

Ministry of Rural Development
National Rural Livelihood Mission

National Rural Economic Transformation Project
(Implemented through additional financing of the National Rural Livelihood Project)

Social Management Framework¹
(20 March 2018)

¹ in continuation of the Social Assessment Report of the National Rural Livelihood Project.

I. Background & Objectives

1. The National Rural Economic Transformation Project (NRETP) is being proposed for funding through US\$250 million Additional Financing (AF) of the ongoing National Rural Livelihood Project (NRLP) that is supported by the World Bank. The Ministry of Rural Development (MORD) has proposed the NRETP for World Bank support through the Department of Economic Affairs, Government of India. The NRETP aims to intensify interventions, financing and technical assistance for high value agriculture, rural value chains, skills and enterprises, producer collectives, innovative livelihood approaches, digital financial inclusion as well as productive infrastructure for post-production value addition. Partnerships with technical and financial resource agencies from public, private and non-profit sectors will be expanded, including social impact investors and social enterprises. Technical Assistance and support will also be provided to *Mission Antyodaya* of MORD.

2. To respond to the intensified NRETP focus on these new areas, MoRD has reviewed and updated the Social Management Framework (SMF) of the ongoing NRLP. The main purpose of this revised SMF is to identify, assess and address the key social impacts, risks as well as opportunities related with the strategies, interventions and investments supported under NRETP. Drawing on the social assessment of the NRLP, this updated SMF is a collection of practical strategies for i) targeting and inclusion of marginalised groups especially scheduled castes and schedule tribe groups/areas; ii) strengthening social inclusion in institution building of beneficiary communities; iii) engagement with beneficiary communities; iv) socioeconomic and financial empowerment of rural women, v) screening and mitigation of any adverse impacts from community projects involving land/infrastructure; vi) grievance redress mechanisms, and vii) promoting inclusive producer collectives and benefit sharing from productive infrastructure. Additional measures on staffing, capacity building, technical assistance, and knowledge programmes would also be supported under NRETP and its SMF.

3. The SMF draws from the report on social assessment and social management framework for NRLP, as well as other NRLP/NRLM documents and manuals dealing with gender, social inclusion, vulnerability reduction, health and nutrition, convergence, gender and social development. The SMF applies to project interventions and investments that would be supported under NRETP, and supplements and complements the Social Assessment and Social Management Framework (Including Indigenous Peoples) of the NRLP.

II. National Rural Livelihood Project - Implementation Summary

4. The Government of India (GoI) established the National Rural Livelihoods Mission (NRLM) in June 2010 to implement the new strategy of poverty alleviation woven around community based institutions. National Rural Livelihoods Project (NRLP), funded by the World Bank, has been designed as a sub-set of NRLM to create 'proof of concept', build capacities of the Centre and States and create an enabling environment to facilitate all States and Union Territories to transit to the NRLM. NRLP has been implemented in 13 high poverty states accounting for about 90 percent of the rural poor in the country. Intensive livelihood investments have been made in 107 districts and 422 blocks of 13 states (Assam, Bihar, Chhattisgarh, Jharkhand, Gujarat, Maharashtra, Madhya Pradesh, Orissa, Rajasthan, Uttar Pradesh, West Bengal, Karnataka and Tamil Nadu). 13 State Rural Livelihood Missions (SRLMs) have been established, with modern human resource, financial management and procurement systems. The main achievements of NRLP are summarised below.

5. *Social Mobilization and Capacity Building.* More than 7.75 million women from poor rural households into 677,000 Self Help Groups (SHGs) (against an original project target of 400,000 SHGs). These SHGs have been further federated into 42,500 Village Organizations (VOs) and 2586 Cluster/Panchayat level Federations (CLFs/GPLFs). Targeting under the project has been effective with demonstrated access to some of the poorest households. More than 56% of households mobilized in SHGs belonging to the Scheduled Caste, Scheduled Tribes and Minority households (HHs). Nearly 500,000 community

professionals and community resource persons who are from the SHGs themselves have been trained and it is these resource persons who are primarily responsible for project implementation on the ground.

6. *Enhanced access to credit and other financial services.* An estimated US\$ 1,700 million in private financing has been accessed by the SHG households against a total investment of nearly US\$400 million from the project (of which nearly US\$ 300 million as community revolving funds). This includes own savings mobilized by SHG members worth US\$170 million and institutional credit worth US\$ 650 million leveraged from banks. In addition, the NRLP has scaled up digital financial services to more than 50,000 women SHG members through nearly 500 Business Correspondents, all of whom are women.

7. *Income enhancement:* Of the 7.75 million households mobilised by NRLP, more than 2 million households are currently benefitting from technical services for enhancing agriculture and livestock productivity. Additionally, economic transformative initiatives such as the development of producer organizations focused on high value agriculture commodities, digital finance interventions and convergence for human development outcomes have been rolled out through the mechanism of “dedicated funds” introduced in the second project restructuring in January 2016. Currently, seven States are using the livelihood funds to promote 12 producer organizations and support around 156,000 farmers with an overall budget of US\$24 million.

8. *Technical assistance to the National Rural Livelihood Mission:* NRLP support and technical assistance has enabled the Ministry of Rural Development to successfully scale up the NRLM to all 29 states of the country. Support provided through NRLP includes a) the setting up of the National Mission Management Unit with professionals having the requisite technical expertise to provide the states in the implementation of NRLM; b) development of all relevant programme guidelines for the implementation of NRLM; and c) development of the financial management, procurement management, human resource management and MIS systems for the roll out of the programme at the state level.

9. *Convergence:* Convergence is another major strategy of NRLP. A separate fund has been dedicated for this purpose. The objective of the convergence fund was to provide an impetus to convergent planning and to demonstrate sustained mechanisms for mainstreaming results-based convergence as envisaged under “Mission Antyodaya”. The MoRD has approved nine sub-projects worth \$10 million under the Special Convergence Fund of NRLP. Collectively, these sub-projects plan to reach out to 628,000 in 39 districts/54 blocks and intend to mobilize more than USD 78 million from various other government programmes e.g. Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), Pradhan Mantri Awas Yojana (PMAY), Swachh Bharat Mission (SBM), National Social Assistance Programme (NSAP), etc. These funds are expected to promote increased access to health, nutrition, sanitation, wage labour and other social entitlements and services such as pensions, rural housing, and productive assets. States like Bihar, Jharkhand, Chhattisgarh and Maharashtra have done exceedingly well and each state has come up with their own priority programmes and convergence model. Furthermore, based on the experiences from the convergence blocks, the recently established National Nutrition Mission has issued a joint advisory to focus on Nutrition by MoRD, Ministry of Health (MoH) and Ministry of Women and Child Development (MWCD) aligned with the outcomes expected under “Mission Antyodaya” and “National Nutrition Mission”.

