

# SUSTAINABLE LIVELIHOODS AND ADAPTATION TO CLIMATE CHANGE PROJECT

SOCIAL ASSESSMENT AND SOCIAL MANAGEMENT FRAMEWORK  
(Including Gender, Tribal and Vulnerable Community Development Strategy)

MAY 2014

Ministry of Rural Development  
National Rural Livelihood Mission  
National Mission Management Unit (NMMU)

## CONTENTS

A. INTRODUCTION.....	4
B. PROJECT SUMMARY .....	4
C. SOCIOECONOMIC PROFILE OF IMPLEMENTATION AREA .....	6
<a href="#">D.</a> RELEVANT REGULATIONS, POLICIES AND PROGRAMMES.....	8
E. KEY SOCIAL ISSUES .....	11
F. STAKEHOLDER CONSULTATIONS AND DISCLOSURE .....	12
G. TRIBAL AND VULNERABLE COMMUNITIES DEVELOPMENT– KEY SMF INTERVENTIONS.....	13
H. INSTITUTIONAL ARRANGEMENTS .....	16
I. GRIEVANCE REDRESSAL .....	18
J. MONITORING AND REPORTING.....	18
K.BUDGET .....	19

## **Abbreviations and Acronyms**

CIG	Common Interest Group
CMSA	Community Managed Sustainable Agriculture
CRP	Community Resource Persons
EMF	Environmental Management Framework
IEC	Information, Education, Communication
NREGS	National Rural Employment Guarantee Scheme
MKSP	Mahila Kisan Sashaktikaran Pariyojana
MoRD	Ministry of Rural Development
NGO	Non Government Organization
NMMU	National Mission Management Unit
NRLM	National Rural Livelihood Mission
NRLP	National Rural Livelihood Project
NRLPS	National Rural Livelihood Promotion Society
NRO	National Resource Organisation
NTFP	Non-Timber Forest Produce
SC	Scheduled Caste
ST	Scheduled Tribe
SHG	Self Help Group
SLACC	Sustainable Livelihoods and Adaptation to Climate Change Project
SRLM	State Rural Livelihood Mission
SMMU	State Mission Management Unit
TSP	Tribal Sub Plan
VO	Village Organization

## A. INTRODUCTION

1. Despite experiencing higher economic growth rate of 8 percent in the Eleventh plan period, India still has about 25 percent of its rural population living in poverty. There is growing concern that climate change could slow down India's progress in poverty reduction and push vulnerable populations in poverty. The frequency and magnitude of droughts, floods and other extreme events has been steadily increasing. Rainfed agriculture, which constitutes nearly 58 percent of the net cultivated area in the country, is expected to be significantly impacted by climate change. Over 39 districts in India have been identified as chronically flood-prone, and there is growing perception that floods have become more unpredictable and damaging.

2. Climate change can adversely impact the rural households through its negative effect on agricultural productivity, water and biomass availability, health, infrastructure, among others. The main agricultural livelihoods of the poor (crop cultivation, livestock, fisheries, etc.) are mainly dependent on natural resources such as rainfall, fodder, water bodies. Climatic hazards that affect the availability of these natural resources, adversely affect the livelihoods of the poor by impacting agriculture production, affecting incomes and preventing building up of assets. Low access to productive resources, financial services and information as well as low assets and high debt, greatly enhances the vulnerability of the rural poor to climate related shocks and stresses. Households exposed to repeat climate hazards face further deprivation due to distress sale of assets, high debt burden, etc. Hence, there is a need to build the adaptive capacity in the rural-poor communities through multiple interventions.

3. The Sustainable Livelihoods and Adaptation to Climate Change (SLACC) project enhances the activities being undertaken under the National Rural Livelihoods Mission (NRLM), which is a national program of the Ministry of Rural Development, Government of India. It brings in the climate change lens into the NRLM and aims to strengthen community based climate planning and adaptation measures into the sustainable livelihood program.

## B. PROJECT SUMMARY

4. **Development Objective.** The Sustainable Livelihoods and Adaptation to Climate Change (SLACC) project aims to improve the adaptive capacity of the rural poor to climate variability and change affecting farm based livelihoods, through community-based interventions.

5. **Targeted Beneficiaries.** The key beneficiaries of SLACC project will be the rural-poor supported by the NRLM – including, self-help groups of women and their federations, common interest/producer groups such as farmers' groups, livestock rearers' groups, and their higher order collectives such as producer companies. These institutions represent the rural-poor, the majority of whom directly depend on climate-sensitive sectors such as agriculture, livestock and

fisheries and have limited adaptive capacity. The project will specifically reach out to tribal and other small and marginal farmers from disadvantaged social groups, including women farmers and community leaders.

