

No. J-11060/44/2014-RE-III (339866)

Government of India  
Department of Rural Development  
(Mahatma Gandhi NREGA Division)

Krishi Bhavan New Delhi  
5<sup>th</sup> May, 2016

To  
The Principal Secretary/Secretary  
Department of Rural Development/Panchayati Raj,  
(In-charge MGNREGA)  
Bihar, Chhattisgarh & Odisha

Sir,

The Ministry of Rural Development, Government of India, in collaboration with the Department for International Development (DFID) is launching a programme on 'Infrastructure for Climate Resilient Growth (ICRG)' through Mahatma Gandhi NREGA.

2. The aim of the programme is to strengthen capacities of States to create infrastructure and physical assets which foster climate resilience and sustainable livelihoods for the poor. This will be achieved by providing technical assistance to implementation agencies on climate resilient planning and execution under MGNREGA. The programme is to be implemented in total 100 blocks of Bihar, Chhattisgarh and Odisha as follows: -

S. No.	State	Project Blocks
1.	Bihar	35
2.	Odisha	35
3.	Chhattisgarh	30
Total		100

3. The selection of blocks is to be done in consultation with the State Governments. DFID commissioned a scoping and baseline study, based on indexes of backwardness, drought-proneness and climate vulnerability. A preliminary shortlist of blocks is enclosed at Annexure 1.

4. The States are requested to select the requisite number of blocks for the execution of the project. Mr. Pramathesh Ambastha of Samaj Pragati Sahyog (the Agency that carried out the study) may be contacted at [pramathesh.ambasta@gmail.com](mailto:pramathesh.ambasta@gmail.com) to facilitate this process. The block selection may be communicated to Mr. A.K. Sumbly, Deputy Secretary at [ak.sumbly@nic.in](mailto:ak.sumbly@nic.in) by 13<sup>th</sup> May 2016.

5. The Detailed Project Report of the ICRG programme is appended with this letter for your reference (Annexure 2).

Encl. As above

Yours faithfully,

(Aparajita Sarangi)  
Joint Secretary

9/c  
Issued  
09/05/16

Scoping Study on  
Infrastructure for Climate Resilient Growth

**Shortlisting of Blocks for Final Selection**

April 2016  
Samaj Pragati Sahayog

## 1. Introduction

The Infrastructure for Climate Resilient Growth (ICRG) programme of DFID envisages leverage of MGNREGA for creation of infrastructure for climate resilient growth in India with specific support in 100 selected blocks across Bihar, Chhattisgarh and Odisha states.

For this, the first step is to select the 100 blocks where the project will be implemented. This note outlines the block selection process adopted for the project. The Annexures also list the shortlisted blocks to be circulated to states for final selection of the target blocks.

In the meetings held with MoRD it was agreed that we will look at:

- a. backwardness as a starting point for the block selection framework
- b. add climate vulnerability as a further filter
- c. add MGNREGA performance as a third stage filter to shortlist blocks which could then be used for final selection of blocks for the implementation stage by the states.

We have followed broadly this methodology. However, we have dropped step (c) for it is felt that it would result in narrowing down the shortlist too much. Given the complexities involved in block selection, states should be given a larger pool to choose from.

## 2. Data Sources

We have looked at the following 3 sets of data for our exercise:

1. **List of the 2500 most backward blocks in the country** prepared by the Planning Commission. (see also See Bakshi, Sanchita, Arunish Chawla and Mihir Shah (2015): *Regional Disparities in India: A Moving Frontier*, Economic and Political Weekly, Vol.1, No.1, January 3). The list and the backwardness index developed as part of the exercise has found usage with the MoRD in targeting some interventions including under MGNREGA. The backward sub-districts were identified on the following criteria:

- Agriculture workers as a proportion of total workers
- Female literacy rate
- Households without access to electricity
- Households without drinking water and sanitary latrine within premises
- Households without access to banking facility
- Percentage SC Population
- Percentage ST Population



2. **The list of districts in India with drought frequency** between 2000 and 2015 prepared by the Ministry of Agriculture, GoI and provided to us by MoRD<sup>1</sup>

3. **Atlas on Vulnerability of Indian Agriculture to Climate Change**, brought out by Central Research Institute for Dryland Agriculture (CRIDA), Hyderabad as part of the National Initiative on Climate Resilient Agriculture (NICRA) in 2013, which provides a listing of districts based on a Climate Vulnerability Rank.

This Atlas calculates a climate vulnerability index at the district level based on the basis of the following:

- **sensitivity indicators**, including
  - Net Sown Area
  - degraded and waste land
  - annual rainfall
  - cyclone proneness
  - flood proneness
  - drought proneness
  - available water holding capacity of soil
  - stage of ground water development
  - rural population density
  - small and marginal farmers
- **exposure indicators**, including:
  - change in annual rainfall
  - change in June rainfall
  - change in July rainfall
  - change in number of rainy days
  - change in maximum temperature
  - change in minimum temperatures
  - change in incidence of extremely hot days
  - change in incidence of extremely cold days
  - change in frequency of occurrence of frost days
  - change in drought proneness
  - change in incidence of dry spells  $\geq 14$  days
  - extreme rainfall events
  - change in 99 percentile rainfall
  - change in number of events with  $>100$  mm rainfall in 3 days
  - change in mean maximum rainfall in a single day s % to annual normal
  - change in mean maximum rainfall in 3 consecutive days as % of annual normal
- **adaptive capacity**, as measured by:
  - rural poor

<sup>1</sup> This and the atlas prepared by CRIDA provide a listing of districts. The method we have followed is to apply the district level ranking/index to all blocks within the district.

- SC/ST population
- agricultural workers
- total literacy
- gender gap
- access to markets
- road connectivity
- rural electrification
- net irrigated area
- livestock population
- fertilizer consumption
- groundwater availability
- share of agriculture in district domestic production

### 3.Shortlisting Methodology

As a general rule we have taken backwardness as the first port of call in our shortlisting exercise. This is because high climate vulnerability may co-exist with relatively low levels of backwardness but a high level of backwardness will always increase climate vulnerability because of the lower level of adaptive capacity or resilience it implies.

From the list of most backward 2500 blocks, we first filtered the blocks belonging to Bihar, Chhattisgarh and Odisha. 782 blocks from Bihar, Odisha and Chhattisgarh were part of this list of 2500 most backward blocks.

As the following table shows, there are a total of 1160 census sub-districts in these 3 states as per Census 2011, of which 782 made it to the backward list. The share of backward blocks is highest in Bihar.

