

**GOVERNMENT OF NEPAL**

**MINISTRY OF FORESTS AND SOIL CONSERVATION**

**ADAPTATION FOR SMALLHOLDERS IN HILLY AREAS (ASHA) PROJECT**

**GRANTS MANUAL**

**GRANTS FOR IMPROVING CLIMATE RESILIENCE OF VULNERABLE SMALLHOLDERS FARMERS**

**DECEMBER 2016**

**First Revision**

**DECEMBER 2017**

**Contents**

[Foreword 3](#_Toc501271787)

[ABBREVIATIONS AND ACRONYMS 4](#_Toc501271788)

[1. OVERVIEW 5](#_Toc501271789)

[1.1. INTRODUCTION 5](#_Toc501271790)

[1.2. ASHA PROJECT GOALANDOBJECTIVE 5](#_Toc501271791)

[1.3. PROJECT COMPONENTS 5](#_Toc501271792)

[1.4. BENEFICIARIES AND STAKEHOLDERS 5](#_Toc501271793)

[2. GRANTS 5](#_Toc501271794)

[2.1. GRANTS BENEFICIARY 5](#_Toc501271795)

[2.2. GRANTS AMOUNT 6](#_Toc501271796)

[2.3. GRANTS APPLICATION/MOBILISATION PROCESS 6](#_Toc501271797)

[2.6. GRANTS FOR COMMUNITY INFRASTRUCTURE AND LAND MANAGEMENT FOR CLIMATE ADAPTATION 11](#_Toc501271798)

[2.6.1. ILLUSTRATIVE ACTIVITIES 12](#_Toc501271799)

[2.7. GRANTS FOR SMALLHOLDER CLIMATE ADAPTED PRODUCTION PROFITABLE: 20](#_Toc501271800)

[4.7.1. ILLUSTRATIVE ACTIVITIES 21](#_Toc501271801)

[3. GRANTS AGREEMENT 24](#_Toc501271802)

[4. GRANTS ADMINISTRATION 24](#_Toc501271803)

[4.1. POST AGREEMENT ORIENTATION 24](#_Toc501271804)

[4.2. SITE VISIT 25](#_Toc501271805)

[4.3. CASH DISBURSEMENT 25](#_Toc501271806)

[4.4 CONTACT TERMINATION 25](#_Toc501271807)

[4.5. MONITORING, REPORTING AND AUDITS 25](#_Toc501271808)

[4.6. RECORDS 26](#_Toc501271809)

[4.7. AMENDMENTS AND EXTENSION 26](#_Toc501271810)

[4.8. GRANTEE RESPONSIBILITIES 26](#_Toc501271811)

[4.9. CONFLICT OF INTEREST 26](#_Toc501271812)

[5. SUB-WATERSHED LEVEL INVESTMENT (INTER-LAPA INVESTMENT) 26](#_Toc501271813)

# Foreword

Climate change in terms of increased temperature patterns and increased variability in the timing and intensity of precipitation is already leading to differentiated sectorial impacts across Nepal. The impacts of climate change are more pronounced in the western region of Nepal; Karnali region. Managing the adverse differentiated sectorial impacts of climate change on livelihoods, agriculture, water, energy, forest ecosystem services and smallholder’s prosperity is a great challenge.

Responding to the need to address the impacts of climate change, the Government of Nepal (GoN) has been enabling the process of adaptation planning. In a bid to mainstream local adaptation needs into development planning, the National Adaptation Programme of Action (NAPA) and the Framework for Local Adaptation Plan for Action (LAPA) had been endorsed by the Government in 2010 and 2011 respectively. The NAPA states the intention of the Government to disburse at least 80 percent of the available budget directly for local level implementation of the adaptation actions. The NAPA, LAPA along with the Climate Change Policy, 2011 aims to ensure that local to national adaptation planning and its implementation with local communities, particularly the climate vulnerable people.

Following NAPA, Ministry of Forests and Soil Conservation has been implementing Adaptation for Smallholders in Hilly Areas (ASHA) Project to reduce rural poverty in hilly regions facing consequences of climate change with the financial support of International Fund for Agricultural Development (IFAD). Adopting GIS based sub-watershed approach for local adaptation planning, ASHA Project intends to impart grants to vulnerable smallholder farmers for prioritizes identified in LAPA to improve their climate resilience. To materialize this, ASHA Project has prepared this grants manual to provide guidance to project staff and stakeholder to facilitate grants application, award and management process.

I would like to thank all staff for imparting their support and inputs to prepare this grants manual. I would like to appreciate the contribution of all participants who were involved in different stages of manual preparation including IFAD, Rome team members Ms. A. Toure, Mr. Kaushal Shrestha and Mr. Nirajan Khadka. In addition, Mr. Bala Ram Kandel deserves thanks for his contribution while he was as a Project Coordinator during thepreparation phase of this document.

Let me take this opportunity to thank IFAD, High Value Agriculture Project (HVAP) Project, KisankoLagiUnnatBiu-Bijan Karyakram (KUBKProject) colleagues for their inputs to manual preparation. I would like to appreciate the efforts of Ms. ShilaGnyawali, Planning Officer, Mr. Prakash Basnet, Monitoring and Evaluation Officer,Mr. MadanJnavaly, FinancialManagement and Procurement Specialist , Mr. Deepak Chand, Forestry Specialist for coordinating the process and scripting this manual. Finally, I would like to thank, MsEngila Mishra, Climate Change Specialist, Mr. Amir Shrestha, Engineer and Mr. Khim Prasad Regmi, Agriculture Specialist, Ms. DraupadiSubedi, GESI Specialist, Mr. BirendraBahadur Chand, Planning Monitoring & Evaluation Specialist, Mr. Manir Ansari, DPCU Kalikot, Mr. MijanRegmi, DPCU Salyan, Mr. SherBahadurPariyar, DPCU Rukum, Mr. Kamal Acharya DPCU Dailekh, Mr. Bala Ram Poudel, DPCU Jajarkot and Mr. Narayan DevBhattarai, DPCU Rolpafor their valuable contribution in finalizing this document. Likewise, I am grateful to MR. Nav Raj Baral, Technical Team Leader, Mr Prakash Chandra Tara, Livestock Specialist of ASHA for his efforts in revision of this manual.

**PashupatiNathKoirala**

Project Coordinator

# ABBREVIATIONS AND ACRONYMS

AFEC Agriculture Forests and Environment Committee

ASHA Adaptation for Smallholders in Hilly Areas

AWP Annual Work Plan

CC Climate Change

CCA Climate Change Adaptation

DFSCC District Forest Sector Coordination Committee

DPC District Project Coordinator

DPCU District Project Coordination Unit

GESI Gender Equality and Social Inclusion

GoN Government of Nepal

HVAP High Value Agriculture Project

IFAD International Fund for Agricultural Development

KUBK Kisankolagi Unnat Biu-Bijan Karakorum

LAPA Local Adaptation Plan of Action

MoAD Ministry of Agriculture Development

MoPE Ministry of Population and Environment

MoFALD Ministry of Federal Affairs and Local Development

MoFSC Ministry of Forest and Soil Conservation

MoLS Ministry of Livestock Services

PCU Project Coordination

TSU Technical Support Unit

VDC Village Development Committee

# 1. OVERVIEW

# 1.1. INTRODUCTION

The government of Nepal, Ministry of Forests and Soil Conservation has been implementing Adaptation for Smallholders in Hilly Areas (ASHA) Project; a six-year climate change adaptation project since February 2015 with the financial support of International Fund for Agricultural Development (IFAD). The ASHA Project intends to impart grants to vulnerable smallholder farmers to improve their climate resilience. In this context, ASHA Project as prepared this grants manual by reviewing relevant documents; a) ASHA Project Design Report, b) ASHA Project Implementation Manual, c) ASHA Supervision Mission Report 2016 and d) ASHA Implementation Support Mission Report 2016 and 2017, and project staff consultations. The purpose of this grants manual is to impart guidance to grant managers to facilitate grants award and management process.

# 1.2. ASHA PROJECT GOALANDOBJECTIVE

ASHA Project's goal is to reduce rural poverty in hilly regions facing consequences of climate change. The objective of the project is to reduce the vulnerability of local communities to climate related risks and strengthen enabling an institutional environment for climate change adaptation.

# 1.3. PROJECT COMPONENTS

ASHA Project has two main components corresponding to the objectives: a) Framework for local-level climate adaptation strengthened and b) Climate resilience of vulnerable smallholder farmers improved.

# 1.4. BENEFICIARIES AND STAKEHOLDERS

In six project districts; Kalikot, Dailekh, Salyan, Jajarkot, Rukum and Rolpa ASHA Project intends to work with vulnerable smallholder farmers. ASHA Project‘s target communities include climate vulnerable households including poor, women, Dalit, Janajati and other ethnic minority and socio-economically marginalized groups. At the local level, the project jointly works with the Ward, Municipality and Rural Municipality to leverage, resource pooling, monitoring, implementation and ownership. Similarly, at the district level, the major stakeholders and beneficiaries of the ASHA Project include District Forest Office, District Soil Conservation Office, District Livestock Service Office, District Agriculture Office, and District Coordination Committee (DCC).At the national level, the major stakeholders and beneficiaries of the ASHA Project include five key ministries, namely the Ministry of Forest and Soil Conservation (MoFSC), Ministry of Population and Environment (MoPE), Ministry of Federal Affairs and Local Development (MoFALD), Ministry of Livestock Services (MoLS), and Ministry of Agriculture Development (MoAD).

# 2. GRANTS

# 2.1. GRANTS BENEFICIARY

ASHA Projectintends to provide grants to support activities addressing the threats of climate change to climate vulnerable populations identified in local adaptation planning process. ASHA prefers to impart grants to reduce impacts of climate change by improving climate resilience. ASHA Project’s grants must be fully consistent with ASHA Project Design Report and ASHA Project Implementation Manual ensuring adequate coordination with implementing partners and other donor-funded interventions to avoid duplication of effort. ASHA Project intends to provide grants to climate vulnerable groups; refer to group comprises of very high vulnerable household (V4), high vulnerable household (V3)and moderate vulnerable household (V2) within a climate vulnerable wards identified and categorized in Local Adaptation Plan of Action (LAPA) preparation and updating process.

# 2.2. GRANTS AMOUNT

ASHA Project grants are subjected to i) community infrastructure and land management for adaptation and ii) smallholder climate adapted profitable production. In total, the project will support up to NPR 11.8 million per LAPA implementation including the beneficiary’s contribution. For community infrastructure, the maximum grant amount per LAPA (ward) for different schemes prioritized in LAPA is NPR 6.4 million over three years; which averages around NPR 2.1 million per year per LAPA. Within the NRS 6.4 million, ASHA Project finances up to 80% of community infrastructure costs while 20% includes beneficiary co-financing through in-kind/cash contributions.

For the smallholder climate adapted profitable production, ASHA project contributes up to the 70% of the financing envelope of NPR 5.4 million per LAPA, the rest 30% has to be covered from the beneficiaries through in-kind/cash contribution.

Within the group, the maximum grant per household is NPR 20,000 including beneficiary’s contribution.