6. **Component 1 – Community-based Climate Change Adaptation.** SLACC will support the 3 components listed below. The objective of component 1 is to support community-based risk assessment, planning and implementation of climate adaptation interventions. The key activities include: (a) mobilization and capacity building of community institutions on climate change activities (b) community-led adaptation assessment, participatory planning, and implementation of climate adaptation interventions; (c) financing community adaptation grants to poor rural households (SHGs/Federations) upon approval of a community adaptation plan; and (d) implementation and handholding support to community institutions through local resource agencies. The climate adaptation interventions will be locale-specific, focus on climate risk management and involve interventions both at the household level and/or community level. Funds for implementation of climate adaptation interventions will be provided by the SLACC project, by NRLP's Community Investment Support, as well as through convergence with other Government programs (such as MKSP, MGNREGS). The key activities to be financed are: community climate adaptation assessment and planning, community adaptation grants, village-level automatic weather stations and agro-advisories, training and deployment of Community Resource Persons, state and cluster level implementation teams. The key outputs of this component are: (i) community utilization of climate financing mechanism for adaptation interventions in 200 community institutions; (ii) community based climate adaptation measures are implemented by at least 200 community institutions supported by Community Resource Persons;; (iii) enhanced community capacity for planning and implementing climate adaptation plans in 200 community institutions. The key outcomes of this component are: strengthened and diversified livelihoods and sources of income in poor community institutions; strengthened community capacities for systematically assessing climate risks and planning adaptation interventions for livelihood sustainability.

7. **Component 2 – Scaling and Mainstreaming Community Based Climate Adaptation:** The objectives of this component are to build core operational capacity and relevant knowledge base/networks for broader scaling and mainstreaming of climate adaptation interventions. The key activities include: (a) capacity building of NRLP staff and creation of a cadre of CRPs; (b) facilitation of knowledge dissemination on climate adaptation, including policy inputs for scaling-up of the community-based climate adaptation approach within the NRLM; c) additional support to National Livelihood Resource Organization (NLRO). The key activities to be financed are: training of NRLM staff in SLACC and non-SLACC areas, training of Community Resource Persons from non-SLACC areas of NRLM, development and publication of knowledge products including policy briefs, website and annual meetings of consortium of resource organizations, policy seminars, additional financing for NLRO to establish SLACC support team, and, procurement of thematic technical support. The key outputs of this component are: (i) 200 district and sub-district staff of NRLM trained on climate adaptation; (ii) a cadre of 400 trained CRPs; (iii) differentiated IEC and knowledge products on climate adaptation (community adaptation planning tool and manual, CRP training curriculum, web-based inventory of climate adaptation actions, audio visuals); (iv) a website of a consortium of resource organizations on

climate adaptation; (vi) seminars for sharing insights/lessons for policy making with Government, donor and NGO; (vi) guidelines on climate change adaptation developed for national livelihoods implementation framework; (vii) and policy briefs on themes relevant to climate adaptation and rural livelihoods.. The key outcomes of this component are: (i) strengthened operational and adaptive capacity of national and state officials and representatives for integrating climate adaptation into livelihood support activities; (ii) enhanced access to technical information and expertise on climate adaptation and livelihoods; (iii) evidence of climate change mainstreaming into national and state livelihood program frameworks.

8. **Component 3 – Project Management and Impact Evaluation:** The additional financing will support Component 4 of the NRLP by augmenting the management units within the NRLM and SRLM institutional structure to enable coordinated functioning and efficient implementation of SLACC. The activities that the project will invest in include: (a) establishment of climate adaptation units staffed with full-time professionals within the NMMU and the SMMUs of the participating states; (b) appointment of state-level implementation teams for providing field implementation support to CRPs and community institutions; (c) establishment of a monitoring system and evaluation arrangements (baseline, mid-term and end-of-term). The key outputs of this activity are: climate adaptation units in NMMU and SMMU, delivery of services by state level implementation teams as per agreed Terms of Reference, and evaluation reports (baseline, mid-term and end-of-term). The key outcome of this component is efficient and effective.

### C. SOCIOECONOMIC PROFILE OF IMPLEMENTATION AREA

9. The SLACC project will be implemented in 200 villages of about 16 blocks of Bihar and Madhya Pradesh. The states of Bihar and Madhya Pradesh have been identified for implementation of the project based on the readiness of the SMMU, existing capacity and experience in sustainable agriculture, the agro-ecological profile of the state, and anticipated climate change risks. The 200 villages are likely to be spread across 8 blocks (sub-district administrative units).

10. **Madhya Pradesh** comprises 50 districts with a population of 72.6 million (2011 census). 75% of the total population of the state is rural and is mainly engaged in climate sensitive activities, namely agriculture and forest dependent livelihoods. The incidence of poverty in the state is among the highest in the country, with more than 40% of people living below the poverty line. Madhya Pradesh has a large population of rural and tribal people, with high dependence on agriculture, forests and fishery. At 20%, MP has the highest concentration of tribal population in India (8.20%). It is home to about 46 recognized scheduled tribes which are mainly concentrated in southern part of the state. Out of 313 Development Blocks in MP, 89 (28.43%) are Tribal Development Blocks. 3 primitive tribes (Sahariyas, Bharias & Baigas) live in Madhya Pradesh. About 10 Million tribal people live in about 22,000 villages in the vicinity of forests (Annual State Plan 2011-12). Gond is among the largest tribal group in Madhya Pradesh. Gonds are present in Mandla, Chhindwara, Betul and Seoni regions and the hilly terrains of the Vindhya and the Satpura region. Agaria, Pradan, Ojhan, Solahas are other tribal groups

originating from Gonds. Bhil, the second largest tribe is largely concentrated in the area around Jhabua, Dhar and Ratlam. Most of these communities depend upon forests and natural resources in various degrees, and remain vulnerable to climate change.