III. National Rural Livelihood Project: Social Strategies and Outcomes

10. Social inclusion and social development as a thematic subject has a key role in addressing multi-dimensional issues of poverty. NRLP implemented a range of social inclusion strategies, including participatory identification of the poor, state specific poverty assessments, promotion of inclusive community institutions and community cadre, priority targeting and mobilisation of SC/ST households as vulnerability reduction measures such as vulnerability reduction fund (VRF), health and food risk funds etc. During initial project period, social inclusion was focused on bringing all the poor and marginalized Households as part of social mobilization process during the village entry. During social mobilisation drive,

participatory identification of poor (PIP)² exercise was proposed to be conducted. PIP is an intensive process to identify the poorest of the poor households in a participatory manner by community and get it vetted by Gram Panchayat. DAY – NRLM has issued advisory on PIP Protocols and all the State Missions were trained on conducting PIP process. It was envisaged that all SHGs that exists would be federated into primary level federations of SHGs i.e. Village Organisations. As per cabinet instructions (2015), the Mission has decided to consider the households that are automatically included (1.65 million) under Socio Economic Caste Census (SECC 2011) and households with at least one deprivation criteria (86.9 million) and the households under PIP list, as the target households for DAY-NRLM. The total number of targeted households to be brought under the fold of the DAY-NRLM programme were 88.5million.

11. *Special project and pilots:* The Mission approved many special projects and pilots for State Missions under NRLP to build proof of concepts for bringing vulnerable and marginalized communities into programme fold and universalise the learnings. The major pilot projects for inclusion vulnerable were: Inclusion of victims of Human Trafficking, Persons engaged in un-hygienic occupations, Persons with Disabilities (PwD), Lepcha in Darjeeling, West Bengal and PVTG communities in Attappadi, Kerala

12. *Inclusion of Persons with Disability:* To ensure greater inclusion of persons with disability into the programme, the State Missions have adopted participatory vulnerability assessment as an entry point activity and identified the households having disabled persons. The social mobilization process lays great stress on including members of disabled abled households into the SHG fold. Priority was given to promotion of exclusive SHGs of differently abled persons and their care givers. Organizing PWDs into groups has led to increased awareness and access to their rights and entitlements. DAY-NRLM has provided financial support in the form of Revolving Fund (RF) and Community Investment Fund (CIF) to these SHGs on a priority basis. It also provided 50% more fund to the SHGs of PwD as CIF.

13. *Inclusion of Minorities:* DAY-NRLM has the mandate to ensure adequate coverage of women from the minority groups. The Mission is required to ensure that 15% of the total women members mobilized and supported are from the minority communities. Accordingly, state-wise targets for coverage of minority members have been communicated to the states by DAY-NRLM Division.

14. *Lepcha Inclusion Project (Kingchoom Darmit Rural Livelihood Mission):* Lepchas are indigenous tribal community residing in the mountainous terrain in Kalimpong and Darjeeling district, West Bengal. Despite being acknowledged as the original inhabitants of the region, Lepcha community is one of the most marginalized community in terms of access to government and social systems, basic infrastructure etc. This marginalization has had a cascading effect on the generations of Lepchas culminating into low education, malnutrition, ill health, decline in livelihood base and loss of culture and language among the community members. The overall aim of the project was to build an institutional structure with vibrant, sustainable Lepcha women SHG based federation in line with traditional structure of the Lepcha community. About 790 Deptong (SHGs) have been formed with 7,527 Lepcha women and these SHGs are federated into 295 Kyongs (Village level Organisation), 30 Thooms (Cluster level Federation) and 1 Poom named as Mayel Lyang Deptong Mahila SHG Cooperative Society Ltd (central level federation) which is registered under Cooperative Societies Act.

15. *Attappadi Comprehensive Tribal and PVTG development special Project:* In the backdrop of the high rate of infant mortality among tribal communities in Kerala, the Ministry of Rural Development approved Attapady Comprehensive Tribal and PVTG development special project. The project was approved in 2014-2015 with an overall allocation of Rs.52.12 crore for seven years. The project was designed in two phases, the first phase was from April 2014 to March 2018 with a total allocation of Rs.30.19 crores. The project mobilized nearly 7,500 families of Irula, Muduga and Kurumba families and form four tier institutional platforms for creating self-sustaining community institutions of their own. This special project was designed to develop prototype for DAY-NRLM to work with tribal communities in Kerala and across the country.

² The PIP process to identify the poorest of the poor in a participatory method, has been quite successful in World Bank supported PVP, Tamil Nadu project.

16. **Social Development:** The convergence strategy adopted in DAY-NRLM has provided access to rights, entitlements and services of different government schemes and programme, to members of SHGs. Sectoral areas like food, nutrition, health, sanitation, WASH, education, local governance, social security, etc. were covered under this strategy.

17. *Food, Nutrition, Health and WASH (FNHW):* To ensure a reduction in expenditure on medical care, increase in economic productivity and to improve the quality of life of rural women and their families, DAY-NRLM considered Food, Nutrition, Health and WASH (water, sanitation and hygiene) (FNHW) interventions as universal interventions and promoted them in the mission upfront. The Mission has initiated necessary and appropriate health and nutrition interventions amongst women's self-help groups and their federations. These interventions, primarily focused on demand generation for services and converge with the activities of National Health Mission (NHM), Integrated Child Development Services (ICDS) and Swachh Bharat Mission (SBM). There was also a component of behaviour change around the issues of maternal and young child feeding and hygiene practices. During financial year-2017-18, an advisory on *Dashasutri* was issued to all States, according to which, in every meeting of a Self-Help Group and its Federations, issues relating to health and nutrition were to be discussed. A Master Circular on FNHW was also issued to all States, outlining the interventions and suggested modes of implementation. The major outcomes of FNHW are: 1. Covered more than 600 blocks in 13 NRLP States 2. Focused on Mother and Child Health and Nutrition issues 3. Initiated interventions related to health and nutrition needs of the elderly and the disabled persons and non-communicable diseases by Tamil Nadu and Kerala, 4. Developed a pool of 23 National Resource Persons (NRP) and 50 State Resource Persons (SRP) for providing technical support to SRLMs, 5. Developed capacity building modules for staff and community.

18. *SWABHIMAAN: SWABHIMAAN*, a project was being implemented in five tribal blocks of three states, namely Chhattisgarh, Odisha and Bihar in collaboration with UNICEF. This project aims to address maternal under-nutrition by strengthening systems to prevent and manage maternal nutrition over a period of three years. The project has completed the baseline study and commenced field level implementation in all the project villages, where Poshan Micro Plans were developed and acted upon by Poshan Sakhis.

19. *Water, Sanitation and Hygiene (WASH):* Thus far, significant work has been initiated by women's groups in the states of Bihar, Gujarat, Jharkhand, Madhya Pradesh, Rajasthan, Maharashtra, Tamil Nadu and Uttar Pradesh to promote the usage of toilets. A special project was launched during the year to promote Solid Waste Management in 638 villages of 6 States – Bihar, Chhattisgarh, Gujarat, Madhya Pradesh, Uttar Pradesh and West Bengal. The Tamil Nadu State Model was studied, since there, women's SHGs are leading the work in 12,000 villages; however, local adaptations have been made. All the projects are in local partnership with Swachh Bharat Mission and MGNREGS. To study and document models on how to converge with the National Health Mission, the ICDS and the Swachh Bharat Mission, a special convergence project was rolled out in 37 districts and 51 blocks of 9 states. The Ministry has supported the State Missions to take up pilot projects on PRI-CBO convergence with the following objectives:

- Empower the poor to know, demand and access rights and entitlements
- Include poor and vulnerable sections in local development process, and
- Make Gram Panchayats responsive and accountable by making them inclusive and increase participation in the Gram Sabha and working of Panchayat.