# 2.3. GRANTS MOBILISATION PROCESS

ASHA Project’s grants application flow chart is presented in the figure 1 and a detailed process is outlined in the table 1



|  |  |  |  |
| --- | --- | --- | --- |
| Table 1: Summary of ASHA Grant Mobilsation Process | | | |
| **Steps** | **Descriptions** | **Duration (days)** | **Responsibility** |
| Step 1 | **Review of Local Adaptation Plan for Action (LAPA) : Preliminary Screening of Proposed Activities**  Group/community discusses among themselves with the support of SM/MLTs about the activities enlisted in LAPA to prioritize the activities in line with performance indicators | 2 | LAPA Coordinator/ DCSS/MLTs/Group/Community/SM |
| Step 2 | **Contact for Grant Application**  The climate change vulnerable group (comprises of V4, V3 and V2 household categorized in LAPA) contacts the ASHA social mobilizers to receive grant application and proposal forms (Annex I). | 2 | Lead role: Group/SM.  Supporting role: SMDC, MLTS . |
| Step 3 | **Preparation and submission of Proposal**  With the assistance from ASHA Project’s DPCU(SM and MLTs) the climate change vulnerable group prepares a proposal in lines with key performance indicators and forwards to ASHA Project DPCU along with ward committee recommendation and recommendation from RM/M if required. In addition, SM of corresponding ward recommend to DPC adding his/her statement about the proposed program (Annex II) | 4 | Lead role: Group/SM.  Supporting role: DCS and LAPA Coordinator, Concerned subject matter MLTs and Ward Committee and SMDC/SM. |
| Step 4 | **Proposal Screening**  ASHA Project DPCU reviews project proposal and if needed DPCU may request for the support of related TSU specialist(s), to ensure if it meets the ASHA Project criteria and indicators adopted by Project (Annex III) | 4 | Lead role: DCCS and Concerned MLTs.  Supporting role: LAPA Coordinator, other MLTS and SMDC |
| Step 5 | **Field Verification/Assessment**  If the project proposal/ demand seems sound, DPCU conducts field verification, if needed (Annex I*V)* | 7 | Lead role: DPC and DCCS;  Supporting role: GIS Specialist/Land use Planner, LAPA Coordinator and concerned MLTs and other thematic specialist |
| Step 6 | **Approval of the proposal**  After reviews and assessment of detail proposal for grant based on set criteria, DPCU either accepts it, rejects it, or returns to applicants with a request that further work to be done to finalize detail proposal or refining proposal. | 2 | Lead role: DPC  Supporting role: DCCS, Concerned thematic specialist from TSU if needed. |
| Step 7 | **Notification**  DPC approves the proposal and informs approved grants to groups/ward/RM/M | 2 | Lead role: DPC  Supporting role: SMDC/SM and Concerned MLTs. |
| Step 8 | **Grant Agreement**  DPCU sign the agreement with concerned groups(grantee) (Annex V) | 1 and ongoing according the activity | Lead role DPC and Group.  Supporting role: DCCS and Ward Committee. |
| Step 9 | **Grant disbursement and Implementation**  As per the agreement required Installment will be released and activities will be immediately started by the group/household (Annex VI) | According the agreement | Lead role: DPC;  Supporting role: SMDC/SM, LAPA Coordinators, Ward Committee, MLTs and Subject matter Specialist |

2.4.GRANTEE ELIGIBILITY

The following points will be used as a basis for considering the grantee eligibility under

ASHA Project grant;

1. A group of vulnerable households (V4, V3 and V2) categorized by the LAPA are the eligible for the grants. They have to prepare and submit the proposal suitable for them selecting from the listed LAPA activities.
2. ASHA will prefer the registered group (for an example; Community or leasehold forestry users groups, agriculture group, livestock farmers group, women development group, cooperatives etc),
3. However, this will not restrict to apply grants by the non-registered groups.
4. The project will facilitate to register the groups which are eligible but not registered.

**2.5. GRANTS SCREENING:**

The following points will be used as a basis for considering the screening of a project under ASHA Project’s grant support.

|  |  |
| --- | --- |
| LAPA planned adaptation measure | Has the proposed action planned as an adaptation option in LAPA? |
| ASHA Project’s grant priority | ASHA Project’s grants priority includes; a) community infrastructure for climate adaptation and b) smallholder climate adapted profitable production. C) Above priority must be in line with theproject log frame |
| ASHA Project’s major target group | ASHA Project’s target group includes climate vulnerable households; very high vulnerable (V4), high vulnerable (V3) and moderate vulnerable (V2). |
| Vulnerable household/group participation | Does the vulnerable household/ group in or around the targeted site participate in the proposed action at the level of a) planning and design, b) management, c) implementation and monitoring and evaluation?  Does the vulnerable household/ group in or around the targeted site benefit from the project through any of the following; a) direct income-generating opportunities, b) infrastructure for adaptation, c) indirect income-generating opportunities, d) community services and e) awareness/education/ information? |
| Co-funding | The proposal from climate vulnerable group: a) Is co-funding available? b) Is co-funding not available? c) Has potential for co-funding? |
| Sustainability | 1. Does the prepared LAPA get ownership from Ward/RM/M ? 2. Is there Co-funding by RM/M and others? 3. Is there technical support and co-funding by line agencies? 4. Is there provision of operational and maintenance mechanisms from the grantee |
| Anticipated output | Does the proposed action contribute to improve climate resilience of vulnerable smallholder farmers? |
| Beneficiaries | Does it ensure that the predominant beneficiaries of the sub project: female, poor, dalit, janjati, muslim and disadvantage groups |

# 2.6. GRANTS FOR COMMUNITY INFRASTRUCTURE AND LAND MANAGEMENT FOR CLIMATE ADAPTATION

**Outputs**: Climate resilient community infrastructure and land management activities operational

Land management here refers to restoration of degraded forest and agriculture land, public land, through integrated Sub-watershed/community spring shed conservation, Water harvesting and management; community/leasehold and public /urban/rural forestry and maintenance of eco-system services and promotion of SALT.

Potential Infrastructure: Infrastructure for Project investment may include potable water supply; marketing infrastructure for new climate adapted products; soil and water conservation including springshed conservation/ protection, slope stabilization, flood control; water-efficient irrigation; renewable energy supply, limited maintenance of village access roads to withstand minor landslips, and others.

Climate vulnerable group can utilize an amount of maximum 6% of the value of any climate adapted community infrastructure schemes to pay for the provision of supporting engineering services to design the structure and supervise its construction. The DPCU maintains a register of local, qualified civil engineers able and available for such work. Ward level committee may facilitate local communities to identify a suitable engineer, who contracts with the grantee.

ASHA Project prefers production of local resource persons through youth-targeted vocational training to materialize the community-based climate adaptation public infrastructure program to create jobs for the vocational trainees and promote community ownership in the operation and maintenance. Early vocational training could focus on such skills as Masonry, carpentry, plumbing, bricklaying, road leveling and surfacing, pond construction, irrigation leveling and public infrastructure maintenance ensuring women’s and ethnic people’s participation in youth vocational training. Beneficiary communities require to demonstrate an ability to support associated long-term operation and maintenance costs. Wherever possible, local labour, particularly youth, should be used for works construction, supported by vocational training as required. Major community infrastructures for climate change adaptation includes but not limited are as follows;

# 2.6.1. ILLUSTRATIVE ACTIVITIES

Following are the potential activities that contribute in achieving the climate resilient community infrastructure and land management;

**2.6.1.1 Landslide Treatment:**

Landslide is noticeable downward slipping or falling of a mass of earth, rock or mixture of the two under the influence of gravity, frequently occurring when the material is saturated with water. The objective of landslide treatment is to reduce soil erosion and mass movement from landslide and reduce devastating effects on the downstream and surrounding area where landslide occurs sometimes threatening life and property. Landslide treatment states to the application of vegetative and structural measures in the landslide area and its influential catchment. The influencing drainage area along with landslide and immediate downstream surrounding area should be taken as working unit and all the necessary vegetative as well as structural landslide control measures can be applied as package throughout the working area. Appropriate land use practices should be emphasized in the drainage area. Geological (natural) landslides are not advisable to be treated with expensive structures unless and until it affects habitation and rational infrastructures, e.g., road, reservoirs. Maximum people’s participation should be ensured the implementation of this action. This scope of this action includes but not limited to;

* Water management including diversion channels around and inside the landslide to drain water from the landslide
* Structural erosion control measures such as retaining walls, check dam
* Site stabilization by vegetation such as planting of trees and grass
* Appropriate land use improvement in the drainage area
* Conservation pond to store and divert excess run-off
* Fencing for livestock control

**2.6.1.2 Gully Treatment:**

Gully is an erosion channel cut by concentrated run off but through which water commonly flows only during and immediately after heavy rains. Gully treatment refers to the application of vegetative and structural measures both in gully and its catchment. The objective of the gully treatment is to prevent further degradation of the gully and its watershed through controlling run off and erosion and to improve water quality and regime. The catchment area of the gully can be taken as working unit and all the necessary vegetative as well as structural erosion control measures should be applied in a package throughout the catchment area. Appropriate land use practices should be promoted in the catchment. The scope of this action includes;

* Gully head diversion ditches
* Gully head plugging
* Gully border edging
* Gully repair by building structures such as check dam
* Gully, gully bank and its catchment re-vegetation (tree and grass plantation)
* Conservation pond to store and divert excess run-off
* Appropriate land use improvement in the catchment
* Fencing of gully and its catchment for livestock control

**2.6.1.3 Torrent Control:**

Torrent is a stream of water flowing with great velocity or turbulence, generally causing river bank erosion and flood during heavy rains. Torrent control refers to the application of vegetative and structural measures in the torrential stream and its catchment. The objective of torrent control is to reduce the stream bank erosion and sediment deposit caused by flash flow by runoff control through water management and erosion control measures. The catchment area of the stream can be taken as working unit and all the necessary vegetative as well as structural erosion control and water management measures and appropriate land use practices should be applied in a package throughout stream bank and its catchment area. Maximum people’s participation should be ensured for the implementation of this action. The scope of this action includes;

* Structures to protect stream bank from erosion
* Channelization efforts to manage the flood discharge
* Flood plain stabilization through bio-engineering measures
* Re-vegetation of barren lands in the catchment
* Silvi-pasture management in the catchment
* Gully treatment (also if there is any landslide) in the catchment
* Construction of conservation ponds for water management
* Appropriate land use improvement in the catchment areas and relevant activities.

**2.6.1.4 River/Stream Bank Protection:**

River/stream bank protection encompasses the land adjoining the stream and or river, where stream and or river cutting is actively destroying habitation, agriculture and forest land. River/stream bank protection refers to the application of vegetative and structural measures in the affected area. The objective of this action is to prevent stream bank erosion and protect the land from river cutting. The area required to protect the stream bank erosion can be taken as working unit. This includes at least 5-10 meters distance from the stream bank and reclaimed area on the riverside. All the necessary vegetative as well as structural measures should be applied as package. Maximum people’s participation should be ensured for the implementation of this action. The scope of this action includes:

* Construction of revetments (protection walls)
* Construction of spurs
* Construction of flow retarding structures
* Channelization efforts to manage discharge
* Flood plain stabilization through bio-engineering measures
* Vegetative measures (tree and grass plantation) on the bank
* Fencing of the area for livestock control
* Relevant activities.

**2.6.1.5 Degraded Land Rehabilitation**

Degraded land rehabilitation refers to the application of the vegetative and structural measures on the degraded lands including forests, barren lands and graveled and sandy riverbeds. Land degradation is a process in which the value of the biophysical environment is affected by a combination of human-induced processes acting upon the land. It is viewed as any change or disturbance to the land perceived to be deleterious or undesirable. Land rehabilitations a re-engineering process that attempts to restore an area of land back to its natural state after it has been damaged as a result of some sort of disruption. The process involves such things as removing all man-made structures, toxins and other dangerous substances, improving the soil conditions and adding new flora. The objective is to reduce erosion and increase productivity through soil and moisture conservation preferably using vegetative measures. The degraded lands can be the working unit and plantation of desired tree seedling along with all the vegetative as well as structural erosion control measures can be applied in a package throughout the working unit. Structural measures should be less emphasized as far as possible. Maximum people’s participation should be ensured for the implementation of this action. The scope of this action includes:

* Tree, shrub and grass planting with necessary conservation techniques such as contour terracing, contour trenching, contour bunding.
* Erosion control measures such as micro-gully plugging and structures such as check dam, retaining wall as needed.
* Seedling production and distribution to the groups.
* Purchasing seedlings and distribution to the groups.
* Protection of the area (including fencing and watchmen).
* Relevant activities.

**2.6.1.6 Nursery /Seedling Production:**

Nursery refers to an area where plants are raised for planting and has both seedling and transplant beds. Nursery is either permanent or temporary. It refers to the area of seedling production for the purpose of plantation either in cultivated private land or community and inclusion area for the soil conservation and watershed management. Specially, it refers to all activities required to produce planting stocks. The objectives is to produce required planting stocks of trees (fuel wood, fodder, fruit and timber), hedge, shrub, legumes, herbs and grass. The scope of this action includes:

* Seed acquisition and storage
* Construction of nursery beds (seed, seedling and transplant beds)
* Production of planting stock of trees (fuel wood, fodder, fruit trees), hedge, shrubs, legumes, herbs and grasses
* Water management
* Maintenance and protection of nursery
* Distribution of planting stocks
* Maintenance of nursery records
* Nursery construction
* Nursery maintenance works
* Nursery technician service procurement and relevant activities.