11. The major land use in Madhya Pradesh is agriculture (49.5% of geographic area) followed by forest (28.25%). Agriculture plays an important role in the livelihoods of the rural poor with nearly 71% of the state's population is dependent on it. With two-thirds of the gross cropped area being rainfed, agriculture is vulnerable to climate variability and change. The likely impacts of climate change on the state are: Gradual increase in temperatures and erratic/uneven rainfall, increased and intensity of droughts, shifts in cropping and decline in productivity, increased soil erosion and depletion in the ground water table. Of Madhya Pradesh's 45 districts (2001 census), 14 are categorized as having 'very high' vulnerability of agriculture to climate change, while 16 are categorized as having 'high' vulnerability based on sensitivity, exposure and adaptive capacity. The 14 districts with very high vulnerability are: Jhabua, Rajgarh, Mandasaur, Shajapur, Dindori, Ratlam, Dhar, Sidhi, Vidisha, Shivpuri, Ujjain, Bhind, Bharwani and Shahdol. The 16 districts with high vulnerability are: Rewa, Mandla, Dewas, Neemuch, Khargone (West Nimar), Betul, Guna, Sehore, Umaria, Damoh, Panna, Satna, Chhatarpur, Datla, Chhindwara and Katni.

12. **Bihar** is 12th largest state of India in terms of size (94,163 sq. km) and 3rd largest by population, 10.38 crores as per Census 2011. It is also one of the poorest and most populous states in India. There are 13.05 and 0.75 million of SC and ST population respectively comprising 15.72 and 0.91 per cent of the total population in Bihar. The State has 29 Scheduled Tribes and 94.6% of them reside in villages. Santhal is the most populous tribe constituting 48.5% of the total ST population of the State. Oraon and Kharwar are the second and third largest tribes. The overall sex ratio of the ST population in Bihar is 929 females per 1000 males which is considerably lower than the national average of 978 for the total ST population. The literacy rate amongst the tribal population is 28.2%, while the female (ST) literacy rate is 15.5%. The 1% tribal population of the state is scattered across different districts, with the highest being in Katihar (5.9%). In terms of proportion of total district population, Jamui, Banka and Purnia (project district) also have a relatively high proportion of tribal population.

13. While Bihar has grown rapidly in last one decade and has made impressive improvements in terms of access to schooling and health. About 42 percent of the population lives in poverty. The per capita income of the state is the lowest in the country. The literacy rate is 47.53% that is much below the national average of 65.4%. Demographic indicators like birth rate and infant mortality rate are also high which reflects poor social service delivery. Less economic opportunities due to limited infrastructural development etc. leads towards highly disadvantaged social and economic conditions. However, illiteracy, under-nutrition and infant and child mortality continue to be sources of concern. Discrimination based on gender and caste affecting the poor and vulnerable section is still prevalent in the State. Gender, literacy, land ownership (or rather the lack of it), caste etc. are still visible factors that make specific population groups highly vulnerable and poor. Socially excluded sections, especially women from scheduled caste and scheduled tribe suffer from many forms of discrimination and deprivation.

14. Bihar is a part of the Gangetic plains and hence has rich soil and abundant water resources. Agriculture plays a key role in the socioeconomic development of the state. Around 90 percent of the population is rural with high dependence on agriculture livelihood. Rural poverty in Bihar is characterized by high levels of landlessness and land fragmentation, high dependency on agriculture and high levels of seasonal migration. Bihar is also India's most flood prone state and 76% of the population in North Bihar lives under the recurring threat of flood devastation. In 2013 alone floods affected more than 5.9 million people in 37,678 villages in 20 districts in the state. Floods are an important reason for low crop productivity in these areas.

#### D. RELEVANT REGULATIONS, POLICIES AND PROGRAMMES

15. **National Rural Livelihoods Project/Mission (Social Management Framework):** The NRLM, launched within the MoRD in June 2011, is a national program that aims at creating efficient and effective institutional platforms of the rural-poor enabling them to increase household income through sustainable livelihood enhancements and improved access to financial services. A major focus of the NRLM is to stabilize and promote the existing livelihoods portfolio of the poor, in farm and non-farm sectors. At the national level, the National Mission Management Unit (NMMU) supports the NRLM. At the state level, the State Rural Livelihoods Mission (SRLM), constituted by the state government, oversees the implementation of all NRLM activities through a State Mission Management Unit (SMMU). The NRLM reaches poor households through self-help groups typically made up of women and their federated institutions, and also supports specialized institutions such as "common interest"/"producer groups".

