

Concept Note for World Bank Funded project
“Improving Development Programmes in Tribal Areas”
Draft Dated 14th October 2013

- 1. Background**
- 2. Objective**
- 3. Scope**
- 4. Coverage**
- 5. Project Components and Modus Operandi**
- 6. Expected Output/ Deliverables and Outcomes of the Study**
- 7. Implementing Agency and the procedure**
- 8. Funding , Financial Management & Procurement**

1. Background

The Ministry of Tribal Affairs (MoTA) of GOI approached the World Bank in May 2011, for assistance to examine the issues of resource allocation and service delivery in tribal areas under the SCA to TSP areas, and under Article 275(1), i.e., grants for tribal administration and welfare s as both the above mentioned s complement each other.

Initially the proposal was submitted to Deptt. of Economic Affairs (DEA) for approval, in September 2011, with only Orissa chosen as the state for the pilot study. But in the screening committee meeting of 9th February, 2012, suggestions came up to increase the number of states in order to achieve broader outcome. Following the suggestions, MTA had series of meetings and discussions internally through *peer group* consultation - both formal and informal and externally with IFAD, Planning Commission and Secretaries or nominated representatives of five states, where MTA proposed the study to be conducted.

Based on the meetings and discussions, a much broader proposal in terms of scope and coverage was submitted to DEA in 2nd week of June and presented in the screening committee meeting on 27th July. The proposal was examined in detail by the Screening Committee of the Department of Economic Affairs on 27th July, 2012; and approved by the DEA for the World Bank assistance of US \$ 0.5 million under DFID TF.

As communicated by DEA, the approved project is to be implemented by the recipient- the Ministry of Tribal Affairs, following the World Bank procedure. The present document titled “Improving Development Programmes in Tribal Areas” is the approved Concept Note detailing the various activities of the project.

2. Objective

The overall development objectives of the project are to enhance understanding of the social and institutional dimensions of delivering development programs in tribal areas, and to identify practical approaches and methods to enhance the delivery, governance and social inclusiveness of services that are the highest priority for tribal people.

The focus would be on to the impact of Tribal sub-plan, the causes and dimensions of the lack of ‘absorption power’ among disadvantaged tribal communities (i.e., their inadequate utilization) of Central and state governments’ initiatives; and suggestions for improved delivery mechanisms for the Tribal Sub- Plan (TSP), Special Central Assistance (SCA) to Tribal Sub-Plans (TSP), and Grants under Article 275(1) of the Constitution of India.

3. Scope

The proposed project will restrict its scope within the boundary of the funding strategies of TSP, SCA to TSP and Grants under Article 275 (1) of the Constitution. It would seek to build the capacity of MoTA through targeted knowledge-generation and its dissemination, which would include facilitation of action planning at the national and state level. The project would involve:

- (i) analyzing the implementation and performance of tribal development activities in five states to get a fuller understanding of the field-level realities;
- (ii) identifying relevant domestic and international experiences and lessons learnt in addressing tribal peoples programming;
- (iii) carrying out consultation workshops at the national and state level; and,
- (iv) preparing forward-looking action plans.

4. Coverage

It is proposed to work with GOI and the Government of Orissa, West Bengal, Jharkhand, Chhattisgarh and Andhra Pradesh. The study will be conducted in two districts of each state.

5. Project Components and Modus Operandi

The project has four components to be implemented in tandem over 18 months. The different activities under each component of the Project are:

Component 1. National Tribal Scenario – Issues, Concerns and way forward.

This component consists chiefly the following national level activities:

Activity A: Establishment of an Expert Advisory Group (EAG) comprising administrators, policy makers and tribal development specialists, to guide and steer the whole project;

Activity B: A 'scoping exercise'- desk based research to unearth tribal development issues in the country including institutional and social aspects which render challenges facing administration in tribal areas. This would form the basis for designing further analytical enquiry.