**2.6.1.7 SALT Plot Establishment and Management:**

Sloping Agriculture Land Technology (SALT) plot is the plot established for the purpose of demonstration and wider dissemination of the conservation technologies used for sloppy land management. It includes the management of sloppy lands. The objectives to widely disseminate the conservation technologies at strategic locations; a) to utilize marginal and unused land, b) to organize the communities for income generation through SALT and c) to produce diversified products food security. The marginal/unused land of one or more farmers or communal land can be considered as working unit and planting of desired tree seedlings along with all the necessary vegetative as well as structural erosion control measures can be applied in a package throughout the working unit. The scopeof this action includes:

* Site selection with local community consensus
* Vegetative measures with minor structural measures if required
* Species selection to be planted
* Maintenance of the site through community participation
* Bamboo rhizomes, broom grass plantation

**2.6.1..8 Conservation Plantation and regeneration management:**

Conservation Plantation refers to the application of vegetative measures as well as structural measures on the degraded lands including forests, barren lands, and graveled and sandy river beds. At the same time, degraded forests could be managed through regeneration management. The objectives; to reduce erosion and increase productivity of degraded lands through soil and moisture conservation, to enhance life of structural measures through combination of vegetative structures. The degraded lands can be the working unit and plantation of desired tree seedlings along with all the vegetative and structural erosion control measures can be applied in a package throughout the working unit. Structural measures will be less emphasized. The scope of this action includes:

* Tree, shrub and grass planting with necessary conservation techniques such as contour terracing in moisture stress sites, contour trenching in nutrient and moisture constraint areas, contour bunding in waterlogged areas, basin pit planting in dry and harsh soil condition
* Erosion control measures such as micro-gully plugging, and structures such as check dam, retaining wall as needed
* Construction of diversion channel and safe drainage
* Seedling production, purchasing, and distribution to the groups
* Protection of the area (including fencing and watchmen)
* Combination of vegetative structures along with structural measures
* Relevant activities.

**2.6.1.9 Ground Water Recharges Structure Construction:**

Groundwater recharge or deep drainage or deep percolation is a hydrologic process where water moves downward from surface water to groundwater. This process usually occurs in the vamoose zone below plant roots and is often expressed as a flux to the water table surface. Recharge occurs both naturally (through the water cycle) and through anthropogenic processes (i.e. “artificial groundwater recharge”), where rainwater and/or reclaimed water is routed to the subsurface. Groundwater is recharged naturally by rain and snow melt and to a smaller extent by surface water (rivers and lakes).The objectives of constructing recharge structures on roadsides and open spaces are: a) to harvest the run-off rainwater falling on in the country, b) to utilize the rain water to recharge the underground aquifers, c) to prevent water stagnation, d) to prevent flooding, to improve the quality of underground water in the country. The concept belongs to real water savings. Rainwater harvesting, aquifer recharge enhancement and urban waste water rescue. Recharge may be impeded somewhat by human activities including paving, development, or logging. These activities can result in loss of topsoil resulting in reduced water infiltration, enhanced surface runoff and reduction in recharge. Use of groundwater, especially for irrigation, may also lower the water tables. Groundwater recharge is an important process for sustainable groundwater management, since the volume-rate abstracted from an aquifer in the long term should be less than or equal to the volume-rate that is recharged. Recharge can help move excess salts that accumulate in the root zone to deeper soil layers, or into the groundwater system. Tree roots increase water saturation into ground water reducing water runoff. The scope of this action includes;

* Greenery promotion such as conservation plantation
* Conservation pond construction
* Contour trench/ditch construction
* Diversion channel construction to retain and percolate water to the ground

**2.6.1.10 Irrigation Channel Protection:**

Irrigation channel protection relates to the existing irrigation channel which is susceptible to damage by erosion up slope and down slope in want of properly constructed distribution system. It refers to the application of the vegetative and structural measures to manage and improve water use and to reduce sedimentation in the irrigation channel and reduce erosion in the adjoining area. The objectives is to reduce erosion (including gully and landslide formation) caused by irrigation channel to protect channel from the erosion and sedimentation and to manage water use. The irrigation channel, up slope and down slope of the channel affecting its stability and the catchment area at close vicinity of the intake should be taken as working unit and all the necessary vegetative as well as structural measures can be applied in a package throughout the working unit. Maximum people’s participation should be ensured for the implementation of this action. The scope of this action includes;

* Improvement and construction of irrigation channels
* Vegetative and structural erosion control measures required up slope and down slope of the irrigation channel
* Re-grade and/or reroute irrigation channel
* Construction and improvement of intake, distribution and sediment trap system
* Erosion control measures of the catchment in the close vicinity
* Use of pipes instead of channelizing in case of difficult areas such as continuous landslide areas

**2.6.1.11 Water Source Protection and Development:**

Water is the major natural sources of watershed. The water source protection refers to implementation of the various structural and vegetative activities for sustainability and proper utilization of the rural water source, such as springs, well, irrigation and ponds. It refers to application of vegetative and structural erosion control measures in the source and it’s catchment of the water source and also distribution system. The objectives; to improve the quality and regime of water through soil conservation and watershed management. The water source, its catchment and distribution system can be considered as working unit and all the necessary vegetative as well as structural erosion control measures including distribution can be applied in a package throughout the working unit. Maximum people’s participation should be ensured for the implementation of this action. The scope of this action includes:

* Tree and grass planting with necessary conservation techniques such as contour terracing, contour trenching, contour bunding.
* Erosion control measures such as micro-gully plugging, structures such as check dam, retaining wall as needed.
* Construction of water storage tanks and water distribution system.
* Construction of diversion channel and safe drainage.
* Seedling production.
* Construction of water conservation ponds to manage water.
* Protection of the area (including fencing and watchmen).
* Appropriate land use treatment in the catchment.
* Control of contamination by surface flow of water e.g. fertilizer, disease/ pathogens from animal and human waste.

**2.6.1.12 Catchment Restoration:**

Catchment restoration refers to the application of the vegetative and structural measures on the catchment area of water sources including forests, barren lands and graveled and sandy riverbeds. Catchment restoration is a process in which the value of the biophysical environment is affected by the combination of human-induced processes acting upon land. The objective; to reduce erosion and increase the productivity of catchment areas with the preference of vegetative conservation measures of soil and moisture conservation. The catchment restoration can be working unit and plantation of desired tree seedling along with all the vegetative as well as structural erosion control measures can be applied in a package throughout the working unit based on the requirement of the sites. The scope of this action includes:

* Tree, shrub and grass planting with necessary conservation techniques such as contour terracing, contour trenching, contour bunding.
* Erosion control measures such as micro-gully plugging, and structures such as check dam, retaining wall as needed.
* Seedling production and plantation.
* Protection of the area (including fencing and watchmen).

**2.6.1.13 Conservation Pond:**

Conservation pond refers to a runoff water collection/perennial water collection area which is constructed with the purpose of reducing the soil erosion and storing water for the drinking of cattle and irrigation. It refers to the pond (new or old) used for storage of run-off water during excess rain to reduce erosion and for later use. The activity refers to application of vegetative and structural measures in the pond and its catchment. The objective is to manage water for erosion control and multiple water use. The pond and its catchment can be considered as working unit. All the necessary vegetative as well as structural erosion control measures including construction of the pond can be applied in a package throughout the working unit. If such a pond is used for irrigation purpose (though, this will be in small scale only), the distribution also can be considered as a part of working unit. Maximum people’s participation should be ensured for the implementation of this action. The scope of this action includes;

* Construction of new pond or improvement of old ponds.
* Water harvesting,
* Tree and grass planting with necessary conservation techniques such as contour terracing, contour trenching,
* Erosion control measures such as micro-gully plugging, structures such as check dam, retaining wall as needed,
* Construction of inlets and outlets,
* Construction of diversion channel and safe drainage,
* Protection of the pond,
* Seedling production,
* Appropriate land use treatment in the catchment.

**2.6.1.14 Rain-fed farming:**

Growing of crops on natural precipitation without irrigation is rain-fed farming. In the area where water supply is the major factor limiting crop yield, management options can change the amount, pattern and efficiency of crop water use in order to increase or stabilize yield. While the availability of water through rainfall and soil storage influences the farming system, the design, operation and management of the whole system and its parts can affect subsequent water availability and efficiency of use. The objective this action belongs to the structure, operation and management of rain-fed farming systems focus on increasing four primary components of their water economy: a) delivery of water, b) capture of rainwater, c) proportion of water available for crop production and d) efficiency of conversion of water to a usable product. The farming area and its catchment can be considered as working unit. All the necessary vegetative as well as structural measures including construction of the pond, ditch, bunds, water collection tank etc. can be applied in a package throughout the working unit. Maximum people’s participation should be ensured for the implementation of this action. The scope of this action includes;

* Run-off management structures construction
* Water harvesting structures construction
* Drainage construction and management
* Placement of pipe to divert the irrigation water if required
* Construction of water collection structures to irrigate the farmland
* Application of bunding, mulching, irrigation techniques
* Ferro cement jar construction
* Income generation activities along with the farming system to enhance livelihood of the local people

# 2.7. GRANTS FOR SMALLHOLDER CLIMATE ADAPTED PRODUCTION PROFITABLE:

**Outputs:** Smallholder climate adapted production profitable

**Potential Investments**.

Forestry, agriculture and livestock production, resource management systems adapted to CC impacts; livelihoods diversification, collective marketing, particularly for new climate adapted products, promotion of labour efficient farm equipment and on-farm renewable energy technologies,.

**Financing.**

Based on detailed project proposals by vulnerable farmer groups identified through the LAPA, ASHA will provide co-financing that will cover up to 70% of the financing envelope of NPR 5.4 million (USD 55,000) per LAPA, which includes beneficiary co-financing of 30% through in-kind/cash contributions. The maximum grant per household is NPR 20000 including beneficiary’s contribution. Grant applications under the LAPA, and the subsequent co-financed contracts must clearly define each member’s share of the ASHA grant.

**Group eligibility**.

To be eligible for ASHA co-financing, the members of a vulnerable group, must (i) be classified as vulnerable households (V4, V3, V2); (ii) include at least 50% female members; and (iii) include wherever possible at least 50% Janajatis, Dalits or other minority groups. All supported sub-projects must demonstrate sustainability beyond the initial ASHA assistance. In particular, co-financing must be closely linked to reduced household vulnerability and improved resilience.

**Technical support procurement.**

Beneficiaries will receive technical support from the ASHA technical staff and be able to use up to 30% of the grant to purchase: (i) private technical support through performance-based contracts with trained lead farmers, village animal health workers, or civil society support organizations in the district; (ii) numeracy or literacy training through local education providers; (iii) livestock insurance; or (iv) market services. Such performance-based contracts, to be coordinated by the AFECs, will be between the beneficiary group and the service provider. All co-financed groups will receive training in basic farm financial management.

**Lead Farmers Service Procurement**

With the increasing impacts of climate change on agricultural production and natural resource management, dissemination of climate smart knowledge and technology for production and management is crucial. Extension service has important role for resource management/ agriculture development. Natural resource management/agricultural extension is the application of scientific research and new knowledge to resource management/agriculture practices through farmer education. The field of extension encompasses a wider range of communication and learning activities organized for rural farmers/resource managers. It’s been noticed that farmers learn best from their peers [farmers learn best from their peers](http://pim.cgiar.org/2014/05/19/vft-impact-story/), or those of a slightly higher social status. The lead farmer approach refers to a means of agriculture knowledge and technology dissemination. The lead farmer model of technology dissemination where lead farmers are trained and then pass on the technologies to their peers seems to be effective. The lead farmer approach works with groups of 15 to 30 smallholder farmers. The objective of this action includes; a) to disseminate climate smart knowledge and technology for agricultural production to smallholders, b) to impart technical assistance to smallholder in planning and implementing the plan for increasing production in various occupations including agriculture, forestry, and livestock production b) to provide knowledge and help for better management of farms and increase incomes, c) to provide support to smallholder for climate adapted profitable production. The scope of this action includes;

* Service procurement for climate resilient agriculture, forestry, livestock profitable production
* Service procurement to increase efficiency in marketing, distribution and utilization of agricultural and forestry inputs and outputs
* Service procurement for on-site training forestry, agriculture, livestock production

# ILLUSTRATIVE ACTIVITIES

Following are the activities which contribute in achieving the climate resilient production profitable

**2.7.1.1 Fodder and Forage Production:**

Palatable tree species, including shrubs, and bamboo, that are fed to or browsed by animals are called fodder trees. Referred to as tree fodder, they are an important animal feed resource in Nepal particularly during the dry winter, when green grasses and legumes are not available. Livestock diets are usually composed of green grasses, legumes, crop by-products or fodder trees, with little or no concentrate feed. Fodder supply comes from forest and farmland resources. Fodder trees also provide significant amounts of crude protein. Fodder is usually fed as a supplement to crop by-products or grass, because although its production is limited, it is regarded as a high milk producing feed with high palatability. The complex farming systems of the hills have a decreasing level of soil fertility which in turn is reducing crop productivity. The manure to replenish soil nutrients comes largely from livestock and requires more fodder/forage to obtain animal products and sustain the farming system. Agricultural production in the hills of Nepal is the result of the interaction of forest, animal and soil fertility. Animal-based farming systems in the hills have strong linkages with forest resources for fodder supply and nutrient recycling. In addition to these direct benefits to the farmer, fodder and forage play an important role in environmental preservation by providing ground cover, thus minimizing soil losses through run off. The self-regeneration and high coppicing capacity of fodder trees enables them to be considered as a renewable natural resource with undigested leaf litter providing a good quality compost, and leftover branches providing fuelwood. Trees therefore help the farmers in many ways to sustain their hill farming systems in general, through animal production in particular. Forage is plant material (mainly plant leaves, twigs and stems) eaten by [grazing](https://en.wikipedia.org/wiki/Grazing) [livestock](https://en.wikipedia.org/wiki/Livestock). Fodder and forage production refers to all activities required to produce fodder and forage. The objectives are to produce required adapted planting stocks of fodder trees and forage. The scope of this action includes:

* Seed acquisition and storage
* Construction of nursery beds (seed, seedling and transplant beds)
* Production of planting materials of fodder trees, shrubs, legumes, herbs and grasses
* Promotion of agro-forestry
* Water management
* Maintenance and protection of nursery
* Distribution of planting materials
* Maintenance of nursery records
* Purchasing of seedlings/slips/sets and distribution to the groups and relevant activities.