20. *PRI - CBO Convergence Pilot Projects:* DAY-NRLM promoted partnership and convergence between PRIs and Community Based Organizations (CBOs) so that each of the institutions may leverage the strengths of the other. DAY-NRLM has taken up the following activities to mainstream convergence in general and Panchayat-SHG convergence. Promoting convergence through building capacities of community institutions/CBOs to effectively coordinate with PRIs, Block and district level line departments for accessing public services and social security benefits and schemes have been taken up.

21. The convergence strategy includes equipping SHG members and leaders for convergence with PRIs and building their capacities for this purpose. The State Rural Livelihoods Mission of Kerala (Kudumbashree) has been designated as the National Resource Organization to provide support to other

SRLMs on PRI-CBO convergence. PRI - CBO convergence pilot projects covers 12,497 SHGs in 598 Gram Panchayats in 67 blocks of eight states (Assam, Jharkhand, Karnataka, Maharashtra, Odisha, Rajasthan, Tripura and Chhattisgarh).

22. *Special Funds for Convergence under National Rural Livelihood Project:* DAY-NRLM has approved special convergence fund for 9 states to converge various programme and schemes such as SBM, NSAP, DDUGKY, Health-Nutrition and WASH, MGNREGS, Agriculture, ICDS and Gram Panchayat Development Plan under PRI. The key objectives include - fast tracking the process of convergent action resulting in increased demand generation and supply management with specific focus on:

- a. Promote convergent action to help deprived families to come-out of deprivation (poverty) as per SECC data and as identified by the GP and NRLM CBOs;
- b. Evolve scalable approaches and strategies for promoting convergence across NRLP/NRLM Blocks.

23. *Staff and community resource persons for social inclusion and social development:* At SMMU level, all SRLMs has deployed SMP/PM level professionals as staff for anchoring the social inclusion, social development and convergence thematic areas. At district level this thematic subject has taken care by either dedicated staff or a staff in-charge from other verticals. At community level, there are more than 16,000 CRPs viz., Yojana Sakhis, Setu Didis, Gender point Persons, Swastya Sakhis who deal exclusively on social inclusion or social development or convergence or Nutrition, health and sanitation agenda with community.

24. **Gender:** Gender was mainstreamed in DAY-NRLM framework, systems, institutions and processes to achieve sustainable social, economic and political goals that have direct/indirect impact on the Quality of Life Indicators of the community. DAY-NRLM has adopted special mobilisation efforts for reaching women in exploitative situations/ occupations (like single women, divorced, separated, survivors of violence, trafficked women, transgender, Devdasis, HIV+ve women etc.) in particular. A Gender Operational strategy was developed at national level which encompasses strategy, key action areas, institutional mechanisms and outcome indicators. Based on this, states have been advised to prepare their operational strategies. Four states of Jharkhand, Chhattisgarh, Madhya Pradesh and Nagaland have come forward with their operational strategies. The following activities were undertaken:

- a. Developed protocol, manual and training on gender mainstreaming and disseminated to the states.
- b. Empanelled and trained 5 National Resource persons on integration of gender within NRLM.
- c. 77 State Resource persons were selected, trained and deployed. 1,127 District Resource persons, Block Resource Persons and community resource persons in 12 states were trained on gender intervention.
- d. Developed Gender Training Manual and modules and published by NIRD and same is utilizing for training.
- e. Established Anti Sexual Harassment Committee at workplace at state and district level in all SRLMs. Similarly, Grievance Redressal Mechanism also established in all districts and states offices.

IV. National Rural Economic Transformation Project

25. **Project Development Objective (PDO).** The PDO for NRETP is the same as NRLP: *to establish efficient and effective institutional platforms of the rural poor that enable them to increase household income through sustainable livelihood enhancements and improved access to financial and selected public services.*

26. **Project Coverage:** While the original 13 states will continue to be part of the project implementation, around 100 districts within these states will be identified for project support under NRETP. NRETP will build on the social, financial and human capital created in the existing NRLP villages. These will be identified from districts with the highest levels of social mobilization and financial

capitalization from NRLM as well as commercial banks. These districts also will be selected based on the potential to scale up the new economic initiatives. Additionally, NRETP interventions will also attempt to overlap Mission Antyodaya clusters, as much as feasible.

27. Revised Project Components: NRETP will finance the costs of scaling-up and expanding the scope of the ongoing project interventions. A detailed description of the updated project components is outlined below:

28. Component 1: Institutional and Human Capacity Development: This component will continue to finance technical assistance consultancies, human resources, training and development of training material/approaches. Financing under this component will endeavour to place skilled professionals to work with NRLM at the national, state and district levels. As mentioned in the section on rationale, the TA will be focused on helping the National and State teams transition to a new phase of the NRLM that involves greater focus on economic initiatives such as high value agriculture and value chain development, enterprise and skills development. The implementation of these new economic activities would require both retention and some new recruitment of professionals with business management expertise and client systems tailored to implement a market-based approach. Also, given that experiences from these initiatives are relatively nascent, the additional financing support will emphasize sourcing of technical support from agencies (Public, Private and NGOs) with the requisite technical expertise in rural enterprise development. National, regional and international experiences and skills may be sourced for this objective. State to state learning would also be funded under this component. In addition, a new sub component focused on providing technical assistance for Mission Antyodaya will be introduced. Based on the implementation experience of the ongoing project, the AF will expand support for mainstreaming of environmental and social sustainability of investments made on livelihoods. New training modules on specific aspects of resource efficiency and minimization of adverse impacts will be developed for use in training. In summary, this sub component will finance: i) Technical assistance for Mission Antyodaya at the national, state and district level; and ii) Investments in 13 NRLP states and nearly 100 districts in those 13 states.

29. Component 2. State Livelihood Support: The activities to be financed under Sub component 1 (State Rural Livelihoods Support) will remain the same, with a focus on the 100 districts that will be selected for project coverage. Under sub component 2 (Institution Building and Capacity Building) – most of the financing will be towards the mobilization of producer groups and producer organizations. Under sub component 3 (community investment support)- focus would be on financing community organizations mainly towards enterprise and skill development. The quantum of financing under sub component 4 (Special Programmes) will be significantly scaled up and with the objective of expanding initiatives that were introduced under this sub-component during the project restructuring of January 2016. Specifically, as elaborated below, component 2 will a) finance economic activities such as value chain development for farm and non-farm production; b) enterprise development and c) facilitation of higher order financing for producer organizations and skills development.

30. Component 3. Innovation and Partnership Support: There is no change in the activities to be financed under this component. The component will continue to finance pilot initiatives and technical assistance consultancies that support innovative livelihoods activities in agriculture, livestock, youth employment, among others, for rural poor households.

31. Component 4. Project Implementation Support: There is no change in the activities to be financed under this component. This component will continue to strengthen the National Mission Management Unit for effective project management at the national level, finance the Monitoring and Evaluation activities and ICT initiatives.

V. NRETP: Summary of Key Social Issues & Priorities

32. NRETP will be intensifying technical, financial and operational support for high value agriculture and rural value chains, agribusiness skill development, rural enterprises, promotion of producer

organizations, innovative livelihood approaches, digital financial inclusion as well as productive infrastructure for post-production processes and value addition. These interventions present opportunities to accelerate social and economic advancement of beneficiary communities in the targeted 100 districts, as well as challenges related to social inclusion, gender, citizens' engagement, benefit sharing as well as mitigating and managing any adverse impacts coming from small scale that is proposed under the project. In this regard the key social issues and priorities for NRETP are summarised below.

