

MINISTRY OF TRIBAL AFFAIRS

Government of India

PROJECT IMPLEMENTATION PLAN

FOR THE PROJECT

“Improving Development Programmes in Tribal Areas: Capacity Enhancements to Strengthen Service Delivery of Tribal Development Programs in India”

November 2013

Project Information

Project Name	“Improving Development Programmes in Tribal Areas: Capacity Enhancements to Strengthen Service Delivery of Tribal Development Programs in India”
Region	SOUTH ASIA
Country	INDIA
Lending Instrument	World Bank Technical Assistance (Small Grant; Recipient-Executed)
Grant Amount	USD \$500,000
World Bank Project ID	P145058
Borrower(s)	GOVERNMENT OF INDIA Ministry of Finance India
Implementing Agency	Ministry of Tribal Affairs (MoTA), Government of India
Project Start Date	November 15 th 2013
Project Completion Date	February 28 th 2015
Environment and Social Safeguards Category	C (OP 4.10 on Indigenous Peoples triggered)

Project Summary

This Project Implementation Plan is premised on a technical assistance proposal by the Ministry of Tribal Affairs (MoTA), Government of India, which aims to improve and strengthen the delivery of tribal development programs. The proposal, for US\$500,000, is recommended by the Indian Department for Economic Affairs (DEA) for World Bank assistance under the DFID Trust Fund(III), to be implemented as a Recipient-Executed Activity. The Development Objective of this work is to strengthen MoTA’s capacity to promote and enable more effective delivery of tribal welfare and development programs in the low-income areas of India. It proposes focusing on tribal areas in the states of Andhra Pradesh, Chhattisgarh, Jharkhand, Orissa and West Bengal. It will finance: (i) learning, knowledge exchange and study tours on subnational, national and international good practices in tribal development; (ii)

assessment of the Tribal Sub Plan and critical tribal development schemes in the selected states; and, (iii) facilitation of action planning through multi-stakeholder workshops.

A. Project Context and Rationale

A1. Country and sector issues

India has made considerable progress in fostering economic growth and reducing absolute poverty. For example, it has already achieved the first Millennium Development Goal One by halving the proportion of people living on less than \$1.25 a day, and rural poverty has decreased by 14.5 percentage points in the last two decades.¹

Despite progress, India still has more than 400 million poor people and is home to around one third of the global poor.² Given that India is predominantly rural, a huge concentration of the nation's poor people (four out of every five) still live in rural areas. Moreover, the benefits of the country's economic growth and development have not been shared by everyone - inequalities vis-à-vis disadvantaged groups persist.³

One notable group on the periphery of economic and social progress are the tribal groups (or 'Adivasis'). These people have been identified by the constitution as 'scheduled tribes' (ST).⁴ There are an estimated 100 million tribal persons, which accounts for around eight percent of India's population. The tribal situation in the country presents a varied picture: some areas have high tribal concentration while in others they form only a small portion of the total population. While the statistics vary across and among STs, the best-available data reveal the following. Overall, in a review of poverty and development progress in India, STs show the slowest pace of improvements in a range of areas.⁵ For instance, a report including a detailed survey by the Chronic Poverty Research Centre (2011), found that STs in tribal and forested areas are more likely to remain poor, with the decline in poverty among the rural tribal population going from an estimated 51.9% (1993-1994) to just 47.3% (2004-2005), compared to 37% (1993-1994) to 27% (2004-2005) for the entire population.⁶ Tribal people also fare badly in respect of human development indicators such as health and education.⁷ For example, while almost 60 percent of non-STs attend secondary school, only 40 percent of STs do – a gap that has held pretty constant since 1945.⁸ The tribal peoples' poorer education and health indicators are attributed in the first instance to poverty, which in turn, is a result of them being physically isolated, concentrated in remote hilly and forested areas suffering from poor accessibility and practicing mostly subsistence agriculture, often dependent on forest produce. The net result is that poverty among tribals is often intergenerational, passing on poverty from one generation to the next.⁹ It is also in tribal and forested areas of India where there are instances of conflict, which can further impede development. For instance, a GoI Planning Commission report (2008) linked movements since independence and the more recent militancy with the

¹ World Bank, (2013), 'Country Partnership Strategy for India for the Period FY 2013-2017', March 21, Report No. 76176-IN

² World Bank, (2013), 'Country Partnership Strategy for India for the Period FY 2013-2017'.

³ World Bank, (2011), Poverty and Social Exclusion in India, (The World Bank: Washington DC).

⁴ There are 645 distinct tribal groups recognized as STs in India. More than half the population are concentrated in the states of Madhya Pradesh, Chhattisgarh, Maharashtra, Jharkhand, and Gujarat (the 'central belt' of India). A second belt starts from the north, and comprises Jammu & Kashmir, Himachal Pradesh, Uttarakhand to the seven states in the north eastern region. The third is the southern belt with some STs in the south Indian states, as well as islands of Andaman & Nicobar and Lakshadweep.

⁵ Das, M. 'Poverty and Social Exclusion in India', Presentation at the TFESSD Seminar, Oslo: <http://siteresources.worldbank.org/INTUNITFESSD/Resources/1633731-1307643226089/Olso-TFESSD-SocialExclusion-Das.pdf>

⁶ Mehta et al (2011), India Chronic Poverty Report: Towards Solutions and New Compacts in a Dynamic Context: <http://www.chronicpoverty.org/publications/details/india-chronic-poverty-report>; 11th Five Year Plan. http://planningcommission.nic.in/plans/planrel/fiveyr/11th/11_v3/11v3_ch4.pdf

⁷ UNDP (2012), UNDP in India, http://www.undp.org/content/dam/india/docs/UNDP_in_india_2012_final_artwork.pdf

⁸ Hall et al, (2010), 'Still Among the Poorest of the Poor', Indigenous Peoples Policy Brief, http://siteresources.worldbank.org/EXTINDPEOPLE/Resources/407801-1271860301656/HDNEN_indigenous_clean_0421.pdf

