

# **Community-Based Sustainable Forest Management for Water Resource Conservation in Manipur (COSFOM-KfW)**

## **Guideline for Entry Point Activities**

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## 1. Background

Entry Point Activities (EPAs) are small community-based infrastructure activities that are implemented early on in every project village. The following Guideline provides instructions on the process of prioritizing, agreeing on, implementing and monitoring EPAs.

## 2. Prerequisite for the implementation of entry point activities

Only once the community decided to engage with the Project, an MoU between the Project and the concerned community has been signed, and the WRCC has been formed (refer to Chapter 7.1), the agreement on Entry Point Activities (EPA) may be initiated. The EPA process can be initiated in any village targeted by the Project, once the following prerequisites have been put in place:

1. The community was introduced to COSFOM
2. The community has formed a WRCG, drafted and approved its by-laws and elected a WRCC incl. Office Bearers
3. The WRCG has signed an MoU with the PEA
4. The WRCG has opened a bank account
5. The WRCC has received training on COSFOM financial management and record keeping requirements.

Fehler! Verweisquelle konnte nicht gefunden werden. indicates the location of EPA in the logical sequence of COSFOM NRM-L activities.

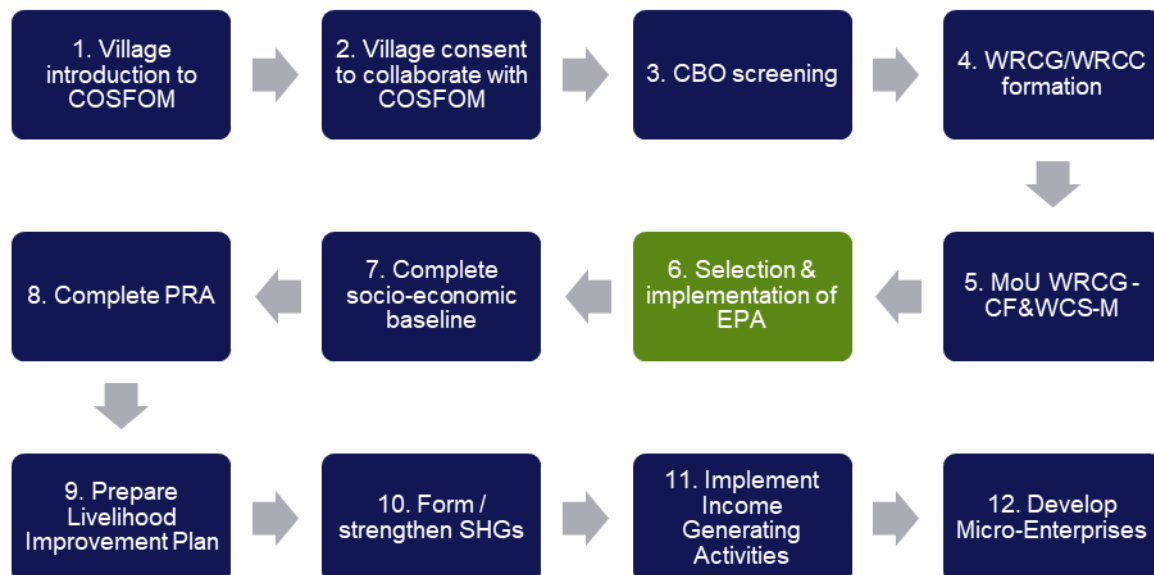


Figure 1: Flowchart of livelihood related COSFOM activities, indicating in green the steps covered by the WRCG Guideline and their logical sequence in the process

## 3. Process of EPA identification and implementation

The process of EPA implementation consists of five major steps, most of which consist of smaller steps, as presented in Fehler! Verweisquelle konnte nicht gefunden werden..

