

Western Uplands Poverty Alleviation Project

Implementation Guidelines

Project Coordination Unit

Nepalgunj

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CHAPTER 1: BACKGROUND

1.1 Introduction

The Western Uplands Poverty Alleviation Project (WUPAP) is a joint endeavor to alleviate widespread poverty in the hills of Mid and Far Western Development Region of Nepal under the framework of a Loan Agreement (LA) signed between His Majesty's Government of Nepal (HMG/N) and International Fund for Agriculture Development (IFAD). United Nations Office for Project Support (UNOPS) is the Cooperating Agency for the Project. The Ministry of Local Development (MLD)/HMGN is the implementing agency that implements project through the Local Bodies and the Government Line Agencies at village and district levels. Project Coordination Unit (PCU) located at Nepalgunj is responsible in facilitating implementation, management and monitoring of the Project activities.

1.2 Rationale

These Implementation Guidelines are developed to support the implementing partners in implementation of project activities and also to ensure consistency in implementation under each District Project Unit (DPU) as mandated by section D (Project Implementation Manual), Chapter IX of Appraisal Report, Vol. I. These Guidelines will be further revised and updated in a timely manner based on the needs of the project.

This document will be translated into Nepali for use of implementing partners once it is approved from the Project Steering Committee, the United Nations Office for Project Support (UNOPS) and IFAD.

1.3 Goal

The overall goal of the project is to strengthen the livelihood systems of the target group in the programme districts in a sustainable manner.

1.4 Objectives

The core objective of the project is to focus on poverty alleviation through a rights-based approach, by promoting the formation of grassroots level organizations to empower the participants to mobilize their natural, physical, and financial resources to harness external resources and obtain social justice.

1.5 Working Area

WUPAP intends to cover a total of 11 districts from the Mid and Far Western Development Region of the Kingdom into three phases. The Project is already into effect in Humla, Jumla, Bajhang and Bajura districts in the first phase of four years since January, 2003. Additional four districts namely, Mugu, Dolpa, Jajrkot and Kalikot will be covered during the second phase of next four years, and finally, Dailekh, Rukum and Rolpa districts during the third phase of the last three years.

1.6 Target Group

The landless and the small and marginal farmers in the project area, especially the women, youth and children and socially and economically disadvantaged groups are the target group of the Project.

1.7 Components

The project consists of the following five components:

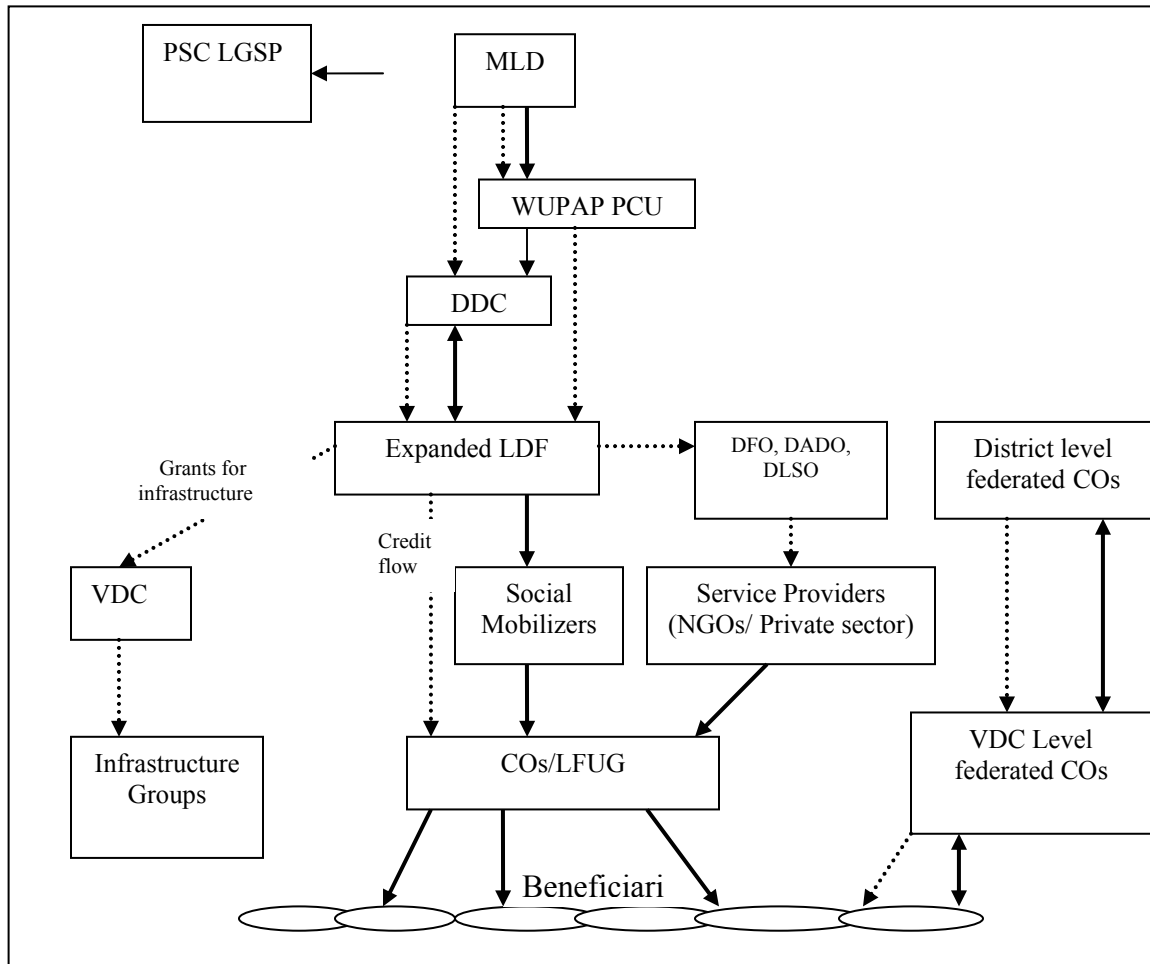
- i) Small Infrastructure Development
- i) Leasehold Forestry and Non-Timber Forest Products
- iii) Agriculture and Livestock Production
- iv) Micro-Finance and Marketing
- v) Institutional Development

1.8 Institutional Linkage

MLD is the main designated coordinating and lead project agency at the central level. PCU maintains coordination and linkages between the central and district level agencies, and supports in planning, implementation and loan administration from Nepalgunj. The District Project Unit (DPU) is established and managed in each district by Local Development Fund Board (LDFB) under the District Development Committee (DDC).

The DDC is the main executing agency and is responsible to ensure that the project is carried out according to the provisions and responsibilities defined in the Project Appraisal Report (PAR). Linkages and working relationship among the project partners is illustrated schematically in figure 1.

Figure 1 Institutional Linkage



Legend:
> indicates fund flow
 —> indicates line of authority
 ==> indicates provision of services

CHAPTER 2: ROLES AND RESPONSIBILITIES OF STAKEHOLDERS

The WUPAP is a multi-disciplinary project in nature and has a number of partners involved in implementation. The roles and responsibilities of each partner are dealt in succeeding sections.

2.1 *Project Steering Committee (PSC)*

PSC, with the following composition, meets at least twice a year.

Secretary, MLD	Chairperson
Project Director, MLD	Member
Representative, National Planning Commission	Member
Representative, Ministry of Finance	Member
Director General, Department of Agriculture	Member
Director General, Department of Livestock Services	Member
Director General, Department of Forestry	Member
Director General, Department of Local Infrastructure and Agricultural Roads	Member
Project Coordinator	Member Secretary

DDC Chairpersons from the Project Districts, other project (PCU) staff and representatives from private sector such as NGO and other relevant companies can also be invited to attend PSC meeting.

Among others, the roles and responsibilities of PSC are as:

- Review and approve annual work plans and budgets;
- Provide policy guidance to the project and address implementation issues;
- Ensure that the necessary support from the line ministries is forthcoming;
- Approve procurement decisions;
- Review progress of project implementation and monitoring;
- Ensure that the project's target are met; and
- Other tasks set forth in these guidelines.

2.2 *Project Coordination Unit (PCU)*

PCU is established in Nepalgunj under MLD with an operational autonomy, and is responsible for the day-to-day administration and management of the project. Major roles and responsibilities of PCU, *inter alia*, are to:

- Coordinate project activities and liaise with the relevant ministries, departments and other HMGN agencies;
- Prepare and submit the consolidated AWPB for approval by PSC;
- Consolidate the project accounts for all project districts;
- Prepare and submit withdrawal applications and statements of expenditure to IFAD and UNOPS;
- Establish the project accounting system, and prepare and submit progress and financial reports to the PSC, IFAD and UNOPS;
- Select and contract with CSOs, consultants and private sector companies;
- Secure timely release of funds to all parties participating in the project in accordance with the AWPB;
- Establish M&E System and ensure that project management, administration and M&E are carried out in accordance with the requirements of the IFAD;
- Prepare financial statements for each Fiscal Year;
- Maintain project accounts, in accordance with HMGN rules and regulations and the Loan Documents;
- Ensure the project accounts are audited annually;

- Help undertake procurements of all goods and services;
- Coordinate the activities of the project in the districts, and help recruit staff of the DPU and arrange training for them;
- Coordinate all project activities before the DPUs are established including institutional survey, the contract with NARC to undertake field trials, identify lands available for leasehold forestry, and coordinate with WFP to initiate the green roads;
- Conduct workshops in the project districts and held series of discussions to identify VDCs;
- Sign MOUs with the DDCs, Dabur Nepal, Herbs Production and Processing Company Ltd. (HPPCL), Nepal Agriculture Research Council (NARC), VDCs and other relevant institutions;
- Contract NGOs or other relevant institutions for project impact evaluation studies; and
- Other tasks as set forth in these guidelines, and agreed between HMG and IFAD.

2.3 *District Development Committee (DDC)*

The overall responsibility for implementation of project activities at the district level rests upon the DDC. DDC ensures the project activities are carried out in line with AWPB and monitors the progress on a timely fashion. Major roles and responsibilities of DDC are as:

- Provide overall guidance and address the implementation issues at district level;
- Approve AWPB submitted by LDF and forward it to PCU;
- Release approved budget to the concerned agencies;
- Monitor and review the progress of Project implementation;
- Contribute NRs. 200,000 to LDF for each fiscal year;
- Sign MoU between project and the VDCs;
- Compile progress reports received from all stakeholders in the district including financial expenditures and forward them to PCU;
- Ensure timely auditing of all the project accounts; and
- Contribute 10 % of the total cost for the physical infrastructure projects.

2.4 *Nepal Agriculture Research Council (NARC)*

The major roles and responsibilities of NARC are as:

- Conduct adaptive participatory research projects in the project districts, synthesize the findings of the research, prepare extension materials and recommend accordingly;
- Provide qualified personnel in supporting the project;
- Provide resource persons in the trainers' training and workshops conducted for the beneficiaries, staff of DADO, DLSO and the target groups of the project;
- Provide necessary planting materials and quality source seeds;
- Conduct field trails and report the results of each trial to the Project;
- Extend cooperation to the project staff for ensuring an atmosphere congenial to the development and management of the resources in the project area, providing reports and data as requested;
- Permit unfettered access for WUPAP staff to all projects related documents, and provide accounts and regular monitoring and supervision reports on time, and
- Provide information regarding new technologies to DADOs and other relevant institutions for their promotion.

2.5 *Regional Forest Directorate*

The main roles and responsibilities of the Regional Forest Director are to:

- Provide instructions to DFOs for implementing leasehold forestry;

- Accept lease applications, initiate leasing process and approve Leasehold Forest Operation Plan submitted by the DFO;
- Provide Lease Land Certificates to Leasehold Forest User Groups;
- Incorporate Leasehold Forest and NTFP component activities under AWPB of the Department; and
- Timely monitor and review the progress made by the DFO and send feedback to PCU as appropriate.

2.6 *Local Development Fund (LDF)*

The LDF is responsible for implementing the project activities at the district level. To this end, the roles and responsibilities of LDF are as follows:

- Prepare annual work plan and budget adopting participatory planning process on a demand driven basis and submit it to DDC for approval;
- Prepare action plan to implement AWPB;
- Develop indicators, prioritize VDCs' programmes and forward to DDC for approval;
- Conduct baseline survey, identify target group and form Community Organizations (COs);
- Assess needs and organize training to enhance capacity of implementing partners and CO members;
- Ensure LFUGs are integrated into COs;
- Initiate savings schemes for capital formation at CO level;
- Coordinate with line agencies & private sector at the district level and ensure linkages & technical services to the COs;
- Make projection of credit fund and obtain the same from the project;
- Collect and approve loan proposals from COs, review them and mobilize credit capital;
- Evaluate the terms and conditions of credit capital for disbursement and prepare and present quarterly reports to the DDC/PCU;
- Organize review meetings, prepare progress reports including financial statements and forward it to DDC and PCU;
- Ensure that the books and accounts of the COs and the Fund are audited regularly;
- Assess impact of the project at CO level and suggest improvement measures on implementing policy to PCU;
- Carry out regular supervision and monitoring of the activities and conduct periodic evaluation;
- Initiate and support formation of an association of COs at VDC level and a federation of associations at district level;
- Provide active leadership in the district to implement all activities as a facilitator.

A Board, namely Local Development Fund Board (LDFB), led by DDC Chairperson is formed with the following composition to perform the stipulated activities. District Development Adviser acts as an adviser to the Board and District Team Leader/WUPAP as an invitee member.

Chairperson, DDC	Chairperson
Local Development Officer, DDC	Member
VDC Chairpersons (two) from Project VDCs	Member
Representatives (two - one female mandatory from COs	Member
Representative (one) from Social Organizations	Member
Representative (one) from Civil Society	Member
Representative (one) from Banking Institutions	Member
Chiefs – DAO, DLSO & DFO	Member
Women Development Officer	Member
Representative (one) from District Chamber of Commerce & Industries	Member
Executive Secretary	Member Secretary

2.7 District Forest Office (DFO)

DFO is the major stakeholder in implementing LF & NTFP component. To this end, DFO will:

- Plan, implement and monitor the leasehold forestry activities at district level;
- Coordinate and work closely with LDF to plan and implement project activities;
- Identify the potential leasehold forests;
- Secure community consensus from the customary users to initiate leasehold forestry;
- Support the formation of Leasehold Forestry User Groups (LFUG) and provide technical assistance and training in preparing Operational Plan and Financial Feasibility Report to LFUGs;
- Demarcate the lease lands;
- Form a district level committee to ensure that the leaselands are handed over to the poorest members of the community;
- Timely prepare and forward the operational plans to Regional Forest Director;
- Ensure credit from COs to LFUGs is channeled and if not, raise this issue to LDF;
- Coordinate and liaise with other line agencies and the private sector in the district;
- Monitor and supervise NGO activities, prepare and submit account statements and M&E reports on time to PCU;
- Work closely with selected partner NGO responsible for:
 - Organizing the LFUGs, mobilize them and impart training to LFUG leaders and members;
 - Ensuring that LFUGs are comprised of landless, poor and marginalized households and have at least 50% female members;
 - Preparing operational plans and obtaining approval for such plans;
 - Assisting LFUG members in securing credit from the COs;
 - Ensuring that NTFP cultivation/production and harvesting considers environment and follows conservation-based practices; and
 - Ensuring that project benefits are distributed equitably.

2.8 District Agricultural Development Office (DADO)

DADO is the major stakeholder in implementing the Agriculture sub-component at district level. To this end, the DADO will:

- Coordinate and work closely with the LDF/DDC to plan and implement project activities;
- Submit account statements and M&E reports in a timely manner to LDF and DDC;
- Prepare and forward Sub Project Document to LDF for approval based on AWPB;
- Train Village Agriculture Extension Specialist identified by the VDCs in sustainable agriculture farming, composting technique, and forage production in coordination with DLSO;
- Train Village Nutrition Specialist to train women in each VDC in kitchen gardening and also advise them on nutritional aspects;
- Establish demonstration sites on food crops including integrated farming systems in coordination with DLSO for forage production;
- Organise training to village nursery operator on various aspects of nursery managements and seedling/sapling production;
- Provide new seeds to the COs in consultation with NARC;
- Organise farmer field days and exposure visits to create awareness on new agricultural technologies such as varietal, inter-cropping, relay cropping, slopping agricultural land technology (SALT), quality compost preparation technique and quality seed production and so forth;
- Ensure that demonstrations/activities are carried in a representative farm/site considering biophysical environment, socio-economic condition of farmer and gender perspectives;
- Support NARC in conducting adaptive trials/research, and
- Ensure that project inputs/activities are distributed rationally to all programme VDCs.

2.9 District Livestock Services Office (DLSO)

DLSO is the major stakeholder in implementing the livestock sub-component at district level. To this end, the DLSO will:

- Coordinate and work closely with LDF/DDC to plan and implement project activities;
- Submit account statements and M&E reports on a timely manner to LDF and DDC;
- Timely prepare and forward the Sub Project Document to LDF for approval based on AWPB;
- Train Village Animal Health Worker (VAHW) identified by the VDCs on improved livestock husbandry practices and animal health management;
- Ensure that each VAHW has received a start-up kit and has replenished the medicine on a timely manner;
- Conduct demonstrations in each VDC on forage grass and fodder production to show the benefits of integrated farming systems in coordination with DADO;
- Train village nursery operator on nursery management, sapling production and planting methods;
- Supply breeding male goats and buffaloes and improved local breeds of sheep in coordination with NARC;
- Introduce the concept of private stud farming on a pilot basis in coordination with NARC;
- Organise farmer field days and exposure visits to create awareness on new livestock technologies such as forage production on terrace risers and edges, fodder tree management at breast height to reduce shading effect on agricultural crops, forage production in the leasehold forest, hay making and so forth;
- Ensure that demonstrations/activities are carried in a representative farm/site considering biophysical environment, socio-economic condition of farmer and gender perspectives;
- Support NARC in conducting adaptive research; and
- Ensure that project inputs/activities are distributed rationally to all programme VDCs.

2.10 Village Development Committee (VDC)

- Rank the wards/settlements from the selected VDCs on the basis of poverty index to initiate social mobilization process;
- Support the social mobilizer (SM) in forming COs in the selected wards;
- Record the COs in VDC and enter into a tripartite agreement with LDF, DDC and COs;
- Support the COs to identify their small infrastructure needs;
- Support the SM to form User Committee and identify the beneficiaries;
- Provide cash for the payment of unskilled labour used during the construction phase of infrastructure projects;
- Ensure labour to pay NRs. 5/working day to establish savings accounts of the beneficiaries;
- Contribute at least 10% of cash for the small infrastructure projects to be implemented by the COs;
- Carry out monitoring of the project activities on a regular basis and report to LDF/DDC.

2.11 Non-Government Organization (NGO)

Infrastructure

- Provide technical assistance to the project and other co-operating project partners;
- Assist and support project partners in the field of strengthening the capacity of the User Committee and the User Groups to improve their performance;
- Prepare cost and quantity estimates for roads;
- Organize training to the user group and user committee;
- Assist DDC in technical site preparation; and
- Certify on-going work in a weekly manner.

Leasehold Forestry

- Carry out survey to identify lease land;
- Organize groups (ensuring at least 50% women), assist the groups to prepare operational plans and also to get the plans approved from DFO;
- Provide training to LFUG leaders and members in lease land and nursery management, and NTFP cultivation, harvesting and management;
- Extend support to demarcate the lease lands;
- Identify women members to train in nursery management;
- Provide technical backstopping to the trained women in constructing and preparing seedbeds;
- Initiate income generating activities in addition to NTFP production and management;
- Ensure that NTFP production and harvesting follows conservation-based practices;
- Support the LFUGs to form an association at village level and a federation at district level;
- Ensure that activities are carried in a representative farm/site considering bio-physical environment, socio-economic condition of farmer and gender perspectives; and
- Ensure that project inputs/activities are distributed rationally to all programme VDCs.

2.12 Private Sector

a. Dabur Nepal Pvt. Ltd. (DNPL)

The project is implementing Non-Timber Forest Production (NTFP) with support from different stakeholders. In this regard, DNPL is one of the main partners for the development of medicinal and aromatic plants (MAPs). To this end, the main roles and responsibilities of DNPL are as:

- Provide qualified personnel in supporting the project;
- Provide resource persons for trainers' trainings and workshops conducted for the beneficiaries, staff of DFO and the target groups of the project;
- Provide all planting material at cost;
- Train nursery operators in managing nursery and saplings production;
- Conduct field trials on domestication of NTFPs/MAPs. The costs of such trials will be borne by WUPAP or ICIMOD. The results of the trials will be provided to WUPAP and other concerned line agencies and proven technologies will be recommended to the beneficiaries for domestication.
- Establish a district holding nursery for NTFPs/MAPs at district headquarters;
- Enter into a contractual arrangement for price with farmers to buy all pre-designated NTFPs produced by them. The farmers would be free to sell the products to DNPL or any other market outlet.
- Extend cooperation to the project staff for ensuring an atmosphere congenial to the development and management of the resources in the project area, providing reports and data as requested.

b. Herbs Production and Processing Company Ltd. (HPPCL)

The project is implementing Non-Timber Forest Production (NTFP) with support from different stakeholders. In this regard, HPPCL is the next partner for the development of medicinal and aromatic plants (MAPs). To this end, the main roles and responsibilities of HPPCL are as:

- Provide qualified personnel in supporting the project;
- Provide resource persons for trainers' trainings and workshops conducted for the beneficiaries, staff of DFO and the target groups of the project;
- Support in identifying NTFPs suitable for domestication;
- Enter into a contractual arrangement for price with farmers to buy all pre-designated NTFPs produced by them. The farmers would be free to sell the produce to HPPCL or any other market outlet.
- Provide technology for value added processing at the district/village level and train farmers on the same including for micro-entrepreneurship development;

- Extend cooperation to the project staff for ensuring an atmosphere congenial to the development and management of NTFPs/MAPs.

2.13 Village Level Organizations

All project activities at field level are implemented through different village level organizations. Roles and responsibilities of such organizations are as follows:

a. Community Organization (CO)

- Mobilize and organize the members of the community at cluster level;
- Organize regular meeting on bimonthly or monthly basis and initiate savings schemes for the capital formation of the organization;
- Carry out well being ranking of the members, prepare poverty profile and pay due consideration to the profile while prioritizing services to the members;
- Form specialized groups such as livestock, vegetable farming, seed multiplication, LFUGs etc;
- Identify credit and other needs of the members, prioritize the needs and activities, prepare an annual work plan and forward it to Chairperson-Manager Committee (CMC) for approval;
- Collect loan applications, prioritize them based on poverty profile, approve and release loan capital to the members;
- Maintain proper records of savings, loan disbursement and collection;
- Establish a credit risk fund and initiate group insurance scheme;
- Organize work, mobilize local resources and assist in technical feasibility of infrastructure projects;
- Assess training needs of the members and include them into annual work plan of the organization;
- Elect representatives to form a user committee (UC) and ensure that the facilities constructed are maintained; and
- Identify members to establish & operate demonstration plots under agriculture and livestock component.

b. Leasehold Forest User Group (LFUG)

The LFUG will be responsible for managing the forest area allocated to them in an environment friendly manner. The LFUG will be formed from among CO members below the poverty line.

