

India

Jharkhand Tribal Empowerment & Livelihoods Project

Supervision report

Main report and appendices

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Abbreviations and acronyms

AOS	Annual Outcome Survey
APD	Additional Project Director
AWPB	Annual Work Plan and Budget
BDO	Block Development Officer
BoD	Board of Directors
BPL	Below the Poverty Line
CF	Community Facilitators
CRP	Community Resource Persons
DGS&D	Director General of Supplies & Disposal
DoRD	Department of Rural Development
DoW	Department of Welfare
DPCC	District Project Coordination Committees
DPMU	District Project Management Units
DRDA	District Rural Development Agency
EPA	Entry Point Activity
FAM	Finance and Administration Manager
FAO	Finance & Admin Officer
FNGOs	Facilitating NGOs
GoJ	Government of Jharkhand
GSPEC	Gram Sabha Project Execution Committee
GSRMLP	Gram Sabha Resource Management and Livelihood Plans
HH	Households
HR	Human Resources
ICO	India Country Office
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IEC	Information, Education and Communication
IFAD	International Fund for Agriculture Development
IFPRI	International Food Policy Research Institute
IGA	Income Generating Activities
INR	Indian Rupee
INRM	Integrated Natural Resource Management
ISM	Implementation Support Mission
JRM	Joint Review Mission
JSLPS	Jharkhand State Livelihood Promotion Society
JSRLM	Jharkhand State Rural Livelihood Mission
JTDP	Jharkhand Tribal Development Project
JTDS	Jharkhand Tribal Development Society
JTELP	Jharkhand Tribal Empowerment and Livelihoods Project
KM	Knowledge Management
MGNREGA	Mahatma Gandhi National Rural Employee Guarantee Act
MGNREGS	Mahatma Gandhi National Rural Employee Guarantee Scheme
MIS	Management Information System
MoF	Ministry of Finance
NRLM	National Rural Livelihood Mission
PESA	Panchayat (Extension to Scheduled Areas) Act, 1996
PF	Provident Fund
PFS	Project Financial Statement
PIM	Project Implementation Manual
PME	Planning, Monitoring and Evaluation
PTG	Particularly Vulnerable Tribal Groups
QCBS	Quality and Cost Based System

RIMS	Results Impact Measurement System
SCA	Special Component Assistance
SDR	Special Drawing Rights
SHG	Self Help Group
SOE	Statement of Expenditure
SPCC	State Project Coordination Committee
SPD	State Project Director
SPMU	State Project Management Unit
ST	Scheduled Tribes
TRI	Tribal Research Institute
TSA	Technical Support Agencies
TSP	Tribal Sub Plan
USD	United States Dollar
VDF	Village Development Fund
WA	Withdrawal Application
YG	Youth Group
<i>Gram Sabha</i>	Assembly of all adults in a village
<i>Panchayat</i>	Elected Local Governance Body in Rural Areas
<i>Tola</i>	Hamlet

A. Introduction¹

1. IFAD fielded a supervision mission during 25 July to 6 August 2016 to jointly review the implementation progress and overall performance of the Jharkhand Tribal Empowerment and Livelihoods Project (JTELP) and its achievements since the previous joint review during 29 November to 12 December 2015. Divided into 3 groups, the mission conducted field visits from 26 to 30 August 2016, visiting in all 28 villages in 15 blocks in all 14 districts. It interacted with the 14 DPMU teams and could assess broadly the work of 15 FNGOs and 3 TSAs. It also discussed convergence issues with the Principal Secretary Rural Development, Secretary Agriculture Department and the District Collector of West Singhbhum.

2. The overall goal of the project is to improve living conditions of Scheduled Tribes (STs) in general and Particularly Vulnerable Tribal Groups (PTGs) in particular, covering selected ST majority blocks and Panchayats in all the 14 Tribal Sub-Plan districts of Jharkhand by empowering and enabling the communities to adopt livelihood options based on sustainable and equitable use of natural resources. The objective of the project is to foster community based institutions to empower village communities, especially women, introduce sustainable natural resource management systems to enhance food security and cash incomes by introducing improved farming practices and proven production technologies. The project is implemented by the Jharkhand Tribal Development Society (JTDS)² established by the Government of Jharkhand (GoJ). This is the third project supervision mission. The IFAD Loan (No. I-879-IN) for SDR 33.55 million became effective on 4 October 2013. Effective implementation started only in April 2015 when the project staff, facilitating NGOs (FNGO) and Technical Support Agencies (TSA) were recruited and field activities began. The project completion and closing dates are, respectively, 31 December 2021 and 30 June 2022.

3. The findings and recommendations of the Mission were shared and discussed with the PMU/DPMU/FNGO/TSA on 4th August. The state level wrap-up meeting took place on 5th August 2016, chaired by Dr. Rajiv Arun Ekka, Secretary, Department of Welfare (DoW), GoJ and attended by the State Project Director (SPD) and Additional Project Director (APD) of JTDS. The recommendations were discussed and agreed with the JTELP management team and implementing partners. The DEA wrap-up meeting took place on 22 August 2016 in New Delhi chaired by Director (MI), DEA.

B. Overall assessment of project implementation

Overall implementation progress

4. The JTELP was classified as problem project in 2015 and at risk of not achieving its objectives. Recommendations to redress performance focused primarily on aspects related to project management, financial management, adherence to implementation modalities as per the PIM and facilitating convergence with Government programs, especially MGNREGA. The recommendations related to project management are largely implemented whereas work is on-going to implement those related to financial management, aligning implementation with the provisions of the PIM, and ensuring convergence with MGNREGA.

5. At the end of its first year of field implementation in 2015-16, the project has largely completed the intended village and population coverage as well as the establishment of the grassroots organizations (SHG and GS-PECs). The rate of budget execution for 2015-16 was 53%.

6. The mission reviewed the outputs of AWPB 2015-16 and these underscore a number of positive developments: (i) coverage of all villages in one panchayat as per project design; (ii) strengthening of community organizations with the majority of the GS-PEC, SHG and YG visited by the mission functional; (iii) on-going revision of the participatory planning for NRM and livelihood support and development of GSRMLP following best practices and detailed analysis of land patches; (iv) roll out of investment type activities such as farm ponds, orchards, aquaculture and livestock based IGAs (goat rearing, pig rearing and poultry) with the funds provided to GS-PEC for implementation; (v) successful examples of convergence, particularly with ATMA (provision of irrigation equipment, SRI for paddy rice

¹ Mission composition: Ms. Rasha Omar, CPM and Mission Team Leader; Dr. Vincent Darlong, CPO; Mr Deep Joshi, Community Empowerment, INRM, Livelihoods & Convergence; Mr. Pratul Dube, Financial Management & Procurement; Ms. Varsha Mehta, Livestock Specialist; Mr. Karan Sehgal, Renewable Energy expert.

² JTDS implemented the Jharkhand Tribal Development Project in 5 districts from 1999 to 2010.

and certified seeds); (vi) establishment of work systems such as staff performance evaluation, FNGO performance monitoring sheet, bi-monthly district levels meetings with FNGOs and monthly meetings between SPMU, DPMU, FNGO and TSA; (vii) slight increase in absorptive capacity with expenses of USD 8.2 million by 30 June 2016 representing 7% of total project costs. The disbursement of the IFAD loan stands at 7.5%.

7. The progress against project outcomes and development objective is summarized below. The mission is of the opinion that with the activities rolled out to date, the **likelihood of achieving project objective is now moderately satisfactory**.

8. **Outcome 1: Increased community awareness, strengthened GS-PECs, women's groups, youth groups and PTG households.** By June 2016, the project had formed 1 247 GS-PECs, 5 212 SHGs and 308 YGs, thus largely achieving the project outreach target. The groups the mission visited were by and large functional. GS-PECs have managed a total of INR 83.7 million mainly for entry point activities (EPA) and IGA activities; SHG have saved up to INR 13 000 each; YGs have undertaken a number of social activities such as lobbying against alcohol abuse, serving the quantities of mid-day school meals as per norms, organizing football and cricket tournaments. Some YGs have also initiated regular savings.

9. **Outcome 2: Land and water conserved and used sustainably for the benefit of tribal communities.** The land and water conservation activities are currently confined to EPA activities in form of farm ponds of various sizes, access to diesel pumps for flood irrigation through convergence with ATMA; and promotion of SRI to improve paddy yields. These activities were conducted in absence of a detailed GSRMLP, limiting the effectiveness of investments. In order to strengthen the logic between the activities undertaken to date and the achievement of the second outcome, the project should facilitate community-agreed regulations on (i) water sharing mechanism between various farmers using the water (usually drawing water by diesel pump set); (ii) benefits sharing from aquaculture; and (iii) use of VDF for maintenance of the pond, as well as development of VDF through contributions from beneficiaries of water from the pond. Furthermore, the project should consider alternative SWC practices on cultivated land and grassland for food and fodder crops beyond the farm ponds and shallow wells. It should also promote the reduction of women drudgery in fetching fuelwood and decreased reliance on diesel by promoting biogas and solar power.

10. **Outcome 3: Improved food security and increased income from use of natural resources and off-farm employment.** JTELP has supported to date livestock based IGA benefiting 2 590 HH and most of the beneficiaries are women SHG members. Unlike the proposed project design to target the most vulnerable ST households for individual IGAs (hence their financing on grant terms), the project promoted livestock-based collective IGA models managed in different ways. The mission estimated that the additional income from the IGAs promoted could reach INR 7 000/year if adequately managed. In order to improve the logic between activities conducted and the achievement of the 3rd outcome, the project should ensure that IGAs are implemented on an individual basis, are cost effective, generate higher additional income, and targeted at the most vulnerable ST households. With regards food security, the baseline study reports that 99% of HH are food secure and thus this indicator would not be adequate for attribution of project impact.

11. **Outcome 4: Staff expertise strengthened and their capacity to coordinate inclusive services to stakeholders enhanced, convergence established, and NGO contracts effectively handled.** The mission noted the positive learning gained by the project staff and FNGOs from the technical assistance on INRM. The training by IFAD on M&E and financial management enabled JTELP to revise its M&E matrix and implement recommendations of the 2014-15 audit and the 2015 supervision mission. Areas of improvement include (i) the coordination of inclusive services to stakeholders especially in terms of activity planning and communication about project objectives and approach, (ii) deepening convergence with Government programmes relevant to the improvement in the livelihoods of the ST population as outlined in the baseline study and village PRA reports, (iii) managing the performance of the NGO.

12. **Objective: Empower 136 000 HH including 10 000 PTG HH to take up livelihood opportunities based on sustainable and equitable use of NR in 164 village Panchayats in 30 blocks of 14 TSP districts.** The project now serves a population of 189 333 (including JTDP villages), of which 9 500 are PTG, in 1589 villages, in 159 GP, 30 blocks and 14 TSP districts. JTELP has already rolled out a number of livelihood activities; yet the selection, management and financing of these livelihood activities need to be strengthened to generate higher level of benefits. To enhance sustainability, the project should support awareness raising on climate resilient technologies, including

renewable energy sources at household and farm level. This would also reduce women's drudgery, especially in fuelwood collection.

13. **Main recommendations.** The project performance against a number of indicators has improved since the last supervision mission. It is the mission assessment that the project could now be classified as potential problem project rather than actual problem project. The mission recommends that the project focuses on key actions to move out of problem status as summarized in the table below. Moreover, to further streamline project performance, the mission recommends setting the date of the mid-term review in April 2017.

Agreed action	Responsibility	Agreed date
1. Timely release of counterpart funds by the State Government	SPMU, Welfare Dept	31 Aug 2016
2. Synchronization of financial statements using the Tally software and submission of the audit report for FY 2015/16	SPMU	30 Sept 2016
3. Integrating the land and water activities of JTELP into MGNREGA 2017-18 GP level plan in 30 blocks	SPMU, DPMU	30 Nov 2016
4. Complete the GSRMLP for all JTELP villages ³	SPMU	31 Dec 2016

C. Outputs and outcomes

14. **Component 1: Community Empowerment.** The AWPB for 2016-17 for this component included releasing seed capital to 5 000 SHGs, 500 PTG SHGs and 328 YGs, organizing 164 YG competitions, auditing the accounts of 3 000 SHGs and 328 YGs, organizing 3 567 training programs mainly for SHGs and GS-PECs in JTELP villages (including JTDP), selecting 100 part-time CRPs in PTG villages, training 8 health workers, organizing 8 health camps, distribution of 6 000 solar lanterns and 9 000 mosquito nets. The implementation progress in this component, described below, is rated **moderately satisfactory**.

15. **Sub-component 1.1. Promotion of SHG and YG.** The sub-component is rated moderately satisfactory. The project has cumulatively promoted 5 212 women's SHGs with 63 272 members, including 495 with 5 876 members among the PTGs; 373 SHGs were promoted during 2016-17. So far 308 YGs have been promoted with 6 167 male and 778 female members, all in 2015-16. The SHGs meet weekly and save INR 10 to INR 50/week. The YGs meet weekly or fortnightly and some also save up to INR 50/month. So far 3 267 SHGs and 289 YGs have bank accounts and seed capital of INR 5 000 each has been given to 1 700 SHGs and INR 20 000 each to 168 YGs. Pending the distribution of Accounts Books, currently being printed, SHGs record financial transactions in the minutes register. Record keeping is done by the CRPs. SHG accounts have not been audited as they do not yet have proper accounts books, 37% SHGs do not have bank accounts and none has yet completed a year. The SHG visited are engaging timidly in lending activity with most groups having idle cash. Some of the SHGs met during field visits were unclear about the purpose of the seed capital and did not include it when asked about their total corpus. The SHG were also unclear about what activity to finance from seed capital.

16. The project needs to identify SHG accountants from among SHG members or school educated girls or boys from their villages, train them and institute a system of payment to them by SHGs for their services to ensure sustainability and harmonisation with JSLPS. One record keeper may serve several SHGs.

17. The YGs promoted by JTELP have been drawn from several villages, often quite far apart and some have 50 members from 2-3 villages, making coordination difficult. The number of YGs in the project could be increased to 600 so that each of the 159 project Panchayats has 3 to 4 YGs, depending on the number of villages in the Panchayat and inter-village distances. Given the enthusiasm the YGs demonstrated, the project should invest further in building organizational capacity of these groups. Most YGs presently are men's groups. The project should ensure that at least one YG in each Panchayat is a women's group.

18. **Sub-component 1.2. Building the capacity of Community Resource Persons (CRPs), GS-PECs and staff of FNGOs and JTDS.** The performance of this sub-component is moderately satisfactory. The project has conducted 3 449 training events for CRPs, SHGs, GS-PECs and recipients

³ Following the wrap-up meeting held with the SPMU on 4th august, the formulation of the GSRMLP in 330 JTDP villages would be completed by March 2017. The list of villages would be compiled and additional human resources would be estimated and provided for the completion of this assignment where needed.

of IGAs, covering 42 770 participants, including 30 886 women. The topics included orientation to JTELP, PRA, SHG formation and book keeping, formation and functioning of GS-PEC, EPA implementation, GSRMLP preparation, INRM, agriculture and IGAs. FNGO and DPMU staff were trained by an external resource agency/ person or TSA and they in turn trained CRPs, SHG members and GS-PEC members. The project should provide the participants with training certificates.

19. Training so far has been focused on group formation and implementation of some of the activities. As per the project design, the project needs to prepare learning aids on laws on ST welfare and specifically women's welfare, malnutrition and its impact on child development, health, hygiene and sanitation, entitlements and gender issues and incorporate these into training for CRPs and SHG members.

20. The mission discussed with SPD and APD their proposal to increase CRP honorarium, equip them with bicycles and enforce a performance monitoring system. The mission indicated its no objection to such a proposal and advised a gradual increase in CRP honorarium based on increasing CRP workload and improved competency level. With regards the reimbursement of GS-PEC travel costs, this could be done from the VDF (as per project design) and specified in the guidelines that the project has yet to issue.

21. **Sub-component 1.3. Special support to the PTGs to enable them to access their entitlements.** The rating of this sub-component is moderately satisfactory. Project activities, such as EPAs, forming SHGs and GS-PECs and preparing GSRMLPs have been initiated with 9 000 PTG HH in 300 villages, including 158 all PTG villages in the same manner as in other villages. Vocational training on integrated farming has been conducted for 107 PTG youth; 34 training events for health workers/TBA and 28 health camps benefiting 3 242 individuals have been organised and 3 500 Solar lanterns have been distributed⁴ to PTG HH.

22. A Situation Paper and Strategy as per the project design is yet to be developed for PTG villages. This needs to be done on a priority basis. JTELP may contract the services of research institutions/NGOs/individuals with experience of working with PTGs to conduct a short orientation programme on the situation in PTG communities for the DPMU and FNGO staff from concerned districts and develop a format to conduct the situation analysis. The PTG communities have unique development challenges and these need to be taken cognizance of before embarking on project interventions.

23. Many PTG villages in Pakur, Godda (Sundar Pahadi block) and Sahebganj (Borio block) do not have access roads and project staff have to trek through a hilly terrain to reach the project villages. Due to low literacy among the PTG, it is difficult to find school educated youth as CRPs and the available CRPs need more support. Also, as villages are small, the number of villages per Panchayat is much larger (e.g. 126 villages in four Panchayats in Litipada block of Pakur district). The project should consider placing two CFs per Panchayat in such blocks.