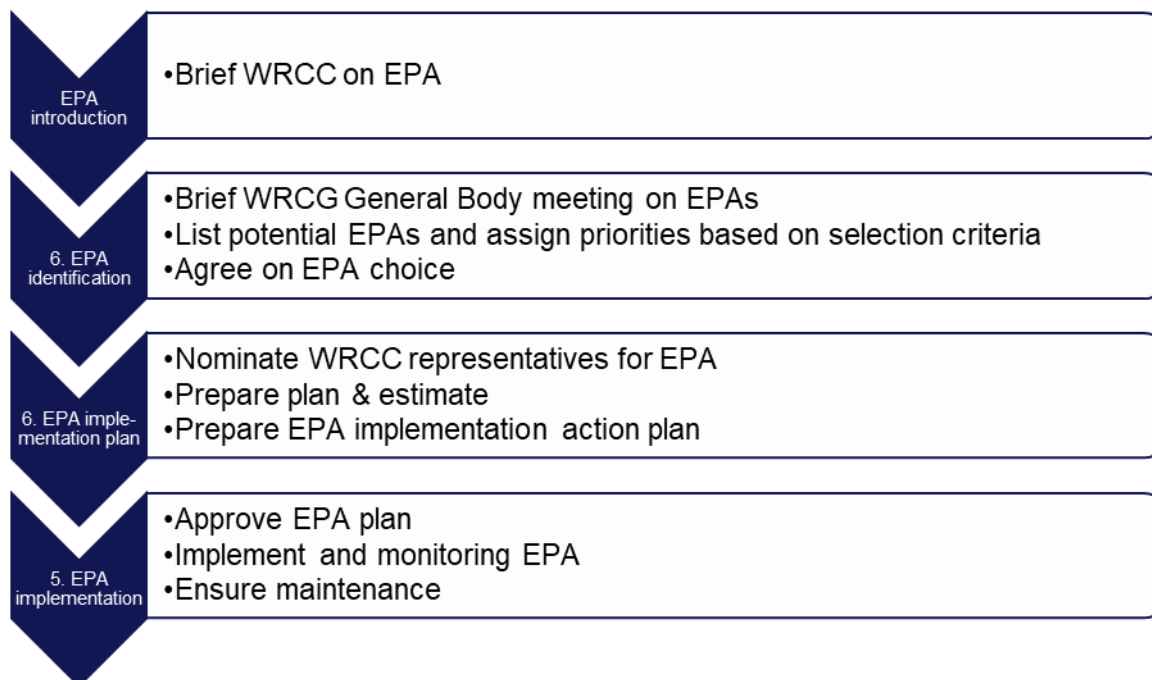


Figure 2: Process of EPA identification and implementation (serial number corresponds to that in Figure 23)

## 4. EPA introduction

As a first step, the responsible Field Support Unit staff need to organize a meeting with the local WRCC and brief them on the following points:

- Purpose and objectives of EPAs (refer to **Text box 1**)
- Principles of EPA
- Selection criteria for EPAs (refer to **Text box 2**)
- Process of identifying and implementing EPAs
- Plan & estimate preparation
- Planning, implementation, monitoring, record keeping and accounting procedures and responsibilities
- Possible Entry Point Activities

The COSFOM principles translated for the EPA process need to be presented. They include:

- Facilitated, bottom-up process for community to take lead role in defining, planning and implementing EPA
- Fostering self-reliance and ownership – process to be co-designed and implemented by PEA
- No direct cash flow to communities

### Text box 1: Purpose and objectives of Entry Point Activities

Entry Point Activities form part of the community engagement process and their main purpose is to build rapport between the project and the targeted communities. Entry Point Activities (EPAs) should lead to a buy-in into the project on behalf of the community and ensure a high level of participation on their behalf. The process of implementing EPAs should lead to trustworthy relationships between the pilot communities and the Project and pave the way for implementing mainstream project activities. While the terminology of EPA stems from the watershed management approach followed in India, similar approaches are followed in development cooperation elsewhere under different nomenclature (e.g. “quick wins”, etc.). The specific objectives of EPAs are to 1) address immediate needs of the community, by 2) implement high priority investments that 3) yield benefits in the short term and for which there are no resources available otherwise. Prompt addressing of immediate needs and the timely flow of benefits will help to initiate trustworthy relations between the Project and the concerned community and thus lay a solid foundation for a partnership to implement mainstream project activities. In addition, the implementation of EPAs can help to draw the community’s attention towards the Project’s main objectives and provides a first opportunity to pilot and fine tune the modality for implementing project activities jointly with the community.