⁹ Mahapatra, R. 'Why poor rural tribals will remain poor for generations' <http://infochangeindia.org/poverty/books-a-reports/why-poor-rural-tribals-will-remain-poor-for-generations.html>

underdevelopment of STs.¹⁰

Measures to Address Tribal Development: Constitutional Provisions and Tribal Development Framework

In response to the unique challenges faced by the STs, the Government of India (GoI) has undertaken a number of important measures. The Constitution of India recognizes the diversity of STs across India as well as other complex problems in terms of geographical isolation, socio-economic backwardness, distinctive culture, poor infrastructure facilities, language and religion, exploitation by various groups, and so on. In response, five broad categories of safeguards¹¹ are provided: (i) social – chiefly related to abolishing of un-touchability; (ii) economic – chiefly provision of fifth and sixth schedule areas; (iii) educational and cultural – reservations in educational institutions; (iv) political – provides for reservation of seats in legislature; and (v) services – reservations in appointments or of posts in public employment. Further, administrative provisions under the Fifth and Sixth Schedules give special powers to the state for the protection and governance of tribal areas, and reservation provisions ensure due representation in legislative bodies and government jobs. The introduction of Panchayat (Extension to Scheduled Areas) Act (PESA) was enacted by the Indian Parliament on Dec 24, 1996. This Act offers a provision for greater local control over resources and decision making to the tribal people through institutions like Gram Panchayat and Gram Sabha.

The GoI has also introduced the Tribal Sub Plan (TSP), which is a framework for socio-economic development of the tribals. It covers almost the entire tribal-inhabited areas and the nature and extent of intervention depends upon the demographic concentration. Specific instruments of coverage include: (i) Integrated Tribal Development Project (ITDPs); (ii) Modified Area Development Approach (MADA); (iii) Clusters; and (iv) Primitive Tribal Group (PTG). The TSP ensures the allocation of funds for tribal areas with additional contributions coming from state plans and central ministries. Special Development Agencies like Integrated Tribal Development Agencies (ITDAs) have also been created for overall tribal development especially in Fifth Schedule Areas. The overall objective is to ensure an integrated approach towards implementation of development programs for tribals in the TSP area. The Project Officers of ITDAs are vested with both development as well as regulatory responsibilities with the administrative control over all other line departmental officers including the revenue and tribal department personnel in the district. This way, all the three streams - revenue, development and law and order, are all streamlined, with a single line administration in Tribal Sub Plan areas.

The GoI also has a nodal ministry – the Ministry of Tribal Affairs (MoTA) – which implements a number of schemes designed to promote ST development.¹² In the context of the 12th Five Year Plan the GoI and the MoTA have supported various initiatives to support the tribal populations, and have implemented a number of centrally sponsored schemes for the development of STs. The funds allocated for tribal development, for the country as a whole, is around US\$ 4 billion per annum. Budget allocation for various schemes/programs of the Ministry of Tribal Affairs for 2012-13 was Rs.4090/- Crores (US\$ 800 million).

A2. Tribal Development Implementation Challenges and Rationale for Bank Involvement

In spite of the progress and the above initiatives, interventions have failed to fully achieve their key objective of significantly narrowing the gap between the STs and the rest of the population. A Planning

¹⁰Government of India. 2008. "Development Challenges in Extremist Affected Areas: Report of an Expert Group to Planning Commission." Report, April, Planning Commission, New Delhi. http://planningcommission.gov.in/reports/publications/rep_dce.pdf.

¹¹GoI, Tribal Constitutional Safeguards and Protective Measures for Tribals, <http://ncsc.nic.in/files/ncsc/new6/261.pdf>

¹² MoTA finances the following activities: (i) Special Central Assistance to TSP, for family oriented income generating schemes; (ii) grants under Article 275 (1) of the constitution, grant in aid to TSP and tribal majority states including Residential Schools; (iii) Girls/ Boys hostels; (iv) Ashram Schools in TSP areas; (v) Vocational Training Centres; (vi) strengthening education among tribal girls; (vii) grant in aid to state tribal development cooperative corporations; (viii) grant in aid to voluntary organizations to enhance the reach of the welfare schemes; (ix) research and training; and (x) development of PTGs.

Commission report puts it that TSP implementation has, 'been deficient both in the States, and the Centre.¹³ Many projects launched during and after the Fifth Five Year Plan have deviated either from their original objectives or have not met the objectives. Studies have shown a wide divergence between the annual plans, budget allocation for tribal welfare with the funds being spent or diverted on other areas. The result is that the outputs/outcomes have fallen short of expectations.

At the level of the MoTA, there are some other challenges to address which include: (i) improving the design, co-ordination and implementation of TSP, particularly with regard to participatory planning and beneficiary feedback; (ii) improving the oversight, monitoring and evaluation of TSP and SCA to TSP to ensure it meets its goals; and, (iii) ensuring that sub-national and international good practices and innovations are learnt and scaled up to better serve the needs of tribal groups. Moreover, there are very few analyses of the performance of TSP implementation and tribal service schemes, and this work will contribute to filling that gap.

A3. Rationale for the Project

Against this backdrop, the MoTA has requested a technical assistance grant from the Bank to implement the below project. The work is fully aligned with the Government's 12th Five-Year Plan goal of "more inclusive growth" and directly supports the activities and centrally sponsored programs of MOTA. The Government of India's approach paper for the 12th Five Year Plan accords high priority to the inclusion and development of tribal population given that the ST development indicators with regards to health, education, gender and other indices are well below the national average.

The project's development objectives are aligned with the Bank's Country Partnership Strategy (CPS) for India (2013-17). The CPS emphasizes accelerated poverty reduction and increased shared prosperity, which is also aligned with the Bank's broader corporate goals of ending extreme poverty, increasing shared prosperity and enhancing social inclusion. As is made clear by the above statistics, major progress in eradicating extreme poverty and increasing shared prosperity in India will not be achieved without progress among the STs. Moreover, the geographic scope of the project is varied agro-climatic zones in the states of Chhattisgarh, Jharkhand, Orissa and West Bengal. This work also supports the 'Inclusion' pillar of the CPS by aiming to improve the institutional capacity and delivery mechanisms for delivery of social services to the traditionally excluded tribal people.