State	Total Blocks Census 2011	Backward Blocks	Share %
Bihar	534	453	58
Chhattisgarh	149	100	13
Odisha	477	229	29
<b>Total</b>	<b>1160</b>	<b>782</b>	<b>100</b>

The steps taken to further shortlist blocks varied across states, because of the differences in data and so we describe these steps state-wise below.

#### 3.1 Bihar

Bihar had 453 blocks to begin with, which is a large number. Also the variations in the 3 indexes was also high. In order to further screen the blocks we adopted the following procedure:

1. In the first stage, we eliminated all blocks which had a backwardness ranking of more than 1500.
2. We then eliminated all blocks where the frequency of drought between 2000 and 2015 (as per the MoA) was less than 3.
3. From this list we further eliminated blocks which had a backwardness ranking of more than 1000 **and** a climate vulnerability ranking of more than 300.

The shortlisted blocks are presented in Annexure A.



### **3.2 Chhattisgarh**

Chhattisgarh had only 100 blocks in the list to begin with. We have kept all of them to keep the number of blocks at par with the other states.

The shortlisted blocks are presented in Annexure B.

### **3.4 Odisha**

In Odisha, we had 229 backward blocks to begin with. From these:

1. we first eliminated all blocks with a backwardness ranking of more than 1500
2. we then further eliminated blocks which had a climate vulnerability rank of more than 450 to arrive at the shortlist.

The shortlisted blocks are presented in Annexure C.

### **4. Different Approaches**

The reason why we have kept different approaches for different states is because there is a wide variety in the data and no uniform criteria seemed satisfactory. In Bihar, the number of blocks is very high. In Chhattisgarh, the number is very small and further elimination would have resulted in too narrow a short list. In Odisha, some level of short listing was required. However, keeping the benchmark of Climate Vulnerability the same as Bihar resulted in too many eliminations, since several blocks fall into the Climate Vulnerability rank of 300 and above. So the criterion had to be relaxed.

## Annexure A: Shortlist of Blocks in Bihar

	STATE	DISTRICT NAME	SUB-DISTRICT NAME	Backwardness Ranking	CRIDA NICRA VULNERABILITY RANK	MoAgr Drought Frequency > 3
1	BIHAR	Araria	Palasi	145	43	3
2	BIHAR	Arwal	Karpi	985	255	3
3	BIHAR	Arwal	Sonbhadra Banshi Suryapur	665	255	3
4	BIHAR	Banka	Banka	839	260	4
5	BIHAR	Banka	Barahat	854	260	4
6	BIHAR	Banka	Bausi	396	260	4
7	BIHAR	Banka	Belhar	706	260	4
8	BIHAR	Banka	Chanan	182	260	4
9	BIHAR	Banka	Dhuraiya	441	260	4
10	BIHAR	Banka	Katoria	142	260	4
11	BIHAR	Banka	Phulidumar	382	260	4
12	BIHAR	Banka	Rajaun	945	260	4
13	BIHAR	Begusarai	Chhorahi	846	233	4
14	BIHAR	Begusarai	Dandari	669	233	4
15	BIHAR	Begusarai	Garhpura	671	233	4
16	BIHAR	Begusarai	Naokothi	961	233	4
17	BIHAR	Begusarai	Shamho Akha Kurha	308	233	4
18	BIHAR	Bhagalpur	Goradih	585	77	4
19	BIHAR	Bhagalpur	Ismailpur	134	77	4
20	BIHAR	Bhagalpur	Kharik	844	77	4
21	BIHAR	Bhagalpur	Pirpanti	747	77	4
22	BIHAR	Bhagalpur	Rangra Chowk	712	77	4
23	BIHAR	Bhagalpur	Sonhaura	664	77	4
24	BIHAR	Darbhanga	Alinagar	221	45	3
25	BIHAR	Darbhanga	Baheri	434	45	3
26	BIHAR	Darbhanga	Benipur	852	45	3
27	BIHAR	Darbhanga	Biraul	370	45	3
28	BIHAR	Darbhanga	Ghanshyampur	402	45	3
29	BIHAR	Darbhanga	Gora Bauram	106	45	3
30	BIHAR	Darbhanga	Hanumannagar	991	45	3
31	BIHAR	Darbhanga	Jale	655	45	3
32	BIHAR	Darbhanga	Kiratpur	107	45	3
33	BIHAR	Darbhanga	Kusheshwar Asthan	132	45	3
34	BIHAR	Darbhanga	Kusheshwar Asthan Purbi	33	45	3
35	BIHAR	Darbhanga	Manigachhi	922	45	3
36	BIHAR	Darbhanga	Singhwar	989	45	3



37	BIHAR	Darbhanga	Tardih	629	45	3
38	BIHAR	Gopalganj	Sidhwalia	823	127	4
39	BIHAR	Jehanabad	Modanganj	919	255	4
40	BIHAR	Katihar	Amdabad	249	153	4
41	BIHAR	Katihar	Azamnagar	136	153	4
42	BIHAR	Katihar	Balrampur	113	153	4
43	BIHAR	Katihar	Barari	264	153	4
44	BIHAR	Katihar	Barsoi	87	153	4
45	BIHAR	Katihar	Dandkhora	355	153	4
46	BIHAR	Katihar	Falka	165	153	4
47	BIHAR	Katihar	Hasanganj	329	153	4
48	BIHAR	Katihar	Kadwa	235	153	4
49	BIHAR	Katihar	Korha	246	153	4
50	BIHAR	Katihar	Kursela	942	153	4
51	BIHAR	Katihar	Manihari	405	153	4
52	BIHAR	Katihar	Mansahi	281	153	4
53	BIHAR	Katihar	Pranpur	254	153	4
54	BIHAR	Katihar	Sameli	384	153	4
55	BIHAR	Kishanganj	Bahadurganj	401	27	3
56	BIHAR	Kishanganj	Dighalbank	97	27	3
57	BIHAR	Kishanganj	Kochadhamin	357	27	3
58	BIHAR	Kishanganj	Pothia	252	27	3
59	BIHAR	Kishanganj	Terhagachh	123	27	3
60	BIHAR	Kishanganj	Thakurganj	240	27	3
61	BIHAR	Lakhisarai	Chanan*	332	240	4
62	BIHAR	Lakhisarai	Halsi	438	240	4
63	BIHAR	Lakhisarai	Ramgarh Chowk	774	240	4
64	BIHAR	Madhubani	Andhratharhi	604	29	3
65	BIHAR	Madhubani	Babubarhi	390	29	3
66	BIHAR	Madhubani	Basopatti	446	29	3
67	BIHAR	Madhubani	Bisfi	530	29	3
68	BIHAR	Madhubani	Ghoghardiha	444	29	3
69	BIHAR	Madhubani	Harlaksi	350	29	3
70	BIHAR	Madhubani	Jainagar	741	29	3
71	BIHAR	Madhubani	Jhanjharpur	756	29	3
72	BIHAR	Madhubani	Kaluahi	738	29	3
73	BIHAR	Madhubani	Khajauli	501	29	3
74	BIHAR	Madhubani	Ladania	245	29	3
75	BIHAR	Madhubani	Lakhnaur	751	29	3
76	BIHAR	Madhubani	Laukaha	244	29	3
77	BIHAR	Madhubani	Laukahi	119	29	3
78	BIHAR	Madhubani	Madhepur	322	29	3
79	BIHAR	Madhubani	Madhwapur	423	29	3
80	BIHAR	Madhubani	Phulparas	302	29	3
81	BIHAR	Madhubani	Rajnagar	995	29	3
82	BIHAR	Muzaffarpur	Aurai	563	207	4



