



सत्यमेव जयते  
 Government of India  
 Ministry of Jal Shakti  
 Department of Water Resources,  
 River Development & Ganga Rejuvenation



# ATAL BHUJAL YOJANA (ATAL JAL)

PROGRAM GUIDELINES  
 (VERSION 1.1)





**Government of India**

**Ministry of Jal Shakti**

**Department of Water Resources, River Development & Ganga Rejuvenation**

## **ATAL BHUJAL YOJANA (ATAL JAL)**



**Program Guidelines**

# ATAL BHUJAL YOJANA ( ATAL JAL)

## PROGRAM GUIDELINES

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## Abbreviations and Acronyms

AFS	Audited Financial Statement
AWP	Annual Work Plans
AMP	Aquifer Management Plan
BETA	Bank-executed Technical Assistance
C&AG	Comptroller and Auditor General
CAAA	Controller of Aid, Accounts, and Audit
CBO	Community-based Organization
CGWB	Central Ground Water Board
DDO	Drawing and Disbursing Officer
DIP	District Implementation Partner
DLI	Disbursement-linked Indicator
DoWR, RD&GR	Department of Water Resources, River Development and Ganga Rejuvenation
DPMU	District Program Management Unit
DWLR	Digital Water Level Recorder
EAT	Expenditure-Advance-Transfer
ESSA	Environmental and Social Systems Assessment
FM	Financial Management
GDP	Gross Domestic Product
GoI	Government of India
GP	Gram Panchayat
GO	Government Order
GPC	Gram Panchayat Cluster
GRS	Grievance Redressal Service
GWMR	Groundwater Management and Regulation Scheme
IEC	Information, Education, and Communication
IFSA	Integrated Fiduciary Systems Assessment
IMD	India Meteorological Department
IT	Information Technology
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act 2005
MIS	Management Information System
MoF	Ministry of Finance
MoJS	Ministry of Jal Shakti
NABL	National Accreditation Board for Testing and Calibration Laboratories
NAQUIM	National Program on Aquifer Mapping and Management
NISC	National Inter-Departmental Steering Committee
NPMU	National Program Management Unit
NWIC	National Water Informatics Center
O&M	Operation and Maintenance
PAP	Program Action Plan
PDO	Program Development Objective
PforR	Program for Results
PFMS	Public Financial Management System

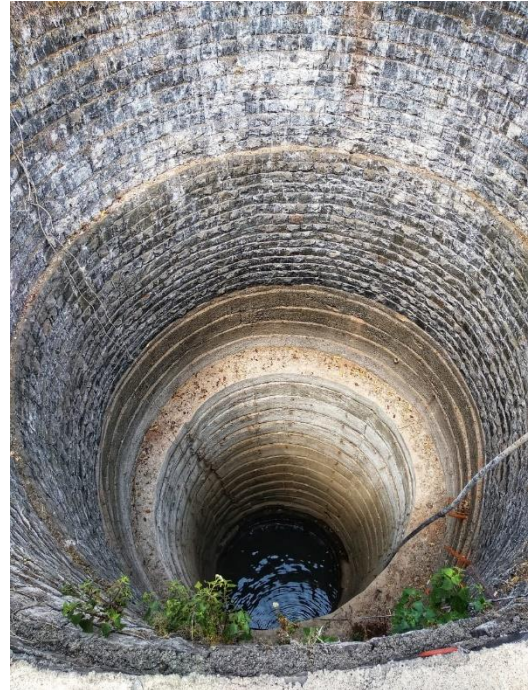
PGWM	Participatory Groundwater Management
PIU	Program Implementation Unit
PMKSY	Pradhan Mantri Krishi Sinchayee Yojana
PMU	Program Management Unit
PG	Program Guidelines
PRI	Panchayati Raj Institution
SGWRC	State Ground Water Resource Centre
SISC	State Inter-departmental Steering Committee
SPMU	State Program Management Unit
TA	Technical Assistance
TOR	Terms of Reference
TPGVA	Third Party Government Verification Agency
WMC	Water Management Committee
VWSC	Village Water & Sanitation Committee
WSP	Water Security Plan
WUA	Water User Association



# Chapter 1: Background

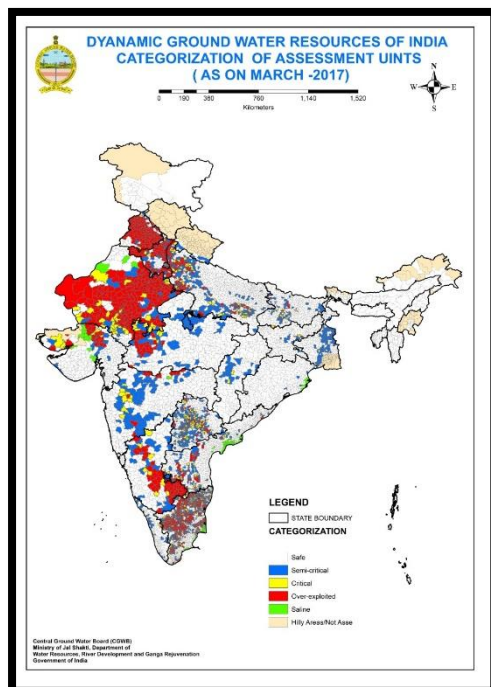
## 1.1 Context

1. Ground water has played an important role in increasing food and agricultural production, providing safe drinking water and facilitating industrial development in India. It contributes fresh water to meet the requirement of nearly 65% of total irrigated area, nearly 85% of the rural drinking water supply and 50% of the urban drinking water needs of the country. Over the last three decades, the rapid expansion in the use of groundwater, primarily for irrigation, has contributed significantly to its agricultural production and overall economic development. This has also resulted in India becoming the largest ground water extractor in the World.



2. The rapid and extensive extraction of ground water, however, has come at a price. The limited ground water resources in the country are under threat due to indiscriminate use. Intensive and unregulated ground water pumping in many areas has caused rapid and widespread decline in ground water levels. As per the latest Dynamic Ground Water Resources Assessment (2017), carried out by CGWB jointly with the States, out of total number of 6881 blocks / mandals / taluqs / firqas , 1186 have been categorized as 'Over exploited', meaning that the groundwater extracted for various purposes from these areas is more than what is replenished annually from rainfall

and other sources. Further, as per studies conducted by CGWB, nearly 61% of the observation wells monitored by CGWB in the country are showing a long-term declining trend in ground water levels. There is, therefore, an urgent need for improving groundwater governance and management in the country.



3. Impact of climate change on ground water is emerging as a major challenge. The increasing variability in rainfall could mean more frequent and prolonged periods of droughts and floods. The effects of climate change on groundwater may result in a long term decline in groundwater storage, saline intrusion in coastal aquifers due to sea level rise and overall resource reduction. Therefore, sustainable ground water management, aimed at ensuring sufficient ground water for the future generations is essential to mitigate such adverse impacts. Decline in the storage and availability of ground water is likely to adversely affect all sectors of the economy.

4. Various interventions, taken up as part of the

Central and State Government Schemes such as MGNREGS, PMKSY, State Schemes etc. have succeeded in replenishment of ground water resources to some extent and consequent rise in ground water levels in some areas of the country. However, there is still no significant improvement in the existing ground water management practices or in the status of ground water resources at Block/District levels in major parts of the country. This could be due to various reasons, including lack of scientific data/knowledge at appropriate levels in various interventions, unscientific location of recharge/ harvesting structures, focus on issues other than ground water, lack of attention to prioritization of the water-stressed areas etc. Analysis of the efforts made so far indicate that the emphasis has been on measures aimed at increase in the availability of ground water (supply side measures) rather than reducing the demand (demand side measures). In general, there has been limited community involvement in planning, execution and maintenance of structures constructed under such schemes. There are, however, some instances where community and stakeholders' participation in ground water management has been able to make significant positive impact on the ground water regime.

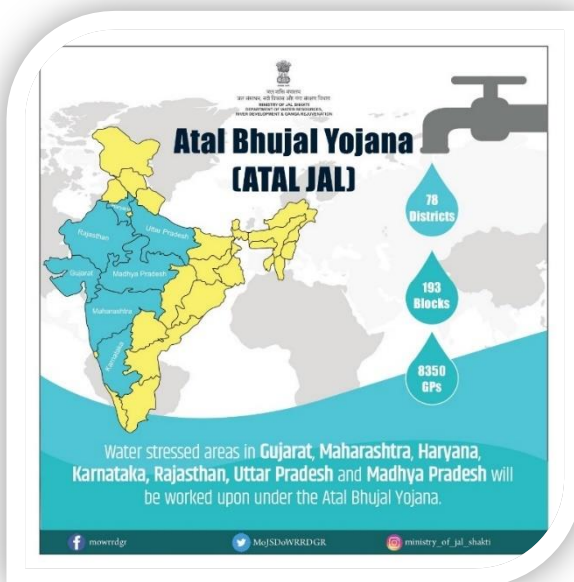
5. In recent years, there have been several promising attempts at groundwater management with community participation in different parts of the country. These include the Andhra Pradesh Farmer Managed Groundwater Systems (APFAMGS), Managed Aquifer Recharge through Village-level Intervention (MARVI) in Rajasthan and Gujarat, and water budget-based holistic water management in Hiwre Bazaar village in Maharashtra. These pilot initiatives have demonstrated how demand for groundwater can be reduced if timely information on groundwater availability is provided to communities, multiple agencies work together and communities are engaged in the planning process. These pilots have resulted in customized participatory approaches that meet specific needs of alluvial and hard rock aquifers. Most of these success stories of participatory ground water management are community driven and self-financed which, at times, becomes a bottleneck in replicating such initiatives elsewhere.

6. With time, the government and policy makers have recognized the potential of community led ground water management and the need to institutionalize such initiatives through convergence of Govt. initiatives with emphasis on demand side management and behavioral change for ensuring the long-term sustainability of ground water in the country. Atal Bhujal Yojana is a major step in this direction.

## 1.2 Atal Bhujal Yojana (Atal Jal)

7. The goal of Atal Bhujal Yojana (Atal Jal) is to demonstrate community-led sustainable ground water management which can be taken to scale. The major objective of the Scheme is to improve the management of groundwater resources in select water stressed areas in identified states viz. Gujarat, Haryana, Karnataka, Madhya Pradesh, Maharashtra, Rajasthan and Uttar Pradesh.

8. Atal Jal is targeted at sustainable ground water management, mainly through convergence among various on-going schemes with the active involvement of local communities and stakeholders. This will ensure that in the Scheme area, the funds





allocated by the Central and State governments are spent judiciously to ensure long term sustainability of ground water resources. The convergence shall further result in incentives to State Governments for suitable investments, aided by strong data base, scientific approach and community participation. The scheme has been designed as a pilot with the principal objective of strengthening the institutional framework for participatory ground water management. It also aims at bringing about behavioral change at the community level through awareness programs and capacity building for fostering sustainable ground water management in the participating States

### 1.3 Program Guidelines

9. The primary purpose of the Program Guidelines (PG) is to define the framework, policies and procedures for effective implementation of the scheme. It is acknowledged that we will learn from the experience of implementation of the program and therefore the program guidelines will need to be revised from time to time. These Program Guidelines shall, therefore, be a **living document** and will serve as a ready reference to the implementing agencies at the national, state, district and Gram Panchayat (GP) levels. The PG will be the guide for all activities related to Atal Bhujal Yojana. The current PG and its subsequent revisions will be available online on the portal of Atal Bhujal Yojana, which will be developed.

### 1.4 Key Definitions and Terminologies in Atal Bhujal Yojana (ATAL JAL)

10. Important definitions and terminologies used in these guidelines are given below:

- (a) **District Program Management Units (DPMUs).** These are units established in the project districts to facilitate implementation of Atal Bhujal Yojana. They will be supported by relevant experts and District Implementation Partners (DIPs) recruited by the SPMUs and DPMUs in implementation of the approved activities under the Program.
- (b) **Disbursement Linked Indicators (DLIs).** These are result indicators linked to disbursement of funds by the World Bank. Funds shall be dispersed subject to achievement of the result indicators by the implementing agencies.
- (c) **Implementing agencies.** The National Program Management Unit (NPMU) at the national level and line departments/State Program Management Units (SPMUs) established in the participating states.
- (d) **Third Party Government Verification Agency (TPGVA).** This is a Government agency hired by the DoWR, RD&GR to carry out verification, assessment and certification of the achievements of DLIs under the scheme.
- (e) **Department of Water Resources, River Development and Ganga Rejuvenation (DoWR, RD&GR), Ministry of Jal Shakti.** This is the Department responsible for implementation of Atal Bhujal Yojana, aided by the World Bank. The Department will establish a National Program Management Unit (NPMU) at the central level, mandated with the responsibility of management and implementation of the Scheme in the participating states of Gujarat, Haryana, Karnataka, Maharashtra, Madhya Pradesh, Rajasthan, and Uttar Pradesh.
- (f) **Atal Bhujal Yojana Disbursement Guidelines.** The detailed guidelines for disbursement of funds from the World Bank to the DoWR, RD&GR and by the DoWR, RD&GR to the participating states upon achievement of the Program DLIs.

- (g) **National Program Management Unit (NPMU).** A unit established within the DoWR, RD & GR at the central level for the management and coordination of program implementation of the Scheme.
- (h) **Program Implementing Agency (PIA).** The nodal agency/department authorized by the State government in the participating State to implement the Program.
- (i) **PforR (Programme for Results).** This is a lending instrument of the World Bank wherein funds are disbursed against achievement of the agreed results, independently verified, and reported by a third party.
- (j) **State Program Management Unit (SPMU).** This is a Program Management Unit (PMU) under the PIA to supervise and manage the program implementation on a day-to-day basis. Hired experts will provide technical support to the SPMUs, DPMUs and GPs in the states in program planning, designing, budgeting, training and capacity building of stakeholders, implementation, monitoring, and reporting.
- (k) **District Implementation Partners (DIPs)** , consisting of one or more NGOs / CBOs hired by the SPMU and shall facilitate handholding of the GPs in various aspects of the scheme, including development of water budgets and Water Security Plans (WSPs); community mobilization; formation of Water User Associations (WUAs); data collection; information, education, and communication (IEC) activities; etc.
- (l) **Verification protocol.** This is a protocol used to measure the result indicators agreed by the DoWR, RD&GR with the World Bank.
- (m) **Water Security Plan (WSP).** This is a plan that specifies investments and actions to meet water demands of a community in a specific GP, tailored to meet the particular challenges in the GP, and includes any water-related investments/actions to ensure optimum utilization of surface and groundwater available in the GP to serve their needs and needs to be finally approved by the Gram Sabha. An indicative WSP template shall be prepared and shared with the States separately.
- (n) **Water accounting/budgeting.** This is an accounting tool of available water resources and various uses at the GP level. The purpose of the water budget is to assess surface and groundwater resources and identify current and future needs as a basis for planning. The water budget will be prepared by the GP with the help of the DPMU and SPMU. It will be updated on a regular basis (preferably season-wise, but at least every year).

## Chapter 2: Program Description and Components

### 2.1 Program description

1. **Atal Bhujal Yojana (Atal Jal)** is a Central Sector Scheme with an outlay of INR 6000 crore, out of which INR 3,000 crore will be as loan from the World Bank and INR 3,000 crore as matching contribution from the Government of India (GoI). The funds under the scheme shall be provided to the states as grants-in-aid. The World Bank financing will be done under a new lending instrument, that is, Program for Results (PforR), wherein funds under the scheme will be disbursed from the World Bank to the GoI based on achievement of pre-agreed results.

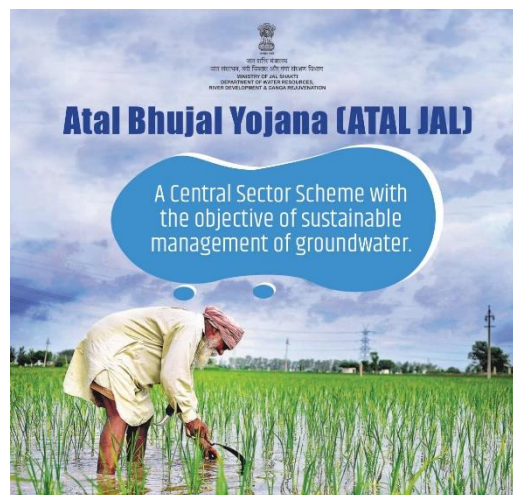
2. The scheme will be implemented over a period of five years from 2020-21 till 2024-25.

3. The States for implementation of the scheme, viz. Gujarat, Haryana, Karnataka, Madhya Pradesh, Maharashtra, Rajasthan and Uttar Pradesh have been selected according to a number of criteria, including degree of groundwater exploitation and degradation, established legal and regulatory instruments, institutional readiness, and experience in implementing initiatives related to groundwater management. The selected states account for about 37% of the total number of water-stressed (over-exploited, critical and semi-critical) blocks in India. They are underlain by two broad types of aquifer systems found in India i.e. alluvial or unconsolidated aquifers and hard rock or consolidated aquifers and span a broad spectrum in terms of established legal and regulatory provisions, institutional readiness and experience in groundwater management. The districts/Blocks/ Gram Panchayats for implementation of the scheme in the identified States have been finalized by the respective States. In general, these areas are over-exploited or water stressed. Addressing various challenges with respect to ground water including over-exploitation is expected to have a significant impact in ensuring sustainable management of available ground water resources in these States.

4. The details of area of implementation of Atal Bhujal Yojana are given in table 2.1.

Table 2.1. Details of area of implementation of Atal Bhujal Yojana

S.No.	State	Districts	Blocks	GPs
1	Gujarat	7	34	2,201
2	Haryana	13	36	1,895
3	Karnataka	14	41	1,199
4	Madhya Pradesh	6	9	672
5	Maharashtra	13	38	1,339
6	Rajasthan	17	38	1144
7	Uttar Pradesh	10	26	550
	<b>TOTAL</b>	<b>80</b>	<b>222</b>	<b>9,000</b>



5. The present scheme would encourage community engagement and inculcate behavioral changes for judicious ground water management at Gram Panchayat level. This participatory approach is crucial for addressing groundwater challenges in the long term. In fact, this is the first scheme of its kind which will involve community based planning; monitoring; sharing and use of ground water data; capacity building of all stakeholders to demystify the complex science of ground water; community led groundwater management through a combination of demand side / supply side management measures.

6. The scheme will also support participating states in applying alternative approaches to groundwater governance through direct engagement with groundwater users and beneficiaries. The critical role of the central agencies will be in the demystification of science required for groundwater management, facilitating training and other capacity building, and providing uniform standards and guidelines for quality assurance and coherence across participating States.

7. A strong institutional structure has been proposed with appropriate linkages to ensure enhanced participation of state departments/agencies. Stakeholder involvement at the local/community level in planning and implementation of interventions shall be ensured through a participatory groundwater management approach.

8. This scheme is designed to facilitate sustainable groundwater management by operationalizing a results-oriented approach. This is to be done through incentivizing behavioral change in the planning, design, and implementation of groundwater-related investments and interventions.

9. Strengthening the institutional and information framework will be a key feature in sustainable groundwater management. Developing a strong evidence based on the extent of the challenges and criticality in addressing them as part of this scheme will pave the way for more reforms in the longer run.

## 2.2 Objective

10. The primary objective of this Scheme is “to improve the management of groundwater resources in the water stressed areas of the selected States.” This will be achieved by implementing appropriate investments/management actions led by community through convergence of various ongoing /new central and state schemes.

## 2.3 Components of Atal Bhujal Yojana (ATAL JAL)

11. The scheme has two components, viz. i) Institutional Strengthening and Capacity Building Component, aimed at strengthening the ground water governance mechanism in the participating States and ii) Incentive Component, aimed at rewarding/incentivizing the States for various measures aimed at ensuring the long-term sustainability of ground water resources. Through a combination of institutional strengthening, community mobilization, convergence among ongoing schemes and incentivization of good performance, the scheme aims to bring synergy among various on-going schemes and ensure benefits and dividends at minimal cost in the identified ground water stressed areas.

### 2.3.1 Institutional Strengthening & Capacity Building Component

12. This component is for strengthening institutional arrangements and capacity in the states for enabling them to sustainably manage their groundwater. Expenditure under this component shall include (a) expenditure on training and capacity building to enhance institutional capacity for effective groundwater management at all levels (including costs of engaging experts/consultants, equipment etc.), (b) cost of preparing Water Security Plans (WSPs), including engagement of District Implementation Partners (DIPs) viz. community-based organizations (CBOs)/nongovernmental organizations/etc. and (c) costs of Monitoring & Evaluation (M&E), independent verification, audit fees, Program management etc.

### 2.3.2 Incentive Component

13. Under this component, funds will be released to state agencies for incentivizing or rewarding the States / Districts / GPs that bring convergence among various schemes of the central and state governments as well as to take up interventions promoting sustainable ground water management through community participation. The disbursement under this component will be linked with the performance of states against the identified Disbursement Link Indicators (DLIs)

### 2.3.3 Scheme Outlay

14. The scheme outlay under the two components mentioned above is as below:

S.No.	Component	Outlay (Rs. in crore)		Total (Rs. in crore)
		Govt. of India	World Bank	
1	Institutional Strengthening & Capacity Building	1400	-	1400
2	Incentive Component	1600	3000	4600
	<b>TOTAL</b>	<b>3000</b>	<b>3000</b>	<b>6000</b>

15. For expenditure under the Incentive Component, the annual disbursements from the World Bank to the DoWR, RD&GR shall be based on the state's aggregated achievements in respect of each of the DLIs. The cycle of disbursement on achievement of results associated with each DLI and their verification by the Third Party Government Verification Agency (TPGVA) will be repeated on an annual basis.

