

The project budget is an integral part of the project proposal. The development and management of a realistic budget is important in order to improve management effectiveness. Careful attention to issues of financial management and integrity will enhance the effectiveness and impact of the project.

The following important principles should be kept in mind in preparing and managing the project budget:

- (i) Funds should be spent according to the agreed budget. Changes should be communicated to the Project Management Committee (PMC) for approval with a revised budget prior to implementing the changes.
- (ii) All relevant financial records should be maintained properly as per the overall project agreement of the Regional Wildlife Project.
- (iii) An inventory of the assets procured through the project should be also maintained at the project site and will be used as a monitoring tool.

Addition information:

- (i) A proposal that was funded partially at the first round will be eligible to request for additional funding for the remainder of the activities at the end of 80 percent of financial delivery with the submission of a revised budget for approval to the PRC. In addition, an updated Procurement Plan should be also submitted with the budget submission.
- (ii) Implementing Agency with a proposal that was fully funded at the first round will be eligible to submit a new proposal, if the first proposal has completed 80 percent of financial delivery and 80 percent of physical performance (based on the achievement of milestones).

1. Project Funding Summary (in Rupees)

Funding Source	Year 1	Year 2				Total
Amount requested from IDA Project (Regional Wildlife Project)						
Department budget						
Other contributions (specify including in-kind)						
...						
...						
Total Cost						

2. Project Expenditure (in Rupees)

Expenditure Category	Year 1	Year 2	TOTAL
Civil works			
Goods			
Consultancy services			
Training			
Workshops			
Operational Costs			
TOTAL			

If the proposed project is running over 2 years, please include columns for additional years.

IV PROCUREMENT PLAN

In this section, the project proponent should identify the procurement needs for the entire project. It can be updated based on the changing requirements with the agreement from the World Bank. This is just preliminary information for the purpose of proposal reviewing and monitoring.

Year 1

#	Description	Quantity	Estimated Cost
1	Goods		
1.1		
1.2	...		
2	Works		
2.1			
2.2			

3	Non-Consultancy Services		
4	Consultancy Services		

Year 2

#	Description	Quantity	Estimated Cost
1	Goods		
1.1		
1.2	...		
2	Works		
2.1			
2.2			
3	Non-Consultancy Services		
4	Consultancy Services		

V ENVIRONMENTAL & SOCIAL ASSESSMENT

Environmental Assessment:

The project proponent is expected to carry out an Environmental Assessment (EA) and produce a report as given below in the ecosystem selected based on the environmental check list completed and the guidance of the Project Review Committee. This assessment should evaluate the likely impacts due to proposed project activities, particularly concentrating on infrastructure work such as buildings, rehabilitation of water bodies, roads, etc., land-use changes such as invasive species removal, fire belt establishment and habitat enrichment and identify required mitigations measures for any negative impact to be also supported by the project.

Sample Format for an Environmental Assessment (to be presented as a separate report)

Introduction: *[Insert short description of project, component/sub-component,/subproject]*

Objective: The overall objective of this exercise is the production of an Environmental Assessment (EA) report including Environmental Management Plan (EMP) for the *[subproject]* to be submitted to *[name of national EIA regulator – if applicable]* and IDA as part of the application for environmental clearance for the proposed subproject.

The EA preparation and report must comply with the relevant regulatory requirements of GON, World Bank Operational Policy (OP) 4.01 and with Environmental Assessment and Management Framework.

Scope of Work: Required Activities & Report Sections are given below

Sub-project/activity description

- Nature and scope of sub-project
- Location and site description, with maps showing site / location, noting salient environmental attributes
- Technical descriptions of key project components, including materials, equipment, machinery and maps or drawings showing their specific locations at the site
- Description of pre-construction, construction, post-construction and operation and maintenance and benefit realization activities, including technical details of earthworks, fuel and water use, discharges, wastes, and pollution prevention equipment (only relevant if construction-related activities are taking place)

Environmental baseline description

- Determine appropriate boundaries for the potentially impacted area, and for the source area of any potential environment-on-project impacts
- Determine environmental components and parameters to be characterized , focusing on those relevant to e.g.
 - Sub-project/activity siting, design, construction, operation, decommissioning and abandonment
 - Sources of effects of potential impacts
 - Existing and proposed infrastructure
 - Quality of life
- Ensure that the components/parameters chosen allow characterization of the environment with respect to the following general areas:
 - Physical environment (topography, geology, soil type, seismology, weather, climate, gradients and discharge patterns, ambient noise, hydrology, etc.)
 - Resource quality and exploitation (air/water quality, land use, water abstraction and discharge, fisheries, agriculture, mineral resources and exploitation, etc.)
 - Biological (biodiversity, habitats species, threats, etc.)