B. Project Description

B.1 Financing Instrument

The grant financing (total of US\$500,000) would support the MoTA's capacity building and knowledge-generation agenda. The grant is expected to start on November 15, 2013 and close on February 28, 2015.

B.2 Project Development Objective and Key Outcomes

The Development Objective of this intervention is **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**. This includes the objectives of: (1) enhancing the effectiveness of MoTA's support to state-level TSP governance and allocation to meet ST needs; and, (2) increasing the effectiveness of MOTA to enhance tribal development through the assessment of selected flagship programs.

¹³Planning Commission (2012), Approach Paper for Twelfth Five Year Plan, p. 104: http://planningcommission.nic.in/plans/planrel/12appdrft/approach_12plan.pdf. See also: For instance: NC Saxena (2012), Administrative Reforms for Better Governance; A., Kolhi, (2012), 'Poverty Amid Plenty in the New India'.

These objectives are expected to be achieved through four intermediate outcomes:

- Improved MoTA knowledge of subnational 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.

Appendix 1 (below) gives a log-frame with outputs, activities, details of indicators, means of verification and risks.

B.3 Project Components

The proposed work would seek to build the capacity of MoTA through targeted knowledge-generation and sharing and the provision of technical advice and the facilitation of action planning at the national and state level.¹⁴ The proposed state-level analyses would aim to be conducted in at least two of the following states under this phase of the work – Andhra Pradesh¹⁵, Chhattisgarh, Orissa, Jharkhand, and West Bengal.¹⁶ Note that the number of states under investigation in this phase will be decided in further dialogue with the MoTA. These states were selected on the basis of the MoTA's strategic objectives and preferences and because they have a high concentration of STs. Barring West Bengal, all states have Fifth Schedule Areas. The work would be separated into the following four components and sub-activities:

Component 1. National-Level Learning and Knowledge-Sharing (\$180,000)

This component consists chiefly of the following national-level knowledge-generation and -sharing activities:

Establishment of an Expert Advisory Group

This expert committee would be established and convened by MoTA and it would meet periodically to discuss, guide and steer the work. This would include administrators, policy makers, tribal development specialists and other experts. Part of the costs of the EAG meetings would be covered from the project administration budget from component 4.

Stocktaking of Institutional Issues in Tribal Programmes

This mainly desk based research would serve to review and synthesize the major tribal development issues, opportunities and challenges in the country, with a view to informing the policy debate and other components of the technical assistance. It would include: (i) a desk review of the major and pressing policy, institutional and implementation barriers to critical service delivery for STs (such as the implementation performance of TSP, SCA to TSP, Article 275 (1)); (ii) a rapid functional review of MoTA in achieving its objectives and in addressing the challenges unearthed in point (i) (this includes furthering understanding of MoTA's comparative advantage, institutional challenges and opportunities); and, (iii) a review of national and subnational 'good practices'/innovations in furthering tribal development, including an integration of selected/relevant international experiences.

¹⁴ The NLTA will restrict its scope to schemes within the boundary of the funding strategies of TSP, SCA to TSP and Grants under Article 275 (1) of the Constitution.

¹⁵ In light of the current situation in Andhra Pradesh (AP), this state may not be studied in this phase of this project. The situation in AP will be monitored and a decision will be taken by the EAG on whether to conduct a study in AP in due course.

¹⁶ It is expected that this is the first phase of a longer period of technical assistance between the Bank and MoTA.

Learning from Regional/Global Experiences

This would include one overseas study tour (OST) on effective strategies, practices and lessons that are most relevant for India on tribal issues and development in South East Asian countries (such as in China, Laos, Vietnam or Cambodia). The OST would take a select group of staff from the centre and states to visit like policymakers and implementers to share experiences and lessons learnt. Following the trip, staff will produce Back to Office Reports where they detail the key lessons learnt and takeaways, as well as outline which good practices they think are applicable to their contexts and how they will seek to apply such practices in India.

Component 2. Functioning and Performance of Tribal Development Programs in selected states (\$180,000)

This component aims to assess the functioning and performance of tribal development planning and programs in the selected states. It may be that the methodology would be first implemented in two states before being scaled up to the remaining states. The component consists of two interrelated aspects: (i) a governance analysis of state-level planning and allocation for tribal issues through the SCA/TSP (and other relevant mechanisms), so as to unearth options for improving effectiveness *and* to identify the major schemes to address in the next point; and, (ii) performance assessment of 1 – 2 critical schemes/programs in terms of them furthering tribal welfare and development.¹⁷ Each aspect is briefly described here.

TSP Governance in the States

This first aspect will examine SCA/TSP governance, management and allocations processes, in order to identify progress and bottlenecks in achieving its objectives of furthering tribal welfare and development. This will include a review of issues such as: funding flows and allocations through TSP/SCA in the state; how the TSP planning processes and SCA are coordinated and linked together; how TSP is coordinated and linked with sectoral schemes and departments; and, ultimately, the degree to which the TSP/SCA planning processes appear to be effective in achieving their desired outcomes for tribals.¹⁸

Selected Schemes/Programs

This will consist of an analysis of the implementation and performance of critical socio-economic schemes in 1-2 districts of the selected states. The schemes selected will be those that are critical for furthering tribal welfare/development in the context and will be schemes where there are significant investments; most probably in the areas of education, infrastructure or social welfare/protection.¹⁹ The scheme selection will be made by MOTA based on the inception/research design reports produced by the consultants in each state.