### 2.4 Disbursement Linked Indicators (DLIs)

16. These are result indicators linked to disbursement of funds by the World Bank under the Incentive component of the scheme. Funds shall be disbursed subject to achievement of the result indicators by the implementing agencies. Selection of DLIs has been guided by (i) activities which need to be done for sustainable management of ground water, (ii) measurability and ease of verification and



(iii) capacity of stakeholders to achieve the results. Taken together, these DLIs, while focusing on the objective of the Scheme, provide incentives for achieving key milestones towards the ultimate goal of the scheme i.e. improving ground water management with community participation.

17. The achievement of DLIs results in disbursements of the funds to the states based on their measurement and verification by a Third Party Government Verification Agency. Upon receipt of incentives, the same may be used for any activity related to groundwater improvement covered under Atal Bhujal Yojana, excepting those detailed in the negative list given in paras 27-30 under sub-section 2.8 below.

18. Five DLIs have been selected out of which the first four DLIs incentivize the activities leading to sustainable management of ground water while the fifth DLI is related to the outcome of the four DLIs. The DLIs have been defined as below:

**DLI#1 - Public disclosure of ground water data/information and reports:** This DLI incentivizes the strengthening of groundwater management institutions to ensure collection and public disclosure of groundwater related information.

**DLI#2 - Preparation of Community-led Water Security Plans:** This incentivizes the roll-out of a standardized bottom-up participatory groundwater planning process.

**DLI#3 - Public financing of approved Water Security Plans through convergence of ongoing/new schemes:** The DLI incentivizes the use of the standardized bottom-up groundwater planning process to improve the effectiveness of public financing and align implementation of various government programs on groundwater.

**DLI#4 - Adoption of practices for efficient water use:** which incentivize the implementation of demand-side measures within the WSPs and signals the importance of shifting focus away from supply-side measures toward demand-side measures to improve groundwater conditions.

**DLI#5 Improvement in the rate of decline of groundwater levels:** incentivizes the arrest in decline of groundwater levels

19. A more detailed description of the DLIs are provided in Chapter 5 of this document

## 2.5 Scheme Cost

20. The estimated cost of Atal Bhujal Yojana is INR 6,000 over five years, divided between the GoI and the World Bank. The breakdown of the financing is as shown in table 2.2.

**Table 2.2. Atal Bhujal Yojana Financing**

Source	Amount cr. (INR)	% Total
GoI funding	3,000	50
World Bank (PforR)	3,000	50
<b>Total Program Financing</b>	<b>6,000</b>	<b>100</b>

21. The indicative allocation under Atal Bhujal Yojana to the NPMU and Participating States is shown in table 2.3.

**Table 2.3. Indicative Allocations under Atal Bhujal Yojana (INR, crores)**

Component	NPMU	GUJ	HAR	KAR	M.P	MAH	RAJ	U.P	TOTAL
Institutional Strengthening and Capacity Building	159.33	217.65	252.67	194.51	103.62	188.26	164.68	119.28	1,400.00
Incentive		539.11	470.52	1007.01	210.92	737.51	1024.97	609.96	4,600.00
<b>TOTAL</b>	<b>159.33</b>	<b>756.76</b>	<b>723.19</b>	<b>1201.52</b>	<b>314.54</b>	<b>925.77</b>	<b>1189.65</b>	<b>729.24</b>	<b>6,000.00</b>

## 2.6. Program Scope and Boundaries

22. The scheme envisages addressing four critical issues relating to sustainable groundwater management, that is, state-specific institutional frameworks for sustainable groundwater management; enhancement of groundwater recharge; improvement of water use efficiency; and strengthening of community-based institutions to foster ground water management.

23. A set of typical interventions that qualify under Atal Bhujal Yojana are as follows:

- (a) **Demand-side interventions.** Practices for efficient water use in agriculture, including, but not limited to,
  - (i) Micro-irrigation practices such as drip/sprinkler systems;
  - (ii) Use of recycled / reused water for irrigation
  - (iii) Underground pipelines;
  - (iv) Crop diversification including promotion of rainfed horticulture
  - (v) Feeder separation for irrigation power supply;
  - (vi) Pressurized irrigation in canal command areas; and
  - (vii) Any other area-specific water efficient/water-saving methods and practices.
  
- (b) **Supply-side interventions.** Artificial recharge and water conservation structures, including, but not limited to,
  - (i) Check dams;
  - (ii) Percolation ponds;
  - (iii) Contour bunds/trenches;
  - (iv) Drainage line treatment (ridge to valley approach);
  - (v) Recharge trenches/shafts/wells;

- (vi) Vented dams / bandharas / bandharas under existing bridges and so on;
- (vii) Sub-surface dykes;
- (viii) Farm ponds;
- (ix) Gully plugs/Nala/Nalla bunds/gabions; and
- (x) Any other area-specific recharge/water conservation/rainwater harvesting method.

## 2.7 Challenge Method under Atal Bhujal Yojana

24. The incentivization money under the scheme is fungible and the scheme incorporates the principles of the 'Challenge Method' suggested by the Cabinet Secretariat and NITI Aayog, that is, (a) selection of most appropriate sites: area identified on the basis of groundwater stress; (b) commitment of stakeholders: participatory process and involvement of all concerned departments; (c) encouraging of innovation and technology: through use of remote sensing and GIS; (d) speedy implementation: ensured by annual verification of results; (e) transparency and accountability: through MIS and geo-tagging; and (f) promoting of competitive federalism where nonperforming states/districts /blocks /panchayats will not qualify for disbursement and resources will be reallocated to performing ones.

25. Thus, the Institutional strengthening & Capacity building Component of INR 1,400 crore shall cover the entire scheme area, that is 9,000 GPs as proposed by the states. The GPs shall, therefore, benefit from the institutional strengthening as the foundation to reap the benefit from the scheme. This would comprise activities like construction of piezometers, installation of equipment like DWLRs and rain gauges, capacity building for water budgeting, preparation of WSPs, assistance for PIA, SPMU and DPMUs and so on.

26. The Incentive Component shall be worked out annually and based on actual achievement by GPs/districts/State. Thus, it is proposed to include 5,750 GPs distributed across all the participating states to be considered under this component of Atal Bhujal Yojana. Because the incentives are performance based, this will motivate states to give their best in achieving the results to stake higher claims in 'Incentives' under the scheme. Thus, well-performing states shall be entitled to higher funds as compared to the nonperforming ones. Atal Bhujal Yojana, therefore, is one of the few schemes to adopt the 'Challenge Method' and also in keeping with the principles of 15<sup>th</sup> Finance Commission which proposes to promote competitive federalism.

## 2.8. Program Exclusions

27. Some potential investment categories which will be excluded from Atal Bhujal Yojana are

- (a) Construction of major dams and new large-scale irrigation systems; and
- (b) Industrial wastewater collection, treatment, and using it for recharging ground water.

28. In addition, activities that are likely to have significant adverse impacts on the environment that are sensitive, diverse, or unprecedented and/or affect people are not eligible for financing under the Program.

29. Similarly, activities that involve procurement of works, goods, and services of high-value contracts will normally not be eligible for financing. Therefore, the Program will exclude activities that involve procurement of (a) works, estimated to cost INR 300 crore or more per contract; (b) goods, estimated to cost INR 180 crore or more per contract; (c) non-consulting services, estimated to cost INR 120 crore or more per contract; and (d) consulting services, estimated to cost INR 90 crore or more per contract.

30. The following expenditures will be considered *ineligible* to draw Program funds, both at the national and state levels:

- (a) Salaries of government employees assigned to the project.
- (b) Activities which do not fall within the functional mandate of GPs or PIA or line departments or PMU/special purpose vehicles (SPVs) and/or those which are not permitted in terms of any official rules and GOs and specific items agreed with World Bank through the Loan Agreement no. 8874-IN for this Program.
- (c) Construction or maintenance of any religious structures (such as temple, mosque, church, tomb) or monuments.
- (d) Any activity relating to development of hotels, restaurants, resorts, or other commercial ventures.
- (e) Activities of a military or paramilitary nature, including support to these establishments.
- (f) Purchase or manufacture of alcoholic beverages.
- (g) Purchase of tobacco, unmanufactured, tobacco refuse.
- (h) Purchase of tobacco, manufactured (whether containing tobacco substitutes).
- (i) Purchase of radioactive and associated materials.
- (j) Purchase of land by the GPs/municipalities.
- (k) Purchase or manufacture of pearls, precious and semiprecious stones, un-worked or worked.
- (l) Purchase of Nuclear reactors and parts thereof, fuel elements (cartridges), non-irradiated for nuclear reactors.
- (m) Purchase of Jewelry of gold, silver, or platinum group metals and goldsmiths' or silversmiths' wares (including set gems).
- (n) Purchase of Gold, non-monetary.
- (o) Purchase of vehicles.

## Chapter 3: Activities

1. Atal Bhujal Yojana envisages specific activities at the Gram Panchayat, District, State and National levels to achieve the stated objectives. These are described in detail in the following sections

### 3.1 Gram Panchayat (GP) Level

2. Important activities at the GP level will include: i) ensuring community participation in planning sustainable management of ground water, ii) development of GP level water budgets and iii) preparation of GP-level Water Security Plans (WSPs).

3. The planning process at the GP level will start with awareness creation and sensitization of the local communities, followed by the measurement of ground water levels and rainfall. The equipment for measurement (Digital Water Level Recorders, hand held tapes / sounders, simple rain gauges and water quality testing kits) is to be procured by the State Program Management Unit (SPMU). Digital Water Level Recorders (DWLRs) would be installed in earmarked piezometers / dug wells to have continuous record of data. Each Gram Panchayat would have one DWLR, the data from which will be received at different levels including the MIS of Atal Jal and NWIC. Volunteers from the Gram Panchayats will be identified and trained by the District Implementation Partners (DIP) in data collection. There will be one hand held tape / sounder, rain gauge and water quality testing kit for each GP. The data collected will be made available to the public by the GP by displaying it at prominent places in the GP (Panchayat office, etc.). The data collected by volunteers and received from DWLRs will be analyzed, interpreted and published as a report at Block Level. This data would serve as a valuable input for water budgeting and preparation of Water Security Plans.

Standard data collection templates along with probable data sources shall be provided for preparation of base line data at GP level. To ensure the accuracy and reliability of data, it will be subjected to primary validation in respect of specific parameters like ground water level, rainfall, soil health and cropping pattern through historical data available with concerned agencies at central and state level viz. CGWB, Dept. of Agriculture and IMD.

4. A water budget is an account of the available water resources and their various uses. The purpose of the water budget is to assess surface and groundwater resources and identify current and future needs as a basis for planning. The water budget will be prepared by the GP with the support of the Water Management Committees (WMC)/Village Water & Sanitation Committee (VWSC), aided by the District Implementation Partners engaged. It will be updated on a regular basis (at least once every year).



5. Water Security Plans (WSPs) will be prepared on the basis of water budgets. WSPs will cover a period of five years. The plans will specify investments and interventions to meet the anticipated demands while ensuring sustainable water use. WSPs will be customized to meet the specific challenges in the GP and include any water-related investments/interventions that serve the purpose. The plans will be prepared by the GP with the support of the WMC/ VWSC as the case may be. Participation of



women and vulnerable groups will be ensured through membership in Committees and attendance in meetings. Care will be taken to ensure that measures/ interventions to ensure sustainability of ground water based sources of drinking water supply are incorporated in the WSPs by establishing necessary linkages with agencies dealing with the Jal Jeevan Mission at the GP level. The plans will be approved by the Gram Sabha, as is the standard procedure for all planning done at the GP level.

6. The GP will be guided and assisted in preparing water budgets and WSPs by persons/agencies hired by the state PIA. These persons/agencies will work hand in hand with community water groups (such as WMCs, VWSCs or other similar entities) that are established or strengthened under the Scheme. This will ensure community participation in the process, ownership of its outcome, and consistency with the Program objectives. For groundwater management, community participation is particularly critical because groundwater is a common pool resource, which requires a collective response.

7. The detailed break-up of the activities envisaged at the GP level, along with indicative time lines is given in **Table 3.1**.

**Table 3.1 Activities under Atal Bhujal Yojana at Gram Panchayat (GP) level**

Function	Activity	By Whom	Time Lines
Investment planning and budgeting, water budgeting, and WSPs	<ul style="list-style-type: none"> <li>(a) Have community consultations on groundwater management investment plans for 2020–21 to 2024–25.</li> <li>(b) Collect demographic data and beneficiary census</li> <li>(c) Support persons/agencies engaged by the PIA and ensure community participation in the consultations for preparation of water accounting/budgets and WSPs</li> <li>(d) Finalize and submit WSPs</li> <li>(e) Update AWP</li> <li>(f) Facilitate formation and operation of WUAs</li> </ul>	GPs, persons/agencies engaged/PIA	<ul style="list-style-type: none"> <li>(a) By April–June, every year. By end of August for the year 2020</li> <li>(b) By Oct, 2020</li> <li>(c) First year</li> <li>(d) By 31 October every year*.</li> <li>(e) Continuous</li> <li>(f) Continuous</li> </ul>
Implementation Stage	<ul style="list-style-type: none"> <li>(a) Contribute historic, practical knowledge and experience of water availability and cropping patterns in the area</li> <li>(b) Discuss and communicate to community their roles and responsibilities in complying with their contributions to achieve the goals and objectives</li> <li>(c) Facilitate land acquisition, if any, required for setting up groundwater-level monitoring wells and/or other related infrastructure</li> <li>(d) Support DPMUs and others during implementation of envisaged activities</li> </ul>	Community, WMC and VWSC	<ul style="list-style-type: none"> <li>(a) Continuous</li> <li>(b) Continuous</li> <li>(c) As required from time to time</li> <li>(d) Continuous</li> <li>(e) Continuous</li> <li>(f) Continuous</li> <li>(g) Annually or as required</li> </ul>

Function	Activity	By Whom	Time Lines
	<p>(e) Coordinate with DPMU, block-, and district-level administration for assistance in monitoring, implementation, community communications, and behavior change initiatives</p> <p>(f) Have regular meetings with WUAs</p> <p>(g) Update WSPs</p>		
Institutional strengthening and Capacity building	<p>(a) Convene Gram Sabha for review/discussion of water budget/WSP and passage of resolution approving the WSP</p> <p>(b) Submit Gram Sabha-approved WSP to DPMU for further approvals</p> <p>(c) Prepare Program implementation progress reports with the help of persons/agencies engaged</p> <p>(d) Undertake data collection and entry in MIS with the help of persons/agencies engaged.</p> <p>(e) Conduct trainings and communication programs for all stakeholders with the support of persons/agencies engaged to enhance beneficiary community engagement in the program activities</p>	GP Council and WMCs, VWSCs, persons/agencies engaged	<p>(a) By 15 October*</p> <p>(b) Continuous</p> <p>(c) Continuous</p> <p>(d) Continuous</p> <p>(e) Continuous</p>
Citizen's feedback, Grievance Redressal System	<p>(a) Record citizen's feedback, consolidate, and compile into a report for public dissemination</p> <p>(b) Resolve complaints received—wherever not possible, submit it to DPMU for resolution</p>	GP Secretary, WMC, and WUAs	<p>(a) Continuous</p> <p>(b) Continuous</p>
Financial Management	<p>(a) Open a separate Atal Bhujal Yojana cashbook</p> <p>(b) Monitor and track utilization of scheme funds</p> <p>(c) Conduct annual audit following the existing auditing arrangements</p>	GP Secretary	<p>(a) First year</p> <p>(b) Continuous</p> <p>(c) Every year</p>
Reporting; documentation	<p>(a) Prepare progress report with the help of persons/agencies engaged and submit the same to DPMU</p> <p>(b) Data on irrigated land area, type of cropping and so on</p>	Agency engaged and endorsed by GP Sarpanch / CEO Zilla Panchayat	<p>(a) Quarterly</p> <p>(b) Continuous</p>

\* Commencement of these activities in the first year is likely to be delayed in view of the constraints arising out of the COVID-19 pandemic.

### 3.2 District Level

8. The DPMU will have the following major functions:
  - i. Consolidation, validation and aggregation of WSPs at the district Level and submission to PIA for allocation of budgets.
  - ii. Ensuring convergence of interventions in the WSPs with the ongoing Government Schemes (eg. MGNREGS, PMKSY, other Central /State sector schemes) and broad conformity with the ground water component of the District Irrigation and Water Conservation Plans
  - iii. Evaluate and identify measures that are needed to ensure that the investments have their intended impact (for example, restrictions on irrigated area for investments in drip irrigation)
  - iv. Allocation of budget from various sources for investments / interventions in the district level aggregated plans
  
9. The detailed break-up of the activities envisaged at the district level, along with indicative time lines is given in **Table 3.2**

**Table 3.2 Activities under Atal Bhujal Yojana at District level**

Functions	Activity	By Whom	Time Lines
Program management and implementation supervision	(a) Establish District Level Program Implementation Units (DPMUs) with core and support staff	PIA/SPMU	(a) By Aug 15, 2020
	(b) Coordinate with block- and GP-level administration to ensure use of participatory processes for preparation/ updating of WSPs with the assistance of persons/agencies engaged		(b) Continuous
	(c) Consolidate, review district-level WSPs, and accordingly prepare district-level Action Plan & budgets		(c) By 15 November every year*
	(d) Ensure submission of budgets and cost estimates for approval, allocation and disbursement by PIA		(d) By 15 August every year*
	(e) Consolidate, review, and update Annual Work Plans (AWPs) submitted by GPs and submit the same to PIA.		(e) By 30 Oct every year*
	(f) Review WSPs and water accounting in a holistic manner, drawing support from PIA/SPMU.		(f) Continuous
	(g) Facilitate convergence of funds from different sources/schemes for activities to support groundwater improvements as recommended in WSP	DPMU with support of /SPMU/ DIP	(g) Annually during budgeting
	(h) Prepare and consolidate AWP for the district/division and approve WSPs		(h) Annually
	(i) Submit copies of approved WSPs to state PIAs		(i) Annually
	(j) Guide Program partners and persons/agencies engaged in		(j) Continuous
			(k) First year
			(l) First Year

Functions	Activity	By Whom	Time Lines
	<p>implementation of WSPs developed</p> <p>(k) Facilitate in recruitment of persons/agencies engaged which have a footprint in the project area to assist DPMUs and GPs in implementation</p> <p>(l) Assist GPs in collection of baseline data of landowners and cropping patterns in the GP area</p>		
Procurement	<p>(a) Ensure all procurement follows the Program fiduciary guidelines prepared for Atal Bhujal Yojana</p> <p>(b) Include annual procurement plans in AWP</p> <p>(c) Feed procurement data into the program MIS</p> <p>(d) Conduct sample procurement audits</p> <p>(e) Maintain documentation of all procurements for annual reviews and audits</p> <p>(f) Ensure adequate staffing and capacity building of the selected staff</p>	DPMU and SPMU	<p>(a) Continuous</p> <p>(b) Annually</p> <p>(c) Continuous</p> <p>(d) Continuous</p> <p>(e) Continuous</p> <p>(f) First Year</p>
Financial arrangement	<p>(a) Open and maintain account in a Public Sector Bank for receipt and disbursement of funds to contractors, persons/agencies engaged, GPs, and/or communities (as applicable) for investment in program activities and/or for activities completed</p> <p>(b) Submit monthly expenditure statements with supporting documentation to PIA.</p> <p>(c) Follow approved delegation of powers for incurring expenditure</p>	DPMU	<p>(a) As required /applicable</p> <p>(b) Monthly</p> <p>(c) Continuous</p>

Functions	Activity	By Whom	Time Lines
Institutional strengthening , training and capacity building	<ul style="list-style-type: none"> <li>(a) Orientation on Program (planning phase), designing, safeguard application, procurement, FM, grievance redressal, citizens’ engagement, social inclusion &amp; gender and performance assessment applicable to PforR project</li> <li>(b) O&amp;M, quality assurance</li> <li>(c) Training for DPMU staff, engineers and data collectors</li> <li>(d) Conduct training to enhance knowledge and skills attitudes in planning, implementation, and monitoring of projects, including facilitation, group building, community mobilization, M&amp;E, engineering, coordination, need assessment training, grievance resolution, procurement, and FM</li> <li>(e) Build capacity to influence change in attitudes of communities and acceptance toward application of innovative water conservation measures, mobilization of resources for maintenance of these assets, record keeping, implementation, operation, networking, social action, social monitoring, civil society engagement and inter-personal communication in WUAs activities, and change management</li> <li>(f) Conduct experience sharing and best practices knowledge exchange workshop between inter-districts and states, non-project WUAs, VWMCs, and so on, and GP staff; undertake exposure visits and study tours to other water-stressed blocks/districts/states/countries and study interventions undertaken by them</li> <li>(g) Participate in short-term training courses of national/international repute to enhance technical capacities</li> </ul>	DPMU	<ul style="list-style-type: none"> <li>(a) Continuous</li> <li>(b) Continuous</li> <li>(c) Implementation phase</li> <li>(d) Continuous</li> <li>(e) At least on biannual basis</li> <li>(f) Initial 2 years’ quarterly basis balance program period —on annual basis</li> <li>(g) At least on annual /once in 2 years basis</li> </ul>
Reporting	<ul style="list-style-type: none"> <li>(a) Prepare implementation progress reports and other such reports, as desired by PIA.</li> </ul>	DPMU	<ul style="list-style-type: none"> <li>(a) Quarterly</li> </ul>

\* Commencement of these activities in the first year is likely to be delayed in view of the constraints arising out of the COVID-19 pandemic.