24. Solar lanterns were sourced through convergence with JREDA to replace kerosene lanterns (current usage is about 5 litres monthly priced at INR 5/litre, in addition to health hazards). Non-PTGs in mixed villages visited by the mission questioned their exclusion. As per the project design, solar lanterns are to be distributed only to PTGs whereas 142 villages have mixed populations. In such cases the project may cover non-PTG HH as well. Also, the strategy in the second phase, slated to distribute 5 000 solar lanterns may include provision of solar street lamps, solar home systems and solar mini-grids (covered under the JREDA subsidy program) so that the community as a whole benefits and no one feels excluded. The mission also estimated that 10% of the solar lanterns distributed are currently not operational. The project may consider other, more effective models of solar lanterns. More importantly, the financing arrangements need to be reconsidered to build ownership towards the technologies promoted.

25. **Specific observations on handholding community organizations in JTDP activities.** The mission visited two JTDP villages and was pleased to note that the GS-PECs and SHGs were still active. GS-PECs were interested in increasing the area under irrigation through rainwater harvesting and irrigation facilities and were collaborating frequently with MGNREGA and ATMA for this purpose. The GS-PECs also built up the VDF fund which now reaches INR 4-6 lakh. One of the GS-PECs met is taking active measures to address the issue of landless HH and is working on allocating them plots of land with usufruct rights. It is worth noting that the GS-PEC office bearers have not changed. The SHGs

⁴ Solar lanterns costing INR 2 439 were financed on the basis of a cost sharing arrangement whereby JREDA and JTELP gave a subsidy of INR 1 039 and INR 1 400, respectively. PTG HH benefiting contributed INR 52 and ST/SC HH INR 104 to VDF.

are pursuing their savings which in certain cases exceed INR 1 lakh; in several cases SHG funds remain idle. The AWPB 2016-17 should be updated to include the following activities for the JTDP villages under this component: (i) refresher/advanced training on organization development of GS-PEC and SHG; (ii) facilitate SHG linkage with NRLM; (iii) include JTDP GS-PEC in the audit that would be conducted for these organizations; (iv) extend the SHG MIS to encompass SHGs established in these villages; (v) explore with the GS-PEC whether it is possible for them to re-hire the qualified animators of JTDP as CRPs.

26. **Likelihood of achieving the outputs of AWPB 2016-17 for component 1.** Barring the proposed competitions between YGs which should be deferred till the YGs have been reorganised as recommended by this mission, the project is likely to achieve the outputs planned in AWPB for 2016-17.

Agreed action	Responsibility	Agreed date
5. Collaborate with JSLPS to organise exposure visits for CFs, CRPs and SHG leaders, train JTELP SHGs and assist JTELP CRPs in forming new groups and reorganising existing groups where necessary. JTELP would align with JSLPS procedures for SHG formation, e.g. the introduction of the system of payment by SHGs for services of a group accountant, and with application of the MIS.	DPMUs & FNGOs	30 Sept 2016 and on-going
6. Ensure the CI&GO from the FNGO attends at least one meeting of each SHG monthly during the first six months after SHG formation	FNGOs & DPMUs	31 Aug 2016 & on-going
7. Expedite provision of printed books of accounts to SHGs, train CRPs in SHG accounts and update the SHG books of accounts ⁵	SPMU, DPMUs, FNGOs	31 Aug 2016
8. For YG, increase target to 600 YGs and ensure at least one YG in each Panchayat is a Young Women's Groups	FNGOs, DPMUs	31 Dec 2016
9. Organise an orientation programme for all concerned staff on the situation of PTG communities with the help of practitioners with experience of working with PTGs, develop formats for conducting situation analysis of PTG villages, prepare a situation analysis and development strategy document for each PTG village	SPMU, concerned DPMUs and FNGOs	31 January 2017
10. Distribute the 2 nd phase of 5 000 solar lanterns and combine this activity with solar street lights, solar home systems and solar mini-grids in selected PTG villages	SPMU and DPMU	31 March 2017
11. Increase the number of CFs to 2 per Panchayat in blocks with a hilly terrain and/or more than 20 villages per Panchayat	SPMU	31 Aug 2016
12. Increase the number of CRPs to 2 in villages where the population exceeds 150 to 200 HH and DPMU assesses that one CRP is not enough for backstopping the SHG, YG, GS-PEC	SPMU	30 September 2016

27. **Component 2: Integrated Natural Resource Management (INRM).** The AWPB 2016-17 for this component focused on training of project staff, FNGO, CRP and GS-PEC on INRM and completion of the formulation of the GSRMLP for all 1 259 new villages covered by JTELP, payment of CRPs, land and water development works in 1 865 villages, organizing training for 30 mates working with MGNREGS, engaging 60 master CRPs, releasing VDF in PTG and non-PTG villages and auditing GS-PEC accounts, equipping 450 villages with irrigation facility, establishing 30 FSCs, organizing 1 400 demonstrations. Implementation progress in this component is rated **moderately satisfactory**.

28. **Sub-component 2.1. Community Mobilization.** The rating of this sub-component is moderately satisfactory. The project has organised Gram Sabhas and promoted GS-PECs in 1 247 of 1 259 project villages, with 1 236 having bank accounts. VDF committees as sub-committees of the GS-PEC have been set up in 1 244 villages, with 1 214 having bank accounts. The GS-PECs have almost equal representation of women and men and one among the president, secretary and treasurer is a woman. The traditional village headman is the president of the GS-PEC.

29. The GS-PECs are not yet clear about their roles and responsibilities and would need further capacity building, including exposure visits to JTDP villages where GS-PECs are still functioning. In the villages visited by the mission it was found that the wages for work done under EPA were distributed by the CRPs and no social audit was done. The project needs to ensure that project funds are handled only by the GS-PEC, the CRPs do not take over the GS-PEC's roles and social audit process is put in place.

30. **Sub-component 2.2. Land and Water Resource Development.** The rating for this sub-component is moderately satisfactory. The project has taken up construction of 1 611 ponds in 1 132

⁵ The account books were delivered to the SPMU on 4th August 2016. They should now be provided to the SHGs.

villages as an EPA through convergence with SCA to TSP. Of these 531 have been completed. As reported by the previous mission, the siting of the ponds, based on the availability of land, could be improved and in many cases superior alternatives for land and water development were available. This calls for in-depth training of the DPMU NRM officers and FNGO Junior Engineers in designing INRM interventions. The project needs to develop and institute mechanisms for sharing of benefits from the constructed farm ponds in consultation with the Gram Sabhas/GS-PECs.

31. Preparation of GSRMLPs has been initiated with technical support from Mr. Dinabandhu Karmakar, IFAD consultant. Three day classroom and field based ToT was conducted for all FNGO staff, CFs and DPMU NRMOs. The NRMOs, FNGO JEs and CFs then conducted four-day training for all CRPs and GS-PEC members. GSRMLPs are being formulated patch-wise, facilitated by the FNGO JE, CF and a group of 3 to 4 CRPs. So far, 356 preliminary GSRMLPs have been prepared. These typically involve demarcation of the land patches on a cadastral map, classification of their fertility and current and alternative uses. This data is used to determine a set of interventions, such as ponds of various sizes, wells, land levelling, field bunds and plantations. The GSRMLPs so far comprise of a standard set of interventions, more or less common across villages. The DPMU and FNGO staff need further training to be able to generate broader resource development options. The mission recommends continuation of technical assistance by retaining the services of Mr. Karmakar till comprehensive GSRMLPs have been developed in the work areas of each of the 21 FNGOs, including at least two in PTG villages. Exposure visits also need to be organised for NRMOs, JEs, CFs, CRPs and GS-PEC executive members to sites where INRM activities have been implemented in and around Jharkhand. The unit cost for exposure visits may need to be enhanced based on estimates of current costs as INR 10 000 may not always be adequate.

32. To strengthen livestock-based livelihoods, special attention needs to be given to development of fodder biomass (grass, shrubs and tree fodder resources) to supplement fodder availability in all villages as part of the land and water development interventions; this may be included in the GSRMLP as development of grazing lands, planting of fodder-yielding shrubs (e.g. *Sesbania*), creepers or low-moisture demanding leguminous crops (e.g. *guar* or cluster beans), and trees such as *Gliricidia* on farm bunds, agro-forestry models on farmlands (with tree species such as *Moringa*, *Zizyphus* and *Ailanthus*), and planting of fodder tree species on available common lands/ waste lands (non-cultivable lands).

33. Most project households rely on firewood and agricultural residues (including dry leaves) as cooking fuel. In the villages visited, HHs claimed that about 5-10 kg of firewood is consumed daily and women walk 2-3 km daily to collect firewood. More importantly, the smoke inhaled from burning of firewood causes eye irritation and breathing problems, especially among women and children. Use of biogas and improved cook stoves (ICS) could be introduced to reduce women's drudgery.

34. As land and water resource development activities emerging from GSRMLPs will be implemented through convergence with MGNREGS, the project needs to ensure that all project households have valid MGNREGA Job Cards and MGNREGA mates have been trained in adequate numbers. Towards this, JTELP needs to follow up on the offer of support from the Principal Secretary, Rural Development and Panchayat Raj, GoJ, whom the mission met along with the SPD and APD. Women should be chosen as prospective candidates to become mates as the Department prefers women as MGNREGS mates.

35. **Sub-component 2.3. Productivity enhancement and crop diversification (including livestock).** The rating of this sub-component is moderately satisfactory.

36. **Crop demonstrations:** The project has promoted SRI for paddy cultivation during 2016-17 with 5 525 farmers on 1 380 acres of land. The mission recommends inclusion of wider options for demonstration such as seed replacement, seed treatment, direct seeded SRI, line sowing, transplanting of younger seedlings, use of green manure, etc. It is recommended that the project plans the demonstrations for the forthcoming *rabi* season around vegetables, pulses, winter maize and mustard.

37. **Irrigation development:** The project has distributed 530 diesel driven irrigation pumps through convergence with ATMA to benefit 6 421 HH and constructed 102 shallow wells to benefit 943 HH. Such activities were taken up in absence of GSRMLPs and a holistic INRM plan. These pumps are primarily used to lift water from the constructed ponds. Diesel supplies are irregular, farmers have to travel long distances to fetch it and a household may spend up to INR 2 500 yearly to irrigate wheat crop. It is, therefore, proposed to pilot solar powered irrigation pumps. Options for convergence with JREDA will be detailed in the working paper.

38. **Farmer Service Centre.** The project has initiated work on 14 of the 30 FSCs proposed in the AWPB. The mission recommends that for the remaining FSCs planned for this year, JTELP should develop a simple business plan in consultation with the SHGs/GS-PECs, identify jointly the equipment to be procured and the site of the FSC. The business plan would include an estimate of charges for the use of the equipment so that the FSCs can be run as sustainable enterprises. The FSC visited in the JTDP village had a turn-over of INR 50 000 which may be too low to justify the investment.

39. **Other activities to be introduced.** Livestock productivity enhancement: According to the baseline study, 84 percent households own livestock. Considering the very high mortality rates in existing livestock and consequent economic losses, inclusion of a livestock sub-component is recommended which would result in savings of the order of INR 10 000-20 000 yearly per household through reduced mortality. The sub-component would comprise: (i) promotion of preventive veterinary services at the village level, and (ii) adoption of improved livestock management practices. This would require incorporation of the following activities in the AWPB: (i) establishment of a cadre of women community animal health workers, “Pashu Sakhis”; (ii) construction of lower cost animal sheds; (iii) improved animal nutrition; (iv) selective breeding; (v) livestock manure management. Further details will be provided in the working paper.

40. **Likelihood of achieving the outputs of AWPB 2016-17 for component 2.** GSRMLP preparation is the most time and human resource intensive activity and with continued support from Mr Karmakar, the project is likely to be able to complete the plans proposed in the AWPB. The targets for irrigation and FSCs construction should be reduced as these can only be taken up once the GSRMLPs are completed and it would take time to develop business plans for FSCs, design systems and procure equipment.

Agreed action	Responsibility	Agreed date
13. Build the capacity of GS-PEC executive members, CRPs, CFs, JEs and NRMOs on planning and investing in INRM through: exposure visits; training	DPMUs, IFAD INRM Consultant	30 Sept 2016
14. Select women candidates to be trained as MGNREGA mates in consultation with the GS-PECs and organise their training through MGNREGA authorities (similar to JSLPS)	SPMU, DPMUs,	31 Oct 2016 and on-going
15. Prepare viable business plans for construction of FSCs before construction is taken up and equipment purchased	DPMU	31 Dec 2016
16. Organize exposure visits, training of SPMU, DPMU and FNGO staff on Improved Livestock Management Practices (ILMPs) and develop detailed implementation modalities based on working paper that will be provided by the supervision mission	SPMU	31 Jan 2017
17. Facilitate community regulations for water sharing from ponds	DPMU and GS-PEC	31 Dec 2016
18. Facilitate contribution to VDF from all project beneficiaries, not only wage labourers (from those benefiting through irrigation, fish, etc.)	SPMU and DPMU	31 Aug 2016 and on-going
19. Based on GSRMLP, compile an village based inventory of water sources (open wells, streams, bore wells, ponds) amenable to irrigation through submersible or surface pump	DPMU	31 Jan 2017

41. **Component 3: Livelihoods Support.** The AWPB 2016-17 for this component focused on financial support and training to establish 570 livestock based IGA, 294 artisan and other IGA, organization of production and marketing in 23 clusters (vegetable, tasar, mango, lac rearing), establishment of 3 000 nutrition gardens, providing vocational training for 280 persons and launching community forestry as an innovative activity in 7 villages. The implementation of this component is rated **moderately satisfactory**.

42. **Sub-component 3.1 Support to IGA.** The rating of this sub-component is moderately unsatisfactory. As per the project design, IGAs were to be promoted among the most vulnerable households as individual initiatives based on their traditional occupations or activities known to them, as distinct from enterprises promoted on a cluster basis as pilots to demonstrate growth opportunities in the rural tribal economy. While the poorest have indeed been identified in the course of GSRMLP preparation, the IGAs have not been taken up exclusively with them. Further, the IGAs have been taken up as group, rather than individual activities and so far only in the livestock sector.

43. For livestock-based IGAs, the mission notes that the collective enterprise model is not the most appropriate as most members of the group also individually own livestock (goats, pigs and/or poultry), but more importantly because as the mission observed in few cases, it may result in the most vulnerable being excluded from IGA support. The project has also altered the unit size and composition (from 5

piglets and 1 boar to 8 piglets and 2 boars; from 5 does and 1 buck shared by 5 households, to 8 does and 2 bucks; and from 10 layer birds and one rooster per household to 60 per group) without due consideration of the management and production aspects of the enterprise. Further, although the project had no provision for housing support, extraordinarily expensive and oversized animal shelters have been supported.

44. For group enterprises the AWPB 2015-16 targets of 220, 40 and 166 BYP, pig and goat units in were not fully achieved and the leftover targets have been carried over into the current year. Including these, the targets for 2016-17 are 180, 436 and 176 units of BYP, pig and goats, of which 78 (43%), 29 (7%) and 56 (32%) units, respectively, of BYP, pig and goats have been achieved in the first quarter. In addition, sheds have been constructed for 93 BYP, 9 pig-rearing and 80 goat units and more are under construction.

45. During the first quarter 1 055 beneficiaries (30.7% of the 2016-17 target) of goat, pig and backyard poultry IGA units, including CRPs, have received training. DPMU and FNGO staff need to be capacitated to effectively undertake and support activities directed towards livestock-based livelihood improvement.

46. **Sub-component 3.2 Integrated Production and Marketing Support.** The rating for this sub-component is moderately satisfactory. The project design includes developing enterprise clusters in selected farm and forest-based growth sub-sectors as prototypes to stimulate market orientation in the rural tribal economy. The sites, beneficiaries and sub-sectors are to be chosen based on GSRMLPs. Feasibility studies are to be conducted by TSAs and the identified project households organised into loose producer groups. There is provision for additional CRPs and technical staff to provide technical service support and supervise implementation. These provisions of the design have not been followed in developing mango, lac and tasar clusters included in the AWPB. Mango orchard plantation has already been done in four districts on a small scale and arrangements have been made to source DFLs for tasar rearing from the Tasar Development Foundation. While these must continue to be supported, the lac clusters should be dropped from the current year's AWPB.

47. The TSAs do not have experience of implementing enterprise clusters as proposed in the project design and the project has sought technical support from individuals and research institutes in the sub-sectors included in the AWPB. If TSAs are not likely to be able to take up these activities, the project should develop a strategy document to implement this sub-component and seek IFAD approval before rolling out the subcomponent. Implementation support could be sought from NGOs experienced in implementing these activities. Alternatively, sub-sector-specific NGOs may be recruited to implement the activities.

48. **Sub-component 3.3. Vocational Training.** The rating for this sub-component is moderately satisfactory. Training in agriculture has been arranged for 385 tribal youth at Divyayan Krishi Vigyan Kendra in Ranchi and another 315 are to be trained this year. Vocational training was intended to train youth in trades leading to formal sector employment or self-employment *via* production or service enterprises with assured handholding support. So far the trainees have not set up enterprises, nor are they employed. Before expanding the activity, the project needs to develop a strategy document to implement this sub-component and set up systems to monitor how the trainees are faring.