Environmental impacts and mitigation measures

- Assess the future with project scenario
 - Screen each preconstruction, construction, operation-phase and abandonment, other activities for their potential beneficial and adverse impacts to each identified environmental component / parameter. Impact significance should be categorized as low, medium or high and beneficial, adverse or neutral/mixed/unknown.
 - Consider secondary (knock-on) impacts. E.g. if one of sub-project/activity impacts is increased visitation what are the impacts of increased visitation?
 - Discuss for each potentially significant identified impact whether the impacts is reversible or irreversible, its scale and duration, and any synergy or cumulative effects with other sub-project/activity impacts
- Identify, devise and describe mitigation measures to
 - Reduce, offset or compensate to insignificant levels where impacts identified as significant and adverse
 - Enhance sub-project benefits and other valued environmental components
- Prepare EMP. For each mitigation measure, EMP must fully document the exact location, schedule, implementation responsibility, methodology, mitigation implementation and

operation monitoring and costs.

- Prepare text for inclusion in bid documents that provide specifications for each mitigation measure to be implemented by contractors during each sub-project/activity stage (pre-construction, construction, operation and abandonment)
- Public consultation – Include adequate consultation with potentially affected people and other relevant stakeholders in the beginning and at the end in the EA process, to provide opportunity for them to communicate their views and concerns to the sub-project/activity design. Document the public views and concerns and responses to them as part of the EA report.

While the EA will be presented separately to the Proposal, based on the information generated from the EA an Environmental Management Plan will be included in the proposal in the format provided below.

Sample Format for Environmental Management and Monitoring Plan

Project Activity	Environmental Issues	Mitigation Measures	Location	Cost of Mitigation Measure	Implementation Responsibility	Monitoring Frequency and Responsibility

Social Assessment:

The project proponent is expected to carry out a Social Assessment and produce a report as given below in the ecosystem selected based on the environmental check list completed and the guidance of the Project Review Committee. The assessment may need to include an Indigenous Peoples Plan (IPP) and Gender Action Plan (GAP) in addition to a Social Management Plan based on the findings of the social screening checklist.

Sample Format for a Social Impact Assessment

Social Impact Assessment (SIA) involves the collection of data related to measurable change in human population, communities, and social relationships resulting from a development project or policy change; in this case protection of wildlife in Nepal. The SIA must gather data on the following variables prior to the implementation of the project (planning/ policy development stage).

- Population Characteristics- present population and expected change, ethnic and racial diversity etc.
- Establish Socio-economic baseline: Household survey including a description of production systems, labor, and household organization; and baseline information on

livelihoods (including, as relevant, production levels and income derived from both formal and informal economic activities) and standards of living (including health status) of the affected population;

- Assess the magnitude and nature of the expected livelihood impact of proposed sub-project, and basic data on vulnerable groups or persons for whom special provisions may have to be made
- Community and Institutional Structures- the size, structure, and level of organization of local government including linkages to the larger political systems. They also include historical and present patterns of employment and industrial diversification, the size and level of activity of voluntary associations, religious organizations and interests groups, and finally, how these institutions relate to each other.
- Political and Social Resources- the distribution of power authority, the interested and affected publics, and the leadership capability and capacity within the community or region. Potential impact of project interventions on inter-community relations and local minorities in the wider locality.
- Individual and Family Changes- factors which influence the daily life of the individuals and families, including attitudes, perceptions, family characteristics and friendship networks.
- Community Resources- patterns of natural resource and land use; the availability of housing and community services to include health, police and fire protection and sanitation facilities. A key to the continuity and survival of human communities are their historical and cultural resources. Possible changes for indigenous people and religious sub-cultures also fall here.