### 3.3 State Level

10. The WSP, aggregated at the district-level will be consolidated at the state level by the SPMU. The process will be identical to that followed at the district level (except for approvals). The PIA will examine and validate the district-level plans, from a cross-district perspective and on technical grounds



with guidance from regional offices of CGWB. Other investments that cut across multiple districts, as well as the requisite policy and regulatory aspects could also be included, as agreed with the line departments. The state-level plan will include Atal Bhujal Yojana budget allocations to line departments and GPs. The state-level plans will then be submitted to the SISC for its consent and approval of budgets and expenditures.

11. The area (Districts/ Blocks/GPs) for implementation of the scheme have been identified based on state specific ground water related issues and for the ease of implementation the administrative units have been taken as the basic units for implementation. However, while preparing the water security plans and implementation of supply side / demand side interventions through convergence, due care shall be taken to consolidate the plans to aquifer / hydrological boundaries for maximizing the benefits, within the scope of Atal Jal. While doing so, up to 20% change in area in terms of number of GPs will be permissible

12. The detailed break-up of the activities envisaged at the State level, along with indicative time lines is given in **Table 3.3**.

**Table 3.3 Activities under Atal Bhujal Yojana at State level**

Function	Activity	By Whom	Time Lines
Program implementation management	(a) Establish SPMU & issue notification	PIA/SPMU with support of experts hired.	(a) By Jul 31,2020
	(b) Consolidate state-level WSPs and submit approved WSPs to NPMU		(b) By Dec 31, each year*
	(c) Consolidate state-level AWP, annual budget requirements		(c) By Sept.15, each year *
	(d) Consolidate Program expenditure statements and submit to SISC for approval		(d) Monthly /quarterly
	(e) Review designs and data collected in holistic manner for the blocks		(e) Continuous
	(f) Prepare Program Fiduciary Manual and ensure compliance by all implementing agencies/partners		(f) Within first three months of program launch*
	(g) Operate and maintain Program MIS with regular data input		(g) Continuous
	(h) Prepare communication and training and capacity-building strategy for implementation		(h) First year
	(i) Conduct field visits regularly for monitoring and supervision of implementation		(i) Continuous
	(j) Support SISC and implement their directions		(j) Continuous
	(k) Coordinate with NPMU, state line departments, DPMUs, and GPs		(k) Continuous
	(l) Recruit subject experts, consultants, staff, and other procurements		(l) First year
	(m) Facilitate establishment of baseline data of landowners, cropping patterns etc. in the GPs		(m) First year
	(n) Extend support to the TPGVA during visits and other verification activities		(n) Continuous

Function	Activity	By Whom	Time Lines
Procurement	<ul style="list-style-type: none"> <li>(a) Nominate an official as the Procurement Officer and specified purchase Committees</li> <li>(b) Comply with the agreed program procurement process in accordance with the procurement framework provided in this document , further amplified in the Program Fiduciary Manual</li> <li>(c) Prepare annual plans for procurement at district and State levels</li> <li>(d) Hire experts for SPMU/DPMU</li> <li>(e) Hire District Implementation Partners</li> <li>(f) Maintain all procurement records for review</li> <li>(g) Feed procurement data into the Program MIS</li> <li>(h) Consolidate annual procurement plans received from districts and include the same in the consolidated AWP prepared for the state and submit to SISC for approval and thereafter to NPMU for concurrence</li> <li>(i) Ensure that auditors' ToR for GP, district and state-level activities include procurement performance review and compliance to the PG and submit the report to NPMU</li> <li>(j) Ensure records of all procurement and contracts, payments, extensions to be kept in an indexed manner for annual procurement review/audit</li> <li>(k) Ensure annual independent procurement review/audits are undertaken—according to the guidance of the DoWR, RD &amp; GR.</li> </ul>	SPMU and experts	<ul style="list-style-type: none"> <li>(a) By Aug 15,2020</li> <li>(b) Continuous</li> <li>(c) By Jul 31 in the 1<sup>st</sup> year and Feb 28 in subsequent years</li> <li>(d) By Aug 31, 2020</li> <li>(e) By Aug 31, 2020</li> <li>(f) Continuous</li> <li>(g) Continuous</li> <li>(h) Annually</li> <li>(i) Annually</li> <li>(j) Annually</li> <li>(k) Continuous</li> </ul>
Financial management	<ul style="list-style-type: none"> <li>(a) Open dedicated bank account in a Public Sector bank</li> <li>(b) Designate authorized signatories to operate the bank account</li> <li>(c) Prepare annual budget requirements, reconciliation, and inclusion of same in AWP/State Action Plans and submit it to NPMU for approval and release of funds</li> <li>(d) Make timely payments to GPs/, contractors, and so on</li> <li>(e) Ensure proper maintenance of records and documentation of funds received, revenue, and expenditure</li> <li>(f) Track fund releases to subordinate offices and verify utilization certificates submitted by them</li> <li>(g) Prepare monthly statement of accounts and</li> </ul>	SPMU & experts	<ul style="list-style-type: none"> <li>(a) By Jul 15, 2020</li> <li>(b) By Jul 15, 2020</li> <li>(c) Submission of AWP/and budgets by August 31<sup>st</sup> each financial year*</li> <li>(d) Continuous</li> <li>(e) Continuous</li> <li>(f) Continuous</li> <li>(g) Monthly</li> <li>(h) Audit reports for the preceding financial year to be submitted within 2nd</li> </ul>

Function	Activity	By Whom	Time Lines
	<p>reconciliation with bank statements</p> <p>(h) Submit consolidated Audited Financial Statements (AFSs) and annual procurement plans received from districts to SISC for approval</p> <p>(i) Allocate Program funds between departments for activities identified in state AWP</p> <p>(j) Allocate and disburse Program funds for districts/GPs for partial funding of activities identified through participatory process and monitor performance/results</p> <p>(k) Oversee timely release of funds to different line departments</p> <p>(l) Follow approved delegation of powers for incurring expenditure as provided in the State Fiduciary Manual</p> <p>(m) Upload monthly statement of accounts and AFS on the website for public viewing</p> <p>(n) Prepare FM report/summary for SISC</p> <p>(o) Submit audit reports to NPMU</p>		<p>quarter of each financial year*</p> <p>(i) Annually and/or as required from time to time*</p> <p>(j) As required from time to time</p> <p>(k) Continuous</p> <p>(l) Continuous</p> <p>(m) Monthly</p> <p>(n) Annually</p> <p>(o) By October each year*</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Institutional strengthening and improving capacities</p>	<p>(a) Computerize accounting and procurement systems</p> <p>(b) Prepare and circulate Program Fiduciary Manual to DPMUs and GPs</p> <p>(c) Conduct regular training to enhance fiduciary capacities at both state- and district-level implementing agencies</p> <p>(d) Map physical and financial progress and submission of reports to NPMU</p> <p>(e) Develop communication strategy for IEC activities</p> <p>(f) Citizen engagement processes and systems to be facilitated, documented and feedback loop completed</p> <p>(g) Conduct regular public dissemination of progress of implementation</p> <p>(h) Apply standard operating procedures for any land acquisition</p>	<p>PIA/SPMU, DPMU, World Bank, and DoWR, RD &amp; GR</p>	<p>(a) First year*</p> <p>(b) First Year*</p> <p>(c) First year and as required from time to time*</p> <p>(d) Continuous</p> <p>(e) First year</p> <p>(f) First year</p> <p>(g) Continuous</p> <p>(h) As required</p> <p>(i) At least once a year</p> <p>(j) Continuous and as required from time to time</p>

Function	Activity	By Whom	Time Lines
	<ul style="list-style-type: none"> <li>(i) Conduct experience sharing and best practices knowledge exchange workshop between districts and states, non-project WUAs, and GP staff, and so on; undertake exposure visits and study tours to other water-stressed blocks/districts/states/countries and study interventions undertaken by them</li> <li>(j) Participate in short-term training courses (national/international) to enhance technical capacities</li> </ul>		
Citizen's feedback, Grievance Redressal System	<ul style="list-style-type: none"> <li>(a) Prepare, approve, and operationalize Citizen's Feedback Systems and guidelines including social audit</li> <li>(b) Conduct training and capacity building of staff and other implementation partners to facilitate implementation</li> <li>(c) Establish Grievance Redressal System (preferably IT based for ease of operation)</li> <li>(d) Put in place citizen's engagement guidelines</li> <li>(e) Redress grievances received within the required time limits</li> <li>(f) Consolidate and analyze grievances received and resolved at district and GP levels to take initiatives to avoid repetition of the same</li> <li>(g) Record citizen's feedback, consolidate, and compile into a report for public dissemination</li> </ul>	PIA/SPMU, DPMU, GP, Line Departments, and SISC	<ul style="list-style-type: none"> <li>(a) First year*</li> <li>(b) Continuous</li> <li>(c) First Year</li> <li>(d) By mid - 2<sup>nd</sup> year</li> <li>(e) Continuous</li> <li>(f) Quarterly</li> <li>(g) Annually</li> </ul>
Reporting, documentation	<ul style="list-style-type: none"> <li>(a) Submit consolidated Implementation progress report to SISC and subject to SISC's approval, submit the same to NPMU</li> <li>(b) Submit compliance report to NPMU</li> </ul>		<ul style="list-style-type: none"> <li>(a) Semiannually</li> <li>(b) Annually</li> </ul>

\* Commencement of these activities in the first year is likely to be delayed in view of the constraints arising out of the COVID-19 pandemic.

### 3.4 Central Level

13. Activities related to Atal Bhujal Yojana at the Central level are those for coordination of the scheme at the national level. The States will submit approved state-level Plans to the NPMU for data, budget, and expenditure consolidation and finally to the National Inter-Departmental Steering Committee for ratification.

14. The detailed break-up of the activities envisaged at the Central level, along with indicative time lines is given in **Table 3.4**.

**Table 3.4 Activities under Atal Bhujal Yojana at Central level**

Function	Activity	By Whom	Time Lines
Program management and institutional arrangements	(a) Ensure establishment and staffing of NPMU within the DoWR, RD & GR with core and support staff and relevant experts		(a) First year
	(b) Prepare annual budgets		(b) By September each year*
	(c) Approve AWP of States		(c) By Aug 15 during 20-21 and Mar 15 each year from 2 <sup>nd</sup> year
	(d) Prepare model Program Fiduciary guidelines and circulate the same to participating states.		(d) Within 3 months of program effectiveness
	(e) Establish Grievance Redressal System and train relevant staff and community heads in use of the same; resolve complaints received and monitor timely resolution of complaints received at lower levels		(e) First year
(f) Prepare and submit PG and update the same at intervals as agreed with World Bank		(f) Within 3 months of effectiveness of the loan. Revisions thereafter—as agreed with World Bank	
(g) Prepare progress reports of Atal Bhujal Yojana and submit to World Bank		(g) Semiannually	
(h) Recruit subject experts, TPGVA, and other consultants as required from time to time		(h) First year and as required from time to time	
(i) Participate and support the TPGVA in development of protocols and assessment and approval manual		NPMU and TPGVA	(i) Annually
(j) Participate and support the TPGVA in carrying out review of data collected, finalize, and assist in preparation of TPGVA reports			(j) Annually
Procurement	(a) Ensure compliance by all states to the Program fiduciary guidelines which shall be based on the PG	NPMU	(a) Continuous
	(b) Ensure that annual internal procurement and financial review and audits are completed on time by states and reports shared and ensure that their observations are expeditiously addressed		(b) Annually
	(c) Consolidate contracts through MIS on a half yearly basis		(c) Semiannually
	(d) Review and concur annual procurement plans		(d) Annually
			(e) Continuous



Function	Activity	By Whom	Time Lines
	(e) Carryout national-level procurements in accordance with the Program fiduciary guidelines		
Approvals	(a) Inter-ministerial coordination	NISC	(a) continuous
	(b) Review Program implementation status annually, evaluate, and assess impact of improvements in groundwater levels	NISC	(b) continuous
	(c) Guide Program implementation	NISC	(c) continuous
	(d) Review program implementation status/annual progress reports	NISC	(d) continuous
	(e) Ensure that Fiduciary Manuals prepared by state are consistent with the principles provided in the PG/prototype circulated by NPMU (f) Issue ToRs for consultant recruitment	NPMU	(e) First year (f) First year
	(g) Approve recruitment of consultants, core staff and establishment of NPMU office and so on (h) Issue TPGVA Assessment manual and other manuals	DoWR, RD & GR NPMU and TPGVA	(g) First year (h) First year
Financial Management	(a) Submit request for release of advance to World Bank (b) Ensure annual submission of budget requirements by NPMU to the DoWR, RD & GR (c) Prepare necessary documentation for release of funds to states (d) Submit the TPGVA reports to World Bank for disbursement of funds against achievements of DLIs (e) Submit annual audited Program financial statements and implementation progress reports to NISC, DoWR, RD & GR, and the World Bank (f) Ensure timely payment to staff, consultants, and contractors (g) Prepare Financial Review Reports (h) Carryout internal procurement and financial	DoWR, RD & GR and NPMU	(a) Any time (b) By September 30 each year (c) Annually (d) By February each financial year (e) For each preceding financial year (f) Continuous (g) Annually (h) October 31 <sup>st</sup> of the succeeding Financial Year (i) Continuous (j) Upon each

Function	Activity	By Whom	Time Lines
	<p>review and audits of procurement and financial expenditure carried out by districts, GPs, and other agencies</p> <p>(i) Conduct field visits to states for supervision</p> <p>(j) Review the TPGVA reports for compliance of findings with the agreed verification protocol</p>		submission
M&E functions	<p>(a) Conduct Quality Assurance audits of the TPGVA results</p> <p>(b) Undertake development and rollout of MIS for NPMU and other partners to facilitate improvement in administration and operations and preparation of consolidated implementation progress reports</p> <p>(c) Prepare concurrent thematic studies</p> <p>(d) Conduct midterm assessments</p> <p>(e) Prepare end line report at the close of the project</p> <p>(f) Collect data from Grievance Redressal Mechanism (GRM) and prepare analysis report</p> <p>(g) Prepare Programme implementation progress reports and other such reports as desired by World Bank</p>	NPMU	<p>(a) Annually</p> <p>(b) By December 31, 2020</p> <p>(c) As required from time to time</p> <p>(d) Midterm review December 2022</p> <p>(e) End line - November 2025</p> <p>(f) Annually</p> <p>(g) Semi-annually or as solicited by the World Bank</p>
Training and capacity building activities	(a) Facilitate training and capacity building of WMCs in data collection, entry, and operation of MIS through SPMU & DPMU	NPMU and SPMU	(a) Continuous
	(b) Support development of technical training modules and training programs	NPMU and experts	(b) From time to time—as required
	(c) Conduct regular training to enhance fiduciary capacities at both central- and state-level implementing agencies.	NPMU & Experts	(c) From time to time—as required
	(d) Organize international training programs	NPMU and Experts	(d) Need based
	(e) Conduct information dissemination workshops	NPMU	(e) From time to time
Other activities	(a) Coordinate with line ministries, state nodal agencies, and funding agencies	NPMU	(a) Continuous
	(b) Coordinate implementation of Atal Bhujal	NPMU	(b) Continuous

Function	Activity	By Whom	Time Lines
	Yojana		
	(c) Update Program Guidelines	NPMU	(c) As desired based on requirements

\* Commencement of these activities in the first year is likely to be delayed in view of the constraints arising out of the COVID-19 pandemic.

## Chapter 4: Institutional Arrangements

1. Atal Bhujal Yojana is a unique, time-bound scheme aimed at sustainable ground water management with community participation, which needs robust institutional arrangements for successful implementation. A four-tier institutional mechanism at National, State, District and Gram Panchayat levels with necessary linkages has been envisaged under the scheme as shown in Fig. 4.1.

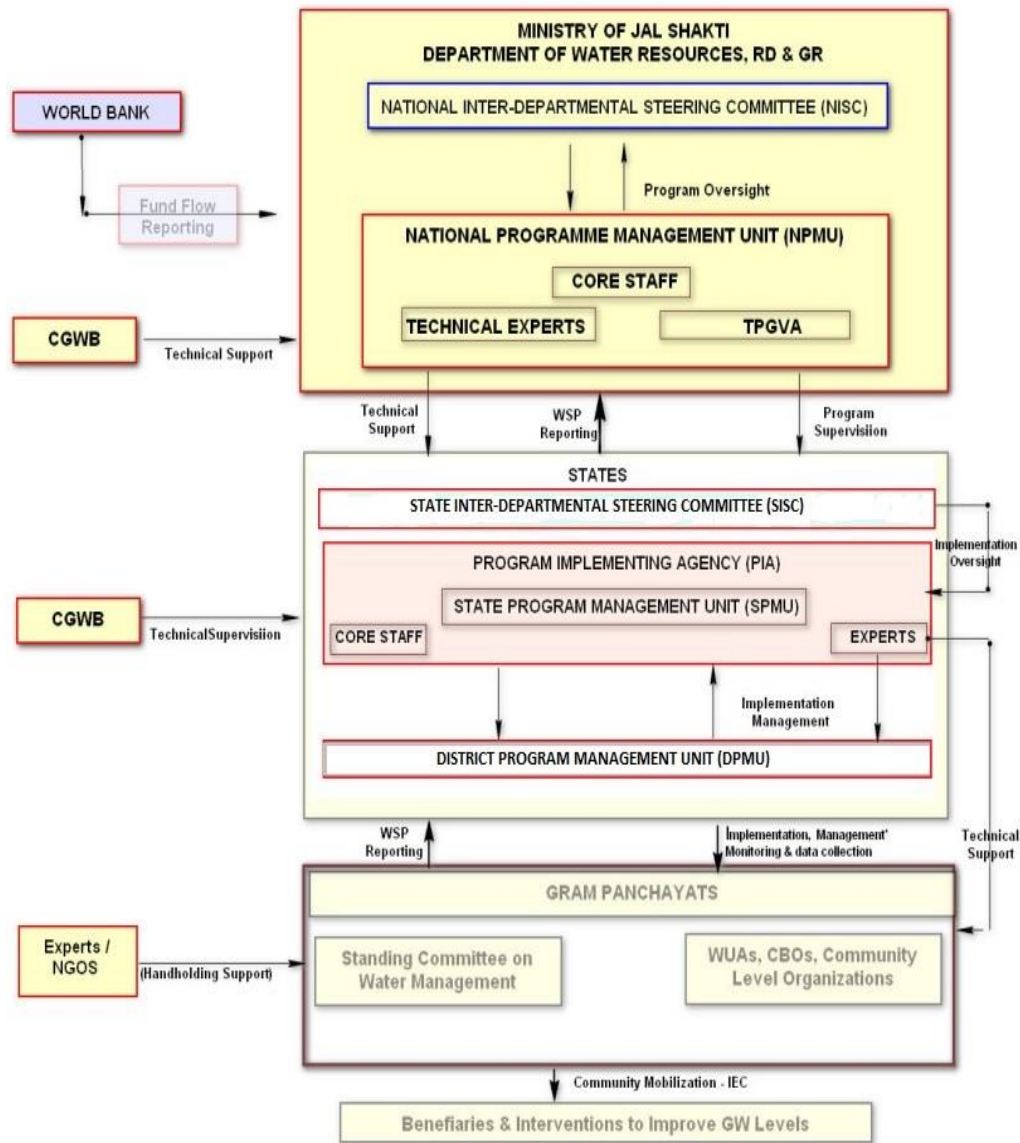


Fig. 4.1 Institutional Arrangements for Implementation of Atal Bhujal Yojana

2. The arrangements at various levels are described briefly in the following sections.

#### 4.1 National Level

3. Department of Water Resources, River Development & Ganga Rejuvenation (DoWR, RD & GR), Ministry of Jal Shakti will have the overall responsibility of implementing Atal Bhujal Yojana (ATAL JAL) in the country. It will provide general oversight of Atal Bhujal Yojana, including allocation of funds and progress monitoring. In order to ensure successful implementation of the scheme, DoWR, RD & GR will take up various activities. These include program management and institutional arrangements, procurements, approvals, financial management, Monitoring and Evaluation (M & E) functions, training & capacity building activities, coordination with line ministries, state nodal agencies and funding agencies etc., as described in Table 3.4 in Chapter 3.