- Open approach, learning by doing – the EPA selection, planning and implementation process will provide valuable learning experience for the concerned community as well as the PEA to implement subsequent mainstream project activities
- Engage stakeholders - invite other government agencies to participate and identify options for convergence, engage other community groups, (e.g. Biodiversity Management Board)
- Documented in Village Micro Plan to ensure maintenance and thus long-term sustainability, incl. participatory Monitoring and Evaluation

The selection of EPAs is a facilitated, bottom-up process resulting in a free choice of EPAs by the concerned communities within the limits of the EPA selection principles laid down by the Project. Activities may potentially include, but are not limited to:

- Small drinking water infrastructure
- Rainwater harvesting tanks, renovation of irrigation/water supply facilities
- Equipment for cooking gas to replace dependency from fuel wood
- Bridge repair
- Establishing or renovating community buildings.

This meeting should also serve the purpose of first discussion on potential EPAs and to resolve any questions and issues that the WRCC may have in relation to the EPA. Potential choices that are obviously beyond the scope of EPAs should be ruled out at this stage.

## 5. EPA identification

Next, a WRCC General Body meeting needs to be convened to identify the EPA choice of the community. This meeting should reiterate the briefing that the WRCC would have previously received on EPAs, incl. purpose and objectives of EPAs, ii) selection criteria of EPAs, iii) EPA process, iv) plan & estimate preparation, and v) planning, implementation, monitoring, record keeping and accounting procedures and responsibilities.

Next the FSU In-Charge as facilitator should ask community members to brainstorm potential EPAs which in their opinion comply with the purpose and objectives as well as the selection criteria of EPAs. The facilitator should encourage contributions from a broad variety of community members and stress that there are no wrong answers at that stage.

Once an exhaustive list has been prepared through the EPA exercise, the facilitator

### *Text box 2: EPA selection criteria*

Principles for the selection of EPAs were defined to ensure that the EPAs are compliant with the Project's objectives and approaches. These principles provide limits, within which the selection of EPAs follows a bottom-up and community-driven approach. The principles were designed based on international best practices, specific experiences with EPAs as part of watershed management projects in India, as well as the Project's guiding documents (Feasibility Study, KfW Terms of Reference, GFA/UNIQUE/IORA Technical Proposal). In specific, the principles take due reference to the Project's six working principles as defined in the Technical Proposal.

- Demand-based instead of supply-driven – ensuring community ownership
- Inclusive for all socio-economic groups, fostering community harmony and avoiding conflicts - compliant with do-no-harm principles (e.g. no interventions on individual private land or serving individual interests)
- Single activity or a bundle of activities within the investment ceiling for the concerned village
- Equitable in terms of gender, ethnicity, socio-economic status, etc. – ensuring adequate representation of disadvantaged groups in decision-making and benefit sharing
- High probability of successful, quick implementation and early flow of benefits
- High willingness for community contribution – at least 10% of labor costs
- Compliant with the EPA budget ceiling for the concerned community - defined by total available 1<sup>st</sup> phase project budget for EPAs, divided among target villages of the 1<sup>st</sup> project phase, weighted by household size

should start a discussion on the identification of any possible EPAs that obviously do not comply with the selection criteria (e.g. purchase of a vehicle, etc.) and eliminate these from the list. Nothing should be eliminated unless the community members agree to it.