Scope of work:

- Gather data on all variables and during all the stages specified above. Mobilization of research assistants in this venture.
- Use participatory tools in data gathering.
- Public involvement- Develop an effective public plan to involve all potentially affected publics.
- Identification of alternatives- Describe the proposed action or policy change and reasonable alternatives.
- Baseline conditions- Describe the relevant human environment/area of influence and baseline conditions: The baseline conditions are the existing conditions and past trends associated with the human environment in which the proposed activity is to take place.
- Scoping- After obtaining a technical understanding of the proposal, identify the full range of probable social impacts that will be addressed based on discussion or interviews with numbers of all potentially affected.
- Projection of estimated effects.
- Predicting community responses to impacts- Determine the significance to the identified social impacts.
- Indirect and cumulative impacts- Estimate subsequent impacts and cumulative impacts. Indirect impacts are those caused by the direct impacts; they often occur later than the direct impact, or farther away. Cumulative impacts are those impacts which result from the incremental impacts of an action added to other past, present, and reasonably foreseeable future actions regardless of which agency or person undertakes them.

- Changes in alternatives- Recommend new/ changed alternatives and estimate/ project their consequences: Each new alternative or recommended change should be assessed separately.
- Mitigation- Develop a mitigation plan.
- Develop a Indigenous Peoples Plan and Gender Development Plan according to the guidelines provided in Attachment 9 and 10 of the Operations Manual respectively
- Monitoring– Develop a monitoring program.

VI ANNEXES

1. Map of the project area

Please provide a fairly detailed map of the project area

2. Logical Framework

Description with intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Goal or Impact – The long-term development impact (policy goal) that the activity contributes at a regional and national level What are the overall broader change to which the action will contribute?	How the achievement will be measured including appropriate targets (quantity, quality and time)	Sources of information on the Goal indicator(s) including who will collect it and how often	
Purpose or outcome – The medium-term results the project aims to achieve What specific objective(s) that will contribute to the overall impact?	How the achievement of the purpose will be measured including appropriate targets (quantity, quality and time)	Sources of information on the purpose indicator(s) including who will collect it and how often	Assumptions concerning purpose to goal linkages What factors and conditions outside the project responsibility are necessary to achieve the purpose (external conditions)? What risks should be taken into consideration?
Expected outputs –	How the	Sources of	Assumptions

<p>The outputs or tangible products or services that will be delivered by the project What are the outputs envisaged to achieve the specific objectives?</p>	<p>achievement of the outputs will be measured including appropriate targets (quantity, quality and time)</p>	<p>information on the output indicator(s) including who will collect it and how often</p>	<p>concerning outputs to purpose linkages What external conditions must be met to obtain the expected results on schedule?</p>
<p>Activities What are the key activities to be carried out and in what sequence in order to produce the expected results? (group the activities by the results)</p>	<p>What are the means required to implement these activities – e.g. personnel, equipment, training, studies, supplies, operational facilities, etc.</p>	<p>Sources of information about activity progress</p>	<p>What pre-conditions are required before the action starts?</p>

3. Any other information

Use this section to provide any additional information that will further justify the proposal, as well as additional information that may be useful for proposal reviewing the sub-project proposal.

Attachment 5: Sample Structure of the Independent Monitoring Report

Executive summary

- Brief description of project
- Context and purpose of the independent monitoring of the project
- Main conclusions, recommendations and lessons learned

Introduction

- Purpose of the monitoring
- Key issues addressed
- Methodology of the independent monitoring
- Structure of the independent monitoring

The Project and its Development Context

- Project background
- Problems that the project seek to address
- Immediate and development objectives of the project
- Main stakeholders
- Expected results

Findings and Conclusions

- Project implementation
 - financial management
 - procurement management
 - monitoring and evaluation
 - execution and implementation of project activities
 - coordination and operational issues
 - stakeholder participation
- Project Results
 - country ownership/drivenness
 - attainment of objectives
 - attainment of indicator targets
 - contribution to upgrading skills of project beneficiaries
- Recommendations
 - corrective actions for implementation, monitoring and evaluation of the Project
 - actions to follow up or reinforce initial benefits from the Project
 - -proposals for future directions underlining main objectives, particularly on project effectiveness, efficiency and sustainability
 - lessons learned
 - desirable and undesirable practices in addressing issues relating to relevance, performance and success