- Mobilize and organize LFUG members at cluster level;
- Organize regular meeting on bimonthly or monthly basis;
- Identify credit and other needs of the members, prioritize the needs and activities, prepare an annual work plan and forward it to CO for approval;
- Ensure timely repayment of loan;
- Organize work, mobilize local resources and assist in technical feasibility of micro-irrigation project;
- Assess training needs of the members and request CO to include into the annual work plan of the organization;
- Elect representatives and ensure that the facilities constructed are maintained; and
- Identify members to establish and operate demonstration plots for SALT.

c. User Group (UG)

- Form User Committee (UC), carry out work, select/elect representatives for the procurement of non-local materials for constructions and arrange transportation from the nearest road head or airport to the construction sites, mobilize local resources, arrange skilled and unskilled labor, attend training, and enter into agreements with the VDC;
- Contribute labor and take over the management of the project;
- Settle the issue of compensation or dispute arisen during implementation;
- Establish and maintain separate accounts with respect to individual sub-components, arrange general meeting of the users and furnish income and expenditure statement for public/social auditing;

- Get the accounts audited from the internal auditor deployed by the CO;
- Report the completion of activities to the CO;
- Participate in monitoring and evaluation of the activities; and
- Take over management of the project and set up the maintenance system.

CHAPTER 3: SOCIAL MOBILIZATION

Social Mobilization is an approach and tool that enables people to organize for collective actions by pooling resources and building solidarity required to resolve common problems and work towards community advancement¹. It (social mobilization) is a process of dialogue, negotiation and consensus building for action by the people, communities and organizations². It has been considered as the fundamental methods of mobilizing grassroots people in an effective manner. WUPAP adopts social mobilization as a tool for program implementation.

Social mobilization under WUPAP is done at two levels. The first at LFUG level, which is explained under the section Leasehold Forestry and Non-Timber Forest Product. The second is at Community Organization level and is explained under the subsequent section. Targeted families from the project area voluntarily organize themselves in achieving common goals of poverty alleviation, build solidarity and form specialized groups as required to meet their rights-based needs and also to meet project objectives within their jurisdiction.

3.1 Selection of Village Development Committee

The Programme VDC would be selected on the basis of following criteria:

- Availability of adequate land (at least 50 ha) for leasehold forest;
- Presence of higher number of Dalit and/or land-poor/less households;
- Higher number of female headed households/widespread male labor migration;
- One amongst the poorest VDC in the district;
- Limited number of development agencies active in the VDC;
- Remote VDC from the district headquarters;
- Willingness of VDC for cost sharing; and
- A VDC preferably along the green road alignment (subject to approval of green road).

3.2 Social Mobilizer - Recruitment, Duties & Responsibilities

A female Social Mobilizer (SM) would be recruited by the LDF to each selected VDC to initiate social mobilization process. The criteria for the selection are:

- A permanent resident of the VDC;
- 10+2 or Intermediate in any discipline (twelve years of schooling);
- Gender sensitive with knowledge of social justice and equity;
- Willing to travel on foot and interested to provide services to the rural poor for their development.

In case of unavailability of the candidate with the first two criteria, a permanent resident of the neighboring VDC with School Leaving Certificate (10th year of schooling) and trained for a period of six months in social mobilization may also be recruited with prior consent from PCU. However, option for male candidate for competition is open only if female candidates are not available. The same selection criteria will be applicable in case of male candidate upon the unavailability of female candidates.

The SM would primarily be responsible for establishing and strengthening the Community Organizations (COs), and would serve as a principal link between the communities and the service providers. To this end, the duties and responsibilities of SM are to:

- Carry out baseline survey and identify the target group;

¹ UNDP (2002), Social Mobilization, <http://www.undp.org/main/UNDP/Pro-poor/civil.htm>.

² Unicef (1997), Social Mobilization for the Elimination of Child Labour.

- Assist each community in forming COs and in electing its office bearers;
- Support the communities in identifying their needs, prepare plans and implement them;
- Organize training to the CO members especially in leadership, conflict management and community action plan preparation;
- Support to identify beneficiaries for all components in general and the Leasehold Forestry and NTFP components in particular;
- Support the VDC and the line agencies to identify Village Level Specialists;
- Build and maintain institutional relationship and coordination with other relevant agencies; and
- Support the COs in implementing Micro-Finance Component by:
 - Attending the CO meetings and participating in discussions;
 - Assisting in preparation of loan application;
 - Supporting to Managers in maintaining loan records, saving accounts and other funds established by the COs;
 - Facilitating organization at village level for labour-intensive community works, credit and income generating activities; and
 - Guiding the COs to form VDC Level association.

3.3 *Introductory Workshop at VDC*

LDF should organize an orientation workshop before initiating any activities in each selected VDC to familiarize the goal, objectives, working modality of the project and roles and responsibilities of each partners. VDC office bearers, representatives of district line agencies, school teachers, Female Community Health Volunteers, leaders from *Dalits* and minority groups, and lay leaders from the VDC are the expected participants in the workshop. Representation from each ward of the VDC with participation of women and ethnic minority should be ensured in such workshops. It is mandatory that at least 50% of the participants should be women.

3.4 *Baseline Survey*

A baseline survey should be carried out to draw up a socio-economic profile of each project VDC at the beginning to identify the target group and also to provide a basis for evaluating the impact of the project in the future. Such a survey shall be carried out by the SM deployed in the VDC after they are trained from LDF. Sample format for such a survey is provided in Annex -1.

The following methodology would be adopted to collect the data:

- Census method shall be applied to collect information from household level and a PRA at cluster level to collect information on social aspect. It is mandatory that half the members in a group discussion under PRA shall be women.
- People from the same interest group (farmers, landless people, traders, etc.) shall be interviewed to get the information on specific opportunities and constraints faced by each group. Such interview should not take more than 1½ hours.
- A resource map of the VDC should be prepared at the end of data collection on a participatory basis with support from the VDC office bearers, village level representatives of line agencies and lay leaders of the VDC.
- A few sampled households should be revisited for triangulation.

3.5 *Community Organization (CO)*

3.5.1 *Formation*

Community Organization (CO) is the pivot of all the Project activities at the village level. Formation processes of a CO are as:

- The VDC should prioritize its wards on the basis of poverty index to initiate social mobilization process and to formulate Community Organization.
- The SM, with support from VDC, should organize meeting in each cluster to initiate dialogues in the selected wards. Root causes of poverty and the ways and means to alleviate poverty thereby improving the livelihood systems should be the focus points for discussion. During the discussion, the SM should stress that external agencies are meant for facilitation where as the poor themselves has to play lead role to alleviate their poverty. In addition, issues such as the role and responsibilities of the LDF, SM, Managers, Chairpersons, and CO members shall also be discussed. The primary focus would be to motivate the beneficiaries (men and women focusing *dalits*) through dialogue and discussion to form their own COs voluntarily for generating savings, investment for productive purposes and enhancing their skills through training to improve their livelihood systems.
- A common approach is followed in forming the COs. The SM should explain about the project, its objectives, conceptual package and implementation methodology and procedures to the beneficiaries in an open community forum.
- The SM will then encourage/motivate the community members, focusing mostly on *dalits*, minority groups and deprived families with special attention, to organize themselves into the CO in each cluster. The process requires patience and commitment. Therefore several interactions had to be carried out until the beneficiaries are fully persuaded/convinced.
- Each CO elects two office bearers through consensus – the Chairperson and the Manager for a period of three years. The same persons may be re-elected for one more term upon satisfactory performance.
- The Chairperson is expected to be an elderly person respected by the members, who will preside over CO meetings and oversee the activities of the COs. The Manager should be capable enough to prepare a meeting minute, to maintain all books of accounts, to deposit the savings of CO members in the bank and provides joint leadership to the CO together with the Chairperson.
- CO acts as the foundation of the community members to participate in development activities. It helps them to identify and prioritize their needs and to plan and implement accordingly.
- At least 50% of the total COs has to be organized with women or have 50% female membership comprising not more than 30 members. A CO may be only male, or female, or mixed; however females have to be awarded with executive position in a mixed CO.
- A participatory well-being ranking of all the households in the cluster where a CO is formed should be carried out adopting card sorting method. Such a ranking should be recorded on a separate sheet during the group discussion and serves as an addendum to the socio-economic profile of the VDC. Well-being ranking is a very sensitive issue and therefore must be treated with a great caution.
- Various interest groups such as Leasehold Forest User Group, Livestock Group, and Vegetable Farming Group etc will be formed under a CO based on the type of activities the member households undertake.

The LDF should formally recognize the CO subject to satisfactory performance and training after its formation.

3.5.2 Leasehold Forest User Group (LFUG)

LFUG is an interest group formed within a CO from among the members of below the poverty line households. Such a group comprises members from 7 to 21 persons and could be a male, female or mixed group. Leaseland would be provided to each member household ranging from 0.5 to 2 hecter in a nearby area for not less than 40 years. Members of LFUGs would be trained on different aspects of leasehold forestry development such as lease land management and development (both husband and wife), nursery management, leadership and group dynamics etc.

3.5.3 Eligibility Criteria for CO Membership

The eligibility criteria for the membership of a CO include:

- At least 18 years of age.
- A permanent resident of the VDC.
- Committed to the objectives, main principles and implementation strategy of the project.

3.5.4 New Membership and Cancellation of Membership

- New applicant fulfilling the eligibility criteria and committed to accept the objectives, principles, terms and conditions and implementation strategy of the project may apply to a CO for a new membership.
- Membership can be granted to the applicant upon the decision of the CO meeting.

Membership may be cancelled for any of the following reasons:

- Failure to deposit savings in four consecutive meetings;
- Absence from four consecutive meetings without genuine reason;
- Involvement in activities against to the interest of the CO; and
- Failure to participate in CO activities.

3.5.5 Procedure for Leaving CO

Member can leave the CO at any time after paying all dues to CO. The LDF may take legal actions against the leaving member in case s/he failed to pay the dues. Leaving members should follow following steps. S/he;

- should forward a written application to the Chairperson of the CO, which will be decided by the forthcoming meeting of the CO;
- should pay all the dues to CO;
- is entitled to get savings back after paying all the dues;
- is however not entitled to get back savings if s/he leaves within six months of joining the CO without any valid reasons

The CO has to arrange listening grievances from the departing member, if any, before sanctioning him/her approval for exit and may charge NR 20/- to the leaving member as a charge for the passbook. Such amount would be deducted from the member's personal savings before making the payments.

3.5.6 Reorganization of CO

If a CO fails to perform activities as outlined, the LDF may cancel its recognition. In such case, the CO can be reorganized with active interested members or amalgamated into a neighboring CO.

3.5.7 Duties and Responsibilities of Chairperson

The Chairperson should:

- Supervise overall activities of the CO;
- Preside over all CO meetings;
- Supervise the regular collection of savings, utilization and recovery of loan etc.;
- Assist the Manager in keeping proper books of accounts;
- Ensure proper and timely deposit of savings, loan installments and loan provision money in the bank;
- Supervise the work of the Manager and trained village level experts such as VAHW, VAW, Nutrition Specialist;
- Prepare and implement Credit Plan with the assistance of the CO members;
- Ensure that *dalits*, deprived and ethnic minorities are properly included in CO; and
- Ensure proper utilization and repayment of loans by the members.

3.5.8 Duties and Responsibilities of Manager

The Manager would be appointed for a term of three years. The term would be renewable only if the Manager is performing satisfactorily. The Manager:

- Ensures attendance of members in scheduled meetings including writing of meeting resolution;
- Maintains active linkage of CO with project including local government and non-government agencies;

- Maintains accounts of the CO properly;
- Makes timely deposit of the CO savings, loan installments and loan loss provision fund regularly in the bank;
- Ensures proper utilization and regular recovery of the loan;
- Prepares monthly report of the CO and forwards it to LDF;
- Organizes, prepares and implements Credit Plans;
- Maintains bank account of the CO; and
- Assists in auditing the accounts of the COs.

3.5.9 Duties and Responsibilities of Members

The members are required to:

- participate regularly in the meetings;
- deposit savings regularly;
- start new productive activities;
- confirm correct entry of the savings/loan installments in the passbook(s);
- properly utilize and repay loan installments regularly; and
- assist the Chairperson, Manager and the Credit activists and to evaluate their performance.

3.5.10 Meeting Procedure

- The first meeting of each CO decides the frequency of meeting at least once in a month and fixes its venue, time and date;
- The Chairperson presides the meetings;
- The following are the major agenda/activities, among others, of the meetings:
 - Collectively pray or commit for credo;
 - Collect regular savings from the members;
 - Prepare plans and undertake schemes to increase the level of income and also to improve the quality of life of the members;
 - Receive loan applications, select borrowers, disburse loan and collect installments;
 - Raise the level of awareness and skills of the members through discussion on improved NTFP production and collection, poultry and livestock rearing, new agricultural technologies, forestry, education, health, family planning etc. and to implement various projects;
 - Strengthen the CO by repeatedly explaining the project's conceptual strategy;
 - Motivate and mobilize the members;
 - Approve new membership and cancel membership, if necessary.

3.6 Accounting & Bookkeeping of CO

3.6.1 Bank Account

- Whenever feasible, each CO would open an account in a nearby bank with the recommendation from LDF to carry out its all financial transactions;
- The account will be used to deposit all the incomes of CO. No withdrawal from the account can be made without a prior decision from the CO meeting;
- The Chairperson and the Manager will jointly operate the account; and
- No new accounts may be opened or existing account shall not be closed without the prior approval of the LDF.

3.6.2 Accounting System for COs

Each CO will maintain following books of account:

- Cash-book;
- General Ledger;
- Personal Saving Ledger;
- Personal Loan Ledger;
- Saving and Loan Pass Book; and
- Loan Register.

3.7 Internal Audit of CO

3.7.1 Selection and Training of an Internal Auditor

Internal auditing of financial and non-financial activities should be carried out in order to ensure transparency at the CO level. Each VDC, in consultation with the SM and the COs, shall recommend an Internal Auditor from among the CO members who would be at least a high school graduate (School Leaving Certificate).

The person selected by the VDC would be trained by the Project before assigning any job. The LDF, then, would contract the person as an Internal Auditor in consultation with the PCU. Each Internal Auditor will be paid an audit fee not exceeding NRs. 1,000/CO based on its volume of transaction. Such fee will be paid by the LDF for an initial period of two years and then after by the COs themselves.

3.7.2 Duties and Responsibilities of an Internal Auditor

The internal auditor will perform the following duties:

- checking and verification of all the entries in the Cash-book;
- verification of amount of cash in hand with that of the records in cash-book;
- verification of interest charged against Savings Mobilization and Loan;
- verification of individual Loan and Savings Pass Books with Savings and Loan Ledgers including Bank accounts;
- verification of Loan and Savings Ledger entries with Loan Disbursement and Recovery Registers;
- verification of subsidiary ledgers with the General Ledger;
- verification of expenses register (ensure all the expenses are approved from CO meeting);
- calculate collection rate of savings and repayment rate of loans separately;
- individual savings collection and loan repayment status;
- quality of services provided by the Chairperson and the Manager;
- performance assessment of the members and CO as a whole in terms of loan disbursement, use and repayment, group cohesiveness, regularity in savings, attendance in scheduled meeting, maintaining of financial discipline etc; and
- produce audit report before a CO meeting, listen and collect comments from them, if any and provide a copy to LDF with social audit report.

CHAPTER 4: PLANNING

WUPAP follows a participatory bottom -up planning process aiming at sustainability and ownership of the activities implemented. Such a process starts right from the community level and proceeds towards the central level. Steps of planning are as follows.

4.1 Planning at Community Level

Planning at the community level starts from September/October each year. The SM should support the member households in identifying their needs, in preparing the micro-projects and in filling up the application forms. In general, planning at the community level follows the following steps:

- Each CO member should identify his/her individual and/or community needs;
- The needs should then be presented at CO meeting for discussion and prioritization; and
- CO should recommend and forward the prioritized demands to CMC for further actions.

4.2 Planning at Village Level

Planning at Village Level passes through three different steps.

4.2.1 CMC Level

Planning at CMC level starts in the month of October/November each year. CMC would be supported by the SM, village level line agencies staff, VDC officials and the NGOs representatives. Generally, planning at the CMC level follows the following steps:

- Each CO Chairperson should submit the demands as recommended by the CO meeting;
- CMC should assess the technical feasibility and financial viability of the proposed projects with technical back up from the SM, line agencies, VDC and the NGOs representatives active in the VDC;
- CMC should prioritize the needs/demands, finalize the work plan for each CO and forward to VDC and LDF for further actions.

4.2.2 Village Development Committee

Planning at the VDC level starts in the month of November/December each year as mandated by Local Self Governance Regulation, Rule 66 (5). The core objective of this step is to incorporate the annual work plan and budget prepared by the CMC into the Village Development Plan (VDP) to ensure allocation of fund from VDC to the infrastructure projects and also to support in maintaining proper coordination between VDC and project activities at village level. To this end, the VDC should:

- Allocate at least 10% of the total cost, if a small infrastructure project is proposed;
- Allocate NRs. 50.000 each year as Matching Fund;
- Incorporate the plan forwarded by the CMC into the Annual VDP and forward it to VDC Council; and
- Forward approved Village Development Plan to LDF for final decisions to incorporate the same into the District Development Plan.

4.2.3 VDC Council

VDC council is the final step at the village level to approve the Village Development Plan prepared by the VDC. Generally, such a meeting is held in the month of December/January. VDC Council follows the following steps:

- Review the Village Development Plan proposed by the VDC;
- Endorse/approve the Plan for execution, and
- Forward endorsed plans to DDC via Ilaka committee.

4.3 Planning at District Level

Planning at the District Level starts from Ilaka Level and passes through Sectoral Line Agency, Plan Formulation Committees, Integrated Committee and DDC to District Council and passes through four different steps as mandated by LSGR, Rule 197.

4.3.1 Local Development Fund Board

All the plans and programs finalized by the CMC meeting and documented under Village Development Plan are directly forwarded to LDF. LDF reviews the activities and follows the steps as:

- Assessing the technical feasibility and financial viability of the proposed activities;
- Ensuring the technical and financial resources;
- Approving the activities on a priority order; and
- Forwarding the approved activities to the Sectoral Line Agencies in order to review and incorporate into the annual work plan of the concerned agency³.

4.3.2 Sectoral Line Agency Planning

The main objectives of forwarding the approved plan from the LDF to the Sectoral Committees is to ensure technical back up from the concerned agencies, incorporation of such plans into the annual work plan of the concerned agencies and also to avoid duplication of the activities and resources in the district. To this end, the Sectoral Committees follows the following steps:

- Review and incorporation of the activities into their annual work plan; and
- Forwarding them to DDC for approval at district level.

4.3.3 District Development Committee

All the plans and programs forwarded by the Sectoral Committees are processed through Integrated Planning Committee under DDC. Since the technical feasibility and financial viability has already been assessed by the LDF, the objective of this step is the endorsement/documentation. To this end, the DDC

- Ensures allocation of at least 10% of the total cost of the proposed small infrastructure projects in cash;
- Ensures complimentary and supplementary or synergy relation among different sectors in channeling resource and services to COs;
- Allocates adequate funds and other resources as underlined in an agreement with the project;
- Forwards the plan to District Council for approval; and
- Submits the approved plan from District Council to PCU for further actions.

4.3.4 District Council

District Council is the final authority to approve the District Development Plan. Such plan is then forwarded to PCU so as to prepare Annual Work Plan and Budget of the Project. To this end, District Council -

- Reviews the progress made by the Project, and
- Reviews and approves the annual work plans, programs and budget forwarded by the DDC.

4.4 Planning at PCU Level

The plans and programs approved from the District Councils are scrutinized at PCU level to produce a consolidated Annual Work Plan and Budget (AWPB) of the Project. A consolidated AWPB is then submitted to the Project Steering Committee (PSC) for final approval.

³ Activities proposed under Infrastructure Development are presented to Infrastructure Committee, Agriculture and Livestock Production to Agriculture Committee, Leasehold Forestry and NTFP Production to Forest and Environment Committee and Institutional Development to Social Development Committee.

4.5 Approval from Project Steering Committee/MLD

The PSC is the central level agency and the final authority to approve the AWPB of the Project. After the approval, the AWPB is forwarded to the Ministry of Local Development to incorporate into the AWPB of the same, and further to the National Planning Commission and Ministry of Finance to be reflected into the Red Book. The same document is also forwarded to UNOPS for concurrence.

CHAPTER 5: SUB-PROJECTS

5.1 *Micro-Project & Sub-Project*

5.1.1 *Micro-Project*

Activities under each component (excluding micro finance) with a maximum of NRs. 40,000 investment from the Project are Micro Projects. A Micro Project Document (MPD, Annex -2) should be prepared before implementing such activities. An MPD assesses and specifies the pre-intervention situation, predicts the situation after implementation; estimates cost including source of funding, and determines the mode of payment and implementation. Furthermore, the Micro Project Agreement (MPA, Annex -3) should also be prepared before implementing small infrastructure development activities.

5.1.2 *Sub-Project*

Activities under each component (excluding micro finance) more than NRs. 40,000 investment from the Project are Sub-Projects. A Sub-Project Document (SPD, Annex -4) should be prepared before implementing such activities. An SPD specifies the pre-intervention situation, predicts the post situation, summarizes the cost estimation including source of funding, and determines the mode of payment and implementation. The purpose is to provide objectives, description of activities, implementation strategy, maintenance requirements, responsibilities of each actors, monitoring procedures, costs and payment of the sub projects in a gist, and to provide all key information to monitoring and reporting requirements of the Project.

An SPD should be completed for each sub-project by the staff member of the concerned agency responsible to implement the sub-project. In case of the sub-projects under demand driven small infrastructure development, it may need prior rapid appraisal and detail assessment. Additionally, a Sub-Project Agreement (SPA, annex -5) should be prepared before implementing small infrastructure development activities.

A completion report would be prepared once the implementation of each sub/micro-project is completed. The report would explicitly indicate planned vs. actual schedule stating the date of field work completed, planned vs. actual units of output and expenditure and problems/issues arisen during implementation, lessons learnt and recommendations for future while implementing similar activities. Finally, the final payment certificate (*pharpharak ko chithi*) should be issued.

5.2 *Selection Criteria*

All activities follow participatory planning process on a bottom up approach, where users committee including all concerned stakeholders are involved in all stages of decision making process (see also Chapter 4). As the sub-projects under demand driven small infrastructures need careful technical scrutiny and financial assessment, it will follow selection criteria including scoring system as mentioned in the 'Community Infrastructures Implementation Manual'.

5.3 *Contribution Pattern*

Users, VDCs, LDF and DDC are the cost contributing partners at local level. Cost contribution from the users is not mandatory in micro-projects. Following is the cost contribution pattern for the demand driven small infrastructure development activities.