83	BIHAR	Muzaffarpur	Bandra	696	207	4
84	BIHAR	Muzaffarpur	Bochaha	602	207	4
85	BIHAR	Muzaffarpur	Gaighat	707	207	4
86	BIHAR	Muzaffarpur	Katra	595	207	4
87	BIHAR	Muzaffarpur	Minapur	643	207	4
88	BIHAR	Nalanda	Ben	910	178	4
89	BIHAR	Nalanda	Karai Parsurai	572	178	4
90	BIHAR	Nalanda	Nagar Nausa	754	178	4
91	BIHAR	Nalanda	Noorsarai	940	178	4
92	BIHAR	Nalanda	Rahui	882	178	4
93	BIHAR	Nalanda	Sarmera	375	178	4
94	BIHAR	Nalanda	Tharthari	893	178	4
95	BIHAR	Pashchim Champaran	Bagaha	592	194	3
96	BIHAR	Pashchim Champaran	Bairia	422	194	3
97	BIHAR	Pashchim Champaran	Bhitaha	121	194	3
98	BIHAR	Pashchim Champaran	Chanpatia	667	194	3
99	BIHAR	Pashchim Champaran	Gaunaha	340	194	3
100	BIHAR	Pashchim Champaran	Jogapatti	210	194	3
101	BIHAR	Pashchim Champaran	Lauriya	626	194	3
102	BIHAR	Pashchim Champaran	Madhubani	77	194	3
103	BIHAR	Pashchim Champaran	Mainatanr	208	194	3
104	BIHAR	Pashchim Champaran	Majhaulia	497	194	3
105	BIHAR	Pashchim Champaran	Narkatiaganj	599	194	3
106	BIHAR	Pashchim Champaran	Nautan	346	194	3
107	BIHAR	Pashchim Champaran	Piprasi	168	194	3
108	BIHAR	Pashchim Champaran	Ramnagar	606	194	3
109	BIHAR	Pashchim Champaran	Sidhaw	265	194	3
110	BIHAR	Pashchim Champaran	Sikta	232	194	3
111	BIHAR	Pashchim Champaran	Thakrahan	287	194	3
112	BIHAR	Patna	Belchhi	654	164	4
113	BIHAR	Patna	Dhanarua	749	164	4



114	BIHAR	Patna	Ghoswari	342	164	4
115	BIHAR	Purba Champaran	Adapur	236	186	3
116	BIHAR	Purba Champaran	Banjaria	433	186	3
117	BIHAR	Purba Champaran	Bankatwa	213	186	3
118	BIHAR	Purba Champaran	Chiraia	292	186	3
119	BIHAR	Purba Champaran	Dhaka	573	186	4
120	BIHAR	Purba Champaran	Ghorasahan	443	186	3
121	BIHAR	Purba Champaran	Harsidhi	450	186	3
122	BIHAR	Purba Champaran	Kalyanpur	627	186	3
123	BIHAR	Purba Champaran	Kesaria	668	186	3
124	BIHAR	Purba Champaran	Kotwa	483	186	3
125	BIHAR	Purba Champaran	Madhuban	400	186	3
126	BIHAR	Purba Champaran	Mehsi	553	186	3
127	BIHAR	Purba Champaran	Narkatia	336	186	3
128	BIHAR	Purba Champaran	Paharpur	431	186	3
129	BIHAR	Purba Champaran	Pakri Dayal	348	186	3
130	BIHAR	Purba Champaran	Patahi	367	186	3
131	BIHAR	Purba Champaran	Phenhara	581	186	3
132	BIHAR	Purba Champaran	Piprakothi	695	186	3
133	BIHAR	Purba Champaran	Ramgarhwa	353	186	3
134	BIHAR	Purba Champaran	Sugauli	393	186	3
135	BIHAR	Purba Champaran	Tetaria	206	186	3
136	BIHAR	Purba Champaran	Turkaulia	490	186	3
137	BIHAR	Saharsa	Banma Itahri	185	134	3
138	BIHAR	Saharsa	Mahishi	112	134	3
139	BIHAR	Saharsa	Nauhatta	224	134	3