49. **Sub-component 3.4. Innovative Interventions.** The rating for this sub-component is moderately satisfactory. Development of community managed forests as per Section 3(i) of the Forest Rights Act has been included in the AWPB under this sub-component. A complex activity, requiring policy level support from the Forest Department, it should be included only after concurrence of the Forest Department has been obtained.

50. The mission recommends that JTELP considers innovations in the area of renewable energy that would reduce women's drudgery and improve quality of life. These include: solar mini-grid community electrification; solar system of 1kW capacity; solar home systems; improved BioLite cook stoves; portable biogas models. These renewable energy models can be tested and if proven successful, can be scaled-up as part of the annual updating of GSRMLPs.

51. **Likelihood of achieving the outputs of AWPB 2016-17 for component 3.** While the proposed mango orchards have already been implemented and arrangements for tasar rearing have been made, the mission recommends dropping lac rearing and community managed forestry as above discussed.

Agreed action	Responsibility	Agreed date
20. Revert to the original project design for individual IGA focusing only on the vulnerable HH	SPMU, DPMU, FNGO	31 Oct 2016 and on-going
21. Identification and listing of the most vulnerable households in each village in the GSRMLP, and reporting on their inclusion in SHG, as well as benefits received under the project, on an annual basis	SPMU	Aug 2016 on-going
22. Revise AWPB to exclude Lac rearing and community forestry; and develop a strategy paper for implementing sub-components 3.2 (integrated production and marketing) and 3.3 (vocational training)	SPMU	30 Sept 2016

D. Project implementation progress

Quality of project management

52. Project management performance is rated **moderately satisfactory**. The main positive changes that took place are: (i) new SPD, Ms. Suchitra Sinha, taking charge since April 2016; (ii) establishing work systems in terms of monthly meetings at SPMU and DPMU levels, regular reporting, settlement of NGO claims, performance monitoring of JTELP staff and NGOs; (iii) strengthening the project decision-making process by emphasizing monitoring and proactive planning; (iv) engaging line departments proactively to set up coordination mechanisms to facilitate convergence, especially with JSLPS and MGNREGA. The mission reviewed the minutes of the monthly meetings at SPMU and recommends that during these meeting, the results and the quality of project implementation are discussed in more detail.

53. The BOD of JTDS met once this year and reviewed mainly HR issues. The Secretary Welfare Dept indicated that the SPCC will be convened by the Chief Secretary shortly. This would be the first such meeting since the project was implemented.

54. **Staffing.** There are currently 4 vacant positions at district level (one DPM and 3 DEOs). Given the current workload and the need to strengthen the finance unit, the mission conveyed its no objection to the following JTELP management proposals: (i) adding a position of livelihood officer in each DPMU to follow up on productivity enhancement activities under component 2 and livelihood support activities under Component 3; (ii) adding the position of accountant/accounts officer to the SPMU; (iii) recruiting a media or communication/ IEC consultant following the individual consultant selection procurement method. In addition, the mission recommends the following: (i) shift the KM responsibilities to the M&E manager; (ii) shift the productivity enhancement activities to the Livelihood Manager.

55. **Salary scale.** The 20% increase in salary recommended by the previous supervision mission was implemented from 1st April 2015. As recommended by the BOD, the mission has no objection to the JTELP management proposal to revise the salaries of support staff. As for the revision of the salary scale of professional staff, IFAD endorses the BOD recommendation and will provide JTELP management with draft ToR and procurement documents for hiring a HR agency to carry out: (i) the formulation of a new salary scale for the project; (ii) the implementation of a job audit.

56. **Office facilities.** Certain district teams are not provided with adequate office space as is the case with Pakur, E. Singhbhum and W. Singhbhum. JTELP management will decide where applicable: rental of office space; expansion of office space; office renovation.

Performance of M&E

57. This section is rated as **moderately satisfactory**. The project has largely complied with the recommendations of the last supervision mission on M&E functions. The M&E functions in the project have improved following the M&E trainings. The formats for field data collection and RIMS indicators have been revised and there has been overall improvement in data collection and analysis. The MIS is being developed. The project has submitted on time its annual RIMS report, AOS report and Annual Progress Report as well as the necessary documentation for this mission. The project has completed its baseline survey report with support from IFPRI and an external agency. In its AWPB 2016-17, the project has planned and allocated adequate resources for M&E activities. During the Q1, the project has conducted one state-level training on M&E, besides carrying out monthly reviews on data collection and two experience sharing and learning workshops in coordination with the KM section. The project should deliver remaining planned M&E activities as per AWPB besides revising its data collection formats to reflect outcome (2nd level) results for outputs (1st level) results. M&E training for DPMUs and NGOs including the CRPs should be undertaken within the current quarter. On priority basis, the project needs

to complete the MIS design. However, for the SHGs, the project should follow the existing SHG MIS developed by NRLM. The presentation of the annual progress report should also include cumulative results and analysis of under-achievement of any component activity as planned in AWPB. All of these will greatly facilitate and contribute in preparation for MTR, due by October 2017.

Agreed action	Responsibility	Agreed date
23. All project villages and physical infrastructures (particularly ponds) should be georeferenced; necessary GPS / biometric GPS may be procured for this purpose for each DPMUs and NGOs and necessary training should be provided on the use of GPS	SPMU (SPD/APD & Manager PME) and DPMU	30 Oct 2016
24. Use the revised RIMS indicators for 1 st level results (following M&E training) for subsequent RIMS report and update AOS for 2016 using the revised guidelines and formats.	SPMU (Manager PME)	30 Jan 2017
25. Train CRPs and CFs to have a harmonized understanding and use of formats for data collection and recording.	SPMU (Manager PME)	30 Jan 2017

Coherence between AWPB & implementation

58. Coherence between AWPB and implementation is **moderately satisfactory**. As indicated above, the rate of achievement of AWPB 2015-16 was 53%. This rate is low as the project had only received 70% of the 2015-16 budget from the State. The mission reviewed progress against the AWPB 2016-17, and as indicated above, progress is moderately satisfactory. The mission recommends the cancellation of certain activities from this year's plan as per agreed measures above. The wrap-up meeting with the SPMU strongly underscored the need for the following: (i) bottom up approach to the development of the AWPB⁶; (ii) each district should have an AWPB that would be shared and communicated to the FNGOs; (iii) activities and outputs would be planned accordingly on a quarterly/monthly basis. This would help DPMU, FNGO and community organizations implement activities in a more sequenced and predictable manner.

59. By early Q3 in October 2016, the SPMU and DPMUs, under the overall guidance of the SPD and APD, should also begin the preparation of AWPB for 2017-18. The AWPB should be based on consolidating the annual plans prepared by GS-PECs on the basis of GSRMLPs with the help of FNGOs. The unit costs for activities may be based on the Cost Tables provided in the PIM with appropriate cost revision following price contingency. Learning from JTDP, it is imperative that each DPMU should have its own clear AWPB.

Gender focus

60. This section is rated **moderately satisfactory**. The project objective of addressing gender inequalities in access to information, finance and income earning opportunities is being addressed through promotion of SHGs, IGAs for vulnerable women, supporting improved living conditions (access to electricity, health care and attended birth). Gender training is planned to target community leaders.

61. The project has developed a gender mainstreaming strategy as per the recommendation of the previous supervision mission. The strategy needs to be further improved for which the IFAD ICO will provide needed guidance. The mission observed very high participation of women in SHG and IGA related activities but much lower involvement in INRM activities, although women's participation was reported to be high during the GSRMLP formulation.

Poverty focus

62. The poverty focus of the project is rated **moderately satisfactory**. The project has implemented the poverty targeting criteria for selection of villages with high concentration of STs and/or PTGs. The activities such as SHG, IGA for vulnerable households, specific interventions to improve quality of life in PTG are all designed with a poverty focus.

Effectiveness of targeting approach

63. The poverty targeting is rated **moderately satisfactory**. Through the PRA, the project was able to map the poor households against a number of vulnerability indicators such as food security from own production, landlessness, family member with disability. The households characterized as BPL were also identified. The IGAs need to be taken with the most vulnerable households rather than with groups as at

⁶ The planning process in JTDP would become easier once the GSRMLPs are completed.

present. As earlier pointed out, a Status and Strategy document needs to be prepared for each PTG village to take up focused activities for the development of the PTGs.

Agreed action	Responsibility	Agreed date
26. Revise the AWPB 2016-17 based on mission recommendations	SPMU	30 Sept 2016
27. Revise the gender strategy using the standard IFAD outline. An action plan and M&E would be attached to the gender strategy. And sensitize project team to the gender strategy.	SPMU	30 Sept 2016
28. Identification and listing of most vulnerable households in each village in the GSRMLP, and reporting on their inclusion in SHG, as well as benefits received under the project, on an annual basis	SPMU	31 Aug 2016 and ongoing

Convergence

64. The project has successfully implemented project activities in convergence with JSLPS, ATMA, AHD, JREDA. It is now important that after several rounds of discussions, the project finalizes the implementation modalities with MGNREGA. The mission discussed the matter with the Principal Secretary Rural Development Dept and the minutes of the discussion will be attached to the supervision report.

65. The Secretary Welfare Dept also indicated that JTELP should be better integrated and converge with the Department's schemes on vocational training and asset creation. Moreover, while developing the strategy for implementing the cluster development, JTELP should consider options for convergence with the Chief Minister Development Scheme which is promoting economic empowerment and entrepreneurship among youth. The Welfare Dept is also planning on scaling up the participatory governance approach tested in JTDP and now replicated in JTELP in 5000 tribal communities. The modalities for doing so using Government resources need to be detailed and the example of OTELP Plus in Odisha State may be used in this regard.

Innovation and learning

66. **Innovation.** This is rated **moderately satisfactory**. The mission identified the development of Youth Groups as JTELP innovation to date. As indicated above, these groups are predominantly composed of young men. They combine sports, culture, social and business activities and denote a good level of social awareness and commitment to the development of their community and their own empowerment. In the IFAD country programme in India, JTELP is the first project to engage in a substantive manner with youth.

67. **Learning and knowledge management.** This section is rated as **moderately satisfactory**. The project has addressed the recommendations of the last mission on KM. It has developed its draft KM strategy, created its own web-site, developed a number of IEC materials in local language (on mango cultivation, vermi composting, SRI, goat rearing, pig rearing, poultry rearing, etc.) and conducted a workshop on KM linked to M&E for its staff. The project has also prepared case studies of successful interventions and social mobilisation (such as SHGs role in stopping of alcohol abuse). It is also using social media such as WhatsApp group for exchange of information and learning. The project needs to link with wider IFAD Asia website to share project learning.

Agreed action	Responsibility	Agreed date
29. Conduct KM training on documentation and case study writing in preparation for project MTR; expedite procurement of digital camera for each DPMU as per procurement plan	SPMU (Manager KM) & DPMUs	30 Oct 2016

Climate and environment focus

68. This section is rated **moderately satisfactory**. The mission noted a number of initiatives that would help tribal populations adapt to climate change such as: (i) re-introducing traditional rice varieties that require less water; (ii) increasing cultivation of millets, including finger millets. The project has also introduced: (i) drought resistant groundnut, pigeon pea, chick pea in collaboration with ICRISAT and ATMA; (ii) SRI cultivation; (iii) cultivation of green manuring crops; (iv) community-based vegetable cultivation; (v) excavation of ponds for supplemental irrigation and fish rearing; and (vi) maize and papaya cultivation as mixed crops. Monitoring of crops and cultivation practices needs to be strengthened and crop yield, input requirements and response to different rainfall regimes should be documented.

69. The mission is of the view that more effort should go into building the knowledge and awareness of project staff and community about climate change. The mission recommends that the project works with the Department of Agriculture to promote suitable crop and livestock systems in different agro-ecological zones and with JREDA to promote dissemination and use of renewable energy.

E. Fiduciary aspects

Quality of financial management

70. The rating for this component is **moderately unsatisfactory**. The project is operating in 14 districts with posts of a Finance & Admin Officer (FAO) and an accountant in each of the districts. At the SPMU the project has a Finance and Administration Manager (FAM) and an accountant. Since the last Review Mission, IFAD fielded two ISMs for financial management and procurement. The focus of the ISMs was practical training on using the accounting software with a uniform chart of accounts and classification of expenditure into the correct components and categories across all project offices to enable easy synchronization of accounts at the SPMU. The project has done well in implementing the software from the current financial year in all project offices and the accounting has improved over the previous year. However synchronization of accounts has not yet started at the SPMU. The Mission also noted that the unutilized funds brought forward from earlier years were recorded differently in different district offices (some had recorded it as funds, some as liabilities and some had not recorded it at all resulting in difference in opening balances). This needs to be streamlined and a uniform practice has to be adopted by all the offices. The synchronization of accounts at the SPMU will enable preparation of consolidated statement of accounts by components, categories and financiers through the software itself.

71. Moreover, at the SPMU, the accounting entries do not contain any narration and hence it is not possible to know the name of the payee or the period of payment from the accounting entry without referring to the cheque issue register. It is suggested that the project should generate the vouchers from the software itself. The accounts need to be done on a daily basis by the accountant and also checked regularly by the FAM rather than at quarterly intervals. Further during the year 2015-16 the expenses are booked net of tax deduction (TDS), for which separate entries are passed. To the extent of TDS, the expenses booked under the respective account heads are understated. This should be corrected as it will have an implication on the annual accounts of FY 2015-16 and also in the WAs. During the current year, expenses and TDS have been correctly recorded.

72. In most offices reviewed by the Mission, bank reconciliation statements have been prepared in excel sheets and not through the software. Further it was noticed that many cheques issued in March 2016 had not been encashed till the end of June 2016. Since cheques are valid only for a period of three months from the date of issue, all such have become stale and will have to be cancelled and fresh cheques issued. Most of these cheques were issued to the GSPECs, VDFs and SHGs. The project has already claimed such amounts in its Withdrawal Application for the period Jan-March 2016 though the funds have not yet been cleared from its bank accounts. As on 30th June 2016, 808 cheques have become stale with a value of INR 11.12 million. The Mission recommends that instead of issuing cheques and handing them over to the communities, bank transfers should be made directly to their accounts so that the issue does not arise in future.

73. Settlement of claims of FNGOs and TSAs which was a major issue during the previous Mission has been resolved and most claims till May 2016 have been settled. The project should obtain no dues certificate/ balance confirmation certificate from the FNGOs/ TSAs at the end of each financial year so that no claims of the earlier years arise in future. The GSPECs have been advanced moneys for its entry point and income generating activities beginning March 2016. Though more than three months have elapsed, the advances have not been adjusted as the claims from the GSPECs have not been submitted. The total outstanding advances to GSPECs are INR 96.1 million. These need to be adjusted soon as unless the claims are settled, the amounts cannot be booked as expenditure and claimed in the Withdrawal Application.

74. The books of accounts for GSPECs and the SHGs have not yet been issued to them as they are under print. This has resulted in the communities not maintaining proper books of accounts. In some cases, the mission observed that the savings are recorded in the minutes register and it is difficult to find out the total amount saved and the individual member's balances, though some SHGs

record cumulative savings in each meeting which helps them in determining the total and individual savings till date.

Review of SoE

75. The Mission reviewed WA 10 for the period January-March 2016 at the SPMU and the five districts it visited. The WA, which is for INR 170.88 million, has been submitted to IFAD and is under process. Supporting documents were available in respect of the claim made and no case of ineligible expenditure was found during the review. However the Mission observed that taxes paid on the purchase of goods and services have been claimed from IFAD. This is not correct as the claim from IFAD has to be net of taxes. The Mission recommends that the SPMU should work out the taxes incorrectly claimed so far and reverse the claim under respective categories under which it has been claimed. Even in the subsequent period (April-June 16) for which SOE has not been submitted, the taxes need to be identified from the vouchers and such amount should not be claimed from IFAD. Once the payments are made, the project should stamp the vouchers with the 'PAID' stamp with the details of the cheque no. and the date of payment.

Disbursement rate of the IFAD loan

76. The rating for disbursement is unsatisfactory. So far only 7.44% of the funds have been disbursed including the initial advance. WAs have been processed for the period up to December 2015. WA claim for the period January to March 2016 for approx SDR 1.8 million has been submitted and is under process and once paid this would increase disbursement to 13%. A claim of INR 4.68 million in WA 6, for the period April-June 2015 was wrongly classified under Category 4 instead of Category 6 and hence rejected by IFAD. However this amount has not been claimed again under the correct category. The project is advised to submit a WA for the same.

Counterpart funds

77. The rating for Counterpart funds is **moderately unsatisfactory**. During the year 2015-16, the Government of Jharkhand has released a sum of INR 217.38 million against the budget approved by it for INR 370 million (59%). Of the funds so disbursed during the year, INR 26 million was disbursed in May 2015 and the balance 191 million was disbursed in January 2016. During the year 2016-17, the GoJ has sanctioned INR 36 Crore for the project by end July 2016, which fully covers IFAD and State Government contribution to AWPB 2016-17. However, the funds have not yet been credited to the project and the SPMU will follow accordingly on the receipt of funds. The delay in release of funds as per AWPB continue to be a major cause of concern.

78. The Government of Jharkhand has not released any amount towards SCA to TSP during the year 2015-16. However, of the sum of INR 279.89 million disbursed in earlier years to the Project a sum of INR 90 million is still unutilized and available with the project. In the case of Article 275(1) too, no amount was disbursed during 2015-16. A sum of INR 6.96 million was disbursed on this account during 2014-15 of which INR 1.30 million remains unutilized. The Secretary Welfare Dept indicated that the SCA to TSP funds were allocated to the State and should be available in the second quarter.