##### 4.1.1. National Inter-Departmental Steering Committee (NISC)

4. A National Inter-Departmental Steering Committee (NISC) with the Secretary (DoWR, RD&GR) as Chairman would be the apex body responsible for overall administration, management and coordination of Atal Bhujal Yojana. The composition of the NISC is given in the table 4.1 below

**Table 4.1: Composition of National Inter-Departmental Steering Committee (NISC)**

S.No.	Officer
1.	Secretary, DoWR, RD&GR – Chairman
2.	Additional Secretary, DoWR, RD&GR - Member
3.	Joint Secretary (IC&GW), DoWR, RD&GR - Member
4.	Joint Secretary & Financial Advisor, DoWR, RD &GR - Member
5.	Secretary or representative, MoA&FW - Member
6.	Secretary or representative, DoLR - Member
7.	Secretary or representative, DoRD – Member
8.	Secretary or representative, Panchayati Raj Department - Member
9.	Secretary or representative, DoDWS - Member
10.	Secretary or representative, MNRE - Member
11.	Secretary or representative, Ministry of Power - Member
12.	Advisor, Water Resources, NITI Aayog -Member
13-19.	Principal Secretaries / Secretaries of Nodal Departments of participating States - Members
20.	Chairman, CWC - Member
21.	Chairman, CGWB - Member
22.	Project Director, Atal Bhujal Yojana - Member Secretary

5. Major responsibilities of the NISC under various functional areas of the scheme are enumerated in Table 3.4 in Chapter 3.

##### 4.1.2 National Program Management Unit (NPMU)

6. A National Program Management Unit (NPMU) with necessary infrastructure and staff shall be established in DoWR, RD & GR which will be responsible for coordinating and facilitating Program

implementation, including providing implementation support to the states. The NPMU, for and on behalf of the DoWR, RD&GR shall manage the day-to-day activities, including administration of funds allocated to Atal Bhujal Yojana. It will provide technical support (through experts hired) to the participating states and undertake regular Monitoring & Evaluation of implementation of the scheme.

7. The NPMU will have a Project Director, who will be an official not below the rank of a Joint Secretary of the Government of India. The Project Director will report to the Project Coordinator, DoWR, RD&GR. The NPMU will have the required operational staff and experts (FM expert, procurement expert, social and environmental specialists, information technology (IT) specialist, M&E specialist etc.), either drawn on deputation from other ministries/departments and/or hired on contract basis, to carry out its roles and responsibilities effectively.

8. The important responsibilities of NPMU have been enumerated in Table 3.4 in Chapter 3.

#### 4.1.3 Third Party Government Verification Agency (TPGVA)

9. DoWR, RD & GR, will hire/engage a suitable Government agency (TPGVA) to verify the achievements of identified pre-defined targets to assess the performance of implementing agencies, which will, in turn, trigger payment of incentives to them. The achievements will be measured using Disbursement Linked Indicators (DLIs), which indicate intended outputs to be delivered to achieve the program objective of improving management of ground water resources in the participating States.

10. The TPGVA shall undertake annual verification of the program using the established verification system. A web-based MIS for Atal Bhujal Yojana will be used to store data required for verification of DLIs. Data collected from the participating States will constitute the baseline for each DLI and other results indicators. There shall be a minimum of six rounds of verification, starting in Financial Year 2020-21. The baseline round is expected to start in 2020-21, followed by a minimum of five annual rounds conducted at the end of each of the next five years. The Verification Agency will confirm the adequacy of the baseline data collected and stored in MIS. The verification shall measure and provide statistically representative estimates for progress made by all States/Districts/Blocks/GPs against DLIs. Based on the above, the agency shall present verification reports to DoWR, RD&GR that will form the basis for disbursement of Incentives to States.

#### 4.1.4 Other Agencies / Experts

11. The NPMU will also engage a software development agency to develop and maintain a robust MIS for Atal Bhujal Yojana, to be rolled out across the participating States. Any other external experts, as required, from time to time, to facilitate implementation of the scheme shall also be engaged / hired by the NPMU.

### 4.2 State Level

#### 4.2.1 State Inter-Departmental Steering Committee (SISC)

12. Each participating State will constitute an Inter-departmental Steering Committee (SISC) which would be chaired by the Chief Secretary. The SISC would be responsible for overall administration, management and coordination of Atal Bhujal Yojana in respective States. The indicative composition of the SISC is furnished below (Table 4.2):

**Table 4.2: Indicative Composition of SISC**

S.No.	Officer
1.	Chief Secretary of the State – Chairperson
2.	Principal Secretary / Secretary, Department of Finance - Member
3.	Principal Secretary / Secretary, Department of Agriculture - Member
4.	Principal Secretary / Secretary, Department of Rural Development – Member
5.	Principal Secretary / Secretary, Department of Rural Drinking Water - Member
6.	Principal Secretary / Secretary, Department of Power – Member
7.	Principal Secretary/ Secretary , Department of Panchayati Raj - Member
8.	Chief Engineer/Director , CWC - Member
9.	Regional Director of Central Ground Water Board - Member
10.	Principal Secretary / Secretary of the nodal Department – Member Secretary
11.	Principal Secretary / Secretary, Planning - Permanent Invitee
12.	Principal Secretary / Secretary, Information & Public Relations – Permanent Invitee

The SISC can co-opt more members if required.

13. The major responsibilities of SISC will include:

- i. Review and approve State Action Plans and annual implementation plans (AIPs)
- ii. Inter-department coordination for clearances, approval, allocation and/ or reallocation of funds.
- iii. Ensure convergence of funds from other ongoing central/state sector schemes including interventions under Jal Jeevan Mission.
- iv. Approve annual budgets, expenditure, and audit reports
- v. Review Program implementation status and annual progress reports
- vi. Direct and guide Program implementation
- vii. Review and approve human resources requirements for implementation of the program
- viii. Review, approve, and recommend reports on Program implementation status to the NPMU.

14. The responsibilities of SISC have been given in greater detail in Table 3.3 in Chapter 3.

#### 4.2.2 Nodal Department, Nodal Agency and Program Implementing Agency

15. Each participating state will designate the Department dealing with ground water as the **Nodal Department** responsible for implementing the scheme in the state, vested with overall technical and fiduciary responsibilities. However, the State Government, at its discretion, may designate any other department as the nodal department in case it is felt that the department dealing with ground water does not have the technical capability to handle the scheme. The Principal Secretary/Secretary level officer heading or in-charge of the Department shall be nominated as the **Project Co-ordinator**. Each state will sign a Memorandum of Agreement with the DoWR, RD & GR for implementation of Atal Bhujal Yojana in compliance with the Program guidelines. The Project Coordinator will also identify a **Nodal Agency** for implementation of the Scheme in the State. The agency identified shall be named as the **Program Implementation Agency (PIA)**.



16. The important responsibilities of the PIA shall be as below:
- i. Establish an SPMU and DPMUs with core and support staff
  - ii. Open a separate bank account for receiving program funds
  - iii. Designate persons authorized to operate the bank account.
  - iv. Recruit persons / agencies to assist GPs in program implementation
  - v. Recruit experts/ agencies including District Implementation Partners (DIPs) to impart training and build capacities at state/district and GP levels to accelerate implementation of the Program.
  - vi. Consolidate all district-level WSPs and accordingly prepare state-level Action Plans and submit to SISC with budgets and cost estimates for concurrence, allocation, and disbursement
  - vii. Prepare annual budgets and expenditure statements of Atal Bhujal Yojana and submit report to SISC for approval and onward submission to NPMU
  - viii. Prepare implementation progress reports and other such reports as desired by the DoWR, RD&GR and/or World Bank
  - ix. Ensure adequate accounting for program transactions and have them audited
  - x. Assist TPGVA in carrying out random verification of results
  - xi. Prepare and circulate Program Fiduciary Manual following the GFR to all stakeholders
  - xii. Carry out internal procurement and financial review and audits of procurement and financial expenditure carried out by district, GPs, and other agencies
  - xiii. Guide Program partners and SOs in implementation of WSPs
  - xiv. Ensures compliance with Environment and Social Management Framework
  - xv. Any other work assigned by state government, SISC, and / or NPMU.
17. A detailed account of the functions of the PIA has been provided in Table 3.3 in Chapter 3.

#### 4.2.3 State Program Management Unit (SPMU)

18. Within the PIA, a dedicated Unit will be constituted / arrangement made, which will be referred to as **State Program Management Unit (SPMU)**. The SPMU shall be headed by an officer of the rank of Commissioner/Chief Engineer/Director. The head of the SPMU shall be nominated as **Project Director** and will be the Nodal officer for the scheme in the State. SPMU will have posting/deployment of 4-5 officers from the state on full time basis which will form the Core Staff. SPMU shall be supported by designated officers of the Regional Offices of CGWB and technical experts in hydrogeology/water resource management, agriculture, environment and social development, procurement, financial management, information technology and so on - either drawn on deputation from other organizations/departments and/or hired on contract basis for the entire duration of the scheme. The indicative composition of SPMU is given below (Table 4.3).

**Table 4.3: Indicative Composition of State Program Management Unit (SPMU) under PIA**

S. No.	Officer	Number	Mode of deployment
1.	Commissioner/Chief Engineer/Director level officer	1	Deputation / Deployment
2.	Technical Officer Hydrogeology/Water Resource Management/ Agriculture	1 1	Deputation / Deployment (from the same Department / concerned Department (s))
3.	Accountant	1	Deputation / Deployment
4.	Ground Water Expert	1	Contractual Hiring / Deputation
5.	Procurement Specialist	1	Contractual Hiring/Deputation
6.	IT/MIS/GIS Expert	1	Contractual Hiring/Deputation
7.	IEC /Communication expert	1	Contractual Hiring/Deputation
8.	Environmental Expert	1	Contractual Hiring/Deputation
9.	Social Development Experts	1	Contractual Hiring/Deputation
10.	Data Entry Operator ( As per need)	2/3	Contractual Hiring/Deputation

The important responsibilities of SPMU have been mentioned in Table 3.3 in Chapter 3.

### 4.3 District Level

#### 4.3.1 District Program Management Unit (DPMU)

19. Each State shall establish a District Program Management Unit (DPMU) in each Program district identified, to support the state and the GPs in implementing activities under Atal Bhujal Yojana in the field. DPMU shall be headed by the District Collector/CEO Zilla Parishad who shall directly report to the Project Coordinator and work in consultation with SPMU. DPMU will be a dedicated unit (and not a committee) with posting/deployment of 2-3 officers from the state on full time basis which will form the core staff. A senior officer from the PIA, stationed in the district, will be designated as the Nodal Officer, who will report to the SPMU and will be the head of the DPMU. In case a senior officer of the PIA is not available, the senior-most officer among the technical officers shall be the nodal officer. The DPMU shall be supported by a senior officer nominated by the Regional Office of CGWB and 2-3 technical experts having experience in hydrogeology /water resources, agriculture, procurement, financial management and so on - either drawn on deputation from other organizations/departments and/or hired on contract basis for the entire duration of the scheme. DPMU will also be supported by District Implementation Partners (DIPs), which will be engaged by the PIA for supporting / handholding of the GPs in various aspects of the scheme. The DPMU shall also coordinate among the DIPs and the Implementation Support Agencies (ISAs) of JJM for synergy. Indicative composition of the DPMU is furnished below (Table 4.4)

**Table 4.4: Indicative Composition of District Program Management Unit (DPMU)**

S. No.	Officer	Number	Mode of deployment
1	District Collector/CEO, Zilla Parishad	1	Deployment
2 (a)	Technical Officer	1	Deputation / Deployment (Sr. hydrogeologist/ Suptdg. Engineer level officer) , failing which on contractual Hiring basis
	Hydrogeologist / Water Resources Expert Agriculture Expert	1	
2(b)	Nodal officer (from PIA)	1	Deputation / Deployment
3	IEC /Communication expert	1	Contractual Hiring
5.	Data Entry Operator	2/3	Contractual Hiring

20. The DPMU will be responsible for planning and supervision of implementation of the scheme at the District level. It will carry out various functions as described in Table 3.2 in Chapter 3. In addition, it will also have regular interactions with the District Water Supply Mission (DWSM) of the Jal Jeevan Mission to ensure synergy of activities under both the schemes.

#### 4.4 Gram Panchayat (GP) Level

21. GPs have a key role in the implementation of the Atal Bhujal Yojana, being the last tier of administration and the critical link between the community and the administration. The roles and functions of the GPs in this program are elaborated in Table 3.1 in Chapter 3. However, many implementation-specific actions may vary between GPs across the states. These will be detailed in the WSPs prepared and submitted by them after commencement of the scheme activities.

##### 4.4.1 Water Management Committees / Village Water and Sanitation Committees

22. Every GP will strengthen the WMC / VWSC that already exist with additional co-opted members including women. These strengthened WMCs/VWSCs will function as the Water User Association (WUA). The Gram Pradhan will either be the head of the WUA or assign an elected representative to be its functional or notional head, as might be appropriate. In making the association to represent the GP, the Gram Pradhan will ensure that if an existing committee/association/council is already functioning on some or most of the issues that the association is responsible for, then the existing body will be named as WUA.

23. The functions of the WUAs will include

- i. Mobilizing community on groundwater management issues;
- ii. Conducting water budgeting exercises, preferably season-wise or at least once a year involving the community;
- iii. Identifying supply-side and demand-side activities to be undertaken for groundwater management;
- iv. Compiling a two-year (or longer, but specifying year wise break-up) implementation plan for the GP;

- v. Submitting the financial requirements for implementing the plan to the respective line departments;
- vi. Execute works as agreed with GPs / DPMUs following established procurement procedures.

24. In addition to these, the WUA would also take up activities to create awareness among local leaders, through regular meetings and workshops on the importance of groundwater management and the need for promoting participatory groundwater management processes in their respective areas. It will be assisted by persons / agencies assigned for the block in undertaking all these tasks.

25. Functions and responsibilities of entities at GP level have been given in Table 3.1 in Chapter 3.

#### 4.5 Role of Central Ground Water Board (CGWB)

26. Being the National Apex Agency for ground water development and management in the country, CGWB has a vital role to play for the effective implementation of Atal Bhujal Yojana. Technical support shall be rendered by CGWB both at the National and State / District levels in respect of both Institutional Strengthening & Capacity Building as well as Incentive Component. The major support activities by CGWB shall fall under the following categories:

##### 4.5.1 National Level

27. Chairman, CGWB shall be a member of the National Level Steering Committee (NLSC) constituted to oversee implementation of the scheme. An Atal Jal cell shall be created at the Central Headquarters of CGWB under a Member to coordinate various support activities by the Board at the National as well as at State/ District levels. The major responsibilities of the cell shall include but not be limited to

- i. Render technical support to NPMU for coordination of various activities under the scheme
- ii. Coordinate and advise the Regional Offices in participating States in respect of technical support to State Program Management Units (SPMUs) / District Program Management Units (DPMUs) for effective implementation of the scheme.
- iii. Support training / capacity building activities of the scheme using the facilities available at CGWB, CHQ and RGWTRI, Raipur.

##### 4.5.2 State / District Level

28. Regional Directors of Central Ground Water Board in the participating States shall be members of the State Inter-Departmental Steering Committees (SISC) in respective States. They will also designate a senior technical officer as Nodal Officer for coordination of various scheme activities. Broad responsibilities of the Regional Offices shall be as under

- i. Render technical support to SPMU as well as District Program Management Unit (DPMU) including sharing of NAQUIM data and information for effective implementation of the scheme.
- ii. Include components of Atal Bhujal Yojana in the awareness creation/Capacity building programs regularly conducted by CGWB at District/Block/Gram Panchayat levels.

## 4.6 Convergence

29. The Scheme will necessarily converge with other programs that strengthen water conservation and use, such as the Jal Jeevan Mission, the Swachh Bharat Mission, MGNREGS etc. It will also leverage 15<sup>th</sup> Finance Commission Grants earmarked for water. No new institutions will be created at the village level. The Village Water and Sanitation Committees or Pani Samitis, which will also be responsible for the implementation of the Jal Jeevan Mission, will be strengthened, if required, with additional members, to implement this program. Wherever possible, also, support agencies may be common to ensure that available resources are optimally utilized. The plans prepared under this program will be an essential component of the Gram Panchayat Development Plans. Training, Capacity Building and IEC activities will also align with the Jal Jeevan Mission and the Swachh Bharat Mission, so that, again, resources are used optimally and there is a holistic approach to water use and management at all levels.

## Chapter 5 - Disbursement Linked Indicators

### 5.1 Introduction

1. As mentioned in Chapter 2, funds under the incentive component of Atal Bhujal Yojana will be released to states as incentive for ensuring convergence among various schemes of the central and state governments as well as taking up activities /interventions that promote sustainable ground water management through community participation. The disbursement under this component will be linked with performance of states against the identified Disbursement Link Indicators (DLIs) which will be independently verified and reported by a third party government verification agency.

2. The details of DLIs such as their linkages to the scheme components, percentage allocations and total allocations are given in Table 5.1.

**Table 5.1 Details of DLIs under Atal Bhujal Yojana**

<b>Component</b>	<b>DLI No</b>	<b>DLI Description</b>	<b>DLI %</b>	<b>DLI Allocation ( Rs Cr)</b>
Institutional Strengthening & Capacity Building -	<b>1</b>	Public disclosure of groundwater data/information and reports	<b>10</b>	<b>460</b>
	<b>2</b>	Preparation of Community-led Water Security Plans	<b>15</b>	<b>690</b>
Incentive Component	<b>3</b>	Public financing of approved Water Security Plans through convergence of ongoing/new schemes	<b>20</b>	<b>920</b>
	<b>4</b>	Adoption of practices for efficient water use	<b>40</b>	<b>1840</b>
Resultant of the Both Components	<b>5</b>	Improvement in the rate of decline of groundwater levels	<b>15</b>	<b>690</b>

3. Brief descriptions of the DLIs are given below.

**3.1 DLI #1: Public disclosure of ground water data/information and reports (numbers):** The disbursement of funds under this DLI is linked to groundwater monitoring and disclosure of groundwater data by the stakeholders. Hydrologic data will be collected and disseminated at the GP level. Data from all participating GPs in a block will be collected, compiled, collated and brought out as a report at the block level. Thus, this DLI consists of two sub-indicators measuring (a) the number of GPs for which periodic water-level data is available and (b) the number of block-level reports on groundwater quantity and quality made available online in the public domain.

**3.2 DLI#2: Preparation of Community-led Water Security Plans (numbers):** This indicator incentivizes bottom-up planning of groundwater interventions through the preparation and updating of water budget and water security plans that have been formulated by the community. Participation of women in the planning process is a pre-requisite under this DLI. Various supply and demand side interventions will be detailed in the Water Security Plans which will be implemented through convergence of funds available under Central / State schemes. Necessary hand-holding and guidance will be provided to the community through activities undertaken in the Institutional Strengthening & Capacity Building component

**3.3 DLI #3: Public financing of approved Water Security Plans through convergence of ongoing/new schemes:** This DLI provides an incentive to shift public financing on groundwater to priority measures identified through the bottom-up groundwater planning process i.e. the water



security plans. This will help align the implementation of various government programs and improve the effectiveness of public financing on groundwater by moving to more coordinated investment in sustainable groundwater management. The DLI is defined as the aggregate amount of funds (excluding Atal Bhujal Yojana) spent by districts in a selected state in a given Year for implementation of approved WSP activities.

**3.4 DLI #4: Adoption of practices for efficient water use (hectare):** is the second of two indicators to incentivize the implementation of groundwater management measures included in the WSPs. The DLI will incentivize demand side measures that reduce water consumption, including the introduction of efficient micro-irrigation systems and a shift in cropping patterns away from water-intensive crops including promotion of rain-fed horticulture and feeder separation. Disbursements will be based on the area (in hectares) or the number of blocks (in case of feeder separation) benefiting from these measures.

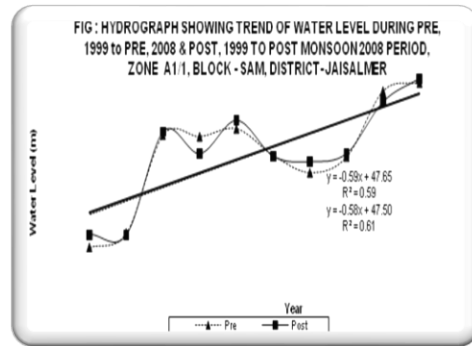
**3.5 DLI #5: Improvement in the rate of decline of groundwater levels:** A block is verified to have achieved the DLI if there is an improvement in the declining trend of groundwater levels (corrected for rainfall) in at least 50% of the observation wells in a given block as compared to the baseline

**3.4 DLI #4: Adoption of practices for efficient**





trend. The disbursements for DLI #5 are scalable based on the level of achievement of the DLI. The disbursement of funds under this DLI will be linked with achievement of the Program's ultimate aim, that is, to stabilize or reverse the declining trend in groundwater levels. The states will be rewarded for stabilizing or improving groundwater conditions through interventions supported under the scheme and other related programs. The DLI will be based on a measure of groundwater levels in the selected blocks.



## 5.2 Key Activities under strengthening of institutional framework for effective groundwater data monitoring and disclosure.

4. Various activities and indicators linked to **DLI #1, DLI #2, and DLI #5** are mentioned below. The Positive performance/achievement will be incentivized by disbursements as 'Performance Grants' for

- (a) Improvement in monitoring of groundwater related data, and
- (b) Groundwater data reporting, including its public disclosure (water quality and groundwater levels) by the states.
  - (i) The preparation and implementation of Water Security Plans (WSPs) and achievements thereof will be specifically scored against
    - Completion of water budgets by each GP;
    - Extent of community participation in planning process at the GP level;
    - Preparation and submission of WSPs by the GP to the DPMU for approval;
    - Updating and Implementation of WSPs year-on-year.
    - Adoption of participatory groundwater management practices by GPs;
- (c) The actual/measured impact on groundwater levels from the institutional strengthening/ capacity building /management actions implemented in line with the approved WSPs; and
- (d) Non-disbursing indicators that will track progress in achieving the results include
  - (i) Persons benefitting from improved groundwater management;
  - (ii) Persons benefitting from interventions (total beneficiaries including women);
  - (iii) The number of WUAs having representation of women; and
  - (iv) Introduction of metering of groundwater and energy usage by way of availability of data at the GP level.