140	BIHAR	Saharsa	Patarghat	388	134	3
141	BIHAR	Saharsa	Salkhua	63	134	3
142	BIHAR	Saharsa	Satar Kataiya	417	134	3
143	BIHAR	Saharsa	Saur Bazar	266	134	3
144	BIHAR	Saharsa	Simri Bakhtiarpur	306	134	3
145	BIHAR	Saharsa	Sonbarsa	397	134	3
146	BIHAR	Samastipur	Bibhutpur	834	195	3
147	BIHAR	Samastipur	Bithan	127	195	3
148	BIHAR	Samastipur	Hasanpur	617	195	3
149	BIHAR	Samastipur	Khanpur	432	195	3
150	BIHAR	Samastipur	Mohanpur	765	195	3
151	BIHAR	Samastipur	Mohiuddinagar	957	195	3
152	BIHAR	Samastipur	Morwa	798	195	3
153	BIHAR	Samastipur	Sarairanjan	953	195	3
154	BIHAR	Samastipur	Shivaji Nagar	477	195	3
155	BIHAR	Samastipur	Singhia	258	195	3
156	BIHAR	Samastipur	Vidyapati Nagar	897	195	3
157	BIHAR	Saran	Dariapur	800	129	4
158	BIHAR	Saran	Maker	860	129	4
159	BIHAR	Saran	Panapur	632	129	4
160	BIHAR	Sitamarhi	Bairgania	895	175	4
161	BIHAR	Sitamarhi	Bajpatti	365	175	4
162	BIHAR	Sitamarhi	Bathnaha	286	175	4
163	BIHAR	Sitamarhi	Belsand	366	175	4
164	BIHAR	Sitamarhi	Bokhara	275	175	4
165	BIHAR	Sitamarhi	Charaut	461	175	4
166	BIHAR	Sitamarhi	Majorganj	298	175	4
167	BIHAR	Sitamarhi	Nanpur	363	175	4
168	BIHAR	Sitamarhi	Parihar	193	175	4
169	BIHAR	Sitamarhi	Parsauni	241	175	4
170	BIHAR	Sitamarhi	Pupri	809	175	4
171	BIHAR	Sitamarhi	Riga	638	175	4
172	BIHAR	Sitamarhi	Runisaidpur	458	175	4
173	BIHAR	Sitamarhi	Sonbarsa	297	175	4
174	BIHAR	Sitamarhi	Suppi	425	175	4
175	BIHAR	Sitamarhi	Sursand	478	175	4
176	BIHAR	Supaul	Chhatapur	562	61	3
177	BIHAR	Supaul	Kishanpur	207	61	3
178	BIHAR	Supaul	Marauna	105	61	3
179	BIHAR	Supaul	Nirmali	548	61	3
180	BIHAR	Supaul	Pipra	214	61	3
181	BIHAR	Supaul	Pratapganj	767	61	3
182	BIHAR	Supaul	Raghopur	555	61	3
183	BIHAR	Supaul	Saraigarh Bhaptiyahi	338	61	3
184	BIHAR	Supaul	Supaul	928	61	3



185	BIHAR	Supaul	Tribeniganj	566	61	3
186	BIHAR	Vaishali	Raghopur	310	213	4

**Annexure B: Shortlist of Blocks in Chhattisgarh**

	STATE	DISTRICT NAME	SUB-DISTRICT NAME	Backwardness Ranking	CRIDA NICRA VULNERABILITY RANK	MoAgr Drought Frequency > 1** All blocks considered here for first filtering
1	CHHATTISGARH	Bastar	Bastanar	1	305	2
2	CHHATTISGARH	Dakshin Bastar Dantewada	Katekalyan	4	193	2
3	CHHATTISGARH	Bijapur	Usur	6	193	1
4	CHHATTISGARH	Bijapur	Bhairamgarh	11	193	1
5	CHHATTISGARH	Dakshin Bastar Dantewada	Chhindgarh	12	193	2
6	CHHATTISGARH	Narayanpur	Orchha	14	305	2
7	CHHATTISGARH	Dakshin Bastar Dantewada	Konta	19	193	2
8	CHHATTISGARH	Bastar	Darbha	22	305	2
9	CHHATTISGARH	Bastar	Lohandiguda	65	305	2
10	CHHATTISGARH	Surguja	Mainpat	153	151	2
11	CHHATTISGARH	Dakshin Bastar Dantewada	Sukma	161	193	2
12	CHHATTISGARH	Bastar	Makdi	253	305	2
13	CHHATTISGARH	Bastar	Bastar	260	305	2
14	CHHATTISGARH	Bijapur	Bijapur	318	193	1
15	CHHATTISGARH	Bastar	Bakavand	323	305	2
16	CHHATTISGARH	Surguja	Oudgi	327	151	2
17	CHHATTISGARH	Surguja	Samri(kusmi)	330	151	2
18	CHHATTISGARH	Bastar	Tokapal	331	305	2
19	CHHATTISGARH	Raipur	Deobhog	333	436	3
20	CHHATTISGARH	Uttar Bastar Kanker	Antagarh	359	305	2



21	CHHATTISGARH	Bastar	Bade Rajpur	369	305	2
22	CHHATTISGARH	Raipur	Mainpur	394	436	3
23	CHHATTISGARH	Dakshin Bastar Dantewada	Gidam	395	193	2
24	CHHATTISGARH	Bijapur	Bhopalpattnam	410	193	1
25	CHHATTISGARH	Narayanpur	Narayanpur	451	305	2
26	CHHATTISGARH	Bastar	Kondagaon	460	305	2
27	CHHATTISGARH	Surguja	Lakhanpur	470	151	2
28	CHHATTISGARH	Surguja	Udaypur	482	151	2
29	CHHATTISGARH	Korba	Poundi-Uproda	509	372	3
30	CHHATTISGARH	Raigarh	Lailunga	524	376	3
31	CHHATTISGARH	Jashpur	Bagicha	557	204	1
32	CHHATTISGARH	Surguja	Shankargarh	582	151	2
33	CHHATTISGARH	Raigarh	Udaipur (Dharamjaigarh)	600	376	3
34	CHHATTISGARH	Surguja	Premnagar	636	151	2
35	CHHATTISGARH	Surguja	Ramanujnagar	680	151	2
36	CHHATTISGARH	Bastar	Keskal	686	305	2
37	CHHATTISGARH	Uttar Bastar Kanker	Durgkondal	718	305	2
38	CHHATTISGARH	Jashpur	Farsabahr	773	204	1
39	CHHATTISGARH	Surguja	Wadrafnagar	784	151	2
40	CHHATTISGARH	Surguja	Balrampur	802	151	2
41	CHHATTISGARH	Surguja	Rajpur	838	151	2
42	CHHATTISGARH	Bilaspur	Lormi	842	193	3
43	CHHATTISGARH	Jashpur	Pathalgaon	869	204	1
44	CHHATTISGARH	Surguja	Sitapur	894	151	2
45	CHHATTISGARH	Raipur	Bilaigarh	905	436	3
46	CHHATTISGARH	Durg	Nawagarh	954	221	3
47	CHHATTISGARH	Bilaspur	Pathariya	977	302	3
48	CHHATTISGARH	Narayanpur	Dantewada	979	305	2
49	CHHATTISGARH	Kabeerdham	Bodla	1005	148	1
50	CHHATTISGARH	Surguja	Ramanujganj	1037	151	2
51	CHHATTISGARH	Surguja	Pratappur	1047	151	2
52	CHHATTISGARH	Surguja	Lundra	1077	151	2