33. *Supporting continued implementation of core social inclusion strategies* of excluded, ultra-poor and vulnerable households through the participatory identification of poor process, inclusion of ultra-poor and most vulnerable households identified under SECC, access to entitlements and services supported under convergence, supporting SC/ST households under NREGS etc.

34. *Promoting Inclusion in Economic Clusters and Skills:* The issue of inclusion and benefit sharing is of special importance in the light of NRETP focus on establishing rural value chains and economic clusters, supporting producer organisations, financing productive infrastructure, strengthening value chains and setting up of rural enterprises. In the context vulnerable and marginalised people with very little productive assets may get excluded and benefits could be cornered by the members who are relatively better off resulting in "elite capture". Thus, specific strategies should be laid down which will ensure inclusion of marginalised communities like landless, PTVs, women headed households, widows, PwDs, HIV Positive and others. Similarly identifying issues of skill training and placement of marginalised people is extremely important given that the issue of drop out during training and after placement are very crucial

35. *Ensuring women-focused strategies in rural value chain and skills, enterprise interventions.* Though NRETP will focus only on women as direct beneficiaries, the gender dimensions of women economic empowerment in POs, value chains and skill training is extremely important. It is generally seen that in value chains like diary women have been doing worm which are at the bottom of the value chain similarly normally excluded when technology is introduced in farm and non-farm enterprises to increase productivity. There are also instances where women are gradually side lined when the PO starts earning profit and men take over these positions. Similarly, in skill training women are given training in skills which perpetuate their gender roles which in Indian society means being at home. Hence any occupation that requires long hours of working outside home is not encouraged. As a result, skill training is given in trades like dress making, beautician and others which give them an opportunity to work from home in their own enterprise. This lack of training of market relevant trades for girls' results in their high drop outs.

36. *Ensuring sociocultural compatibility and broad community support in Tribal Areas.* The World Bank's Operational Policy on Indigenous Peoples (IPs) or Schedule Tribes (STs) is applicable as large number of NRETP areas have significant tribal population, and tribal population will be significant project beneficiaries in majority of the project clusters. A Tribal Development Framework (TDF) has been prepared that will be implemented in NRETP clusters. In areas where IPs are the majority, the project's Tribal Development Framework will apply. In project locations where IPs comprise a minority, a specific Tribal Development Plan will be prepared to identify issues and means to ensure tribal participation and equal access to project benefits.

37. *Mitigating any adverse impacts from productive infrastructure.* In the functioning of Economic Clusters and POs there may be a need of creating a small infrastructure which at community level like common facility centres (CFCs), sorting and grading centres, custom hiring centres (CHC), training centres etc. All these would require require small parcels of land. Since no land will be acquired by the project, land required for these centres would be voluntary donations made by individuals or PRIs. The World Bank's operational policy on involuntary resettlement (OP 4.12) is not applicable as NRETP does not involve any involuntary land acquisition. Any subprojects and investments requiring compulsory acquisition of land are included in the negative list. The Social Management Framework (SMF) clarifies that any land required by the producer groups/organizations for small scale, community level infrastructure will be accessed through voluntary donation or direct purchase from private individuals, or MOU or resolution, and will be supported by adequate documentation and due procedure. All community infrastructure and PO business plans under the project would be screened for identification of any adverse social impacts related to land, livelihoods

or labour influx, and suitable community managed mitigation plans will be prepared and implemented, as applicable.

38. *TA to Mission Antyodaya:* Mission Antyodaya has been recently launched by the Government of India which is an accountability and convergence framework transforming lives and livelihoods of people in rural areas. Mission Antyodaya's thrusts on intensive participatory Planning. Beneficiaries include households identified under SECC and try and assess their coverage under National and State Social Assistance Programme like pensions etc., in economic activities like SHGs under NRLM and MGNREGS, DDU-GKY and other infrastructure schemes like Pradhan Mantri Awas Yojana, Pradhan Mantri Sadak Yojana, Swachh Bharat Mission etc. The Scheme would work through the PRIs and SHGs

39. *Benefit Sharing:* Economic activities specially focusing on Producer Organisations and Value Chains tend to exclude people who have very little or less resources like landless, marginalized farmers, tribals, women etc. Increased investments in high value agriculture, enterprises, productive infrastructure and financing of producer collectives may need more explicit criteria for inclusive beneficiary targeting and benefit sharing as well as social safeguard screening to minimize elite capture and social exclusion

40. *Grievance Redress:* The issue of grievances at the community level needs special attention in POs and Producer Companies as disputes may arise within the organization during operations. Thus, specific grievance redress mechanisms must be developed keeping in mind the issues that might crop up.

41. The overall risk rating for the project is Moderate. Any risks in terms of scaling them up after two years of implementation will be mitigated by continued support of technical agencies and private sector partners, including partners from the pilot phase and by bringing in new private and technical partners. Implementation of new economic activities will require recruitment and retention of professionals with business management expertise and client systems tailored to implement a market-based approach. The risk will need to be mitigated by building capacities of existing Young Professionals within SRLMs and continued handholding of technical support agencies. Dedicated human resources and capacity building programmes on socially inclusive and gendered value chains/enterprises, social safeguard screening, risk mitigation and social sustainability will be needed to ensure satisfactory social performance and monitoring. Additionally, citizen engagement and grievance redressal systems to facilitate two-way communication will be strengthened between beneficiaries and implementing agency to mitigate risks further.

VI. NRETP: Key Social Strategies

42. To address and respond to the key social issues and priorities identified above, a Social Management Framework (SMF) for NRETP has been prepared. The SMF draws from the report on social assessment and social management framework for NRLP, as well as other NRLP/NRLM documents and manuals dealing with gender, social inclusion, vulnerability reduction, health and nutrition, convergence, and social development. The SMF applies to project interventions and investments that would be supported under NRETP, and comprises practical strategies and actions related to the following key thematic areas.

- i.) Beneficiary Targeting and Social Inclusion
- ii.) Gender and Women's Economic Empowerment
- iii.) Tribal Development Framework
- iv.) Social Impact Screening and Mitigation
- v.) Citizen's Engagement and Beneficiary Feedback
- vi.) Grievance Redress Mechanisms
- vii.) Managing and Mitigating Risks in Left Wing Extremism areas

43. The SMF also provides for institutional and staffing arrangements for SMF implementation in NMMU and SRLMs, Training and capacity building programme, monitoring and reporting arrangements, partnerships with technical resource agencies and knowledge activities.