Stakeholder	Cost Contribution
Users	No cash contribution, kind contribution as agreed between UC, VDC and DDC/LDF
VDC	10% of the total cost in cash
DDC	10% of the total cost in cash
WUPAP	80% of the total cost including wage for labor

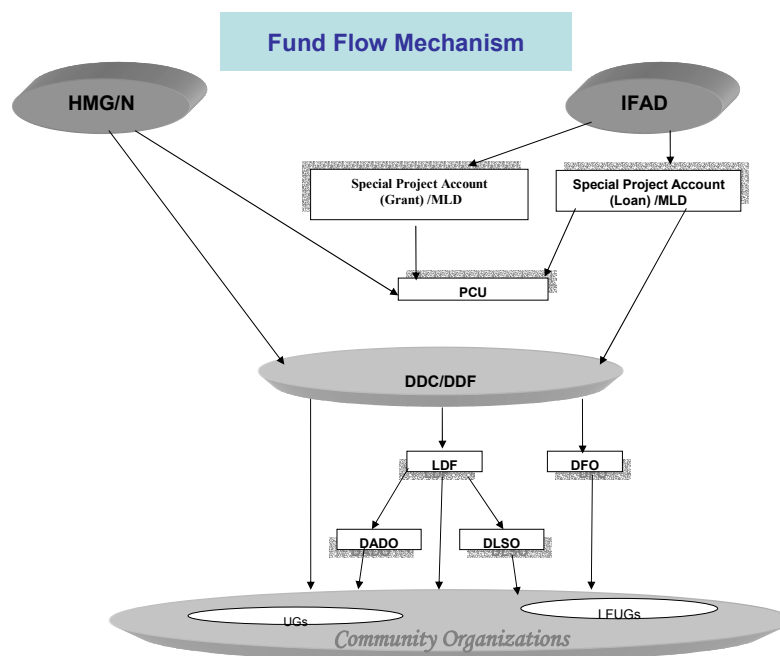
5.4 Fund Flow Mechanism

All IFAD funding flows into a Special Project Account under MLD jointly operated by the Project Director and the MLD Accounts Officer where as all HMG/N contributions are directly channeled through MLD.

MLD releases funds to the PCU and DDCs of participating project districts. Fund released to PCU includes its operating cost and amount for institutional support where as fund released to the DDCs' include programme cost and administrative expenses for the DPU.

Of the total fund channeled to the districts, DDC operates the fund allocated for infrastructure development. Rest goes to the respective implementing line agencies against approved AWPB on three installments through LDF except for DFO which receives directly from DDF. Fund at the disposal of DDC further flows to COs through UCs for implementation of activities.

LDF further releases the funds to the DADO and DLSO against the approved AWPB on an installment basis upon the submission of a sub-project document. LDF also releases credit capital to the COs through social mobilization process. However, DADO/DLSO activities have to be concentrated to COs only to support their plans. The following flow chart illustrates the fund flow mechanism of the project.



5.5 Bookkeeping & Accounting

5.5.1 Budget Release

Funds for the activities will be released to COs, UGs, suppliers, partner institutions and consultants on installment basis as stipulated in the SPA adopting WUPAP financial guidelines. The underlying principles to ensure the accountability of the funds for sub project areas are as follows:

- Sub project to be separately costed: i.e. no lump sum estimates accepted.
- Estimates, bills-of-quality, quotation and pro-forma invoices should be prepared and examined prior to agreeing contracts.
- Prior to the final invoice approval all works and material supplied should be checked against specifications.
- Release of each payment installment is made once the final checking is done and work is accomplished as per the measurement book.
- Training, workshop and seminar cost would be released on the basis of norms approved by the PSC.
- District norms, if available would be followed for each program district and in case of transportation by the air craft the airlines rate would be followed, which should be acceptable to the DDC or district rates.

5.5.2 Authorized Payments

Within the different sub project components, authorised payment may cover:

- Payment for service contract, consultancy fees and other fees.
- Contract of CSOs: either an agreed fee or, if their salaries are already paid, project TADA and authorized and receipted expenses.
- Procurement of materials: direct payment to suppliers, via the contracting UG or CO on invoice based on agreed bills-of-quantity.
- Contract consultancy services: for rapid appraisal - all or part of detailed assessment, monitoring etc.: direct payment against an agreed quotation and authorised and receipted expenses.
- Contractor services: for the large works beyond the resources of UGs and SOs according to contract.
- Hire of skilled labour: payment against number of days worked at agreed rates either direct or through the contracting UG or SO.
- Training: direct to the training organisation or training coordinator against an agreed quotation or authorized and receipted expenses.
- Transport cost/ Subsidy: direct to contractor or via the contracting UG or CO, against agreed quotation. WUPAP will support transportation of non-local materials. It is the UGs responsibility to arrange transportation in a safe mode.

5.5.3 Payment Procedure

The following procedure is followed for making payments:

- The estimate and specifications of all materials and services are prepared by the assigned Engineering Officer of WUPAP and presented in the SPD, summarised in SPA or contract.
- The appropriate stage payment of funds is stated in the SPD, SPA or contract and WUPAP account section will be notified.
- Stage payment will be released from the account section as per the SPA, or contract to supplier SO or UG.

- The agreed services and materials will be procured by UGs or SOs on the basis of SPD or contract with or without WUPAP assistance. All receipts must be retained.
- At each stage, after the delivered materials, works and services should be checked technically by the WUPAP technical staff. After the expenditure is audited by the account section next next payment stage can be made.
- The final stage payment should be an actual payment based on the amount agreed in the SPA reconciled against all previous expenditure as checked by the WUPAP account section.

Unless consultants and contractors produce a certificate of Exemption, WUPAP will deduct tax from all payments according to HMG/N rules. VAT remains the sole liability of the contractor and consultant.

5.5.4 Auditing, Social Audit and Transparency

WUPAP promotes good governance by maintaining transparency in all its transactions from CO to the central level. It is mandatory that all project partners have to perform social audit before the books and accounts are audited finally. A copy of the report of all types of audit will be provided to DDC and the report would be discussed in the concerned committee. The following steps, at the minimum, should be followed to maintain and promote transparency at each level:

CO Level

A Community Organization, at village level, should –

- read out all its financial transactions including savings collection and its mobilization, credit capital disbursements and collections in a meeting by the Manager.
- obtain, review and discuss all incomes and expenditures of all the activities under each component implemented at CO level from the UCs or the implementing partner.
- send a copy of summary of expenditures under each activity to VDC as an attachment to the monthly progress report.
- discuss the audit report after the same is obtained.
- publish all these information as a public notice at least in three places within the VDC.

District Level

All partners, at the district level, should -

- publish all planned activities (VDC wise) once it is approved from District Council.
- disseminate all expenditure details together with physical progress (VDC wise) in three public places on trimester basis at district headquarters.
- carry out social audit of all types of activities implemented at field level.
- forward audit reports to DDC for discussion and review in the concerned committee.
- publish all financial and physical progress reports annually.
- provide a copy of each to PCU for publication in Project's Newsletter.

PCU LEVEL

PCU, at the central level, should-

- publish summary of activities and fund allocated to each district once the plan is approved.
- disseminate all expenditure details together with physical progress (district wise) in the Project Newsletter.
- carry out social audit of all types of activities implemented at field level.
- forward audit reports to the MLD for review.
- publish all financial and physical progress reports annually.
- provide a copy of each to the Ministry and National Planning Commission for documentation.

CHAPTER 6: IMPLEMENTATION ARRANGEMENTS

6.1 Infrastructure Development Component

Infrastructure Development Component aims at providing employment opportunities to the hard core poor from the project area to mitigate seasonal food deficiency and help ensuring regular savings from them after they join a CO. There are three sub-components viz. Green Road, Demand Driven Small Infrastructures and Micro Irrigation under this component.

6.1.1 Green Road

A Green Road intends to link two district headquarters, i.e., Jumla and Humla, to allow access to the market of local produce and also to link to Terai on a tripartite agreement in a parallel financing basis among WFP, HMG and IFAD. Since funding from WFP has not been confirmed yet, implementation of this sub-component has been uncertain. Details on the implementation arrangements will be developed after the financing confirmation is received from all concerned.

6.1.2 Demand Driven Small Infrastructures

Improving productive base of the community is the core objective of this sub-component and is designed considering the natural constraints affecting the area. This sub-component will be implemented on a demand led approach. Each type of activity to be implemented under this sub-component will be termed as a 'sub-project' and the maximum limit for funding from the project to each sub-project would be NRs. 3,75,000 and NRs 2,250,000 is the maximum ceiling for a VDC. However, DDC and the VDC each would contribute at least 10% of the estimated cost to each sub-project. Among others, the major activities under the sub-component include:

- Drinking water supply and sanitation,
- Irrigation,
- Community buildings (e.g., school, health post, market shed, cold store, rustic house etc),
- Mule trails and small wooden bridges,
- Micro-hydro, and
- Improved water mills.

6.1.3 Micro Irrigation

Micro Irrigation activities are especially designed to raise the productivity of the lease lands handed over to the LFUGs. It is mandatory that such activities cannot be implemented outside the lease land areas and is termed as a 'micro project'. Irrigation projects designed and implemented outside LF area would fall under demand driven small infrastructure. NRs. 40,000 is the maximum limit for financing such micro-projects. Among others, the major activities under this sub-component could be:

- Rainwater Harvesting Tanks,
- Sprinkler Irrigation,
- Drip Irrigation,
- Flood Irrigation, and
- Hydraulic Ram Irrigation

6.1.4 Implementation Strategy

The following strategy would be adopted to implement the sub/micro-projects:

- Fundamental objectives of poverty alleviation and process of decentralization will be the guiding principles for execution of each sub/micro-project. All these projects will be demand driven and follow

participatory approach in need identification, programme planning, implementation, monitoring and evaluation of on-going as well as post construction phases.

- Emphasis will be on local resources mobilization. Due consideration will be paid in enhancing the capabilities of the local unskilled human resources to meet the needs of skilled human resources for the implementation of sub/micro-projects.
- High priority will be accorded to small irrigation schemes in order to irrigate lease lands for producing NTFPs.
- Explosives and heavy equipment will not be used in constructing schemes.
- Ecological and environmental protection measures during and post construction phase will be adopted.
- CO members will be motivated to contribute labour and other skills necessary for these sub/micro projects so as to expand their savings base. All the labourers will be encouraged to deposit NRs. 5/day from the daily wage earnings in a separate personal savings account under respective COs.

6.1.5 Implementation Arrangements

- Participatory approach will be adopted in planning and prioritizing the needs, where users committee including all concerned stakeholders are involved in all stages of decision making process.
- A user committee will be formed (LSGR, Rule 70 & 71) to each sub/micro-project for construction, operation and maintenance. Users themselves will be the owner and manager of these projects. Implementation fund will directly be channeled to the user committee.
- Support to the community will be extended during prioritization of needs, maintaining coordination, managing resources and in implementation and monitoring of activities. Transparency will be maintained in decision making and in use of all types of resources.
- At least 10% cash contribution from the DDC and the VDC each is mandatory for the implementation of each such sub projects.
- DDC will provide technical back up to the community and the user committee through LDF for the implementation of activities including preparation of Community Action Plan. PCU will provide technical back up to the District Project Units. Capacity of the District Team will be enhanced through various trainings.
- As part of social auditing, community should audit all expenditures related to all activities. A signboard in Nepali should be displayed in each sub/micro project site as:

<p>Western Uplands Poverty Alleviation Project District Project Unit</p>					
1.	Name and address of the Project:				
2.	Date: Starting Completion				
3.	Estimated Cost..... Actual Cost.....				
4.	Contribution from different stakeholders:				
	<table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">a. WUPAP.....</td> <td style="width: 50%;">b. DDC.....</td> </tr> <tr> <td>c. VDC</td> <td>d. User</td> </tr> </table>	a. WUPAP.....	b. DDC.....	c. VDC	d. User
a. WUPAP.....	b. DDC.....				
c. VDC	d. User				
5.	Beneficiaries: Households Population				

6.1.6 Pre-conditions for Implementation

The following are the pre-conditions for the implementation of sub-projects:

- Each sub-project should reduce women drudgery. Priority should be accorded to women, *dalits* and oppressed groups;

- DDC and VDC each should contribute at least 10% of the total cost of each sub-project separately. The contribution from the WUPAP should not exceed NRs.375,000 or 80% of the total cost of each sub project;
- Each sub-project should provide employment opportunities to the poorest members of the community and the district rate for unskilled labour would be followed to pay the wages. Of the total wage amount, NRs 5/day should be deposited in an individual savings account under respective COs.
- A maintenance and operation plan for the proposed sub-project should be prepared and submitted to the LDF by the COs before starting any construction activity.
- Each sub-project should be endorsed by VDC, the Ilaka Committees and by the DDC during their planning process.

6.1.7 Steps of Implementation

Each sub/micro-project passes through three different phases and follows the steps of implementation as:

A. PRE-CONSTRUCTION PHASE

Pre-construction phase includes all the preparatory activities before the construction is started in the scheme site. It is mandatory that at least two mass meetings of the users, the first on the day of formation of User Committee and the second to approve the detailed design and cost estimate of the sub/micro-project, will be organized in this phase. Furthermore, community action plan will also be finalized during the second mass meeting. Each step in this phase should follow the following procedure.

- Formation of User Committee:** A User Committee will be formed in the first mass meeting. The date, time and venue for the meeting should be convenient to all the user households. Such meeting could be started on the presence of two-third of the total beneficiary households. It is mandatory that 50% of the total presence in the meeting should be the women and the representation from each cluster and ethnic group including *dalits* should be ensured.

The mass meeting will elect/select the office bearers and other members of of the UC. The size of the UC may vary from 7 to 11 persons depending on the size of users, of which 50% should be the women. Women should be awarded at least one key position i.e., Chairperson, Vice-chairperson, Secretary, Joint-secretary or the Treasurer of the committee. Representation of each caste/ethnic group will be ensured while forming such committee. Details on the meeting procedure and the roles and responsibilities of each committee member and its office bearers will be included in 'Community Infrastructure Implementation Manual'.

- Management of Bank Account:** A bank account operated by the Chairperson and the Treasurer/Secretary of the UC will be opened in a nearby bank convenient to UC. This issue should be decided on the first mass meeting and all activities under each micro/sub-project should be financed through this account. DDC will directly channel the fund in the UC's account on installment basis through an account payee cheque as indicated in the agreement paper.
- Detailed Technical Survey and preparation of Cost Estimate:** DDC will carry out detailed technical survey of the proposed sub/micro-projects and will prepare the cost estimate mobilizing the technical human resources deployed under each District Project Unit. A separate sheet indicating pre-project profile will also be annexed in the design report and cost estimation of each sub/micro-project.
- Training to User Committee:** A two day training in each sub/micro-project site will be organized to train the UC by the DPU on community mobilization, procurement of non-local materials and services, ensure quality control, accounting, recording, book-keeping and auditing, preparation of

community action plan, ensuring participation from all users households including women and *dalits* and maintaining transparency. Details on the training schedule are included in the Training Guidelines of the Project.

- e. **Approval of Design and Cost Estimate by the Users:** Detailed design and cost estimate prepared by the DDC will be presented in the second mass meeting of the users for their approval. The design will be presented with a view to ensure that it fulfils the needs of the users and the breakdown of materials and labor with its costing to ensure transparency. The design and cost estimate approved from the second mass meeting will be presented to DDC for approval.
- f. **Preparation of Community Action Plan:** A community action plan will be finalized in the second mass meeting of the users. The plan will specify the person responsible for each activity and also the roles and responsibilities. Furthermore, it will also include the place and time of the task to be accomplished. The action plan will be forwarded together with the design and cost estimate to the DDC for final approval.

B. CONSTRUCTION PHASE

Physical construction of each sub/micro-project takes place in this phase. Collection of local materials, procurement of non-local materials, construction activities and preparation of scheme completion report are the major activities to be carried out during this phase. The following are the details under each step in this phase.

- a. **Agreements among Stakeholders:** A MPA/SPA indicating the roles and responsibilities of each actor, payment installments, contribution from each stakeholder, starting and completion date of the sub/micro-project and summary of cost estimation will be signed among the UC, VDC, LFB and the DDC. A copy of agreement paper will be provided to all signing parties.
- b. **Release of Fund to UC:** The Project policy mandates that VDC and DDC each will have to contribute at least 10% of the total cost of each sub-project. This is a mandatory pre-condition to release implementation fund to UC. Once funds from VDC and DDC are deposited into UC's bank account, the agreed amount from the Project would be released to UC on installment basis. Detailed payment procedure including installments to each type of sub/micro-project will be included in 'Community Infrastructure Implementation Manual'.
- c. **Collection of Local Materials:** Once the agreement is signed, users will start collection of local materials for construction. DDC will provide technical backstopping to the user community in selection, collection, transportation and storing of such materials.
- d. **Procurement of Materials and Labor:** UC will primarily be responsible for the procurement of materials and labor for the sub/micro-project and will be adequately supported by the LDF in ensuring quality work through trainings and other interventions. Labor will be procured locally as per the district rates. Since the level of accessibility of the project districts varies significantly, PCU in consultation with each DDC will issue a directive for non-local materials procurement without breaching the spirit of Local Self-Governance Act, 2055 and its Bylaws, 2056.
- e. **Construction Activities:** DDC will designate one junior technical staff, preferably a sub-overseer from LDF, to support the community in construction works. Physical construction activities in each sub/micro-project site will commence in close supervision of the designated technical personnel. Designated technician will primarily be responsible for assuring quality construction and the SM for mobilizing the community. At least two monitoring visits will be carried out by the senior technical person of DDC/LDF during the construction period. PCU will provide technical backstopping to the LDFs when needed.

- f. **Preparation of Completion Report:** A completion report supplemented by a measurement book will be prepared by DDC after all construction activities are completed and the proposed sub/micro-project starts serving the targeted beneficiaries. The report should clearly indicate the name, location, date of starting and completion, item wise and total actual expenditure and differences between estimated and actual expenditure in terms of cost, materials and labor. It should also include likelihood change in the people's livelihood systems qualitatively and quantitatively. The concerned line agency or SM should monitor the change brought about by the project in people's livelihood systems in a regular manner.

C. POST-CONSTRUCTION PHASE

- a. **Social Audit:** Social audit is a mandatory provision in all activities funded by the Project to maintain transparency and to promote good governance system. All the completion reports will be presented in a mass meeting of the users for their certification. Monitoring Officer of LDF will primarily be responsible for carrying out such a social audit however s/he will be supported by an Overseer or other staff.

Representation from at least two-third of the total beneficiary households is must in conducting such an audit, of which at least 50% should be the women. Other invitees in the meeting would be the VDC office bearers, the Chairperson and the Manager of the Community Organization and the auditor trained by the project. The Monitoring Officer will present all the details of expenditures in the meeting and seek approval from the meeting. This auditing procedure serves as a joint final monitoring visit at the construction/implementation site from all the stakeholders.

- b. **Establishment of Operation & Maintenance System:** After the social audit is completed, the UC will present a draft of the operation and maintenance plan in the meeting. Such plan should clearly indicate the person responsible for the regular operation of the established system with his/her ToR, tariff system, amount and mode of payment, if any. Tools and equipments necessary for the operation and maintenance works will be handed over to the designated person in the same meeting. A copy of the decision of the meeting will be attached to the completion report together with a request letter from the UC to DDC in providing the final payment.
- c. **Final Payment to UC:** The Monitoring Officer will submit the completion report and the decisions of the meeting of the social audit together with the operation and maintenance plan and the request letter forwarded by the UC to LDF. LDF will make a copy of all the papers for its documentation and forward the original one to DDC in releasing final payment to UC.

6.1.8 *Recording and Book-keeping*

Recording and book-keeping of each sub/micro-project will be maintained in a separate register named as "*Yojana Khata*" specially developed by the project for the infrastructure sub/micro-projects and will be provided by the PCU to the District Project Units.

The *Yojana Khata* is a compiled form of an agreement copy to be signed by all the stakeholders. It consists of Abstract of Cost, Breakdown of Materials and Labor, Construction Action Plan, roles and responsibilities of each stakeholder, documentation of commitments made by the community and detailed drawings of the structures to be constructed with all dimensions. The *Khata* also serves as a minute book, store entry book, attendance records of both skilled and unskilled labor, completion report, income & expenditure ledger and a visitors' book to UC.

UC will submit the *Yojana Khata* to LDF after the completion of each sub/micro-project followed by a social audit. As the *Yojana Khata* serves as a principal document for final audit, LDF will provide a duplicate register to UC by photocopying it upon its submission.

6.1.9 Operation and maintenance

Users will fully be responsible for the operation and maintenance of the completed sub/micro-projects. Establishment of an operation and maintenance fund will be encouraged to each of the sub/micro-project to the extent possible. A maintenance plan will be developed by the users before the final payment of each sub/micro-project is made.

6.1.10 Monitoring

A separate monitoring guideline will be prepared considering the critical steps of construction. However, each sub/micro-project will be monitored thrice i.e., at pre- and construction phase, during construction phase and post construction. Aspects of monitoring and other details will be provided in monitoring guidelines.

6.2 Leasehold Forestry and NTFP

6.2.1 Objectives

Leasehold Forestry and NTFP Component consists of forestry development activities in the WUPAP. The main goal of this component is to improve the resource base and promote the sustainable use of forest resources to enhance the livelihoods of local people, particularly the poor and marginalized groups. Specific objectives of the component are to improve local access and the capacity to actively manage forest resources through social mobilization, training and technology transfer; to improve and sustain the access of landless and poor people to forest resources through lease arrangements; and to strengthen institutional capacity within the legal framework of leasehold forestry and improve responsiveness of stakeholders in the forestry sector. A total of 1,000 leasehold groups from 15,000 households would be formed and 22,500 ha degraded land would be handed over for a period of 40 years to these groups during the project period.

6.2.2 Strategies

- A resource assessment/land availability survey would be carried out in the districts to identify the potential land area for leasing out purpose.
- Potential land area would be handed over to the users group on lease formed through social mobilization, and inputs would be supplemented to these groups to carry out various activities.
- Capacity of the user groups would be enhanced through various interventions in order to improve and sustain their access to forest resources, and also for the sustainable collection, domestication and production of NTFPs.
- All the user groups at VDC level would be federated and linked with improved marketing network.

6.2.3 Implementation policy

- Participatory approach will be adopted in implementation of activities. Target group will be involved in all aspects of decision making including planning, implementation, monitoring, evaluation and benefit-sharing.
- All the activities would be linked with other activities such as social mobilization, micro-finance, marketing and extension of improved agriculture and livestock technologies. Partnership and collaboration with agencies such as Dabur, HPPCL etc will be ensured for smooth implementation.

- NGO/Private sector would be involved in facilitating project implementation. User group would be formed from the people below the poverty line considering gender sensitivity and the resources would be supplemented to these groups in implementing the activities.

6.2.4 Activities and Implementation Arrangements

6.2.4.1 Resource Assessment/Land Availability Survey

Resource assessment/land availability survey would be the first step of implementation. Such survey would be carried out in all project districts to know the exact area of lands available in each VDC for leasing purpose. The job would be contracted to an NGO which will be responsible for collecting and analyzing the information. Information collected would be submitted to PCU in a form of report together with a topographic map of each district indicating type of forests, the land under existing community forestry, and the potential lands for leasing purpose. Such survey would be carried out in the first year of each phase. A VDC with a minimum of 50 ha or more potential lease land would be considered as the potential VDC for LF development.