79. The project has done work under the MNREGA during the year and the amount of convergence under the scheme amounted to INR 200 million as against the target of INR 2,430 million (8%).

Beneficiary contribution

80. Beneficiaries contribute to the project by way of providing labour for works done in the villages under Category 5, the balance being met out of IFAD and SCA to TSP funds. During the year 2015-16, the contribution was recorded at INR 0.7 million against the target of INR 47.6 million (1%).

Compliance with loan covenants including with subsidiary agreement

81. The rating for Compliance is **moderately unsatisfactory**. The Programme has generally complied with the loan covenants except (i) Clause 9.03 of the General Conditions requiring the project to get its audit done and submit the audit report within six months from the end of the financial year. With regard to Clause 9.02 of the General Conditions requiring the project to submit financial statements within the end of four months from the end of the financial year, the SPMU has prepared the financial statements for the year 2015-16 which needs to be submitted to IFAD in the prescribed format.

82. The GoJ has entered into an MOU with JTDS for implementation of the project. In accordance with the MOU (subsidiary agreement), the GoJ is required to disburse the first instalment of the budget within three months of the start of the financial year. During the year 2016-17, funds have been sanctioned end July and have not yet been credited to project account at the time of writing the aide-mémoire. In terms of the MOU, the project is required to engage a CA firm through competitive process as Internal Auditor and have the audit done quarterly and provide reports thereon. The project is yet to comply with this provision.

Compliance with procurement

83. The rating of procurement is **moderately satisfactory**. In accordance with the procurement plan for the year, the project has procured all goods except the medicated mosquito nets thus achieving 98.75% of the planned procurement of INR 18 million for goods. In respect of services, of the planned procurement of INR 4.1 million only INR 1 million (24%) has been procured. The services procured are for the Baseline Survey. All other planned services such M&E support and MIS Design besides a few other consultants have not been engaged. The goods have been procured centrally at the SPMU and distributed to the district offices. Proper records have been maintained for the goods in the respective offices and identification tags are in place. The Mission was informed that physical verification of the goods has been carried out but the same has not been documented. The assets, except vehicles, have not been insured. Contract Monitoring records have not been maintained by the project. The project is advised to maintain the contract register and the contract monitoring forms to keep a track of all contracts and their payments. The mission noted missing documentation for the procurement of office renovation and for the recruitment of web design consultant, both below 3000 USD equivalent. The mission provided the SPMU with the necessary guidelines to regularize this procurement and revise the procurement plan⁷.

Quality and timeliness of audits

84. The rating for audit is **moderately unsatisfactory**. The audit for the year 2014-15 was delayed and the audited financial statements were submitted to IFAD on 22nd December, 2015. The auditor expressed unqualified opinion on Financial Statements (with comments on accounting principles, internal control procedures) and on the SOEs. The designated account held in Delhi has been audited by CAG with unqualified opinion. The auditors have however identified (i)- non-coherent use of accounting principles resulting in partial misrepresentation of the financial position of the project; (ii) weak asset management (iii) inefficient investment policies and (iv) weak internal control practices. The assessment of the financial reporting is not satisfactory as it does not include the required set of statements and does not completely present the financial position of the project. In addition there are no notes in the financial statements which form the integral part of the accounts. The financial statements for the year 2015-16 should be prepared in the formats (IPSAS- Cash) prescribed in the IFAD Guidelines for Project Audit, with proper notes on accounting principles and policies adopted.

85. For the year 2015-16, the process of appointment of the auditors has been initiated. The timeline for conduct and submission of the audited statements should be adhered to (30th September 2016).

86. The project has a system of internal audit wherein the finance and accounts team of one district conducts the internal audit of another district. During the year this exercise was conducted but the reports are not yet available.

Agreed action	Responsibility	Agreed date
30. Issue guidelines for recording of funds brought forward and complete the synchronization process of the accounting software. Rectify the TDS entries to correctly record the gross expenses (and not net of TDS)	FAM	31 Aug 2016
31. Reverse the stale entries for stale cheques and transfer the amount directly to the bank accounts of the intended recipients	FAOs	31 Aug 2016
32. Settle advances outstanding for more than 90 days and ensure no fresh advance is given till settlement of the earlier advance	FAOs/ DPMUs	31 Aug 2016
33. Reverse the claim of taxes in respect of WAs which have been processed or are under process and do not claim the taxes in subsequent WAs	FAM	31 Aug 2016
34. Resubmit with correct classification the claim of INR 4.68 million that was earlier rejected by IFAD due to wrong classification	FAM	31 Aug 2016

⁷ See email dated 10th august from the Country Office to SPD and entitled "URGENT : JTELP - loan 879-IN : Follow Up from IFAD supervision mission on SPMU office refurbishment and consultant for Website design".

35. Recruit a chartered accountant firm to carry out the internal audit as per the MOU between the GoJ and JTDS	SPMU	30 Sep 2016
36. Revise the procurement plan and resubmit for IFAD no objection and maintain Contract Monitoring records	SPMU/ FAM	30 Sep 2016
37. Prepare the PFS in accordance with the prescribed formats and submit the audit report within the prescribed period	FAM	30 Sep 2016

F. Sustainability

Institution building

87. This section is rated **moderately satisfactory**. The community organizations were formed in November/December 2015 and their activity picked up momentum in a significant manner as of February 2016 with the roll out of the investment activities under components 1, 2 and 3 of the project. The mission was pleased to note that despite the fact that low literacy rates and lack of prior experience of managing development resources, the performance of most of the committees visited is adequate. Compared to the baseline situation where 99% of respondents indicated that they were not members of any village committee, the results to date are very encouraging and should be further strengthened.

Empowerment

88. This section is rated **moderately satisfactory**. The mission was impressed with the enthusiasm of the women members of SHGs who regarded SHG formation as the most important and useful project activity, and the possibility of being rid of moneylenders. They particularly appreciate the sense of unity and solidarity in the groups, and the collective decision-making. The internal lending, however, remains limited in the SHGs and this may signal that the project should support the women in building their confidence to borrow and engage in profitable IGA, including for improvement of existing household enterprises, viz., goat and pig rearing and various crafts.

89. The young men have also found a good space for their self-realization in the youth groups and they are playing a constructive role in their communities. Their aspirations are also broader and they are keen on vocational training. The older men, from village leaders to village citizens, are very pleased with the implementation modality of JTELP which channels the development finances through the GS-PEC. In their view such a mechanism builds trust and transparency in financial transactions, enhances planning capacities, and ensures quality and completion of the work undertaken.

90. The CF and CRP also gain status in their community in view of their crucial role in the planning, implementation, facilitation, and monitoring of development activities, including capacity building of community institutions such as SHGs and YGs. The CFs and CRPs are the key link between the project and the communities, and their capacities have a direct bearing on the quality of project works and their outcomes. The mission has made several recommendations for their training and coaching.

Quality of beneficiary participation

91. This is rated **moderately satisfactory**. The project uses several modalities to mobilize community participation: (i) savings mobilization, (ii) creation of community and individual assets, (iii) creation of opportunities for wage labour and (iv) seed capital for social and farm/off-farm enterprises. SHG attendance and savings mobilization are regular; for each activity funded by the project, there is a contribution of 10-30% by the community. In case of the nutrition garden, community contribution can go up to 60% of the total cost. The attendance of the GS-PEC meetings should be monitored by FNGOs and DPMUs as it fluctuates according to the season.

Responsiveness of service providers

92. **FNGO**. The overall responsiveness of the FNGOs as service providers is rated **moderately satisfactory** for the period under review. The project has engaged 21 FNGOs as service providers for its various activities. The FNGOs are adequately discharging their tasks as per their terms of reference with the exception of a few cases that the SPMU is monitoring⁸. The mission notes that coordination should further improve between DPMUs and FNGOs in terms of periodic review for quality of deliverables as

⁸ These cases refer to partial payment of staff salaries; submission of erroneous supporting documentation for expenses incurred; FNGO team made of family members.

well as providing timely strategic guidance. Harmonization of various services provided by different FNGOs too would require adequate attention of the project as being done for INRM planning.

93. **TSA.** The responsiveness of the TSA as service providers is rated as **moderately unsatisfactory**. After one year from recruitment, two of the three TSAs do not have full staff strength, thereby impeding the quality of services provided by them. A review of the key TSA tasks with the PMU and DPMUs showed that majority of the deliverables are yet to be provided, particularly support to the FNGOs in the areas of convergence, planning with flagship programmes (e.g. MGNREGS), developing key manuals and referral resources or guidelines for the project (such as INRM training, crop-livestock productivity enhancement, innovative programme interventions for livelihoods, management of VDF, etc.). The GSRMLP, which is the primary basis for village and community development planning and implementation, remain work in progress in a majority of the project villages and the mission observed limited role played by TSAs. **The mission recommends non-renewal of the TSA contracts.**

Exit strategy

94. This is rated **moderately satisfactory**. The project is currently in its initial stages and communities still highly rely on the project financial and technical support. The exit strategy as designed is based on gradual hand over of the supervision and handholding of community institutions to major Government programs such as NRLM for the SHG, and MGNREGA and ATMA for the GS-PEC. The following elements are key to a successful exit strategy: (i) community ownership of investment activities and enforcement of community rules for the management of project services; (ii) networking with relevant Government programmes and block/ district line departments; (iii) ensuring the created farm and off-farm enterprises are viable. The experience of the predecessor JTDP and the recently closed OTELP indicate that the approach adopted by JTELP is sustainable.

Potential for scaling-up and replication

95. This is rated **moderately satisfactory**. JTELP is already scaling up the predecessor project JTDP which completed in 2012 and operated only in 330 villages in 5 districts. In order to mainstream the JTELP approach in the Government's major development programmes for tribal communities, there is a need to document the process of establishing and operation of the GS-PEC. There is also a need to generate evidence about the effectiveness of poverty targeting by GS-PEC, the efficiency gains in community implementation of environmental and social infrastructure, and higher likelihood of the maintenance of such infrastructure.

G. Other

Collaboration with ICRISAT

96. JTELP's collaboration with ICRISAT grant has resulted in promising opportunities for cultivation of legume crops. During 2015-16, the collaboration demonstrated productive cropping system for pigeon pea, groundnut and chickpea on 35 ha, benefiting 440, mostly ST, farmers. The collaboration provided technical support to over 140 farmers in participatory seed production for pigeon pea and groundnut. The project has also promoted seed villages for legume crops: 25 women's SHGs were supported for groundnut seeds production, 35 SHGs for pigeon pea and 24 SHGs for chickpea seeds production. The collaboration conducted trainings on legumes and promoted farmers field days as part of capacity building and knowledge transfer, benefiting 364 men and 286 women smallholder farmers. The farmers met during field visits expressed appreciation for the legume crops as sources of income and nutrient-rich food. Implementation of the project's plans for 2016-17 will further strengthen the collaboration with ICRISAT for legume crops. The project has received INR 11.18 lakh from ICRISAT during 2015-16 but has utilised only INR 3.56 lakh. It should utilise ICRISAT funds judiciously, including for expansion of cultivation and documenting the experience with legume crops in terms of impact on income and nutrition.

Collaboration with IFPRI

97. The project has received support from IFPRI grant in AOS and baseline survey. IFPRI supported the project in preparing the baseline questionnaire and also conducted a three-day training session (18-20 January 2016) for the field enumerators of the survey agency and project staff on field testing and administering the questionnaire. IFPRI has also reviewed the final baseline report of the project. Additionally, IFPRI provided training to the project and NGOs staff on conducting the AOS during 8-9

February 2016. The project assessment is that the collaboration with IFPRI has contributed significantly in the design and completion of the baseline survey report with quality and conducting the AOS.

Physical/financial assets

98. This section is rated **moderately satisfactory**. The baseline study reports that almost half of the households have total annual income up to INR 36 000 from all sources taken together, while another 35 percent households had total annual income between INR 36 001 to INR 60 000 and 11 percent HH between INR 60 001 to INR 96 000. The mission estimates that the new activities rolled out by the project this year such as aquaculture, goat and pig rearing could increase annual HH income by up to INR 7 000/year. In comparison, during project design it was assumed that the net income from IGA would increase by INR 13 749/year by the end of the project, which is double the level achieved to date. The new IGA or enterprises taken up in future will need to be carefully planned to achieve the intended benefits.

Food security

99. This is rated **moderately satisfactory**. The baseline study reported that 99% of HH are food secure. Own production covers 3-6 months of food consumption and the remainder of food needs (namely rice and sugar) are covered from PDS. The contribution of the project to food security would be essentially in form of increasing self-sufficiency from own production.

100. In contrast, the baseline study reports that 60% of boys and 51% girls under 5 years have weight below normal range; 64% of boys and 53% of girls under 5 years have height below normal range. These rates are alarming. Given this situation, the project should strengthen the nutrition sensitive interventions—in addition to the nutrition gardens—and strive to address through convergence with relevant government programs the following issues: access to safe drinking water; sanitation and hygiene; sensitizing the community against early marriage; awareness about women's nutrition requirements, especially during pregnancy and breastfeeding. Such activities should be incorporated under Component 1.

Quality of natural asset improvement and climate resilience

101. This section is rated **moderately satisfactory**. The GSRMLP is the key tool to improve natural resources management and climate resilience. The focus of the GSRMLP is currently on enhancing crop productivity through appropriate water harvesting and water extraction structures leading to an expansion of irrigated areas in *kharif* and *rabi* (supplemental irrigation). This is a very positive development for rural households as irrigation allows the cultivation of two crops per year and the utilization of farm ponds for aquaculture further diversifies revenues.

102. It is expected that with integration of aspects related to community forestry, rehabilitation of grazing land, introduction of renewable energy, the GSRMLP will become more holistic and contribute more effectively to climate resilience at household level.

H. Conclusion

103. The mission is pleased with the project's steady progress towards achieving its outputs and outcomes. The project is also demonstrating that the GS-PEC model of participatory planning and implementation of development initiatives is scalable. The mission is also pleased to see that the Welfare Dept has appointed a new project director who is bringing positive change to project implementation and to the performance monitoring of JTELP staff and NGOs.

104. Despite this encouraging progress, the project is classified as potential problem project for the following reasons: (i) weaknesses in financial management; (ii) delay in release of funds by the State as per approved AWPB; (iii) non realization of convergence with MGNREGA; (iv) deviation from the implementation modalities described in project implementation manual and the delayed finalization of the GSRMLP. The mission has therefore identified four key time-bound actions that the project should meet to move out of the problem status. These include:

- (a) Release of counterpart funds by the State Government by 31st August 2016.
- (b) Synchronization of financial statements using the Tally software to be carried out by SPMU, and submission of the audit report for FY 2015/16 by 30th September 2016.

- (c) Integrating the land and water activities of JTELP into MGNREGA 2017/2018 plan at GP level in 30 blocks, to be carried out by SPMU by 30th November 2016.
- (d) Completion of the GSRMLP for all JTELP communities to be carried out by SPMU by 31st December 2016.

105. The progress against these milestones will be reviewed on a monthly basis with the project by the IFAD country office in New Delhi. The mission would like to express its deep gratitude and appreciation for the professional assistance provided by the JTELP team at state and district levels under the leadership of Mrs. Suchitra Sinha, SPD as well as the State authorities. The mission would also like to thank the communities for their warm welcome and availability to interact with the mission despite a demanding agricultural season.

Appendix 1: Summary of project status and ratings

Jharkhand Tribal Empowerment and Livelihoods Project (879-IN)

Basic Facts

Country	India			Project ID		Loan/DSF Grant No.	I-879-IN
Project	Jharkhand Tribal Empowerment and Livelihoods Project					Top-up Loan/DSF Grant	
Date of Update	11-Dec-2015						
Supervising Inst.							
No. of Supervisions	3	No. of Implementation Support/Follow-up missions	4				
Last Supervision	11-Dec-2015	Last Implementation Support/Follow-up mission	July 2016 (Mr D. Karmakar)				

USD million Disb. rate %

Approval	21 Sep 2012			Total financing	115,591	
Agreement	4-Oct-2013	Effectiveness lag	12.6	IFAD Total	51,001	
Entry into force	4-Oct-2013	PAR value	-----	IFAD loan	51,001	7
First disbursement	26 June 2014			DSF grant	Nil	
MTR		Last amendment	NA	IFAD grant	Nil	
Original completion	31-Dec-2021	Last audit	22 Dec 2015	Domestic Total	64,590	
Current completion	31-Dec-2021			Government (Counterpart)	7,927	22
Original closing	30-Jun-2022			Govt - TSP	11,556	26.5
Current closing	30-Jun-2022			Govt - MGNREGS	44,182	7
No. of extensions				Beneficiaries	925	1

Project Performance Ratings

B.1 Fiduciary Aspects	Last	Current	B.2 Project implementation progress	Last	Current
1. Quality of financial management	3	3	1. Quality of project management	3	4
2. Acceptable disbursement rate	2	2	2. Performance of M&E	4	4
3. Counterpart funds	3	3	3. Coherence between AWPB & implementation	3	4
4. Compliance with financing covenants	4	3	4. Gender focus	3	4
5. Compliance with procurement	4	4	5. Poverty focus	4	4
6. Quality and timeliness of audits	3	3	6. Effectiveness of targeting approach	3	4
			7. Innovation and learning	4	4
			8. Climate and environment focus	4	4
B.3 Outputs and outcomes	Last	Current	B.4 Sustainability	Last	Current
1. Community empowerment	4	4	1. Institution building (organizations, etc.)	4	4
2. Integrated NRM	3	4	2. Empowerment	4	4
3. Livelihoods support	3	4	3. Quality of beneficiary participation	3	4
			4. Responsiveness of service providers	4	3
			5. Exit strategy (readiness and quality)	4	4
			6. Potential for scaling up and replication	4	4

B.5 Justification of ratings: Main improvements in the ratings are reported for the following : (i) disbursement - given progress achieved so far the disbursement of the project – albeit still low – is improving and if the WA under process are taken into account, the disbursement of the IFAD loan increases to 13%; (ii) quality of project management – the change in SPD has led to increased communication between SPMU and DPMU, better monitoring and proactive management of the implementing

NGOs; (iii) coherence between AWPB and implementation is improving with the project delivering on its core activities such as GSRMLP and strengthening of community organizations. The mission was also able to suggest corrections to AWPB 2016/17 that would make achievement of this year's outputs more realistic; (iv) the gender focus has improved with the implementation of the 2015 supervision mission recommendations for gender training and the formulation of strategy paper for which a draft is now available; (v) the quality of beneficiary participation has improved with the SHG and GS-PECs becoming more functional and investment activities taking place in the communities; (vi) the activities under component 2 and 3 are being implemented gradually as per PIM. Performance still needs to further improve for effective financial management (the mission recognizes improvement in this domain but further efforts are still required to improve the quality of the financial management), counterpart funds (not released in time), compliance with loan covenants and audit.