**2.7.1.2 Non-Conventional Irrigation:**

Non-conventional irrigation refers to modern technological irrigation options. It is also called micro-irrigation and may be supported by sprinkler, drip and/or pond types rain water harvesting etc. The main objective of such irrigation is to provide productive water in areas where conventional type is not feasible due to environmental and socio-economic reasons. It is best suited when water sources has minimum/sub-optimal yield and available land for cultivation is limited. Sprinkler irrigation is also called overhead irrigation as water is sprayed on the plant. It simulates the natural rainfall of controlled intensity, frequency and duration. Drip irrigation is also called trickle irrigation where water is applied in precise amount to the plants at root. This is the most efficient water application for irrigation purpose. Drip irrigation is primarily used to boost production of high value crops, which are rarely accessible to low-income farmers, or viable for kitchen gardens. Drip irrigation is available to farmers as a 'kit' in different sizes. The kit includes an overhead tank and a system of hoses that line the respective cultivation area. Pin-size holes in the hose irrigate the soil near the crops. The overhead tank that supplies the water may be connected to a water source or filled by hauling water from the nearest tap stand. Drainage water re-use; with the shortage of water, use of drainage water for home garden irrigation is encouraged. The drainage water mainly from the tap stands and washing platforms is collected in a small pond or depression and applied directly to the gardens. The scope of this action includes;

* Procure and installation sprinkler irrigation system
* Procure and installation drip irrigation system
* Construction of pond for drainage water re-use
* Rain water harvesting
* Maintenance pond for drainage water re-use
* Procure and install irrigation technologies; to abstract from stream/river and transported/distributed to farmer's field and relevant activities.

**2.7.1.3 Renewable Energy Installation for On Farm Purposes:**

Demand for energy and associated services, to meet social and economic development and improve human welfare and health, is increasing. All societies require energy services to meet basic human needs (e.g., lighting, cooking, space comfort, mobility and communication) and to serve productive processes. Global use of fossil fuels (coal, oil and gas) has increased to dominate energy supply, leading to a rapid growth in carbon dioxide (CO2) emissions. Greenhouse gas (GHG) emissions resulting from the provision of energy services have contributed signiﬁcantly to the historic increase in atmospheric GHG concentrations. There are multiple options for lowering GHG emissions from the energy system while still satisfying the global demand for energy services. Among them, renewable energy is one. Renewable energy is energy that is collected from renewable resources, which are naturally replenished on a human timescale, such as sunlight, wind, rain, tides, waves, geothermal heat. Renewable energy often provides energy in four important areas: electricity generation, air and water heating/cooling, transportation and rural (off-grid) energy services. The movement of wind and water, the heat and light of the sun, the carbohydrates in plants, and the warmth in the earth—all are energy resources that can supply our needs in a sustainable way. A variety of methods are used to convert these renewable resources into electricity. Each comes with its own unique set of technologies. Renewable energy technologies produce sustainable, clean energy from resources such as the sun, the wind, plants, and water. Renewable energy technologies includes solar energy technology, wind energy technology, hydropower technology, biomass energy technology, biogas technology and other. The scope of this action includes:

* Procurement and installation of solar thermal technology (solar dryer, cooker and water heating)
* Procurement and installation of solar photovoltaic technology (charge controller, battery, PV module, inverters, pumps, lamps)
* Installation of biogas technology such as biogas plant at household level
* Construction/procurement of biomass energy technology such improved cooking stoves

**2.7.1.4 Promoting efficient tools and technology**

Farmers no longer have to apply water, fertilizers, and pesticides uniformly across entire fields. Instead, they can use the minimum quantities required and target very specific areas, or even treat individual plants differently. There are few farm equipment which are already being manufactured and being used by the farmers in Nepal. Some of the farm efficient equipment are listed below.

* Grass cutter
* Corn Sheller
* Paddle thresher
* Milking machine
* Solar Drier
* Stick for Manure Collection
* Animal feeding mixer/grinder
* Power Tiller
* Sprinkler
* Sprayer
* Paddy Harvester
* Forest fire control tools
* Forest management tools

# 3. GRANTS AGREEMENT

DPC imparts approval for grant. After financial management requirements have been satisfied, the District Project Coordinator, with the assistance of requisite staff, will prepare a grant agreement in accordance with the standard format. Grant agreement must in accordance with approved proposal for grant, the grant agreement must outline the specific activities to be carried out, implementation period, detailed budget, activity plan, payment schedule, monitoring and evaluation process, deliverables and receipt’s responsibility. District Project Coordinator and group authorized representative, the Chairperson, sign the grant agreement, making it valid.

# 4. GRANTS ADMINISTRATION

Grant administration incorporates all relations between ASHA Project District Project Coordination Unit staff and the recipient from the time grant agreement is made until the end of the support. The specific nature and extent of administration will vary from agreement to agreement. It can range from reviewing and analyzing performance reports to performing site visits.

# 4.1. POST AGREEMENT ORIENTATION

Post agreement orientation to grant recipient from ASHA Project staff is encouraged to clarify the roles and responsibilities of the recipient and ASHA Project DPCU staff who will administer the agreement. District Project Coordinator shall serve as the mandatory control point of record for all official communication dealing with grant administration. District Project Coordinator shall provide for the continuing oversight by appropriate ASHA Project DPCU staff through reviews of reports, correspondence, site visits, or other appropriate means. When deemed necessary, the District Project Coordinator may request or arrange for special audits of recipient. Within approximately two weeks of signing the grant agreement, the ASHA DPCU Accountant and relevant officer will conduct a financial management and technical orientation session with grant recipients.

# 4.2. SITE VISIT

Site visits are an important part of effective grant management. Joint site visits by District Project Coordination Unit, Technical Support Unit and Project Coordination Unit staff along with the line agencies are encouraged, since they can provide an effective review of the activity implementation. A brief report highlighting the findings is recommended. A copy of each report should be placed in the official grant file. District Project Coordination may assign DPCU technical staff; District Climate Change Specialist, LAPA Coordinator to impart technical input and review the implementation of activities. However, if the positions of DPCU technical are vacant, District Project Coordinator can recruit short term consultants to review activity implementation.

# 4.3. CASH DISBURSEMENT

Upon the receipt of fund request letter from recipient, ASHA Project DPCU will release the grant amount two to three installments. For one time event, maximum first installment can be up to 80% as an up-front payment to initiate the project and remaining after completion of activity and submission of report. For the construction related works, payment will be in three installment30%,50%,20%- after agreement of the sub-project, a mid-term payment upon receipt of a satisfactory progress report; and a final payment on receipt of a satisfactory project completion report.

# 4.4 CONTACT TERMINATION

Language must be included in the grant agreement giving ASHA Project the right to terminate a grant agreement, in whole or part, or suspend payments, should the grantee become insolvent during the performance of the grant implementation or should the grantee not meeting their responsibilities as set forth in the grant agreement. A termination letter will be placed in the grantee’s file and include the following; a) The reasons for the termination, b) The effective date of termination, c) The portion to be terminated and d) the portion remaining (in case of partial termination).

# 4.5. MONITORING, REPORTING AND AUDITS

The recipient shall maintain books, records, documents, and other evidence relating to the ASHA Project grant. Accounting records that are supported by documentation; all costs incurred under the grant agreement, receipt and use of goods and services acquired under the grant agreement, costs of the project supplied from other sources, the overall progress of the activities/project under ASHA grant, and the cost share obligation from grant recipients.

Recipient must report their cost-share contribution through required financial reports, accompanied by supporting documentation following a standard format.

The recipientwill be subject to regular and periodic monitoring visits and reporting requirements. Recipient must submit a report on activities supported by the grant. For activities completed, an expense and activity report, including the amount of cost share accompanied by supporting documents, must be submitted to ASHA Project DPCU as specified in the grant agreement. ASHA Project District Project Coordination Accountant must closely monitor cost/expenditure categories. The recipientis required to adhere to Government of Nepal’s (GON’s) relevant policies and norms.

# 4.6. RECORDS

The recipient shall maintain financial records, supporting documents, statistical records, and all other records pertinent to the agreement in accordance with generally accepted accounting principles formally prescribed by the GoN to sufficiently substantiate charges to this agreement.

Accounting records that are supported by documentation will at a minimum be adequate to show all costs incurred under the grant agreement, receipt and use of goods and services acquired under the grant agreement, the costs of the program supplied from other sources, and the overall progress of the activity. Unless otherwise notified, the grantee’s records which pertain to this agreement shall be retained for a period of three years from the date of submission of the final expenditure report and may be audited by GoN, representatives.

# 4.7. AMENDMENTS AND EXTENSION

The DPC serves as the mandatory control point of receipt for all official communication that would constitute an amendment to the award. Amendments will be made by formal modifications to the basic award document.

# GRANTEE RESPONSIBILITIES

Each grant agreement will include a clause that states: The grantee recipient has full responsibility for the conduct of the project or activity supported under a grant agreement and for adherence to the agreement conditions. Although the recipient is encouraged to seek the advice and opinion of ASHA Project on special problems that may arise, such advice does not diminish the recipient’s responsibility for making sound technical and administrative judgments and should not imply that the responsibility for operating decisions has shifted to ASHA Project. The recipient is responsible for notifying ASHA about any significant problems relating to the administrative or financial aspects of the grant agreement.

# 4.9. CONFLICT OF INTEREST

In the review and implementation of grants, ASHA Project reserves the right to investigate an application or a grant due to any real or perceived conflict of interest. An individual or another involved party may have a conflict of interest if the party has a direct or indirect personal interest, financial or otherwise, in the outcome of a grant action, such as award, oversight, amendment, or termination.

In the event that ASHA Project determines that conflict of interest exists, ASHA Project may disqualify an application, terminate a grant, or appropriate required action.

# 5. SUB-WATERSHED LEVEL INVESTMENT (INTER-LAPA INVESTMENT)

Ministry of Forests and Soil Conservation has formed District Forest Sector Coordination Committee (DFSCC) to strengthen collaboration among a wide range of forestry stakeholders at the district level. DFSCC has the prospective to ensure cooperation and coordination in the planning, implementation, monitoring and evaluation. For areas of climate change adaptation options implementation at the sub-watershed level that goes beyond the LAPAs, ASHA Project staff is encouraged to utilize DFSCC forum. With the assistance from ASHA Project’s DPCU the climate change vulnerable groups beyond administrative boundary within targeted sub-watershed prepares a joint brief project concept/proposal/demand for grant, discusses on same with group along with ASHA Project DPCU team in ward meeting and ward committee forwards brief concept/proposal to ASHA Project DPCU along with its recommendation. DPCU submits a screened project proposal to DFSCC, DFSCC review the proposal and explore for required financing. Climate adaptation investment at cross –LAPAs make available to beneficiary/communities for the prioritized climate resilient land management and community infrastructure to provide public benefit by linking upstream and downstream areas at cross ward within the RM/M or cross RM/M. Stakeholder consultation at cross ward level and cross RM/M level establish the collaboration between to local institutions for resource and benefit sharing. Spatial analysis of LAPAs and sub-watershed management plans further supports this process by outlining priorities in target areas, as well as identifying opportunities for cross-LAPA interventions. Cross LAPAs investment approaches require higher investment therefore; it increases up to 250% (USD 150,000) in component 2.1. In the event that ASHA funding is insufficient for necessary investments in public goods, the Project will explore the incorporation of RM/M/ward level block grant and Poverty Alleviation Fund (PAF) financing and other financing to bridge the funding gap.