53	CHHATTISGARH	Kabeerdham	Pandariya	1084	148	1
54	CHHATTISGARH	Korba	Kartala	1112	372	3
55	CHHATTISGARH	Raigarh	Gharghoda	1136	376	3
56	CHHATTISGARH	Jashpur	Kansabel	1149	204	1
57	CHHATTISGARH	Janjgir - Champa	Jaijaipur	1177	397	1
58	CHHATTISGARH	Korba	Pali	1204	372	3
59	CHHATTISGARH	Surguja	Batouli	1226	151	2
60	CHHATTISGARH	Koriya	Bharatpur	1252	174	2
61	CHHATTISGARH	Jashpur	Duldula	1269	204	1
62	CHHATTISGARH	Kabeerdham	Sahaspur Lohara	1279	148	1
63	CHHATTISGARH	Bilaspur	Masturi	1352	302	3
64	CHHATTISGARH	Raipur	Kasdol	1357	436	3
65	CHHATTISGARH	Dakshin Bastar Dantewada	Kuakonda	1369	193	2
66	CHHATTISGARH	Jashpur	Manora	1393	204	1
67	CHHATTISGARH	Raipur	Palari	1476	436	3
68	CHHATTISGARH	Durg	Thanakhamria	1493	221	3
69	CHHATTISGARH	Uttar Bastar Kanker	Pakhanjur	1524	305	2
70	CHHATTISGARH	Janjgir - Champa	Malkharoda	1566	397	1
71	CHHATTISGARH	Raipur	Baloda Bazar	1589	436	3
72	CHHATTISGARH	Bilaspur	Marwahi	1598	302	3
73	CHHATTISGARH	Bilaspur	Mungeli	1604	302	3
74	CHHATTISGARH	Surguja	Bhaiyathan	1630	151	2
75	CHHATTISGARH	Durg	Bemetara	1646	221	3
76	CHHATTISGARH	Raigarh	Sarangarh	1652	376	3
77	CHHATTISGARH	Janjgir - Champa	Baloda	1706	397	1
78	CHHATTISGARH	Mahasamund	Bagbahra	1731	254	2
79	CHHATTISGARH	Raipur	Basna	1762	436	3
80	CHHATTISGARH	Durg	Saja	1779	221	3
81	CHHATTISGARH	Rajnandgaon	Chhuikhadan	1787	160	3
82	CHHATTISGARH	Janjgir - Champa	Nawagarh	1789	397	1



83	CHHATTISGARH	Janjgir - Champa	Pamgarh	1870	397	1
84	CHHATTISGARH	Uttar Bastar Kanker	Narharpur	1941	305	2
85	CHHATTISGARH	Bilaspur	Kota	1942	302	3
86	CHHATTISGARH	Bilaspur	Takhatpur	1968	302	3
87	CHHATTISGARH	Kabeerdham	Kawardha	2052	148	1
88	CHHATTISGARH	Durg	Berla	2070	221	3
89	CHHATTISGARH	Mahasamund	Pithora	2071	254	2
90	CHHATTISGARH	Koriya	Sonhat	2100	174	2
91	CHHATTISGARH	Raipur	Simga	2156	436	3
92	CHHATTISGARH	Janjgir - Champa	Akaltara	2169	397	1
93	CHHATTISGARH	Bilaspur	Bilha	2230	302	3
94	CHHATTISGARH	Raigarh	Baramkela	2280	376	3
95	CHHATTISGARH	Raipur	Bindranavagarh (Gariyaband)	2293	436	3
96	CHHATTISGARH	Jashpur	Kunkuri	2297	204	1
97	CHHATTISGARH	Janjgir - Champa	Sakti	2307	397	1
98	CHHATTISGARH	Rajnandgaon	Manpur	2321	160	3
99	CHHATTISGARH	Bastar	Farasgaon	2323	305	2
100	CHHATTISGARH	Raipur	Chhura	2366	436	3

## Annexure C: Shortlist of Blocks in Odisha

	STATE	DISTRICT NAME	SUB-DISTRICT NAME	Backwardness Ranking	CRIDA NICRA VULNERABILITY RANK	MoA Drought Frequency > 2
1	ODISHA	Balangir	Bangomunda	352	261	4
2	ODISHA	Balangir	Turekela	101	261	3
3	ODISHA	Balangir	Sindhekela	139	261	3
4	ODISHA	Balangir	Belpara	272	261	3
5	ODISHA	Balangir	Khaprakhol	293	261	3
6	ODISHA	Balangir	Saintala	939	261	3
7	ODISHA	Bargarh	Jharbandha	659	410	4
8	ODISHA	Bargarh	Paikamal	660	410	4
9	ODISHA	Bargarh	Gaisilet	687	410	4
10	ODISHA	Bargarh	Burden P.S.	998	410	4
11	ODISHA	Gajapati	Ramagiri	274	297	2
12	ODISHA	Gajapati	R. Udaygiri	354	297	2
13	ODISHA	Gajapati	Adva	481	297	2
14	ODISHA	Gajapati	Garabandha	522	297	2
15	ODISHA	Gajapati	Serango	525	297	2
16	ODISHA	Gajapati	Rayagada	551	297	2
17	ODISHA	Gajapati	Mohana	735	297	2
18	ODISHA	Gajapati	Kashinagara	771	297	2
19	ODISHA	Kalahandi	Thuamul Rampur	51	253	3
20	ODISHA	Kalahandi	Biswanathpur	80	253	3
21	ODISHA	Kalahandi	Lanjigarh	141	253	3
22	ODISHA	Kalahandi	Kokasara	178	253	3
23	ODISHA	Kalahandi	Jayapatna	196	253	3
24	ODISHA	Kalahandi	Kegaon	198	253	3
25	ODISHA	Kalahandi	Golamunda	239	253	3
26	ODISHA	Kalahandi	Dharamgarh	290	253	3
27	ODISHA	Kalahandi	Junagarh	343	253	3
28	ODISHA	Kalahandi	Madanpur	752	253	3