In order to assess scheme performance, the analysis will identify the actual outcomes of the schemes relative to the expected outcomes, and will explore the reasons for deviations between actual and expected performance right down to the ‘last mile’. In terms of the methodology, the review would be informed by elements of the poverty and social impact assessment methodology, by governance/political economy frameworks and the methodology employed in the assessment of the Backward Regions Grant Fund (BRGF). This methodology will be fleshed out in the immediate inception phase of the work. As an indication, ‘performance’ will be assessed along a number of dimensions which include (but may not be limited to the following): (i) stakeholder participation (e.g. level of involvement and awareness of

¹⁷ The technical assistance will restrict its scope to schemes within the boundary of the funding strategies of TSP, SCA to TSP and Grants under Article 275 (1) of the Constitution.

¹⁸ See for instance NIRD 2012 review of SCA for TSP. This may involve the use of a public expenditure tracking methodology.

¹⁹ Key schemes might include: MGNREGA, NRLM, NBA, IAY, NRDWP, IWMP, ICDS, SSA/RMSA, NRHM, RGGVY

tribal communities, functionaries and other stakeholders in the schemes); (ii) equity/inclusion dimensions; (iii) business process dimensions (e.g. processes involved in identifying and implementing the schemes); and, (iv) institutional/accountability dimensions (e.g. inter-departmental coordination, financial tracking, capacity, monitoring and evaluation, oversight and grievance redressal).²⁰ The research methods will include: (i) a review of all relevant literature and a detailed stakeholder mapping in each State (to identify relevant political, civil society and societal actors); (ii) participatory analysis in 1 – 2 districts to include the ‘voice’ of tribal groups (women, youth, elected representatives and so on), through community consultations, focus group discussions and selected interviews; (iii) key informant consultations/interviews with relevant service providers/government departments (e.g. tribal affairs, women and child development, rural development, police, health and education); and, (iv) informant interviews with a range of other stakeholders such as district administrators or civil society organizations, and so on. Based on this review, this technical assistance will identify critical gaps in service delivery, capacity constraints and other issues in order to develop remedial actions (as outlined in component 3).

Component 3. Synthesis and Action Planning for Service Delivery Improvements (\$50,000)

This component will seek to synthesize the findings from components 1 and 2. It will facilitate the development of forward-looking action plans with measures to improve service delivery, as follows: first, the main results from across the two components will be synthesized in a paper and PowerPoint presentations, which will include the main operational recommendations and remedies; and, second, the findings will be used to develop action plans through ‘Development Solutions’ workshops – one workshop at central level and one in each state. The workshops will include a range of stakeholders including national, state and district personnel, civil society actors, Panchayat members and experts. Literature on relevant approaches from other countries may be used to stimulate discussion and action planning in the workshops. This model of reflection, assessment and action planning may then be scaled up by MOTA in other states.

Component 4. Project Administration and Monitoring for Results (\$117,000)

This component will include a review of the MoTA M&E system, with particular reference to MOTA’s development and implementation of a Results Framework Document (RFD) as well as fund utilization under the TSP. Based on the findings of the review, recommendations will be made to enhance the existing M&E system as well as the RFD in order to foster a more results-oriented approach. Additionally, this component would also finance the project administration costs related to logistics and travel costs for EAG and other project meetings/workshops, engagement of project implementation staff/consultants, purchase of laptops and other miscellaneous overheads. MOTA will be meeting some part of the project administration costs.

The costs related to time and travel of World Bank Staff for implementation support would be met from World Bank Budget resources, which are separate from the cost estimate of this project.

Outputs

Based on the above, the outputs will be:

- Scoping Paper.
- State-level case study papers for selected states.

²⁰ To the extent possible, this will include an assessment of the broader social, political and institutional frameworks within which the schemes are embedded such as: (a) Development institutions – these would include ITDs, DRDAs and PRIs; (b) Social institutions – mostly traditional; (c) Human Resources available for tribal development; (d) Laws and policies affecting tribal development negatively; (e) Laws like MGNREGA, Right to Education, Forest Rights Act, Food Security Act, relevant for tribal development. (f) Effect of affirmative action like reservation in educational institutions, in jobs and in political institutions. (g) Inter-group differences among different tribes. (h) Functioning of the constitutional provisions of Fifth and Sixth Schedules.

- A synthesis paper that pulls together all the results of the work, including providing policy and operational recommendations for improving tribal welfare.
- Recommendations for M and E system and the Results Framework Document.

B. 4 Lessons Learned and reflected in the TA design

The TA takes into account existing knowledge and lessons as summarized in the below table.

S. No.	Lessons Learned	Incorporated into TA design
1.	Building the knowledge pool for evidence-based policymaking and implementation in this area is critical.	The central thrust of this activity to generate operationally relevant knowledge to enhance understanding of what is working, and what is not, and apply remedies.
2.	There is limited knowledge of the factors that impinge on the effectiveness of service delivery for tribals down to the 'last mile'.	We propose the assessment of specific service delivery schemes down to field level.
3.	Results orientation and adequate reporting is critical for fulfilling the MOTA mandate.	The TA will support the review and enhancement of the M&E systems, which links into the Results Framework Document.
4.	Effective planning to respond to implementation bottlenecks is critical.	The TA has factored in 'Development Solutions' workshops to facilitate action planning.

C. Implementation Arrangements

C.1 Institutional and Implementation Arrangements

This project will be executed by the MoTA, Government of India. The MoTA will set up a dedicated core team, with the Project Director as the Deputy Director General (DDG, MoTA), which will include a Budget Head to implement this work. The Expert Advisory Group (EAG) will also be constituted to provide guidance for the activities, included in collating and synthesizing the results of the state-level studies. A quarterly progress review meeting of all components will be held by MOTA's departmental committee chaired by Secretary, MOTA. It will be implemented according to the Bank procurement and financial management procedures. Within five days of the counter-signature of the Grant Agreement, a detailed schedule of actions and deliverables will also be developed.