* Operation & Maintenance Mechanism for Cross LAPA investments

For the cross-LAPA investment beneficiaries/groups should make mechanism to submit the ward level cross LAPA investment proposal with clear statement and justification. In this regards the upstream and downstream areas beneficiary should form one committee/sub –committee/agreement between the upstream areas and downstream areas LAPA groups to use these cross LAPA investments between two LAPA groups during LAPA implementation period and also for the maintenance of subprojects after the LAPA implementation.

This can be illustrated here with two examples;

Case A: If there is landslides at the upstream areas but the affected people in downstream areas then the landslides control should be at the upstream areas therefore cross LAPA investment proposal should be submitted from the upstream areas LAPA group.

Case B: If the drinking water source at the upstream areas but that water is supplied to the downstream areas communities/groups then the cross LAPA investment proposal should be submitted from the downstream areas communities/groups and the maintenance of water source areas and pipeline system should be maintained from the both upstream and downstream areas group for which there should agreement on the upstream and downstream areas LAPA group.

Annexes for Grant Manual

Annex: 1- Grant Application Form

Annex: 2-Grant Demand Proposal Format

Annex: 3-Screening Criteria/Checklist

Annex: 4-Field Verification Format

Annex: 5- Grant Agreement Paper Format

Annex: 6-Fund Disbursement Request Format

Annex: 7-Public Audit/Hearing Process Guideline

Annex: 8-Public Audit Report Template

Annex: 9- Grievance Handling Guideline

Annex: 10-M&E Format

Annex: 11-Progress Report Template

Annex: 12-Completion Report Template

Annex: 13-Completion Certificate

ANNEX 1: PROPOSAL SUBMISSION APPLICATION LETTER TEMPLATE

**To,**

**District Project Coordinator Date:**

**(ASHA)**

**………………….**

**Subject: Submission of proposal for ASHA grant**

We her by the ……………………………………………………………..group/cooperative of ……………………….. MC/RMC, Ward No………… has been submitting the detail proposal of sub project ………………………………………………………………………………. With Ward Committee recommendation. The total cost of sub-project is Rs……………………………………….,(Rs in words) ……………………………………………. ………………………………………………………. In which; ASHA grant demand is of Rs………………………………..and beneficiary cost is Rs…………………………

We kindly request for the approval of proposal.

Sincerely

………………………………………………………

Chairperson/Secretary

…………………………. Group/Cooperative

ANNEX 2: GRANT DEMAND PROPOSAL TEMPLATE

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. **Title of the Sub-Project** | | | | | | Component 2.1: ………………  Component 2.2: ……………… | | | | | | | | | | | | |
| 1. **Objective of the Sub-Project** | | | | | | What will be accomplished by the Sub-Project upon its completion? | | | | | | | | | | | | |
| 1. **Requested Area of support** | | | | | | Component 2.1: …………………………  Component 2.2: ………………………… | | | | | | | | | | | | |
| 1. **Location of the sub-project** | | | | | | District:  RM/M:  Ward No and Tole of the Sub-Project area: | | | | | | | | | | | | |
| 1. **Requested by (Targeted group/cooperative/community)** | | | | | | Name of the group/Cooperative:  Address:  RM/M:  Ward No and Tole:  No of beneficiaries: V4: V3: V2: | | | | | | | | | | | | |
| 1. **Total duration of the Sub-Project** | | | | | | Expected Start Date of the Sub-Project:  Proposed Completion Date:  Total Duration (In Months): | | | | | | | | | | | | |
| 1. **Description of activities and expected output and outcome (Describe what activity will be implemented to generate which result in first six months, 2nd six months and so on until the end of the project. There can be more than one activities associated with one result).** | | | | | | | | | | | | | | | | | | |
| **SN** | | | | **Activity** | | **Expected Results** | | | | | | | | | | | | |
| **1st Six Months** | | | | | | **2nd Six Months** | | | **3rd Six Months** | **Upon Completion of the Sub-Project** | | |
| i. | | | |  | |  | | | | | |  | | |  |  | | |
| ii. | | | |  | |  | | | | | |  | | |  |  | | |
| iii. | | | |  | |  | | | | | |  | | |  |  | | |
| iv. | | | |  | |  | | | | | |  | | |  |  | | |
| v. | | | |  | |  | | | | | |  | | |  |  | | |
| *Note: Please add another Table if more space needed* | | | | | | | | | | | | | | | | | | |
| 1. **Responsibility of the collaborating partners (as applicable)** | | | | | | | | | | | | | | | | | | |
| **SN** | | | **Name of the collaborator providing technical and/or other services** | | | | | | | **Activities Covered** | | | | | | | | |
| i. | | |  | | | | | | |  | | | | | | | | |
| Ii, | | |  | | | | | | |  | | | | | | | | |
| iii. | | |  | | | | | | |  | | | | | | | | |
| 1. **Description of current problems in relation of climate change (e.g. flood, land slide, draught, over grazing, low production, low productivity, low marketed surplus of crops/animal products etc.)** | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | |
| 1. **Activities planned to undertake the task (i.e. the plans to overcome identified problems)** | | | | | | | | | | | | | | | | |
| * 1. Problems | | | | | | | * 1. Activities planned | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
|  | | | | | | |  | | | | | | | | | |
| 1. **Cost of the Sub-Project and related funding sources** | | | | | | | | | | | | | | | | |
| **Cost Items** | | | | | | **ASHA grant** | | | | **Recipient Group/community** | | | **Other Donor** | | | **Total** |
| * 1. **Capital Cost** | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
| * 1. **Working capital** | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
|  | | | | | |  | | | |  | | |  | | |  |
| * 1. **others** | | | | | |  | | | |  | | |  | | |  |
| * 1. **Contingency for 2.1 component)** | | | | | |  | | | |  | | |  | | |  |
| **Total** | | | | | |  | | | |  | | |  | | |  |
| 1. **Benefit from implementation of the Sub-Project** | | | | | | | | | | | | | | | | |
| Benefit | | | | Unit | | | | Baseline (What do they have now?) | | | | After the Project (What do they accomplish upon completion of the Sub-Project?) | | | | Estimated Value of Benefit (In NRs.) |
| i. |  | | |  | | | |  | | | |  | | | |  |
| ii. |  | | |  | | | |  | | | |  | | | |
| iii. |  | | |  | | | |  | | | |  | | | |
| iv. |  | | |  | | | |  | | | |  | | | |
| v. |  | | |  | | | |  | | | |  | | | |
| 1. **Total No. of beneficiaries expected ………….** | | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | | | | | |

|  |  |
| --- | --- |
|  | **Operation and maintenance plan for the proposed Sub-Project (mention how it will be maintained after the completion of the ASHA Grant support and also describe who will do what)** |
|  | |
|  | **What indicators will be applied to measure progress accomplished after implementation of the Sub-Project?** |
| i. |  |
| ii. |  |
| iii. |  |
| iv. |  |
| v. |  |
|  |  |
|  | It is certified that all information provided by us in the application form is true. We hereby authorize DPCU to verify the statements, as necessary. If they find an evidence of supply of any false information in connection with details provided in this form, we understand that it will be a subject to cancellation of our sub-project request.  Signature: :  Name:  Designation:  District: RM/M: Ward No and Tole:  Telephone: Date |

Annex: 3-Screening Criteria/Checklist

**Sub-project Registration Number: \_\_\_\_\_\_\_\_\_ District Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**VDCWard No.**

**Name of contact no.:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Phone No.:

**Sub-project Title:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Total Sub-project Cost: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Cash/Kind Contribution Cost:**

**Total Grant Amount Requested**: **\_**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Criteria for assessment of compliance with acceptance rules:**

1. Complete sub-project application form is attached: 🞏 yes 🞏 no

1. The group is legally registered entity: 🞏 yes 🞏 no

2. The group/grantee meets the defined eligibility criteria: 🞏 yes 🞏 no

3. Sub-project duration is within the limits: 🞏 yes 🞏 no

4. Requested grant amount is within limits: 🞏 yes 🞏 no

5. Requested budget items are aligned with objectives: 🞏 yes 🞏 no

6. Required business/infra-structure entity documentation is provided: 🞏 yes 🞏 no

[***Note****: If the Application does not meet all of these criteria of compliance with acceptance rules, the Application should not go through technical review*]

**The sub-project is accepted for Technical Review:** 🞏 yes 🞏 no

**Comments:**

**Signature of the Screener:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ **Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Annex: 4- Field Verification Checklist Format

1. **Field Verification Checklist of Adaptation for Smallholders in Hilly Areas (ASHA) for Small Grant Proposal**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **SN** | **Name of Verifying Officer** | **Designation** | **Agency** | **Signature** | **Field Verification Date** |
| **1.** |  |  |  |  |  |
| **2.** |  |  |  |  |  |
| **3.** |  |  |  |  |  |
| **4.** |  |  |  |  |  |
| **5.** |  |  |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Sub-project Brief** | | | |
| **District:** |  | | |
| **VDC:** |  | | |
| **Ward No. or Tole of the Subproject:** |  | | |
| **Name of Group:** |  | | |
| **Climate Vulnerability Classification of group member:** | **V4 (no.)** | **V3 (no.)** | **V2 (no.)** |
|  |  |  |
| **Sub- project Category:** | Climate Resilient Community Infrastructure and Land Management Scheme | Smallholder Climate Adapted Production Profitable Scheme | |
|  |  | |
| **Sub-project Code[[1]](#footnote-1):** |  | | |
| **Total Duration of the Sub-project:** | Expected Start Date of the Sub-project: | | |
| Proposed Completion Date: | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **SN** | **Checklist** | **Fulfillment of the Criteria** | | |
| **Yes** | **No** | **NA** |
|  | **Climate Adaptive and Environmental Suitability** |  |  |  |
| 1. | Does the Sub-project support to cope with the extreme climatic events (such as change in temperature and precipitation, landslides, flood and drought)? | □ | □ | □ |
| 2. | Does the Sub-project support to build climatic resilience capacity of vulnerable community/smallholder farmers? | □ | □ | □ |
| 3. | Does the Sub-project help to scale down climatic vulnerability of smallholders? | □ | □ | □ |
| 4. | Does the Sub-project fall into the category of projects requiring verification of adverse ***environmental effects***, if any? | □ | □ | □ |
|  | **Technical and Financial Suitability** |  |  |  |
| 5. | Is the Sub-project technically suitable for the specified geographic area? | □ | □ | □ |
| 6. | Has the Sub-project adequate potential to access basic facilities required for implementation? | □ | □ | □ |
| 7. | Is the Sub-project manageable by the Group (Are adequate provisions made to engage skilled persons)? | □ | □ | □ |
| 8. | Are activities proposed for the Sub-project sufficient to achieve expected results? | □ | □ | □ |
| 9. | Are planned activities achievable within the specified time limit proposed? | □ | □ | □ |
| 10. | Is the Sub-project economically viable (Does estimated benefit exceed the cost)? | □ | □ | □ |
| 11. | Are planned activities achievable within the specified budgetary limit proposed (Are all facilities/activities required for implementation budgeted for)? | □ | □ | □ |
| 12. | Is the implementation plan of the Sub-project clear about sharing of beneficiary co-financing/contributions? | □ | □ | □ |
| 13. | Is it possible that the proposed Sub-project will able to pool resources from other sources? | □ | □ | □ |
|  | **Gender and Social Perspectives** |  |  |  |
| 14. | Does the Sub-project activity support to reduce drudgery on women? | □ | □ | □ |
| 15. | Does the Sup-project consider involving the proportional representation of women, ethnic minority and disadvantage groups? | □ | □ | □ |
| 16. | Has the Sub-project any chance of encroaching public space (e.g. religious place, public inn, source of drinking water, Chautara etc.)? | □ | □ | □ |
| 17. | Has the Sub-project any risk of creating inter-community conflict upon its implementation? | □ | □ | □ |
| 18. | Does the Sub-project cause any loss of assets held by others (unless it is their voluntary contribution)? | □ | □ | □ |
| Other Remarks (if any): | | | | |

**Decision after verification:**

|  |  |
| --- | --- |
| **Decision** | **Tick-Off** |
| The Sub-project is eligible for implementation under its present condition | □ |
| The Sub-project is not eligible for implementation | □ |

If the Sub-project is **"not eligible for implementation"** give reason(s) why?