## 5.3 Key Activities under Improved planning and implementation of groundwater management interventions

5. Various activities and indicators linked to **DLI #3** and **DLI #4** are mentioned below. The Positive performance/achievement will be incentivized by disbursements as 'Performance Grants'. Positive performance/achievement by the states will be rewarded with disbursements on the following criteria:

- (a) Extent of convergence for supply- and demand-side measures under ongoing and new schemes from central and state governments in the approved WSPs.
- (b) Increase in area with improved water efficient irrigation systems or using recycled waste water / reused water, crop diversification, or feeder separation.



- (c) Non-disbursing indicators that will track progress in achieving results include, but are not limited to,
- (i) Additional state-level groundwater quality labs accredited with National Accreditation Board for Testing and Calibration Laboratories (NABL);
  - (ii) Procurement of necessary equipment, works, goods, and services (for example, groundwater quality monitoring systems, Digital Water Level Recorders (DWLRs), water/energy/flow meters, rain gauges, water-level measuring tapes, computers and peripherals, software, micro-irrigation systems /sprinklers, other efficient irrigation equipment / systems /measures, construction of Piezometers, and so on) so that the various entities involved in implementing the scheme can fulfill their mandates.

**6. Cross-cutting activities:** include improvements in the trend of declining ground water levels in the participating GPs/Blocks, improving output and outcome Monitoring and Evaluation (M&E) and establishing a credible third-party verification system. The scheme will also support activities to improve Program management, including ensuring a robust fiduciary system and adequate social and environmental safeguards.

#### 5.4 DLI Allocations

**7. DLI funding allocation.** As mentioned earlier, the Incentive Component of the Scheme has an estimated outlay of INR 4600 crores over five years, of which INR 3000 cr. will be financed by the World Bank. The balance funds of Incentive Component will be met through budgetary allocations by the GoI.

**8.** The DLI allocations across the States is given in the table 5.2 below

**Table 5.2 Tentative DLI Allocations across the States**

DLI	Tentative Allocation (Rs.cr)							Total
	GUJ	HAR	KAR	M.P.	MAH	RAJ	U.P.	
DLI#1: Public disclosure of ground water data/ information and reports	54.01	45.94	100.83	21.28	73.83	102.94	61.17	<b>460</b>
DLI#2: Preparation of Community-led Water Security Plans	81.02	68.92	151.23	31.93	110.74	154.40	91.76	<b>690</b>

DLI#3: Public financing of approved Water Security Plans through convergence of ongoing/ new schemes	108.03	91.89	201.65	42.57	147.64	205.88	122.34	<b>920</b>
DLI#4: Adoption of practices for efficient water use	216.05	183.77	403.30	85.14	295.30	411.75	244.69	<b>1840</b>
DLI#5: Improvement in the rate of decline of ground water levels	80.00	80.00	150.00	30.00	110.00	150.00	90.00	<b>690</b>
<b>Total</b>	<b>539.11</b>	<b>470.52</b>	<b>1007.01</b>	<b>210.92</b>	<b>737.51</b>	<b>1024.97</b>	<b>609.96</b>	<b>4600</b>

## 5.5 DLI Verification Protocol

**9. Verification protocols.** Verification and monitoring assessments will be carried out with the support of Third Party Government Verification Agency (TPGVA) hired/engaged by the DoWR, RD&GR. The agency will operate according to an agreed protocol as elaborated in Monitoring and Evaluation Chapter. The Verification Agency will be responsible for

- (a) Firming up of baseline data and preparation of baseline data report;
- (b) Data collection through sample surveys of the states and verification of data and documents;
- (c) Annual verification of achievements against each DLI by the participating states; and
- (d) Preparation of annual report containing the verified results and submission to DoWR, RD&GR.

10. The annual verification report presented by the agency to the DoWR, RD&GR will in turn be submitted to the World Bank for disbursement of funds under the loan. Based on the findings of the report in relation to allocation for each DLI, the World Bank will disburse funds to the Designated Account for onward disbursement to each state.

11. A joint team comprising the DoWR, RD&GR and the World Bank's task team will carry out sample checks of the data verified by the agency during their field missions to the states.

12. To track progress of the scheme toward achievement of the objectives, various indicators as well as intermediate indicators has been devised which also act as disbursement triggers. A detailed matrix of Baseline and Target Values of Indicators, Indicator Description, DLI verification protocols and source of data to be used for verification are presented in **Annexure I(a), I(b) and I(c)** respectively. The Incentive Disbursement Guidelines under Atal Bhujal Yojana are given in Annexure I(d).

## Chapter 6: Training, Capacity Building & Awareness Creation

### 6.1. Introduction

1. As Atal Bhujal Yojana is a scheme aimed primarily at inculcating behavioral changes among the stakeholders to facilitate judicious use of ground water, training and capacity building have a vital role to play in ensuring its success. Capacity is defined as “the ability to carry out stated objectives”. Capacity building refers to activities that are aimed at enhancing capacities of individuals, groups, institutions, organizations or systems in order to make them effective partners in implementation of a program. Training is one form of capacity building, which mainly aims at skill development. Training and capacity building activities in ATAL JAL will be at four levels viz., i) Gram Panchayat; ii) District; iii) State and iv) National.



2. **GP/ Block level:** Capacities required at GP/Block level include skills in community mobilization, data collection (both technical and non-technical), water budgeting and preparation of Water Security Plan (WSP). Key persons at this level include elected members of GP/Block, Water Management Committee (WMC) / Village Water and Sanitation Committee (VWSC) and Water User Association (WUA). Women, drawn from the existing Self Help Groups (SHGs) would constitute a substantial number of the WMC/VWMC. WMC/VWMC is seen as the driver of community participation in the program with handholding by District Implementing Partner (DIP) and District Program Management Unit (DPMU). Local trained volunteers (*Bhujal Jaankars / Bhujal Pracharaks*) will collect groundwater level data, rainfall and water quality in their GPs. They will be trained to make sense of the data from a GP perspective of what is happening to GP groundwater recharge and availability. The volunteers will also disseminate the information among the community to enable them to take informed decisions in activities eg. farming that involve ground water use. The data collected will also be used in water budgeting and development of WSPs. Mobile apps will be developed or existing apps customized for collection of village data and feeding into the Management Information System (MIS) of the scheme. These volunteers will be an important link between communities and Gram Panchayats and will act as local resource persons in the development and implementation of WSP. The role of NGOs/ CSOs will be critical to train and support community mobilization, awareness generation, social inclusion and peoples participation.

3. **District/Division level:** Capacities required at this level include skills in data compilation (both technical and non-technical), review of GP water budgets, review of GP level WSPs, preparation of District level plans for implementation of WSPs and preparation of District Annual Work Plan (AWP) and Budget. Staff of DPMU will need to be trained formally in various aspects of water budgeting and WSP compilation, lest they will not be able to review and approve GP level WSPs. Convergence is another key area where DPMU is expected to play a key role by roping in funds from other ongoing Central / State Sector schemes. Thus, knowledge of ongoing programs is essential for the DPMU functionaries. This capacity can be developed through a start-up orientation and regular updating. Government personnel working at the grass-root level such as Agriculture Extension Officers, Junior Engineers, etc. will be crucial for facilitating the scheme activities to the grass root level, and therefore will essentially be part of the capacity building program of ATAL JAL.



4. **State level:** Capacities required at this level include skills in data compilation and management (both technical and non-technical); handling Management Information System (MIS) and Grievance Redressal System; review of District water budgets, WSPs, Annual Work Plans (AWP) and Budgets; compilation of State water budget, WSP and AWP & Budget; development of mass communication strategy; conducting training programs for GP/Block and District level functionaries; and program monitoring and reporting. Though staff of SPMU will come with many of these skills, they need to be oriented with start-up trainings on certain aspects.

5. **National level:** Capacities required at this level include skills in data management (both technical and non-technical); operating and maintaining Management Information System (MIS) and Grievance Redressal System; review of State water budgets, WSPs, AWP and Budgets; developing mass communication strategy; developing training modules or content for different forms of capacity building interventions; conducting training programs for State level functionaries; program monitoring and reporting. The capacity of NPMU staff will need to be strengthened in certain aspects through suitable trainings.

## 6.2. Training Institutions

6. At the grass root level, the focus would be on first-hand knowledge of participatory groundwater monitoring and management approaches. Linkages would be established with pioneers of participatory ground water management (Hiware Bazaar, Piplantri, MARVI) as well as with the Implementation Support Agencies (ISA) operating under the Jal Jeevan Mission so that local stakeholders from Atal Jal areas can interact with local farmers and field staff to gain insights for implementing participatory groundwater monitoring and management. The responsibility of training/ capacity building at the district level would lie with the District Implementing Partner (DIP). Inputs and experiences gained through the Public Interaction Programs (PIPs) being organized by Regional offices of CGWB as part of the National Aquifer Mapping and Management (NAQUIM) program would play a crucial role in sensitization, training and capacity building of stakeholders at this level.



7. States have number of organizations / institutes which have the required expertise in training and capacity building. State Institutes of Rural Development (SIRD) and State Institutes for Agriculture Management (SIMA) are some examples. PIAs/ SPMUs will be free to identify and engage such institutes / organizations for capacity building at the State level. Wherever NGOs / CBOs are proposed to be engaged procurement of the same shall be subjected to compliance with the state GFR's applicable procurement procedure / guidelines for recruitment of such services.

8. At the national level, the Rajiv Gandhi National Ground Water Training and Research Institute (RGNGWTRI) will be the agency that will be roped in by the NPMU to conduct training and capacity building activities at program level. Possibility of soliciting the services of national level organizations such as National Institute of Rural Development and Panchayati Raj (NIRDPR), Ministry of Rural development, Government of India and NGOs such as ARGHYAM, MARVI, AFPRO, PANI Foundation etc. in the training activities at the National level will also be explored.

### 6.3. Skill development (Training/Workshop/Hand-holding)

9. Three broad skill development activities in ATAL JAL will be: i) Master Trainers Workshop; ii) Training of Trainers; and iii) WMC Training.

10. The skill development will begin at the national level with the training of “Master Trainers”, who will subsequently be the guest faculty to be utilized by the RGNGWTRI for training of state level functionaries. The guest faculty will be persons with established credentials, working in the field of Participatory Groundwater Management (PGM) for a considerable period of time. The Training Program for the Master Trainers will be prepared by the RGNGWTRI, in consultation with NPMU. This will be in workshop mode.

#### 6.3.1. Master Trainers Workshop

11. Training of Master Trainers will be conducted by RGNGWTRI in a workshop mode. The trainees would come prepared with real time data and information from their respective states to practically put together different training modules that they would use in future in Training of Trainers (TOT)

#### 6.3.2. Training of Trainers (TOT)

12. Key activities of ATAL JAL will include compilation of GP level WSPs. WSP is expected to be compiled by members of GP, with technical support from DPMU, facilitated by DIP. Water Management Committee (WMC)/ VWSC is expected to possess all the skills required to develop and implement the WSP. This is possible only through continuous skill development (training) and handholding. The people responsible for training WMC and other GP level institutions shall be experts from DPMU and DIP staff. Government personnel working at the grass-root



level such as Agriculture Extension Officers, Junior Engineers, Hydrogeologists etc. are important to not only to give critical data inputs but also play a major role in community capacity building and convergence. Therefore, 3 categories of people viz., DPMU experts, Government Officers at district level and below and DIP staff are considered as primary “Trainers” in ATAL JAL.

13. The responsibility of “Training of Trainers” lies with the SPMU and therefore designated Institute / SIRD will conduct TOT at state level. Going by the list of experts specified in the Program Guidelines, it is expected that SPMU will have expertise to conduct TOT on its own. SPMU can hire Guest Faculty, if needed for certain themes.

14. Hand-holding refers to essential follow-up visits of technical personnel from DPMU and staff of DIP to see whether WMC members are able to put into practice newly acquired skills, learnt in training programs. They would need on-field guidance till they become adept in carrying out their tasks aiming at sustainable water management practices. About 2-3 follow up visits may be required as part of hand-holding.

### 6.3.3. WMC Training

15. Workshop mode will be used in all the WMC trainings, which will be interactive, using non-formal education techniques and material. As in case of TOT, development of Training Modules would ideally start with writing up of Session Guides by concerned expert in SPMU or Guest Faculty. Training Material required to conduct a particular session would be automatically developed by the concerned expert while she/he is writing up the session guide. Unlike TOT, training material in case of WMC training would be in the local language, based on locally available material and mode of communication.

### 6.4 Awareness Creation

16. One of the key aspects of ATAL JAL is to bring in behavioral changes in the community, from the prevailing attitude of consumption to conservation & smart water management. It is imperative that this message is driven across all levels, especially at the grass-root level, so that the objectives of the scheme are achieved. Creation of awareness among the general public about the program objectives and to create an enabling environment for scheme implementation at various levels using various Information, education and communication (IEC) will thus be an important activity under Atal Bhujal Yojana

17. The communication strategy including the messages and the media mix will be designed keeping different target groups in mind, with enough flexibility to address local needs. The effectiveness of the Communication will be assessed on a regular basis, ideally once a year.

18. The awareness campaign will be undertaken using different media of mass communication, primarily focusing on social media. At the national and state levels, electronic and print media will be the major tools for mass communication. At the district/block level, cable TV, audio visual clips, etc. would be used. The thrust of the campaign would be at the GP level, where communication tools such as nukkad natak (street plays), audio-visual clips, wall-writing, display boards, pamphlets and cable TV shall be extensively used.

#### 6.4.1 National and State Levels

19. At the national and state levels, radio and newspaper will be the tools for mass communication. At the district/block level, cable TV, audio visual clips, etc. would be used. In addition, social media accounts (Facebook, Twitter, You Tube, Whatsapp, etc.) which would be linked with the official accounts of DoWR, RD&GR, Ministry of Jal Shakti and other relevant Ministries / Departments at the Central level shall also be opened and used for awareness creation. Similar arrangements would be done at the State level.

20. A Quarterly or Monthly Newsletter could be published during later stages of implementation of the scheme. The newsletter will capture success stories of program implementation across the implementing States; will feature innovative, low cost techniques / technology for demand and supply side interventions demonstrated by the States, etc.

21. Key messages for communication through newspapers and electronic/print media would be developed by the concerned experts of NPMU/SPMU stressing the water situation (per capita water availability / use, sector wise water use, sources of water, etc.), key result areas of Atal Jal, importance of people's participation, etc.



### 6.4.2 District Level

22. Content developed for electronic media at the State level would be used with necessary modifications for use at district level.

### 6.4.3 Gram Panchayat Level

23. IEC material needed at GP level, based on its time of production, can be divided into two categories viz., those produced before start of implementation and those produced as part of process documentation during implementation phase. Cable TV is also an effective tool of mass communication at the GP level, before start of the implementation phase. Short-films, ranging from 1-10 minute duration will be produced by the SPMUs in consultation with the DPMUs and communication experts. Cable TV messages will be more detailed, focusing on issues relevant at the GP level. Broad themes for short-films at GP level could be need for stress on GP level action, learning from successful experiences in other areas, information on Schemes / Programs through which linkages and convergence can be facilitated, etc. These short films can also be screened at KVKs, CSCs, etc.

24. Social media will be used as another tool of information dissemination at GP level focusing on reasons for water stress in the GP and possible action points to address the water scarcity. Use of social media platforms is an important way of sharing community generated data/information. Information shared through social media, during implementation phase, should include items such as daily rainfall data, water level data, result of water budgeting exercise, main components of WSP, lists of less water consuming crops, etc.

25. Street theatre, consisting of song-dance-drama sequences, is a very powerful means of mass communication. Local forms of art and popular performing troupes in the area would be identified. The themes for the street theater would focus on need for community participation, reasons for water stress in the GP and possible action points to address the water scarcity or any other issue relating to water management, which, in the opinion of SPMU/DPMU merits attention. Local dialect will be the medium of communication. There could be a general script of street theatre at GP level, but the content needs to be changed to make it relevant to the particular GP where the performance is being given.

26. Audio visuals will be produced documenting key activities such as water budgeting and water security plans while they are being implemented at the GP level. Edited Audio-visuals on different themes could be later used in implementation of the scheme at other GPs. The voice over should be in the local dialect. Main themes of audio-visuals that are to be produced and used during the implementation period should essentially include community data collection, GP water budgeting, GP WSP, supply side interventions, demand side interventions etc.

27. Information sharing through pamphlets could be a good way of reaching people without access to mobile / smart phone. Information shared in pamphlets could be similar to that of social media. Display board is another good medium of sharing information, during implementation phase.

28. Detailed plans for awareness creation at the national level and at the State/district/GP levels shall be developed by the NPMU and SPMUs respectively in consultation with the communication experts to be engaged as one of the first steps in the implementation of the scheme. The progress of various activities shall be monitored regularly through the MIS being developed for the scheme.

## Chapter 7: Fiduciary Arrangements

### 7.1 Financial Management

1. Arrangements for financial and procurement management for implementing Atal Bhujal Yojana have been designed around the use of systems prevailing at the National/ State levels and/or based on amendments as issued from time to time by the GoI and/or the state governments to:

- Meet the financial reporting requirements of various stakeholders with transparency;
- Ensure consistency and compliance in procurement processes and procedures;

#### 7.1.1. Overall Framework

2. These Program Guidelines and the State-specific Program Fiduciary Manual provide the overall financial management framework for this Scheme. The central- and state-level implementing agencies will follow the government systems applicable for Central Sector Schemes at the central level, and the General Financial Rules (GFR) 2017 ( and or its subsequent amendments thereof) at the state level subject to these guidelines and in the State – specific Program Fiduciary Manual.

3. Applicable prevalent Budget Manuals, Treasury Code/Rules, the Financial Rules and procurement rules, and or subsequent directions notified by the competent authority from time to time, will be followed by the NPMU and state-level implementing agency and its DPMUs, for Atal Jal subject to these guidelines and the State-specific Program Fiduciary Manual.

4. Wherever an SPV registered as a company is the PIA authorized by the state, it shall be governed by the Companies Act, 2013, while the SPVs, being societies, will be governed by the state-specific Societies Registration Act. All Rules & regulations pertaining to administration, accounting, financial reporting and auditing shall be followed.

5. The GPs will follow the FM framework defined in the Panchayati Raj Act and various rules made thereunder specific to each state and maintain a separate Program Cashbook.

#### 7.1.2. Financial Management Arrangements

6. This document will provide general guidelines on Program Financial Management (FM) arrangements, with details pertaining to budgeting, funds flow, accounting, internal controls, reporting, and auditing arrangements applicable to each state. Within the overall PG, each state will prepare its own procurement and financial manual detailing the process and procedures in the respective state.

#### 7.1.3. Budgeting

7. **National level:** Following shall be the arrangements at the national level :

- a) The budgetary support from the GoI and World Bank loan is in the ratio of 50:50.
- b) Fund requirement for the scheme at the national level will be reflected in the Union Budget in Demand for Grants of the DoWR, RD&GR, MoJS under Program-specific budget heads and expenditure shall follow national practices.
- c) The annual budgets will be prepared for funds to be disbursed to the participating states based on the extent of achievement of DLIs, budget requirements indicated in the AWP/Procurement Plans, and expenditure requirements of the NPMU for the succeeding

fiscal year. For disbursements received from the World Bank under the Incentive Window, the same shall be passed on in full to the PIAs based on their achievement of each DLI.

- d) The DoWR, RD&GR shall open a separate account head in the PFMS for direct transfer of funds to the SPMUs.

8. **State level:** Following shall be the arrangements at the state level:

- a) Scheme funds are to be routed to the dedicated bank accounts of the SPMU in a Public Sector Bank.
- b) The SPMUs and DPMUs shall register their Atal Bhujal Yojana bank accounts in the PFMS to allow the DoWR, RD & GR and the PIAs to track and monitor the flow and utilization status of the funds released under the scheme.
- c) The SPMUs will use the payment gateway of the PFMS only for transfer of all funds to the DPMUs.
- d) The expenditure will follow existing practices as detailed in the respective state GFRs and its subsequent amendments if any, thereof subject to these guidelines and the State-specific Program Fiduciary Manual.
- e) State shall designate officers in the respective SPMU, preferably the Project Director (Head of SPMU) and Accounts officer as authorized officers to operate the bank account.
- f) Annual budgets prepared by the SPMUs for implementation of approved Annual Work Plans (AWPs) based on the achievements in the preceding year and fund requirements for the successive fiscal year.

9. **District Level:** Following shall be the arrangements at the district level:

- a) Funds from SPMU to the participating district will flow to a dedicated bank account opened by the DPMU in a Public Sector Bank.
- b) The SPMU and DPMU shall strive to open the bank account in the same Public Sector Bank to facilitate ease in transfer of funds.
- c) Designate two officers authorized to operate the bank account. Preferably, the nodal officer of the DPMU and the accounts officer should be the authorized officers for operating the bank account.