A number of consultancies will also facilitate the smooth implementation of the work. The MoTA may engage the services of tribal affairs expert(s) and project implementation staff/consultants to assist in implementing various TA activities. These include drafting of Terms of Reference, preparing procurement documents, reviewing the reports of the consultants, preparing various progress reports and coordinating the overseas study tour. More specifically, there may be consultancies, two at the national and the remaining four at state level, all managed by MOTA. State level consultancies will undertake performance assessments in each of the states. The results of which will be synthesized by the national consultant in the form of key policy and reform agenda for improving the governance, financing, design, implementation, administration and monitoring of the relevant programs.

C.2 Financial Management

The project will be implemented by the MoTA and the activities proposed under the grant include various consultancies, study tours, training and workshops. A full assessment of the financial management arrangements, including the conditions and procedures to be followed, was undertaken and is in Appendix 4. Based on the assessment, the overall financial management arrangements to support the implementation of the grant of USD 500,000 over the period are considered adequate. Here follows a brief summary.

Budgeting and Fund Flow: The responsibility of preparing the budget is with Divisional Heads (for this project it is Deputy Director (Stat)) which is then approved by Secretary, MoTA. The project will be budgeted on the expenditure side (15 digit budget code) at the Union (center) level, as World Bank Technical Assistance under an identifiable budget head item of the 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 IFRs, subject to audit certification at the end of each financial year. Funds will flow from the Bank to the GOI.

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 followed by GoI will allow for project specific activities to be incorporated in a manner that will facilitate the accounting and reporting of expenditures from the PAO's consolidated 'Monthly Accounts' itself. The primary accounting for expenditures and maintenance of records at the central level is done by the Pay & Accounts Office and Principal Accounts Officer. GoI's 2005 General Financial Rules (GFR) provides the required control framework for procedural transaction control over individual items of expenditure and receipts.

Staffing: The Deputy Director General (Stat) of MOTA, GOI will be the Nodal officer in charge of operations of the project. The primary accounting for expenditures and maintenance of records at the central level will be done by the Pay & Accounts Office. The Deputy Director General with the help of his support staff, if any, will be responsible for obtaining the classified abstracts from the PAO and on the basis of those abstracts prepare IFR, which will be sent to Bank for disbursement.

Financial Reporting: MoTA will prepare a consolidated quarterly IFR (see appendix 4) 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.

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.

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) vide their OM F. No. 17/7/2006-FB-II on March 20, 2009, prescribing "Terms of Reference" to be adopted for all audits conducted by C&AG on the financial statements of World Bank-assisted projects.

C.3 Procurement

A procurement assessment was undertaken, which is outlined in full in Appendix 5, below. A detailed and preliminary procurement plan is also outlined in Appendix 5. In brief, the assessment was undertaken in accordance with the World Bank Operational Policy 11.00 [revised March 2012] para 25. The implementing entity, MoTA, has no prior experience in Bank funded procurement, and the overall procurement risk rating was assessed as Moderate after mitigation measures. The procurement assessment concluded that the MoTA is likely to use the grant in compliance to the prescribed simplified procurement arrangements, provided that the following risk mitigation measures are undertaken, which include: appointment of a procurement officer to assist MoTA, training on Bank's Procurement Guidelines, formation of procurement committee, Prior Review of first procurement contracts, use of Bank's

prescribed formats for shopping, selection through the most appropriate methods (e.g. CQS, QCBS, QBS/Individual Consultants), webdisclosure of procurement awards, and procurement audits.

Procurement Procedures. First contract for Goods, Non Consultancy Services, 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. Details of consultancy services with estimated costs of the assignments envisaged in the project have been provided below (see Appendix 5). There are no civil works or goods to be procured under the project. Staff in MoTA will be provided support from the Bank's procurement team so that they may be able to handle this work effectively and efficiently.

Procurement/Supervision Plan. As a part of the preparation the Implementing Agency [IA] has recorded the planned procurement activities (see Appendix 5) and during Implementation the IA will record the actual Procurement activities that take place during the review period in the same table. The IA may use this table to confirm that the agreed procurement procedures for the grant were adhered to. The project shall update the Procurement Plan (PP) bi-annually or as needed throughout the duration of the project in agreement with the Bank to reflect the actual project implementation needs and improvements in institutional capacity.

C. 4 Monitoring and Learning of Outcomes

The Monitoring and Learning framework for this grant will help track key processes, focus on results and monitor progress through mainly qualitative indicators for each of the grant components as per the log frame in Appendix 1. The MoTA will furnish to the WB: (i) Quarterly Progress Reports (QPR) that would include a pro-forma-based report giving details of up-to-date progress on financial aspects, key highlights and constraints encountered during the reporting period and the coping strategy, and, (ii) a final assessment report.

C.5 Sustainability

The TA has been designed on the basis of a request and proposal from the MoTA so it is fully aligned with the goals and priorities of MoTA. The TA aims to provide knowledge that is relevant to the fulfillment of the MoTA mission and will ensure that the knowledge is shared effectively to promote MoTA discussion, uptake and sustainability. Based on the knowledge generated it will facilitate Development Solutions workshops to ensure that this knowledge is integrated into policies, actions and institutional mechanisms to support longer-term capacity building.

C.6 Safeguards

Social and Environmental Safeguards

An evaluation was undertaken to assess if this project posed any social or environmental risks and if it triggered any of the World Bank's social and environmental safeguards policies. It was noted that there are no physical investments and as a result no adverse environment and social impacts are expected. The interventions planned under the proposed project are analytical consultancies, workshops and consultations, and one international study tour. Since the studies, workshops, consultations are going to be located in tribal areas, and will also involve interaction with government agencies and community stakeholders involved with tribal development, OP 4.10 on Indigenous Peoples has been triggered. Also the TA will not result in preparation of long term plans on forest resources, biodiversity hot spots, land use and water resources. GoI already has laws on each of these issues. Any action plans developed as part of this TA would comply with the Bank's Environment and Social Safeguard's Policies, particularly OP 4.20 (Involuntary Resettlement) and OP 4.10 (Indigenous Peoples).

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 checked="" type="checkbox"/>	<input 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"/>

To address any implementation, capacity and procurement related gaps and risks, the following mitigation measures would be undertaken: formation of an expert advisory group to provide guidance to the activities, World Bank technical support throughout, and recruitment of dedicated consultant support on project implementation and procurement.