Activity C: Learning from the global experiences. An overseas observation study tour (OST) on effective strategies, interventions, practices, case studies and lessons that are most relevant for India on governance and development in South East Asian countries, will be taken up.

Activity D: Synthesis of the results emanating from the other activities – scoping exercise, state level assessments and international experiences so as to prepare a forward look plan.

Component 2. Functioning and Performance of the Tribal Development Programs in 5 states.

Activity A: Functioning and performance of the Tribal Sub Plan with focus on MOTA led activities .

This would include participatory social and institutional analysis in two districts in each state. This enquiry will also include community consultations, focus group discussions and interviews would be conducted among tribal communities (women, youth, elected representatives), government departments (forests, tribal affairs, women and child development, rural development, police, health and education), district administrations, NGOs, etc. Gender perspective would emphasize entire enquiry.

Activity B: An appraisal of the functioning of the governance and administration in Tribal Areas as regards TSP management. This essentially will bring out what is happening vis-à-vis what is expected to happen and try and ascertain for deviations, if any.

Component 3: Project Administration and Monitoring and Evaluation.

This component will review and update M&E system besides financing the project administering costs. It would also understand the involvement of Community Based Organizations (CBOs)/NGOs as partners in monitoring and evaluation of SAP – SCA to TSP and Art 275 (1) of Constitution of India.

Component 4. Service Delivery improvements

This would be done through facilitated 'Development Solutions' workshops with national, state and district personnel. The workshops would be concerned with the services that have been prioritized, experienced NGOs or members of civil society, Panchayat members and subject experts. The paper on relevant approaches from other countries would be used to stimulate discussion and action planning in the workshops. The workshops would also focus on developing knowledge of participatory governance and other key issues of importance to tribal and backward areas and would serve to build capacities in the states selected for study.

6. Expected Output/ Deliverables and the Outcomes of the Study

Expected Output/Deliverables

- Report on data availability and guidance note from the scoping exercise, to form the basis for designing further analytical enquiry for Component 2.
- State-wise report of the social and institutional analysis.
- A National Report synthesized from the State Reports.
- Secondary Research Paper on approaches, strategies, interventions, practices, case studies and lessons relevant for governance and development in tribal areas of India. Detailed assessment of the selected government programs and overall Tribal Sub-Plans
- Report on the existing M & E System and social audit mechanism together with recommendations and suggestions for a more effective instrument/mechanism
- Guidance document on practical solutions and approaches to improve delivery mechanism. The operational guidance would be prepared for the state and central governments, and would include insights gained into the policy and legal context.

Expected Outcome of the study:

- Improved MoTA knowledge of sub-national and international good practices in tribal development programs.
- Enhanced MoTA understanding of the key issues and constraints in improving the performance and impact of the TSP and flagship programs in the selected states.
- Increased MoTA focus on results.
- Strengthened MoTA capacity in supporting the effective design, administration and monitoring of programs to achieve tribal development objectives.

7. Implementing Agency and the procedure

The project is World Bank Funded, recipient executable project, to be implemented and executed by Ministry of Tribal Affairs, following World Bank procurement and financial management procedures.. The Deputy Director General (DDG (Stat), MoTA will be the Nodal officer in charge of operations of the project.. The Expert Advisory Group (EAG), will be formed at the national level would be the Governing Body and would

provide guidance and oversee all the activities including collation and synthesis of the results.

The Project intervention essentially will be in the form of consultancies, to facilitate the smooth implementation of the activities. All consultancies would be managed by MoTA. The State level consultancies will undertake performance assessments in each of the state. The results of State Consultancies would be synthesized by a National level consultant in the form of key policy and reform agenda for improving the governance, financing, design, implementation, administration and monitoring the development programs funded by MoTA. A quarterly progress review meeting of all components will be held by MOTA's EAG chaired by Secretary, MOTA.

The primary accounting for expenditures and maintenance of records at the central level will be done by the Pay & Accounts Office. The Nodal officer (DDG), with the help of his support staff, will be responsible for obtaining the classified abstracts from the PAO on the basis of which the Interim Financial Report (IFR) would be prepared and sent to the Bank for disbursement.