44. **Beneficiary Targeting and Social Inclusion:** Targeting and inclusion of socially excluded and economically marginalised households in project supported interventions, institutions and investments will continue to be a core operational strategy for NRETP. Lessons from mobilisation of SC, ST, Minority and other vulnerable households in SHGs, VOs, CLFs as well as Producer Groups and Producer Organisations under NRLP and MKSP will inform the beneficiary targeting and social inclusion strategies of NRETP. The social inclusion manual and protocols will also support the social inclusion agenda under the project. The key strategies on beneficiary targeting and social inclusion under JOHAR are:

- i.) Targeting of geographic clusters with higher presence of SC, ST and Minority households;
- ii.) Inclusion of women from scheduled castes (SC), Scheduled Tribe (ST) and minority households in i) membership and leadership of SHGs, VOs, CLFs, PGs and POs; b) technical trainings and individual demonstrations of improved technology; and c) in benefit sharing criteria/norms for productive infrastructure; and d) in criteria for financing of PGs and POs;
- iii.) Identification, Mobilisation and Inclusion of women from scheduled castes (SC), Scheduled Tribe (ST), minority and other vulnerable households as direct project beneficiaries of project interventions on rural value chains, livelihood clusters, enterprises, skills, financing and productive infrastructure;
- iv.) Promotion of wage, skilling, self-employment and agribusiness opportunities for landless, labor-dependent and vulnerable households (women headed, people with disability) under NRETP interventions on economic clusters, rural value chains, enterprises, skills and productive infrastructure; Selection, training and engagement of women, youth from landless, small and marginal, SC, ST households and hamlets in project villages as community resource persons;
- v.) Under Mission Antyodaya as well as the Institution Building component of NRETP, continued support will be provided to
 - i.) Coverage of excluded households into SHGs
 - ii.) Implementation of ultra-poor and vulnerability reduction programmes;
 - iii.) Improved targeting and tracking of vulnerable households under MORD programmes;
 - iv.) Training of Federations on organisation, funding and functioning of Gram Sabha, Mahila Sabha, Preparation of Gram Panchayat Development Plans, GP level coordination committee and participation in their institutional processes as well as convergence with other government schemes;

These strategies and actions will result in promoting inclusive producer collectives and benefit sharing norms under NRETP. Project will aim for 75% membership from among socially and economically backward communities and vulnerable people into producer groups and producer organisations. Training will be provided to NRETP implementing staff and partners on mainstreaming inclusion in rural value chains and livelihood clusters as well as PG&POs. Socially disaggregated data will be collected and tracked under various NRETP components.

45. **Gender and Women's Economic Empowerment.** The NRLP and NRLM are fundamentally aimed to address voice, agency and economic opportunities for rural women. NRLP/NRLM has mobilized more than 8.7 million women from poor rural households into 742,000 SHGs in 100 districts of 13 high poverty states. These SHGs have saved about US\$170 million from own savings, managed and revolved about US\$300 million, and have accessed institutional credit worth US\$ 650 million leveraged from banks. more than 2 million households are currently benefitting from technical services for enhancing agriculture and livestock productivity. Currently, seven States are using the livelihood funds to promote 12 producer organizations and support around 156,000 farmers with an overall budget of US\$24 million. More than 2 million households are currently benefitting from technical services for enhancing agriculture and livestock productivity. Currently, seven States are using the livelihood funds to promote 12 producer organizations and support around 156,000 farmers. More than 58% of these 8.7 million women members come from Scheduled Castes, Scheduled Tribes or Minority households. The programme has trained and mobilized nearly 500,000 community professionals and community resource persons, with significant proportion of

women leaders. Nearly 500 Business Correspondents (BCs), all of whom are women, have been trained and are providing last mile digital financial services to 55,000 SHG households. These achievements make NRLP/NRLM among the largest social, financial and economic empowerment programme for women across India, and the world.

46. Under NRETP, Women SHG members and rural producers will be the overwhelming beneficiaries of project interventions and investments. The NRETP will significantly advance the gender mainstreaming and women's economic empowerment agenda through strategies/specific interventions on women led producer collectives and enterprises, SSVEP and upgrading of skills in selected self-employment occupations for women SHG members and youth. Interventions on digital payments, financial inclusion/literacy, BC and enterprise financing will lead to significant financial empowerment of rural women. Support to Mission Antyodaya will strengthen women's advocacy and agency in delivery of social safety nets and entitlement services for the rural poor. Nutrition sensitive agriculture and interventions on food handling and hygiene will benefit women and household health. The results framework will continue to track and report on gender, inclusion, citizens engagement and women's economic empowerment.

47. **Strategy.** The main strategy on women's economic empowerment will comprise the following interventions.

- i.) Leadership and decision-making authority of women in producer organisations and rural enterprises, along with participation and sensitization of men;
- ii.) Training, Leadership and decision-making authority of women in managing productive infrastructure and community assets related to custom hiring centres, processing and storage centres and other community assets;
- iii.) Training of Women led producer organisations and rural enterprises and community/livelihood resource persons in agribusiness, post production processing and accessing markets; NRETP will support promotion of women friendly mechanization and drudgery reduction technology in both farm and non-farm sectors.
- iv.) Support to women entrepreneurs for expanding agribusiness and upgrading their skills to access better wage opportunities;
- v.) Selected SRLMs and NRETP clusters would be supported to develop state specific gender programmes, including mainstreaming of gender and women's social empowerment programmes in CLFs and VOs through training of social action committees, mobilisation of gender focused CRPs (*samba sakhi*, active women), creation of special fund to support vulnerable women, provision of legal and medical aid to women affected by gender based violence or trafficking, establishment of gender justice centres, and mobilisation of adolescent boys and girls and training on health and life skills. CRPs, Active women and social action committees will be trained on better targeting and inclusion of vulnerable women and women headed household under Mission Antyodaya.

48. SRLMs and NMMU will develop a resource pool to help in mainstreaming of women's economic empowerment (WEE) interventions under NRETP. NRETP staff, community leaders of VO, CLF and POs will be provided training on gender and social inclusion strategies under NRETP, especially in the context of rural value chains and enterprises. Partnerships with technical support agencies (TSAs), national resource organisations (NROs), NGOs, and research and academic institutions will be explored for capacity building and thematic work.

49. **Tribal Development Framework.** Many NRETP states and districts have significant tribal and SC populations, particularly Madhya Pradesh, Orissa, Jharkhand and Chhattisgarh. Many project districts and blocks fall under the Schedule V or VI areas (constitutionally designated tribal areas with special

developmental and administrative provisions). These States with higher levels of SC and tribal populations are lower in human development attainments and higher rural poverty. The SC and ST households show higher levels of illiteracy, and lower access to health care and other social services, when compared with non-SC/ST groups. States with higher percentage of SC and ST population are also lower in the HDI scale. Women from SC and ST households are doubly deprived, and have worse health and education attainments compared to men. As scheduled tribes (STs) are among the poorest groups, and tribal states and districts among the poorest regions in the country, both tribal areas and people would be targeted for special efforts.

50. Following the above, the World Bank's operational policy on Indigenous Peoples (OP4.10) and the Social Management Framework of NRLP, will continue to apply to NRETP. The key social safeguard issues for NRETP are ensuring i) informed consultations and information sharing with tribal communities and their formal and informal institutions ii) broad community support from gram Sabha, VOs and CLFs for NRETP interventions; iii) compatibility of NRETP interventions and field processes with the social and cultural context and sensibilities in tribal communities, throughout project implementation. The Tribal Development Framework (TDF) for NRETP sets out the project approach and actions to ensure active tribal participation and broad community support under all project components has been prepared. The overall objective of the TDF is to enable and facilitate inclusion of tribal communities in the project to achieve the best possible outcomes of the project for the tribal groups in terms of their mobilization and empowerment, institutions, capacities, and quality of life. NRETP includes targeting of tribal districts and blocks through the project clusters on Non-Timber Forest Products (NTFP) that are the domain of tribal populations. Under TDF, the guiding strategy for NRETP will be based on the following actions.