#### 7.1.4. Fund Flows and Banking Arrangements

10. **World Bank to the GoI:** The World Bank shall transfer its share into a Designated Account opened for Atal Bhujal Yojana with the Reserve Bank of India. This account will be operated by the CAAA, Department of Economic Affairs, Ministry of Finance (MoF), GoI.

11. **National level:** Funds will be drawn by the designated DDO of the DoWR, RD & GR through the Pay and Accounts Office from the Program-specific budget in the following manner:

- (a) **Fund flow to the NPMU:** Fund flow for national-level expenses. Expenses incurred by the DoWR, RD & GR through the NPMU would be made by the Pay and Accounts Office from the Program-specific budget head in accordance with GoI procedures.
- (b) **Fund flow to the participating states:** Funds from the DoWR, RD & GR for Institutional Strengthening & Capacity Building will be provided to the participating states in their dedicated bank account opened for Atal Bhujal Yojana as an advance following the Expenditure-Advance-Transfer (EAT) module in the Public Financial Management

System (PFMS), to be replenished biannually based upon the utilization of funds for the approved AWP in the respective states.

- (c) Funds provided as incentive for achievement of DLIs will be released in a single tranche following the aforesaid procedures. Unutilized balances of investment funds and/or incentive grants will be adjusted in subsequent replenishments.

12. All funds under the Scheme will be fully mapped in a real-time mode through the PFMS to ensure just-in-time further releases. All receipts and withdrawals from the bank accounts and the unutilized balances will be available for viewing by the DPMUs, SPMU/PIA and NPMU in the DoWR RD&GR.

13. Interest earned from the funds in any of the aforesaid accounts shall be deposited in BHARATKOSH.

14. Under the Program, it will be ensured that before any funds are provided to the State implementing agencies including the GPs, they will clear all overdue audit reports and the audit opinion should not be a disclaimer or adverse.

#### 7.1.5. Banking Arrangements

15. Following Banking arrangements shall be ensured by the states:

- a) Each executing agencies (i.e. DPMUs) may have a scheme-specific zero-balance bank account ('child' account) that will be linked to the 'parent' dedicated bank account of the SPMU.
- b) The SPMU will issue authorization limits to the DPMUs with necessary directives to their respective banks where accounts are held.
- c) The DPMUs will issue payment instructions on the child bank account funds will be released based on the authorized limits by drawing the same from the 'parent' account through electronic transfers. At the end of the day, the balance in child account will be nil.
- d) Gram Panchayats will receive funds in their accounts based on the completion of activities assigned to them, from the DPMUs and or SPMUs, as applicable.

16. The SPMUs shall ensure that the dedicated bank accounts are reconciled on a half-yearly basis.

#### 7.1.6. Accounting System and Procedures

17. At the national level - NPMU: The funds released or expended by the DoWR, RD & GR will be accounted for as per current practices of accounting in the GoI, following the procedures and guidelines as applicable from time to time, for all Ministries, under the advice and oversight of the Financial Advisor and Controller of Accounts. The NPMU in the DoWR, RD & GR will be responsible for accounting of expenditure incurred by the scheme following the norms under GFR 2017 and or its subsequent amendments issued, thereof . The NPMU will consolidate the FM statements and submit the same for audit to the Comptroller and Auditor General of India (C&AG).

18. At the state level: The PIAs in the states will follow the current accounting systems in the states.

- a) The DDOs designated under the scheme will raise bills and submit to the PIA for accounting and payments using PFMS<sup>1</sup>.
- b) Compilation of accounts will be done by the SPMU in the respective states (including expenditures of DPMUs).
- c) The SPMUs will compile monthly accounts and submit the report through MIS established under Atal Bhujal Yojana. Consolidation of all expenditure and management of books of accounts will be carried out by the SPMU.

19. **In case of GPs:** Transactions under the scheme will be recorded in a separate Atal Bhujal Yojana cashbook. This, together with the statement of the bank account, will provide the details of the scheme expenditures. The SPMU shall make arrangements for the participating GPs to access the project MIS.

#### 7.1.7. Financial Reporting

20. The DoWR, RD&GR, MoJS shall consolidate the scheme transactions for all implementing agencies through the PFMS.

21. The PIA/SPMU in the states shall be responsible for collection of all information pertaining to Scheme transactions, including the financial reports at the state/district levels and submit consolidated statement of accounts to the NPMU by June 30 each year. Thereafter, the PIA/SPMU will ensure that the AFS is audited (as per audit arrangements detailed below) and the audit reports are submitted to the NPMU by October 31 each year.

22. The DoWR, RD & GR will prepare the National Program AFS, which will be a consolidation of the AFS of all participating states and the NPMU and the audited AFS will be shared with the World Bank by December 31 each year.

23. The AFS will comprise of a Statement of Sources and Use of Scheme Funds and a Statement of Program Expenditure. The detailed format and contents of the AFS will be prepared and shared with the states by the NPMU and circulated to the states within four months from the launch of the Scheme.

#### 7.1.8. Financial Management Framework for Gram Panchayats

24. For the GPs participating in Atal Bhujal Yojana: The SPMUs shall ensure that the following FM framework is implemented/applied to the participating GPs.

- (a) SPMU will set up a mechanism for effective coordination between DPMUs and the GPs.
- (b) Based on the assessment of achievement of DLIs, the SPMUs will issue a GO listing the GPs eligible to receive scheme funds and the amount. The GPs shall monitor and track of utilization of scheme funds and the GP bank account.
- (c) Before release of scheme funds, the selected GPs will provide audited accounts of at least the last but one fiscal year<sup>2</sup> and such audit report must not have 'adverse' comments or 'disclaimers'. The SPMU will ensure compliance to this condition along with other criteria.
- (d) The GPs receiving Scheme funds will be subject to annual audit following the existing auditing arrangements (local fund audits/AG audits/empanelled private audit firms—as applicable).

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<sup>1</sup>The use of PFMS is mandatory and expenditure not entered in PFMS/EAT module will not be considered as Program expenditure

<sup>2</sup>E.g. If funds are to be provided in FY2020/21, audit of 2018/19 should have been completed

- (e) GPs will follow all prevalent operational procedures and/or those amended from time to time by the GoI and/or those applicable in respective states.

25. The GPs will present AFSs before the Gram Sabha and disclose the approved AWP and expenditure details of the scheme each year on the notice board/other prominent places/their own website and in the administrative department and Atal Bhujal Yojana website.

#### 7.1.9. Internal Controls and Internal Audit

##### 26. Internal controls:

**National Level :** Internal control framework and the MIS developed for the Scheme at the national level will follow GFR 2017; the Government Accounting Rules, 1990; and the Central Government (Receipts and Payments) Rule and at the state-level, as detailed in their respective Budget Manual, Financial Rules, and Treasury Code. Delegation of financial powers at the central level will follow that prescribed by the MoF.

**State Level:** Delegation of financial powers as prescribed by the State Finance Department shall be followed. Internal controls will include reconciliation of bank accounts in case of the SPMUs and the SPVs. All payments for scheme expenditure will be made through electronic transfers only to the respective bank accounts of the recipients. For petty cash payments, the existing procedures may be followed. The SPVs being societies/companies will follow their own systems defined in the memorandum, byelaws rules and regulations, and the Companies Act. Adequacy and effectiveness of internal controls in relation to the Program will be reviewed by internal/external auditors. The existing SPVs will provide a road map for strengthening their internal control system in respect of the qualifications made, if any, in their audit reports.

27. **Internal audit:** At the national level, internal audits of DoWR, RD&GR shall be guided by the Internal Audit Manual prepared by the CGA i.e. Controller General of Accounts. The scope, selection process, frequency of audit, and the ToR shall ensure consistency with the Internal Audit Manual for the reports to be submitted.

28. Private firms may be engaged to supplement internal audit staffing to ensure timely internal audits of the scheme. Internal audit of Atal Bhujal Yojana will be an integrated procurement and FM audit. Follow-up of internal audit observations shall be done on priority and would be the responsibility of the SPMUs with the oversight of the SISC at the State level and of NISC at the national level. The ToR for internal audit of Atal Bhujal Yojana agreed by the DoWR, RD&GR with the World Bank shall be prepared and circulated separately.

#### 7.1.10. External Statutory Audit

29. The AFS for the entire Scheme will be audited by the C&AG and the DoWR, RD&GR will be responsible for coordinating the audit. The audit will be completed and AFS along with the audit report will be shared with the World Bank by December 31 each year. The scope of audit will be as per the ToRs issued by the MoF (Department of Economic Affairs) vide their Office Memo F. No. 17/7/2006-FB-II on March 20, 2009, prescribing 'Terms of Reference' to be adopted for all audits conducted by the C&AG.

30. The AFS of the PIAs and the DPMUs will be conducted in accordance with the following arrangements:

- (a) If the PIA is an SPV registered under the Companies Act, audit will be carried out by a firm of chartered accountants from the approved list of firms by the C&AG and appointed by the SPV.
- (b) For the SPMU in a state department, the normal practice of annual audits by the state AG will be followed.
- (c) Audit of the Program Financial Statements of the GPs will be conducted in accordance with the ToR agreed with the World Bank.

31. Wherever external auditors/statutory auditors are already in place for existing SPVs, the same auditor may be directed to include audit of Atal Bhujal Yojana in their annual audits and issue separate audit reports in accordance with the ToR issued by the DoWR, RD & GR for expenditures incurred under the Scheme. The model ToR for annual audit of the Scheme in the states shall be prepared and circulated by the NPMU as agreed with the World Bank.

32. The NPMU shall follow up with the states for timely submission of annual audit reports preferably not later than November 30 of each year, along with remedial measures taken to address the audit observations, if any, by the AG/external auditors. The consolidated AFS of the States and NPMU along with the audit report shall include confirmation of compliance to GFR/extant procurement rules and regulation for procurements under the scheme carried out by the NPMU, SPMUs, DPMUs, in the states. NPMU/SPMUs will follow up on the compliance of the audit observations in the program AFS

#### 7.1.11. Financial Management Staffing

33. The NPMU and the SPMUs/DPMUs should be staffed with adequate specialists with requisite qualifications and experience throughout the implementation period. The staff may also be supplemented/supported with consultants recruited by the NPMU/SPMUs.

34. The NPMU and the SPMUs shall ensure adequate training and capacity building on the use of the PFMS and MIS by the staff and other authorized employees in the SPMU, DPMU to ensure use of the systems for FM.

#### 7.1.12. Disbursements under PforR

35. **Disbursement:** The World Bank support to the Atal Bhujal Yojana will be through the PforR financing mechanism. Under the PforR approach, disbursements are made upon achievement of verified results which are specified as DLIs in the Scheme. The key elements of the PforR instrument are as follows:

35. The financing will be linked to achievement of pre-agreed DLIs. These DLIs will be subject to verification by TPGVA recruited by the NPMU to apply the verification protocols agreed upon.

36. If by the end of the implementation period, the amount of PforR financing disbursed exceeds the total amount of expenditures under the scheme, the GoI shall refund the difference to the World Bank.

37. **Advances:** The DoWR, RD&GR may request advances up to an aggregate amount of 25 percent of the World Bank financing, that is, Rs. 750 crore upon loan effectiveness. The amount of the advance will be adjusted from the total amount due to be disbursed under the Incentive Component against the achievement of DLI(s). The advance amount adjusted by the World Bank will then be available for replenishments annually until the fiscal year preceding the closure of the World



Bank-financed Program to enable adjustment of unutilized advances. The World Bank requires that the borrower refunds any advances (or portion of advances) if the DLIs have not been met (or have been only partially met) by the closing date of the World Bank-financed Program.

## 7.2. Procurement

38. GFR 2017, the Delegation of Financial Powers and Rules, GOs and the broader framework of the Indian Contract Act, the Sale of Goods Act and the guidelines issued by the Central Vigilance Commission, and Manual on Policies and Procedures for Goods, Works, and Consultancy contain broad and generic guidelines applicable to government procurements. Procurement arrangements vary among the states and are essentially guided by state schedule of rates, GFR of states, delegation of power, and Public Works Department (PWD) manual. Empanelment of contractors is done as per the PWD Contractor's Registration Rules and relevant GOs.

39. Overall responsibility of ensuring compliance and consistency lies with the NPMU. The PIAs / SPMUs at the state level are responsible for ensuring appropriate and timely execution of guidance provided by the NPMU from time to time. All the information/guidance shall be collated and disseminated by PIAs / SPMUs at the state level and the NPMU at the central level shall be regularly updated in the MIS.

40. NPMU and the SPMUs shall ensure engagement of procurement specialist to assist the respective agencies for procurements under the Scheme and procurement training for capacity building of personnel engaged in procurement at different levels.

41. Procurement and contract MIS: The state nodal agencies shall ensure that all procurement activities are entered in the proposed web-based Program MIS. Access to this MIS will be provided to the SPMUs/DPMUs for procurement data entry and report generation.

### 7.2.1. Procurement Manual

42. To avoid multiplicity of rules and procedures and to ensure compliance and consistency, the DoWR RD&GR will prepare and circulate a prototype procurement manual consistent with the Atal Bhujal Yojana Scheme guidelines that will provide guidance to procurement activities to be followed under the scheme. The prototype manual shall be available online and will be recast by each state nodal agency as per its own GFR within three months of effectiveness of the scheme. This manual will be approved by the SISC and thereafter applied for procurements under Atal Bhujal Yojana by the nodal agency's SPMU, DPMUs, in the respective state.

43. Each state-level manual shall cover legal, regulatory, and procedural controls; bidding and contract documents; and reporting and record keeping requirements including delegations and purchase decision-making authorities. In the absence of any provision or document at the state level, the Program shall be executed in accordance with the central-level manual developed by the DoWR, RD&GR.

### 7.2.2. Procurement Plans

44. The NPMU and the SPMUs will prepare their annual procurement plans as part of the AWP with details of procurements necessary for the completion of the scheme, associated procurement methods, and timelines.

### 7.2.3. Procurement Review

45. Procurement review refers to review of files and documents relating to the procurement of goods, works, and consultancy services.

- **Internal audit.** An independent annual procurement review shall be carried out for an agreed percentage of contracts under the Program as part of the internal audit or as a stand-alone activity, as guided by NPMU .
- **External audit.** The audit report shall include confirmation of compliance to GFR/extant procurement rules and regulation for procurements under the scheme carried out by the NPMU, SPMUs, DPMUs in the states.

### 7.2.4. Grievance Redressal Mechanisms

46. Grievances and complaints from the contractors/suppliers shall be dealt with as per state-specific procedures and specific contract terms and conditions. All the procuring entities would cross-check, before award, that no contracts are awarded to any firms which are on the debarment list of the World Bank by checking the list available on the World Bank website <http://www.worldbank.org/debarr>, or as notified by the GoI/State Government. An online Grievance Redress Management (GRM) system shall be shared by NPMU linked to the MIS system to support early redressal of grievances/complaints.

## Chapter 8: Monitoring and Evaluation (M&E)

1. Monitoring and Evaluation (M&E) involves continuous collection of data on specified indicators to evaluate the progress and transparency of the scheme during implementation. An effective M&E system helps in taking intermediate corrective measures and effective decision making at all levels of the scheme. The M&E systems provide accurate and timely information regarding various indicators so that decision making and policy formulation becomes easy. The M&E system will

- (a) Monitor progress/results (physical and financial)
- (b) Monitor effectiveness (of processes) to ensure that results comply with scheme objectives;
- (c) Capture issues and feedback relating to sustainability, which will be used by states to improve the long-term O&M of the assets established under the scheme. and
- (d) Ensure transparency and accountability through a built-in MIS.

### 8.1. Proposed M&E Framework

2. The NPMU, DoWR, RD & GR will be responsible for overall M&E of the scheme. The NPMU will develop and implement an integrated M&E system which will be integrated in to MIS and Dashboard to analyze performance against various Indicators. In addition, the system will also have, on a rolling basis, information on

- (a) Fiduciary performance including budget variance, fund flow, timelines of recording actual expenditures and account reconciliations, average duration of procurement processes, number of bidders and bid responsiveness, processing time for contractor payments; the schedule and cost performance of demand- and supply-side investments;
- (b) Project/contract management performance and
- (c) Convergence with other schemes for implementation of investments in groundwater— number of projects, financial support, and number of GPs covered.

3. The M&E system will be developed in consultation with the SPMU teams at the state level. Information at GP, block, district, line department, and state levels shall be compiled and entered in the MIS developed for the Program. As one of the advance actions, the NPMU shall develop detailed ToR for developing an M&E system and provide on-site training support for use of the system. Care will be taken to avoid duplication of data collection and feeding into the system. The M&E system will have the capabilities for geotagging all the activities taken up under Atal Bhujal Yojana.

4. Where M&E systems already exist, the Atal Bhujal Yojana M&E system will be interfaced for integration of data and monitoring. All existing M&E mechanisms, including field equipment and labs, will be used for data collection and feeding into the system. This will encourage improvement of existing systems as well as enable sustainability of the system after scheme life.

### 8.2. DLI Verification Protocols

5. DLIs will be verified annually by a TPGVA recruited by the DoWR, RD&GR through the NPMU for measurement of performance of the states with respect to implementation and achievement of DLIs. This will be a third-party sample assessment, which will be carried out on an annual basis and a

consolidated report will be submitted to the NPMU and further approved by the National Inter-Departmental Steering Committee (NISC) before submission to the World Bank.

6. The TPGVA report will be reviewed and approved by the NISC and thereafter forwarded to the World Bank as part of the evidence required to trigger disbursement of loan funds for achievement of the DLIs. Thus, there will be a minimum of six yearly rounds of the assessment during the life of Atal Bhujal Yojana. The first assessment will authenticate and/or update the data available with an established cutoff date for baseline.

7. Each subsequent round of survey will have components that will generate information on the related indicators detailed in the verification protocol. In accordance with good audit practice, verification will take place against a sampling framework and frequency, described in detail in the Verification Protocols Table given in Annexure 1(b).

8. The TPGVA will be responsible for verifying progress against intermediate indicators also throughout the life of the Program.

### 8.3. Reporting Processes

9. The DoWR, RD&GR, through the NPMU, will be responsible for collating data and reports on the status of Program implementation and results achieved. The collected data will be stored and analyzed in the M&E system and provisions for generation of reports will be inbuilt. The DoWR, RD&GR will take quarterly and/or as required, reviews of the progress of activities at the state levels and will provide feedback to all nodal departments in the states.

10. **Annual Joint reviews.** Annual joint review (including onsite reviews) meeting will be undertaken by the DoWR, RD&GR and the World Bank to assess program progress, identify and propose remedies for any weaknesses, and propose modalities for scaling up successes.

### 8.4. Midterm Review

11. To evaluate the Program, a formal midterm evaluation of the Program will be completed by December 31, 2022.

### 8.5. Implementation Completion Report (ICR)

12. At the end of the scheme, a final evaluation will be conducted. Each participating state shall prepare an ICR and a consolidated ICR will also be prepared by the DoWR, RD&GR to assess its own performance of the scheme which will be incorporated into the ICR prepared by the World Bank after closure of the Program. The ICR for the Program will be completed within three months of project closure.

## Chapter 9: Environment and Social Management Rules and Procedures

### 9.1. Environmental Management

1. The principal environmental risks of the individual investments stem from potential impacts and risks during the construction and operational phases of the scheme. These risks are typical of small-scale civil works projects and will not pose unprecedented or unusual operational challenges. All environmental impacts can be managed with known mitigation measures, which are within the capacity of identified implementing agencies.

#### 9.1.1. Rules and Procedures

2. The key process to be followed for environmental management of the scheme consists of the following steps and each of the steps is further elaborated in the following sections.



- **Institutional responsibility in environmental management.** The SPMUs will have adequate environmental staff for overall planning and implementation of environmental management of the scheme. Detailed responsibilities of these staff are given in section 9.1.2.
- **Environmental screening process for proposed investments.** An environmental checklist (presented in section 9.1.3) will be used to avoid any potential impacts associated with selection of potential sites for recharge and identification of recharge structure.
- **Potential investments to be excluded from Atal Bhujal Yojana.** A list of investments that will be excluded from the scope of Atal Bhujal Yojana are given in section 9.1.4.
- **Environmental management clauses in construction contracts.** Bidding documents of all construction works to be carried out under Atal Bhujal Yojana will include standard environmental specifications (as detailed in section 9.1.5) to mitigate impacts related to occupational health and safety; pollution from wastes; and air, soil, and water pollution.
- **Water quality monitoring.** Water quality monitoring frequency is explained in section 9.1.6. The groundwater quality of the nearby water wells will also be monitored. The water quality laboratories of all agencies available, including the Drinking Water Supply departments as well as the surveillance activity envisaged under Jal Jeevan Mission (JJM) shall be used for this purpose. Additionally, in all participating states, water quality testing laboratories will be updated to respond to Atal Bhujal Yojana and related needs. These laboratories shall be suitably upgraded and shall be accredited by the National Accreditation Board for Testing and Calibration Laboratories (NABL), to assure reliability and accuracy of reports, and systematic integration of laboratory safety and waste management standards into laboratory operations.

- **Adequate budgetary provisions for maintenance of recharge structures.** The recharge interventions to be built under this scheme require regular inspection and maintenance activities. The implementing agencies in the states will include adequate budgetary provision for repair and maintenance activities as part of the Detailed Project Reports (DPRs) of each structure.