Subsequently, EPAs are assessed in terms of their compliance with the EPA selection principles potentially relying on multiple groups depending on the number of WRCG members:

1. A matrix showing the potential EPA options on one axis and the EPA selection principles on the second axis is drawn (Fehler! Verweisquelle konnte nicht gefunden werden.).
2. The compliance of each potential EPA with the EPA budget ceiling for the concerned community is assessed. In case the EPA is not within the budget limits, no further assessments are done for the concerned EPA.
3. For budget-compliant potential EPAs, the compliance with each EPA principle is thoroughly discussed and agreed on along a Likert scale indicated by stars, with one star for lowest and five stars for highest compliance. For principles with higher priority, a five-point Likert scale is used, whereas for principles with lower priority a three-point Likert scale is used to allow for relative weighing of principles based on their importance. The number of stars is summed up for each EPA option.
4. The EPA option with the highest score is agreed on by the WRCG and is proposed for acceptance by the PEA. Decisions taken in the General Body meeting will be recorded and a formal resolution will be passed for implementation of EPAs. The resolution passed by WRCG for implementation of EPAs will be duly signed, stamped and submitted to DPMU for approval.

*Table 1: Matrix for assessment and prioritization of potential Entry Point Activities*

Entry Point Activity	Selection criteria						
	Cost limit (Y/N)	Demand-based (1-5*)	Inclusive (1-5*)	Quick (1-5*)	Equitable (1-5*)	Cost-sharing (1-3*)	Overall
Option 1			***				
Option 2			*				
Option 3			*****				
Option 4			**				
Option 5			****				

## 6. EPA implementation plan

Once the PEA has agreed on the EPA choice, procedures and an action plan for implementing the EPA are drawn up as part of a formal agreement between the Project and the community. In case the budget of the selected EPA is more than the allocated one under the project, the same will have to be mobilized through other sources such as community contribution, convergence with the line departments, etc.

The implementation of EPAs will focus on fostering community ownership and thereby the WRCC should take the lead role in implementation. Potentially required materials and technical input will be procured by the Project and the PEA will provide continuous backstopping and supervision to the process of implementation.

## 6.1 Initial planning meeting

The FSU needs to convene a preparatory planning meeting with the WRCC to discuss the implementation of the EPA. This meeting should:

- Identify WRCC representatives looking after various aspects of EPA implementation (refer to **Text box 3**)
- Discuss the procedure of EPA implementation, incl. i) plan & estimate preparation, ii) implementation action plan, iii) payment schedule, iv) work implementation modalities, v) monitoring and record keeping, and vi) maintenance.

### *Text box 3: WRCC responsibilities in EPA implementation*

WRCC will be advised by DPMU to identify 3 members who will assist the FSU to execute the activities and also sign in the relevant documents as stated below:

- Planning Representative: responsible for facilitating preparation of plan & estimate
- Supervision Representative: responsible for supervision and verification of work, writing work measurement notebook, preparation of voucher/muster roll, etc.
- Payment Representative: responsible for facilitating payment against procurement of goods/services as well as total payment against labor & material components.
- DPMU will equip the selected representatives with the required capacities and tools (books, formats, voucher, muster roll, etc.) to facilitate effective delivery of the expected outputs.

## 6.2 Plan & estimate preparation

The preparation of plan & estimate is the responsibility of the FSU, who will be supported in this activity by the DPMU and the PMU as required. Given that most EPAs may likely require expertise on civil engineering, additional experts may be engaged by the PMU as required.

The DPMU will prepare a format for collecting data and preparation of plan & estimate of the selected activity and will orient the Planning Representative and FSU for effective execution. The preparation of plan and estimate will start with a site survey, which will be conducted by the responsible members of the WRCC and the FSU In-charge, supported by a civil engineer if required. The site survey will map the locations of various physical structures of the EPA (e.g. intake pipe for water supply, transect of pipe location, etc.) and identify community priorities for the detailed planning. These priorities include, but may not be restricted to:

- Number of users of the EPA (e.g. population of the village)
- Desired physical location of the EPA and its various components
- Desired sizing, technical specifications, materials, and other qualities of the EPA
- Desired additional functions of EPAs (e.g. water filtering in case of water supply)

The FSU supported by the Planning Representative will prepare plan & estimate of the selected activity in the prescribed format to be suggested by DPMU office and will share the same to WRCC. Once the Plan and estimate is completed, it will signed jointly by the Planning Representative and FSU, who will then submit it by WRCC for approval.