16. The NRLM has a World Bank-supported National Rural Livelihood Project (NRLP) that is focused on selected blocks in 13 states in the country, and an agricultural theme based Mahila Kisan Sashaktikaran Pariyojana (MKSP). The SLACC project will work with both of them. The NRLP's social assessment documents the key social lessons from earlier livelihood projects in India and elsewhere, and field consultations carried out in representative project areas. It has highlighted the exclusion of the poorest Tribals, Scheduled Castes, minorities, migrants and other disadvantaged groups from development programs. Restrictive social norms for women and gender barriers prevents women from participating in development programs and decision-making processes. To address these issues and other social constraints, a social management framework for NRLP has been prepared. The SMF focuses on identification, mobilization, provision of information to, inclusion, and capacity-building of the vulnerable people including tribal people. The SMF provides for priority targeting of tribal and other vulnerable groups to ensure that they are equitable participants and beneficiaries in the project interventions and institutions. Regular and informed consultation would be undertaken with tribal groups to ensure their continuing consent and support of the project. In tribal and backward areas, SHGs

would be encouraged to adapt their norms to suit tribal conditions and those of other vulnerable people.

**17. Bihar Rural Livelihoods Project (Social and Tribal Development Framework).** Bihar Rural Livelihoods Project (BRLP) is being implemented to address rural poverty in Bihar through the collaboration of the poor, the Government of Bihar (GoB) and the World Bank. This initiative is implemented through a Society registered with GoB by the name of Bihar Rural Livelihoods Promotion Society (BRLPS). BRLPS through the BRLP aims to improve rural livelihood options and works towards social and economic empowerment of the rural poor and women. The BRLP intervenes with the community through the following four themes or programmes: institution and capacity building, social development, microfinance and livelihood. The BRLP objective is to enhance social and economic empowerment of the rural poor in Bihar. BRLPS will be implementing the SLACC project. The social and tribal development strategy under BRLPS emphasizes on participatory identification and priority targeting of the scheduled castes and other vulnerable social groups. The project works through organizing the identified poor, with a special focus on women headed households and migrants. A nuanced mobilization strategy is adopted for mobilization, social capital development and income enhancement for the identified poor. The project is also implementing a Tribal Development Plan (TDP) to address the institution development and livelihoods needs of Scheduled Tribe (STs) population in the Purnea district.

**18. Madhya Pradesh District Poverty Reduction Project (Social Inclusion and Tribal Strategy).** The MP SRLM is implementing the Bank supported Madhya Pradesh District Poverty Reduction Project. The development objective for the project is to improve the capacity and opportunities for the targeted rural poor to achieve sustainable livelihoods. The project is implementing strategies on social inclusion, with a specific focus on inclusion and social empowerment of the disadvantaged and marginalized groups specifically the SC and ST households in the project areas. The SMF has specific interventions to develop and/or strengthen formation of SHGs among the STs in specific areas of the project and target women SHGs across the 14 project districts. The project teams and the community institutions have been appropriately oriented and trained to include and engage the poor from the SCs, STs as well as women in the various project activities. The project has significant impact on empowerment of women in the project districts. Both the states are also implementing a range of rural development, poverty alleviation and empowerment programmes such as Mahatma Gandhi National Rural Employment Guarantee Scheme (MNREGS), food security and public distribution system (PDS), and a range of special interventions for marginalized sections, such as SC/ST, welfare of backward and extremely backward sections, minority welfare, labour welfare, social welfare, and land distribution schemes.

**19. Mahila Kisan Sashaktikaran Yojana (MKSP):** The NRLM initiated the MKSP in 2010–11 for empowering women in agriculture. A core focus of MKSP is to promote sustainable and more productive agriculture through the use of local inputs and risk mitigation approaches, to

ensure food security and increased net household income. MKSP-funded sub-projects on sustainable agriculture are currently being implemented in 14 states across the country in partnership with non-governmental and community-based organizations. Working with MKSP will enable SLACC to foster improved resilience in the production system through the integration of knowledge and tools to manage climate risks leading to stable incomes, improved food security and higher labor productivity.

**20. Mahatma Gandhi National Rural Employment Guarantee Scheme:** The MGNREG Act passed in 2005 is considered a landmark piece of legislation that aims at enhancing the livelihood security of people in rural areas of India by guaranteeing hundred days of wage-employment in a financial year to a rural household whose adult members volunteer to do unskilled manual work. The gram panchayat is the key institution facilitating collective action for planning, implementation and monitoring of MGNREGS works. Most of the works supported by the MGNREGS are related to the management of natural resources such as water conservation, water harvesting, drought proofing, irrigation works etc. Furthermore, these works are supposed to be undertaken through a process of social mobilization, social engineering and partnership between the civil society organizations and state governments. Thus, working with MGNREGS will enable the SLACC to leverage resources that are needed to execute adaptation strategies related to conserving and enhancing ecosystem services, as well as building productive assets of SC and ST households.