- i) *Screening and identification of tribal communities in NRETP project clusters.* The participatory assessments, socioeconomic profiles, investments/implementation plans for livelihood clusters, rural value chains, producer organisations, rural enterprises and other innovative partnerships would include basic socioeconomic data of tribal and SC households in the project area. This would be used to screen and confirm the presence of ST households in the project area (or their collective attachment to the project area). The minimum criteria would be documentation of ST households in the entered villages. These would be done by the PFT teams through CRPs.
- ii) *Holding free, prior and informed consultations.* Meaningful consultations with tribal stakeholders on key project aspects will be a core and continuous part of the NRETP intervention cycle. Project Staff and community cadre will organise these consultations with formal and informal tribal leaders and related officials from community organisations, Gram Sabha, NGOs, government departments, and other research agencies. Such consultations will inform the intervention and investment plans for livelihood clusters, rural value chains, rural enterprises and skill development. The findings of the consultations will be documented in the plans and reports for NRETP investments.
- iii) *Broad community support.* The livelihood and cluster development plans will document the stakeholder consultations and presence/absence of broad community support among project beneficiaries, especially the tribal community groups. References will also be documented to any minutes of the meetings, resolutions, MOUs, attendance, especially with VO/CLF.
- iv) *Tribal Development Plans (TDPs).* Area specific, TDPs will be prepared and integrated with the livelihood cluster and rural value chain plans, especially in those project clusters where tribal households are in minority and/or facing specific constraints to access project benefits. Such TDPs would be included as short, actionable plans within the broader livelihood or cluster development plan. Most of the actions are expected to be identified based on stakeholder consultations that would be part of the village entry approach of NRETP. When required, more detailed TDPs would be prepared covering the following sections: area cluster description, consultations and feedback, socioeconomic baseline, specific adverse impacts and benefits, livelihood strategies, mitigation measures and their implementation arrangements.
- v) *Inclusion of Tribal Beneficiaries and Leaders.* Participation of tribal populations in Farmer Groups, Producer

Groups, Water User Groups, Engagement of local tribal women and men as CSPs as well as for facilitating consultations, data collection, and farmer mobilization.

- vi) *Technical Assistance* for operationalisation of MORD-TRIFED partnership on establishment of storage and value addition centres, organisation of tribal people in self-help groups on NTFPs, Technical Assistance to Mission Antyodaya in delivery of key programmes of MORD in tribal clusters;
- vii) *Special Interventions for Tribal Areas*. Under NRETP, MORD and SRLMs will continue to support a range of development programmes and interventions in tribal clusters, such as:
 - a. Targeted provision of Vulnerability Reduction fund (VRF), Health Risk Fund (HRF), Food Security Fund (FSF) in most backward tribal with significant concentration of households identified under the socioeconomic caste census (SECC);
 - b. Convergence with MGNREGS for tribal and SC households, as well as with schemes of irrigation, horticulture, livestock, agriculture, tribal department;
 - c. Convergence with schemes and budgets of Tribal Sub Plans of NRETP states, including specific interventions for particularly vulnerable tribal groups;
 - d. Promotion of community-managed interventions on food security, nutrition and WASH (water, sanitation and hygiene)
 - e. Programmes on land rights, forest rights and rights to minor forest produce;
 - f. Scaling up of ongoing programmes and interventions such as those in Attapady in Kerala and PRI-CBO convergence in many SRLMs;

51. NRETP will enter into special partnerships for tribal areas with external resource agencies for capacity building and implementation support. The social development staff in SRLMS will be trained in socially- and culturally-sensitive ways of working with tribal people.

52. **Social Impact Screening and Mitigation.** Like the ongoing NRLP, the NRETP does not involve any compulsory land acquisition or physical or economic displacement of project affected persons. Hence, World Bank's operational policy on involuntary resettlement (OP 4.12) does not apply to NRETP, as well. However, NRETP does involve investments in livelihood clusters, rural value chains/enterprises as well as small scale, community managed, infrastructure such as grading/sorting centres, citizen service and facilitation centres, processing infrastructure, custom hiring centres (CHCs), training and resource centres etc. While none of these are likely to involve any compulsory acquisition of privately owned lands by the government, these infrastructures would involve leasing, transfer, purchase or donation of small parcels of land/building from private citizens, village panchayats, government departments, NGOs or other agencies. In order to ensure that such transfers of land/building do not cause any adverse social and/or economic impacts, especially on marginalised, weaker population groups which are vulnerable to coercion and involuntary transactions, all such subprojects will be subject to social impact screening, and mitigation planning when needed. Screening will also identify any occupational health, community safety and labour influx and related issues associated with these small infrastructure investments. The social impact screening and mitigation strategy comprises the following aspects.

- i) No compulsory acquisition of private land is allowed under NRETP. Such investments and subprojects have been included in the negative list (Annexure 2).
- ii) For such infrastructure investments, priority would be given to utilising land/building without any encumbrances and livelihood dependencies.
- iii) All investments requiring land/building for community level infrastructure would be subjected to social impact screening and mitigation planning (when required). Livelihoods CRPs will be trained to use the impact screening checklist. Wherever small-scale impacts are identified the communities will be supported to prepared mitigation action plans.
- iv) All investments requiring land/building for community level infrastructure would need to be supported by adequate due diligence by the community institutions as well as proper documentation in the form of voluntary donation document, purchase deed, memorandum of understanding, panchayat resolution, or government transfer order. All such transactions and documentations would need to be

signed off by the community institutions. In the case of voluntary donation and direct purchase, the documentation should be able to support the voluntariness and non-coercive nature of the transaction, and include provisions to prevent elite capture and beneficiary exclusion.

- v) PO business plans under NRETP would also be screened for identification of any adverse social impacts related to land, livelihoods or labour influx, and suitable community managed mitigation plans will be prepared and implemented, as applicable.
- vi) The larger social and rural enterprise projects and pilots will also be subject to social impact screening on a case by case basis.

53. Adequate measures will also be taken to safeguard the health and safety of producers particularly regarding safe use of pest control measures through trainings and use of protective equipment. NRETP will support voluntary and paid local labour in community-managed infrastructure activities including agro-processing centres, custom hiring centres, common service centres, and irrigation structures. For select projects, social impact screening would also include labour influx and labour welfare issues, and suitable action plans would be prepared.

54. **Citizen's Engagement & Beneficiary Feedback.** NRLP has enabled women led community institutions such as village organizations, cluster level federations and producer collectives to participate in and benefit from a range of social, financial and economic empowerment interventions and investments. These institutions participate in community driven, participatory planning to prepare plans related to microcredit, livelihood investments, food and nutrition requirements, as well as for agribusiness and productive assets. Communities across the country have participated in participatory exercises for gram panchayat development planning and MGNREGA convergence. At the block and cluster panchayat level there is joint monitoring by the community organizations and project staff and course correction as needed.

55. Under NRETP, SRLMs will strengthen and leverage these citizen-centric approaches that are being supported under the ongoing NRLP, and customise them for NRETP using multiple mechanisms such as social audits, performance reporting/grading, community scorecards etc. Participatory planning for livelihoods and economic cluster plans, business planning for producer led organizations and strengthening plan of existing community federations would be important areas for CE. SRLMs would develop and institutionalize the beneficiary feedback and citizen's engagement systems and mechanisms to ensure adequate transparency. Feedback mechanism from the members to their member owned institutions would be institutionalized, by having a feedback register at different levels. NRETP will also support interventions that strengthen community monitoring and auditing of access to entitlements and social services. The Citizen's Engagement (CE) strategy under NRETP will include the following interventions.