Annexes

- List of Persons Interviewed and Consulted
- Summary of Field Visits

List of Documents Reviewed

Attachment 6: Environmental screening checklist

INTRODUCTION				
1	Does the site /project require any;	Yes	No	If yes, give the extent in ha
	Reclamation of land/wetland	<input type="checkbox"/>	<input type="checkbox"/>	
	Clearing of forest	<input type="checkbox"/>	<input type="checkbox"/>	
	Felling of trees	<input type="checkbox"/>	<input type="checkbox"/>	
2	Distance from coastline (m) (high water mark)			
3	Minimum land area required for the proposed development (based on urban guidelines) (ha)			
4	Available total land area within the identified location (ha)			
5	Expected construction period (for infrastructure projects)			
6	Anticipated Date of Completion			
7	Present Land Ownership	State <input type="checkbox"/>	Private <input type="checkbox"/>	Other (specify)
8	Total approximate Cost of the Project			

DESCRIPTION OF THE ENVIRONMENT					
PHYSICAL					
9	Topography & Landforms (map): Attach an extract from relevant 1: 50,000 topographic sheet/ if detailed maps are available provide them. If this information is unavailable, please describe the location.				
10	Relief (difference in elevation)	Low <20m <input type="checkbox"/>	Medium 20-40m <input type="checkbox"/>	High 40-60 <input type="checkbox"/>	>60m <input type="checkbox"/>
11	Slope	Low <30% <input type="checkbox"/>	Medium 30-40 % <input type="checkbox"/>	High 40-60 % <input type="checkbox"/>	Very High > 60% <input type="checkbox"/>
12	Position on Slope	Bottom <input type="checkbox"/>	Mid-slope <input type="checkbox"/>	Upper-slope <input type="checkbox"/>	
13	Soil Type				
14	Depth of top soil	Shallow < 20cm <input type="checkbox"/>	Moderate 20 – 100 cm <input type="checkbox"/>	Deep >100cm <input type="checkbox"/>	
15	Soil Erosion (this information will be based on the site and	Low <input type="checkbox"/>	Medium <input type="checkbox"/>	High <input type="checkbox"/>	

DESCRIPTION OF THE ENVIRONMENT						
PHYSICAL						
	surrounding environment)					
16	Climate	Wet <input type="checkbox"/>	Dry <input type="checkbox"/>	Arid <input type="checkbox"/>		
17	Annual dry period					
18	Source of fresh Surface Water	Spring/ canal <input type="checkbox"/>	Tank/Re servoir <input type="checkbox"/>	Perennial Stream <input type="checkbox"/>	Seasonal Stream <input type="checkbox"/>	None <input type="checkbox"/>
19	Surface Water Use (at the site and/or surrounding environment)	Domesti c <input type="checkbox"/>	Washing /Bathing <input type="checkbox"/>	Irrigation <input type="checkbox"/>	Animal use <input type="checkbox"/>	Other <input type="checkbox"/>
20	Surface Water Quality	Poor <input type="checkbox"/>		Moderate <input type="checkbox"/>		Good <input type="checkbox"/>
21	Ground Water Availability	Dug Well <input type="checkbox"/>		Tube Well <input type="checkbox"/>	Other (specify) <input type="checkbox"/>	
22	Ground Water Use	Domesti c <input type="checkbox"/>	Washing /Bathing <input type="checkbox"/>	Irrigation <input type="checkbox"/>	Animal use <input type="checkbox"/>	Other <input type="checkbox"/>
23	Ground Water Quality	Poor <input type="checkbox"/>		Moderate <input type="checkbox"/>		Good <input type="checkbox"/>
24	Incidence of Natural Disasters	Floods <input type="checkbox"/>	Prolonged droughts <input type="checkbox"/>	Cyclones/ tidal waves <input type="checkbox"/>	Other (specify) <input type="checkbox"/>	
25	Geological Hazards	Landslides <input type="checkbox"/>	Rock falls <input type="checkbox"/>	Subsidence <input type="checkbox"/>	Other (specify) <input type="checkbox"/>	

ECOLOGICAL						
26	Habitat Types in the Project Site (indicate the approximate % of each habitat type)	Natural forest	degraded forest	natural scrublan d	riverine forest	abandon ed agricultu ral land
		marsh	lagoon	estuary	coastal scrub	mangrov e
		salt marsh	home- gardens	grassland	degraded scrublan d	Other (list)
27	Habitat types within 500m radius from the site periphery (indicate the approximate % of each habitat type)	Natural forest	degraded forest	natural scrublan d	riverine forest	abandon ed agricultu ral land
		marsh	lagoon	estuary	coastal	mangrov

					scrub	e
		salt marsh	home-gardens	grassland	degraded scrubland	Other (list)

Screening Questions	Yes	No	Scale of impacts			Remarks
			High	Medium	Low	

A. Siting of the Activity / Sub-project

Are there any environmentally and culturally sensitive areas within the project site and 500 meters from the project boundary?