8. Funding, Financial Management & Procurement

a. Funding:

World Bank funded recipient executable programme. The project is premised on a technical assistance proposal by the Ministry of Tribal Affairs (MOTA). The Ministry's proposal, for US\$500,000, is recommended by the Department for Economic Affairs (DEA), Ministry of Finance, GoI, for World Bank assistance under the DFID TF III, to be implemented as a Recipient-Executed Activity.

b. Financial Management

- i. **Budgeting and Fund Flow:** Budget would be prepared by MoTA and then approved by Secretary, MoTA. MoTA will pre-finance all the project expenditure through its own funds (through the budget line) and disbursements from the grant will be made on the basis of the actual expenditure reported in the quarterly Interim Financial Reports (IFRs) of the WB, subject to audit certification at the end of each financial year.

- ii. **Accounting Arrangement:** Accounting for project expenditures will be done on cash basis of accounting under the budget head identified for the project. The budget coding system of GOI will be followed for project specific activities to be incorporated.
- iii. **Fund Flow Arrangement:** At GOI level, the project's funding requirements will be provided within the budget of the MoTA. At MoTA level, annual work plan will be prepared and will form the basis for the budget allocations. The expenditure under the project will be essentially pre financed through the GOI budget and withdrawals from the budget will be made through the Pay and Account Officer after following the government's internal procedure of obtaining necessary sanction orders. There will be no maintenance or operation of any separate bank account for this WB grant. Funds will flow from the Bank to the GOI.
- iv. **Financial Reporting:** MoTA will prepare a consolidated quarterly IFR for the Grant funded activities for the purpose of recording financial progress against the project components. A copy of this quarterly financial report will be sent to the World Bank, within 45 days from the end of each quarter. This report will be prepared on the basis of the actual expenditure incurred by MoTA on this project and recorded in the classified abstract obtained from the PAO.
- v. **Disbursement Arrangement:** MoTA will pre-finance all the project expenditure through its own funds (through the budget line) and disbursements from the grant will be made on the basis of the actual expenditure reported in the quarterly IFRs, subject to audit certification at the end of each financial year. The actual expenditure will be reimbursed to the project and no advances will be provided and hence the need of the designated account has to be agreed at the time of negotiations. The project will submit withdrawal application to Controller of Aids, Accounts and Audit (CAAA) in DEA for onward submission to the World Bank for reimbursement.
- vi. **External Audit:** The annual external audit of the project financial statements for the grant will be carried out by C&AG as per the TORs issued by the Ministry of Finance (Department of Economic Affairs) prescribing "Terms of Reference" to be adopted for all audits conducted by C&AG on the financial statements of World Bank-assisted

projects. The above audit report will be due within 6 months of close of the financial year. The following audit report will be monitored in the Bank's Audit Reports Compliance System.

Agency	Audit Report	Audited by	Due Date
Ministry of Tribal Affairs, Government of India	Annual project financial statements	C&AG	September 30

c. Procurement

- i. **Procurement Procedures.** Contract for Goods, Non Consultancy Services, and Consultancy Services will be subject to prior review irrespective of value or method of procurement/selection. In addition, the justifications for all single-source and direct contracting will be subject to prior review. In the case of the selection of individuals, the qualifications, experience, terms of reference and terms of employment shall be subject to prior review.
- ii. **Procurement/Supervision Plan.** As a part of the preparation, MoTA will record the planned procurement activities and update it bi-annually or as needed throughout the duration of the project in agreement with the Bank.
- iii. **Internal Control:** GoI's 2005 General Financial Rules (GFR) provides the required control framework for procedural transaction control over individual items of expenditure and receipts. For the project too, the PAO on receipt of sanction order will verify the expenditures, correctness of account heads and availability of budget allocation.
- iv. **Financial Management Supervision Plan:** The World Bank will follow risk based approach in supervising the FM activities of the Grant.