			Rampur			
29	ODISHA	Kalahandi	Narala	880	253	3
30	ODISHA	Kandhamal	Belaghar	126	279	3
31	ODISHA	Kandhamal	Kotagarh	184	279	3
32	ODISHA	Kandhamal	Brahmanigaon	372	279	3
33	ODISHA	Kandhamal	Daringbadi	445	279	3
34	ODISHA	Kandhamal	Gochhapada	529	279	3
35	ODISHA	Kandhamal	Tumudibandha	583	279	3
36	ODISHA	Kandhamal	Phiringia	702	279	3
37	ODISHA	Kandhamal	Chakapada	831	279	3
38	ODISHA	Kendujhar	Nayakote	67	284	3
39	ODISHA	Kendujhar	Kanjipani	88	284	3
40	ODISHA	Kendujhar	Daitari	570	284	3
41	ODISHA	Kendujhar	Pandapara	625	284	3
42	ODISHA	Kendujhar	Harichandanpur	658	284	3
43	ODISHA	Koraput	Kotiya	8	413	2
44	ODISHA	Koraput	Padua	20	413	2
45	ODISHA	Koraput	Bandhugaon	21	413	2
46	ODISHA	Koraput	Nandapur	29	413	2
47	ODISHA	Koraput	Dasamantapur	38	413	2
48	ODISHA	Koraput	Boipariguda	42	413	2
49	ODISHA	Koraput	Pottangi	44	413	2
50	ODISHA	Koraput	Bhairabsingipur	60	413	2
51	ODISHA	Koraput	Narayanpatana	68	413	2
52	ODISHA	Koraput	Kundura	75	413	2
53	ODISHA	Koraput	Lakshmipur	92	413	2
54	ODISHA	Koraput	Similiguda	102	413	2
55	ODISHA	Koraput	Kakiriguma	172	413	2
56	ODISHA	Koraput	Machh kund	183	413	2
57	ODISHA	Koraput	Boriguma	200	413	2
58	ODISHA	Koraput	Kotpad	242	413	2
59	ODISHA	Koraput	Koraput	257	413	2
60	ODISHA	Malkangiri	Jodamba	2	382	2
61	ODISHA	Malkangiri	Paparmetla	3	382	2



62	ODISHA	Malkangiri	Mudulipada	31	382	2
63	ODISHA	Malkangiri	Chitrakonda	43	382	2
64	ODISHA	Malkangiri	Podia	47	382	2
65	ODISHA	Malkangiri	Motu	84	382	2
66	ODISHA	Malkangiri	Mathili	91	382	2
67	ODISHA	Malkangiri	Kalimela	280	382	2
68	ODISHA	Malkangiri	M.V. 79	283	382	2
69	ODISHA	Malkangiri	Orkel	315	382	2
70	ODISHA	Malkangiri	Malkangiri	319	382	2
71	ODISHA	Mayurbhanj	Sharata	95	341	3
72	ODISHA	Mayurbhanj	Mahuldiha	267	341	3
73	ODISHA	Mayurbhanj	Jamda	317	341	3
74	ODISHA	Mayurbhanj	Badampahar	380	341	3
75	ODISHA	Mayurbhanj	Ghagarbeda	467	341	3
76	ODISHA	Mayurbhanj	Rairangpur	567	341	3
77	ODISHA	Mayurbhanj	Tiring	605	341	3
78	ODISHA	Mayurbhanj	Bangiriposi	743	341	3
79	ODISHA	Mayurbhanj	Gorumahisani	762	341	3
80	ODISHA	Mayurbhanj	Bisoi	813	341	3
81	ODISHA	Mayurbhanj	Jashipur	858	341	3
82	ODISHA	Nabarangapur	Jharigan	10	315	2
83	ODISHA	Nabarangapur	Kosagumuda	16	315	2
84	ODISHA	Nabarangapur	Kodinga	30	315	2
85	ODISHA	Nabarangapur	Dabugan	32	315	2
86	ODISHA	Nabarangapur	Chandahandi	39	315	2
87	ODISHA	Nabarangapur	Paparahandi	99	315	2
88	ODISHA	Nabarangapur	Raighar	109	315	2
89	ODISHA	Nabarangapur	Kundei	156	315	2
90	ODISHA	Nabarangapur	Tentulikhunti	204	315	2
91	ODISHA	Nabarangapur	Umarkote	212	315	2
92	ODISHA	Nabarangapur	Khatiguda	811	315	2
93	ODISHA	Nayagarh	Banigochha	476	433	2
94	ODISHA	Nuapada	BODEN	131	197	2
95	ODISHA	Nuapada	SINAPALI	234	197	2
96	ODISHA	Nuapada	KOMNA	237	197	2
97	ODISHA	Nuapada	NUAPADA	521	197	2



98	ODISHA	Nuapada	KHARIAR	988	197	2
99	ODISHA	Rayagada	Doraguda	13	430	2
100	ODISHA	Rayagada	Chandrapur	24	430	2
101	ODISHA	Rayagada	Kalyanasingpur	25	430	2
102	ODISHA	Rayagada	Seskhal	26	430	2
103	ODISHA	Rayagada	Andirakanch	40	430	2
104	ODISHA	Rayagada	Kashipur	52	430	2
105	ODISHA	Rayagada	Puttasing	56	430	2
106	ODISHA	Rayagada	Tikiri	90	430	2
107	ODISHA	Rayagada	Ambadala	122	430	2
108	ODISHA	Rayagada	Bishamakatak	199	430	2
109	ODISHA	Rayagada	Gudari	424	430	2
110	ODISHA	Rayagada	Padmapur	886	430	2
111	ODISHA	Sundargarh	Mahulapada	279	358	3
112	ODISHA	Sundargarh	Kamarposh Balang	418	358	3
113	ODISHA	Sundargarh	Tikaetpali	575	358	3
114	ODISHA	Sundargarh	Gurundia	647	358	3
115	ODISHA	Sundargarh	Chandiposh	661	358	3
116	ODISHA	Sundargarh	Kinjirkela	698	358	3

**PROGRAMME MEMORANDUM**

**Infrastructure for Climate Resilient Growth in India (ICRG)**

**Government of India (GoI)  
Department for International Development – India (DFID India)**

**May 2015**



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### List of Abbreviations

CAG	:	Comptroller and Auditor General
CCIP	:	Climate Change Innovation Programme
CFT	:	Cluster Facilitation Team
CSO	:	Civil Society Organisation
CSR	:	Corporate Social responsibility
DFID	:	Department for International Development
ICRG	:	Infrastructure for Climate Resilient Growth
Gol	:	Government of India
IPCC	:	International Panel on Climate Change
IT	:	Information Technology
MGNREGS	:	Mahatma Gandhi National Rural Employment Guarantee Scheme
MGNREGA	:	Mahatma Gandhi National Rural Employment Guarantee Act
MoRD	:	Ministry of Rural Development
M&E	:	Monitoring and Evaluation
NIC	:	National Informatics Centre
OMEGA	:	Odisha Modernizing Economy Governance and Administration
PACS	:	Poorest Areas Civil Society
SHG	:	Self Help Groups
SRO	:	Senior Responsible Owner
TA	:	Technical Assistance