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**B. Financial information**

**Form 1: Financial summary**

| **Proposed activities** | **Total Cost** | **Grant of ASHA** | **Community Contribution (20% Kind )** |
| --- | --- | --- | --- |
| Output 1: |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Output 2: |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Output 3: |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| Output 4 : |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **Total cost** |  |  |  |
| **Grand Total** |  |  |  |

ANNEX 5: GRANT AGREEMENT TEMPLATE

GRANT AGREEMENT BETWEEN

|  |  |  |
| --- | --- | --- |
| **Adaptation for Smallholders in Hilly Areas (ASHA) Project, District Project**  **...............................................................** | **AND** | **............................................................................** |

**AGREEMENT NO: ...........................................................**

**A. NAME OF THE ACTIVITIES:**

* Support for constructing conservation pond
* Support bio-engineering measures in landslide site
* Support for bio-gas installation

**B. PERIOD OF IMPLEMENTATION:** From ...................................... to .............................................

**C. SOURCE OF FUND:** ASHA/IFAD/ASAP/Beneficiary

**D. TOTAL BUDGET**  NRs. ......................... (In words: Rupees ........................................only)

**ASHA grant: ........................... (..................................... only)**

**Beneficiary contribution: ...................... (.........................only)**

(Refer Annex 2: Detailed budget)

**E. PAYMENT SCHEDULE (IFAD/ASAP source only) :**

1st Installment NRs ......................... Date:- .............................

2nd Installment NRs ....................... Date: - .............................

3rd Installment NRs ......................... Date: -.............................

(Installments shall be deposited in the bank account of concerned group bank accoutn (Current account no............. ) at .................................................)

*(Instruction: there should be at least two installments, for one time event maximum first installment can be up to 80% and remaining after completion of activity and submission of report, for construction there should be three installments; 30%,50%,20%- after completion and submission of report)*

**F.** This Agreement has been signed between Adaptation for Smallholders in Hilly Areas (ASHA) Project, District Project Coordination Unit, ................. and ...................................................................................................... (group) for implementation of aforesaid program activities in project area identified and planned in Local Adaptation Plan of Action (LAPA) during fiscal year 2073/074 (FY 2016/17). Both parties commit to and agree on following terms for implementation of this agreement.

1. ...................................................................................................... (group) will have overall responsibility to implement all activities as outlined in detailed budget maintaining quality requirements, and by signing this agreement he/she agrees that he/she will use the funds provided under this agreement only for ASHA Project support activities identified in LAPA, reasonable, allowable costs as identified in the Project Budget (all expenditure should adhere the finance guidelines attached with this agreement).

2. ...................................................................................................... (group) may assign their group committee members/officials to carry out and monitor the programs/ activities. However, the former will be responsible for overall monitoring and reporting of the progress of the programs/activities, and providing all the technical and financial deliverables as per this agreement following strict deadlines.

3. Other than mentioned in this agreement, Government of Nepal’s (GON’s) relevant policies and norms will be applied for implementation of the activities.

4. ...................................................................................................... (group) agrees to keep separate and accurate financial records in accordance with generally accepted accounting principles group’s office and make such records available at all reasonable times for inspection and audit by the Project/Auditors. And will be responsible for settling any queries made by the auditors during the audit of financial records related to the activities under this agreement.

5. ...................................................................................................... (group) will retain all original bills, receipts, financial and technical documents related to the activities underlined in this agreement and will submit anoriginal voucher, bills, receipts and financial documents to ASHA Project, District Project Coordination Unit.

6. ASHA Project shall provide financial assistance for the execution of works to be implemented under this agreement and will monitor project activities independently and/or jointly with...................................................................................................... (group).

7. ...................................................................................................... (group) shall be responsible for deducting taxes out of payments made from the activity budget, as per GoN’s regulations.

8. ...................................................................................................... (group) shall provide necessary assistance for the review and audit exercise of activities to be carried out by ASHA Project, under this agreement.

9. ...................................................................................................... (group) will undertake aforesaid program activities with highest standards of professional and ethical competence and integrity.

10. This agreement may be amended as mutually agreed upon by both parties in writing.

11. If thequality of the work furnished by the ...................................................................................................... (group) as stipulated in the agreement fall below professional standard the ASHA Project reserves the right to hold payment or differ a certain percentage of payment. This assignment enters into force upon signing by both parties and will end upon the termination of this agreement.

12. Any dispute between parties arising out of the interpretation or execution of this agreement shall be settled by mutual understanding. If ASHA Project and ...................................................................................................... (group) are unable to reach agreement on any question in dispute or on a mode of settlement other than arbitration, either party shall have the right to request arbitration in accordance with the existing rule of Government of Nepal. ASHA Project and the ...................................................................................................... (group) agree to be bound by any arbitration award rendered in accordance with the above, as the final adjudication of anysuch dispute.

**G. List of Deliverables**

* Final Programmatic and Financial Progress Reports of each activity with relevant photographs and documents should have to be submitted to ASHA Project District Project Coordination Unit by ...................................... (date).

The signatories to this agreement responsible persons on behalf of both District Project Coordination Unit and User Group to ensure compliance with and implementation of this agreement. The following attachments and appendices are an integral part of this agreement.

On Behalf of ASHA Project, On Behalf of ................................................................................... group)

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Mr. Manir Ansari  District Project Coordinator  ASHA Project– District Project Coordination Unit, Kalikot |  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Chairperson  .............................................................................. (group) |

Date: Date:

Witness

Annex: 6-Fund Disbursement Request Format

1. ***Fund transfer suggestion for the each tranche***

*………………., date…..month……. year……*

**FUND TRANSFER SUGGESTION FOR THE FIRST/SECOND/THIRDINSTALLMENT**

To: …………………………………………………………………………………………

Grant Recipient: …………………………………………………………………………………, Code of the sub-project: ……………………………………………………………………………

Address:…………………………………………………………………………………………….

Account name:………………...……………………… Account No:……………………………………….., At the bank of: ..…………………………………………………………………....

Pursuant to Grant Agreement No…………………………………….... dated………………. between………………………………... and ASHA.

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| ***Expenditure Category*** | ***Total Contracted Grant Amount (A)*** | ***1st Disb.***  ***(B)*** | ***2ndDisb.***  ***(C )*** | ***3rdDisb.***  ***(D)*** | ***TotalDisb.***  ***(E=B+C+D)*** | ***1st Install Exp.***  ***(F)*** | ***2nd InstallExp.***  ***(G)*** | ***3rd Install Exp.***  ***(H)*** | ***TotalExp. Till Now***  ***(I=F+G+H)*** | ***Disb. Balance***  ***(J=E-I)*** | ***Contract Amount Balance***  ***(K=A-E)*** |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
| ***Total*** |  |  |  |  |  |  |  |  |  |  |  |

Note: write N/A in appropriate table in installment wise

*Proposed Request Fund in Writing:*

|  |  |
| --- | --- |
|  | Recipient  (Sign and full name) |

Annex: 7-Public Audit/Hearing Process Guideline

Guideline for Public Audit/Hearing Process

**Introduction**

The ASHA Public Audit & hearing is a monitoring & transparency process through which beneficiaries and stakeholders provide vital feedback on the design, delivery and expenditure of the program. The overall purpose of the process is to use public participation as a means to continually improve the transparency, governance and approach of the program.

Public Hearing is organized at the beginning and the end of the project. At the beginning it is done to inform about the project objective, activities and budget while at end it is organized to inform the expenditure and progress.

Public Audits occur regularly and are organized by beneficiary representatives with the facilitation and support of the ASHA staff. Prior to an Audit, information is distributed on the program's activities, implementation approach and roles and responsibilities of stakeholders. During the Audit, public discussions are held on a range of subjects including the process and progress of the development activities undertaken, budget and expenditure, labor wage payments, community mobilization, social and technical issues, quality of works & technical supervision, environmental management, support on social & economic development activities and transparency. The focus of each Audit depends on the type and approach of activities undertaken in the locality. After the Audit, feedback, comments and suggestions are collected, analyzed and shared publicly.

**Benefits of Public Audit and Public Hearing**

More specifically, benefits of Public Audits and hearing include, but are not limited to:

* Creating awareness among beneficiaries;
* Enhancing stakeholders’ participation in monitoring access and quality of services;
* Increasing a sense of ownership amongst beneficiaries and stakeholders;
* Ensuring transparency in all activities;
* Verifying payments received by labor groups;
* Providing information to communities on all types of expenditure incurred during the implementation of works;
* Providing information on the status of physical progress and raising issues related to the technical, managerial and administrative aspects of activities undertaken at the local level;
* Responding to issues raised by project staff;
* Assessing the views of beneficiary communities on local governance and evaluating the participation of local communities and targeted households;
* Increasing the interaction between communities, government agencies and the programme; and
* Increasing the efficiency and effectiveness of local development programs

**Procedure of Public Hearing**

Following steps should be followed for Public hearing;

Preparatory works:

* Define the scope of the public hearing - including program components, activities and progress
* Form a working group to organize the Public hearing
* Identify participants for the Public hearing
* Fix date, time and venue of the Public hearing in consultation with all stakeholders and set the agenda
* Invite the key stakeholders and explain their roles and responsibilities during the Public hearing
* Prepare the presentation report and assign the roles and responsibilities for organizing the venue, facilitating the event, presenting, taking meeting minutes and managing logistics
* Organize a public awareness campaign about the aims and benefits of the Public hearing, using media, public forums, door-to-door visits, etc.

**Convene Public hearing Meeting:**

* Introduction to objectives and agenda
* Presentations on activities and budget(beginning of the project) & progress, income & expenditure and other key issues (end of the project)
* Discussion on presentation and other relevant matters with the wider audience
* Collection of queries and concerns from participants and stakeholders
* Clarification to queries
* Preparation of meeting minutes (includes a list of participants)
* Formal closing of the meeting

**Procedure of Public Audit**

Following steps should be followed for Public audit;

Preparatory works:

* Define the scope of the audit - including program components, activities and progress
* Form a working group to organize the Public Audit
* Identify participants for the Public Audit
* Fix date, time and venue of the Public Audit in consultation with all stakeholders and set the agenda
* Invite the key stakeholders and explain their roles and responsibilities during the Public Audit
* Prepare the presentation report and assign the roles and responsibilities for organizing the venue, facilitating the event, presenting, taking meeting minutes and managing logistics
* Organize a public awareness campaign about the aims and benefits of the Public Audit, using media, public forums, door-to-door visits, etc.

**Convene Public Audit Meeting:**

* Introduction to objectives and agenda
* Presentations on activities, progress, income & expenditure and other key issues
* Discussion on presentation and other relevant matters with the wider audience
* Collection of queries and concerns from participants and stakeholders
* Response, clarification, solution and next steps
* Preparation of meeting minutes (includes a list of participants)

Annex: 8-Public Audit Report Template

1. **Introduction of the Project**

**Name of Scheme/sub-project:**

**District:** VDC: Ward no Tole:

Public Audit Date: Public Audit Venue:

Name of Moderator:

1. **Social Stratum of Beneficiaries**

|  |  |  |  |
| --- | --- | --- | --- |
| **Caste/Ethnicity** | **No. of HHs** | **Male** | **Female** |
| Dalit |  |  |  |
| Janjati |  |  |  |
| BCTN[[2]](#footnote-2) |  |  |  |
| **Total** |  |  |  |

1. **Completed Structures**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S.N** | **Name of structures** | **Unit** | **Quantity** | **Remarks** |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |
| 6 |  |  |  |  |
| 7 |  |  |  |  |
| 8 |  |  |  |  |
| 9 |  |  |  |  |
| 10 |  |  |  |  |

1. **Cash Flow Detail (Income and Expenditure)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Date** | **Description** | **Income (NRs)** | **Expenditure (NRs)** | **Balance** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

1. **Income and Expenditure Details of Materials**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.N.** | **Items** | **units** | **Unit**  **rate** | **Procured/ received** | | **Used** | **Balance** | **Remarks (Damaged, lost)** |
| **Quantity** | **Amount (NRs)** | **Quantity** | **Quantity** |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |

1. **Labour Contribution by Community**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S.N** | **Details of Work** | **Days** | | |
| **Male** | **Female** | **Total** |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |

1. **Scheme Cost Details**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.N** | **Details** | **Unit** | **Qty.** | **Estimated Cost** | | | **Actual Cost** | | |
| **Community** | **ASHA/Other organization** | **Total** | **Community** | **ASHA/Other organization** | **Total** |
| **1** | **Local Material** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| **2** | **External Material** |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
| **3** | **Unskilled Labor** |  |  |  |  |  |  |  |  |
| **4** | **Skilled Labor** |  |  |  |  |  |  |  |  |
| **5** | **UC[[3]](#footnote-3) Management Cost …………..** |  |  |  |  |  |  |  |  |
| **Total** | |  |  |  |  |  |  |  |  |

1. **Sources of Funding**

|  |  |  |
| --- | --- | --- |
| **Contribution from** | **Amount (NRs)** | **%** |
| Community |  |  |
| DDC |  |  |
| VDC |  |  |
| ASHA |  |  |
| Others ………………………. |  |  |
| **Total** |  |  |

1. **Operation and Maintenance System**

**Fund**

Rate per Ropani: Total amount collected:

Name of bank: Account Number:

**Care takers names**

1. …………………………….. 2. ………………………………………..