Strategy the Consultation and participation strategy comprises the following key interventions:

- i) Consultations and Social Outreach with primary beneficiaries of the project, including vulnerable groups such as small and marginal farmers, women farmers, tribal farmers, and local NGOs, PRI representatives, and any other vulnerable groups.
- ii) Consultations and Participatory planning will be undertaken for livelihoods and economic cluster plans, business planning for producer led organizations and strengthening plan of existing community federations.
- iii) Communication material on key project information, information and grievance channels will be displayed in CLFs and Producer Collectives using multiple display formats;
- iv) CLFs and POs will be sensitised on Citizen's Charters, Service Standards and Right to Information (RTI);
- v) Community capacity on understanding Audited reports, performance grading and financial management would be strengthened, and information on these reports would be shared;
- vi) CLFs and POs will be engaged in participatory planning for livelihood cluster development and business plans and village development plans under Mission Antyodaya

56. A community audit programme will be implemented to promote accountability, transparency and legal compliances among VOs, CLFs and POs. These institutions will be supported with a cadre of social

auditors for planning and monitoring of government schemes and services through enhanced participation in decision making spaces of Gram Sabha etc.

57. **Grievance Redress Mechanism.** Under the ongoing NRLP, a range of grievance redress mechanisms (GRM) are being used with varying intensity, including telephone hotlines, Chief Minister's Helplines, public hearings, wall paintings, helplines for MGNREGA (Mahatma Gandhi National Rural Employment Guarantee Act), citizen's charters, right to information as well as public platforms provided by the Panchayati raj institutions (PRIs) at gram panchayat (GP), block and District levels etc. These feedback as well as GRM will be leveraged and adapted for NRETP. Grievances related to delivery of project benefits will be recorded and resolved through engagement of thematic committees of the VO, CLFs and PO. Members of the Social Action Committee, Social Mobilisers and Livelihood Resource Persons will play important roles in registration, tracking and resolution of community level grievances, with guidance and support from the cluster/block teams. Resolution of Grievances is also a result indicator that measures the transparency and accountability mechanisms established by the project.

Strategy

- Guidance will be issued to SRLMs to leverage, strengthen and/or operationalise GRM for NRETP, outlining the roles and responsibilities across the grievance resolution hierarchy;
- GRM will be established in VOs, CLFs and Producer Organisations through training and mobilisation of the Social Action Committees and Community Cadre; as well as project staff;
- Information, Education and Communication (IEC) materials will be prepared and disseminated for raising beneficiary awareness on GRM;
- GRM related indicators will be included in the MIS;

The community level GRM will include:

- a) information sharing and communication with office bearers and management committees of VOs, CLFs and POs on who should be contacted for grievances, what the process for registering grievance is, what the service standards are for resolutions etc;
- b) Registration of grievances, and maintenance of records related to grievances;
- c) Tracking of grievance registration and resolution through MIS;
- d) Monthly review of grievance CLFs and POs about grievances to prevent further grievances as well as to improve the redress system,

In the SRLMs, the State Programme Manager for Social Development or Institution Building (IB) will be responsible for monitor grievances in their assigned areas through CRPs, project staff and partners.

58. **Managing and Minimising Risks in Left Wing Extremism Areas.** NRETP will be implemented in many conflict affected areas of Chhattisgarh, Jharkhand, Bihar, Orissa and other States with officially designated, left-wing extremism (LWE) areas. These districts and blocks tend to have higher levels of rural poverty and economic backwardness, higher concentration of marginal groups such as STs and SCs, poor infrastructure and connectivity, as well as weaker public services and governance. These long-term deficiencies along with the LWE conflict situation has created a difficult, unpredictable context that could affect the mobility, safety and security of NRETP implementing staff and partners. While GOI is addressing the critical gaps in infrastructure, governance and delivery of social services through a range of special schemes and programme, the situation in LWE areas remains volatile and risky.

59. Many SRLMs, and especially their district and block teams as well as community cadre, have developed insights and coping strategies on working in such remote, LWE blocks and managing and mitigating risks to personal safety and security. This experience has come through implementation of the National Rural Livelihood Mission, Mahila Kisan Sashaktikaran Pariyojana (MKSP) and other projects. NRETP will leverage this experience and adopt the following strategy to minimize the risks in LWE areas.

Strategy

- i) Orientation and Sensitisation of Project Staff, Partners and community institutions/cadre on LWE context and basic practical approaches;
- ii) Entry level Consultations and Meetings with leaders of local Gram Sabha, VO/CLF, community cadre, frontline workers of government line departments, NGOs with local acceptability and credibility, community cadre and especially the *Mukhiya* and *Munda* of project villages;
- iii) Promote local youth and women from SC and ST households in leadership of community institutions and producer collectives;
- iv) Communication campaign, using local, folk as well as audio-visual media, highlighting the pro-poor, women focused, community driven, community managed aspect of NRETP interventions;
- v) Promote local youth in rural enterprises, especially on agribusiness, custom hiring centres, aggregation and logistics, skills building, livelihood cadres etc;
- vi) Assessment of subprojects involving private partners, especially regarding impact on and risk from the LWE context;
- vii) Supporting special interventions that promote Land Access, Forest Rights, Community Forests, NTFP value chains, MSP on NTFPs and storage and processing infrastructure;
- viii) Promote higher levels of transparency and information sharing in community, especially in planning investments and financial transactions;

VII. Training and Capacity Building

60. The SMF supports design, development and delivery of training modules, guidelines and practical resource books to build the social development capacity in NMMU, SRLMs and among the community institutions. NRETP will develop and deliver training programmes on the following themes, which are most relevant for successful implementation of the SMF.

- i.) Orientation Programme on NRETP Social Management Framework
- i.) Promoting Women's and Agency in NRETP interventions;
- ii.) Tribal Development Framework and Rural Value Chains
- iii.) Citizen Engagement, Participation & Grievance Redress Mechanisms;
- iv.) Social Impact Screening and Mitigation for Community Infrastructure;
- v.) Inclusive Producer Organisations and Rural Value Chains
- vi.) Sensitization on LWE context

61. Within States, establishment of resource centres, community learning academies, and capacities of SIRDs on social inclusion and community mobilization will be facilitated to support project staff, community professionals and trainers. NMMU and the state units will implement most of these activities through national and state level partners with suitably experienced training/technical resource agencies within the first two years of implementation. The knowledge management and communication unit at NMMU will be provided SD inputs on information, education and communication (IEC) strategies and materials.

VIII. Monitoring and Reporting

62. The M and E framework of NRETP includes tracking and reporting on participation of women and SC/ST producers across project components, as well as indicators on Grievance Redress. The Social Staff would develop a comprehensive MIS module on the SMF implementation as well as key social outcome indicators under NRETP. This MIS will include i) gender and social inclusion indicators and outcomes under the project component; ii) implementation of social management and tribal development framework, with specific focus on participation and inclusion of the smallholder farmers, SC, ST, women farmers in different interventions, farmers mobilization, institutional processes,

training and capacity building interventions; iii) mitigation of social impacts from village infrastructure/commons supported under NRETP. NRETP will leverage state specific experience with Community Based Monitoring System (CBMS) under NRLP/NRLM. The Social Auditors training programme will report on monitoring of delivery of key social entitlement schemes in the project villages. Other indicators would be:

- a. Assessment of quality functioning of CLFs and PGs/POs and adherence to social, financial and institutional norms
- b. Feedback on key progress and performance indicators, community support system, identifying gaps, deficiencies in services and gauging level of community satisfaction.
- c. Learning and Knowledge events on best practices and success stories

63. The project would undertake special review of the SMF/TDF implementation twice during the project implementation period. The progress Report for NRETP will include a section on progress vis-à-vis the social indicators, as well as a narrative report on implementation of the SMF/TDF, good practices and their outcomes. In addition to the regular six-monthly monitoring reports, impact assessment studies will be undertaken by the M&E agency. These studies will evaluate project performance and progress towards achieving the project's development objectives. NMMU and SRLMs will also commission studies for documentation of good practices on specific themes of NRETP implementation in tribal areas. These studies will cover beneficiary and group and project implementation performance related to small holders, tribes, SCs etc.