- Protected Areas / Forest Reserve Yes No High Medium Low
- Migratory pathways of animals Yes No High Medium Low
- Archeological sites Yes No High Medium Low
- Wetlands Yes No High Medium Low
- Mangroves strands Yes No High Medium Low
- Estuarine Yes No High Medium Low
- Bufferzone of PAs/FRs Yes No High Medium Low
- Special area for protecting biodiversity Yes No High Medium Low

Are there any plants (endemic and threatened species) of conservation importance within the project site and 500 meters from the project boundary? Yes No High Medium Low

Are there any animals (endemic and threatened species) of conservation importance within the project site and 500 meters from the project boundary? Yes No High Medium Low

B. Potential Environmental Impacts

Will the activity / sub-project cause

- land disturbance or site clearance? Yes No High Medium Low
- negative effects on rare (vulnerable), threatened or endangered species of flora or fauna or their habitat? Yes No High Medium Low
- negative effects on Yes No High Medium Low

Screening Questions	Yes	No	Scale of impacts			Remarks
			High	Medium	Low	
designated wetlands?						
▪ spread of invasive plants or animals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ negative effects on wildlife habitat, populations, corridors or movement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ negative effects on locally important or valued ecosystems or vegetations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ destruction of trees and vegetation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ impact on fish migration and navigation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ obstruction of natural connection between river and wetlands inside project area or natural drainage system?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ water logging due to inadequate drainage?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ insufficient drainage leading to salinity intrusion?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ negative effects on surface water quality, quantities or flow?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ negative effects on groundwater quality, quantity or movement?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ increased demand of water requirements leading to reduction of water supply for competing uses?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ increase probability of spread of diseases and parasites?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ significant sedimentation or soil erosion or shoreline or riverbank erosion on or off site?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ loss of existing buildings, property, economic livelihood?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ negative impact on soil stability and compactness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Screening Questions	Yes	No	Scale of impacts			Remarks
			High	Medium	Low	
▪ impacts on sustainability of associated construction waste disposal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ changes to the land due to material extraction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ traffic disturbances due to construction material transport and wastes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ increased noise due to transportation of equipment and construction materials?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ increased noise due to day-to-day construction activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ increased wind-blown dust from material (e.g. fine aggregate) storage areas?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ degradation or disturbance of historical or culturally important sites?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ health and safety issues?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Will the activity / sub-project require						
▪ setting up of ancillary production facilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ significant demands on utilities and services?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
▪ accommodation or service amenities to support the workforce during construction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

Next Steps

An Environmental Management Plan needed

An Environmental Assessment needed

No further action necessary

Approved by the Chair, Proposal Review Committee

Name:

Signature:

Date:

Approved by Environmental Specialist, IDA

Name:

Signature:

Date:

Attachment 7: Social Screening Checklist

A. General Information

Title of the Subproject:

Site Locality:

Screening Date:

B. Project Related Information

B1 Activities includes: (described in brief regarding subproject activities)

B2. Describe existing land use/occupancy of site and surroundings in brief and accordingly draw a free-hand map (Please use separate sheet)

C. Socio-economic Information

C1 What are the asset(s) that would be affected due to Subproject Interventions? Yes or No

- Land
- Physical Structure (dwelling or commercial).....
- Trees/crops.....
- Natural Resources (Water bodies/ Forest/ Public Pond)....
- Community Resource Property.....
- Others (please specify)....

C2 Land

C.2.1 Ownership of Land: Public/Private.....

C.2.2 Type of Land: Agricultural/ Homestead/ Low Land /Fallow/ Pond/Others

Please specify.....