## **21. Other Related Legal/Policy Provisions.**

- Panchayat Act (Extension to Schedules Areas) 1996: This Act, Provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996, empowers the Panchayats in the Scheduled Area to address the issues concerning the rights and entitlements of the Scheduled Tribes. This would apply to the Scheduled Areas in Madhya Pradesh.
- Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006. The Act recognizes the rights of forest-dwelling Scheduled Tribes and other traditional forest dweller, over the forest areas inhabited by them, and provides a framework for recording the same. The Act can be summarized as: i) Title rights - i.e. ownership - to land that is being farmed by tribals or forest dwellers as on December 13, 2005, subject to a maximum of 4 hectares; ownership is only for land that is actually being cultivated by the concerned family as on that date, meaning that no new lands are granted; ii) Use rights - to minor forest produce (also including ownership), to grazing areas, to pastoralist routes, etc.; iii) Relief and development rights - to rehabilitation in case of illegal eviction or forced displacement and to basic amenities, subject to restrictions for forest protection; and iv) Forest management rights - to protect forests and wildlife.
- Designated Tribal Areas. The tribal areas in India are administered as Tribal Sub Plan (TSP), Modified Area Development Approach (MADA) and Tribal Clusters. TSP areas include Scheduled V areas and those tehsils in which tribal population exceeds 50% of the

total. Villages with aggregate population of 10,000 and above with 50% tribal population have been identified as MADA pockets. For all other, isolated and scattered pockets of tribal population of 50% in clusters of 5000 population, these are called Tribal Clusters. Madhya Pradesh has 49 TSP areas, 39 MADA pockets and 5 Clusters. The Scheduled Areas in Bihar are: Ranchi district, Singhbhum district, Latehar sub-division, and Bhandaria block of Garhwa sub-division, in Palamau district; Dumka, Pakur, Rajmahal and Jamtara sub-divisions, and Sundar Pahari and Boarijor blocks of Godda sub-division, in Santhal Parganas district. Both the states have Departments of Tribal Development and Scheduled Caste Welfare which handles the funds and development programs for in the tribal areas.

## E. KEY SOCIAL ISSUES

22. SLACC project aims to improve adaptive capacity of the rural poor, to climate variability and change and secure and sustain the livelihoods of the poor through community-based interventions on agriculture, land and water, fodder, livestock, fisher and other financial and institutional measures etc. The long term social impacts are assessed to be beneficial in the form of increased livelihood security and sustainability, and increased capacity to undertake collective action. So overall, the project would provide significant and direct socioeconomic benefits to the rural poor households.

23. The key beneficiaries of SLACC project will be the rural-poor supported by the NRLM – including, self-help groups of women and their federations, common interest/producer groups such as farmers' groups, livestock rearers' groups, and their higher order collectives such as producer companies. These institutions represent the rural-poor, the majority of whom directly depend on climate-sensitive sectors such as agriculture, livestock and fisheries and have limited adaptive capacity. The project will specifically reach out to tribal and other small and marginal farmers from disadvantaged social groups, including women farmers and community leaders.

24. The Social Assessment (SA) studies and stakeholder consultations undertaken for NRLP, as well as Bank supported livelihood projects in Bihar and MP highlight the exclusion of scheduled caste and scheduled tribe communities and their habitations from a range of development/social welfare programs and services. Tribals, migrants and other isolated groups/habitations have limited access to information and development benefits. The other barriers are language and lack of sustained outreach and capacity building efforts by the government and project agencies. In Bihar, Mahadalit (SC) and Scheduled Tribe (ST) groups are most vulnerable, apart from women, older persons and Persons with Disabilities. Tribal population in small remote clusters usually gets excluded from government development programs and outreach, in comparison with other target beneficiaries. In some cases mahadalit clusters are more excluded and marginalized than the tribals.

25. Many of the project villages in MP and Bihar are likely to have the presence of tribal people. Hence, OP 4.10 on Indigenous Peoples has been triggered to ensure compliance with the policy provisions on informed consultations, broad community support, culturally appropriate

information and benefit sharing. The key social safeguard issue is to ensure that tribal people as well as other traditionally excluded social and livelihood groups such as the scheduled castes, migrant workers, marginal farmers and other vulnerable groups in remote and dispersed rural habitations get identified and systematically included in the implementation processes, community level planning and capacity building activities, funding for adaptation measures and finally benefits. The project will not fund any activities that may result in land acquisition, involuntary resettlement and livelihood displacement.

26. SLACC recognizes the importance of gender equality, especially because climate change adversely affects the women disproportionately more and increases their vulnerability due to poverty and subsistence dependence on climate-sensitive livelihoods. Women farmers from poor tribal and scheduled caste households are recognized as the most vulnerable to climate change and related livelihood impacts, and SLACC will directly respond to their needs.

27. Women farmers are the primary beneficiaries, as well as primary leaders and drivers for assessing, planning, selecting and implementing SLACC interventions. SLACC will be working with women-led VOs and federations which will allow it to address the distinct vulnerabilities and capacity needs of women. Preparation and implementation of the community level adaptation plans will be led by women leaders from the VO and will reflect their concerns and priorities, including the need for training and capacity building. Rural women would be significant participants in various capacity building activities. The tools and methodologies for adaptation planning will be gender informed. Women trainers and community resource persons (CRPs) would be engaged in SLACC villages. Disaggregated data/information would be used to track gender differences in vulnerability and needs, perceptions/satisfaction, participating in community institutions, selection of interventions and technologies, awareness, ownership and ultimate beneficiaries. Project learning and publication would document gender issues/learning separately.