Overall Assessment and Risk Profile

	Last	Current
C.1 Physical/financial assets	4	4
C.2 Food security	4	4
C.3 Quality of natural asset improvement and climate resilience	3	4
C.4 Overall implementation progress (Sections B1 and B2)	3	4

Rationale for implementation progress rating

The project has effectively started implementation in the field as of April 2015 and has been able to reach the intended scale of implementation, set up of community organizations (GS-PEC and SHG) within one year. It is steadily achieving the initial outputs related to community mobilization, capacity building and IGA. The project is being capacitated in the implementation of its core GSRMLP which is the entry point to the major INRM and subsequently cluster development activities of the project.

C.5 Likelihood of achieving the development objectives (section B3 and B4)	4	4
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Rationale for development objectives rating The progress

The project now serves a population of 189 333 (including JTDP villages), of which 9 500 are PTG, in 1589 villages, in 159 GP, 30 blocks and 14 TSP districts. JTELP has already rolled out a number of livelihood activities; yet the selection, management and financing of these livelihood activities need to be strengthened to generate higher level of benefits to achieve the projected income increases. To enhance sustainability, the project should support awareness raising on climate resilient technologies, including renewable energy sources at household and farm level. This would also reduce women's drudgery, especially in fuelwood collection.

C.6 Risks Short description of major risks for each section and their impact on achievement of development objectives and sustainability

Fiduciary aspects	Synchronization of accounts has not yet started at the SPMU; inclusion of taxes in claims presented to IFAD; quarterly checks of accounts; expired cheques; bank reconciliation at district level generated from excel; non delivery of book of accounts to SHG and GS-PEC; delay in submission of audit report – The project was provided with a timeline to redress this situation.
Project implementation progress	Non-compliance with implementation modalities described in the PIM – It was recommended to extend the TA on the formulation of GSRMLP and INRM and to schedule regular implementation support mission to the project – The project MTR would be scheduled in April 2017.
Outputs and outcomes	Priority given to quantity over quality of implementation – The technical package and follow-up of the project activities should be strengthened to ensure that benefits generated are in accordance with the projected financial targets for incomes and benefits accruing to the households.
Sustainability	The water sharing arrangements still need to be developed and the contribution to VDF is done by labourers and not by the beneficiary of the assets created. The project will facilitate community agreements in these areas.

Proposed Follow-up

Issue / Problem	Recommended Action	Timing	Status
Overall implementation progress	Timely release of counterpart funds by the State Government	SPMU, Welfare Dept	31 Aug 2016
	Synchronization of financial statements using the Tally software	SPMU	Sept 2016
	Complete the GSRMLP for all JTELP villages	SPMU	Dec 2016
	Integrating the land and water activities of JTELP into MGNREGA 2017-18 GP level plan in 30 blocks	SPMU, DPMU	31 Dec 2016

Additional observations

Appendix 2: Updated logical framework: Progress against objectives, outcomes and outputs

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks	Progress up to 30-June-2016
A. GOAL				
Improve living conditions of the Tribal communities and in particular, the particularly vulnerable tribal groups (PTGs) in the Tribal Scheduled Area districts.	<ul style="list-style-type: none"> - Household asset increase by 30%. - Height below normal range for boys and girls reduces by 20% - Weight below normal range for boys and girls reduces by 20% - Reduction in % of HH suffering from food shortage from 35% to 10% 	RIMS+ impact surveys at baseline, mid-terms and completion	Relative stability in the price of food and in general economic conditions are conducive to poverty reduction.	Baseline provide info on HH asset, as well as height and weight below normal range for boys and girls AOS and baseline figures on food security are different, with baseline reporting 99% HH food security and the AOS reporting 65%
B. DEVELOPMENT OBJECTIVE				
Empower and enable 136,000 tribal households including 10,000 PTGs households to take up livelihood opportunities based on sustainable and equitable use of natural resources in 164 village Panchayats falling in 30 Blocks of 14 TSP districts.	<ul style="list-style-type: none"> - Average HH income increases from 2100 INR/month to at least 3000 INR/ month - Proportion of women in Gram Sabha increases from 25 to 40 percent (participation in executive committee of PEC and in General Assembly) - Awareness about soil and water conservation increases from 2% to 80% of villages 	RIMS + impact surveys Annual outcome surveys Participatory gender and community evaluations	Policies of Tribal development, political stability and security situation allow communities access to economic opportunities and natural resources	AOS provide info on avg monthly income. Baseline provides info on annual income. Women in GS and awareness about SWC derived from baseline
C. OUTCOME AND OUTPUTS				
COMPONENT 1.0: Community empowerment:				
OUTCOME: increased community awareness, strengthened Gram sabha PECs, women's groups, youth's groups and PTGs households.	80% of SHG, GS-PECs and YG audited by year 3 and audit findings are unqualified Process of selection of new villages in all 14 programme districts have been completed; handholding support done in 330 old JTDP villages.	Progress Report. Grading report for SHG Audit of SHG, GS-PEC and YG	Project able to coordinate and converge with other programmes for community development to avoid duplication.	No grading of SHG and no audit of GS-PEC and YG have yet taken place as these organizations are less than 1 yr old 1259 villages with more than 50% tribal HH in the Panchayat have been selected in 30 blocks of 14 TSP districts for JTCLP.
Sub-component 1.1: Promotion of SHGs and Youth groups				
1.1.1 SHG and YG established in new villages	5000 new SHGs of women established 328 youth groups established Seed capital support of 5000 SHGs Seed capital support to 328 youth groups 30 FNGOs engaged and contracts issued			5212 new SHGs have been promoted. 308 Youth Groups have been promoted. 1700 SHG received seed

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks	Progress up to 30-June-2016
				capital 168 YG received seed capital In all 30 blocks FNGOs have been engaged, contract issued and their performance is monitored.
Sub-component 1.2: Capacity building				
1.2.1. SHG established, strengthened and handed over to JSLPS	1000 Community facilitator cum Accountants trained 328 CRPs trained on SHG mobilisation Exposure visit organised for 164 Panchayat groups Leadership/ book-keeping training organised to 5000 SHGs Learning aids prepared and 164 events organised 1463 SHG in old villages are strengthened through convergence	Project/FNGO progress reports M&E Reports Participatory M&E reports	Capacity building of SHG follows best practices and norms of JSLPS	Training provided to 1200 CRPs 5 exposure visits has been organised. Leadership/Book keeping training has been organised for 5212 SHG groups. Around 400 SHG groups have been supported through hand holding in JTDP villages
Sub-component 1.3: Special support to PTGs				
1.3.1. Social services provided to PTG villages	68 CRPs in 68 PTG villages trained	Project/FNGO progress reports M&E Reports		Training provided to 150 CRPs in PTG village
	68 village health worker (VHWs) trained			Training of 15 Village health worker
	68 village animal health workers (VAHWs) trained			
	55 Traditional Birth Attendants (TBAs) trained			
	10,126 solar lanterns distributed			Distribution of 3500 solar lanterns to PTGS
	10,126 medicated mosquito nets distributed			
	50% increase in pregnant women, adolescent and children (boys and girls) getting supplemental nutrition from Anganwadi centers		Effective facilitation of convergence by the project	
	Seed capital support to 500 PTG SHGs			221 PTG SHG received seed capital
COMPONENT 2.0: Integrated Natural Resources Management				
OUTCOME: Land and water resources conserved and used sustainably for the benefit of tribal communities.	Based on EFA data in design report: Crop yield will increase by 30% Cropping intensity reaches 105% for rainfed and 123% for irrigated Livestock mortality decreases by 50%	Project/FNGO progress reports M&E Reports Annual outcome surveys Participatory M&E reports	Major natural disasters (droughts, floods) do not negate soil and water conservation works	Based on baseline survey: Paddy in kharif is 0.6 t/acre Maize in kharif is 0.2 t/acre Tomato in rabi is 0.8 t/acre Pulses in rabi is < 0.2 t/acre GNut in rabi is 0.17 t/acre (except for paddy , all other yields are much lower than estimated in EFA). Baseline on livestock mortality required.

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks	Progress up to 30-June-2016
Sub-component 2.1 Community mobilisation				
GS-PECs established and functional in new and old villages	2.1.1 Three Technical support agency (TSA) recruited and working effectively 2.1.2 Training FNGO on INRM & MGNREGA 2.1.3 Training 164 CRPs in INRM 2.1.4 Training 1350 PECs in INRM 2.1.5 Exposure visits organised for 1350 PECs			2.1.1 Three TSAs have been recruited and are not working effectively.. 2.1.2 All 30 JE of FNGO received training on INRM & MGNREGA 2.1.3 Total 1259 CRPs trained on INRM 2.1.4 Total 1259 GSPEC trained on INRM
Sub-component 2.2: Land and Water Resources Development				
2.2.1 INRM works planned and implemented in old and new villages	1350 GSRMLP completed for old and new villages			356 GSRMLP
	In all 1350 new and old villages covered under INRM In all 1230 mates trained for measurements & record-keeping Master CRPs engaged for 492 person-days VDF provided to 68 PTG villages i VDF provided to other 932 tribal villages 330 old villages complete 100% of GSRMLP investments	GSRMLP Project/FNGO progress reports M&E Reports	Possible to identify suitable locations. Communities able to reach agreement on soil and water conservation works. Adequate resources available from MGNREGA for implementation	130 old JTDP villages covered with around 1500 HH benefitted. In JTCLP area total 530 ponds constructed with 3500 HH benefitted 107 mates trained
Sub-component 2.3 Productivity enhancement and crop diversification				
2.3.1 Farmers access irrigation, advisory services and machinery services for crop and livestock production	Some 1350 small-scale irrigation infrastructure is constructed Land under irrigation reaches 5300 Ha in kharif and 1350 Ha in rabi Land under soil and water conservation reaches 49000 Ha	Project/FNGO progress reports M&E Reports	Successful fee based machinery and advisory services replicated	530 irrigation pumps distributed in 205 villages and 102 shallow well completed in 102 villages
	In all 164 farmer service centres designed and constructed			14 FSC initiated without simple business plan
	In all 17,200 crop and livestock demonstrations conducted at 6 per village			5525 crop demonstration conducted
	1300 Pashu Sakhi trained			
COMPONENT 3.0: Livelihood support				
OUTCOME: Improved food security and increased income from use of natural resources and off-farm employment.	Based on EFA in project design report: Net income from IGA reaches 13 800 INR (2012 prices) Net income from veg clusters 32 000 INR Net income from mango orchard : 85 000 INR Net income from tasar : 21 000 INR Net income Lac : 10 000 INR Net income Goat rearing : 41 000 INR	Project/FNGO progress reports M&E Reports Annual outcome surveys Participatory M&E reports	Inputs needed for agricultural and production technologies available. Markets for cash crops accessible via local roads, and profitable. Employment opportunities available for graduates of vocational training.	Rough estimates from the supervision mission suggest that IGA generate about 7000 INR/ year . Such info should be included in AOS.

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks	Progress up to 30-June-2016
Sub-component 3.1 Support to IGA development				
3.1.1. Vulnerable HH (80% women) access IGA	About 17,500 hh provided training in IGA activities	Monitoring reports of FNGO and District PMU	Tribal communities respond to opportunities to improve food security and subsistence	2667 person trained under IGA training
	Some 5,000 hh supported in setting up of backyard poultry units			1048 HH supported in back yard poultry
	Some 1000 hh supported in pig-rearing units			554 HH supported in Pig Rearing
	Some 5500 hh supported in goat-keeping units			944 HH supported in gat keeping
	Some 6000 hh supported with artisan and other activities			
	Somme 6600 HH in old villages supported to access IGA through convergence			
Sub-component 3.2 Integrated Production and market support				
3.2.1. Cluster enterprise development planned and implemented (the cluster would include old and new villages as many of old villages in same GP as new villages)	Feasibility studies conducted for all clusters	Business plans	Tribal communities respond to opportunities to produce products for sale	
	setting up of 14 vegetable growers clusters	Monitoring reports		
	setting up of 3 Tasar cocoon rearing clusters			
	Setting up of 4 Tasar cocoon rearing cluster in non-forest area			
	Setting up of 14 mango clusters			Work of 3 Mango clusters started
	Setting up of 60 goat clusters			
	Setting up of 110 lac rearing clusters			
Sub-component 3.3 Vocational training				
Youth trained and placed in jobs	Study on vocational training conducted	Proj M&E	Capitalization of ILSP experience Convergence with skill mission	
	420 rural youth in new villages and 130 in old villages (50% women) received long-term training in skills			385 person received vocational training
	70% of all trained rural youth placed and remain in job after 1 yr			
Sub-component 3.4 Innovative interventions				
3.4.1 Innovations identified, tested and evaluated	Some 200 ha in 50 villages covered under community forestry	Project M&E and annual prog reports	Participatory process to identify and prioritize innovation needs	
	Ten PTG villages selected for habitat planning & improvement			
	Lac rearing on Semialata plants in 10 clusters			One cluster under convergence
	Gender action learning systems in one Panchayat			
COMPONENT 4.0: Project management				

Results Hierarchy	Indicators	Means of Verification	Assumptions & Risks	Progress up to 30-June-2016
OUTCOME: Effective and efficient project management	Quality of project management, M&E and Fiduciary aspects rated 4 or higher	Supervision reports by JTDS BOD, Welfare Dept and IFAD	Quality staff available in other departments for secondment or in open market; `capitalization on JTDP learning	Quality of project management and M&E rated 4 Fiduciary aspects rated 3 for FM / Disb/ Audit and 4 for procurement
Sub-component 4.1 State Project Management Unit				
4.1.1 Full compliment of staff recruited and placed	All positions filled in SPMU	Annual prog reports Asset register Audit reports	Competitive staff salary	Full staff recruited and placed
4.1.2 All office equipment purchased	Inverter for SPMU and Vehicles for SPD and APD procured.		Lap top, furniture, DG, procured	
4.1.3 Audits completed and unqualified	Timely submission of audit reports before 30 Sep of each year Audit opinion unqualified			Audit report 2014/2015 submitted in dec 2015. Audit unqualified.
Sub-component 4.2 District Project Management Unit				
4.2.1 Full complement of staff in 14 DPMU recruited and placed	All positions filled in DPMU	Annual prog report Field visits by SPMU	Competitive salary scale	Positions of one DPM and 3 DEOs vacant
4.2.2 DPMU offices established	Adequate facilities, utilities and working environment provided			Office facilities inadequate in Pakur, E. Singhbhum and W. Singhbhum districts
Sub-component 4.3 M&E and Knowledge management				
4.3.1. Functional M&E in place	4.3.1 Monthly review meeting conducted in 164 GPs, 14 DPMUs & at SPMU			Monthly review meeting organised-regularly in SPMU
	4.3.2 70 RIMS & M&E training conducted for SPMU, DPMU, FNGO, GS-PEC			M&E training conducted-5 no
	4.3.3 1 baseline, 7 annual surveys, 2 KAPS surveys & 14 other studies conducted			1 baseline and 1 annual survey completed
	4.3.4 Website set up and documents uploaded			Website design on-going
	4.3.5 Gender workshops organised and 7 KM workshops conducted		Gender and KM strategy developed in JTDS	1 gender and KM workshop organised

Appendix 3: Summary of key actions to be taken within agreed timeframes

Agreed action	Responsibility	Agreed date
32 Timely release of counterpart funds by the State Government	SPMU, Welfare Dept	31 Aug 2016
33 Synchronization of financial statements using the Tally software and submission of the audit report for FY 2015/16	SPMU	30 Sept 2016
34 Complete the GSRMLP for all JTELP villages ⁹	SPMU	31 Dec 2016
35 Integrating the land and water activities of JTELP into MGNREGA 2017-18 GP level plan in 30 blocks	SPMU, DPMU	30 Nov 2016
36 Collaborate with JSLPS to organise exposure visits for CFs, CRPs and SHG leaders, train JTELP SHGs and assist JTELP CRPs in forming new groups and reorganising existing groups where necessary. JTELP would align with JSLPS procedures for SHG formation, e.g. the introduction of the system of payment by SHGs for services of a group accountant, and with application of the MIS.	DPMUs & FNGOs	30 Sept 2016 and on-going
37 Ensure the CI&GO from the FNGO attends at least one meeting of each SHG monthly during the first six months after SHG formation	FNGOs & DPMUs	31 Aug 2016 & on-going
38 Expedite provision of printed books of accounts to SHGs, train CRPs in SHG accounts and update the SHG books of accounts ¹⁰	SPMU, DPMUs, FNGOs	31 Aug 2016
39 For YG, increase target to 600 YGs and ensure at least one YG in each Panchayat is a Young Women's Groups	FNGOs, DPMUs	31 Dec 2016
40 Organise an orientation programme for all concerned staff on the situation of PTG communities with the help of practitioners with experience of working with PTGs, develop formats for conducting situation analysis of PTG villages, prepare a situation analysis and development strategy document for each PTG village	SPMU, concerned DPMUs and FNGOs	31 January 2017
41 Distribute the 2nd phase of 5 000 solar lanterns and combine this activity with solar street lights, solar home systems and solar mini-grids in selected PTG villages	SPMU and DPMU	31 March 2017
42 Increase the number of CFs to 2 per Panchayat in blocks with a hilly terrain and/or more than 20 villages per Panchayat	SPMU	31 Aug 2016
43 Increase the number of CRPs to 2 in villages where the population exceeds 150 to 200 HH and DPMU assesses that one CRP is not enough for backstopping the SHG, YG, GS-PEC	SPMU	30 September 2016

⁹ Following the wrap-up meeting held with the SPMU on 4th august, the formulation of the GSRMLP in 330 JTDP villages would be completed by March 2017. The list of villages would be compiled and additional human resources would be estimated and provided for the completion of this assignment where needed.