Appendix 1: Planned Log Frame

Narrative Summary	Verifiable Indicators	Means of Verification	Assumptions/Risks
Goal. Inclusive Growth			
<p>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</p>	<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. 	<p>Assumptions: commitment of MoTA/GoI and policymakers to translate findings into concrete actions (with necessary resources).</p> <p>Risk: staff turnover may change levels of commitment; recommendations may not be accepted.</p>
<p>Outputs</p> <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. 	<p>Assumption: adequate timeframe to implement all activities and produce high-quality outputs.</p> <p>Risks: delays in procurement may slow down activities.</p>
Activities	<ul style="list-style-type: none"> • Consultants are hired 	<ul style="list-style-type: none"> • Consultant 	Assumption:

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

Appendix 2: Summary of Components and Activities

Component	Sub-component	Brief Description of Activity	Timeframe (within)	Expected Outcome(s)
1. National-Level Learning and Knowledge-Sharing	Set up Expert Advisory Group	<ul style="list-style-type: none"> Comprising administrators, policy makers and tribal development specialists, to guide and steer the project 	3 months	<ul style="list-style-type: none"> Enhanced knowledge and guidance for MoTA.
	Study Scoping Exercise	<ul style="list-style-type: none"> Mapping of relevant tribal issues in India (e.g. TSP performance, MoTA functions). 	3 months	<ul style="list-style-type: none"> Enhanced knowledge of major issues at stake. Enhanced knowledge of MoTA staff of practices in addressing tribal/indigenous issues.
	An Overseas observation study tour (OST).	<ul style="list-style-type: none"> Selected staff participate in an overseas tour to observe tribal practices and share ideas. 	12 months	<ul style="list-style-type: none"> Enhanced knowledge of MoTA staff of practices in addressing tribal/indigenous issues.
2. Functioning and Performance of Tribal Development Programs in Selected States	Functioning and performance of the TSP and Schemes at state level.	<ul style="list-style-type: none"> Assessment of TSP management as well as of two schemes at state level. 	9 months	<ul style="list-style-type: none"> Enhanced knowledge of the progress, challenges and remedial actions in service delivery schemes from a tribal perspective.
3 Synthesis and Action Planning for Service Delivery Improvements	Development Solutions Workshops	<ul style="list-style-type: none"> Synthesis and policy actions/recommendations. 1 workshop at central level and 1 at state level to discuss findings and actions. 	14months	<ul style="list-style-type: none"> Increased focus on implementation bottlenecks and remedial actions.
4 Project Administration and Monitoring for Results		<ul style="list-style-type: none"> Revisions and strengthening of the M&E/RFD based on the projectfindings. 	14months	<ul style="list-style-type: none"> Increased focus on results.

Appendix 3: Estimated Program Costs and Financing Plan funds

Table 1: Total Program Costs and Estimated Financing Plan

Activity Components	Estimated Cost (US\$)	Source of funds (US\$)		
		DFID TF(US\$)	Bank Budget (US\$)	MoTA (US\$)
National-Level Learning and Knowledge-Sharing	180,000	180,000		
Functioning and Performance of Tribal Development Programs in Selected States	180,000	180,000		
Synthesis and Action Planning for Service Delivery Improvements	50,000	50,000		
Project Administration and Monitoring for Results	117,000	90,000		27,000
World Bank Staff Time/Travel	100,000 ²¹		100,000	
TOTAL	627,000	500,000	100,000	27,000

Table 2: Total Program Costs and Estimated Financing Plan by FY and Component

Activity Components	DFID TF	Bank Budget (US\$)	DFID TF (US\$)	Bank Budget (US\$)
	FY 1	FY 1	FY 2	FY 2
National-Level Learning and Knowledge-Sharing.	50,000		130,000	
Functioning and Performance of Tribal Development Programs in Selected States.	150,000		30,000	
Synthesis and Action Planning for Service Delivery Improvements.			50,000	
Project Administration and Monitoring for Results	50,000		40,000	
World Bank Staff Time		50,000		50,000
TOTAL	250,000	50,000	250,000	50,000

²¹ The budget for staff time and travel will come from separate budget heads that are also financed under the DFID TF.

Appendix 4: Financial Management Assessment Note

Summary: This assessment of financial management arrangements has been done in accordance with World Bank OP/BP 10. The implementing entity, Ministry of Tribal Affairs (MoTA), has adequate financial management arrangements in place to account and report on the grant expenditures.

Objective: The project is premised on a technical assistance proposal by the Ministry of Tribal Affairs (MoTA), Government of India, which aims to enhance the delivery of tribal development programs. The Ministry's proposal, for US\$500,000, is recommended by the Indian Department for Economic Affairs (DEA) for Bank assistance under the DFID TF III, to be implemented as a Recipient-Executed Activity. The Development Objective of this NLTA is to strengthen MoTA's capacity to promote and enable more effective delivery of tribal welfare and development programs in the low income areas of India. It will focus on tribal areas in the states of Chhattisgarh, Jharkhand, Orissa and West Bengal. It will finance: (i) learning, knowledge exchange and study tours on subnational, national and international good practices in tribal development; (ii) assessment of the Tribal Sub Plan and critical tribal development schemes in the selected states; and, (iii) facilitation of action planning through multi-stakeholder workshops.

Implementing Agency: MoTA is the recipient organization for this grant and would be implementing this project and therefore an FM assessment has been undertaken for this Ministry. Based on the assessment, the overall financial management arrangements to support the implementation of the grant of USD 500,000 over the stated time-period are considered adequate. The MoTA was constituted in October 1999 with the objective of providing more focused attention on the integrated socio-economic development of the most under-privileged sections of the Indian society namely, the Scheduled Tribes (STs), in a coordinated and planned manner. The MoTA is the nodal Ministry for the overall policy, planning and coordination of programmes for development of STs.