## F. STAKEHOLDER CONSULTATIONS AND DISCLOSURE

28. SLACC Project preparations have included extensive consultations and in-depth discussions with officials of the National Rural Livelihoods Promotion Society (NRLPS), MORD and the State Rural Livelihoods Missions (SRLM) in Madhya Pradesh and Bihar, including the State Mission Directors, the National Mission Director, and the core team (social inclusion, community mobilisation, institution building, agriculture and livelihoods). Consultations were also held with officials and NGO partners of the MORD-supported Women Farmers Empowerment Program (*Mahila Kisan Shashaktikaran Pariyojana*). Project preparation have been informed by consultations, and field visits to several areas where climate adaptation and farm based

interventions are ongoing, including Bihar, Madhya Pradesh, Rajasthan, including several tribal areas etc. A consultation workshop<sup>1</sup> was also held with more than 25 leading government and NGOs that are working on community based climate adaptation, including MORD partners under the *Mahila Kisan Shashaktikaran Pariyojana (MKSP)*.

29. Project appraisal in March 2014 included further consultations with community instructions and producer collectives of the rural poor, NGOs (including those implementing MKSP) as well as the National and State Units set up under NRLP/NRLM in Bihar and Madhya Pradesh (11-13 march 2014), and the National Resource Organisation. The Social Management Framework (SMF) was shared with the Social Inclusion focal points in the SRMLs, along with the other stakeholders and their feedback has been incorporated. Consultations were also held with representatives of PRADAN and ASA that are MKSP<sup>2</sup> Partners of NRLM. In addition, the mission also met with select technical service providers in the areas of agro-advisories and participatory digital communication. The SMF has been disclosed through the websites of the Ministry of Rural Development and SRLMs of Bihar and MP, and on the Bank InfoShop. Community orientation on the SMF will be core entry level activity in all 200 SLACC villages.

## G. TRIBAL AND VULNERABLE COMMUNITIES DEVELOPMENT– KEY SMF INTERVENTIONS

30. The main purpose of this Social Management Framework (SMF) is to ensure: i) identification of the traditionally marginalized social groups such as women and men farmers from the scheduled tribes, scheduled castes, religious minorities, women headed households and others dependent on farm based livelihoods as project beneficiaries and participants; ii) their participation in adaptation planning, adaptation committees, training and capacity building interventions and implementation and monitoring processes of the project; iii) tribal and other excluded beneficiaries are meaningfully consulted throughout project planning and implementation process; iv) project interventions are socially and culturally compatible with the tribal communities .

31. SLACC has strong overlap with the ongoing Bank-supported National Rural Livelihood Project, GOI-supported National Rural Livelihood Mission (NRLM) projects as well as the State

---

1

Livelihood Projects in MP and Bihar. The overlap is primarily in terms of i) geography as SLACC interventions will be in the same areas; ii) targeted beneficiary, as all these projects primarily target women from rural poor families, especially those from scheduled caste, scheduled tribe and other vulnerable socioeconomic groups; iii) implementation agency as all these interventions are directly implemented or coordinated by the SRLMs; iv) community institutional groups are village organisations and/or producer groups will be anchoring the SLACC interventions. Both Bihar and MP state units have been implementing the World Bank supported livelihood projects for more than 5 years. They not only have state project-specific social and tribal inclusion plans but also come under the SMF of the NRLP. Hence, both the state units have good operational familiarity with the core principles and requirements of these frameworks. SMF and the Bihar and MP social inclusion and tribal development strategies, which are most relevant to the scale and focus of SLACC interventions.

32. Given that the SLACC is complementary to the larger National Rural Livelihoods Project as well as the Bank-supported rural livelihood projects in Bihar and MP, and relies on the same State Livelihood Mission for implementation, the SLACC Social management Framework (SMF) draws upon the key provisions of the NRLP. SMF reinforces the focus on poorest households, and recommends specific interventions for inclusion of the tribal and non-tribal beneficiaries in community institutions (SHGs, Federations), as well as livelihood financing and promotion interventions. The overall emphasis is on integrating the key SMF interventions in the planning and implementation of the Community Climate Adaptation Plans which will be implemented by field implementation teams/resource agencies. The SMF will rely more on the institutional arrangement created under SLACC for its implementation.

33. The key interventions on inclusion of the tribal and vulnerable social groups that are envisaged under the SMF for SLACC are summarized below.

#### **A. Consultations and Community Orientation**

(a) Orientation on the Social Management Framework during village entry, with focus on participation of tribal and other vulnerable communities and their formal and informal leaders;

(b) Informed and Meaningful consultations held with women and men farmers from tribal, SC and other excluded and most vulnerable groups and community leaders i) during village entry and adaptation planning; ii) throughout project implementation. Regular and informed consultation would be undertaken with tribal and vulnerable groups to ensure their continuing support for project interventions. For ensuring the participation of these communities as its beneficiaries, the selection criteria will fixed accordingly. In this selection process there will be a special focus on migrant workers especially seasonal migrants, marginal farmers, lease land farmers and women farmers.