**i. Context/background:**

1. 60% of people in India depend on rain-fed agriculture, and so are vulnerable to changing weather patterns and extremes for their livelihoods. On current trends, over 120 million poor people (particularly women and girls) will remain highly vulnerable to climate driven hazards by 2030. However, rural infrastructure that is well planned and constructed can contribute positively to economic growth<sup>2</sup> as well as reduce the impact of drought and floods by ensuring good irrigation, and help restore the natural resource base.
2. The Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS) invests nearly £4 billion annually in constructing rural infrastructure, while ensuring a wage guarantee to nearly 40 million households. Although MGNREGS has great potential to drive economic growth and reduce the vulnerability of poor families<sup>3</sup>, reviews have consistently found that the infrastructure being built is of low quality and inadequately linked to poor people's livelihoods. More effective investment in rural infrastructure through MGNREGS could accelerate rural economic growth and reduce the need for additional assistance for responding to impact of severe drought, and floods in the future.
3. The government of India has recently taken policy measures to respond to this challenge, such as convergence of MGNREGS with livelihoods and environment programmes; a greening strategy for MGNREGS and; mandating a minimum of 60% of the built assets for agriculture related activities. However, these measures are in the initial stages, and need better evidence to fine tune the policies, while creating more technical capacity, especially at state level, to implement them.
4. The Department for International Development (DFID) of the United Kingdom has extensive experience of supporting climate resilience, sustainable livelihood and safety net schemes in developing countries. DFID is currently providing governance support to MGNREGS in Bihar and Odisha through the Poorest Areas Civil Society (PACS) and Odisha Modernizing Economy, Government and Administration (OMEGA) programmes. In Bihar, Odisha and Chhattisgarh, DFID is supporting implementation of State Action Plan on Climate Change (SAPCC) focusing on climate adaptation through the Climate Change Innovation Programme (CCIP)<sup>4</sup> Earlier DFID supported State Governments of Madhya Pradesh, Odisha, Andhra Pradesh along with the Ministry of Rural Development in implementing state level natural resource management and livelihood programmes. DFID also brings in world class expertise in climate science and planning and designing of climate resilient infrastructure.

**ii. Problems to be addressed:**

5. The infrastructure constructed under MGNREGS in rural areas typically include water harvesting tanks, soil and water conservation structures,

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<sup>2</sup> Pravakar Sahoo & Ranjan Kumar Dash (2012) Economic growth in South Asia: Role of infrastructure, *The Journal of International Trade & Economic Development: An International and Comparative Review*, 21:2, 217-252, DOI:10.1080/09638191003596994

<sup>3</sup> MGNREGA Sameeksha, Ministry of Rural Development, Government of India.

<sup>4</sup> CCIP is part of the Regional Climate Proofing Growth and Development Programme which includes India, Nepal, Bangladesh, Pakistan and Afghanistan.



anicut<sup>5</sup>, irrigation wells, canal repair works and drought proofing measures such as afforestation. MGNREGS funds both community assets as well as individual assets for Scheduled Castes, Scheduled Tribes and for people living Below the Poverty Line. These assets can improve ground water levels; increase irrigated area and increase crop productivity to provide additional and sustainable livelihoods for the rural poor.

6. While MGNREGS has been successful in providing wage guarantees to rural poor during lean seasons, the low quality of physical assets built under the scheme has undermined its contribution to livelihood security and overall economic growth. Common reasons for the poor quality of physical assets built under MGNREGS as identified in various reviews and studies are shown below:

Table 1: Findings of analyses and reviews of MGNREGS

Sl. No	Source	Key findings
1	India Rural Development Report 2012-13; IDFC and Ministry of Rural Development	Poor quality of infrastructure is built under MGNREGS due to lack of participatory planning and local technical capacity.
2	World Bank (2011): Social Protection for a Changing India, Volume II	A common criticism of public works under MGNREGS is that they are "washed away the next monsoon". One factor is that the objective of asset creation runs a very distant second to the primary objective of employment generation.
3	12 <sup>th</sup> Five Year Plan 2012-2017, Planning Commission of India	Technical soundness of design and involvement of Panchayati Raj Institutions has not met expectations. Analysis shows that one engineer has been responsible for large number of works (117) which has significantly impacted the quality of construction.
4	MGNREGA Sameeksha <sup>6</sup> , Ministry of Rural Development, 2012	Case studies highlight design-specific and technical quality issues which undermine the potential of these works. That said, there are only a few studies that have conducted rigorous scientific analysis on the actual productive performance of these assets. Further, the quality and durability of the assets vary vastly with district/region and cannot easily be generalised at the national level."
5	Role of MGNREGA in Rural Asset Creation, Journal of Global Economy	80 percent of assets were washed away in Dungarpur, Rajasthan due to poor maintenance of assets.
6	Centre for Science and	Water harvesting and irrigation structures in

<sup>5</sup> Dams for regulating water flow for irrigation

<sup>6</sup> MGNREGA Sameeksha is an anthology of research studies on MGNREGA between the period 2006-2012, prepared by the Indian Ministry of Rural Development.



	Environment	Jharkhand and Andhra Pradesh were poorly planned and implemented which resulted in reduced participation of communities in the scheme.
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7. The above and various other independent research suggest that the quality of assets has been poor due to the following key reasons:

- **Lack of policy focus on quality of physical assets-** Under MGNREGS, so far, the emphasis has been on providing wage guarantee and therefore quality of assets has been a secondary objective. While there is now growing focus on assets at a central policy level, the local level understanding of MGNREGS as an investment in rural economic growth has been very low.
- **Lack of participatory planning-** The India Rural Development Report, 2013 found that "*Lack of technical capacity at local level and participatory planning are major reasons for poor quality of assets under MGNREGS*". Due to their low status in society, poor and socially excluded groups and women tend to be left out from decision making process. In many cases, due to elite capture, assets with limited economic impact on poor's livelihoods are planned and implemented for the sole purpose of generating wage. Therefore, the potential to improve the income of the poorest and vulnerable people through assets is not realised.
- **Low technical competence of executing agencies-** There is limited technical knowledge on integrated planning and understanding climate related risks on assets. A report by the Comptroller and Auditor General (CAG) India has highlighted the lack of administrative capacity of the village panchayat members to run this scheme in the desired decentralized manner<sup>7</sup>.
- **Lack of evidence on MGNREGS as a climate resilience programme-** The evidence base is very limited on how MGNREGS has contributed to improved resilience of production systems and livelihoods of rural poor. Due to this there has been no concerted effort to integrate climate impacts into the scheme. While MGNREGS is considered by Indian government as one the 24 initiatives for climate change adaptation, awareness of it as an adaptation programme is very low among implementation agencies This has resulted in assets being more sensitive to climate driven extremes while not increasing the adaptive capacities of the rural poor.