6.2.4.2 Leasehold Forestry Development

LFUG Formation: LFUG is the entry point for all activities under this component which will be formed as an interest group within a CO after the later is formed in the selected VDC. Such group could be either male, female or mixed however attempts should be made to maintain 50% females of the total members. A system of recording the names of both the male and female in the CO from the household would be established, so that both men and woman legally represent the household as a member. Upon the formation of LFUGs, the members will elect its office bearers on consensus.

All members included in LFUG should be from below poverty line as defined by NPC, and the size of group may range from 7 to 21 in odd numbers (rationale is just to ease decision making). Each household included in the group would be provided land minimum of 1.0 ha in the mid hills and 2.0 ha in the high hills on lease for a period of 40 years. Selected NGO(s) would be responsible in forming LFUGs in close coordination with the SM deployed in the VDC and the DFO at the district. The NGO would be responsible for reporting all its activities both to LDF and the DFO on a parallel basis.

LFUG Registration: After the LFUG is formed, it will be registered under the DFO. The DFO will forward a registration certificate to the group and registration information to the LDF.

Public Notice Publication: Public meeting will be organized at each cluster level in order to get community consensus on the proposed land area to be handed over to the LFUGs. Selected NGO and the SM deployed in the VDC will be jointly responsible in organizing such meetings. A 35 day public notice will be published inviting claims over the land area proposed for leasing purpose adopting HMGN Forestry Regulations, 2051, Section 5, Leasehold Forestry Regulation No. 39(2) by the DFO after the community consensus is acquired.

Boundary Survey and Mapping: The next step is to carry out a forest boundary survey. The survey will ensure the area of land to be demarcated. During the survey, a resource inventory of all the available resources from the proposed lease land area will be prepared and mapping of forest resources areas including social analysis will also be completed.

Operational Plan (OP) Formulation: An Operational Plan (OP) will be prepared by the LFUGs with active facilitation from the designated NGO and also in consultation with DFO, DADO and DLSO. An OP includes current stock of natural product by species and area, projected production for 5-10 years, annual harvestable quantity and methods of harvesting. An OP should be forwarded to DFO who further forwards it to the Regional

Director for final approval. The Regional Director issues a letter of certificate to each land area based on the OP. Such an OP should be revised in an interval of five years.

Demarcation and Handover: After the OP is approved and a certificate is issued from the Regional Director, the area should be demarcated properly in order to avoid possible disputes on boundary since the lease land is going to be handed over for 40 years. The responsibility of such demarcation rests entirely upon the DFO following existing rules and norms of HMGN. The land area will be then handed over to the LFUGs.

Establishment of Demonstration Plots: A few demonstration plots will be established in the selected handed over lease lands so as to encourage and demonstrate the LFUGs an optimal use of land. Cost for such demonstration would be included under the AWPB of DFO for a few years.

6.2.4.3 Training to LFUG Members

Various trainings will be organized in the villages to enhance the capacity of the LFUG members. Since the name of both male and female are recorded as members, due attention will be paid to involve the both in the majority of the training events. Among others, training will cover the following areas:

- Lease land development and management
- Nursery management, seedling and sapling production
- NTFP management, domestication, harvesting, processing and marketing
- Leadership, group dynamics
- Accounting and record keeping

NGO contracted for LFUG formation will be involved to facilitate the training at village level however monitoring of the training will be done by the DFO.

Exposure visit will also be organized within district especially for LFUG members, nursery operators and other relevant line agency staff to provide them insight into various aspects of leasehold forest management by different groups. Such visits would provide opportunity to build up confidence and awareness, and also a forum to cross-fertilize their experiences. A visit report should be prepared at the end of each such visits for documentation. A copy of the report will also be provided to PCU.

***Important:** The major learning points should be recorded properly in a reportable form for each group/ place visited and reported in quarterly progress report in the district and annual progress review meeting organized by PCU.*

6.2.4.4 Nursery Establishment

Three types of nurseries will be established in the districts with the identified successful species in order to provide adequate planting materials to prospective cultivators. These nurseries include:

a. Green (Tunnel) House: Considering the varied climatic condition of the Project districts, a green (tunnel) house will be established in each district (preferably in headquarters) for the production of NTFPs, MAPs and fodder species. These tunnel houses will ensure the timely availability of the seedlings and saplings for the prospective cultivators. PCU will provide necessary technical back up to the districts in its establishment and operation.

b. Holding Nursery: A district level holding nursery will be established under the DFO at the district headquarters for the purpose of hardening the plantation materials. However, the nursery will also be used for sapling production without affecting on the main objective. The DFO will be fully responsible in managing and operating this nursery and will be used basically for NTFPs/MAPs.

c. Village Level Nursery: Village level nurseries will be established in the lease land of a LFUG and managed by women trained in nursery management. This nursery could be managed and operated individually or collectively by a LFUG or by a LFUG sub-group. At least one nursery/VDC will be established so as to ensure the supply of enough planting materials. DFO staff with the support from NGO and private company will train the nursery operators.

The project will provide "grant only once" for the establishment of such nurseries and should be run on a sustainable manner from the sale of seedling and sapling to line agencies and other organization as per their demand provided that the demand of the project met first. Due attention will be paid to produce high value low volume species while producing planting materials in these nurseries.

Selection of Village Nursery Operators: A woman with the following criteria will be eligible to get training as a Village Nursery Operator:

- she should be the head of the household;
- she should be a CO member with access to credit;
- she should be experienced or shall be trained in NTFP production; and
- she should be willing to propagate local species and provide a holding area for species to be provided by private companies.

The nurseries will be managed in the following manner:

- The NGO will identify at least five women to be trained in nursery management;
- The selected women will construct and prepare seedbeds with the help of the NGO;
- One or more private companies will be contracted by the Project to train women;
- The women will maintain the nurseries and sell the plants; and
- The DFO will provide initial planting material free of charge, and subsequently nursery operators would run nursery in their own. However, they will receive credit as per CO's recommendation.

Transportation of Planting Materials: The demand from LFUG members will be met from the village level nurseries. If certain species are not feasible to produce locally and these nurseries are not able to supply the requested number of planting materials such demand will be met either from the district holding nursery or from tunnel house. Planting materials availed in such a way will be transported by the framers themselves and no cost will be paid for transportation.

6.2.4.5 NTFP/MAPs Domestication and Production

Many high-value NTFPs found in wild in the Project area indicates the possibilities of cultivation of these species in an organized manner. Collection and marketing of NTFPs by the local farmers is significantly contributing to the subsistence of local people. Therefore, species will be selected on the basis of their commercial value, cultivation potential, extent of availability and local preferences for research purposes for domestication and production. All research activities will be properly coordinated with Dabur Nepal-a private company. Additionally, collaboration will also be sought with ICIMOD and HPPCL. DFO together with other relevant partners will monitor the impact of the demonstration and adaptability of the technology.

DPNL will be responsible for carrying out research in a grant support from ICIMOD and will recommend the species to be domesticated for the purpose of cultivation and production to the Project. Demonstration plots will be established at various places, preferably the phase first districts, so that people can observe and choose the best species for cultivation. Successful results will then be replicated in other similar environments. In addition, DPNL will provide training to the implementing partners of the Project.

A few of the species such as Jatamansi, Kutki, Padamchal, Chiraito, Sugandhwal, and *Taxus buccata* will be tested at initial stage. As the demand for some of the species will grow up, farmers will be adequately supported by DPNL and HPPCL for cultivation, production, processing and marketing. Species of high demand at local

level but not produced will be purchased and distributed in initial stage. DFO will be responsible to monitor the achievements made under the component including planting and survival of NTFP/MAPs. A system will be established jointly by PCU and DFO to record and report the progress on a regular basis.

6.2.4.6 Best Group Prize

A system of rewarding to the best performer LFUGs will be established so as to increase competitiveness amongst them based on some indicators. Such rewards may be in cash or in kind and will be distributed preferably on the environmental day at district headquarters. Type and size of the prize and the indicators will be decided by the Board meeting of LDF.

6.2.4.7 Processing and Value Addition

Activities will be designed in collaboration with relevant partner agencies particularly with the private sector such as DPNL and HPPCL and other donor funded agencies for processing and value addition for the NTFPs and MAPs produce in the area. The fundamental objective of processing and value addition will be reducing the volume of the product so as to increase their value. This will significantly contribute to reduce the cost of transportation and at the same time increases the price of the product finally generating additional margin to the farmers.

All such activities will be implemented after a research is carried out in the area by establishing value addition processing plants in collaboration with different agencies. Attempts will be made for contract farming to produce adequate raw materials for processing and MoU will be signed with relevant agencies for the buy back guarantee of the product after processing and value addition. Market networks will be established so as to ensure selling of the products in local, regional, national and international markets. Trade fairs will be organized to explore the market through Marketing Component.

6.2.4.9 Institutional Strengthening

Institutional strengthening under this component will be considered from two different angles. Firstly, capacity enhancement of the DFO office and its staff so as to enrich their knowledge and skills for implementation facilitation of all intended activities and secondly, federating all the LFUGs at different levels so as to sustain cultivation, production and marketing of the produce.

Necessary materials and equipments such as computers, printers, survey equipments etc will be provided to the DFO office and the staff will be trained in the area of leasehold forest concepts and implementation methodology, lease land development, NTFP management, leasehold forest management, forest inventory and assessment training and training of trainers. In addition, support and assistance will also be extended to cover the cost of planning, monitoring and reporting. The LFUGs will be federated at village level as well as district level in the second and third phase of the Project. DFO staff and contracted NGO would organize several interaction meetings and workshop of LFUGs to facilitate the federating process. PCU and the contracted national level NGO would facilitate to the district level association to establish horizontal and vertical linkages with the central level associations and institutions. These federations or associations are expected to contribute in poverty alleviation through developing and strengthening socio-political capital, expanding the knowledge base and realizing the economic activities of common interest i.e. marketing.

6.3 *Agriculture and Livestock Development*

This component will be implemented in each programme district with the overall responsibility of District Agricultural Development Office (DADO) and District Livestock Service Office (DLSO). However, the research component i.e. participatory adaptive research on both disciplines will be implemented by the Nepal Agriculture Research Council (NARC). Agriculture and Livestock Officers, JTs and JTAs will support project

implementation at district and service center level. Village Animal Health Worker (VAHW), Village Agriculture Worker (VAW), and Village Level Nutrition Specialist in consultation with service centre staff, provide livestock production, agriculture extension and human nutrition services at village level respectively.

Malnutrition is widespread in the project districts. The project would make efforts to improve the food security situation and tackle malnutrition problems adopting following approaches:

- Introduce new high yielding crop varieties and associated technologies preferred by farmers (through the demonstration of simple technologies in the farmers' fields involving themselves);
- Encourage farmers to adopt new technology/ies that will help to increase food production at household level;
- Organise quality seed production of farmers preferred varieties locally and ensure marketing of seed produced by an individual farmer or by a group of farmers;
- Promote kitchen gardening and introduction of fruit trees;
- Disseminate information on balanced diet and nutrition and new technologies;
- Training to the village level specialists (Agriculture and Livestock);
- Training to the village level nutrition specialist on the aspects of quality food for children and women, sanitation/hygiene and so forth; and
- Training to the CO leaders to monitor the impact of the project at household nutrition and other project activities under different components.

Farming system in the hills is complex and comprises of many disciplines - major being the agriculture, livestock and forest. To increase productivity at household level WUPAP encourages partners to test and promote technologies that are compatible to the existing system that can maximize output per unit area and minimize risk to the farmers.

6.3.1 Objectives

- To improve food security with simple, risk free interventions,
- To improve food security and generate income by increasing crop yields and introducing new cash crop technologies for farmers.
- To improve malnutrition situation.
- To improve the performance and value of livestock and livestock products for those LFUG/ CO members interested in adopting new breeds and husbandry methods.
- To provide technological options to the CO members, especially those with little or no land, to test and adopt new technologies in their varied circumstances.

6.3.2 Strategy

Following strategy would be adopted to achieve sectoral objectives:

- Agriculture and livestock activities are implemented through the government line agencies (DADO and DALSO) including NARC.
- Increase private sector investment in quality seed production of vegetables and cereal crops and milk processing and marketing after meeting the domestic demand.
- All activities must be implemented only on programme VDCs.
- DADO and DLSO should demonstrate and promote new technologies recommended by NARC and other research institutions, recently.
- All demonstrations should be conducted only with new seeds produced by authorized agencies.
- Research work will be carried out by NARC and proven technologies will be replicated to the farmers through different channels.

6.3.3 Implementation of Agriculture and Livestock component

6.3.3.1 Capacity building

- DADO and DLSO staff would be trained for 5-7 days in their respective area and they would then train village level specialists,
- PCU training specialist would provide training curricula for the training activities to line agency staffs and village level specialists.

6.3.3.2 Training for the village level extension specialist

- Two (one each for agriculture and livestock) village level specialists would be identified by the VDCs giving preference to women and dalit.
- DADO and DLSO staff would provide the training at the district headquarter/or service center.
- These specialists would receive two sets of five days intensive training on the following subjects.
 - sustainable agriculture farming,
 - nursery management, seedlings (vegetables) and sapling production (fruits and fodder),
 - fruits and fodder tree plantation and management,
 - quality compost preparation technique and its verification demonstration
 - forage production in the terrace risers and edges of the terraces,
 - improved livestock husbandry practices,
 - animal health management,
 - quality seed production,
 - conduct participatory research and development activities etc.
- Village level specialist among other would:
 - conduct the farmers training at the CO level,
 - encourage farmers to raise technical problems faced by them during the monthly CO meeting and
 - lead discussion at the farmers' field days in each demonstration or visit site.
- Training materials and teaching aids would be provided by the project. The village level specialist would receive Rs 250/day as allowance for his/her service, particularly on the days of village level training and field days i.e. visit of demonstration sites together with farmers or other relevant person of the project.

6.3.3.3 Training for the Village Nutrition Specialist (female)

- A female village Nutrition Specialist would be identified by all programme VDC.
- The Nutrition Advisor of PCU will prepare the training programme/guidelines to use by village level Nutrition Specialist.
- She will be trained and equipped by the DADO, DLSO, and DHO staffs.
- The following will be the main function of village level Nutrition Specialist.
 - (b) Train women participants in each programme VDC for Kitchen gardening, sanitation and children health.
 - (c) Provide nutrition advice to the CO members.
 - (d) Encourage women for breast feeding to their babies.
 - (e) Provide training to CO women members on *Sarvottam pitho* preparation using local materials like cereals, legumes and others.
 - (f) Undertake monitoring on nutrition activities run by the project
 - (g) Measure the malnutrition situation of the children (below 5 years age) on trimester basis and record them in a proper way in association with health post and other related agencies.
 - (h) Establish link with other agencies working at village level in the areas of human health, sanitation and hygiene.

Training materials and teaching aids would be provided by the project and Nutrition specialist would receive Rs 250/ day as allowance for his/her service, particularly on training and monitoring days of the project.

To support the implementation of activities, the project would provide weighing balance, measuring tape, thermometer, record register/card and other logistic support as advised by DHO so as to measure growth rate of children in a timely manner. She will then run programme on selected 3-4 COs in each programme district randomly by LDF and DADO. Measure growth rate of children on trimester basis starting from one month of birth to until they are reached to the age of year five. To perform this job she would require consulting district health office or other related institutions through project staff in the district and setting observation dates that are required to measure growth and health condition of children including women.

6.3.4 Nursery management

The agricultural crops nursery will be implemented as follows;

- The project will finance one holding nursery in each district and one village level nursery in each VDC. However, district holding nursery could be shared with district forest office prepared for NTFPs/MAPs production.
- Select appropriate site for nursery considering all aspects of seedling productions,
- The LDF may use the same NTFP nursery operators for this purpose as well,
- District and VDC level nurseries are mainly for the production of fodder and forage grasses, fruit saplings and vegetable seedlings,
- The project will identify suitable women operator for village nursery management and she would require to produce sapling/seedlings as demanded by the COs and LFUGs members, and
- Nursery should be repaired on timely manner and there should be the provision of irrigation.

Criteria for selecting the woman nursery operator.

- Head of household,
- CO member with access to credit,
- Experienced or shall be trained in nursery management, and
- Willing to propagate fruits and fodders saplings and other species.

The nurseries will be managed as follows;

- SMs and the VDCs shall identify at least two women for each nursery.
- Women will construct and prepare seedbeds with the help of the technicians (JT/JTs).
- DADO and DLSO staff shall train the nursery operators.
- The project will provide a one-time grant to each operator to establish the nursery. And they are expected to run in their own from the sale of seedling and sapling demanded by the line agencies and other organization - provided that the demand of the project met first. However, project staff will closely monitor the progress made by them and provide necessary help remaining within the project framework.
- The project norms will be followed to establish and run nursery.

6.3.4.1 District Holding Nursery/Seed Supply Centre

In each district one holding nursery would be established for the collection and production of fruits and fodder tree saplings at district level.

For these the project would select and train two poor women or dalits in the following topics.

- Nursery management.
- Sapling hardening.
- Seed processing and store.
- Seed and sapling marketing.

The DADO and DLSO offices would be responsible for organizing training at the district level.

The project would provide grant only once for the establishment of such nursery. And they are expected to sustainably run on their own from the sale of seedling and sapling to line agencies and other organization as per their demand - provided that the demand of the project met first. However, project staff will closely monitor the progress made by them and provide necessary help remaining within the project framework.

6.3.4.2 Multipurpose Village Nursery Establishment

One multipurpose village nursery would be established in each program VDC. These nurseries would grow and supply fruits ,fodder tree saplings and vegetable seedlings to the farmers.

Nursery would be operated in the following manner:

- The social mobilizer with the CO would select two poor women or dalit farmers for training on nursery management, sapling production and plantation.
- The project would train them at the district level.
- The qualified DADO and DLSO staff would be responsible for jointly conducting training.
- The training would involve the following area:
 - nursery bed preparation
 - Seeding in open bed and poly-bags and filling poly-bags with good soils.
 - Management and care of seedlings.
 - Uprooting and transferring them into poly-bags and transplanting in the main field.
 - Sapling transportation and
 - Marketing.
- The project would provide one off grant to each nursery operators to establish a nursery shed and purchase materials required for the production of sapling and seedling like polythene pipe to irrigate nursery, poly-bags, seeds or seedlings, pruning knife, watering can, spades, hoes etc.
- These nurseries would supply fruit and fodder saplings to the beneficiaries under the agriculture and livestock component as well as leasehold forestry program.

Initially the women have to run the nurseries with the project support then after women would be encouraged to run these as a private business/enterprise as indicated above (6.3.5.1).

6.3.5 Demonstrations

The main objective of demonstration is to demonstrate newly generated successful or likely to be a successful technologies that could be on crop variety, husbandry including plant protection and plant nutrients management and so forth in agricultural crops, animal breeds and forage and fodder production etc. in livestock to a wider group of farmers. It is mainly intended to show the comparative advantage of a newly generated technology/ies if exist, with that of traditional ones to an individual farmer or to a wider group of farmers in a particular location or environment.

Demonstration trials should be conducted to assess the relative performance of new technologies with that of traditional ones, which should be demonstrated side by side in the same field - preferably centrally located in the villages and near to the main road so that villagers and passerby can easily observe it.

For the conduct of demonstrations, sites/fields should be selected and finalised jointly by SM and field based staff of the concerned line agency to make sure that the site is representative (not too sloping, not too marginal, avoiding too fertile patches) and farmer is cooperative. If it is variety demonstration new variety should be grown under the same management condition that farmer provide to his/her local variety.

The following are the major agricultural crops for demonstration:

- a) Food grains i.e. Rice, Wheat, Maize, Barley and Buckwheat;
- b) Potato (True Potato Seed, Pre-Basic Seed),
- c) Legumes i.e. Soyabean, Frenchbean, Cowpea, and Lentil;
- d) Vegetables i.e. Chayote, Carrot, Cauliflower, Cabbage, Green peas etc; and
- e) Fruits i.e. Apple, Peach, Pear, Apricot etc

Key aspect of demonstration here is to demonstrate newly generated technology/ies of aforementioned agricultural crops' varieties and management practices that are recommended and released nationally by the Nepal Agriculture Research Council. New seed for each demonstration must be purchased from a reliable or authorized agency every year. Otherwise it should be produced locally in consultation with NARC and under the guidance of seed inspector adopting guidelines developed by seed quality control unit.

The demonstration shall be implemented in the following manner.

1. The COs shall identify farmers to establish and operate demonstration plots.
2. DADO/DLSO field staff shall train the farmers at the site.
3. DADO/DLSO will provide quality seeds for demonstration free of charge.
4. DADO and DLSO shall organize and conduct farmers' exchange visits/ exposure tours. This will allow farmers to get a good idea of the traits of test varieties or technologies compared with their existing local varieties under the same management conditions. Discussions should be held on a wide range of issues covering field management and performance of varieties in the complex and heterogeneous hill environments.
5. Project Research Advisor or NARC will prepare and review extension materials in a timely manner.
6. LDF will distribute the material to the technicians that are related to Village Nutrition Specialists, Village Agriculture Workers and Village Animal Health Workers.

The proven technology would be demonstrated in the following manner in the project area.

- Provide seeds and planting materials for demonstration free of cost.
- At least 640 demonstrations would be conducted during the first phase.
- Each demonstration plot would be not less than one ropani in area; however, depending on the types of crops and seed availability, it could be altered.
- Select two progressive women farmers or Dalits per ward in the VDC in close consultation with the CO's.
- Selected women/dalits would manage each of the demonstration plots.
- The DADO and DLSO staff would train selected farmers on the conduct of demonstration and expected to collect information as per objectives of technology/ies that is being demonstrated.
- DADO and DLSO staff should provide technical backstopping and supervise the demonstration plots.
- DADO and DLSO should report qualitative (farmers perceptions) and quantitative (data) information generated from those demonstrations. Report should contain variety/technology (both new as well as local) being tested, yield advantage over local, name of the participating farmers, farmer's preferences, possibility of future adoption of technology and so on. Project would provide a separate format designed to capture such information. If demonstration is about crop management or soil fertility then information should be provided accordingly.

Other than agricultural crop varieties the following demonstration will take place.

1. Forage production demonstration (open grazing land and in the leasehold forest)
2. Quality compost preparation technique and its verification.
3. Possibility of high value crop production
4. Green manuring (possibility of locally available materials should be explored e.g. rice bean).
5. Mixed (e.g. Maize + soybean) and relay cropping (Rice/lentil) demonstration.
6. Improve potato production demonstration.
7. Production of fodder crops (emphasis on forage seeds)

8. Participatory Adaptive Research
9. Soil fertility improvement and conservation
10. Sloping Agriculture Land Technology
11. Farmers field day/ Farmers exposure visit

For each demonstration comparative advantage between new and local technology should be noted. Farmers' perception should also be recorded including yield.

6.3.5.1 Farmers field day

- Village level specialist would organize farmers field day for CO members to show new interventions made by the project. Preferably it should be organised where maximum number of activities under agriculture and livestock component including farmer participatory research conducted by NARC are conducted in clusters. This will allow farmers to see a wide range of new technologies that are being demonstrated under farmers' circumstances.
- 2 or 3 times a year (growing and harvesting) should be organized.
- This will help farmers to observe and assess the performance of the new technologies introduced.
- DLSO and DADO staffs may also participate in these meetings.
- A total of 20-30 participants would be organized in one group where 50% participants should be women.
- Training materials and teaching aids would be provided by the project and each participant would receive Rs 250/ day as allowance from the project.