(c) Community resolution of broad community support for SLACC interventions would be obtained from the participating village organisations (village organisations/federations, producer groups) as part of the village entry process;

## **B. Inclusion of Tribal and Vulnerable Community members**

- (d) Engagement of women and men farmers as Climate-Smart CRPs from tribal and other vulnerable social groups. For this existing agriculture CRPs can be utilized for the same.
- (e) Participatory Identification and Mobilisation of small and marginal women and men farmers from tribal, scheduled castes and other excluded groups to ensure that they are equitable participants and beneficiaries in the project interventions and institutions. A special focus will be given to bring migrant workers.
- (f) Climate Adaptation Committee in the community institutions will include women farmers from SC, ST and other excluded households;

## **C. Community Planning, Funding and benefit sharing**

- (g) SMF 'Operational Guidelines on the Community Climate Adaptation Grant' developed by the Lead Technical Support Agency (LTSA).
- (h) The community adaption planning (CAP) exercise would include collecting gender and socially disaggregated data on the presence of tribal and scheduled caste farmers, women farmers, and other households depending on climate-sensitive livelihoods including seasonal migrant workers, marginalized farmers and lease land farmers. This data would be compiled in a village socioeconomic profile. These CAP will link with Micro credit plan of CBOs and further with district contingency plan and other line department plan and state climate action plan for convergence and better integration
- (i) Participation of Women farmers from SC, ST households and other groups in the Community Climate Adaptation Planning exercise. Adaptation planning will ensure coverage of all hamlets/settlements in the village, including the more remote ones
- (j) Targeting of Women farmers from SC, ST households and other excluded vulnerable groups to enable them to access the Community Adaptation Grant. The adaptation grant will be utilized by the community institution to provide onward grant/credit support to member self-help groups and their constituent individuals for demand-driven climate adaptation activities. The Adaptation Committee will ensure the inclusion of Women farmers from SC, ST households and other groups in accessing the Community Adaptation Grant. Special focus will be given to accommodate women farmers who have marginalized and small land holding or with lease land for cultivation.
- (k) Climate Adaptation Interventions targeting individual households, such as Weather index insurance, will target small and marginal women farmers from SC, ST and other excluded households.
- (l) Climate adaptation interventions at the community level will ensure access of small and marginal women farmers from SC, ST and other excluded households.

(m) There will be clear criteria for disbursement of climate adaptation fund in line with CIF or VRF. The priority will be given to the women farmers who belong to SC or ST. There will be special focus on addressing the need of marginal women farmers, leased land farmers and single women farmers and women in migrant worker's family.

#### **D. Capacity Building**

(a) Core Training on Social Inclusion, Tribal Development and Gender included as part of the capacity building interventions for the i) district and block/cluster teams; ii) Climate CRPs; iii) Community level Climate Adaptation Committee and federation members; iv) women farmers from SC, ST and other excluded households; An orientation on the SMF of SLACC will be provided by the Community Climate Adaptation Experts under the NRLP to the SMMU Community Climate Adaptation Experts and the State Implementation Teams.

(b) The best practice climate adaptation village will be further turned to be immersion site for other village leaders. For bringing good result the project will further link with GP level legislations and rules on creating grain banks, seed banks, labour banks and tool banks. It will give importance to converge with different schemes and programmes of other line departments for bringing more efficient and better delivery of services and benefits to women who belong to SC and ST and to most vulnerable communities.

(c) Training of women farmers from SC, ST and other excluded households in i) adaptation planning and practices; ii) Participatory video production and dissemination; iii) management community adaptation fund. This would be led by the climate CRPs;

(d) Participation of women farmers from SC, ST and other excluded households in IEC activities, demonstration interventions, and Exposure visits

(e) Documentation of Local knowledge with tribal and other vulnerable communities on local level climate adaptation

## **H. INSTITUTIONAL ARRANGEMENTS**

34. The National Rural Livelihoods Promotion Society (NRLPS) under MoRD is the responsible agency for management, supervision, guidance and technical support for SLACC. The NRLPS will be responsible for coordinating with the State Rural Livelihood Missions (SRLMs) for smooth implementation of the SLACC project. NRLPS will engage a lead technical support agency (LTSA) for (i) development of planning and knowledge tools (ii) technical support to states; (iii) training and capacity building and (iv) policy inputs, documentation and sharing lessons. The National Social Inclusion expert of the NMMU will: i) Provide leadership, guidance and technical support to the SRLMs and state SLACC teams on implementation of the

SMF; ii) will guide and support the National and State Climate Adaptation Experts (from the LTSA) to develop knowledge, capacity building and operational guidance materials and training modules on the SMF and ensure their roll out in the states; iii) Supervise the midterm review of SMF implementation. Sh/e will take necessary inputs and support from social mobilisation, community institution building, capacity building, knowledge management experts of NMMU. The LTSA team would include fulltime climate adaptation experts, as well as have resources to include gender, social inclusion and tribal development related resource persons to support the implementation of the SMF.