- Does the subproject require additional land permanently or on a temporary basis?
- Sometimes as part of road/canal/community resource property upgrading interventions, subprojects may require small parcels of land permanently to meet engineering design requirements. In such case what would be the land procurement policy?

Direct Purchase... Yes/no.....; voluntary donation..... yes/no...; acquisition

Yes/no.....?

- To except voluntarily donated land what would be the legal procedure?
 - In case of land acquisition, will there be physical and/or economic displacement of people?

C2.3 Is there any squatter/ encroacher/ leaseholder residing on public lands? Yes/ No and

specify type

If yes.

- What would be the total numbers of Affected Families?
- Is there any possibility of physical displacement?
- How will their livelihoods be affected? (example: due to loss of shelter and housing structure, loss of income source, loss of grazing field/ social network/ family bondage etc) Do the affected families have school going children? Yes/no

If yes,.....how many such children are there?

- Among the affected household, is there any person holding long term lease? Yes/no..... if yes, Land uses for what purpose?..... Till how many years remains out of total leasing period?.....

C3 Structure (Housing/Commercial)

C 3.1 Type and total number of Housing structure that would be affected:

C 3.2 Is there any commercial/ business structure that would be affected?

C 3.3 Ownership types of the affected structures: Private/ Leaseholder/squatter/encroacher
Please specify

C 3.4 Is there any tenant identified using the affected structure? Yes/No

C 4. Trees and Crops

C 4.1 Is there any tree/plant that might be affected? Yes/no..... Total estimated number by size.....?

C 4.2 Is there any social forestry /plantation project that would be affected?
Yes/no.....

C 4.3 Is there any common fruit bearing tree that would be affected? Yes/no.....
Species.....

C 4.4 Any agricultural land included within the subproject footprint? Yes/no.....

If yes, please provide necessary information regarding productivity of land, type and quantity of Crop that might be affected and market value

.....
.....

C 5. Is there any Community Resource Property that would be affected?

Yes/No..... Please Specify..... Who are the beneficiaries of the affected Community Resource? What is their reaction- Positive/negative?.....

Did they support the project?. Yes/No.....What are the reasons to support/ stand against the project?

C6. Is there any Natural Resource that might be affected? Yes/No.....

If yes, please describe regarding dependency on the Affected Resources

C7. Indigenous Peoples

C 7.1 Is there any community of Indigenous Peoples residing within or adjacent the project site? Yes/No.....For how long

C 7.2 Any Households of Indigenous Peoples would be affected? Yes/No.....
If yes, how many families would be affected?.....

C 7.2 Is there any way that proposed project may pose any threat to cultural tradition and way of life of indigenous Peoples? Yes/No.....

C 8 Beneficiaries

C 8.1 Who are the Beneficiaries? How they would be benefited by the subproject?

- Access to health facilities/services? Yes/No.....
- Better access to schools, education and communication? Yes/No.....
- Project activities would provide income generating source. Yes/No..... Please describe
- Subproject shall promote marketing opportunities of the local products? Yes/No..... If yes, how would that happen? Please elaborate
- Are people ready to co-operate with the project? Yes/No.....

Please elaborate the reasons

C 9 How will the subproject create opportunities for Beneficiaries?