Governing Body: The Expert Advisory Group which will be formed under the project will provide guidance and oversee all activities including collation and synthesis of the results. A quarterly progress review meeting of all components will be held by MoTA's departmental committee chaired by Secretary, MoTA.

Budgeting: The responsibility of preparing the budget is with Divisional Heads (for this project it is Deputy Director (Stat)) which is then approved by Secretary, MoTA. The project will be budgeted on the expenditure side (15 digit budget code) at the Union (center) level, as World Bank Technical Assistance under an identifiable budget head item of the Ministry of the Tribal Affairs. (Refer Annexure 1 for budget head detail)

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. Since the regular payment procedures of the MoTA are being used, the project will not maintain or operate any separate bank account for this grant.

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 followed by GoI will allow for project specific activities to be incorporated in a manner that will facilitate the accounting and reporting of expenditures from the PAO's consolidated 'Monthly Accounts' itself. However, any advances paid will be classified as advances and will be charged to expenditure only upon receipt of actual expenditure

details. The primary accounting for expenditures and maintenance of records at the central level is done by the Pay & Accounts Office and Principal Accounts Officer.

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. PAO on receipt of sanction order verifies that expenditure is duly approved, original bills/supporting documents, proof of physical delivery of goods/services, correctness of account heads and availability of budget allocation. The same will apply to the project.

Staffing: The Deputy Director General (Stat) of MOTA, GOI will be the Nodal officer in charge of operations of the project. The primary accounting for expenditures and maintenance of records at the central level will be done by the Pay & Accounts Office. The Deputy Director General with the help of his support staff, if any, will be responsible for obtaining the classified abstracts from the PAO and basis those abstracts prepare IFR, which will be sent to Bank for disbursement. In case the budget head created does not provide sufficient project level details then the Technical Cell at MoTA will need to maintain additional parallel accounting records, classifying the expenditures by activity heads to allow for six monthly interim financial reports to be prepared in a manner that will allow easy monitoring of actual expenditures against original project allocations. Then it will also entail engaging qualified finance professional on a contractual basis to be part of the Technical Team.

Financial Reporting: MoTA will prepare a consolidated quarterly IFR (refer below) 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. These classified abstracts should have been reconciled with the consolidated “Monthly Accounts” of MoTA sent to Controller General of Accounts (CGA).

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. Expenditure categories eligible for financing under the grant agreement and as per the disbursement percentage will be financed out of the proceeds of the grant. 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.

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) vide their OM F. No. 17/7/2006-FB-II on March 20, 2009, 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

Financial Covenants: 1) Submit the quarterly IFR to the World Bank within 45 days from the end of each quarter; 2) Submission of annual audit report within six months of the close of the financial year.

Financial Management Supervision Plan: The World Bank will follow risk based approach in supervising the FM activities of the Grant. The supervision will primarily take the form of desk reviews of the IFRs and other reports/ documents as deemed necessary. The number of site visits will be aligned with the overall supervision plan of the project.

Financial Risk Analysis

Type of Risk	Risk Rating	Proposed Risk Mitigation Measures	Residual Risk Level
Inherent Risk			
• Country Level	M		M
• Entity Level	M		M
• Grant Level	L		L
Project level risks			
• Budgeting	L	Established budgeting processes in place.	L
• Accounting	L	Computerized accounting system	L
• Internal Controls	M	Internal control framework in place.	L
• Fund flow	L		L
• Reporting	M	Regular reporting processes in place	M
• Auditing	M	Auditors acceptable to Bank	L
Overall FM risk			L

Conclusion: The assessment concludes that financial management (FM) arrangements for the proposed project are adequate. The overall financial management risk for the Project is assessed as ‘Low’

Budget Detail Sample

Following table explains the tentative budget code allocation (2225.02.796.xx.00.50) for this project:

<i>Digits in Code</i>	<i>Descriptive heads</i>	<i>Significance of each head</i>	<i>Tentative budget code for the proposed TA.</i>
4 digits	Major Head	Function of Ministry	2225 – Welfare of Scheduled Caste, Scheduled Tribes and Other Backward Classes
2 digits	Sub- Major Head	Program	02 – Welfare of Scheduled Tribes
3 digits	Minor Head	Scheme	796 – Scheduled Tribes Sub Plans
2 digits	Sub- Minor head	Sub-Scheme	09 –Welfare of Scheduled Tribes – Other Expenditure 07- Monitoring and Evaluation. Xx – WB Project
2 digits	Detail Head	Activity	See below
2 digits	Appropriation/ Object Head	Sub-Activity	See below

At the detailed head level, the budget coding system followed by GoI will allow for project specific activities to be incorporated in a manner that will facilitate the accounting and reporting of expenditures from the PAO’s consolidated ‘Monthly Accounts itself. The detail heads are aligned to the Projects detailed cost tables and will help easy monitoring of actual expenditure outturns against the project allocations. Following this approach will mean that MoTA will not need to maintain parallel records or

engage additional consultants to help them in the financial management tasks for the project. However, this will require willingness on the part of MoTA's PAO staff to create additional sub-budget lines in the following manner:

Object Head
09.10.11 - Domestic Travel
09.10.12 - Foreign Travel Expenses
09.10.13 - Office Expenses
09.10.16 - Publication
09.10.20 - Other Administrative Expenses
09.10.28 - Professional Services
09.10.50 - Other charges
Total:

The total budget indicated here has two components: World bank assistance of \$ 0.5 million and MoTA's budget of Rs. 20.5 lakhs

IFR Sample Format

Interim Financial Report (IFR)							
Format 1							
For the half year Ending – XXXX							
						(In INR Million)	
	Particulars	Budget	Detail of Expenditure			Forecast for next six months	Reimbursement %
			Current reporting Period	Year to Date	Cumulative to Date		
	Component Description						
	1 Component 1						
	1.1 Establishment of EAG	-					-
	1.2 Scoping Exercise	50,000					100%
	1.3 Oversees Learning Program	100,000					100%
	1.4 Synthesis of results	-					-
	2 Component 2						
	2.1 Participatory Social & Institutional Analysis (Field Level Study)	100,000					100%
	2.2 A detailed assessment of functioning of the governance and administration in Scheduled Areas	75000					100%
	3 Component 3						
	3.1 Paper on relevant approaches from other countries	50,000					100%
	3.2 Development Solutions Workshops and Implementa	100,000					100%
	4 Component 4						
	4.1 Development of M&E System	25,000					100%
	4.2 Project Administration Cost	90,000					-
	Total Expenditure	590,000					