***Important:** Group discussion should be organised at the end of the day and farmers' perceptions regarding acceptance and rejection of technology/ies that were seen during the period should be recorded and forwarded it to PCU via proper channel. Information generated on such events should be reported in the annual progress review meeting.*

6.3.5.2 Forage and fodder demonstration

Such demonstrations are established on community forest and leasehold forest areas and could also be conducted on terrace risers - which will have no effect on crop production.

The species to be included are *Stylosanthes guianensis*, *Stylosanthes hamata*, *Wynncasia*, *Arachis pintoii*, *Aeschynomene Americana*, *Pennisetum purpurium cv Mott.*, *Melinis minutiflora* and *Pennisetum pedicellatum* for forage and *Flemingia congesta*, *Morus indica*, *Leuceana diversifolia*, *Bauninia purpurea* and *Gauzuma ulmifolia* for fodder tree. These tree species would be managed at breast height.

- Successful species identified by farmers from demonstration plots would be further promoted. The project would provide planting materials and seeds to all interested farmers on 80% subsidy rates (i.e. only 20% cost will be borne by the farmers).
- All inhabitants of the programme VDCs are entitled to get subsidies.
- Village level specialist would be responsible for the monitoring and supervision of activities. Information generated on survival rate and other information should be reported in the annual progress review meeting.
- The productivity of communal grazing land could be improved by over sowing them with grazing resistant/tolerant forage species or have faster regeneration. Sowing of perennial leguminous forage species will have additional advantage that includes increased palatability and help to maintain soil fertility of land. For these *Stylosanthes hamata*, *Stylosanthes guianenssi*, *Wynn cassia*, *Arachis pintoii* and *Aeschynomene americana* were found to be successful in such system and would be demonstrated in the project area.
- Seeds and technology would be provided to the CO and LFUG members by the DLSO in consultation with PCU and ICIMOD - for technical help.
- These activities would be initially initiated in 2 VDC's, one each at Jumla and Humla.

- CO would identify 3 grazing lands each with one ha in each VDC for over sowing. The project would provide sufficient amount of seeds for 3 ha for 3 consecutive years free of cost.
- DLSO would provide technical support and village level specialist would be responsible for organizing field days for the CO's on such demonstration plots. Specialist will collect farmers' perceptions about demonstration and report it to DLSO and LDF, and eventually such information should be sent to the PCU.
- There would be 3 field days on each site and at least 40 demonstration of this type would be established during the project period.

6.3.5.3 Over sowing communal land

- The productivity of communal grazing land could be improved sowing them with grazing resistant/tolerant forage species or have faster regeneration. Sowing of perennial leguminous forage species will have additional advantage that includes increased palatability and help to maintain soil fertility of land. For these *Stylosanthes hamata*, *Stylosanthes huianensis*, *Wynn cassia*, *Arachis pintoi* and *Aeschynomene americana* were found to be successful in such system and would be demonstrated in the project area.
- Seeds and technology would be provided to the CO and LFUG members by the DLSO in consultation with PCU and ICIMOD for technical help.
- These activities would be initially initiated in 2 VDCs, one each at Jumla and Humla.
- CO would identify 3 grazing lands each with one ha in each VDC for over sowing. The project would provide sufficient amount of seeds for 3 consecutive years free of cost.
- DLSO would provide technical support and village level specialists would be responsible for organizing field days for the COs on such demonstration plots. The Specialist would collect farmers' perceptions about demonstration and report it to DLSO and LDF, and eventually such information should be sent to PCU.
- There would be three field days on each site and at least 40 demonstration of this type would be established during the project period.

6.3.5.4 Inter cropping demonstration

- The project would provide support to establish demonstrations on legume + cereal intercropping. New varieties with higher yield potential and liked by farmers will be introduced and tested. The recommendation made for that particular location needs to be reviewed before conducting such demonstration.
- The project would provide legume seeds for a ropani of land. The suggested crop combinations for intercropping are soybean/ and/or blackgram with maize, soybean and/or blackgram with finger millet and soybean and blackgram on the rice bunds. Lentil could also be relayed with rice where there are no stray animal problems during winter.
- The field staff of DADO are responsible for all sorts of technical supports like site selection, farmer selection, arranging seeds for demonstration and monitor regularly.
- Some demonstrations could be placed close on the same field to the forage demo plots where forage species are planted on the vertical slope of crop terrace risers so that forage and food demonstration could be seen together.

6.3.5.5 Forage demonstration under leasehold forest

- Stylo (*Stylosanthes hamata*) and molasses grass (*Melinis minutiflora*) are the most suitable forage crops for the degraded soils. Therefore the project would support supply of 250 gram (5kg/hectare) stylo/seeds per leasehold farmers for 3 consecutive years free of charge, which will be enough to cover 1 ha land in three years time. Once it is established then it can be multiplied/propagated vegetatively
- LDF/DLSO in consultation with PCU would implement it or contract/arrange a national level NGO to support these demonstrations to provide training to the farmers on stylo production and also lease land

management. It is envisioned that 90 ha land under LF would be covered by this grass in four districts during phase I.

- District and project norms would be adopted while awarding NGO. Overhead cost will not be exceeded more than 15% of the total programme cost.

6.3.5.6 Quality compost preparation technique and verification

- The field based DADO staff will demonstrate on how to prepare quality compost from locally available materials to CO and LFUG members. Two - three compost pits in the selected households would be prepared and all steps of preparing compost would be followed. It could be one of the subject in trainings organised by DADO. DADO would provide a simple extension material on composting method and its application to the village level specialist, which perhaps is already available in the DoA or elsewhere.
- Village level specialist in consultation with field based DADO staff would establish a simple type of demonstration plots (2-3 sites) to compare the effectiveness of compost prepared following improved composting technique and farmers own methods.
- Verification technique includes - measure one ropani area and divide into two halves. In one half use compost prepared using improved technique and in the second half use compost prepared by traditional methods. Sow any crop that farmer would like to grow like vegetables or any other crops i.e. wheat, maize etc but the variety and other management practices must be the same and measure crop yield from both plots. Discuss it with farmers during field days or any other occasion about the benefit of such practice. If convincing results are obtained, replicate it in other similar places. This will help farmer to understand the importance of composting technique.
- DADO office norms would be applicable for such demonstrations.
- Village level specialist would encourage farmers to follow improved practices.
- Field day could be organized where demonstration plots are established or conducted either in the lease land or CO members' field or both.
- Village level specialist would be entitled to get allowances of Rs 250/ day for his/her service.
- Specialist will collect farmers' perceptions about demonstration and report it to DADO and LDF, and eventually to the PCU.
- At least 20-30 CO members would participant in the events
- Project/LA norms would be adopted while conducting such activities..

6.3.5.7 High value crops

There is no road accessibility in the project districts. Despite this fact some farmers may be interested or encouraged to take up high value crops as the agriculture enterprise on pilot basis like:

- Fresh vegetable production
- Fruit production
- Spices cultivation
- Vegetable and cereals seed production etc.

However, such activities depend on the availability of credit, training on the respective areas and market access to sale their produce. Following arrangements could be made while implementing activities in the programme VDCs:

- Planting materials would be provided to the interested CO members at 80% subsidy.
- Vegetable seeds would be provided to the interested CO and LFUG members
- Technical supervision and monitoring would be done by the village level specialist and DADO staffs.
- Such activities should be expended once they are successful considering the access of market.
- DADO office norms would be applicable for these activities.

6.3.5.8 Green manuring in rice

- There would be five demonstration sites in each district (one *ropani* plot) for sesbania (*Sesbania cannabinnna/aculeata*) demonstration per year. It has been reported that the increase in rice yield was up to 50% when sesbania was used as green manuring crop.
- Sesbania could be sown as a relay crop with maize in the khet land (Bunded irrigated terrace) and ploughed back into the soil before rice planting.
- It fits into the hill farming system and only extra cost is the seed.
- The DADO is responsible to carry out activities and would provide seeds free of cost only for demonstration purpose.
- Village level specialist would facilitate on the conduct of *Sesbania* demonstration.
- Field based staff of DADO should help farmers to produce seed for next year planting. In this regards farmers are advised to protect or grow few plants on the edges of Khet bunds and they need to be harvested accordingly. Number of plants for seed production depends on the amount of seed required for next year seeding.
- DADO should explore other alternatives that could be used as green manure e.g. Rice bean.
- PCU would provide format for assessment

6.3.5.9 Relay cropping

- Lentil would be relayed with rice in the mid-hill districts (Bajhang, Bajura and partially in Jumla).
- There would be 5 demonstration plots for lentil relayed with rice every year in each district. Lentil should be sown under the standing rice crop at 2-3 weeks before rice harvesting.
- The demonstration plot would be managed by target group farmers and supervised by DADO field staffs.
- The project would provide lentil seeds free of cost.
- This subject (Relay cropping of lentil) should be included in one of the training programmes organized by DADO. Importance of lentil for maintaining soil fertility and improving malnutrition problems should be discussed.
- DADO should record yield data of each component crops i.e. rice and lentil and calculate yield advantage over traditional practice. Farmers' perceptions should also be recorded regarding relay cropping technology and report it to LDF and PCU in the progress review meeting.
- PCU would provide format for recording information.

6.3.5.10 Improve potato production demonstration

- Potato is an important food crop in the project area. Evidence shows that new variety gives more than 50% higher yield than that of local or traditional ones. Therefore the project plans to introduce and demonstrate new variety and management practice in the following manner.
- One demonstration plot would be established in each program VDC in all district where potato crop is grown.
- Size of the demonstration plot would be one ropani.
- Farmers would receive a seed support for three consecutive years free of cost.
- DADO field staffs would be responsible for overall implementation of activities adopting established norms and organize
- In site farmer training and discuss about cultural practice and harvesting mechanism.
- Establish demonstration plot so that both varieties i.e. improved and local could be compared in the same plot.
- Measure yield and record farmers' perceptions and send them to PCU via DADO and LDF.
- Provide technical support to the farmers on the overall management of demonstration.
- Encourage farmers to exchange the tested and proven seeds within the CO.

- Supervision and report preparation. Report should include variety name (new and local), name of participating farmer, yield benefit over local variety per unit area and farmers overall comments on the technology itself,

6.3.5.11 Farmers' exposure tours:

A series of farmers' exposure visits/tour would be organized. This will allow participating farmers to get fairly a good idea of the activities conducted by different groups of farmers may be under different circumstances. They will observe new intervention and impact if any brought by the project in those particular areas. It is true that farmers understand farmers' language and discussion in a better way than anybody from outside. During visit discussions could be held on a wide range of issues covering field management and performance of technologies in the complex and heterogeneous hill environments. This will help to create awareness on various crop and livestock technologies and built confidence to adopt better technology.

Two types of exposure visits/tours are suggested:

1. Within district : Total number of participants should not be more than 20 in one group. The duration may be 1-2 days, twice in a year coinciding with the two major cropping seasons (winter and summer). Participants allowances will be Rs 200/day/head.

Focus of the tour would be on – cereal legume inter-cropping, kitchen gardening, mixed cropping (soybean, blackgram, pigeon pea in the rice field), stud farming, goat rearing, forage production, SALT, NARC participatory trial sites and any other technologies related to sustainable agriculture, livestock production and NTFP/MAPs production.

2. Outside district. Participants – 40 (including 2 village specialist, and 2 DADO DLSO field staffs)

Focus of the tour would be on – legume cereal intercropping, lentil relay in rice, *Sesbania* as a green manure crop, forage in terrace risers and forage production in leasehold forest, SALT, fodder tree management, hay making, seed business in the leasehold forestry program, goat and buffalo keeping etc.

Study visit to other region will be once in every alternate year.

Districts in the same regions or other regions may be chosen for study visit.

- In such tours – leader farmers, village specialists and DADO and DLSO staff may join.
- The project would plan and select the sites with the support from DLSO and DADO.
- CO would select farmers for the exposure tour. There will be 50% women and 10% Dalits farmers.
- DADO and DLSO staff would also facilitate the tours.
- Travel and daily allowances to the participants will be borne by the project in accordance with the fixed norms.

PCU should be informed before organising visit -outside district. The major learning points should be recorded properly in a reportable form for each place visited and reported in quarterly progress report in the district and annual progress review meeting organized by PCU.

6.3.5.12 Animal health service

Village animal health worker (VAHW) would provide animal health services to COs members of that particular VDC in the following manner:

- One VAHW candidate would be identified by the CMC in consultation with the VDC and CO.
- Regional training centre of the department of livestock services Nepalgunj would provide 35 days training on primary animal health care.

- Up on completion of the training, each VAHW would receive a veterinary kit consisting of primary veterinary drugs, small equipment and a burdizzo castrator (medium sized).
- Any subsequent replenishment of the medicine would be the responsibility of the VAHW, who shall be eligible to receive credit from the group.
- The VAHW would receive two sets of (35 days in first year and 15 days) intensive refresher training on the following subject. Main areas of training would be as follows:
 - primary animal health care.
 - parasite control.
 - castration.
 - breed improvement.
 - improved livestock husbandry practice
 - animal health management etc
- VAHW would:
 - provide animal health services at the CO level at cost
 - encourage farmers to raise technical problems faced by them during the monthly CO meeting
 - routine vaccination to animals in the VDC at cost.
 - distribute the materials given by LDF to the CO members.
 - follow up of the animal health services.

6.3.5.13 Animal breed improvement (Sheep, Goat, Buffalo).

NARC shall be responsible for implementing the agriculture and livestock research sub-component. The sub-component will support the ongoing DLSO programme by supplying breeding male goats and buffaloes and improving local breeds of sheep by introducing private stud farming concept on a pilot basis.

In implementing the stud-farming sub-component, NARC shall train farmers; select the stock with the assistance of the DLSO staff; develop breeding plan; and supervise the farmers.

The following activities will be supported for breed improvement.

- Transport support (bull buffalo, breeding male goat)
- Pilot privatized stud farming services (including male sheep supply)
 - NARC would provide training on the concept of stud farming and other aspects,
 - Farmers would have to ensure that rams and ewes don't graze with other animals, proper feeding and veterinary care
 - In total 10 farmers would participate in Jumla.
 - If successful in Jumla, it would be replicated in other districts as well

6.3.5.14 Seed, seedling and sapling production and marketing

Seed is the most essential input for subsistence farming. Despite its importance majority farmers who live in inaccessible areas have not benefited from new seeds. The new seed replacement rate for all agricultural and horticultural crops including forage and fodder grasses in the hills are extremely low. There are several reasons for low seed replacement for example, farmer may not know the new variety on offer, quality seed may not be available at right place in required amount and farmers might not be able to afford seed price fixed by the government. Therefore, the idea of producing quality seeds at local level is the most sustainable way of improving productivity in the remote areas where the public (government) and private institutions (seed) are either inefficient or no existence to provide quality seed for resource-poor farmers in those remote areas. Quality seeds of rice, maize, wheat, buckwheat, barley and vegetables (Cabbage, Cauliflower, Capsicum, Broad leaf mustard, etc.) to produce different quantities have to be planned considering demands for next year. However, just production of seed is not enough, it needs follow up on how much area has been covered by new seed that produced last year and how much yield gain have been achieved at household level is to be measured by technicians, which is mandatory. PCU would provide formats to record such information.

The nursery operator would sell seeds (cereals and vegetables), vegetable seedlings, fruits (apple, walnut, citrus etc) and fodder saplings (*Flemingia congesta*, *Morus indica*, *Leuceana diversifolia*, *Bauhinia purpurea* and *Gauzuma ulmifolia*) produced at Nursery. However, cereals (rice, wheat, maize, barley and buckwheat) and vegetables (cabbage, cauliflower, broad leaf mustard, capsicum, etc.) seeds produced by individual or in groups should be sold as per CO decisions considering profit margin for operator. The sapling would be distributed to the CO members in the subsidized cost of 80%. The subsidy on fruit tree saplings would be extended to all food deficit households in the program VDCs.

6.3.5.15 Nutrition and kitchen gardening

The project will support initiatives aimed at enhancing nutritional status of children through training and diversified food production. This would be achieved by introducing the concept of kitchen gardens and baby food preparation. In addition to this, the possibility of making child food from locally available materials would be sought for example; Litto (*Sarbottam pitho*) preparation and so forth (also see section 6.3.3.3).

DADO would provide suitable vegetable species to CO members to grow under their circumstances. Vegetable Minikits would be distributed through the SM for home consumption and sale in local markets, if there is any surplus. Focus would be given on both normal season and off season vegetables - off season provides more profit to the farmers. DADO in consultation with PCU would organize training on related areas and materials required for training. In addition, WUPAP would encourage NARC and DADO to introduce Quality Protein Maize (QPM) varieties suitable for particular condition in consultation with NARC/CIMMYT. QPM varieties contained double amount of tryptofane and lysine -these are essential amino acids, required for growth and development.

One village level nutrition specialist (female) would be trained in each project VDC. DADO would organize one week district level training for them. District health office and other related organization would be consulted for this initiative. These specialists would receive equipment and tools to measure growth rate of children.

Field based staff should explore market for farmers who have produced larger amounts of vegetables. DADO would provide vegetable seeds of suitable variety and some inputs for one or two years to encourage farmers for commercial production. Thence it is expected that farmer would sustainably run his/her vegetable production business in their own with minimal project supports.

6.3.6 Participatory on farm adaptive research

NARC will conduct farmer participatory research on major cereals i.e. rice (blast-resistant), wheat, maize, barley; vegetables i.e. cauliflower, cabbage, capsicum, broad leaf mustard, radish and chayote; grain legumes i.e. soyabean, blackgram and lentils and potato (TPS and PBS), and fodder crops in all project districts.

To this end NARC would:

- Participate in the AWPB workshop and propose activities in consultation with concerned. NARC would receive 15% overhead cost of the total expenditure of the proposed budget.
- NARC should submit detail proposal (Sub-project document) well in advance to release budget timely.
- Design and conduct participatory trials, preferably mother-baby trials model, with the active involvement of farmers and close collaboration with DADO and DLSO.
- Arrange, produce and supply good quality seeds of newly released varieties to DADO and DLSO.
- Together with SM and farmers and LA staff monitor trials frequently
- Train field staffs and farmers on the conduct of participatory research in general and participatory technology selection in particular.
- Evaluate research results
- Recommend technology for wider dissemination

- Establish at least one participatory research site in each district for each agronomic, horticultural and fodder tress
- Organize two farmers field days in each mother-baby trial sites (vegetative and physiological maturity stages)
- Prepare field report of each event, which should include variety name (new and local), name of participating farmer, yield benefit over local variety per unit area and farmers overall comments/perception on the technology itself,
- Prepare periodic and a final report and send it to LDF and PCU.
- Update DADOs/DLSOs with new technological information and encourage them to verify and disseminate farmers' preferred technologies in the districts
- Help DADO in quality seed production of variety that are selected by farmers from participatory variety selection
- Present annual progress in the progress review meeting

In this regards crops to be researched and promoted are:

Local germplasm collection, evaluation and promotion of potential crops (use in the crossing programme);

Food grains i.e. Rice, Wheat, Maize and Buckwheat;

Potato i.e. Pre-Basic Seed and True Potato Seed;

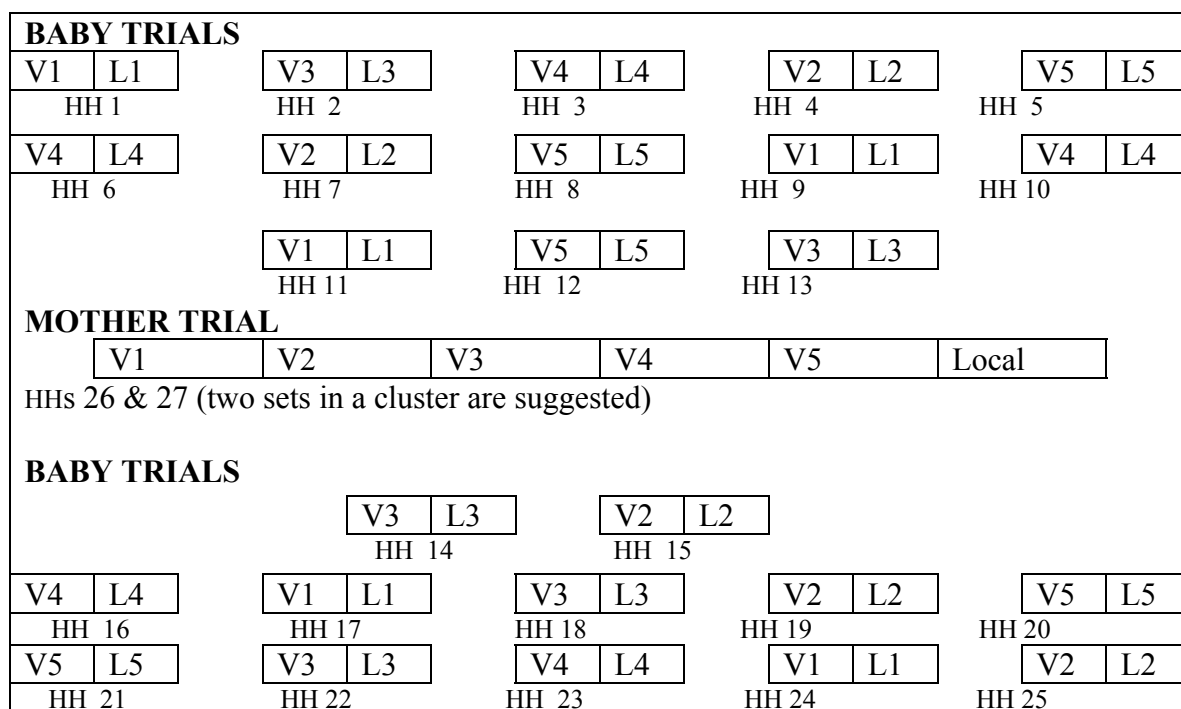
Legumes i.e. Soybean, French bean, Cowpea and Lentil;

Vegetables i.e. Carrot, Cauliflower, Cabbage, Greenpeas, Chayote, Colocasia etc; and Fruits i.e. Apple, Peach, Pear and Apricot;

Fodder and forage – shrub, leguminous, local appropriate fodder crops, trees and forage;

Hay crops like *medicago falcate* and *pennisetum flaccidum* etc

Since food security is a major concern - NARC would set priority considering resource availability and technology at hand. A model of farmer participatory variety selection (Mother-Baby Trial) to test and verify aforementioned agricultural crops



Design of a mother-baby trial model of Participatory Variety Selection (PVS) in a cluster (CO level): an example of five new varieties in five CO or LFUG members each. V1 = New variety 1 and L1 = Local variety

compared with V1; V2 = New variety 2 and L2 = Local variety compared with V2; and likewise. HH 1 = Household number one in a cluster; HH 2 = Household number two in a cluster, and so forth. It should be noted that the local varieties are provided by the farmer themselves and may be similar or different depending on what the farmers that participates has available and decides to use. *Source: Tiwari et al., 2002.*

Mother trials: In the mother trial all new varieties tested in the baby trials are grown together as a single replicate in a centrally located household of a cluster, often with a progressive farmer, who has risk bearing ability and has sufficient land on which to locate the trial. The varieties comprising the baby trials come from the mother trial. Each mother trial is composed of 5-10 varieties. It is advised to conduct at least two sets in a cluster; one may be with recommended level of inputs and another perfectly with farmer's level of inputs. This is researcher/development worker designed but farmer managed. Researcher/development worker helps during planting and measure grain yield.