¹⁰ The account books were delivered to the SPMU on 4th August 2016. They should now be provided to the SHGs.

Agreed action	Responsibility	Agreed date
44 Build the capacity of GS-PEC executive members, CRPs, CFs, JEs and NRMOS on planning and investing in INRM through: exposure visits; training	DPMUs, IFAD INRM Consultant	30 Sept 2016
45 Select women candidates to be trained as MGNREGA mates in consultation with the GS-PECs and organise their training through MGNREGA authorities (similar to JSLPS)	SPMU, DPMUs,	31 Oct 2016 and on-going
46 Prepare viable business plans for construction of FSCs before construction is taken up and equipment purchased	DPMU	31 Dec 2016
47 Organize exposure visits, training of SPMU, DPMU and FNGO staff on Improved Livestock Management Practices (ILMPs) and develop detailed implementation modalities based on working paper that will be provided by the supervision mission	SPMU	31 Jan 2017
48 Facilitate community regulations for water sharing from ponds	DPMU and GS-PEC	31 Dec 2016
49 Facilitate contribution to VDF from all project beneficiaries, not only wage labourers (from those benefiting through irrigation, fish, etc.)	SPMU and DPMU	31 Aug 2016 and on-going
50 Based on GSRMLP, compile an village based inventory of water sources (open wells, streams, bore wells, ponds) amenable to irrigation through submersible or surface pump	DPMU	31 Jan 2017
51 Revert to the original project design for individual IGA focusing only on the vulnerable HH	SPMU, DPMU, FNGO	31 Oct 2016 and on-going
52 Identification and listing of the most vulnerable households in each village in the GSRMLP, and reporting on their inclusion in SHG, as well as benefits received under the project, on an annual basis	SPMU	Aug 2016 on-going
53 Revise AWPB to exclude Lac rearing and community forestry; and develop a strategy paper for implementing sub-components 3.2 (integrated production and marketing) and 3.3 (vocational training)	SPMU	30 Sept 2016
54 All project villages and physical infrastructures (particularly ponds) should be georeferenced; necessary GPS / biometric GPS may be procured for this purpose for each DPMUs and NGOs and necessary training should be provided on the use of GPS	SPMU (SPD/APD & Manager PME) and DPMU	30 Oct 2016
55 Use the revised RIMS indicators for 1st level results (following M&E training) for subsequent RIMS report and update AOS for 2016 using the revised guidelines and formats.	SPMU (Manager PME)	30 Jan 2017
56 Train CRPs and CFs to have a harmonized understanding and use of formats for data collection and recording.	SPMU (Manager PME)	30 Jan 2017
57 Revise the AWPB 2016-17 based on mission recommendations	SPMU	30 Sept 2016
58 Revise the gender strategy using the standard IFAD outline. An action plan and M&E would be attached to the gender strategy. And sensitize project team to the gender strategy.	SPMU	30 Sept 2016
59 Identification and listing of most vulnerable households in each village in the GSRMLP, and reporting on their inclusion in SHG, as well as benefits received under the project, on an annual basis	SPMU	31 Aug 2016 and ongoing

Agreed action	Responsibility	Agreed date
60 Issue guidelines for recording of funds brought forward and complete the synchronization process of the accounting software. Rectify the TDS entries to correctly record the gross expenses (and not net of TDS)	FAM	31 Aug 2016
61 Reverse the stale entries for stale cheques and transfer the amount directly to the bank accounts of the intended recipients	FAOs	31 Aug 2016
62 Settle advances outstanding for more than 90 days and ensure no fresh advance is given till settlement of the earlier advance	FAOs/ DPMUs	31 Aug 2016
63 Reverse the claim of taxes in respect of WAs which have been processed or are under process and do not claim the taxes in subsequent WAs	FAM	31 Aug 2016
64 Resubmit with correct classification the claim of INR 4.68 million that was earlier rejected by IFAD due to wrong classification	FAM	31 Aug 2016
65 Recruit a chartered accountant firm to carry out the internal audit as per the MOU between the GoJ and JTDS	SPMU	30 Sep 2016
66 Revise the procurement plan and resubmit for IFAD no objection and maintain Contract Monitoring records	SPMU/ FAM	30 Sep 2016
67 Prepare the PFS in accordance with the prescribed formats and submit the audit report within the prescribed period	FAM	30 Sep 2016

Appendix 4: Physical progress measured against AWP&B, including RIMS indicators

Component/		Indicators			Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative	Appraisal	
Sub-component or Output		Project indicators	RIMS indicators	Unit	AWP&B	Actual	%	AWP&B	Actual	%	Actual	Target	%
Component 1: Community Empowerment													
	Sub-component 1: Promotion of SHGs and Youth Groups												
	SHG formation			No.	5500	4839	87.98	661	373	56.43	5212	5500	94.76
		No. of Groups received seed capital	No. of Groups received seed capital		2500	1700	68.00	5000	0	0.00	1700	2500	68.00
	Seed capital to women SHG			No									
	YG formation			No	328	308	93.90	10	0	0.00	308	328	93.90
		No. of Groups received financial support	No. of Groups received financial support		168	168	100.00	328	0	0.00	168	328	51.22
	Support to youth groups			No									
		No. of competition held			168	112	66.67	164	0	0.00	112	328	34.15
	Youth group competition			No									
	Kala Jatha (street plays)	No. of Strret plays performed		No	1265	0	0.00	328	0	0.00	0	1265	0.00
	Year 1 FNGOs service contracts	No. of contracts signed with FNGO		No	30	30	100.00				30	30	100.00
	Sub-component 2: Capacity building												

Component/ <i>Sub-component or Output</i>	Indicators		Unit	Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative Actual	Appraisal Target	
	Project indicators	RIMS indicators		AWP&B	Actual	%	AWP&B	Actual	%			
A. Training of SHGs & PECs												
SHG mobilisation methodology	No. of person received training	No. of persons trained	No	1050	916	87.24	900	457	50.78	1373	60	2288.33
TOT on SHG/PEC mobilisation	No. of SHG/PEC members received training		No	2100	557	26.52	1350	663	49.11	1220	300	406.67
SHG/PEC leadership Training	No. of office bearers of SHG/PEC received training		No	6000	4317	71.95	20277	3833	18.90	8150	30000	27.17
SHG: Book Keeping Training	No. of SHG members received training		No	30000	21986	73.29	5820	1175	20.19	23161	15000	154.41
ToT on Micro Planning/IGA business	No. of person received training		No	3400	2667	78.44	4920	0	0.00	2667	630	423.33
Learning Aid Preparation	No. of documents prepared		LS	1	0	0.00	158	0	0.00	0	8	0.00
Learning events	No. of events held		No	1350		0.00	30	0	0.00	0	1300	0.00

Component/ Sub-component or Output	Indicators			Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative Actual	Appraisal Target	
	Project indicators	RIMS indicators	Unit	AWP&B	Actual	%	AWP&B	Actual	%			
B. Training of staff/NGOs												
Exposure visits to other states/projects	No. of person visited	No. of person visited	Person days	28	10	35.71	60	0	0.00	10	1650	0.61
Overseas visits	No. of person visited		Person days	50	10	20.00	25	0	0.00	10	300	3.33
<i>Sub-component 3: Special support to PTGs:A. Training</i>												
<i>Part time CRP</i>			Person	60		0.00	100	0	0.00	0	476	0.00
<i>Trg. Of village Health worker</i>	No. of HW received training		No.	60	15	25.00	160	20	12.50	35	136	25.74
<i>Health camp</i>	No. of persons got treatment	No. of persons got treatment	No.	3000	1	0.03	800	266	33.25	267	408	65.44
<i>B.Support facilities</i>												
<i>Solar lantern</i>	No. of HH received	No. of HH received	No	420	6000	1428.57	5000	0	0.00	6000	10126	59.25
<i>Medicated Mosquito nets</i>	No. of HH received	No. of HH received	No	450	0	0.00	9000		0.00	0	10126	0.00
<i>Seed capital to PTG SHG</i>	No. of groups received seed capital	No. of groups received seed capital	No.	250	221	88.40	500	0	0.00	221	1000	22.10

Component/		Indicators			Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative	Appraisal	
Sub-component or Output		Project indicators	RIMS indicators	Unit	AWP&B	Actual	%	AWP&B	Actual	%	Actual	Target	%
Component 2:INRM-1-community Mobilisation													
	B.TSA			3	3						3	3	100.00
	C. Training												
	State level INRM methodology harmonisation//GSRMLP training	No. of persons trained		No.	425	375	88.24	200	55	27.50	430	1800	23.89
	Training of FNGO on GSRMLP	No. of persons trained		No.	240	240	100.00	240	0	0.00	240	1500	16.00
	Training/workshop of PEC and CRP	No. of persons participated in workshop			1000	1157	115.70	990	344	34.75	1501	6000	25.02
	D. Training												
	D. Part time CRP and Master CRP												
	Payment to CRP	How many CRPs received payment		No	1260	1227	97.38	1535	1230	80.13	1230	1535	80.13
	Land & Water Resources Development												

Component/ <i>Sub-component or Output</i>		Indicators		Unit	Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative Actual	Appraisal Target	
		Project indicators	RIMS indicators		AWP&B	Actual	%	AWP&B	Actual	%			
	Land & Water Development-	No of infrastructure develop for the water harvesting structures	No of acarage covered	No.	1260	229	18.17	950	302	31.79	531	8100	6.56
	Training-Training of mates	No of mates trained	No of mates being trained under MNREGA	No.	1259	0	0.00	1000	86	8.60	86	1259	6.83
	Engaging of Master CRP	No of Master CRP engaged in INRM	No of Master CRP engaged in INRM	Person day	486	0	0.00	60	0	0.00	0	492	0.00
	F.VDF												
	VDF for PTG villages	No of PEC received VDF capital to PVTG	No of PEC received VDF capital to PVTG	village	165	80	48.48	100	0	0.00	80	158	50.63

Component/		Indicators			Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative	Appraisal	
Sub-component or Output		Project indicators	RIMS indicators	Unit	AWP&B	Actual	%	AWP&B	Actual	%	Actual	Target	%
	VDF for other villages	No of PEC received VDF capital to other villages	No of PEC received VDF capital to other villages	village	1100	920	83.64	1159	0	0.00	920	1159	79.38
	2.3-Productivity enhancement												
	INRM												
	A. Irrigation Facilities	No of Irrigation infrastructure Facilities developed	No. of beneficiaries, Area under irrigation	village	300	0	0.00	450	102	22.67	102	1260	8.10
	B. Farmers Service Centre												
	Training Power triller operation	Training to Power triller operation in District level	No. of persons trained	No.	80	0	0.00	30	0	0.00	0	320	0.00

Component/ <i>Sub-component or Output</i>		Indicators		Unit	Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative Actual	Appraisal Target	
		Project indicators	RIMS indicators		AWP&B	Actual	%	AWP&B	Actual	%			
	Training District level mechanic	Training to mechanic related to ag. Machine in District level	No. of persons trained	No.	60	0	0.00	200	50	25.00	50	168	29.76
	Training CRP in agriculture	No of Training organised for the CRP related to Agriculture	No. of CRP engaged in Ag. Training	No.	90	120	133.33	30	17	56.67	137	1476	9.28
Component 3: Livelihood support													
3.1 Support for IGA													
1. Investment cost													
	<i>Backyard poultry</i>	No. of HH benefitted	No. of persons involved in the activity	No.	1100	250	22.73	300	605	201.67	855	5000	17.10

Component/ <i>Sub-component or Output</i>		Indicators		Unit	Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative Actual	Appraisal Target	
		Project indicators	RIMS indicators		AWP&B	Actual	%	AWP&B	Actual	%			
	Pig rearing unit	No. of HH benefitted	No. of persons involved in the activity	No.	200	80	40.00	420	110	26.19	190	1000	19.00
	Goat rearing unit	No. of HH benefitted	No. of persons involved in the activity	No.	830	175	21.08	90	505	561.11	680	5500	12.36
	<i>Beneficiary training</i>	No. of persons trained		Person	3400	2667	78.44	4732	756	15.98	3423	17500	19.56
	3.2: Integrated Production and Marketing												
	1.Investment cost												
	Vegetable Cluster	No of cluster developped	No of persons involved	No.	14	0	0.00	14	0	0.00	0	56	0.00
	a.Tasr silkworm in forest- Tasar Year-3	No of cluster developped	No of persons involved	No.	1	0	0.00	2	0	0.00	0	16	0.00
	c.Mango custer-Year 3	No of cluster developped	No of persons involved	No.	2	0	0.00	2	3	150.00	3	70	4.29
	e. Lac rearing cluster-Year 3	No of cluster developped	No of persons involved	No.	10		0.00	14	0	0.00	0	220	0.00

Component/ <i>Sub-component or Output</i>	Indicators			Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative	Appraisal	
	Project indicators	RIMS indicators	Unit	AWP&B	Actual	%	AWP&B	Actual	%	Actual	Target	%
3.3 Vocational Training												
Training	Type of training and persons received training	Type of training and persons received training	Person-month	420	385	91.67	280	0	0.00	385	2520	15.28
3.4 Innovative intervention												
A. Community Forestry												
Exposure visit	No. of persons visited	Area under community forestry	L.S.	1	0	0.00	15	0	0.00	0	5	0.00
Guideline preparation	Documents prepared		L.S.	1	0	0.00	1	0	0.00	0	1	0.00
Preparation of Management Plan	No. of plans prepared		village	10	0	0.00	0	0		0	50	0.00
C. Lac rearing on semialata plantation												
Training(Field level)	No. of people trained	No. of people involved	cluster	100	0	0.00	50	0	0.00	0	600	0.00
Promotional cost												
Travel to field workers	Amount received		per_year	10	0	0.00				0	40	0.00
Component 4												

Component/ Sub-component or Output	Indicators			Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative Actual	Appraisal Target	
	Project indicators	RIMS indicators	Unit	AWP&B	Actual	%	AWP&B	Actual	%			
G. Annual audits												
Internal audit			No	56	14	25.00	56	14	25.00	28	448	6.25
Statutory audit			No	1	1	100.00	1	0	0.00	1	8	12.50
H. National Consultants /d			No	2	0	0.00	2	0	0.00	0	8	0.00
I. Legal consultants /e			No	1	0	0.00	1	0	0.00	0	8	0.00
4.2 Monitoring & Knowledge Management										0		
project start up at state level (3 day)			No	1	1	100.00	0	0		1	1	100.00
2.Monthly Review meetings												
at Gram Shabha Level			No	1200	1200	100.00	0	0		1200	96000	1.25
at District Level			No	168	144	85.71	164	26	15.85	170	1344	12.65
at State level				12	2	16.67	24	2	8.33	4	96	4.17
3.Learnings & Sharing Workshop												
Qtly Workshop at GP level			No.	4000		0.00	656	2	0.30	2	32000	0.01
Qtly Workshop at District level			No.	56	4	7.14	56	0	0.00	4	448	0.89
Qtly Workshop at State level			No.	4	1	25.00	4	0	0.00	1	32	3.13
5.RIMS and M&E Training												
State level training (3 day residential)	No. persons trained		No.	50	45	90.00	50	56	112.00	101	1	10100.00