WRCC will forward the plan & estimate to the DPMU for clearance for forwarding to the PMU, which will provide a written approval of the plan and estimate as the basis for implementing the selected activity.

## 6.3 Implementation Action Planning

Once the plan and estimate has been approved, the FSU needs to convene a meeting of the WRCC. This meeting will serve the preparation of an action plan for the implementation of the EPA. The action plan will have to identify the activities, their timeframe, the responsible people/stakeholders and the means of implementation. An example for an EPA

implementation action plan can be found in Fehler! Verweisquelle konnte nicht gefunden werden..

*Table 2: Example of an Action Plan for EPA implementation*

Activity	Responsible	Deadline
Prepare plan & estimate	DRO	July 15 <sup>th</sup> , 2019
Present plan & estimate to WRCG	DRO	July 25 <sup>th</sup> , 2019
Obtain approval of plan & estimate from PMU	DRO	July 26 <sup>th</sup> , 2019
Transfer of first instalment for EPA	DRO	Aug 5 <sup>th</sup> , 2019
WRCG updated action planning meeting	DRO	Aug 8 <sup>th</sup> , 2019
Procurement of materials	DRO	Aug 15 <sup>th</sup> , 2019
Work implementation incl. participatory monitoring	DRO	Oct 15 <sup>th</sup> , 2019
Verification	DRO	Oct 20 <sup>th</sup> , 2019
Release of final payment	DRO	Oct 25 <sup>th</sup> , 2019
Maintenance	WRCC	Periodic

At the beginning of the Action Planning process the WRCC will need to decide whether the implementation will be carried out by its members, in case the activity involves only labour component or whether it will partially/entirely be implemented by external contractor/s.

- Even if the comparative feasibility is brighter for utilization of a mechanized system in lieu of labour work that will also be decided in by the WRCC.
- The WRCC in consultation with the DPMU will float a tender or ask for quotations as per the norms in case the external contractor is to be involved in implementation of part/whole activity. The DPMU may also initiate the process of tender, quotation, etc., if that is resolved in the respective WRCC Meeting.

## 7. Implementation, monitoring and quality control

- The WRCC in consultation with the DPMU will identify critical indicators for monitoring and quality control of the activity implementation process.
- The Supervision Representative will assist the WRCC and the FSU in supervising the work as per the monitoring indicators and frequency suggested for monitoring various components of the task.
- The Supervision Representative will assist the WRCC and the FSU in verifying the work physically and take measurements of the work.
- The Supervision Representative will assist the WRCC and the FSU in writing work measurement notebook and to prepare voucher/muster roll.
- The FSU and the Supervision Representative will jointly sign the measurement book, muster roll/voucher, monitoring report and will forward to the WRCC for verification, cross checking and forwarding to the DPMU for approval and releasing the payment to the respective parties.

## 8. Payment system

- The WRCC will receive the measurement book, muster roll/voucher duly signed by the FSU and Supervision Representative and will verify the same.
- The WRCC will also receive bill/s from the external contractor if involved at any stage of activity implementation.
- It will be ensured at all levels that all the relevant taxes have been included in the bills/vouchers and deducted from the final bill.
- Deposition of taxes, as applicable, after deduction will be the responsibility of the WRCC.



- The FSU will prepare a summary bill which will be jointly signed by the Payment Representative (measurement book, muster roll/voucher, monitoring report) to submit through the WRCC to the DPMU for approval
- The DPMU will verify the bills as per the norms and, if satisfied, will transfer the money to the WRCC account along with statement of the purpose the funds transferred.
- The authorized signatories will make payment to the respective parties through cheques or bank transfer.
- The WRCC will maintain ledger/register with regard to payment and receipt.