Next Steps

A Social Impact Assessment needed

No further action necessary

Approved by the Chair, Proposal Review Committee

Name: _____ *Signature:* _____ *Date:* _____

Approved by Social Development Specialist, IDA

Name: _____ *Signature:* _____ *Date:* _____

Attachment 8: Project Results Framework and Monitoring

Project Development Objective (PDO): To assist the participating governments to build or enhance shared capacity, institutions, knowledge and incentives to collaborate in tackling illegal wildlife trade and other selected regional conservation threats to habitats in border areas.										
PDO Level Results Indicators*	Unit of Measure	Baseline	Cumulative Target Values**					Data Source/ Methodology & Frequency	Responsibility for Data Collection	Description (indicator definition etc.)
			YR 1	YR 2	YR3	YR 4	YR5			
Indicator One: Progress towards the development of sustainable regional mechanisms for addressing illegal wildlife trade and other conservation threats.	Regional coordination forum	No regional mechanism is in place for addressing illegal wildlife trade and other conservation threats at present, but there is agreement among regional countries to establish the South Asia Wildlife Enforcement Network (SAWEN) with similar objectives.	Establishment of a regional project coordination mechanism between Tiger Range Countries (TRCs) as an interim measure, while monitoring the progress of the establishment of SAWEN.	At least two regional coordination meetings among the TRCs held.	If SAWEN is operational, a plan developed to integrate the regional coordination undertaken through the project into the broader SAWEN mandate.	If SAWEN is not operational, a regional coordination forum agreeable to the TRCs is developed.	Establishment of the regional coordination forum agreed to in Year 4 by the TRCs.	M&E Report Bi-annually	Implementing agencies of participating countries and regional coordination committee	Demonstrate value of a coordinated approach to addressing illegal wildlife trade and other conservation threats
Indicator Two: Development of at least one protocol each on a common research agenda, knowledge sharing, collaboration	No. of protocols	No protocols in the areas identified at present.	Agreement in principle between participating countries that at least one protocol is needed on: (i) a common	Protocol on knowledge sharing developed.	Protocol on a common research agenda developed.	Protocol on collaboration and division of labor developed.	Implementation of protocols commenced.	M&E Report	Implementing agencies of participating countries and regional coordination committee	Demonstrate regional cooperation in research, knowledge sharing and collaboration

and division of labor.			research agenda; (ii) knowledge sharing; and (iii) collaboration and division of labor.							
Indicator Three: Agreement among the enforcement agencies on at least two regional protocols, including approaches and solutions.	No. of protocols	No regional protocols in place at present.	Dialogue among regional enforcement agencies on the need for regional protocols commenced.	Agreement reached on at least two regional protocols and approaches and solutions finalized for implementation of protocols with enforcement agencies of regional countries.	Formal agreement reached between countries to implement the regional protocols developed.	Implementation of agreed protocols commenced.	Implementation effectiveness of regional protocols renewed and revisions made as necessary.	M&E Report	Implementing agencies of the participating countries.	Assess the effectiveness of regional protocols.
Indicator Four: Implementation of at least three regional pilots or initiatives in wildlife enforcement and conservation	No. of pilot projects or initiatives	No such regional pilots or initiatives in place.	Consultations on and planning of pilot projects and initiatives undertaken.	Suitable sites, design of pilot projects and/or initiatives selected.	Implementation of at least one pilot program or initiative is underway.	Implementation of balance pilots and initiatives is underway.	Progress of regional pilots and initiatives reviewed.	M&E Report	Collaborated efforts among implementing agencies	Assess the effectiveness of coordinated approaches to regional enforcement and conservation
INTERMEDIATE RESULTS										
Regional										
Intermediate Result:										
<i>Intermediate Result indicator One:</i> Development of a common conservation research	Outputs	Common research and conservation program is absent.	National consultations to identify common research and conservation needs	Regional consultations to agree on common research and conservation needs and	Implementation of program is underway.	-	-	M&E Report	Implementing agencies of the participating countries	Build synergy between research institutions and conservation

program for regional wildlife management with particular emphasis on tiger conservation			undertaken.	finalizing of program undertaken.						groups to provide scientific basis for conservation and management of wildlife
<i>Intermediate Result indicator Two:</i> Set up a knowledge sharing mechanism among participating countries	Outputs	Regional knowledge sharing mechanism is absent.	Regional consultations to agree on developing a knowledge sharing mechanism undertaken.	Knowledge sharing mechanism developed.	Implementation of knowledge sharing mechanism is underway.	-	-	M&E Report	Implementing agencies of the participating countries	Build synergies among research institutions and conservation groups to share knowledge useful for wildlife protection
Intermediate Result (Component One):										
<i>Intermediate Result indicator One:</i>										
<i>Intermediate Result indicator Two:</i>										
<i>Intermediate Result indicator Three:</i>										
<i>Intermediate Result indicator Four:</i>										
Intermediate Result (Component Two):										
<i>Intermediate Result indicator One:</i>										
<i>Intermediate Result indicator Two:</i>										

<i>Intermediate Result indicator Three:</i>										
<i>Intermediate Result indicator Four:</i>										
<i>Intermediate Result indicator Five:</i>										
Intermediate Result (Component Three):										
<i>Intermediate Result indicator One:</i>										
<i>Intermediate Result indicator Two:</i>										