Component/ Sub-component or Output		Indicators		Unit	Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative	Appraisal	
		Project indicators	RIMS indicators		AWP&B	Actual	%	AWP&B	Actual	%	Actual	Target	%
	District/Regional level training (1 day Non-residential)	No. persons trained		No.	280	104	37.14	90	0	0.00	104	70	148.57
	6.Surveys & Studies												
	Annual Outcome Survey			No	1	1	100.00	1	0	0.00	1	7	14.29
	Annual Outcome Survey Training (2 day Non-residential)	No. persons trained		No	14	1	7.14	3	0	0.00	1	70	1.43
	KAPS survey Training	No. persons trained		No	1	0	0.00	1	0	0.00	0	2	0.00
	7.Travel Allowence & out Sourcing												
	M & E Support			LS	1		0.00	1		0.00	0	7	0.00
	MIS Design			LS	1		0.00	1		0.00	0	1	0.00
	PME Consultant			LS	1		0.00	1		0.00	0	3	0.00
	Participatory M&E Consultant			LS	1		0.00	1		0.00	0	2	0.00
	8.Knoweldge Management												
	Documentation Consultant			LS	1		0.00	1		0.00	0	8	0.00
	Publication of News letter			No	2		0.00	4		0.00	0	16	0.00
	Study Reports			LS	1		0.00	1		0.00	0	16	0.00
	WEB site maintenance			month	12	12	100.00	12	3	25.00	15	96	15.63
	IEC Materials			LS	1	1	100.00	5	1	20.00	2	16	12.50
	KM trainings & Workshop			Year	1		0.00	2	1	50.00	1	7	14.29

Component/			Indicators			Period: 01-04-15 to 31-3-16 (FY-2015-16)			Period: 01-04-16 to 30-6-16 (FY-2016-17)			Cumulative	Appraisal	
Sub-component or Output			Project indicators	RIMS indicators	Unit	AWP&B	Actual	%	AWP&B	Actual	%	Actual	Target	%
	Documentation				LS	1		0.00	1	0	0.00	0	9	0.00
	8.Gender Sensitisation													
	Staff Workshop				LS	1		0.00	1	1	100.00	1	4	25.00
	Legal literacy TOT				LS	1		0.00	1	0	0.00	0	2	0.00

Appendix 5: Financial: Actual financial performance by financier; by component and disbursement by category

Table 5A: Financial performance by financier (amount in USD'000)

Financier	Approval	Disbursements (up to 31-07-16)	% disbursed
IFAD Loan	51,001	3,722.20	7.40%
Government	7,927	1,750.91	22.09%
TSP	11,556	3,057.52	26.46%
NREGA	44,182	3,030.30	6.86%
Beneficiary Contribution	925	10.49	1.13%
Total	115,591	11,621.42	10.05%

Note: The Government share is taken at total disbursements made by it, less amount received from IFAD.

Table 5B: Financial performance by financier by component upto 30-06-2016

(Amount in USD'000)

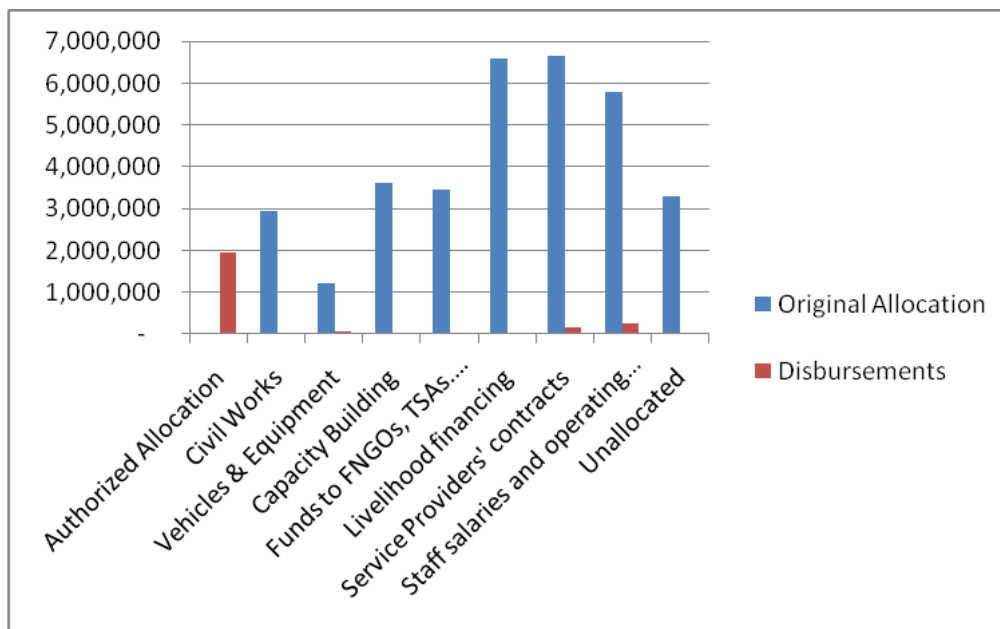
	Component	IFAD Loan			Government			TSP			NREGA			Beneficiaries			Total		
		Approval	Actual	%	Approval	Actual	%	Appl	Actual	%	Appl	Actual	%	Appl	Actual	%	Approval	Actual	%
1	Community Empowerment	13,417	808.73	6.03	1,891	62.67	3.31	-	-	-	-	-	-	-	-	-	15,308	871.39	5.69
	Promotion of SHGs	11,870	709.71	5.98	1,829	61.36	3.36	-	-	-	-	-	-	-	-	-	13,699	771.08	5.63
	Capacity Building	784	75.88	9.68	-	-	-	-	-	-	-	-	-	-	-	-	784	75.88	9.68
	Special support to PTGs	763	23.14	3.03	63	1.30	-	-	-	-	-	-	-	-	-	-	826	24.44	2.96
2	Integrated Natural Resource Management	12,973	1,960.06	15.11	857	10.59	1.24	4,341	-	-	44,182	3,030	6.86	-	-	-	62,353	5,000.95	8.02
	Community Mobilization	1,679	354.83	21.13	204	1.52	0.74	-	-	-	-	-	-	-	-	-	1,883	356.35	18.92
	Land and Water Resources Development	3,525	1,553.76	44.08	-	-	-	-	-	-	44,182	3,030	6.86	-	-	-	47,707	4,584.06	9.61
	Productivity enhancement	7,769	51.47	0.66	653	9.08	1.39	4,341	-	-	-	-	-	-	-	-	12,763	60.55	0.47
3	Livelihoods Support	12,473	663.70	5.32	127	-	-	7,215	504.39	6.99	-	-	-	925	10.48	1.13	20,740	1,178.58	5.68
	Support for IGA	1,725	633.68	36.74	-	-	-	1,006	499.05	49.61	-	-	-	144	9.73	6.76	2,875	1,142.45	39.74
	Integrated Production & Marketing	9,151	9.17	0.10	-	-	-	5,338	5.35	0.10	-	-	-	763	0.76	0.10	15,252	15.27	0.10
	Vocational Training	379	19.33	5.10	-	-	-	-	-	-	-	-	-	-	-	-	379	19.33	5.10
	Innovative interventions	1,218	1.52	0.12	127	-	-	871	-	-	-	-	-	18	-	-	2,234	1.52	0.07
4	Project Management	12,138	722.53	5.95	5,052	471.23	9.33	-	-	-	-	-	-	-	-	-	17,190	1,193.76	6.94
	Project Management Unit	10,903	712.64	6.54	5,032	471.23	9.36	-	-	-	-	-	-	-	-	-	15,935	1,183.86	7.43
	Monitoring Evaluation and Knowledge Management	1,235	9.89	0.80	20	-	0.00	-	-	-	-	-	-	-	-	-	1,255	9.89	0.79
	Total	51,001	4,155.02	8.15	7,927	544.48	6.87	11,556	504.39	4.36	44,182	3,030	6.86	925	10.48	1.13	115,591	8,244.68	7.13

Table 5C: IFAD Loan Disbursements (SDR as at 31-07-2016)

	Categories	Original Allocation	Disbursements	WA pending	Balance	% disbursed
	Authorized Allocation		1,943,207	-	(1,943,207)	100%
I	Civil Works	2,950,000	-		2,950,000	-
II	Vehicles & Equipment	1,200,000	70,134	44,574	1,085,292	5.84%
III	Capacity Building	3,600,000	38,778	84,606	3,476,616	1.08%
IV	Funds to FNGOs, TSAs. SHGs, GS-PECs, PGs and LCs	3,450,000	-	1,322,491	2,127,509	-
V	Livelihood financing	6,600,000	1,060	37,788	6,561,152	0.02%
VI	Service Providers' contracts	6,650,000	173,661	212,885	6,263,454	2.61%
VII	Staff salaries and operating costs	5,800,000	270,293	129,408	5,400,299	4.66%
	Unallocated	3,300,000			3,300,000	-
	Total	33,550,000	2,497,133	1,831,752	29,221,116	7.44%

Note: WA pending is taken at 1 SDR= 93.29 INR

Fig 1: Allocation and disbursements (Amount in SDR)



Appendix 6: Compliance with financing agreement covenants: Status of implementation

Section	Covenant	Target/Action Due Date	Compliance Status
B – Clause 6	The Borrower shall open and maintain a Designated Account in USD in a bank acceptable to the Fund	On Loan effectiveness (04-10-2013)	Complied
B – Clause 7	There shall be a Project Account denominated in local currency opened and operated by the SPMU in a bank mutually acceptable to JTDS and the Fund	On Loan effectiveness (04-10-2013)	Complied
B – Clause 8	There shall be 14 sub project accounts, one for each DPMU and shall be opened and maintained in a bank mutually acceptable to JTDS and the Fund	On Loan effectiveness (04-10-2013)	Complied
B – Clause 9	The Borrower shall cause the State to provide approx USD 7,900,000 to the Project as counterpart financing and approx USD 55,700,000 as parallel financing from SCA to TSP and MGNREGS	During the project period	Compliance has commenced
E- Clause 2 (a)	JTDS shall have been duly registered with the State Registrar of Societies	Prior to first withdrawal (June 2014)	Complied
E- Clause 2 (b)	The SPCC and the SPMU shall have been duly established	Prior to first withdrawal (June 2014)	Complied. However , the meeting of SPCC as required has not been held so far and first week expected 2 nd quarter 2016
E- Clause 2 (c)	A State Project Director (SPD) shall have been duly appointed	Prior to first withdrawal (June 2014)	Complied. New SPD took office since April 2016
E- Clause 2 (d)	The Designated Account shall have been duly opened by the Borrower	Prior to first withdrawal (June 2014)	Complied
E- Clause 2 (e)	The Project Account shall have been duly opened by the SPMU	Prior to first withdrawal (June 2014)	Complied
E- Clause 2 (f)	The Project Agreement in form and substance acceptable to the Fund shall have been duly concluded between the Fund and the State of Jharkhand	Prior to first withdrawal (June 2014)	Complied with
II-C- Clause1	The JTDS shall prepare a draft PIM in consultation with the Fund to be approved by the Board of JTDS	Prior to first withdrawal (June 2014)	Complied
II-C Clause 2	The JTDS shall adopt the PIM substantially in the form mutually agreed with the Fund	Prior to first withdrawal (June 2014)	Complied
Section 4.02 of GCFADF	<i>Withdrawals</i> No Withdrawal shall be made from the Loan until the first AWPB has been approved by the Fund and all other conditions specified in the Financing Agreement have been fulfilled	Prior to first withdrawal (June 2014)	Complied with
		AWPB to be submitted by 31 Jan, 2016	Complied with
Section 4.08 of GCFADF	<i>Eligible Expenditures</i> The financing shall be used exclusively to finance expenditure required for the project and covered by the relevant AWPB during the Project Implementation period in accordance with the Financing Agreement	During the project period	Compliance has commenced
Section 7.05 of GCFADF	<i>Procurement</i> Procurement of goods , works and services financed by the Loan shall be subject to the provisions of the“ Guidelines for Procurement under Financial Assistance from the International Fund for Agricultural Development”(1982) in accordance with Part B and Part C of the Schedule	Throughout the project period	Ongoing compliance
Section 7.06 of GCFADF	<i>Use of Goods and Services</i> All goods, services and buildings financed by the Project shall be used exclusively for the purpose of	Throughout the project period	Ongoing compliance

	the Project		
Section 7.08 of GCFADF	<i>Insurance</i> The Borrower shall insure all goods and buildings used in the Project against such risks as shall be consistent with sound commercial practice	Throughout the project period	Only vehicle is insured.
Section 7.11 of GCFADF	<i>Key Project Personnel</i> The Borrower/ Recipient shall appoint the Project Director and key project personnel in the manner specified in the Agreement or otherwise approved by the Fund. Efforts shall be made for their continuity and the Project shall insure the key Project personnel against health and accident risks to the extent consistent with sound commercial practice or its customary practice in respect of its national civil service, whichever is appropriate	Throughout the project period	Complied with
8.02 of GCFADF	<i>Monitoring</i> The PCU shall establish ,as soon as practicable but in no event later than 90days after the Effective Date, and thereafter maintain an appropriate information management system in accordance with The Fund's" Guidelines for Project Monitoring and Evaluation" to enable it to continuously monitor the Programme in accordance with paragraph2 ofSchedule3A and Section8.02 (Monitoring of Project Implementation)of the General Conditions based on indicators agreed by the Borrower and the Fund	By 04-01-14	MIS under development
8.03 of GCFADF	<i>Progress Reports</i> The PCU shall submit to The Fund periodic progress reports on the Project in such form and substance as the Fund shall reasonably request.	By 30 th June and 31 st December every year	Complied with
8.03 of GCFADF	<i>Mid-Term Review</i> The Borrower, through the Lead Programme Agency, the Fund And The Cooperating Institution, shall jointly carry out a Review of Programme implementation no later than thirty-six(36)months after the Effective Date(the Mid-Term Review")		Not yet due
9.01 of GCFADF	<i>Financial Records</i> The Project parties shall maintain separate accounts and records in accordance with consistently maintained appropriate accounting practices adequate to reflect the operations, resources and expenditures related to the Project until the Financial Closing Date and shall retain such accounts and records for at least 10 years thereafter.	Throughout the project period	Compliance commenced
9.02 of GCFADF	<i>Financial Statements</i> The Borrower/ Recipient shall deliver to the Fund detailed financial statements of the operations, resources and expenditures related to the Project for each fiscal year prepared in accordance with standards and procedures acceptable to the Fund and deliver such financial statements to the Fund within 4 months from the end of each Fiscal Year.	31 st July every year	Not complied
9.03 of GCFADF	<i>Audit Reports</i> (a) The Borrower shall each Fiscal Year have the accounts of the Project audited in accordance with the auditing standards acceptable to the Fund and its Guidelines on Project Audits by independent auditors acceptable to the Fund (b) Within 6 months of the end of each Fiscal Year furnish a certified copy of the audit report and reply to the Management Letter of the auditors within one month of receipt thereof	30-09-2016/ 30-09-2015	Delayed Compliance. Submitted on 22-12 15. Recruitment of auditor for audit 2015/16 on-going

Appendix 7: Knowledge management: Learning and Innovation

1. Soundness of baseline survey and whether it addresses aspects of design relevance and would enable impact measurement:

1.1 Baseline survey report addresses some aspects of design relevance and RIMS indicators in terms of basic information, generally equivalent to 1st level output results. Data to link outcome levels as in the logframe or for subsequent impact measurement in several situations would require additional data collection. The following specific illustrations may be seen.

1.2 Livestock:

(i) Baseline data are limited to types and number of livestock owned per households.

(ii) For impacts measurements including for economic and financial analysis (EFA), the project needs to have baseline information on mortality rate and income from different livestock categories per household. At best the data may be imported from the district or state livestock statistics for mortality rate for comparison. The project needs to track the mortality rate and income from different livestock categories/types provided as IGAs at individual households and as group enterprises.

(iii) For this purpose, a household level data sheet or appropriately formatted register may be provided to the HHs receiving livestock for IGA to record on mortality (or no mortality) and income from livestock. The CRPs need to be trained to support in recording such information in the HH register or data sheet. Evidences of project interventions in reducing mortality rate/enhancing livestock productivity (such as training received on livestock, feeds and fodder, improved extension services for vaccination and medication, improved animal shelter) too need recording.

1.3 Agriculture:

(i) Crop yield: basic data on yield of major Kharif and Rabi crops per unit area is given in the baseline report. However, the data does not indicate if the yield is under rainfed or irrigated condition.

(ii) For impacts measurement as well as EFA, the project needs to have clearer baseline information such as crop yield with irrigation and without irrigation (rainfed) compared with current state/district average yield and potential yield per unit area. Also record the quantity of seeds/planting materials used per unit area along with input cost and labour cost per season of cropping cycle. All of these will be needed to calculate farm models and cost-benefits ratio at project completion stage. Database should be crop-wise (only major crops) for each year (to give yearly-increase on cost of inputs, labour, etc.).

(iii) The baseline survey has a mention of access to modern agricultural technology with none of the sample baseline HHs having received any training on modern agricultural technology (see section on Climate Change and Agriculture). As access to new agricultural technology has design relevance and also to be reported at completion, the project would do well to track: (a) new agricultural technologies promoted (such as SRI with area, input cost, labour cost, yield and scaling-up data); (b) traditional tribal agricultural technologies supported (such as millets cultivation); (c) scaling-up areas under climate-adaptive legume crops introduced through ICRISAT grant.