### 9.1.2. Institutional Responsibility of Environmental Management

3. Environmental specialists in the NPMU/SPMUs will coordinate with the line departments for implementation of environmental procedures during screening, monitoring, and construction activities and implementation of recommendations proposed. The roles and responsibilities of these environmental staff are given in the following table.

**Table 9.1. Roles and Responsibilities of Environmental Staff**

Institutions	Environmental Staff	Responsibilities
NPMU/SPMUs	Environmental management specialist	<ul style="list-style-type: none"> <li>• To ensure overall implementation of the environmental management procedures in Atal Bhujal Yojana</li> <li>• To coordinate with the line agencies for implementation of environmental procedures during screening, monitoring, and construction activities and implementation of recommendations proposed herewith</li> <li>• To provide training to the line agencies on the use of environmental screening questionnaires in the field and verify the sample questionnaires filled by the line agencies</li> <li>• To ensure that environment-related modules are incorporated in the training and capacity-building programs designed for the scheme at all the levels</li> <li>• To coordinate with relevant training institutions for training of all relevant stakeholders</li> <li>• To ensure periodic and regular environmental monitoring of Atal Bhujal Yojana (including monitoring of hotspot areas) in coordination with SPMUs.</li> <li>• To ensure that comprehensive information on environmental management procedures is available and updated as part of the MIS</li> </ul>

4. The technical staff of implementing agencies and the village water user committees should be provided with training related to environmental issues associated with the scheme.

### 9.1.3. Environmental Screening of Proposed Investments

5. A screening checklist has been prepared for identification of high-risk investments and potential impacts associated with those investments. The screening process will also consider impacts on the downstream water users, ecological flows, flooding and submergence, water logging and stream erosion, community acceptance, chemical quality of recharging water and need for any treatment, availability of borrow material for construction, sites for disposal of spoils, and so on.

### 9.1.4. Potential Investments to be excluded from Atal Bhujal Yojana

6. The following investments related to the augmentation of groundwater recharge will be excluded from Atal Bhujal Yojana:

- (a) Construction of major dams and new large-scale irrigation systems
- (b) Industrial wastewater collection, treatment, and using it for recharging ground water.
- (c) Any investments that could fall under paragraph 9 of the PforR Policy as “Activities that are judged to be likely to have significant adverse impacts that are sensitive, diverse, or unprecedented on the environment and/or affected people are not eligible for the Financing and are excluded from the Scheme”

#### 9.1.5. Environmental Management Clauses in Construction Contracts

7. The following environmental conditions will be included in all the bidding documents of the project to avoid, minimize, and mitigate any adverse/environmental impacts and also to address community and workers’ health and safety. A lump-sum provision will be made in the bills of quantities of the contracts for implementation of these environmental management measures.

**Table 9.2.Environmental, Health, and Safety Aspects in Atal Bhujal Yojana**

<b>Environmental, Health, and Safety Aspects</b>	<b>Conditions of Contract</b>
Environmental protection	The contractor shall take steps to protect the environment on and off the site and to avoid damage or nuisance to persons or to public property resulting from pollution, noise, or other causes arising because of the methods of operation. The contractor and subcontractors shall always abide by all enactments on environmental protection and rules made there under, regulations, notifications, and byelaws of the state or central government or local authorities.
Construction materials	The contractor is responsible for identifying suitable sources for quarry materials required for the works, such as earth, sand, stones, and so on, from quarries having proper license from the respective state governments.
Borrow pits	The borrow pits are to be interconnected to prevent stagnation of water and mosquito breeding. Any hindrance caused to natural drainage of lands due to the work and camps shall be satisfactorily eased out.
Waste disposal	After the completion of the work, the contractor shall remove all unused and waste materials, temporary structures, scaffolding, and so on and dispose them as directed by the engineer-in-charge. Further, the contractor shall also fill up pits, cisterns constructed for storing mortar, water, and so on. Labor sheds or any other sheds put up by the contractor for the work shall be demolished and waste materials disposed as directed by the engineer-in-charge.
Chance finds	Anything of historical or other interest or of significant value unexpectedly discovered on the site is the property of the government. The contractor is to notify the engineer-in-charge of such discoveries.
Preservation of trees	The contractor shall preserve all existing trees in and adjacent to the sites which do not interfere with the construction as determined by the engineer-in-charge.
Safety	The contractor is responsible for the safety of all activities on the site.
Blasting operations	All blastings done by means of explosives, including their storage, shall be in conformity with the explosive act and rules.
Bore well/recharge well drilling	In case of bore well failure, it is the responsibility of the contractor to refill the bore well with soil and stone pieces before shifting the rig. The contractor is responsible for any damage or loss of life arising out of such bore wells left unfilled.
Worker safety	The contractor is to comply with the existing labor regulations, including Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Act 1996. The employer of the establishment is required to provide safety measures at the building or construction work and other welfare measures, such as canteens, first-aid facilities, ambulance, housing accommodations for workers near the workplace.
Amenities to workers	The contractor is expected to provide labor camps amenities, including family sheds



Environmental, Health, and Safety Aspects	Conditions of Contract
	maintaining the specified distance, peripheral roads, surface drainage, sanitary arrangements, water supply, and so on. On the work spot, the contractor is expected to provide adequate rest sheds, crèches, drinking water arrangements, and so on
Medical aid to workers	The contractor shall arrange necessary medical facilities for staff/labor and provide for medical supervision of his workers against epidemics.
Worker safety provisions	The contractor should take adequate steps to ensure proper use of personal safety equipment including protective footwear, goggles, gloves, facemask, eye-shield, helmets—as applicable for workers employed on working with concrete, welding, excavation, and so on.
Public safety provisions	Caution and danger signal boards in English and the local language shall be prominently exhibited at sites (for example, blasting zone). Necessary fencing and lighting must be provided to protect the public/working men from accidents.

### 9.1.6. Environmental Monitoring

8. SPMU shall carry out sample inspections at six-monthly intervals to check if all safeguard requirements are met and to identify any issues that need to be addressed. The sample will mainly cover the schemes that have substantial environmental impacts. There would be an initial baseline monitoring followed by six-monthly monitoring for the following:

- Monitoring of fertilizers and pesticides in recharging water and groundwater quality for the investments proposed for groundwater recharge wells in extensive agricultural land use areas.
- Monitoring of presence of contaminants including toxic elements in areas where recharging takes place through saline rich or contaminated soils.
- Monitoring of presence of contaminants including toxic elements in identified sample of surface water sources located in surface water quality hotspots (such as in/near the river sites having very bad water quality).
- Monitoring of contaminants for the treated municipal waste water that is proposed for irrigation, should ensure compliance with GoI standards for effluent quality on irrigation use.

### 9.1.7. Environmental Auditing

9. Twice during the scheme period (in years 2 and 5), the NPMU will appoint an external agency (government agency or independent consulting agency) to undertake an independent audit of the environmental performance of all Atal Bhujal Yojana activities with sample covering adequate number of schemes implemented by the states, that have substantial environmental risks.





## 9.2. Social Management

### 9.2.1. Guiding Principles of Social Management

10. **Inclusion.** All supply and demand related activities in Atal Bhujal Yojana will be designed to ensure that the vulnerable, scheduled castes, scheduled tribes, women (particularly single women and households headed by women), minorities, small and medium farmers, and landless get included in the planning process and receive equitable access to benefits.



11. **Participation.** The provisions of the 73<sup>rd</sup> Constitutional Amendment Act and the corresponding state acts providing rights to participate directly and indirectly in the processes of economic development and social justice should be complied with. SPMUs/DPMUs shall ensure that provisions to support Panchayats in ensuring participatory processes and social inclusion is facilitated by Panchayat subcommittees dealing with water and WUAs.

12. **Transparency and accountability.** The other available practices of information disclosure and social accountability in the ongoing flagship programs of the GoI will be the guiding principles in ensuring that people are aware and duly informed of the development works in their village. NPMU/SPMU/DPMUs will ensure

- a) compliance with provisions under The Right to Information Act
- b) strong accountability mechanisms including vigilance systems,
- c) community monitoring systems, and
- d) Dedicated, accessible, and responsive Grievance Redressal Systems.

### 9.2.2. Implementation Actions for Social Management

13. **Land management.** Land acquisition and its related adverse social impacts are not foreseen because of the type of program investments. Implementation of WSPs for groundwater management may require land for say drainage line treatment. These small structures such as *nalla/nala bund* or check dams will be located on public/government/GP/common land. Hence, land acquisition is not envisaged in the Program.

14. **Rights and interests of indigenous people and vulnerable groups.** The socially vulnerable groups that are severely affected due to depleting quantity of groundwater including small and marginal farmers shall be supported through establishment of water sharing mechanisms that take into account that the limited resources are also made available to the most vulnerable.

15. **Participation, inclusions, and accountability:**

- (a) SPMU/DPMUs shall ensure that the GPs and other community-based institutions such as the water user groups foster participatory management, planning, and implementation of participatory and community-led methodologies for effective local and regional impacts of the Program. The local-level budgeting and planning will use

inclusive and participatory tools to ensure that all sections are included for collective ownership in the WSPs developed.

- (b) NPMU/SPMU/DPMUs shall promote social audit or other tools to assess its impact in terms of equity, access, benefit sharing, and accountability.
- (c) Access to GRM system under the Program MIS will be widely disseminated for submission of grievances /complaints for redressal.

16. **Fragility and social conflict.** Water dispute management is not expected to be a significant issue with Atal Bhujal Yojana as communication strategy will help in bringing about a collective change in perception about participatory management. Should an issue arise, the same shall be resolved at the appropriate level by the competent authority, considering the interests of all parties concerned.

### 9.2.3. Institutional responsibility of Social Management

#### National

- (a) Prepare, manage, and build capacities of states on information monitoring systems to track social processes
- (b) Provide guidelines for engaging consultants and DIPs at state and district level
- (c) Prepare national-level IEC/behavior change campaigns with guidelines to states on state-specific activities
- (d) Manage and update capacity development calendar
- (e) Develop indicators and reporting mechanisms on social processes
- (f) Develop and streamline grievance redressal mechanisms
- (g) Coordinate with other departments

#### 17. State

- (a) Engage consultants at state and district level for managing and support in management of social processes
- (b) Carry out capacity development activities
- (c) Carry out IEC/behavior change activities
- (d) Update MIS on social processes
- (e) Manage and collate grievances
- (f) Coordinate with other departments

#### 18. District

- (a) Report to state level on social processes
- (b) Support the GPs on social processes
- (c) Manage water-sharing agreements across the GPs

#### 19. GP

- (a) Support local-level planning and implementation committees to carry out the activities for groundwater management
- (b) Prepare participatory plans
- (c) Facilitate social inclusion
- (d) Ensure community monitoring

#### 9.2.4. Gender Strategy

20. SPMUs/DPMUs shall ensure participation of women in water budgeting and water security planning exercises by mandating the presence of at least 33 percent female members in the GP-level WUAs. Women will be trained on budgeting and planning, as well as monitoring implementation



progress. Additionally, gender issues will be addressed in the meetings of the WUAs. Specific training and exposure visits will be organized to engage women in the project activities. To this effect, the Results Framework of the scheme will track the participation of women in the committee and Panchayat-level meetings, the gender disaggregated data on scheme beneficiaries and also the number of women-headed user committees shall be recorded for confirmation of participation of women in the scheme.

#### 9.2.5. Governance and Accountability

21. The existing accountability mechanisms under the Right to Information Act and Rights to Services Act will be applicable during the implementation of Atal Bhujal Yojana.

#### 9.2.6. Atal Bhujal Yojana Communication Strategy

22. The key objective of the IEC will be to raise awareness about deteriorating groundwater levels and the associated and impending impacts. Importance of the role of participation from all stakeholders, especially end users on the field will be presented. Based on principles of inclusion, transparency, and accountability, the IEC strategy should aim to enhance the ability of stakeholders to engage, influence local-level institutions and hold them accountable for their work.

23. The communications model advocated shall be a community-owned communication strategy that encourages civic engagement, where the community is part of the planning and monitoring process of the schemes. The methodology should be to seek to foster social, political, and institutional changes at different levels by building trust among implementers and the users, promoting a two-way communication, and exchanging knowledge and skills for a sustainable change in both availability of services and behavior that is consistent with facts on the ground. The detailed communication plans will be drawn out after an assessment of the communication needs.

#### 9.2.7. Operations, Maintenance, and Withdrawal

24. The objective is to ensure that the assets created during the Program implementation phase are sustained and continue to yield benefits in the years to come. NPMU & SPMUs shall play key roles in ensuring that capacities at various levels shall be enhanced to make the program interventions self-sustainable. This will include both training and installation of the systems required to manage, inventory, and plan for maintenance.

## Chapter 10: Program Action Plan

1. The DoWR, RD & GR has agreed to undertake a set of actions during the implementation of Atal Bhujal Yojana, as summarized in the table below, to improve scheme execution and increase the likelihood of achieving the identified results. The compliance and implementation of the PAP will be systematically monitored by the Department as well as the World Bank.

Action Description	DLI	Covenant	Due Date	Responsible Party	Completion Measurement
The interim Program Guidelines finalised including mandating the use of PFMS / EAT, the Program internal and external audit arrangements with ToRs and annual procurement performance review for agreed sample of contracts to ensure compliance	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Within three months from Program effectiveness	DoWR, RD&GR	Final Program Guidelines notified
Program Fiduciary Manual for all participating States prepared covering regulatory and procurement procedural processes, controls, delegation of powers and reporting requirements and internal & external audit including procurement review and fiduciary framework for the GPs	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Within three months from Program effectiveness	DoWR, RD&GR and participating States	Fiduciary Manual notified by the participating States
Annual progress report prepared including Program environmental management at the State level (implementation of procedures for environmental screening for siting and selection of proposed investments and monitoring of environmental impacts; results of environmental monitoring and any recommendations; cumulative environmental impact assessment of overall proposed investments at the State level – baseline data and ToRs established in first year and annual assessment of changes against baseline thereafter; social and environmental staffing and capacity assessment at the State level implementing agencies; and recommendations for further strengthening of systems and environmental outcomes.)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	By the end of the first year of program effectiveness and subsequent update every year	Participating States	Reports submitted
Existing complaint and grievance redressal and vigilance mechanisms at the state-level strengthened to handle complaints related to procurement, FM, fraud and corruption issues, and social management under the Program; information on complaints received and remedial actions taken aggregated	<input type="checkbox"/>	<input checked="" type="checkbox"/>	In the first quarter of the first year of the Program	DoWR, RD&GR and participating states	Annual progress reports

quarterly and publicly disclosed			effectiveness		
Development of a comprehensive MIS including modules for procurement and contract management	<input type="checkbox"/>	<input checked="" type="checkbox"/>	In the first year of program effectiveness	DoWR, RD&GR and participating states	Annual progress reports
Citizen feedback systems and disclosure protocols developed and institutionalized for communities, particularly female/vulnerable/marginalized population	<input type="checkbox"/>	<input checked="" type="checkbox"/>	In the first year of the Program effectiveness	DoWR, RD&GR and participating states	Annual progress reports

## Atal Bhujal Yojana: Results Framework Matrix: Baseline and Target Values of Indicators

Objective: To improve management of groundwater resources in the selected States

DLI #	Outcome Indicators	Intermediate Results (IR) Indicators	Unit of Measurement	Baseline (2020–21)	End Target (Over & above baseline) (2024–25)
1	Indicator 1: States with improved groundwater monitoring and disclosure of groundwater data		Number	TBA	7
—		1.1: Blocks with online groundwater quality and water-level monitoring reports made publicly available	Number	TBA	150
—		1.2: State-level accredited groundwater quality labs	Number	TBA	7
2	Indicator 2: GPs with Community-led WSPs prepared and approved		Number	TBA	3750
—		2.1: GP-level water budgets completed	Number	TBA	2500
—	Indicator 3: Direct Program beneficiaries		Number	TBA	15 million
—	(3a) of which women		%	TBA	48%
—		3.1: People benefitting from demand-side measures	Number	TBA	10 million
—		(3.1a) of which women	%	TBA	48%
3	Indicator 4: GPs which have adopted participatory groundwater management		Number	TBA	2,000
—		4.1: WUAs or other village-level water committees established and functioning	Number	TBA	2000

DLI #	Outcome Indicators	Intermediate Results (IR) Indicators	Unit of Measurement	Baseline (2020–21)	End Target (Over & above baseline) (2024–25)
—		4.2: Women’s representation in WUAs or other village-level water committees	%	TBA	20
—		4.3: Women in decision-making roles within WUAs (President, Vice President, Secretary, and Treasurer)	%	TBA	15
—		4.4: Wells with functioning meters for monitoring groundwater level (observation wells), volumetric water use, or energy use	Number	TBA	50,000
4	Indicator 5: Area with reduction in water consumption		Hectares	TBA	200,000
—		5.1: Area provided with new/improved irrigation or drainage services	Hectares	TBA	160,000
5	Indicator 6: Blocks with arrest in the declining trend of groundwater levels		Number	TBA	80
—		6.1: Blocks that show reduction in stage of groundwater development	Number	TBA	75

## Atal Bhujal Yojana: Indicator Description

Indicator Name (#)	Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection	DLIs	
						Responsibility for Data Verification	Scalability of Disbursement (Yes/No)
Indicator 1: Blocks with arrest in the decline of groundwater levels	Blocks showing improvement in the declining trends of groundwater levels, that is, if the trend-corrected groundwater level (corrected for rainfall) in at least 50% of the predefined observation wells is equal to or above the baseline groundwater trend. (see detailed definition in annex 3). The term block includes blocks, areas, and talukas. The indicator will be measured as the average of the last three years or with respect to the base line year.	Annual	Water-level readings in selected observation wells (CGWB and states); Rainfall data (Indian Meteorological Department)	MIS data	Participating States and DoWR, RD&GR	TPGVA	Yes
IR Indicator 1.1: Blocks that show reduction in stage of groundwater development	The number of blocks that show reduction in stage of groundwater development (using CGWB guidelines). The indicator will be measured as the actual value relative to baseline using latest assessment.	Biennial (As per DoWR, RD & GR policy)	State and CGWB records on net annual groundwater availability and draft	DoWR, RD&GR and CGWB data	DoWR, RD&GR		



Indicator Name (#)	Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection	DLIs	
						Responsibility for Data Verification	Scalability of Disbursement (Yes/No)
Indicator 1: GPs with Community-led WSPs prepared and approved	The number of GPs which (a) completed water budgeting, (b) prepared WSPs, and (c) had community participation in groundwater management planning. The indicator is an aggregated value over time.	Annual/Seasonal	(a) Water Budgets approved by PIA, (b) record of community participation, and (c) WSPs approved by state PIA	Verification of sample approved by WSPs	Participating States	TPGVA	Yes
IR Indicator 2.1: GP-level water budgets completed	The number of water budgets developed and approved. The indicator is an aggregated value over time.	Annual	Water budgets approved by state PIA	Verification of sample approved by WSPs	Participating States	TPGVA	
Indicator 3: Direct Program beneficiaries	Total population of the GPs who benefitted from Atal Bhujal Yojana. The indicator is an aggregated value over time.	Annual	GP/state government records and MIS	MIS data	Participating States		
(3a) of which women	Percentage of women in the total population of the GPs who benefitted from Atal Bhujal Yojana.	Annual	GP/state government records and MIS	MIS data	Participating States	TPGVA	
IR Indicator 3.1: People benefitting from demand-side measures	Number of people in areas where demand-side measures are implemented (for example, adoption of participatory groundwater management, micro-irrigation technologies, and shift to less water- crops). The indicator is an aggregated value over time.	Annual	State and district data record and MIS	Physical verification (of random representative sample) and district-level records and MIS	Participating States	TPGVA	

Indicator Name (#)	Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection	DLIs	
						Responsibility for Data Verification	Scalability of Disbursement (Yes/No)
(3.1a) of which women	Percentage of women among people in areas where demand-side measures are implemented (for example, adoption of participatory groundwater management, micro-irrigation technologies, and shift to less water-crops)	Annual	State and district data record and MIS	Physical verification (of random representative sample) and district-level records and MIS	Participating States	TPGVA	
Indicator 4: GPs which have adopted participatory groundwater management	Number of GPs in selected blocks that demonstrate participatory groundwater management through the adoption of the following measures: (a) the introduction of metering/user monitoring of groundwater or energy usage and (b) annual update of the WSP	Annual	State and district data record and MIS	Physical verification (of random representative sample) and district-level records and MIS	Participating States	TPGVA	Yes
IR Indicator 4.1: WUAs or other village-level water committees established and functioning	The number of WUAs or water user committees established and meeting regularly	Annual	State- and district-level records	MIS data and record of minutes of meetings	Participating States	TPGVA	
IR Indicator 4.2: Women's representation in WUAs or other village-level water committees	The percentage of WUA or user committees' members who are women and participate in meetings	Annual	State- and district-level records	MIS data and record, minutes of meetings (attendance sheets), and membership records	Participating States	TPGVA	