35. The Madhya Pradesh Rajya Ajeevika Forum (MPRAF) will be the nodal agency for SLACC implementation in Madhya Pradesh, while Bihar Rural Livelihoods Society (BRLPS) will be the nodal agency for SLACC implementation in Bihar. These SRLMs will be responsible for the outputs and outcomes of the project at the state level. The State Climate Adaptation Coordinator engaged by MPRAF and BRLPS will be responsible for ensuring i) SMF implementation in project villages; ii) Coordinating closely with relevant thematic counterparts in the SMMU team (social inclusion, gender, tribal development, community institution building, IEC and knowledge management). The State Adaptation Coordinator would get the key SMF actions implemented through the State Climate Adaptation Expert (from LTSA) as well as District/Cluster project implementation team. S/he will support the implementation of SMF in project villages, help develop state-specific SMF operational guidelines, support SMF training to field staff/coordinators and climate smart CRPs, monitor and report on field implementation of SMF, and disseminate cross learning and good practices. The State Coordinator will also coordinate with the Social Specialist in the SRLMs and take their guidance and support in integrating specific social inclusion and gender actions/concerns in the adaptation planning and implementation process, so as to ensure maximum participation by women farmers, indigenous peoples. The Young Professionals (YPs) placed at the state level would also be supporting SMF implementation. The State coordinator would engage external resource persons, as required.

36. Climate Smart Community Resource Persons. SLACC project will work with community institutions supported by the NRLM. These include the primary federations of women's self-help groups as well as common interest/producer groups and producer companies. In Resource Villages the active members of SHGs/Producer Groups will be developed as Community Resource Persons (Climate-Smart CRPs). These Climate-Smart CRPs will facilitate climate adaptation planning and provide hand-holding support for implementation of climate adaptation actions. Well performing CRPs will be utilized in later years for scaling up the climate adaptation interventions to other blocks and districts. The project will ensure participation of women and men farmers from SC, ST and other excluded groups as CRPs

37. The climate CRP in each village or producer company will be responsible for community level implementation and capacity building on gender, social and tribal inclusion actions, and their integration in climate adaptation planning, implementation and monitoring. The community level climate adaptation committee will provide regular oversight on implementation of the key SMF actions.

## I. GRIEVANCE REDRESSAL

38. The existing grievance redressal procedures under the Bank supported livelihood projects in Madhya Pradesh and Bihar would apply to SLACC villages as well. In addition the Community Adaptation Committee will maintain a record of grievances received. The grievances not resolved at Adaptation Committee level will be escalated to the executive committee of the primary federation (VOs) and will be monitored by the Climate CRP. The Field Team leader will hold the overall responsibility of grievance recording and redressal. The project would enable women farmers from SC, and ST households to register complaints. The community organisations would also be sensitized and capacitated to handle social issues and grievances redressal. The contact numbers and addresses of the climate CRP and Cluster Team leader will also be shared with the community organisations.

## J. MONITORING AND REPORTING

39. The key officials at the state and sub-district/cluster levels will conduct internal monitoring of the implementation of the SMF. An external Social Development Expert will be part of the environmental audit exercise. The expert will review the progress and quality of SMF implementation in Bihar and MP. The expert would identify any key issues and gaps in implementation of the SMF and make specific recommendations for SRLM. The expert will also highlight any adverse social impacts of the project-supported activities and recommend remedial measures. The indicative indicators that would be monitored under SLACC include:

- Number of women farmers from tribal, scheduled castes and other disadvantaged groups mobilized through SLACC interventions
- Number of Climate Adaptation Committees formed with representation from women farmers from SC and ST households.
- Number of women farmers from SC, ST and other disadvantaged groups that have received training on i) planning and implementation of adaptation practices; ii) Community Adaptation Grant.
- Number of women and men farmers from tribal, scheduled castes and other disadvantaged groups engaged as climate CRPs
- Number of women farmers from tribal, scheduled castes and other disadvantaged groups that have accessed weather index based insurance
- Number of women farmers from SC, ST and other disadvantaged groups selected for demonstration of climate adaptation practices
- Number of women farmers from SC, ST and other disadvantaged groups participated in exposure visits;

- Number (%) Women farmers from SC, ST and other disadvantaged groups benefitting from the Community Adaptation Grant.

40. **Community Auditing:** The project will prepare the citizen charter that explain the details of the project and different systems that brought out including the selection of beneficiaries, different benefits and results and roles and responsibilities of each individual who deliver the services. The project will be audited by the members of community institutions, especially the Community Adaptation Committee, time to time. For conducting the community auditing the village organization can seek expert help from competent agencies or institutions. The community audit will undertake the each year and it will assess the delivery of the services and its impact against the desired objectives based on the information given in the citizen charter. An external review of SMF implementation would be carried out during midterm of the project for reviewing the implementation of the SMF, especially with respect to consultation, participation, inclusion and access to benefits by tribal and other vulnerable social groups. The findings of the review would include necessary follow up actions and recommendations that would be taken up by the SRLMs in Bihar and Madhya Pradesh.

## K.BUDGET

41. The costs for staff, resource agencies, awareness and orientation activities and capacity building of staff, implementation partners and community institutions on gender, social inclusion of vulnerable communities with a special focus on scheduled tribes are included in the cost estimates of the project component. Additionally, about INR 500,000, are allocated for review of SMF implementation, which would be carried out along with the audit of the EMF.