IX. Implementation Arrangement

64. **National Mission Management Unit.** A two-member team lead by a senior professional will be placed with the specific objective of implementing strategies, interventions and activities included in the SMF of NRETP. Two Young Professional (YPs) from the reputed academic institutions will be placed to support the senior professionals in analysing the MIS data, coordinating studies and preparing reports. NMMU team will continuously share the analytic with states for taking mid-course corrections and altering/developing new strategies and interventions. A pool of 30 National Resource persons will be identified and attached to states (@ 2 persons per state) for providing technical, handholding and nurturing support. They also support the states in identifying the social issues, developing networks and entering MoUs with civil society organisations.

65. **State Rural Livelihood Mission.** All 13 SRLMs would appoint one senior professional (SPM-Gender, SI&SD), two junior professionals and one young professional specifically for implementing Gender, social inclusion and social development activities. Every SRLM will identify 10-15 State Resource persons from civil society organisations/research organisations for providing technical support. They would support SRLMs in developing Community Cadres and block resource persons. They would help SRLMs in developing Resource blocks or demonstration sites for proof of concepts.

66. **Block/Cluster level:** A dedicated professional would be placed in every economic cluster/block for implementing and monitoring the strategies, interventions and activities envisaged in the SMF. S/he would develop a team 4-6 CRPs/Community cadre for training all SHGs, VOs, CLFs, Social action committees and gender forums. The CRPs would visit VOs regular at least once in a month in the initial stages, train SHGs and VOs in placing gender, social development, social inclusion agenda in SHGs and VO meetings and taking up actions.

67. **Resource Persons and Experts:** A pool of resource persons at the national and state levels will be engaged to design and deliver the training and capacity building programme related to SMF themes.

X. Budget

68. The budget for implementing the SMF has been included in NRETP budget allocations for

Institution Building, Training and Capacity Building, Social Inclusion and Social Development, Innovations and Partnerships as well Technical Assistance. Budget for the SMF Implementation will be estimated annually based on SMF activities identified in the beginning of the year. The key budget categories required for SMF implementation are:

- i.) Human resources, including social development experts, young professionals, resource persons, and short-term consultants in NMMU and SRLMs;
- ii.) Design and roll out of training modules, training of trainers (TOT) programme, and scaling up;
- iii.) Workshops, Training Programme and Meetings on SMF Implementation and related Social Inclusion and Social Development themes;
- iv.) Development of information, education and communication as well as training material and publications;
- v.) Convergence with MGNREGS and other government schemes
- vi.) Partnerships with technical support, national resource and training agencies, including social enterprises to support special programmes for ultra-poor and vulnerable groups, access to entitlements/services, land and forest rights, gender justice, women's economic empowerment approaches
- vii.) Support for area specific interventions under tribal development plans and/or social mitigation plans;
- viii.) Thematic Studies & Reviews;

The year wise budgetary allocation for SMF activities would be included in the Annual Action Plan of the NMMU and the SRLMs.

Annexure

1. Summary of Key SMF Actions
2. Draft Social Impact Screening Checklist

Annex 1: Summary of Key SMF Actions

I. Crosscutting Actions by NMMU and SRLMs

1. Inclusion of key SMF Activities in Annual Action Plans of NMMU and SRLMs
2. Placement of Social Development Experts and YPs in NMMU and SRLMs, dedicated to implementation, monitoring and reporting of SMF;
3. Preparation of SMF Implementation guidelines, and integration with other project components and their field processes;
4. Orientation of NRETP Staff on Social Management Framework
5. Preparation of Training Modules on Key SMF Strategies;
6. Finalisation of SMF related indicators for the NRETP MIS;
7. Establishing Grievance Redress Mechanism at the national, state and cluster level;
8. Integration of key SMF Actions in templates for rural value chain/cluster plans and PO business plans;
9. Reporting on SMF Implementation, as part of NRETP Progress Reports
10. Thematic Reviews/Audits of SMF Implementation in Year 2 and Year 4.

II. Component Specific Actions:

to be developed in year 1 of project implementation

Annex 2 - Social Impact Screening and Mitigation Checklist

1. **Negative List.** The following subprojects would not be eligible under NRETP:
 - i.) Subprojects involving compulsory land acquisition, forcible eviction or Significant physical and/or economic displacement;
 - ii.) Subprojects involving involuntary restrictions on access to legally designated parks or protected areas
 - iii.) Subprojects which are incompatible with the society and culture of scheduled tribes and indigenous communities.
 - iv.) Subprojects that do not enjoy broad community support, especially in tribal areas;
 - v.) Subprojects causing adverse effects on sacred sites or other cultural and natural heritage;
 - vi.) Subprojects with the potential to create conflict, violence and inequalities between any groups including castes and tribes;
 - vii.) Subprojects with potential to adversely affect community health and safety;
 - viii.) Subprojects involving child or bonded or forced labour
 - ix.) Subprojects involving significant labour influx that could cause social conflict in project areas;
 - x.) Subprojects that undermining the rights and special provisions of vulnerable groups such as scheduled tribes, scheduled castes, religious minorities, people with disability, etc;

2. **Screening Checklist.** Eligible subprojects would be screened for potential adverse social impacts using a checklist and, where required, appropriate mitigation measures would be designed as part of the sub-project plan. The checklist will be used for screening in community infrastructure sub projects including custom hiring centres, common service centres, post-harvest management centres, water management structures and pilots, private sector infrastructure sub-projects and PO business plans.

Background Information

- i.) Short Description and Justification of the proposed activity
- ii.) Physical Location of the activity
- iii.) Name and designation of the focal point for the activity

Expected Benefits and Benefit Sharing Norms

- i.) List of main benefits to the local community
- ii.) Total number of beneficiary households
- iii.) Number of SC, ST, SMF and women beneficiaries
- iv.) Number of other minority beneficiaries, if any

Presence of Scheduled tribes

- i.) Are there scheduled tribes living within the sub-project area?
- ii.) Are scheduled tribe households among the beneficiaries of the subproject?

Land

- i.) Will the subproject require use of panchayat/ common land?
- ii.) Will the subproject require any private donation of land?
- iii.) Will the subproject use land that is currently occupied or regularly used for productive purposes (e.g. gardening, horticulture, farming, pasture, fishing locations, forests)?

Health, Safety and Child labour

- i.) Will the subproject interfere with the normal health and safety of the workers/employees?
- ii.) Will the subproject reduce employment opportunities for the surrounding communities?
- iii.) Will the sub-project reduce income for the local communities?

- iv.) Will the sub-project increase insecurity due to introduction of the project?
- v.) Will the project involve influx of labour which may result in social conflict?
- vi.) Will the subproject increase drudgery for women or increase their work load significantly?

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