Attachment 9: Governance and Accountability Action Plan

Area of work	Issues likely to affect project performance	Actions to address the issues	Responsible agency	Timeline	Early warning signs
Regional cooperation and collaboration					
		•			
National institutional governance					
		•			
Policy/Political environment					
		•			
Procurement					
		•			
Financial management					
		•			
Monitoring and evaluation					
		•			
Transparency and accountability					
		•			

Attachment 10: Gender Action Plan

Focusing on gender leads to benefits that go beyond the good project performance. Women have primary roles in the collection, transport, use, and management of fuel, fodder, water and other household activities and yet are hardly involved in decision making in the sector. Gender should be addressed through an approach that is participatory and responsive to the needs of the poor, particularly when it involves natural resources management. Information to be collected as part of the Social Assessment includes:

- Identify key gender and women's participation issues.
- Identify the role of gender in the project objectives.
- Conduct gender analysis as part of overall Social Assessment.
- Draw up a socioeconomic profile of key stakeholder groups in the target population and disaggregate data by gender.
- Examine gender differences in knowledge, attitudes, practices, roles, status, wellbeing, constraints, needs, and priorities, and the factors that affect those differences.
- Assess men's and women's capacity to participate and the factors affecting that capacity.
- Assess the potential gender-differentiated impact of the project and options to maximize benefits and minimize adverse effects.
- Identify government agencies and nongovernment organizations (NGOs), community-based organizations (CBOs), and women's groups that can be used during project implementation. Assess their capacity.

Methodology

- Review available information (e.g., statistics, gender analysis, documents of previous projects) in the project area and the socioeconomic profile of the target population.
- Review the relevant legal (e.g., inheritance law), policy (e.g., R&R policy), and institutional framework (e.g., current administrative system compensation disbursement for livelihoods) and their gender implications.
- Draw up gender-disaggregated socioeconomic and cultural profiles and identify the constraints, and potential needs of the target population within the scope of the proposal
- Define ways in which men and women beneficiaries and other stakeholders, especially poor women can participate in the project.
- Map out the target areas. Which are the most disadvantaged areas in terms of access to services and poverty level?
- Identify major stakeholder groups and their stake.
- Develop a brief *participation strategy* for men and women during project implementation and M & E.
- Avoid overly high expectation of women's participation and develop a practical schedule, as women often have time and financial constraints. The strategy should incorporate the following:

- *Planning*: Conduct women specific consultation to take their views and suggestions on the design. Any mechanism established during the project design such as grievance mechanisms should have adequate representation from women.
- *Construction*: Ensure work conditions that are conducive to women's participation (e.g., gender-equal wage rates, construction season, toilet and child-care facilities).
- *Monitoring and evaluation (M & E)*: Develop a feedback mechanism in which both male and female have a voice. Identify organizations that could facilitate women's participation during implementation and M & E
- Consider seasonal labor demand in scheduling civil works.
- If appropriate, set a minimum percentage of female laborers and prohibit the use of child laborers in the civil works contract.
- Document the gender-responsive design features in the sub-project proposals

Data to Be Collected

- Implementing agency's capacity and commitment to participatory approaches and gender focus.
- Composition by gender, ethnicity/caste, age, etc.
- In and out migration trend (male and female) if relevant to the proposed project
- Percentage of households headed by females
- Income level and sources, by gender
- Expenditure patterns and decision making, by gender
- Land tenure and use, by gender
- Broad gender division of labor in productive (e.g., agriculture, income-generating activities) and reproductive (e.g., household chores, child care) responsibilities, and time allocation for each responsibility
- What factors affect the level of men's and women's participation?
- What are the incentives and constraints?
- During which season is the demand for labor highest?
- Which modes of participation do men and women favor (e.g., decision making in planning, cash contribution, labor contribution for construction, training, financial management, organizational management)?
- Do men and women perceive positive and negative impacts of the project differently?
- Are the benefits likely to be distributed equitably? How can negative effects be mitigated?
- Are there any disadvantaged or vulnerable groups? Who are they? Where do they live? What are their socioeconomic characteristics? How will the project affect these groups?
- What is the current level of women's representation in other community decision-making bodies?
- Are there local organizations that address women's constraints and needs? How can the project link up with them?
- What mechanisms can be used to ensure women's active participation in project activities?
- What organizations can be used to mobilize and train women in the project activities and livelihood options