2. AOS 2015 survey and conclusions derived for project implementation strategy:

2.1 The sample size of the AOS has been inadequate (130 each for project and control groups). However the report did not explain why such a low sample size has been taken. In future, minimum sample size should be 400 HHs (200 project; 200 control).

2.2 The project has measured AOS for 9 indicators. While the AOS results are mainly of status data on the indicators for project and control households, the AOS did not analyse if changes were happenings or if the changes could be attributed to project interventions, nor any suggested corrective actions that the project proposes to undertake.

2.3 Based on the AOS results, the project implementation strategy needs re-orientation. Examples for consideration are the following:

(i) IGAs and targeting: 53% of project HHs have monthly income below INR 1700 (categorized as very poor). Thus, the project needs to focus on IGAs for targeted/very poor or vulnerable HHs as per project strategy. Major focus of IGA to enhance income would be addressing both livestock productivity (78% of project HHs own livestock) and agriculture productivity (86% of HHs depend on agriculture). Incidentally, livestock based IGA is the most preferred options for majority of HHs (nearly 55% of women, 70% of men) in project areas as per baseline data.

(ii) Agricultural productivity for improved livelihoods and income: 86% of project HHs reported agriculture as primary source of income and hence livelihoods, though the AOS is silent on agricultural productivity or crop yield. The monthly low income (below INR 1700 for 53% project HHs) could be directly correlated with low agricultural productivity. Hence, the project strategy could focus on enhancing agricultural productivity (improved seeds, technology, input services, irrigation, capacity building, post-harvest management, etc.).

(iii) Food security: 35% of project HHs reported food shortage, of which 86% reported the shortage being 2-3 months per year. Project should address food security by improving (a) IGAs for targeted HHs, agriculture & livestock productivity; (b) follow-up functioning of PDS & Anganbari centres in the project areas; and (c) ensure access to social entitlements of all eligible persons/schemes such as old age pension, widow pension, disability pension, access to PDS entitlements, etc.

2.4 It is recommended that the project may also conduct Thematic Outcome Survey (TOS) focusing on the above three key thematic areas. The project is also encouraged to conduct an exclusive AOS for the PVTGs dominated areas selecting only the PVTGs HHs and compare their progress with other ST HHs within the programme areas.

3. Consistency of RIMS report with the baseline data and the project progress data:

3.1 The project has revised the RIMS indicators for annual reporting, consistent with the project design (components and activities) to be used for 2016 reporting. This will improve in the consistency of indicators between the RIMS report and Annual Progress Report.

3.2 In terms of data consistency, there are some indicators that could be cited having consistency between RIMS report and progress report data, and to some extent with baseline data. For example, on area under irrigation, RIMS reported 697 ha till Dec 2015 or 70% of AWPB of 2015/16, whereas Progress Report (2015/16 + Q1 of 16/17) showed achievement of 1,440 ha benefiting 9,052 HHs. However, the baseline data reported only percentage of HHs having access to different sources of irrigation water (and nothing on area under irrigation).

3.3 Other indicators that are common between RIMS and Annual Progress Report are the number of people trained (in livestock, agriculture technology, etc.) and units of livestock-based IGAs provided (goat rearing, piggy, poultry, etc.). On the other hand, the baseline data covered the types and number of various livestock owned by HHs only.

4. Data collection, compilation, analysis, learning and action in JTELP:

4.1 The data collection format is primarily focused on output results (equivalent to 1st level results). With the completion of some land and water management activities (such as ponds under EPA), provision of livestock for IGAs (poultry, goats and piggy), etc. the data collection format needs revision to capture outcome results such as (i) area irrigated, changes in crop yield, changes in cropping pattern, changes in income, etc. in case of irrigation pond; and (ii) livestock based IGA to capture information on mortality rate and income from sale of livestock.

4.2 Need for capacity building of field level functionaries (CRPs and CFs of NGOs) on M&E for data collection, clarity on the formats used and link between output and outcome results.

4.3 The data analysis at community level for improved learning could be enhanced. Social auditing through participatory assessment monitoring & evaluation (PAME) tool could be streamlined. The CRPs need capacity building to conduct social auditing using PAME methodology for understanding and analysis of outcomes from project interventions such as irrigation-water sharing mechanism, tracking of increased crop/livestock productivity and increased income.

4.4 Joint analysis of monthly M&E data between the DPMUs and FNGOs could be strengthened for improved learning and decision making for addressing changes needed in the project interventions. This should form part of the project monthly review meetings.

5. Lessons learned from OTELP M&E:

5.1 JTELP needs to plan its M&E system with good MIS keeping in mind information and database needed for project closure. The project should develop data management culture (collection, analysis, storage and retrieval). Thematic information and database should also be backed up by every sector manager. Learning from OTELP's recent PCR and M&E experiences, JTELP would do well to address preventive and corrective measures in the following areas.

5.2 Physical progress table based on each year's AWPB should have component/activities-wise consistent indicators data with clear units, cumulative values, and percentage achievements against appraisal targets. Care should be taken to avoid any double or triple counting.

5.3 RIMS data presentation and selection of indicators for 1st and 2nd level results should be done with consistency from first year of RIMS reporting. The project explanation for indicators should be precise and clear. Achievements on actual values and in percentage against AWPB for each indicator should be clearly recorded for each year. Avoid any double counting.

5.4 Farm models. For calculating farm models / income models/ enterprise models (such as goat rearing, poultry, piggery, WADI, vegetable cultivation, nutrition garden, etc.), the project needs to keep data on input cost, labour cost and gross income from each different intervention. For this purpose, the project may design appropriate data collection sheet (back up by MIS). Reliable data could be generated and validated by following up with manageable numbers of selected households in each district with cross-verification by systematic case studies.

5.5 Case studies should reflect results chain – inputs, activities, outputs, outcomes and impacts – to clearly show positive changes due to project interventions and ideally illustrated with facts and figures (data tables and photos or graphical visualisation) with lessons learned.

6. Main recommendations to JTELP to improve its M&E.

6.1 Re-visit project M&E work plan to have comprehensive M&E activities under three broad head of Data Collection, Report Development and Data Management. Outline M&E activities under each of these head for improved M&E system. Share with all concerned.

6.2 Revise data collection formats to capture outcome results as applicable (as explained above). In particular the outcomes related to components 2 and 3 would need to be systematically captured in AOS or in thematic studies carried out on an annual basis. The following information would need to be collected periodically : productivity of crops and livestock; cropping intensity; benefit and cost calculations for IGAs and all the cluster development.

6.3 Complete the design and development of the MIS to support in data quality, etc.

6.4 Build the capacity of the frontline M&E staff for comprehensive M&E tasks. Support the staffs in proper comprehension of the formats and data collection. Consider introducing HH level register to record M&E related information selectively among those receiving IGAs and irrigation water.

6.5 Carry out regular M&E review meeting among PMU, DPMU and NGOs; also focus on KM.

6.6 Encourage sector managers to periodically validate the sector-specific database, together with back-up case studies and analysis.

Appendix 8: FMAQ

Country: India	Loan /Grant ID: 879 IN
Project Name: JTELP	
Executing Agency ; JTDS	CPM: Rasha Omar
Reviewing Finance Officer/FMS: Pratul Dube	Date of this review: 3-4 August 2016

Topic		Risk Rating (H/M/L)	Issues / Comments / Recommendations
A. Inherent Risks			
B. Control Risks			
1. Organization and Staffing			
a.	Adequacy of organizational structure to meet functional needs of the project.	L	The organization is well structured to meet the functional needs of the project. Each district office has a Finance & Admin Officer and an Accountant and the SPMU has an accountant and the Finance & Admin Manager
b.	Availability of clear job description for key project positions, including fiduciary positions.	L	There are clear Job descriptions for key project positions
c.	Adequacy of project financial management staff (numbers and skill) matching functional needs of project.	L	Adequate staff allocated for the project
d.	Availability and adequacy of operating manuals and guidelines for staff.	L	Operating manuals and guidelines are available to the staff – PIM is available.
e.	Existence of a performance based evaluation system in place and timely completion of performance evaluation for all staff.	L	The employees are on contract basis and their appraisals are being done at the end of the year. Annual salary increment of 5% is due but not yet sanctioned.
f.	Adequacy of health insurance coverage for all staff (where applicable).	L	Staff members are insured.
g.	Timely payment of social security fees (where applicable).	L	Provident Funds contributions are made for all staff. Social Security fees are not applicable. Payments are timely.
h.	Staff adequately informed about IFAD's national and anti-corruption policy and relevant contact details.	L	Senior staff are aware of this and such knowledge will be disseminated to all staff.
2. Budgeting			
a.	Timely preparation and approval of AWPB.	L	Budget approved in January
b.	AWPB in line with expenditure categories in Financing Agreement Schedule 2.	L	Yes

c.	Financing sources and implementing agencies for each category in the AWPB are identified.	L	Yes
d.	Linkage between AWPB and Procurement plan are identified (for cost estimate and activities). Check assumptions to support cost estimates. Test check high value items.	L	Done. Procurements have been checked with the procurement plan. No major issues to report
3. Fund flows and Disbursements / Withdrawals			
a.	Timeliness of funds disbursed by different sources (and co-financiers funding if applicable).	M	During 2015-16 GoJ disbursed 217 million against the budget of 370 million. However since funds were available from earlier years, there was no shortage of funds. During 2016-17 funds have been sanctioned and should be credited in Aug. Funds from SCA to TSP and Article 275(1) has also not been received. SCA to TSP allocated to Jharkand State and should be transferred by 2 nd quarter.
b.	Timeliness of counterpart funds disbursed.	M	During 2015-16 some amount was received in May 2015 and the major chunk was disbursed in January 2016. This year, the full budget should be credited to project account in Aug 2016
c.	Efficiency of the funding channels. Timeliness and traceability of funds flows.	M	Funds are traceable, but receipt is not timely.
d.	Efficiency of the funding channels for credit lines. Timeliness and traceability of funds flows, if applicable.	NA	The project does not have any credit lines
e.	Special Account(s)/Dedicated Account(s) Management, Disbursements.	NA	This is handled by CAAA
	i) Adequacy of the authorized allocation to ensure a smooth flow of funds		
	ii) Appropriateness of disbursement methods used		
	iii) Adequacy of documentary support for SOE disbursements, reimbursements, direct payments and Special Commitments. (refer to Appendix IV and complete, reflecting finding in rating).		
	iv) Timely preparation and accuracy of Withdrawal Applications		
	v) Authorization of WA preparation.		
	vi) Status on expenditures withdrawn from Special Account but not yet claimed for replenishment (old cases to be noted)		
	vii) Regularity of Special Account(s) monitoring and monthly reconciliations signed by the project manager. Review and assess the reconciliations		
	viii) Disbursement rate compared to the AWPB and whether satisfactory given the remaining implementation time. Provide comments as appropriate		
	ix) Recovery of SA balances by loan closure		

4. Internal Controls			
a.	Segregation of duties - are the following functional responsibilities performed by different units or persons: (i) authorization of a transaction (ii) execution of a transaction (iii) recording of the transaction; and (iv) custody of assets involved in the transaction.	L	Yes
b.	Clarity and adequacy of decision processes and sequence of events for control functions in project implementation reflected in the Financial Manual (or equivalent there-of).	L	Govt. rules and PIM are followed and segregation of duties appears to be adequate.
c.	Adherence to Financial Manual.	L	PIM and office guidelines are being followed.
d.	Effectiveness and efficiency of internal controls over inflows of funding sources other than IFAD.	M	The internal controls over inflows of funds other than IFAD are effective. There have been delays in disbursement but the project has not utilized the funds released.
e.	Adequacy of contract management (use of contracts register and monitoring form) and filing there-of.	H	No contract register is maintained as such to capture all information as required in Contract Register. The project to set-it up for all existing contracts.
f.	Effectiveness and efficiency of internal controls over expenditures (full cycle from commitment, payment, receipt of good and services, approval of payments, classification, etc.)	L	Controls on payments for goods and services exist
g.	Documentary evidence to confirm delivery and acceptance of contracted goods, works or services.	L	Yes , documentary evidence available
h.	Physical controls over cash, documents and records. Adequacy of filing systems. Is the petty cash subject to monthly reconciliation as well as surprise checks; custody of cash box and control of keys.	L	Cash Transactions are limited and there are no cash boxed. There are adequate filing systems
i.	Adequacy of physical management of cash.	L	Cash Transactions are limited
j.	Timely payment to suppliers and consultants.	L	Yes
k.	Eligibility of expenditures with respect to Financing Agreements.	M	Mission reviewed WA 10. No major issues to report. Taxes have been claimed which needs to be reversed.
l.	Legality/eligibility of advances from project funds and timely justification for use there-of.	L	Yes. Settlement of advances need to be expedited
m.	Compliance with financial management covenants in the Financing Agreements and LTB.	L	Mostly complied
n.	Adequacy of up-to-date record keeping for fixed assets and inventories.	L	Fixed assets register exists.
o.	Adequacy of controls concerning project assets including: i) Vehicle and other assets management (are assets property tagged, is a physical inventory count done on a regular basis?) ii) Fuel management (do drivers maintain a log book?) iii) Travel authorisations (incl. DSA paid to staff)	L	Vehicles have been purchased only at the SPMU. Assets are tagged and log books are maintained. DSA is paid to staff on travel authorization
p.	Adequacy of vehicles and assets insurance.	L	Except vehicles, assets are not insured
q.	Workshops:	L	Relevant documentary

	i) Availability of list of participants ii) DSA paid to participants iii) Receipts for workshop expenditure		evidences exist.
r.	Adequacy of controls and authorization process for use of funds (payments, transfers, Cash/Bank balance management) / and other operational accounts – non-special account.	L	Yes
s.	Banking arrangement and controls (reconciliation of bank statements with financial accounts).	L	Bank Reconciliations are prepared on a monthly basis across the project.
t.	Existence of a proper IT support unit in place.	M	Does not exist.
5. Accounting			
a.	Basis of accounting (cash, accrual) and whether accounting standards are in line with IFAD's requirements (e.g. IFRS/IPSAS/IPSAS cash).	L	Cash Basis of Accounting is being followed except in the case of interest accrual; minimal deviation.
b.	Adequacy and reliability of accounting system, (is double entry accounting used, specify software used, is budget data entered into the accounting system, can the accounting system produce regular automated financial reports?).	M	Double Entry is used and Synchronization not yet started. Once that is done FS can be generated from the Tally software
b.	Recordkeeping (including documentation and filing/archiving)	L	This is adequate
c.	Fixed assets register maintained and reconciled (sample and physical check).	L	Sample checked and found in order
d.	Adequate documentation and controls for Information Systems, including documented accounting procedures, backup of financial records, integration of all sub-systems.	M	For Accounting the project uses Tally. There is no proper system of back ups
e.	Adequacy of chart of accounts for project accounting purposes	L	Appears to be adequate
f.	Timeliness of recording transactions, regularity of performance and approval of reconciliations, controls on erroneous recordings.	L	These aspects are well controlled.
g.	Appropriate/ adequate accounting and reporting of counterpart funds contributions (incl. tax and tax exemptions) as well as beneficiary contributions.	M	Records in respect of Government Counterpart Contribution are maintained properly except taxes have not been recorded separately. The amount of beneficiaries contribution is minimal.
6. Financial Reporting & Monitoring			
a.	Completeness, accuracy, usefulness, and timeliness of financial reports.	M	Submission of Audited Financial Report for the year 2014-15 was delayed and the quality needs to be improved.
b.	Interim FM reports and linkage to progress reports - timely preparation, submission to IFAD.	M	No interim financial reports are produced for management or sent to IFAD, only annual Financial Statements.
c.	Preparation of reports showing actual vs budget income/expenditure and AWPB execution rate.	M	Reports are not prepared showing actual vs. Budget income/expenditure and AWPB execution rate though data is separately available for the same.
d.	Follow up of previous aide-memoirs fiduciary recommendations.	L	Previous missions recommendations have been implemented

e.	Reasonable alignment between disbursement rate of recurrent versus investment cost categories.	M	Disbursement rate is currently at 7.4 % including the initial advance. Since the disbursement is low the percentage of recurrent cost is quite high and will reduce once the project expenditure increases during the year.
7.Internal Audit			
a.	Existence of Internal Audit arrangements.	M	Internal audit is carried by the staff of each district in another district office
b.	Adequacy of internal audit arrangements (organization - staff capacity).		
c.	Adequacy of internal audit scope of work and quality of reports.		
d.	Assessment of matters raised in audit reports.		
8. External Audit ¹¹			
a.	Adequacy of scope and ToR.	L	Scope and TOR of the last audit (2014-15) were detailed.
b.	Adherence to ToR.	M	The latest audit presented to IFAD was in compliance with the agreed TORs. The procurement process for external audit services for the year 2015-16 has been initiated. Considering that the audit is due by Sept 16, the project runs the risk of late submission.
c.	Timeliness of audit report.	M	Submission of last audit report was delayed; risks for the current one
c.	Quality of audit.	L	The quality of last audit was assessed as satisfactory
d.	Implementation of audit recommendations/agreed action plan in place to address these.	L	Most of previous years recommendations/ observations have been considered for current year's accounting and preparation of PES.

¹¹ Refer to IFAD audit review.