Indicator Name (#)	Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection	DLIs	
						Responsibility for Data Verification	Scalability of Disbursement (Yes/No)
IR Indicator 4.3: Women in decision-making roles within WUAs (President, Vice President, Secretary, and Treasurer)	The percentage of women in roles of President, Vice President, Secretary, and Treasurer	Annual	State- and district-level records	MIS data	Participating States	TPGVA	
IR Indicator 4.4: Wells with functioning meters for monitoring groundwater level (observation wells), volumetric water use, or energy use	Number of wells in selected blocks, with metering of water levels, volumetric water consumption, and energy consumption. The indicator will be measured as a three-year average.	Annual	State government records and physical verification	MIS data	Participating States	TPGVA	
Indicator 5: Area with reduction in water consumption	Extent of area in which water - efficient irrigation systems to reduce consumption and non-beneficial water have been adopted and/or cropping patterns have shifted away from water-crops and/or electricity feeder separation has been adopted. The indicator is an aggregated value over time with reference to baseline.	Annual	Baseline data register of the GPs and annual measurements over the baseline data	Updated registers/MIS/Department of Agriculture records	Participating States	TPGVA	Yes

Indicator Name (#)	Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection	DLIs	
						Responsibility for Data Verification	Scalability of Disbursement (Yes/No)
IR Indicator 5.1: Area provided with new/improved irrigation or drainage services	Extent of area in which improved irrigation systems to reduce consumption and non-beneficial water have been adopted. The indicator is an aggregated value over time.	Annual	Baseline Data register of the GPs and annual measurements over the baseline data	Updated registers/MIS/Department of Agriculture records	Participating States	TPGVA	
Indicator 6: States with improved groundwater monitoring and disclosure of groundwater data	Number of GPs/Blocks in which (a) the monitoring of groundwater-related data has improved (number of wells monitored) and (b) groundwater quality and quantity data and reports are publicly disclosed.	Annual	State government records and MIS data	Physical verification (of random representative sample) and state-level records and MIS	Participating States, DoWR, RD&GR	TPGVA	Yes
IR Indicator 6.1: Blocks with online groundwater quality and water-level monitoring reports made publicly available	Number of block-level groundwater reports published online. The indicator will be measured as a three-year average.	Annual	Online groundwater monitoring system	Verification of online reports and data from a representative sample of blocks	Participating States, DoWR, RD&GR	TPGVA	

Indicator Name (#)	Description	Frequency	Data Source	Methodology for Data Collection	Responsibility for Data Collection	DLIs	
						Responsibility for Data Verification	Scalability of Disbursement (Yes/No)
IR Indicator 6.2: State-level accredited groundwater quality labs	Number of additional labs accredited and equipped with modern groundwater quality monitoring systems. The indicator will use the accreditation of National Accreditation Board for Laboratories (NABL). This indicator is an aggregate value over time.	Annual	Accreditation report by NABL	MIS data	DoWR, RD&GR	TPGVA	

Atal Bhujal Yojana: DLI Verification Protocols Table

#	DLI	Definition/Description of achievement	Scalability of Disbursements (Yes/No)	Protocol to Evaluate Achievement of the DLI and Data/Result Verification		
				Data Source/Agency	Verification Entity	Procedure
1	Public disclosure of ground water data/ information and reports	A state is verified to have achieved the DLI if the monitoring and disclosure of groundwater-related data has improved.	Yes	State government records and online data verification	TPGVA/DoWR, RD&GR	<p>Only the selected states/block/GP will be considered for this DLI.</p> <p>For a given state/block/GP in a given year, the achievement of the DLI will be measured as the year-on-year improvement using two sub-indicators on (a) groundwater monitoring and disclosure of data (b) disclosure of block-wise groundwater reports</p> <p><b>Groundwater monitoring and disclosure of data.</b> This sub-indicator is defined as (i) the number of wells for water level measurement and water quality sampling locations for which water quality and quantity data are available and disclosed; and (ii) the number of wells equipped with functional meters for energy consumption or volumetric groundwater usage.</p> <p><b>Public availability of groundwater reports.</b> This sub-indicator is defined as the number of block-level groundwater quality and quantity monitoring reports made publicly available online.</p> <p>A state/Block/GP can qualify for this DLI in multiple years.</p>
2	Preparation of Community led Water Security Plans	A GP in a selected block is verified to have achieved the DLI when it has completed its WSP, including water budget, in a participatory manner.	Yes	(a) Approved water budget (GP), (b) approved WSP (GP), and (c) record of community participation (GP)	TPGVA	<ul style="list-style-type: none"> <li>• Only GPs in selected blocks will be considered for this DLI.</li> <li>• An annual survey will be conducted in a representative sample of GPs in the selected blocks. The sample size will be sufficient to yield reliable information. For a given GP, the DLI is considered to be achieved upon completion of all of the following three criteria:</li> <li>• <b>Water budgets.</b> Completion is considered successful</li> </ul>

#	DLI	Definition/Description of achievement	Scalability of Disbursements (Yes/No)	Protocol to Evaluate Achievement of the DLI and Data/Result Verification		
				Data Source/Agency	Verification Entity	Procedure
						<p>when a water budget using the template in the Program Guidelines has been completed by the GP and approved by State PIAs.</p> <ul style="list-style-type: none"> <li>• <b>WSPs.</b> Completion is considered successful when a WSP (a) has been signed by at least three-fourth of the members of the WUA/CBOs involved in planning and (b) has been approved by the PIAs.</li> <li>• <b>Community participation.</b> Completion is considered successful when meetings of WUA/GWUA/CBOs and records of minutes of at least three community-level meetings are verified as adequate based on attendance sheets including those of the Gram Sabha (where participants include at least 20% of women members). The TPGVA shall validate the above through interviews of select participants involved in water budgeting and preparation of WSPs.</li> </ul>
3	Public financing of approved Water Security Plans through convergence of ongoing/ new schemes	Aggregate amount of funds allocated by governments in a selected state in a given year for implementation of approved WSPs (excluding the funds from Atal Bhujal Yojana).	Yes	State allocation plan	TPGVA	<p>Only the selected districts/blocks will be considered for this DLI.</p> <p>Each state will develop an annual state allocation plan, which will include funds from other programs/schemes allocated for implementation of investment actions of approved WSPs. Only GPs which have an annually updated and approved WSP will be considered eligible.</p> <p>The PIAs /SPMUs will be responsible to compile the state allocation plan based on aggregation of the district-level allocation plans. The TPGVA will review and verify the annual state allocation plan.</p> <p>A state can qualify for this DLI in multiple years.</p>



#	DLI	Definition/Description of achievement	Scalability of Disbursements (Yes/No)	Protocol to Evaluate Achievement of the DLI and Data/Result Verification		
				Data Source/Agency	Verification Entity	Procedure
4	Adoption of practices for efficient water use	Surface area in which water-efficient irrigation systems to reduce consumption have been adopted and/or non-beneficial water use has been reduced and/or cropping patterns have shifted away from water- crops and/or electricity feeder separation has been adopted	Yes	Irrigation and crop data using Departments of Agriculture in selected states and/or data collected by GPs for preparation/updating of WSP	TPGVA	<p>Only selected blocks will be considered for this DLI.</p> <p>For a given block in a given year, the achievement of the DLI will be based on the sum of:</p> <p><b>Year-on-year increase in surface area (in hectares) with efficient irrigation systems.</b> Data on water-efficient irrigation techniques (for example, such as micro-irrigation/piped irrigation) in the Participating States will be used to determine the year-on-year increase in the number of hectares using water-efficient irrigation techniques.</p> <p><b>Year-on-year increase in surface area (in hectares) with shift in cropping patterns.</b> Cropping data collected by the GPs for preparation of WSPs will be used to determine the acreage of various crop types. The year-on-year shift in cropping patterns away from water- crops will be determined based on the difference in the area under high and low water- crops.</p> <p><b>Year-on-year increase in the number of blocks where electricity feeder separation has been adopted.</b> Electricity line distribution data collected at the block level will be used to determine the annual incremental number of blocks adopting feeder separation for agriculture.</p> <p>A block can qualify for this DLI in multiple years.</p>
5	Improvement in the rate of decline of groundwater levels	A block is verified to have achieved the DLI if there is an improvement in the declining trend of groundwater levels (corrected for rainfall) in at least 50% of the observation wells in a	Yes	Observation wells' readings (CGWB and states) and rainfall data (India Meteorological Department/Shuttle Radar Topography Mission)	TPGVA	<p>All selected blocks under the Program will be considered for DLI#5.</p> <p>The baseline groundwater trend is the pre-monsoon water level trend in the observation wells over 2015-19.</p> <p>For a block to qualify for DLI#1, it should have at least 10 observation wells, equipped with functional DWLRs or equivalent monitoring systems for measurement of water levels. PIA will identify the number and location of observation wells for each selected block within the first 6 months of</p>

#	DLI	Definition/Description of achievement	Scalability of Disbursements (Yes/No)	Protocol to Evaluate Achievement of the DLI and Data/Result Verification		
				Data Source/Agency	Verification Entity	Procedure
		given block as compared to the baseline trend.				<p>program effectiveness.</p> <p>Each year, the groundwater level in selected observation wells will be measured over the 5-week pre-monsoon period. The observed water levels in each observation well will be corrected for rainfall following a linear regression between rainfall and water levels.</p> <p>For a given block, in a given year, the DLI will be considered achieved if the pre-monsoon groundwater level trend (corrected for rainfall<sup>3</sup>) in at least 50% of the predefined observation wells is equal to or above the baseline groundwater trend.</p> <p>Blocks can qualify for this DLI in multiple years.</p>

<sup>3</sup> Rainfall correction will be based on a simple linear relationship established for each block between rainfall received and the water levels based on previous 5 years' data. The period for rainfall considered will be from June to December for a given year. Premonsoon water levels will be considered. The number of wells used for the relationship shall be representative of the block selected for calculation.

## Source of Data to Be Used for Verification for Each DLI and Sub-DLI

#	DLI	Definition/Description of Achievement	Data/Report	Source/Agency Procedures
1	Public disclosure of ground water data/ information and reports	A Block is verified to have achieved the DLI if the monitoring and disclosure of groundwater related data has improved.	<ol style="list-style-type: none"> <li>1. Quality of monitoring</li> <li>2. Public availability of groundwater data and report</li> </ol>	<ol style="list-style-type: none"> <li>a. Verification of number of wells for water level and water quality monitoring from State GW department records updated annually and compared with base line number.</li> <li>b. Checking the above physically in at least 20% of selected blocks.</li> <li>c. Checking the regularity of water level and chemical quality data recording and updating in records maintained by state GW dept. (Chemical Quality data may be of previous year)</li> </ol> <ol style="list-style-type: none"> <li>a. Check on the web-site of the project as well as the state PIA</li> </ol>
2	Preparation of Community led Water Security Plans	A GP in a selected block is verified to have achieved the DLI when it has completed its WSP, including water budget, in a participatory manner.	<ol style="list-style-type: none"> <li>1. Approved water budget (GP)</li> <li>2. Approved Water Security Plan (GP)</li> <li>3. Record of community participation (GP).</li> </ol>	<ol style="list-style-type: none"> <li>a. Rainfall data – IMD/TRMM</li> <li>b. Ground Water Draft data- WMC registers and Baseline data register of GP</li> <li>c. Cropping Pattern- Baseline data of GP from Registers approved by DPMU</li> <li>d. In approved Template</li> </ol> <ol style="list-style-type: none"> <li>a. Signed by WMC members and countersigned by Gram Sabha head.</li> <li>b. Financials as per latest SOR</li> <li>c. Approved by DPMU-DPC</li> </ol> <ol style="list-style-type: none"> <li>a. Register of meetings duly signed by attendees and countersigned by President of WMC</li> <li>b. Countersigned by Gram Sabha Head</li> <li>c. Interviews with selected participants of which at least 25% shall be women.</li> </ol>
3	Public financing	Aggregate amount of funds allocated by	District level implementing agencies	<ol style="list-style-type: none"> <li>a. Records of expenditure of the Agency that contributed to</li> </ol>

#	DLI	Definition/Description of Achievement	Data/Report	Source/Agency Procedures
	of approved Water Security Plans through convergence of ongoing/ new schemes	governments in a selected state in a given year for implementation of approved WSPs (excluding the funds from Atal Bhujal Yojana.	records	the intervention, b. Physical Verification of at least 30% interventions on ground c. Updated and approved WSP
4	Adoption of practices for efficient water use	Surface area in which water-efficient irrigation systems to reduce consumption have been adopted and/or non-beneficial water use has been reduced and/or cropping patterns have shifted away from water intensive crops and/or electricity feeder separation has been adopted	1. Year on year increase in surface area (in hectares) with micro-irrigation/piped irrigation systems 2. Year on year increase in surface area (in hectares) with shift in cropping patterns 3. Year-on-year increase in the number of blocks where electricity feeder separation has been adopted. Electricity line distribution data collected at the block level will be used to determine the annual incremental number of blocks adopting feeder separation for agriculture	a. Register of Base line data of GP along with annual updated data duly verified and certified by SPMU and Gram Sabha Pradhan. b. Physical verification on ground of at least 30% of the increased area under improved irrigation systems/with shift in cropping pattern
5	Improvement in the rate of decline of groundwater levels	A block is verified to have achieved the DLI if there is an improvement in the declining trend of ground water levels (corrected for rainfall) in at least 50% of the observation wells in a given block as compared to the baseline trend.	1. Ground-Water levels 2. Rainfall 3. Period	a. CGWB and State Groundwater Department data  a. India Meteorological Department/TRMM data  a. 5-week pre-monsoon period

## Atal Bhujal Yojana: Incentive Disbursement Guidelines (ADGs)

### 1. Introduction

1. Atal Bhujal Yojana is jointly financed by Govt. of India and The World Bank on 50:50 ratio through performance based funding using Program for Results (PforR) financing instrument as it provides a vehicle for incentivizing change at various levels of government and society. By recognizing and incentivizing good performance of States and their implementing agencies, especially Gram Panchayats (GPs), the scheme is expected to provide incentives to innovate and follow-through on priority actions.
2. The key results areas are
  - (a) Strengthened institutional framework and effective ground water data monitoring and disclosure.
  - (b) Improved planning and implementation of groundwater management interventions.

### 2. Verification of Performance / Achievements

3. The performance/ achievements of the States in respect of the above two results areas shall be verified by the Third Party Government Verification Agency (TPGVA) through the Disbursement Linked Indicators (DLIs) detailed herewith. The verification will essentially be a third party sample survey in all the participating States of the scheme. The TPGVA shall be hired / engaged by DoWR, RD& GR as agreed with the World Bank. There will be a minimum of six (6) rounds of verifications, commencing with the baseline survey during 2020-21, followed by a minimum of five annual verifications during the scheme period.
4. TPGVA will operate according to an agreed protocol, which is detailed in Annexure I (b).
5. The annual report containing the verified results will be prepared and submitted by the TPGVA to DoWR, RD&GR which in turn shall be submitted by the Department to the World Bank for disbursement of funds. Based on the findings of the TPGVA report vis-à-vis requirements for each DLI, World Bank will disburse funds to the designated account of GOI for onward disbursement to each state.
6. This note outlines the modalities for release of incentives from a) The World Bank to GoI and b) from DoWR, RD& GR to participating States based on their performance against each Disbursement Linked Indicator (DLI);

### 3. Release of Atal Bhujal Yojana Incentives by World Bank to DoWR, RD & GR and DoWR, RD & GR to States

#### 3.1 Resources for Incentive Disbursement Scheme

7. It is envisaged that Atal Bhujal Yojana funds (grants from GoI and loan funds from World Bank shared on a 50:50 ratio) shall flow to the NPMU and to the PIAs in the states from DoWR, RD & GR as grants. The composition of the INR 4,600 crore across DLIs, is presented in table 1(d).1.

**Table 1 (d).1. Proposed DLIs and Financial Allocation**

DLIs#	DLI Description	Proposed Allocation (INR in crore)			% allocation
		World Bank	Govt. of India	Total	
DLI#1	Public disclosure of groundwater data/information and reports	300	160	460	10
DLI#2	Preparation of Community-led Water Security Plans	450	240	690	15
DLI#3	Public financing of approved water security plans through convergence of ongoing schemes	600	320	920	20
DLI#4	Adoption of practices for efficient water use.	1200	640*	1840	40
DLI#5	Improvement in the rate of decline of groundwater levels	450	240	690	15
<b>Total</b>		<b>3000</b>	<b>1600</b>	<b>4600</b>	<b>100</b>

\*Includes the allocations for the blocks having adopted Electricity feeder separation.

#### 3.2 Principles of the Incentive Disbursement Scheme

8. *Key Principles:* The design of the Incentive Disbursement Scheme, is based on:

- (a) Measuring and rewarding states for sustained arrest in declining trend of groundwater levels in scheme areas of seven participating states,
- (b) Recognizing and rewarding states for institutionalization of standardized bottom-up groundwater planning process in development of water security plans (WSPs);
- (c) Allocation of incentive for effective convergence and efficient utilization of local area and multi-sector development funds for implementation of WSPs
- (d) Recognizing and apportioning incentives for
  - (i) Strengthening ground water management institutions to provide technical assistance to PRIs and community;

- (ii) Improvement in public disclosure of groundwater information for application by targeted beneficiary community;

### 3.3 Allocations across DLIs

9. The allocation of targets against various DLIs, has been done in a manner such that States at different levels of performance are accommodated and better performing States will have a chance to earn higher incentives. With this in mind, achievement of each DLI is incentivized differently to allow scaling of rewards on an annual basis.

DLIs	DLI Description	Unit/ No. of units	Total allocation (Rs. In crore)	HAR	GUJ	KAR	MAH	RAJ	U.P.	M.P.
<b>DLI#1</b>	Public disclosure of groundwater data/information and reports	No. of GPs 5750	460	1305	1250	825	921	603	379	467
		No. of Blocks 193		36	24	41	35	22	26	9
<b>DLI#2</b>	Preparation of Community-led Water Security Plans	No. of GPs 5750	690	1305	1250	825	921	603	379	467
<b>DLI#3</b>	Public financing through convergence of ongoing schemes	No. of Blocks 193	920	36	24	41	35	22	26	9
<b>DLI#4</b>	Adoption of practices for efficient water use.	Area in Ha 450000	1840	60000	55000	75000	75000	100000	60000	25000
<b>DLI#5</b>	Improvement in the rate of decline of groundwater levels	No. of Blocks 46	690	9	6	9	8	6	6	2
			4600							

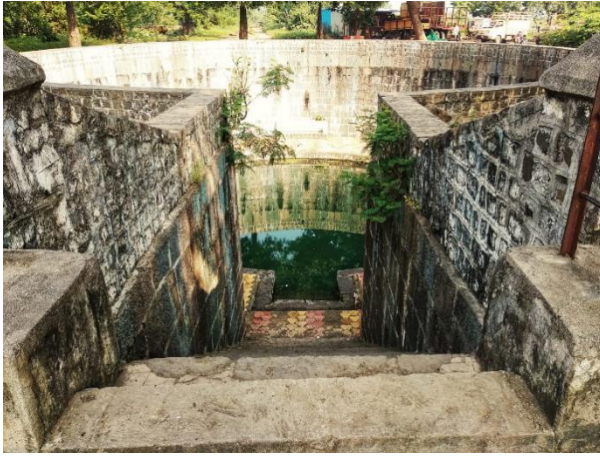
10. The above DLIs shall be highly beneficial to participating states' local governments for adopting and institutionalization of participatory ground water management. They will also benefit on incremental basis for taking measures to ensure sustainability of participatory ground water management initiatives, in addition to data collection, strengthening the water quality testing labs, staffing, training and capacity building of stakeholders on groundwater management.

11. The allocations provided to the states are subject to review and/or reallocation at Mid-term Review (MTR) of the scheme based on the overall performance in implementation of the scheme by each state.

### 3.4 Incentives for Performance and Projected Allocations across Years

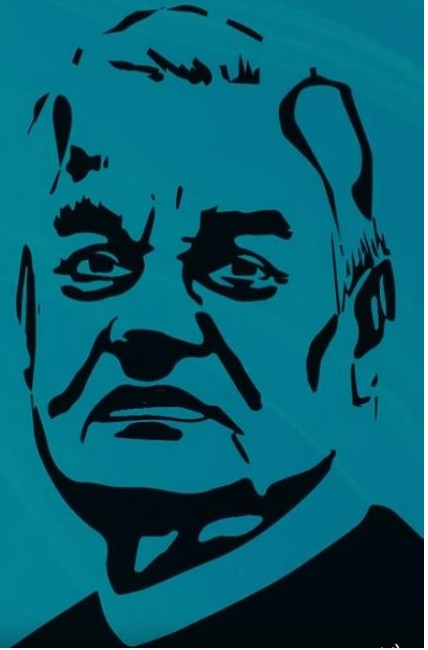
12. For an incentive disbursement scheme to work successfully, it is imperative that performers are rewarded with adequate resources. Achievement of all DLIs will be subject to verification by the TPGVA. The detailed verification Protocol is attached as **Annexure – I(b)** and the data source for verification is **Annexure – I(c)**





“तीव्रता से गहरे हो रहे जल संकट से लड़ने के लिए,  
हमारे पास एकजुट होने के अलावा कोई विकल्प नहीं है”

भारत रत्न अटल बिहारी वाजपेयी



**National Program Management Unit (NPMU), Atal Bhujal Yojana (Atal Jal)**  
**Government of India, Ministry of Jal Shakti**  
**Department of Water Resources, River Development & Ganga Rejuvenation**  
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