**Benefit Sharing (In case of Irrigation sub-project)**

Benefit sharing policy formed: Yes/No

Benefit sharing practices

**Example for Irrigation sub-project**

Water sharing policy formed: Yes/No

Water sharing practices

**Registration**

**Registration at Registration Date Reg No.**

1. **Details of Material Damaged and Lost**

|  |  |  |  |
| --- | --- | --- | --- |
| **S.N** | **Details of Materials** | **Quantity** | **Detail of Compensation**  **Procedure / decision** |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |
| 5 |  |  |  |
| 6 |  |  |  |

**Decisions on Surplus Materials Return or Use**

1. **Other Major Decisions of Public Audit Meeting**
2. …………………………………………………….
3. …………………………………………………..
4. ………………………………………………………
5. ……………………………………………….
6. **Participants of Audit Meeting**

| **S.N** | **Name** | **Position** | **Organization** | **Signature** |
| --- | --- | --- | --- | --- |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |
| 6 |  |  |  |  |
| 7 |  |  |  |  |
| 8 |  |  |  |  |
| 9 |  |  |  |  |
| 10 |  |  |  |  |
| 11 |  |  |  |  |
| 12 |  |  |  |  |
| 13 |  |  |  |  |
| 14 |  |  |  |  |
| 15 |  |  |  |  |
| 16 |  |  |  |  |
| 17 |  |  |  |  |
| 18 |  |  |  |  |
| 19 |  |  |  |  |
| 20 |  |  |  |  |
| 21 |  |  |  |  |
| 22 |  |  |  |  |
| 23 |  |  |  |  |
| 24 |  |  |  |  |
| 25 |  |  |  |  |
| 26 |  |  |  |  |
| 27 |  |  |  |  |

Annex: 9- Grievance Handling Guideline

**Grievance Redressal Mechanism (GRM)**

The grievance redressal mechanismof Adaptation for Smallholders in Hilly Areas (ASHA) requires that the District Project Coordination Unit (DPCU) in each district shall establish a Grievance Redressal Committee (GRC). The Grievance RedressalCommittee established in the district project office will take care of any grievances associated with sub-projects financed through small grants provisions. The Compliance Officer designated by DPCU will handle any grievances associated with small grant subproject and inform District Project Coordinator (DPC) on action to be taken to resolve the issues.

The compliance Officer shall maintain the complaints file. The file contains the following records;

1. Unique registration number given to each complaint
2. Date of receipt of complaint
3. Name and address of the complainant
4. Date of acknowledging of the complaint
5. Details of action
6. Date of closure

**Format for Making Complaint**

|  |  |
| --- | --- |
| **Name of the Complaint** |  |
| **Contact details of the representative from complaint** |  |
| **Subject of complaint** |  |
| **Summary of Complain** | |
| **Details of supporting documents attached** |  |
| **Signature of Representative from Complaint** |  |
| **Date of Complain** |  |

Annex: 10-M&E Format

M&E Format for Social Mobilizer

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. **MONITORING FORMATS:** | | | | | | | | | | | | |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Types of LAPA:** | | Enhanced/Existing | | | | | | | | | | |
| **Types of Group:** |  | New |  | Existing |  |  |  |  |  |  |  |  |
| **Name of Group:** | |  |  |  |  | Group I.D: |  |  |  |  |  |  |
|  |  | Total |  | Female |  | Male |  | Other |  |  |  |  |
| **Address:** |  | VDC |  | Ward |  | Tole |  | District |  |  |  |  |
| **Ethnicity:** |  | Dalit |  | Janajati |  | Brahamin |  | Chettri |  | Other |  |  |
| **Vulnerability HHs:** |  | V4 |  | V3 |  | V2 |  | V1 |  |  |  |  |
| **Types of Sub-project:** |  |  | PP |  | CI |  | CD |  |  |  |  |  |
| **Name of sub-project:** |  |  | | | | | | | Sub-project ID | |  | |
| **Sub-project Agreement date :** | | | |  | | | |  |  |  | | |
| **Sub-project duration:** | |  | Effective date: | |  | | | End date: | |  | | |
| **Budget:** | | Total |  | ASAP |  | IFAD |  | GoN |  | DDC |  |  |
|  |  |  |  | VDC |  | Group |  | Other |  |  |  |  |
| **Beneficiaries HHs:** |  |  | V4 |  | V3 |  | V3 |  | V1 |  |  |  |
|  |  |  | Dalit |  | Janajati |  | Brahamin |  | Chettri |  | Others |  |
| **Income Vs Expenditures of sub-project:** |  |  |  |  |  |  |  |  |  |  |  |  |
|  | *S.N* | *Installment* | | *Amount* | | *Withdrawn amount* | | *Activities* | | | *Expenditure amount* | |
|  | 1 |  | |  | |  | |  | | |  | |
|  | 2 |  | |  | |  | |  | | |  | |
|  | 3 |  | |  | |  | |  | | |  | |
|  |  |  | |  | |  | |  | | |  | |
|  |  | Total | |  | |  | | | |  |  |  |
|  |  | Please explain, if any deviation on income and expenditure amount:………………………………………………………………………………………….. | | | | | | | | | | |
|  |  |
|  |  |
|  |  |
|  | **Main Committee composition:** | | |  |  |  |  |  |  |  |  |  |
|  | S.N | Designation | Name | | | Gender | Ethnicity | Category | Occupation |  | Remarks |  |
|  | 1 |  |  | | |  |  |  |  |  |  |  |
|  | 2 |  |  | | |  |  |  |  |  |  |  |
|  | 3 |  |  | | |  |  |  |  |  |  |  |
| **6** | Participation of Service Provider staffs in Group Meeting? | | | | | | | | | |  |  |
|  | S.N | Meeting | 1'st | 2'nd | 3'rd | 4'th | 5'th |  |  |  |  |  |
|  | Attendances | Date: Female: Male: | Date: Female: Male: | Date: Female: Male: | Date: Female: Male: | Date: Female: Male: | Date: Female: Male: | Date: Female: Male: | Date: Female: Male: | Date: Female: Male: | Remarks |
|  | 1 | PC |  |  |  |  |  |  |  |  |  |  |
|  | 2 | SM |  |  |  |  |  |  |  |  |  |  |
|  | 3 | Technician |  |  |  |  |  |  |  |  |  |  |
|  | 4 | Others |  |  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 1 | What is the process of decision making of your Group? | | | | |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 2 | How many members are representing from each of your HHs in Group? | | | | | |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 3 | How many organization are working/operating in your community? | | | | | |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 4 | Group members are ready for their contribution for this sub-project? | | | | | |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 5 | Group has done discussion in meeting about each and every activities of the sub-project ? | | | | | | | |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 6 | Has community members are aware of the climate change? | | | | | | | | | | Yes-1 | No-2 |
| 7 | Is there formation and operational of User Committee- CI ? | | | | | | | | | | 1-Yes | 2-No |
| 8 | *Has the Group formed the M&E committee ?* | | | | | | | | | | 1-Yes | 2-No |
| 9 | *Is the procurement committee of this sub-project active and operational?* | | | | | | | | | | 1-Yes | 2-No |
| 10 | Group has maitained ledger properly? | | | | | | | | | | Yes | No |
| 11 | Has the Group maintained bills/receipts and vouchers ? | | | | | | | | | | 1-Yes | 2-No |
| 12 | Has this Group discussed progress of the program in regular meeting? | | | | | | | | | | 1-Yes | 2-No |
| 13 | Has this Group has maintained meeting minutes? | | | | | | | | | | 1-Yes | 2-No |
| 14 | Has Service providers prepared and submitted project progress reports timely ? | | | | | | | | | | 1-Yes | 2-No |
| 15 | Has this Group conducted beneficiaries contribution as per program policy? | | | | | | | | | | 1-Yes | 2-No |
| 16 | Has this Group maintained and updated record of outputs produced by beneficiaries ? | | | | | | | | | | 1-Yes | 2-No |
| 17 | Dalit, Janajati & female are representing on vital/main position of Group or sub-Group? | | | | | | | | | | Yes | No |
| 18 | Has display board/hoarding board dispalyed of Group? | | | | | | | | | | Yes | No |
| 19 | Monthly meeting of Group is conducting/happening regularly? | | | | | | | | | | Yes | No |
| 20 | Group has conducted their activities as per Action Plan of Group? | | | | | | | | | | Yes | No |
| 21 | All HHs members of group are target group? | | | | | | | | | | Yes | No |

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 22 | Beneficiaries are received amount as per their demands of proposal? | | | | | | | | | | Yes | No |
| 23 | Any non target HHs has included in Group? | | | | | | | | | | Yes | No |
| 24 | Did you satisfied with the services of the SPs- social mobilization? | | | | | | | | | | Yes | No |
|  | If no, what is the reasons? |  |  |  |  |  |  |  |  |  |  |  |
| 25 | Has the sub-project success to covered beneficiaries of the Group as per the proposed plan of proposal? | | | | | | | | | | 1-Yes | 2-No |
| 26 | Has the sub-project make the public audits? | | | | | | | | | | 1-Yes | 2-No |
|  | If yes, events and participation | | | | | Event no. |  | Participants | |  |  |  |
| 27 | Is the sub-project achieved the targeted outputs as per action plan? | | | | | | | | | | 1-Yes | 2-No |
|  | If no, who is responsible? |  |  |  | Individual beneficiaries | | Group | SP | DPCU | Other |  |  |
| 28 | What are the reasons? | | | | | | | | | |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 29 | Have the Group members received any training? | | | | | | | | | | 1-Yes | 2-No |
|  | If yes, have they used the knowledge of training ? | | | | | | | | | | 1-Yes | 2-No |
|  | If no, why did not use? | | | | | | | | | |  |  |
|  |  | | | | | | | | | |  |  |
| 30 | Has the Group members used the resources to get the objectives of the sub-project? | | | | | | | | | | 1-Yes | 2-No |
|  | If no, what is the reason? | | | | | | | | | |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 31 | Group members are well-known about agreement amount of sub-project? | | | | | |  |  |  |  | Yes | No |
|  | If no, what is the reasons? | |  |  |  |  |  |  |  |  |  |  |
| 32 | Where is the production market of conducted activities of the Group? | | | | | |  |  |  |  |  |  |
|  | Name |  |  | Distance |  |  | Time |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |
| 33 | Are any environmental effects due to the implementation of the sub-project? | | | | | | | | | | 1-Yes | 2-No |
|  | If yes, what steps you had taken to reduce the effects? | | | | | | | | | |  |  |
|  |  | | | | | | | | | |  |  |
| 34 | Who has visited from the ASHA related project in your Group ? | | | | | | | | | |  |  |
|  | SM |  | PC |  | DPCU |  | PCU |  | Other |  |  |  |
|  | If no, what is the reason? | | | | | | | | | |  |  |
|  |  | | | | | | | | | |  |  |
| 35 | How would you rate the performance of this sub-project till date ? | | | | | | | | | |  |  |
|  | 1- Excellent |  | 2- Good |  | 3-Satisfactory |  | 4-Poor |  | 5-Very poor |  |  |  |
| 36 | What are the reasons behind your rating? | | | | | | | | | |  |  |
|  | 1 |  | | | | | | | | |  |  |
|  | 2 |  | | | | | | | | |  |  |
|  | 3 |  | | | | | | | | |  |  |
|  | 4 |  | | | | | | | | |  |  |
| 37 | Suggestions/recommendations : | | | | | | | | | |  |  |
|  |  | | | | | | | | | |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | | ANNEX-1 | |
|  | |  | | **DETAILED STATUS OF BENEFICIARIES OF GROUP- PROFITABLE PRODUCTION:** | | | | | | | | | | | | | | | | | |  | |  |
| **S.N** | | **Contract ID** | | **Name** | | **Gender** | | **Ethnicity** | | **Vulnerability ranked** | | **Proposed activities** | | **Received amount** | | **Status of the activities/Quality of works** | | | | | | **Remarks** | |  |
|  | |  | |  | |  | |  | |  | |  | |  | | Good | | Satisfactory | | Bad | |  | |  |
| 1 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 2 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 3 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 4 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 5 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 6 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 7 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 8 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 9 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| 10 | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
|  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
|  | | *Note quality of individuals are based on HHs level verification on the basis of sample basis.* | | | | | | | | | | | | | | | | | | | |  | |  |
| Signature: | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| Name: | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| Designation: | | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| Organization/Agency: | | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| Date | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| Trimester: T1/T2/T3 | | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  |
| **Note: This Monitoring Form will be filled by Social Mobilizer any one visiting and /or monitoring to the sub-project from the project level.** | | | | | | | | | | | | | | | | | | | | | | | | |