Baby trials: A baby trial consists of a single new variety that is given to a farmer to enable him/her to compare it with his/her own variety. Sufficient seed (0.5 – 1 kg per baby trial depending on crops) is given to allow the farmer to plant a relatively big plot so that the comparison can be easily made. Each variety is given to 5 - 10 farmers within a cluster to ensure some level of replication. There can be as many new varieties as designed in a cluster. However, for logistical reasons it is suggested that the number be limit to less than ten so that they can all be preferably located within 20-30 minutes walking distance each other. Therefore, a baby trial is a one-on-one comparison under farmers' management. Farmer estimates the grain yield of baby trials.

Field days and observation tours could be organized in such sites where several varieties are grown by farmers may be under different management conditions.

6.3.6.1 Potato Production Demonstration from True Potato Seeds

Potato production has to be increased through the promotion of TPS and PBS concepts. Successful technologies found in on-station would be tested on-farm for technology verification. Such demonstrations would be organized at least two in each programme VDC where potato could be successfully grown. The technique of seed potato production from PBS in a larger scale would also be demonstrated in the same way.

Field days and observation tours could be organized in such sites where demonstrations are managed. Additionally farmers' perceptions and tuber yield benefit should also be recorded and reported in the appropriate forums. Other norms and procedures are as per project norms.

6.3.6.2 Blast Resistant Rice

NARC has released some blast resistant rice varieties for the high hills, but they have not been yet reached to the needy people in the programme districts. Therefore NARC would conduct participatory variety selection at least in two sets of mother-baby trials where more than 40 can participate (See model).

NARC would organize 2 farm walks one at vegetative stage and another at flowering or physiological maturity stage. In farm walk group visits are conducted to see baby trials of participating farmers, grown may be under different management conditions and farmers perceptions should be recorded and reported in a timely manner. During this period farmers should be asked to rank and select variety or technology that they liked the most based on pre-harvest traits or field observation. Formats to assess pre- and post-harvest traits could be available either at the National Rice Research Programme or at CIMMYT.

NARC would organize training to the participating farmers, village specialist and DADO staff on the conduct of participatory adaptive/action research. Research/demonstration site would be selected jointly by NARC, DADO, and village specialists.

6.3.6.3 Forage demonstration

Fodder deficit during winter is a major constraint in livestock production. This problem could be mitigated if farmers prepare hay at household level from *Medicago falcate* and *Pennisetum flaccidum*. But their adaptability under the agro-climatic condition in the project area is yet to be tested. These grasses would be allowed to grow in the terrace risers. Based on performance they would be disseminated through DLSO and other partners.

NARC would conduct two adaptive trials in all programme districts with one ropani area.

Research/demonstration site selection would be done jointly by NARC, DLSO and village specialist.

6.3.6.4 Publications and extension materials

NARC would prepare a list of technologies considering suitability for project area and develop extension materials for use by extension and other development agencies including farmers for wider dissemination in the project area.

Technology dissemination/transfer at village level would be through VAHW, VAW and Nutrition Specialists.

6.3.7 Animal breed improvement

This will be carried out in collaboration with District Livestock Services Office and NARC.

6.3.7.1 Supply of breeding bull buffalo and male goats

Murrah buffalo and improved buck would be supplied to upgrade the local buffalo herds and local goat flocks in the programme districts.

The process and condition would be as follows;

- Farmers would bear the cost of the animals with credit received from CO.
- Project would bear transport cost from where the animal was purchased or as per government rules. However, COs would require to make a formal request to the LDF for such support.
- A total of 20 bull buffalo and 20 buck would be supported for transportation (5 each in each program district) in Phase I.
- DLSO would provide support for the identification of the source where such animals are available.
- CO in consultation with CMC would workout and decide how these animals are managed and other arrangement of their services. Service provided to each household and estimated benefit so far achieved by CO members should be recorded properly. Format to record such information could be designed by the concerned field based staff.

6.3.7.2 Private sheep stud farming (pilot basis):

Baruwal is a locally available breed of sheep in Jumla, which is well adapted but less productive. Dhorale is another breed, popular in the Dhorpatan of Baglung district, which has higher yield potential. Results indicated that the resultant cross between Dhorale and Baruwal has higher yield potential. Dhorale therefore, would be introduced in Jumla for stud farming.

The process and conditions would be as follows;

- The project would support a pilot initiative.
- In the first phase the private stud farming would be initiated in 2 VDCs in Jumla.
- DLSO and NARC would select five progressive women/dalits farmers in consultation with CO members in each selected VDCs.
- A three day training on sheep stud farming would be given by the NARC to the selective farmers before initiating farming. Training involves – record keeping, housing management, breeding

including crossing plan, feeding management, health management and development of a breeding plan.

- Each of the 10 participating farmers would be provided two Baruwal female sheep (ewes) and one ram (Dhorale) in grant. About 8-9 month old ewes would be selected locally based on traits that are required for breeding purposes.
- About one year old Dhorale would be procured from Dhorpatan and cost (including transportation) would be borne by the project.
- They will be kept together under controlled condition.
- DLSO/NARC staff would provide a support to procure and transport the animals.
- Animals would be routinely drenched.
- VAHW would closely monitor farms.
- NARC would be contracted to this activity for training, developing breeding plan, full technical support, and final report preparation and recommendation.
- Farmer would sell resultant crossbreds to other farmers or institutions as per CO's recommendation.

6.3.8 Nutrition and kitchen gardening

Nutrition would be targeted to the children through women (also see section 6.3.3.3 and 6.3.6.14).

Female Village Nutrition Specialist will be recruited locally and she will be given one week district level training on human nutrition in general and children in particular in consultation with the district health office. She would also receive training on kitchen gardening. Upon completion of training she will receive kits containing weighing balance, thermometer, measure tape, etc. She would then provide training to CO members in the following topics to all CO members:

- Balanced nutrition;
- Baby food as per their age;
- Litto preparation from locally available materials for baby (Right proportion of cereals, legumes, groundnuts, sugar and so forth);
- Household level hygiene;
- Water and household air quality (house ventilation);
- Importance of vegetables in human diet and kitchen gardening etc;

Such training should be given to women members only, if possible. At least 50% women should be as participants if such training is amalgamated with other types of training programmes.

The Cost for the training would be planed under agriculture component as per project norms.

Training should be coincided with one of the training programmes organised by COs in consultation with DADO.

Remuneration would be provided on daily basis only for working days. Rate would be Rs. 250/day. DADO should budget it considering practicality and other norms, if available.

She would measure growth rate of child starting from one month after birth to the age of five years in the selected COs in a monthly basis or in consultation with District Health Office or other experienced institutions. While measuring growth rate following parameters would be considered;

- Weight gain,
- Height gain,
- Type of food given to the baby,
- Baby food providing institution, if any OR self purchase,
- Sickness and or any disorder and number of days fallen sick, etc, and
- Vaccine details, if any

DADO in consultation with district health office will develop a format to monitor regularly the above mentioned parameters, including others.

To improve the nutrition situation in the programme area, project would launch a short term and long term strategies in the following way.

- Short term – providing mixture of vegetable seeds (minikits) twice in a year (winter and summer) to encourage farmers to produce more vegetables the the kitchen garden to the interested farmers for 3 consecutive years. The idea is to increase vegetable consumptions by CO members. Imparts training to CO members on Litto making from locally available materials.
- Long term – project provides 5 fruit saplings for individual farmers on 80 % subsidy. However, the calculation of the cost for planting materials would be based on district rate.

6.3.9 Institutional strengthening

The project supports on strengthening of DADO, DLSO office and their staffs by providing necessary equipment, preparation of manuals, guidelines and training materials. At the same time it conducts various types of training and workshops as per project requirements.

6.4 Micro-Finance

6.4.1 Objective

The core objective of this sub-component is to tap into the potentials of the area by removing the constraints that restrain growth - especially the lack of finance, to invest in the productive activities so as to enable the target group in increasing their incomes by establishing a three tire community owned financial institution to take over the role of local micro-financial institutions beyond the life of the project.

6.4.2 Project Strategy

The strategy is to establish viable community owned organizations at the grassroots capable enough to take over roles of local level micro-financial institutions. For the purpose, landless, *dalit*, youth and women in particular, and small and marginal farmers together with owners of small and informal enterprises will be organized into village level COs.

As a second step, these entire COs will be first federated into a VDC level organization and/or viable co-operatives and further to a district level association.

The exit strategy is to establish a three tire autonomous, viable and sustainable organization with self-sustaining micro-finance activities at district level.

6.4.3 Implementation Arrangements

All activities under this sub-component will be implemented through LDF. Implementation follows the following three steps:

- a. Credit Capital from the Project to the LDF,
- b. Credit Line from LDF to COs, and
- c. Credit Line from COs to Members.

6.4.3.1 Credit Capital from the Project to LDF

LDF would receive the credit capital from the Project as a conditional grant to lend to COs against the approved AWPB. Such amount will be channeled through DDC to Credit Capital Fund of the LDF. The LDF will act as a financial intermediary between the Project and the COs.

6.4.3.2 Credit Line from LDF to COs – Lending Policy

LDF will disburse credit to the eligible COs from its Credit Capital Fund after a tripartite agreement is signed between the LDF, VDC and the CO. The following are the eligibility criteria for a CO in receiving credit from the LDF.

6.4.3.3 Eligibility Criteria for CO Receiving Credit from LDF

- Formed under the social mobilization program of the Project at least before 6 months;
- All members are the permanent residents of the village;
- No member borrower is a defaulter borrower of the CO and/or any other financial institution;
- Holds at least 90% of the total scheduled meeting (fortnightly/monthly) and prepares minutes for each meeting;
- Almost 90% of the members attend the meeting regularly;
- All members save regularly (100% saving rate) in the CO Savings Fund;
- Maintains transparent accounting, recording and book-keeping of all the transactions;
- Started saving mobilization and maintained a recovery rate of 100%;
- All members accept group liability in refunding the default loan amount from among the members;
- The Manager and the Chairperson are trained and capable of maintaining books and accounts efficiently and independently;
- Prepared well-being ranking of all member households; and
- Received Maturity Certificate from the LDF.

6.4.3.4 Types of Loan and Loan Period

The following types of loans will be extended from the LDF to CO:

(a) Agriculture and Livestock

- ◆ Crop Production such as cereal, vegetable, oilseeds, legumes and horticulture
- ◆ Livestock such as rearing, fattening and breed improvements of different types of animals including poultry farming
- ◆ Bee-keeping
- ◆ Nursery establishment and Seed Multiplication

(b) Enterprise Development

- ◆ Establishment of Small Business, Cottage Industry
- ◆ Service Business such as agricultural inputs, veterinary services etc
- ◆ Processing Plants and Marketing Loans

c Non-Timber Forest Production

- ◆ Leasehold Forestry Development
- ◆ MAPs
- ◆ Saplings production through grafting, enarching, budding etc
- ◆ Herbal Processing

All loans will be of short term in duration to a maximum of 24 months. Repayment date will be fixed during the time of loan approval depending upon the nature of the activity.

6.4.3.5 Special Provision in Lending

- LDFB should reserve at least 25% of the total loan capital amount to be lent in a fiscal year in order to ensure credit to the LFUGs and pro-poor members of the COs in the district.
- Loans to the CO members displaced from their home villages to the district headquarters due to present conflict situation could also be extended for the purpose of Service Business and Marketing.
- Group loans could also be extended to marketing of NTFP and establishment of a small micro-hydro power plant. However, proposals for such loans would be forwarded to PCU for technical assessment before making decisions for disbursement.
- Terms and conditions for such lending would be the same as to the loans indicated under 6.4.3.4.

6.4.3.6 Interest Rate

- ◆ Interest will be charged at the rate of 12% per annum to each loan extended to COs. No service charge will be added in addition.
- ◆ Penalty will be charged at the rate of 3% per annum for the overdue period only to the overdue amount.

All interest incomes including penalty charge would be deposited in a separate interest bearing account. The whole amount, principal and interest, will be handed over to the district level association of the COs to be formed in future in each district. As a general rule, such fund would be handed over to the association only after the COs has covered at least 90% households of the settlement and fulfils the indicators as set forth by the Project. Details on the handing over policies and procedures including indicators for each step would be developed later in a separate manual explicitly designed for institutionalization of the COs.

6.4.3.7 Loan Ceiling to a Community Organization

Loan ceiling to each CO will be calculated as:

Mature CO

- ◆ Loan ceiling to a Mature CO (which has received a maturity certificate from LDF after its formation of six months) will be equal to a maximum of five times of the total saving amount from its members or NRs. 3,000/member of the CO whichever is less.
- ◆ The ceiling of the first loan can be increased by 20% in case it serves to the dalits, women and deprived ethnic group members, who are repaying regularly, for the activities those are able to generate income in a relatively short period. However, a total of 50% of the first loan can be extended after three months if the utilization of the first loan is satisfactory and there is not any delinquent loan with the CO.

Self-Governing CO

- ◆ Loan ceiling to a Self-Governing CO (which has crossed a period of two years of its formation with 100% meeting, saving and loan repayment) will be equal to a maximum of ten times of the total saving amount from its members or NRs. 4,000/member of the CO whichever is less.

6.4.3.8 Loan Committee

LDF, if felt necessary, may formulate a Loan Committee in order to provide better services and prompt decisions over the loan applications of the borrowers. The committee will comprise three members, if formulated, as:

LDFB Chairperson
Local Development Officer
Executive Secretary/LDF

Chairperson
Member
Member Secretary

District Development Adviser and/or Team Leader will act as an adviser to this committee.

6.4.3.9 Credit Insurance Fund

LDF should establish a Credit Insurance Fund under each Project District. Each CO would deposit at least 3% of the total amount to be received as a loan in this fund. LDF will provide 10% interest p.a. to the amount deposited. Such deposition would be refunded to the CO in case some of the borrower member leaves the CO permanently.

6.4.3.9 Lending and Collection Procedure

Lending procedure starts with the loan proposal from the member of a CO and follows screening and recommendation from CO meeting further to CMC and finally to LDF for approval. It also includes signing of agreement among LDBF, VDC and CO, release of fund and monitoring of the utilization of the loan. The procedure also includes amendment on maturity (due) date of the loan due to beyond human control situations such as death of the borrower, flood and other natural calamities. Similarly, collection of loan also involves a number of steps. Details on lending and collection procedure would be developed in a separate manual designed to implement the sub-component.

6.4.4 Credit Line from the CO to Members – Lending Policy

Each CO will receive fund from the LDF for lending to its members at the rate 12% per annum and will also generate internal fund through savings collection. Both types of fund will be mobilized to meet the credit needs of the members. Thus, at the same time, it will act as a financial intermediary and the savings and credit entity.

6.4.4.1 Eligibility Criteria

Each applicant member should -

- not be a defaulter borrower of any other financial institution;
- attend at least 90% of the total scheduled meeting (fortnightly/ monthly);
- deposit savings regularly (100% saving rate) in the CO Savings Fund;
- maintain a recovery rate of 95% including borrowings from saving fund;
- accept group liability;
- be capable enough in managing the enterprise technically s/he is applying for.

6.4.4.2 Sources of Fund for Lending

There will be two sources of funds available with the CO for lending viz., (a) Lending from CO Savings – Internal Source, and (b) Lending from the LDF's Credit Capital – External Source.

These guidelines are mandatory in lending from external sources. However, the CO will formulate policies in lending from the internal sources.

6.4.4.3 Types of Loan, Repayment Period and Interest Rate

Types of loan and repayment period will be the same as indicated under 6.4.3.4 and 6.4.3.5 of these guidelines. However, interest rate to be charged against each loan disbursed from credit capital fund is left on the jurisdiction of CO limiting not less than 12% p.a.

6.4.4.4 Loan Ceiling

The maximum ceiling of the loan from the external sources of fund to an individual would be NRs. 15,000 in terms of amount and one in number. Similarly, NRs. 10,000 would be such a ceiling from the internal source, i.e., savings mobilization. Thus, the total loan ceiling for a member borrower would be NRs. 25,000 in maximum.

6.4.4.5 Collateral or Guarantee for Loan

No collateral will be asked with the member borrower. Group liability will serve as a guarantee or collateral for each loan extended from a CO to its members.

6.4.4.6 Loan Committee at CO Level

The CO meeting serves as a loan committee to decide upon the loan applications received from its members and, thus, no loan committee will be formed. Unanimous decision is mandatory in all such decisions.

6.4.5 Lending Procedure - From COs to Members

6.4.5.1 Loan Application and Processing

Each loan application follows the following steps in its processing:

- Each member borrower will submit an application in a prescribed form to the Chairperson. The Chairperson should present all these applications in the meeting for its screening and prioritization. The selected applications will be forwarded to Chairperson-Manager Conference (CMC). The CMC will neither sanction nor disburse credit to the individual members of the CO directly instead it will recommend to LDF for further actions through the SM/SCF based on the performance of the CO.
- The SM/SCF will assess the credit needs, carry out feasibility of the proposed activity and recommend to the LDF for final approval and will also inform to VDC the types of activities and amount of loan to be financed.

6.4.5.2 Approval and Release

- The LDFB will approve the loan amount to each CO upon the recommendation from its secretariat.
- An agreement will be signed between the LDFB and the CO for the lending activities indicating the terms and conditions of lending.
- Approved amount of loan will be deposited in the bank account of the CO after the agreement is signed.
- The CO will disburse the loan amount to the applicant member after an agreement is signed between the CO and the applicant member in a CO's meeting and will issue a Loan Pass Book to each member borrower.

6.4.5.3 Loan Collection

- Members will pay back the loan to the Manager in the CO meeting. The Manager will calculate the amount of interest against the loan and the total amount (principal and interest) will be recorded in the Loan Pass Book of the member borrower.
- The Manger will deposit all the collection the amount to the SM/SCF in the CMC and will issue receipts against the collected amount.
- In turn, such an amount will be deposited in the LDF by the SM/SCF.

6.4.9 Monitoring

All loans extended from the CO will be under constant and regular monitoring. Such a monitoring will be from three different levels as:

- ◆ The Chairperson and the Manager will primarily be responsible to supervise and monitor the utilization of the loan disbursed and advise the member borrower in receiving back up technical services, if necessary. Report of all monitoring will be presented in the next CO and CMC meeting.
- ◆ The SM/SCF will supervise and monitor the enterprise established under loan support on monthly basis and will ensure all technical back up services needed to the entrepreneur. Reports of all supervision and monitoring visits will be presented to Executive Secretary.
- ◆ A joint committee comprising members from the LDF, the VDC and the sectoral line agencies will supervise and monitor all the loan activities at least once in a three months period selecting some samples. A copy of the report of each such visit will be submitted to LDF.

6.4.10 Amendment or Revision in Repayment Schedule

Loans extended to CO members may need some revision or amendment in the repayment schedule due to unforeseen or beyond human control situations such as illness or death of the borrower; flood, drought, hail storm, epidemic and other natural calamities. In such a case, the issue will be discussed in CO and CMC meeting and should be forwarded to LDF with suggestions. LDF is the final authority to take decisions to amend or revise the prior set repayment schedule.

6.5 Marketing

6.5.1 Objective

The main objective of this sub-component is to improve the level of income of the target group through improved marketing for forestry, agricultural and livestock products. Emphasis would be on improving the efficiency of existing marketing channels and to identify & develop new marketing links for products those are traditionally marketed in the area.

6.5.2 Strategy

The following strategy will be adopted to achieve the stipulated objective:

- (a) Facilitate producer/collector groups, combining production and marketing to increase margin for the producers,
- (b) Facilitate contract farming, and
- (c) Disseminate adequate and timely market information to all partners, specially the producers.

6.5.3 Activities

The following activities will be implemented under this sub-component:

6.5.3.1 Market Study

A study will be carried out to identify existing and potential domestic and foreign markets for high value – low volume NTFPs, agricultural products such as vegetables, vegetable seeds, spices, herbs, fruits etc and livestock products. Such a study will critically analyze the markets, production systems and the necessary inputs with practical recommendations on the development of specific products and marketing channels in project areas.

6.5.3.2 Establishment of Market Information System

A market information system will be established under PCU to collect and disseminate price information on various NTFP, agricultural and livestock products in liaison with Agro Enterprise Center. Information flowing through the system established under PCU from the various agencies will be compiled at PCU based on the need of the districts and will be forwarded to the LDFs. This information will finally flow to the Community Organizations in the villages through the Social Mobilizers.

6.5.3.3 Formation of Interest Groups

Members of a Community Organization interested and/or engaged in producing, collecting and marketing of products will be connected to a loosely connected interest group. Such a group will be formed by the Social Mobilizers with support from the other partners. Technical back up to the groups in production, harvesting and/or collection and marketing will be provided by the concerned sector partner. The LDF will provide relevant price information transmitted from PCU to these partners.

6.5.4.4 Provision of Marketing Loan

Credit facility to the members of Community Organizations engaged in production, collection and marketing of agricultural and non-agricultural products will be provided under clause no 6.4.3.5 Micro Finance Component. Attempts will be made to link up the local traders with the existing Banks in the district for such a credit facility to the former ones.

6.5.4.5 Organization of trade fair

Trade fairs aim at encouraging contract farming and partnership between producer groups and the traders, with later specifying quantity, quality and price of produce to be supplied and purchased. At least five such fairs would be either organized independently or in collaboration with Chamber of Commerce & Industries at district, regional and national basis in Phase I only.

6.6 *Institutional Development*

6.6.1 *Objective:*

The main objective of this component is to strengthen the institutional framework for the sound implementation of the project activities as envisioned in the project document.

6.6.2 *Strategy*

The strategy to achieve objective of institutional development would be through addressing following major aspects i.e. capacity building (imparting training, organising workshops and meetings; publishing guidelines); arranging physical facilities including procurement of office equipment and tools, staff and TAs services and institutional support including budgetary matter.

6.6.2.1 Capacity Building

Visualizing the critical objectives, the project would organize necessary trainings and exposure visits to enhance the skill of line agencies staff, project staff, local stakeholders and the COs members. Following types of training and workshop would be organised under this:

- **Programme orientation** at District, VDC, Community to COs members, project and line agency staff. Basically, the orientation programs are carried out as one day activity. However, in case of Credit organization membership orientation could be extended up to 2-3 days;
- **Training** at Village, District, Regional & Central level would be organised, which are divided into following types;
 - A one day training will be conducted at the village level by the local facilitators, social mobilizers and project staff,
 - 2-3 days training will be organized at the district headquarters. The training will be facilitated by the PCU staff, resource persons from district line agencies and also from the other relevant organizations, and
 - 5 or more days training program will be conducted at the regional level and central level.
- **Study tour**, exposure visits would be organised for the project staff, local stakeholders and CO members within and outside district. However, consultation with PCU is a pre-requisite for outside district visits.
- **Seminar/Workshops:** In addition to above activities, various seminars/workshops at district, regional and central level would be organised in order to cross-fertilize the experiences and also to disseminate project findings among the stakeholders.