Appendix 1: Planned Log Frame

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions/Risks
Goal Support to Service Delivery/ Engagement with Low-Income States			
Purpose (Development Objective) To strengthen MoTA’s capacity to promote and enable more effective delivery of programs for tribal welfare and development in low-income areas of India	<ol style="list-style-type: none"> 1. Improved Client knowledge of subnational and international good practices in tribal development programs. <ul style="list-style-type: none"> • Strategic guidance from the Expert Advisory Group (EAG) • Scoping of key tribal development issues • Multi-stakeholder workshops • Overseas Development Tour 2. Enhanced client understanding of the key issues and constraints in improving the performance and impact of the TSP and flagship programs in the selected states. <ul style="list-style-type: none"> • State-level assessments of TSP. Grant under art 275(1). • Multi-stakeholder learning workshops in the States 3. Increased MOTA focus on results. <ul style="list-style-type: none"> • EAG review of RFD improvements. 4. Strengthened client capacity in supporting the effective design, administration and monitoring of programs to achieve tribal development objectives. <ul style="list-style-type: none"> • ‘Development Solutions’ workshops. • Synthesis paper on all components/results with recommendations/guidance. 	<ul style="list-style-type: none"> • Minutes of EAG deliberations • Scoping paper available • Workshop proceedings • Briefing paper produced • Overseas development tour back to office reports available. • State level reports available. • Workshop proceedings • Expert advisory proceedings. • Revised RFD. • Workshop proceedings. • Synthesis paper available. 	Assumptions: commitment of MoTA/GoI and policymakers to translate findings into concrete actions (with necessary resources). Risk: staff turnover may change levels of commitment; recommendations may not be accepted.
Outputs <ol style="list-style-type: none"> 1. Background Scoping Paper. 2. State level case study papers. 3. A synthesis paper. 4. Revised RFD. 	<ul style="list-style-type: none"> • Outputs available. • Integration of study findings into implementation action plans and/or policy debates. 	<ul style="list-style-type: none"> • Copies of outputs. • EAG meeting minutes. 	Assumption: adequate timeframe to implement all activities and produce high-quality outputs. Risks: delays in procurement may slow

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions/Risks
<p>Activities Work initiated, consultancies undertaken, and findings disseminated.</p>	<ul style="list-style-type: none"> • Consultants are hired • Reports prepared. • Dissemination as required • Workshops after Bank and GoI reviews. 	<ul style="list-style-type: none"> • Consultant procurement. • Study reports available. • Workshop reports available. • Dissemination evident. 	<p>down activities.</p> <p>Assumption: Consultants of adequate capacity and quality would be available to carry out the work.</p> <p>Risks: delays in fieldwork.</p>

Appendix 2

An evaluation was undertaken to assess if this project triggered any of the World Bank's social and environmental safeguards policies. It was noted that there are no physical investments. The interventions planned under the proposed project are exclusively analytical consultancies with workshops and one international observation study tour. Consequently, no safeguard policies – social and environmental – are triggered (see summary table). As no physical investments are planned, 'physical characteristics' and 'safeguard analysis' are not relevant. The action plans that may be developed as a result of this TA would be in conformity with all the Bank's Safeguard's Policies

World Bank Safeguard Policies Triggered by the Project	Yes	No
<u>Environmental Assessment (OP/BP 4.01)</u>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Natural Habitats (OP/BP 4.04)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Pest Management (OP 4.09)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Physical Cultural Resources (OP/BP 4.11)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Involuntary Resettlement (OP/BP 4.12)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Indigenous Peoples (OP/BP 4.10)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Forests (OP/BP 4.36)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Safety of Dams (OP/BP 4.37)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Projects in Disputed Areas (OP/BP 7.60)	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Projects on International Waterways (OP/BP 7.50)	<input type="checkbox"/>	<input checked="" type="checkbox"/>