1. **TRIMESTER/ANNUAL REPORT:**

|  |  |  |  |
| --- | --- | --- | --- |
| Name of Service Provider : |  | Reporting date : |  |
| Working district |  | Working VDC : |  |
| Agreement Period : | From… To: ……... | Trimester/ Annual Report : 1st , 2nd, 3rd |  |
| Agreement duration | From……………………to …………………. | | |
| Agreement amount | NPR……………… | | |

|  |  |  |  |
| --- | --- | --- | --- |
| **Target Household and Population** | | | |
|  | HHs | Population | **Total** |
| Dalit |  |  |  |
| Janajati |  |  |  |
| Brahamin |  |  |  |
| Chettri |  |  |  |
| Others |  |  |  |
| **Total** |  |  |  |

|  |  |  |
| --- | --- | --- |
| **Target Group and Sub-project** | | |
| Existing Group | New Group | **Total** |
|  |  |  |
| Sub-project PP | Sub-project CI | **Total** |
|  |  |  |
|  |  |  |

**Detailed Groups- Achievement:**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S.N** | **Types of LAPA** | **Name of VDCs** | **Types of Group** | **Vulnerability** | | | | **Ethnicity** | | | | | **Remarks** |
|  |  |  |  | **V4** | **V3** | **V2** | **V1** | **D** | **J** | **B** | **C** | **O** |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  | **Total** |  |  |  |  |  |  |  |  |  |  |  |  |

1. **Human Resource mobilization**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| S. No. | Position | As per contract no. of staff | Recruited No. | Remarks |
| 1 |  |  |  |  |
| 2 |  |  |  |  |
| 3 |  |  |  |  |
| 4 |  |  |  |  |
| 5 |  |  |  |  |

***Note : Attach the necessary documents if any staff is newly recruited in line with SP evaluation manual.***

**1.1 Staff performance/mobilization**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| SN | Name of Staff | Post | Working VDC | Monthly/Trimester/Annually Mobilization in days | | | |
| Field | Office | Leave | Total Working Days |
| 1 |  |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |  |
| 5 |  |  |  |  |  |  |  |

**2. Group mobilization:**

Group facilitation and Group formation:

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| S  N | VDC Name | Groups | | No. of Group Agreement | | Total | Remarks |
| Existing | Progress of this trimester/Annual | Up to last trimester | Progress of this trimester/Annual |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

**3. Technical Assistance**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| S.N | Name of Technical Assistance Proposed | Target number | Progress Up to last trimester | Progress of this trimester/ annual | Progress up to date | Remarks |
| A. | PP Related (STUDY, SUPERVISION) |  |  |  |  |  |
| 1 |  |  |  |  |  |  |
| 2 |  |  |  |  |  |  |
| 3 |  |  |  |  |  |  |
| 4 |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| B. | CI Related (STUDY, SUPERVISION) |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

**4. CapacityBuilding**

**4.1 Capacity building of Groups (attach reports for new events)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name of training / orientation / exposure visits | Target events as per contract | Duration of Event | Event conducted up to last trimester | Events of this trimester/Annual | Total Events | Number of beneficiary Group | No. of participants | | | | | | | |
| M | F | Total | Dalit | J | B | C | O |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**4.2 Capacity building of SP (attach reports for new events)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name of training / orientation / exposure visits | Target events as per contract | Duration of Event | Event conducted up to last trimester | Events of this trimester/  Annual | Total Events | No. of participants | | | | | | | |
| M | F | Total | Dalit | J | B | C | O |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**5. Monitoring and Evaluation**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Monitored by | Target no. of Monitoring Events | Up to last month | | This month | | Upto date | | No. of repeated Groups & sub project | Remarks |
| No. of Event | No. of Groups / Subproject | No. of Event | No. of Groups / Subproject | No. of Event | No. of Groups/Subproject |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |

***Note: SM Coordinator must supervise at least 5-10 Groups/month and must reach to all Groups in annually.***

**6. Sub-project implementation status (Group level –Agreement based)**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Name of VDC/Type | Target no. of Sub-project | Progress up to last trimester | | | Progress of this trimester/Annual | | | Remarks |
| Not Started | Ongoing | Completed | Not Started | Ongoing | Completed |  |
| VDC 1 : ……….. |  |  |  |  |  |  |  |  |
| PP Sub-project |  |  |  |  |  |  |  |  |
| CI Sub-project |  |  |  |  |  |  |  |  |
| VDC 2 : ……….. |  |  |  |  |  |  |  |  |
| PP Sub-project |  |  |  |  |  |  |  |  |
| CI Sub-project |  |  |  |  |  |  |  |  |
| VDC 3 : ……….. |  |  |  |  |  |  |  |  |
| PP Sub-project |  |  |  |  |  |  |  |  |
| CI Sub-project |  |  |  |  |  |  |  |  |
| **Total** |  |  |  |  |  |  |  |  |

**7. Target Vs Achievement of Service Providers- Social Mobilization:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| ***S.N*** | ***Particulars*** | ***Units*** | ***Target*** | ***Achievement*** | ***Remarks*** |
| 1. | VDCs | Nos |  |  |  |
| 2. | Groups | Nos |  |  |  |
| 3. | HHs |  |  |  |  |
| 4. | Group formation/mobilization-pre stage: |  |  |  |  |
| 4.1 | Social Mobilization/facilitation about ASHA program- ward, existing group, settlement etc |  |  |  |  |
| 4.2 | New formation |  |  |  |  |
| 4.3 | Proposal preparation of Group, Submission of proposal to DPCU, Sub-project agreement |  |  |  |  |
| 4.4 | Agreement between Group & DPCU |  |  |  |  |
| 5. | Group operation- during operation |  |  |  |  |
| 5.1 | Training |  |  |  |  |
| 5.2 | Exposure visit |  |  |  |  |
| 5.3 | Sub-project operation |  |  |  |  |
| 5.3.1 | PP | Nos |  |  |  |
| 5.3.2 | CI | nos |  |  |  |
| 5.3.3 | Capacity building | nos |  |  |  |
| 6. | Sub-project competition |  |  |  |  |
| 6.1 | Sub-project competition-PP |  |  |  |  |
| 6.2 | Sub-project competition-CI |  |  |  |  |
| 7. | Technical support provided to Group |  |  |  |  |
| 7.1 | Pre-feasibility study/feasibility study/design- CI |  |  |  |  |
| 7.2 | Study related to PP |  |  |  |  |
| 8. | **Monitoring and Evaluation** |  |  |  |  |
| 8.1 | Joint Monitoring by Others (DDC, VDC, Journalist, Political Parties etc.) |  |  |  |  |
| 8.2 | Review Meeting with stakeholders |  |  |  |  |

**8. Overall financial leverage for ASHA program implementation:**

1. For Profitable production- Groups:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| S.N | Name of VDCs | Types of LAPA | Types of Groups | Name of Groups | Total | ASHA | | GoN | VDC | Group | DDC | Devt partners | Others |
| IFAD | ASAP |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |

1. For Community Infrastructures- Groups:

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| S.N | Name of VDCs | Types of LAPA | Types of Groups | Name of Groups | Total | ASHA | | GoN | VDC | Group | DDC | Devt partners | Others |
| IFAD | ASAP |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |

1. Write down some highlights to leverage fund for ASHA program implementation with stakeholders?
2. Write down achievements, challenges faced regarding establishment of **coordination and linkage** with other agencies:
3. Achievement:
4. Challenges:

**Lesson learnt:**

Submitted by:

Name:

Designation:

Organization:

Date:

Approved by:

Name:

Designation:

Organization:

Date:

Annex: 11-Progress Report Template

1. **Applicant’s Mid-term report**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Project Title:** |  | | | |
| **Project Number:** | [*as in the contract*] | | | |
| **Report period:** | [*dd/mm/yy - dd/mm/yy*] | | | |
| **Total Project Cost:** | [*as in the contract*]  ………………….. | | **Total Grant:** | ……………………… |
| **Spent Grant amount:** | ……………………… |
| Reached implementation plan outputs as per Grant Agreement: |  | | | |
| Unachieved outputs according to the Grant Agreement |  | | | |
| Problems in the implementation and possible solutions: |  | | | |
| Notes on coming phase II implementation: |  | | | |
| Request to receive 2nd tranche of grant amount: |  | | | |
| Principal Applicant: |  | | | |
| Signature and date: |  | | | |
| **[ *For official Only* ]** | | | | | |
| **Received by the ASHA on date:** | | [*dd/mm/yy*] | | | |
| **Name and Signature of ASHA Specialist:** | |  | | | |

1. **STATEMENT OF EXPENDITURE**

**To be submitted with both mid-term and final reports**

Grant Beneficiary: ……………………………………………… Grant Number: ……………………………………………………………………..

Principal Applicant: ……………………………………………. Reporting Period: ………………………………………………………………….

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **No** | **Approved Budget Items** | **Total Estimated Cost** | **Expenditure** | **Date of**  **receipts** | **Difference**  **(Remaining funds)** | **Notes on Differences** |
| **I)** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **II)** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **III)** |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
| **C.** | **Total Cost** |  |  |  |  |  |

**Principal Applicant name: ………………………….……………………………………….**

**Signature: ……………………………………………….. Date: …………………………****..**

Annex: 12-Completion Report Template

|  |  |  |
| --- | --- | --- |
| **Project Title:** |  | |
| **Project Number:** | [*as in the contract*] | |
| **Report period:** | [*dd/mm/yy - dd/mm/yy*] | |
| **Total Project Cost:** | |  |  |  |  | | --- | --- | --- | --- | | **Description** | **Contracted** | **Expenditure** | **Balance** | | **ASHA Grant** |  |  |  | | **Community Contribution** |  |  |  | | **VDC's Cont.** |  |  |  | | **Other sources** |  |  |  | | |
| Reached implementation plan outputs as per Grant Agreement: |  | |
| Unachieved outputs according to the Grant Agreement |  | |
| Problems in the implementation and possible solutions: |  | |
| Assessment on sub-project impact on productivity and incomes: |  | |
| Notes on future work: |  | |
| Request receive ownerships rights to purchased goods: |  | |
| Principal Applicant: |  | |
| Signature and date: |  | |
| **[ *For official Only* ]** | | | |
| **Received by the ASHA on date:** | | [*dd/mm/yy*] | |
| **Name and Signature of ASHA Specialist:** | |  | |

Annex: 13-Completion Certificate

Certification of Work Completion

This Certificate is Awarded to M/S………………………………………..{name of group/individual),

District: ……………….., VDC:…………………………………………………………

in Appreciation of successful completion of the sub-project:…………………………………… with the cost of NPR…………………………….

**District Project Coordinator**

**Date: ………………………….**

Adaptation for Smallholders in Hilly Areas (ASHA), Project

District …. …………………………

1. Considering that under Climate resilient community infrastructure and land management and Smallholder Climate Adapted Production Scheme, there will be list of activities with the Sub-project code, and which will be entered in the above mentioned box [↑](#footnote-ref-1)
2. Brahmin, Chhetri, Thakuri, Newar [↑](#footnote-ref-2)
3. Users Committee [↑](#footnote-ref-3)