Project Norms (annex – 6) would be applicable for all these trainings, workshops and visits.

Specialized Training Programs

The following are the major specialized training programs to be organized in order to enhance the capacity of catalysts at local level.

a. Village Agriculture Worker (VAW)

The Village Agriculture Worker selected through consultation among the COs, VDC, the SM and DADO will be trained by the Regional Agriculture Training Centers in the following fields:

- Sustainable agriculture farming,
- Compost preparation and its verification technique,
- Forage production in the terrace risers and edges of the terrace risers,
- Improved livestock husbandry practices including housing, breeding, feeding and animal health management.

b. Village Nutrition Specialist

Discussed under chapters 6.3.3.3 and 6.3.9.

c. Village Animal Health Worker (VAHW)

VAHW is mandated to provide animal health services at the VDC level who would be trained by the Regional Training Centres under the Department of Livestock Services. These trained persons are entitled to get a start-up kit as a grant. Any subsequent replenishment of the medicine shall be the responsibility of the VAHW, who shall be eligible to receive credit.

Trainees for VAW and VAhW will be selected on the following criteria:

- A member of the CO,
- A progressive farmer,
- A permanent resident from the concerned VDC,
- Age between 25 and 45 years, and
- At least eight years' of schooling.

d. Social Mobilization

Social mobilization is the pivot of all activities in this project. The role of the SMs, Chairperson and Managers of the COs including its members are very crucial in this aspect. Technology transfer and skill enhancement to improve the management capabilities would be the thrust of this training. In this regard, the project would impart training on following areas:

- Leadership Development, Management Training and Orientation Courses for Presidents/ Managers;
- Specialized Training for Credit Activists nominated by each CO, in areas like forestry, livestock, horticulture, poultry, health and sanitation etc., who in turn will disseminate the knowledge among the members of the COs, transfer skill and technology to them and act as model for other members;
- Training of the CO Internal Auditors for regular on-site monitoring of the financial activities would be done by the office bearers of the COs. The objective is to develop a system of transparency among the COs so that the approach of self-managed micro-finance program is sustainable; and
- Skill development training for the general COs members based on their needs and local market potential. The objective of the training will be to improve the skill of the members for increased average return from the enterprises with better quality of their outputs.

6.6.2.2 Guidelines and IEC Materials Preparation

- Guidelines on social mobilization & Micro - Finance and Marketing, Infrastructure Development, and Training would be developed for use of the project and LA staff including village level officials.
- IEC Materials - Gender, Sanitation, Extension Bulletin and so forth on various disciplines would be produced based on the need of the project.

6.6.2.3 Procurement of equipment, materials and services

Different types of equipment and materials will be purchased to enhancing the work efficiency and smooth functioning of the institutions. HMGN norms would be applicable while procuring equipments and materials. Project norms will be applied while procuring services including TA services. Prior approval from UNOPS is mandatory to procure non-expendable items.

6.6.3.4 Institutional Set up

The project would support to establish PCU and LDFB offices in the respective districts for assisting and smooth functioning of project. To this end project would support:

- the PCU office and staffing;
- the LDFB offices;
- establishment of monitoring and evaluation system;
- the necessary technical assistance for the PCU; and
- sensitization training in rights based approach, gender, equity and nutrition issues.

CHAPTER 7: TRAINING

7.1 Objectives

Training activities aim to provide knowledge and skills to the CO members, office bearers, local representatives and project staff to upgrade their knowledge, change their attitude and practice to improve capacity in a desired way in each component in achieving project's goal and objectives.

7.2 Implementation Policy

Training activities will be implemented through different partners' institutions, private companies, NGOs and project itself using approved project norms.

7.3 Managing the Orientation/Training/Study Tour

The following types of activities will be implemented under training:

- a. Orientation
- b. Training/Workshop
- c. Study Tour

a. Orientation

Orientation programs will be organized at four different levels from cluster/settlement to the central level. The main objective of orientation is to provide a broader idea about the Project and its implementation procedures. Background and introduction, implementation arrangements including planning procedure and monitoring and evaluation system, contributions from partners, fund flow mechanism and institutional linkages, stakeholders' and their role and reporting system of the WUPAP consists of theme for orientation. SMs organize such programs at the settlement/cluster level in the form of dialogues. Introductory workshops and gender sensitization are a few examples of the orientation to be conducted at VDC and district level. Start up workshop, orientation on planning procedure and guidelines of the WUPAP are some of the examples of orientations to be organized at central level.

b. Training/Workshop

The core objective of each training and workshop is to enrich the knowledge base and to transfer the skills to the persons engaged in implementation of activities. These activities are broadly categorized into three as:

Village level

Members of the CO are the participants for this type of training from the same VDC in general. Duration of the training will be from one to three days and covers awareness raising, capacity enhancement and skill transfer under all five components. Each member participant will be paid allowances as per the "Training Norms" of these guidelines for her/his participation.

Participation of 50% women in each type of training is mandatory except to those specially organized for the position holder such as the Chairperson or the Manager of the CO, VDC office bearers, Female Community Health Volunteer etc. In addition, participation of *dalits* in each such training should be kept minimal of 15%.

Training needs should be identified and decided in a CO meeting and should follow the planning procedure mentioned under Chapter 4 of these guidelines. Adequate attention will be paid in designing a few 'only women and *dalits* training' events while identifying such needs. Training on nutrition, sanitation, selection and preservation of seeds are a few examples of this kind.

District Level

District level training includes the participants from CO, staff member of district implementing partners such as DFO, DADO, DLSO, LDFB and DDC, and elected peoples' representatives. In general, duration of such training will be a maximum of five days. However, some specific training such as enterprise creation or entrepreneurship development, processing of herbs, medicinal and aromatic plants will also be organized under district levels training irrespective of duration.

Participation of 35% women in each type of training is mandatory except to those specially organized for the position holder such as the Chairperson or the Manager of the CO, elected peoples' representatives, staff members of the VDC/line agencies/LDFB/ DDC etc. In addition, participation of *dalits* in each such training should be kept minimal of 15%.

Each implementing partner at the district level should design a few 'only women and *dalits* training' events while preparing Annual Work Plan and Budget for each year. Training on nutrition, sanitation, selection and preservation of seeds, livestock management and fodder and forage cultivation are a few examples of this kind.

Outside District

All trainings beside village and district level are included under outside district training category. Participants for this type of training will include CO members, staff members of implementing partners and the Project staff.

Attempts will be made to include women and *dalits* to the extent possible. Training of longer duration that needs adequate and more technical expertise such as training to VAHW, VAW, SMs etc will be organized outside the project districts and the cost for such events will be included under the Annual Work Plan and Budget of PCU. In addition, this category also includes all types of capacity enhancement for PCU staff.

c. Study Tour

Study tour is a type of knowledge and skill enhancement endeavor heavily based on observation and interaction method to transfer the technology and best practices from one place/person to another. WUPAP supports the following types of activities under study tour to enhance the level of efficiency of its implementing partners. After the completion of the event, the group leader of the study tour team has to submit a report to PCU.

Inside District

Inside district study tours will be organized by the agency responsible for the implementation of the component as per the approved program and budget. The main objective of the visit is to cross-fertilize the knowledge and experiences gained through the implementation of activities by CO members, staff members of the implementing institution and peoples' representatives from VDC and DDC.

Outside District

Outside district study tour will be organized either by PCU or by the LDF. Prior consent from the PCU is necessary for all these types of tours that are to be organized by the LDF. Role of the PCU will be to coordinate with all project districts and the institution(s) cooperating for the tour. In addition, PCU may also organize such

a visit including selected participants from project districts. The objectives of the tour will be the same as noted under inside district tour.

Every training event must be planned, delivered and evaluated in a precise manner. When the event stands alone as a sub-project, a training event proposal with costing, Sub-Project Agreement, monitoring report and a completion report must be prepared. Training Norms approved for the particular fiscal year (annex-6) are the foundation in costing. A model of training/study tour proposal and costing sheet (annex -7) and an outline of a completion report is provided in Annex –8.

7.4 Training Norms

Norms approved from the PSC would be applicable in all types of trainings, workshops, seminars and study tours. These norms are subject to review each year otherwise the following norms would be applicable.

7.4.1 Allowances and Other Costs

Norms approved for all types of trainings/workshops/seminars are presented in the following table.

Table: Training Norms (District and Field Level)

(figures in NRs.)

SN	Program	Approved Norms	
		Overnight stay	Not staying overnight
1	Allowances (per day)		
	DDC Chair/Vice-Chair, Members and Officers	300	200
	Assistants	250	150
	CO Members	250	150
2	Tea & Snacks (per participant)		
	Per participant		50
	Facilitators (Up to 3)		50
	Trainers (Up to 2)		50
3	Trainers' allowance (District/Field)		
	Officers level training (per class)		300
	Handouts (per class)		200
	Non Gaz. and Others level training (per class)		200
	Hand outs (per class)		200
4	Report Writing (per training)		
	Up to 2 days		200
	3 days or above		400
5	Stationery		
	Per Participant/training (Up to 5 days)		75

Bus and Air Fare would be reimbursed at cost.

7.4.2 Trainer's rate (district and outside the districts)

Cost of the trainers recruited from outside institutions, NGO and consultancies including rates, overheads and taxes would be as per the terms of the contract under which they provide the services. However, the following

rate is applicable for all types of trainings, workshops and seminars (3 sessions in village level and 4 sessions in district and regional level).

Traveling expenses and daily subscription allowances would be claimed from the trainers as per approved norms of the Project. Daily subscription allowances would be paid only when the trainer is traveling outside the trainer's home or duty station or for overnight stays. Number of days of involvement of the trainer will be calculated as actual involvement days plus maximum of two days for traveling to and from.

Table: Allowances for Trainers

Level of Participants/Class	<i>Trainers allowances</i>	
	Recruited from within the District	Recruited from outside the District and PCU
Officer Level	300	400
Handouts	200	400
Non Gaz. and Others Level	200	Same as above, if trainers is technical person
Handouts	200	Same as above, if trainers is technical person

7.5 Training Evaluation

All training events should be evaluated at the end. For the purpose, an evaluation sheet would be distributed to the participants for indicating their comments and suggestions. Comments and suggestions received from the participants would be attached in the training completion report and it would also serve as a guide to the management in better organizing the trainings in future. A sample of the evaluation form is provided in Annex - 9.

CHAPTER 8: LOGISTIC ARRANGEMENTS

8.1 Procurement Procedures

Procurement of goods and services follows the IFAD Procurement Guidelines as mandated by Section 3.07 of the Project Financial Agreement between HMGN and IFAD and is subject to stringent monitoring by IFAD, UNOPS and HMG/N. The procedure is as:

A. Procurement of goods equipment, material and vehicles

Procedure	Expenditure Amount of Each Contract in US\$
A.1 International competitive bidding (ICB) (Procedure set forth in the IFAD Guidelines)	>100 000
A.2 Local Competitive Bidding (LCB) (in accordance with the procedure approved by UNOPS)	> 10 000 to < 100 000
A.3 International Shopping (IS) (in accordance with the procedure approved by UNOPS)	> 10 000 to < 100 000
A.4 Local Competitive Bidding ⁴ (LCB) with prior Approval by IFAD/UNOPS (LCB (P/A)) (in accordance with the procedure approved by UNOPS)	> 50 000
A.5 Local shopping (LS) (in accordance with the procedure approved by UNOPS)	< 10 000

B. Procurement of Civil Works

Procurement of Civil works should follow the HMGN rules, regulation and procedure.

C. Procurement of NGO and Consultant Service

- Local Competitive Bidding (LCB) < 20 000.00
(in accordance with the procedure approved by UNOPS)
- Direct Contracting > 20 000.00
(in accordance with the procedure approved by UNOPS)

⁴ Local Competitive Bidding open to both local and international bidders

8.2 Local Competitive Bidding⁵ (LCB) Review of Contracts by UNOPS

The award of any contract for goods mentioned under A.1, A.2, and A.3 above estimated to cost USD 50,000 equivalent or more shall be subject to prior review of UNOPS in accordance to the provisions of Annex 3 of the procurement Guidelines.

When the UNOPS prior approval process is satisfactorily completed, the contract(s) for the supply of goods and/or services should then be formally awarded to the successful bidders and any necessary performance bonds obtained from the suppliers' bankers. The contract document should outline the shipping arrangements and point of delivery. Phased payment should be made either through the Special Account or by direct payment from the MAD Loan Account (on instruction to UNOPS).

Local Competitive Bidding (LCB).

Each contract for the supply of goods estimated to cost USD 10,000 and NGO / consultancy services estimated to cost USD 20,000 equivalent or more shall be awarded on the basis of local competitive bidding, but open to international suppliers.

Local Competitive Bidding Procedures

All documentation and evaluation will be subject to review during the visits of supervision missions to ensure transparency and fairness in procurement. Items to be procured should be bulked into sizeable packages whenever possible. This will apply in the case of the procurement of all vehicles and equipment to be purchased as well as the TA to be recruited.

The procedures will be as follows:

- The PCU will draw up the technical specifications and prepare tender documents;
- An invitation to bid should be placed in the main newspapers in circulation in Nepali or English. A period of 15 to 45 days should be fixed from the date of the first advertisement for submission of bids;
- Bids must be opened at exactly the time and date stated in the tender documents and any bids presented later than this should be returned unopened and be declared non-responsive. The bids should be read out at the time of opening and recorded in writing;
- The bids received on time should be analyzed for arithmetical errors to determine that taxes and duties have been excluded and that the items on offer meet the tender specifications or are otherwise insignificantly different and acceptable;
- The bids evaluation committee consisting of at least five representatives as provisioned in the national financial regulation, will analyze and evaluate both technical and commercial (price) conditions of the qualifying bids against the criteria set in the tendering documents;
- The bids evaluation committee will make a recommendation on the preferred award (which should normally be the cheapest of bids from suppliers having a comparable technical standard and adequate spares and back-up service in the concerned provinces) for final approval from the Project Coordinator;
- After its legal approval, the contract for the procurement of goods or services will be signed by the Project Coordinator with the successful bidder.

8.3 Local Shopping/ Contracting

Each contract for the supply of goods, civil works or consultancy services estimated to cost less than USD 10,000 equivalent may be awarded on the basis of evaluating and comparing bids invited from at least three eligible suppliers.

⁵ Local Competitive Bidding open to both local and international bidders

The TA to be recruited will follow procedures established under IFAD's procurement guidelines and subject to the limitations mentioned above.

Local Shopping Procedure

Each contract for the supply of goods or services estimated to cost less than USD 10,000 equivalent shall be awarded on the basis of evaluating and comparing bids invited from at least three eligible suppliers, in accordance with procedures acceptable to IFAD. Wherever possible, a minimum of three quotations should be sought for each local shopping item. This will apply to a wide range of relatively inexpensive items such as computer software, office equipments, furniture, agricultural and forestry inputs for demonstrations and extension, office supplies, drugs and vaccines, etc. The following procedures will apply:

- The end-user of the items to be procured will draw up technical specifications in consultation with the concerned agencies and prepare the bidding documents;
- The Procurement Committee will evaluate and compare bids invited from at least three eligible suppliers for each local shopping item;
- The evaluation will be forwarded to the PC; and
- Once evaluation is received, the Project Coordinator will sign a contract with the successful bidder.

8.4 Review of Procurement Decisions

With respect to any contract, the PCU will furnish two certified or confirmed copies of such contract to the UNOPS, together with the analysis of the respective bids and the recommendations for award. The contracts should be sent promptly after their signature and before the submission to UNOPS of the first application for withdrawal of funds from the Loan Account in respect of such contract.

Before agreeing to any material modification or waiver of the terms and conditions of any contract referred to above, or granting an extension of the stipulated time for performance of such contract, or issuing any change order under such contract (except in cases of extreme urgency) that would increase the cost of the contract by more than 10% of the original price, the PCU will inform the PD and UNOPS of the proposed modification, waiver, extension or change order and the reasons there for.

8.5 Procedures for Procurement of Goods, Services and Civil Works

Usually the Government procedures permit the Project Coordinator/Secretary of the implementing line ministries to follow procurement guidelines of the donors. The Project Coordinator will recommend a committee for evaluating bids and awards to the MLD Secretary. Once approved, the Committee within PCU will be responsible for evaluating bids for the procurement of vehicles and motorcycles as well as the equipments. The PCU will be also responsible for executing the procurement of computers, printers, photocopiers and radio connection equipment for its operations or for other line ministries.

All civil service works to be carried by LDF would be contracted to user groups on force account. Other works to be constructed using contractors would follow HMGN's internal guidelines on procurement.

For procurement of any contract of more than USD 20,000 each, the PCU will carry out the appropriate procedure for the procurement of goods, services and civil works, evaluation of bids and negotiation, award and management of contracts and will follow HMGN guidelines.

CHAPTER 9: MONITORING AND EVALUATION

The purpose of monitoring is to collect information that allows project management to manage inputs and activities in achieving stipulated outputs. Evaluators use the same information to answer some of their questions concerning project efficiency and effectiveness and also pose wider questions about project design, impact assessment and activity/project/programme sustainability. All Project activities will be monitored from different levels. PCU will develop a separate manual to monitor all field level activities. In general, monitoring and evaluation of the activities will be done at different levels as:

9.1 *Community Organization Level*

Participatory monitoring and process monitoring tools will be applied to monitor CO level activities. For this, some picture (chart) will be developed by the project on the aspect of leadership development, women development, saving and credit mobilization, skill development, infrastructure development etc. Group members themselves evaluate and find out their position comparing with chart. VDC level monitoring will also be carried out by concerned office staff (field staff).

9.2 *District Level*

District level implementing agencies (DDC, LDF, DFO, DLSO, DADO, NGOs) would regularly supervise and monitor their respective activities on the basis of reports received from their staffs. LDF will consolidate monitoring reports from line agencies and send to PCU.

9.3 *PCU Level*

PCU staff frequently visit project districts and will monitor the overall district level (including sample field visit) project activities and verify reports received from LDFB. Annex -10 forms the base for such type of monitoring.

9.4 *Central Level*

PSC under the guidance of MLD will review the progress and instruct and policy guidance to take necessary actions as appropriate to PCU.

9.5 *Logical Framework*

HMG/N has made a policy for all development projects funded by donor agencies to include their activities in the logical framework. Logical framework approach (LFA) has been accepted as a planning device to establish effective monitoring and evaluation system in this project too. The approach simplifies and clarifies planning, management and evaluation of the development projects by making use of 4 x 4 matrix that includes Goal, Objectives, Outputs and Activities (inputs), and Goal (remaining the same), OVI, MoV and Assumption in the vertical and horizontal respectively. SAR has traced out the project log frame that may require to revisit in a partly basis.

9.6 *External Review*

UNOPS will carry out an external supervision in order to support the implementation of project activities from time to time. Appropriate guidance and advice will be incorporated as part of these guidelines in the future revisions.

CHAPTER 10: REVIEW AND REPORTING

10.1 Review

10.1.1 Review at CMC Level

CMC meets each month and reviews the status of each activity implemented at the CO level. Progress and achievements, frequency of COs meeting, savings collection, savings and credit capital mobilization, repayment rate of the mobilized credit, implementation aspects of community infrastructure schemes, performance of LFUGs, status of price information dissemination at LFUG level, selection of participants for various training events and constraints encountered are some of the issues to be reviewed at this level. It is mandatory that the SM should participate in all these review meetings and reports of such review will be forwarded to VDC through its Chairperson and LDF through the SM. VAW, VAHW, Village Nutrition Specialist, contracted NGO field staff and the representatives from VDC and village level staff of implementing partners should be invited in the review.

10.1.2 Review at VDC Level

VDC should also review the implementation status of the Project every month as a permanent agenda under its meeting. Monthly report forwarded from each CO and the review report from the CMC forms the base for review. The VDC will provide suggestions and instructions to the CMC, if any, and points to be considered to the DDC to ensure additional support and assistance. The SM and the CMC Chairperson should preferably be invited in the meeting for strengthening better coordination at the village level.

10.1.3 Review at District Level

There will be two types of review at the district level. Firstly, the LDF is responsible to organize monthly review meetings. Reports from the CMC, the VDC and from the SM form the base for such a review. The review serves as a monitoring measure and initiates immediate correction measures coordinating with all implementing partners. Secondly, the DDC is responsible to organize a review meeting on trimester basis. All implementing partners including contracted NGO will be the participants of the meeting, and progress status against the plan for the period will be evaluated. A copy of the decisions made in these reviews will be provided to PCU.

10.1.4 Review at PCU Level

Achievements and progress status of each project district on a component wise basis will be reviewed at PCU at least on monthly basis. Achievements against each output indicator together with the technical back up support exerted to the district projects from the PCU specialists and experts will be the core thrust of review at this level. The Project Coordinator and the Project Management Adviser will be jointly responsible for such a review.

10.1.5 Review at PSC Level

PSC reviews the progress status of the Project at least twice in a year. Achievements made against the output indicators and fulfillment of the objectives form base for the reviews. The PSC provides necessary guidance to PCU in meeting the stipulated goal and objectives of the Project.

10.2 Reporting

Each implementing partner at the district level should forward a progress report each to the PCU and the LDFB on monthly, trimester and annual basis. Monthly report will be produced in a format specified from the WUPAP and other reports as specified by the NPC. The LDF should compile all these reports and should forward to PCU. The time frame is the first week of the succeeding month for monthly report, in the second week of Magra and Chaitra for trimester report and in Shrawan month for the annual report. PCU compiles the district reports and forwards a copy each to the MLD, NPC and UNOPS. A bottom up reporting system will be adopted as:

10.2.1 Reporting from CO

Each CO will prepare a progress report on monthly basis with support from SM. Such a report will be forwarded to the VDC and the LDF.

10.2.2 Reporting from Line Agencies to DDC/LDF

DFO, DADO and DLSO should report to the DDC/LDF. A copy of the report will also be forwarded to PCU.

10.2.3 Reporting from DDC/LDF to PCU

DDC/LDF is responsible to collect and consolidate all district level progress from the implementing partners and forward it to PCU.

10.2.4 Reporting from PCU to Ministry and NPC

PCU is responsible in collecting and consolidating all physical and financial progress reports from the project districts and forward it to NPC and MLD.

10.2.5 Reporting from PCU to UNOPS/IFAD

PCU is responsible for collecting and consolidating all physical and financial progress reports from the project districts and forward it to UNOPS/IFAD using RIMS format.