Appendix 5: Procurement Assessment

Summary: This assessment of procurement arrangements has been done in accordance with World Bank OP11.00 [revised March 2012]para 25. The implementing entity, Ministry of Tribal Affairs [MOTA], Government of India has no prior experience in Bank funded procurement. This is the first engagement of MOTA with the Bank. However it is well versed in government procurement procedures and will be able to use the grant in compliance to the prescribed simplified procurement arrangements.

Objective: the TA is premised on a technical assistance proposal by the Ministry of Tribal Affairs (MOTA), Government of India, which aims to enhance the delivery of tribal development programs. The Ministry's proposal, for US\$500,000, is recommended by the Indian Department for Economic Affairs (DEA) for Bank assistance under the DFID TF III, to be implemented as a Recipient-Executed Activity. The Development Objective of this NLTA is to strengthen MoTA's capacity to promote and enable more effective delivery of tribal welfare and development programs in the low income areas of India. It will focus on tribal areas in the states of Chhattisgarh, Jharkhand, Orissa and West Bengal. It will finance: (i) learning, knowledge exchange and study tours on subnational, national and international good practices in tribal development; (ii) assessment of the Tribal Sub Plan and critical tribal development schemes in the selected states; and, (iii) facilitation of action planning through multi-stakeholder workshops.

Implementing Agency: Ministry of Tribal Affairs [MOTA], Government of India is the implementing agency. It would be the recipient of this Grant and would be implementing this project as per the proposed procurement plan to be implemented over the stated time period.

Procurement/Supervision Plan: As a part of the preparation the Implementing Agency [IA] will finalize a procurement plan.

Procurement Risk Assessment and Proposed Mitigating Actions: The first contract for Goods, Non Consultancy Services, 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.

	Risks	Mitigating Actions
1	No experience in World Bank (WB) projects/procurement	Familiarization with WB Procurement and Consultancy Guidelines/Attend Training on Procurement of Goods and Hiring of Consultants under Bank Funded Projects. The first goods and consultancy contract will be prior reviewed
2	Challenges in procurement. Contract and procurement templates/documents are not comprehensive. Bid/proposal evaluation reports are not detailed enough to reflect compliance to terms and conditions. Lack of transparency in competitive bidding, bids are not opened in presence of bidders	Will use Bank's prescribed formats for Shopping, selection through CQS/QCBS/QBS/Individual Consultants. Will make detailed evaluation reports. Will have a committee for taking procurement decisions. Will ensure public opening of bids under shopping, and disclosure of award on the website.
3	No specialized procurement staff	Designated Procurement Officer to be positioned by MOTA.
4	Procurement Audit Report/TOR do not envisage review of procurements	The independent internal audit to carry out a procurement audit as along with the financial audit
5	Contracts for similar assignments are administered but the procurement procedures and contract format are not at par with requirements under Banks guidelines.	Will use Bank's prescribed formats for Shopping, selection through CQS/QCBS/QBS/Individual Consultants.

Based on the above, the overall procurement risk rating is Substantial, and after mitigation measures, Moderate. The draft procurement plan is outlined below.

Draft Procurement Plan. The draft Procurement Plan (PP) prepared by the MOTA for the period of 14 months is presented below. This is an indicative plan and MOTA would update the PP half-annually or as needed throughout the duration of the project in agreement with the Bank to reflect the actual project implementation needs and improvements in institutional capacity. The project shall implement the PP in the manner in which it has been approved by the Bank.

Expected Consultancy Assignments with Selection Methods and Time Schedule

SI No	Activity	Description of Assignment	Estimated Cost US\$	Estimated Cost in INR	Actual Contract Cost	Procurement / Selection Method	Review by Bank (Prior /Post)	Estimated Contract Date	Actual Contract Date	Confirmation of Compliance with procurement procedure	Remarks
Component 1.National-Level Learning and Knowledge-Sharing											
1	A	Study/Scoping Exercise including literature review	40,000	2,460,000		QCBS / QBS/ CQS	Post	February 2014			Activity A of Component 1 and Component 3 synthesis study could be taken up by Single Consultant, depending on consultant availability and suitability
Component 2: Functioning and Performance of the Tribal Development Programs in selected states											
2	A	Study on Functioning and performance of the Tribal Sub Plans and selected government programs (includes state report, state level	180,000	11,070,000		QCBS / QBS/ CQS	Prior	February 2014			One Consultant would be able to carry the study in more than one state.

		workshops)									
Component 3.Synthesis and Action Planning for Service Delivery Improvements											
3	A	Consultancy for Synthesizing the State Reports completed under Component 2 and information generated from Component 1	50,000	3,075,000		QCBS / QBS/ CQS	Post	March 2014			As mentioned this study could be merged with the desk review under component 1, based on availability and suitability of consultant.
Component 4. Project Administration and Monitoring for Results											
4 (a)	A	Review of M & E System	40,000	2,460,000		Individual Consultants (INDV) / Firm	Post	June 2014			
4(b)	B	Engagement of Project Implementation Staff/Consultants	35,000	2,152,500		Individual Consultant (INDV)	Prior	Dec 2013			Single Source/ 3 CV method to be used with prior approval of the Bank
4 (c)	C	Purchase of Laptops	5,000	307,500		Shopping	Post				

Note:

1 USD= Rs.61.5

First contract will be prior reviewed.

Abbreviations:

QCBS: Quality and Cost Based Selection; QBS: Quality Based Selection; CQS: Selection based on Consultants' Qualifications