Detailed Baseline Survey

1. a. Name of Household Head:

b. District: c. VDC: d. Ward No: e. Tole:

f. Family Members: Female Male: Total:

g. Occupation: Agriculture Business Service:

Foreign Employment Nepal

h. Literacy

	Female				Male			
	Literate	SLC	+2	Above +2	Literate	SLC	+2	Above +2

i. No of schooling children

Boys	Girls	Drop out Boys	Drop out Girls

2. Housing

Types of House	Small Hut	Kachcha	Pucca
Types of Cowshed	None	Kachcha	Pucca
Toilet	None	Kachcha	Pucca

3. Land Holding

Type of Land	Own Land			Others Land Cultivated		
	Irrigated	Unirrigated	Total	Irrigated	Unirrigated	Total
Khet						
Pakho						
Grass land						
Total						

4. a) Production of Cereal Crops

Crop Type	Cultivated Area (Ropani)	Production (Muri/Pathi)	Consumption (Muri/Pathi)	Selling (Muri/Pathi)	Income from Selling Rs.
Rice					
Maize					
Wheat					
Millet					
Buck Wheat					
Oat					

b. Cereals under Cultivation by Type

Crop Type	Local Variety			Improved Variety		
	1	2	3	1	2	3
Rice						
Maize						
Wheat						
Millet						
Buck Wheat						
Oat						

5. a) Production of Legumes & Vegetables

Types	Area under Cultivation	Production (Kg)	Household Consumption %	Selling %	Income from selling (Rs.)
Broad Mustard Leaf					
Raddish					
Cauli Flower					
Cabbage					
Carrot					
Simi					
Bhatmas					
Musura					

b) Legumes & Vegetables under cultivation by Type

Types	Local Variety			Improved Variety		
	1	2	3	1	2	3
Broad Mustard Leaf						
Radish						
Cauli Flower						
Cabbage						
Carrot						
Simi						
Bhatmas						
Musura						

6. Food Sufficiency (from own production)

Cereals	3 months	6 months	9 months	12 months & above
Consumption of Vegetables	Never	sometimes	often	adequate
Consumption of Meat Products	Never	sometimes	often	adequate
Consumption of Milk Products	Never	sometimes	often	adequate

7. Cattle Owned

Type	No	Breed		Yearly income from the selling of animal products (NRs.)
		Local	Improved	
Cow				
Buffalo				
Sheep				
Goat				
Pig				
Horse/Donkey				
Chicken				
Yak				

8. Sufficiency of Fodder and Forage

	Fodder from own land	Forage from own land	Straw, hay etc	Dependency on forest	Total
Sufficient months					12

9. No of Fodder and other trees in own land

Fodder Trees		Other Trees	
Species	No	Species	No

10. Manure Supply

Crop	Compost*	Chemical Fertilizer	
		Quantity	Amount spent
Cereal Crop			
Vegetables			
Other crops			

*Indicate quantity if sold any.

11. Use and supply of Fuel

Firewood	Month	Others	Month
From own land area		Kerosene	
From forest		Bio Gas	

12. Is any of your family member involved in collection and marketing of NTFP?MAPs? If yes,

Collection		Involvement			Marketing				Involvement		
Species	Distance	Female	Male	Children	Qty	Income	Market Center	Distance	Female	Male	Children

13. Services from Development Agencies

Sector	Yes	No	If yes, types of services				
			Technical Advice	Cash	Materials	Training	Others
Agriculture							
Livestock							
Forestry (NTFP, MAPs)							
Health & Sanitation							
Savings & Credit							
Infrastructure							
Awareness Raising							

14. Frequency of services from Development Catalyst

Sector	Every Month	3 months	6 months	Yearly	Never
Agriculture					
Livestock					
Forestry (NTFP, MAPs)					
Health & Sanitation					
Savings & Credit					
Infrastructure					
Awareness Raising					

15. Other means of Livelihood in addition to Agriculture (Prioritize, 1 is the first priority)

Occupation	Service		NTFP/MAPs Collection	Ways Earnings	Ways Laborer outside district	Others
	Permanent	Temporary				
Accorded Priority						

16. Use of Agriculture and Livestock Product

Product	HHs Consumption %	Qty. sold	Indicate quantity (yearly), if procured
Cereals			
Vegetables			
Fruits (kg.)			
Meat (kg.)			
Milk (ltr.)			

17. a) Were somebody sick in your family during last year?

If yes, what was the disease?

b) From where do you get health services?

Type of individual/institution	Traditioanl Healers (<i>Dhami, Jhankri</i>)	Health Post	Hospital
Distance			

c) Immunization

BCG	Polio	DPT	Molasease	Vitamin A

18. Access to safe Drinking Water

Type of Source	Time for a round trip			
	>15 minutes	15 - 30 minutes	½ - 1 hour	< 1 hour
Traditional Well (Kuwa)				
Dhunge Dhara				
Stream				
Pond				
Piped Supply				
.....				

19. Banking Facility

a. Have you lend to anybody?

If yes, Amount NRs. at% p.a.

b. Borrowings

Source	Amount Borrowed NRs.	Interest Rate	Due Date	Purpose of Borrowing				
				Household consumption	Agriculture	Livestock	Business	Others
Local Money Lender								
Bank								
Cooperatives								
Others (specify)								

21. Have you (husband or wife or both) involved with any organization?

If yes,

Name of Organization	Activity(ies) Involved	Benefit in Return

22. Participation/Support in Social/Development Activities

Yes/No

If yes, what have you contributed?

Labour	Financial Donation	Materials Support	Others

23. Skills with your family

Carpet Making	Bamboo work	Carpentry	Mason

24. Who is the decision maker in your family?

Participatory	Male	Female	whoever available

Enumerator's Signature:

Signature of Interviewee:

Name :

Date of Enumeration:

Annex -2

Western Uplands Poverty Alleviation Project WUPAP
IFAD LN 576/NP, GN 567/NP, UNOPS PN-Nep/01/F01

Micro- Project Document

District/VDC :
Micro Project Name :
Component :
Category :

1.0 Objective:

2.0 Present situation (situation before implementation):

2.1 Justification for the Micro Project:

2.2 Duration

3.0 Expected situation at the end of the micro project.

4.0 Cost & Funding

5.0 Beneficiaries

5.1 *Direct beneficiaries*

5.2 *Indirect beneficiaries*

5.3 *Economic*

6.0 Cost fund summery and category

7.0 Implementation:

7.1 *Procurement*

7.2 *Budget release/ payment schedules*

8.0 Monitoring and reporting

8.1 *Monitoring*

8.2 *Reporting*

9.0 Certification

Western Uplands Poverty Alleviation Project

IFAD LN 576/NP, GN 567/NP, UNOPS PN-Nep/01/F01

Micro-Project Agreement

District :
 Micro-Project Name :
 Component : Category :

1. This micro-project agreement (MPA) is signed between:
 - Western Uplands Poverty Alleviation Project, Project Coordination Unit Nepalgunj (hereafter referred as 'the Project'), and, (hereafter referred as '.....').
 - Wherein the Project and theagree to adhere to the respective planning, implementing, monitoring, evaluation and reporting responsibilities and schedules set out in the micro-project document (MPD), which is summarized as Annex 1 to this MPA.
2. For all purposes relevant to this MPA, the Project will be represented by its and the by its
3. Upon signature of this MPA by both parties, the micro-project is deemed started.
4. Any request to alter the MPA by the must be submitted to the Project in writing with reasons. Any request by the Project to alter the SPA must be discussed with the
5. The rights and obligations of the Project are limited to the terms and conditions of this MPA.

ANNEX 1 OF MPA: SUMMARY OF MPD (a model)

RATC agrees to:

- ❖ provide refresher training to the selected Village Animal Health Workers based on the curricula developed from the Department of Livestock.
- ❖ make necessary arrangements for planning, implementing, evaluating and reporting on the training.
- ❖ furnish details including original bills, vouchers and other proofs of expenditures to all participating districts.
- ❖ return back non-expendable equipments to the Project, if any.
- ❖ return back the surplus money to all participating districts, if any.
- ❖ provide Training Completion Report in the specified form to the Project.

The Project agrees to:

- ❖ pay a total sum of amount NRs. 358,084 against the approved proposal to carry out the stipulated activities through Bank Draft payable to RLTC by coordinating with the participating districts.
- ❖ monitor and supervise the training in a timely fashion.

Signed this day: 2062/1/13

Agreed for the Project.....

Agreed for RATC.....

Western Uplands Poverty Alleviation Project
IFAD LN 576/NP, GN 567/NP, UNOPS PN-Nep/01/F01

Sub- Project Document

District/VDC :
Sub-Project Name :
Component :
Category :

1.0 Objective:

2.0 Present situation (situation before implementation):

2.1 Justification for the Micro Project:

2.2 Duration

3.0 Expected situation at the end of the micro project.

4.0 Cost & Funding

5.0 Beneficiaries

5.1 *Direct beneficiaries*

5.2 *Indirect beneficiaries*

5.3 *Economic*

6.0 Cost fund summery and category

7.0 Implementation:

7.1 *Procurement*

7.2 *Budget release/ payment schedules*

8.0 Monitoring and reporting

8.1 *Monitoring*

8.2 *Reporting*

9.0 Certification

Western Uplands Poverty Alleviation Project

IFAD LN 576/NP, GN 567/NP, UNOPS PN-Nep/01/F01

Sub-Project Agreement

District :
 Sub-Project Name :
 Component : Category :

1. This sub-project agreement (SPA) is signed between:
 - Western Uplands Poverty Alleviation Project, Project Coordination Unit Nepalgunj (hereafter referred as 'the Project'), and, (hereafter referred as '.....').
 - Wherein the Project and theagree to adhere to the respective planning, implementing, monitoring, evaluation and reporting responsibilities and schedules set out in the sub-project document (SPD), which is summarized as Annex 1 to this SPA.
2. For all purposes relevant to this SPA, the Project will be represented by its and the by its
3. Upon signature of this SPA by both parties, the sub-project is deemed started.
4. Any request to alter the SPA by the must be submitted to the Project in writing with reasons. Any request by the Project to alter the SPA must be discussed with the
5. The rights and obligations of the Project are limited to the terms and conditions of this SPA.

ANNEX 1 OF SPA: SUMMARY OF SPD (a model)

RATC agrees to:

- ❖ provide refresher training to the selected Village Animal Health Workers based on the curricula developed from the Department of Livestock.
- ❖ make necessary arrangements for planning, implementing, evaluating and reporting on the training.
- ❖ furnish details including original bills, vouchers and other proofs of expenditures to all participating districts.
- ❖ return back non-expendable equipments to the Project, if any.
- ❖ return back the surplus money to all participating districts, if any.
- ❖ provide Training Completion Report in the specified form to the Project.

The Project agrees to:

- ❖ pay a total sum of amount NRs. 358,084 against the approved proposal to carry out the stipulated activities through Bank Draft payable to RLTC by coordinating with the participating districts.
- ❖ monitor and supervise the training in a timely fashion.

Signed this day: 2062/1/13

Agreed for the Project.....

Agreed for RATC.....

Norms for Trainings, Seminars and Workshops at Nepalgunj / Regional level

S N	Particulars	Unit	Amount (NRs.)
1	Program Coordinator	day	500
2	Assistant Program Coordinator	day	400
3	Lecture and Handouts	class	400+400=800
4	Preparation of Training Materials (including photo films and developing charge)	program	On actual basis
5	A. Lunch and Refreshment	participant	200

B. If the program is organized at an Hotel, the actual cost of breakfast, lunch and Tiffin will be borne by the project and the participants will not be eligible for facility mentioned under 5A.

6	Inauguration and Closing	participant	100
7	Stationary	person	150
8	Support Staff (up to 2 person)	staff	200
9	Peon	day	100
10	Driver	day	100
11	Report Writing	Drafting report, typing and editing	2500
12	Accommodation/local transportation	person/day	200
13	Fuel/Transportation (materials)	on actual basis	On actual basis
14	Hall Rent	on actual basis	On actual basis
15	Miscellaneous/Communication	program (up to)	3000

Besides above mentioned costs, the participants from districts will get the following additional DSA and accommodation cost during trainings, seminars or workshops period at Nepalgunj (out side district).

SN	Particulars	DSA	Accommodation	Remarks
1	Officers	500	200	
2	Assistants	250	200	
3	Group members/others	250	200	

Norms for Training, Seminars, Workshop at District or Field Level

SN	Program	Approved Norms	
		Over-night stay	Not staying Over-night
1	Participants cost		
	Officers, DDC members, VDC Chair/Vice Chairperson	300	200
	Assistants	250	150
	UG's members	250	150
2	Tiffin		
	Per participant		50
	Facilitators (Up to 3)		50
	Trainers (Up to 2)		50
3	Trainers' allowance (District/Field)		
	Officer trainer (Per class)		300
	Handouts (Per class)		200
	Non Gaz. and Others (Per class)		200
	Hand outs (Per class)		200
4	Report Writing (Per training)		
	Up to 2 days		200
	3 days or above		400
5	Stationery		
	Per Participant/training (Up to 5 days)		75
	Training Materials	NRs. 800 for 1-2 days, NRs. 1,200 for 3 days and NRs. 1,500 for more than 3 days	
6	Photo Film and Developing Charge		500
7	Hall Rent	As per actual	
8	Bus fare (for field trip)	According to transportation union/district rate	
9	Training Coordination and management		
	Training Coordinator/day		200
	Assistant (one person/day)		150
	Peon (one person/ day)		100

- Note:
1. A person performing more than two roles at a time will be eligible only for two facilities out of a. Trainers' allowance, b. DSA and c. Co-ordination allowance.
 2. If the trainer has to spent night outside her/his duty station at night, s/he is entitled to claim DSA according to HMG/N rules.
 3. For more than three days training or seminars, NRs. 1,000 can be expended in case of formal inauguration and closing. Night stay refers to staying outside of duty station but could be within the district.

Contd. Norms for Training, Seminars, Workshop at District or Field Level

One Day Training		Two Days Training	
Participants	15-20	Participants	15-20
Total Classes	3	Total Classes	6
Trainers' Allowance	200X3=600	Trainers' Allowance	200X6=1200
Handouts	200X3=600	Handouts	200X6=1200
Stationery	75X20=1500	Teaching Materials	75X20=1500
Refreshment	50X25=1250	Refreshment	50X25X2=2500
Participants Allowance	150X1 X 20=3000	Participants' Allowance*	250X2X20=10000
Management Ost		Management Cost	
Photo Film and Developing	500	Photo Film and Developing	500
Training Materials (Marker Pens, Brown Papers, Masking Tapes Etc.)	1000	Stationeries (Marker Pens, Brown Papers, Masking Tapes Etc.)	1000
Hall Rent	According to bill	Hall Rent	According to bill
Training Report Writing	200	Training Report Writing	200

*If the Two Days Training is organized at field level or on the spot participants' allowance will be Rs 150/day and It will be Rs 250 if it is conducted at district level.

Three Days Training

No of Participants	15-20
Total Classes	10
Trainers' Allowance	200X10=2000
Handouts	200X10=2000
Stationery	75X20=1500
Refreshment	50X25X3=3750
Participants Allowance	250X3X20=15000
Management Cost	
Photo Film and Developing	500
Training Materials (Marker Pens, Brown Papers, Masking Tapes Etc.)	1500
Hall Rent	According to bill
Training Report Writing	400
Coordinator (Rs 200/Day)	600
Assistant Coordinator (Rs 150/Day)	450
Peon (Rs 100/Day)	300

Five Days Training

No of Participants	15 to 20
Total Classes	18
Trainers' Allowance	200X18=3600
Handouts	200X18=3600
Stationery	75X20=1500
Refreshment	50X25X5=6750
Participants Allowance	250X5X20=25000
Management Cost	
Photo Film and Developing	500
Training Materials (Marker Pens, Brown Papers, Masking Tapes Etc.)	1500
Hall Rent	According to bill
Training Report Writing	400
Coordinator (Rs 200/Day)	1000
Assistant Coordinator (Rs 150/Day)	750
Peon (Rs 100/Day)	500

Contd. Norms for Training, Seminar, Workshop at District or Field Level

1. Training at Field Level (on the spot)

Duration	One day
No of Participants	Up to 30
Participants' Allowance (per head/day)	150
Coordinator Allowance (NRs.)	300
Assistant Coordinator (NRs.)	200
Stationery (NRs.)	2,250
Refreshment (NRs.)	2,000

2. Training at District Headquarters

Duration	1 to 3 days
No of Participants	Up to 30
Resource Persons' Allowance (per session, to a maximum of 6 sessions) (NRs.)	300
Handouts (Up to 6) (NRs.)	200
Participants' Allowance (per head/day) (NRs.)	300
Coordinator Allowance (per day) (NRs.)	300
Assistant Coordinator's Allowance (per day) (NRs.)	200
Stationary (NRs.)	2,250
Refreshment (per day) (NRs.)	2,000
Photo Film and Developing	500
Inauguration and Closing (Up to 50 participants)	
One day seminar	1,000
Two days seminar	1,750
Three days seminar	2,500
Report Writing	400
Peon (per day)	100

Norms for the Training/Workshop/Seminar at Nepalgunj

(figures in NRs.)

S N	Particulars	Unit	Approved norms for the project
1	Program Coordinator	Day	500
2	Assistant Program Coordinator	Day	400
3	Lecture and Handouts	Class	400+400=800
4	Preparation of Training Materials (including photo film and developing charge)	Program	actual cost
5.A	Lunch and Refreshment	Participant	200
5.B	In case of the program organized at an Hotel, actual cost as per the rate of the Hotel for breakfast, Lunch and snacks will be paid and participants are not entitle for the facility mentioned under 5.A.		
6	Program Inauguration and Closing	Participant	100
7	Stationery	Participant	150
8	Support staff (maximum 2 persons)	Staff	200
9	Peon	Day	100
10	Driver	Day	100
11	Report Writing	Drafting, typing and editing	2500
12	Accommodation/Local Transportation	Person/day	200
13	Fuel/Transportation (materials)	actual cost	actual cost
14	Hall Rent	actual cost	actual cost
15	Miscellaneous/Communication	Per program (up to)	3000

DSA and accommodation cost of the participants during any training/seminar/workshops at Nepalgunj or outside district will be as:

SN	Particulars	DSA	Accommodation
1	DDC/VDC Chair/Vice-Chair/ Members and HMGN Officer Level Staff	500	200
2	Assistants	250	200
3	Group members/others	250	200

Sub Project Proposal for Training/Seminar/Workshop

Event Type :.....
Area of Training/Seminar/Workshop :.....
Component :.....
Duration :From to, days
Venue :.....

No and type of Participants:

Training Methodology:

Training Objectives: (for example)

By the end of the course participants will be able to:

1. Apply WUPAP’s Financial Procedures Guidelines to all financial transactions.
 2. Refer to relevant sections of WUPAP’s Personnel and Administrative Procedures Guidelines and A WP 4 in their work.
 3. Complete all financial transactions in “Microsoft Money 98” using current and standard AWP codes.
 4. Use “Microsoft Money 98” to produce monthly reports in a common format.
 5. Archive and back up files, manage accounts and currencies.
 6. Produce customized reports for budgeting and financial control.
-

Evaluation(on course content, Methodology and Resource Persons): Multiple choice quiz.

Materials required:

Budget: see details on attached sheet.

Resource Person:

Submitted by: _____

Approved by: _____

Costing Sheet

Particulars	No. Of Days	No. Of Participants	Rate (NRs.)	Total (NRs.)	Remarks
Allowance to the Participants					
Officers					
Non-Officers					
Chairmen, Mps					
Others					
Sub-total (A)					
Management Cost					
Snacks					
Session Fee					
Handouts					
Tax					
Stationary					
Sub-total (B)					
Transportation					
Air Fare					
Bus Fare					
Local Transportation					
Sub-total (C)					
Others (1)					
Others (2)					
Sub-total (D)					
Grand Total (A+B+C+D)					

Submitted by:

Name:

Designation:

Date:

Approved by:

Name:

Designation:

Date:

Completion Report

1. BACKGROUND

Venue : _____

District/ VDC : _____

Sub-project training event name : _____

Date/duration of event : _____

Target Group : _____

No of participants : _____

2. FINDINGS

a. TRAINEES ATTENDANCE:

Discuss any problem with attendance, did participants meet on time? Did all meet the first day and then fewer came? What was approximately the percentage that attended all sessions? Name anybody who never showed up, and anybody who only attended half time

b. PARTICIPATION FROM TRAINEES:

Were participants eager to learn? How did it show that they were? Was participation improving throughout the training? How was the participation shown, e.g. ready on time, many questions, much interaction etc., was the target group relevant to training?

c. SUMMARY OF RESULTS FROM ANY PRE/POST EVALUATION

What kind of evaluation method were used, list questions if evaluation, what were the results?

d. RESOURCE PERSON PERFORMANCE:

Name of resource people (annex a list of trainers and schedules):

What was good? How did the participants react to trainers' training/facilitation skills? Did the trainers stay within the topic in their particular sessions? Were session plans followed, were the course contents need-based, were reference materials used, were the training materials relevant?

e. RESULT OF TRAINING EVALUATION:

(By participants) Enclosed compiled results if necessary

- Summarize briefly the result of any evaluation of the training done by the participants. Highlight the main points. If necessary- for instance from larger events- include a compilation of the evaluation sheets.
- Evaluation sheets may include:
 1. *Usefulness of content for user group.*
 2. *Additional subjects to be included in future.*
 3. *View on resource persons' performance.*
 4. *Suggestions for performance improvement.*
 5. *Training management-stationary, training materials, snacks, time management, venue, training hall and others.*
 6. *Methods of training execution.*
 7. *Any other unresolved issues during the training period.*
 8. *Any other suggestions.*

f. *FIELD SITES:*

Which field sites were visited? How much time spent on the site (time in the field compared to time in the classroom)? What activities were performed? Were the sites suitable and were objectives met?

g. *TRAINING MANAGEMENT:*

Was planning before the course good? Was the season appropriate for training? Was time allocation for sessions adequate? How did the logistics work (venue, furniture, accommodation, transport facilities)? Were the training materials relevant and enough, was the stationary sufficient, how was the snacks arrangements?

3. **FINDINGS**

(also incorporate trainees evaluation of training)

a. *TRAINEES:*

Any recommendation on future selection criteria of trainees, how to make the training more interesting, how to involve the participants more and better in next similar training, how to secure a better attendance in the training in future?

b. *TRAINERS:*

What and how could have been taught better, where do the trainers need to improve (e.g. better session plan development, more participatory training methods) and any recommendations on how trainers can do better next times.

c. *TRAINING MANAGEMENT:*

Logistics:- stationary, venue, accommodation, transport, furniture (if training is not field based).

d. *FIELD SITES:*

Is it necessary to spend more or less time in the field? Recommended new sites for next training.

Prepared by: _____

Date: _____

Training Evaluation

Name of Training :
Type of Participants :
Date : From to
Venue :

Training Evaluation (by the participants)

1. Has this training been able to meet your expectations on the subject matter before you join the same?

 Yes No

If no, what are they?

2. Please indicate the topics you think should be included in the similar training to be organized in future course of time?

3. Please indicate the topics that you liked much and dislike much in the training with reason(s).

Topics you liked much

Topics you disliked much

Reason(s) behind:

Reason(s) behind:

4. Please indicate the area(s) that this training has supported/left out in solving the practice problems you are facing with in your daily job performance.

Supported Area(s)

Left out Area(s)

5. What is your comment regarding the duration of the training?

6. What is your general comment to the facilitators regarding their presentation? In which area(s) should they improved in future?

7. Please indicate the name of the facilitators you liked much and disliked much with reason(s).

Facilitator you like much

Facilitator you dislike much

Reason(s) behind:

Reason(s) behind:

8. Are there any Facilitators, in your opinion, should not be repeated in the similar future trainings? If yes, please indicate their name.
- a. b.
- c. d.
9. Please tick in one of the boxes below considering number 1 for the best and number 5 for the worst.