8. The need for external assistance to MGNREGS has been generated due to the limited capacity to support overall economic development and improved resilience of vulnerable people even with the significant resources invested under MGNREGS by the Indian Government.

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<sup>7</sup> Role of Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) in Rural Asset Creation in India – An Analysis Dhananjaya K and Prathibha M.S; Journal of Global Economy (ISSN 0975-3931), Volume 7 No 4, October-December, 2011



iii. Project Objectives:

- 9. The proposed programme, Infrastructure for Climate Resilient Growth in India (ICRG-India), will provide Technical Assistance (TA) to the Ministry of Rural Development (MoRD) and three states (Bihar, Odisha and Chhattisgarh) to improve the design and implementation of MGNREGS. The focus will be on assets which lead to economic development and resilience through groundwater recharging, development of micro irrigation facilities and integrated afforestation and horticulture. These assets would enhance livelihood security of the rural poor, particularly those dependent on rain-fed agriculture.
  
- 10. The TA aims to transform MGNREGS by strengthening policy making at the National level, especially through incorporating more research and evidence. It will also transform delivery by building the capacity of state level implementation, scientific and engineering institutions as well as Civil Society Organisations. The programme will demonstrate effective ways of participatory planning, technical design of climate resilient works and implementation of works. Lessons from state level implementation will be fed back to the centre to shape delivery of the entire MGNREGS programme.
  
- 11. The intervention will focus on the inclusion of women and girls, marginal farmers and excluded groups, especially by engaging strongly with local community based organizations such as women Self Help Groups (SHGs). Through participatory planning support, issues such as elite capture will be addressed resulting in more economic benefits and resilience of women and excluded groups. Further, the programme aims to strengthen technical skills of women to enhance their role in planning, construction and maintenance of infrastructure built under MGNREGS.
  
- 12. ICRG will focus on Bihar, Odisha and Chhattisgarh, reaching up to 100 blocks. The blocks will be selected in consultation with the Ministry of Rural Development and state governments during the inception phase. The Blocks will be selected from the most backward Blocks as identified by India's Planning Commission's index. Blocks where basic functioning of MGNREGS is good and there are active local groups, e.g. Bharat Nirmaan Volunteers or Women Self Help groups will be preferred. The programme will directly improve the resilience of nearly 5 million rural poor people in 100 Blocks, and through the lessons learned and processes and policies strengthened it will impact the entire MGNREGS scheme which covers 6500 blocks across India.
  
- 13. Impact and Outcome that we expect to achieve:
  - a) The desired **impact** is reduced vulnerability of the rural poor's livelihoods across India to climate risks, and increased ability to recover from shocks and stresses, especially those due to climate extremes, without compromising their current and future prospects.



- b) The intended **outcome** is improved quality of physical assets under MGNREGS demonstrated in three states of India. The programme will support rural economic growth by improving effectiveness of investment and mainstreaming climate resilience in MGNREGS.
- c) The outcome will be achieved by the following **outputs** produced or delivered directly by the intervention:
  - More capable states able to ensure stronger local implementation including through more capable communities able to undertake improved planning, implementation and monitoring of physical assets under MGNREGS.
  - Enhanced capacity of technical organizations such as academic institutions, technical engineering institutions, training organizations, CSOs and network of technical resource persons such as 'barefoot engineers' for providing effective and sustainable technical support to building resilient assets under MGNREGS.
  - A cross-cutting output to strengthen the MGNREGS systems and processes needed to support construction of better quality infrastructure and improve resilience of rural poor, including through development of innovative tools (especially IT based).
  - Evidence generated and shared nationally to (a) inform a stronger policy focus on the design and implementation of public works based programmes, and (b) strengthen the evidence base for how better physical assets can build more climate resilient livelihoods. This evidence will also be shared regionally and more widely.

**iv. Target beneficiaries:**

14. The targeted beneficiaries of this programme are the poorest people in India whose livelihoods are vulnerable to climate extremes. Assessment during the programme design phase indicated that marginal farmers, women and girls, scheduled castes, scheduled tribes and Dalits are particularly vulnerable to weather extremes. While MGNREGS has been able to provide wage benefit to them, they have not benefitted much from the assets as a community. Through participatory planning, construction of durable assets and improving capacity of local institutions the economic prospects and resilience of these beneficiaries will improve through this programme. The programme will specifically focus on improving skills and capacity of women to carry out technical planning, design and maintenance of infrastructure built under MGNREGS. The programme will provide support at implementation level reaching directly to these beneficiaries in Bihar, Odisha and Chhattisgarh. These states are also the most climate vulnerable states in India with high level of poverty.

**v. Project strategy:**

15. Overall, the programme will support the Ministry of Rural Development which is the nodal Ministry for implementation of MGNREGS. The programme will provide up to £10 million Technical Assistance over four years to support a) central evidence generation, policy development and lesson learning, and b)

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more effective implementation of resilient and productive infrastructure under MGNREGS in three states.

16. DFID will procure the services of a Service Provider (which could be a consortium) to provide this Technical Assistance. DFID will follow its standard procurement process for this selection and engage MoRD effectively in the process through appropriate governance arrangements. Please refer to "Management Arrangement" section for details.

17. There will be an inception phase of the programme in the first six months after award of the contract. By the end of the 6-month Inception Period, following discussion with DFID, the Ministry of Rural Development and other key stakeholders, the Service Provider will be expected to deliver:

- a. An agreed overall Programme Strategy- This will include how the programme will be managed including programme delivery structure at all levels, performance management agreements, communication and dissemination plan etc.
- b. Annual Work Plan with activities for the first 12 months after the Inception Phase
- c. Revised Log frame;
- d. Monitoring and Evaluation Plan.

18. The main outputs and tentative activities to be carried out under this programme are described below:

### OUTPUTS

- I. **More capable states** able to ensure stronger local implementation including through more capable communities able to undertake improved planning, implementation and monitoring of physical assets under MGNREGS.
  - a. Improved capacity of Panchayats and other implementation agencies such as Women Self Help Groups and Civil Society Organizations on participatory and scientific planning of infrastructure under MGNREGS.
  - b. Improved technical capacity of Block and District level engineers and technical staff on designing of climate resilient infrastructure under MGNREGS.
- II. **Enhanced capacity of technical organizations** such as academic institutions, technical engineering institutions, training organizations and barefoot engineers' for providing sustainable technical support to building resilient infrastructure.
  - a. Strengthened capacity of Bare-foot engineers for carrying out technical activities related to planning, design and maintenance of assets.
  - b. Improved capacity of State Institute of Rural Development and other training and academic institutions at state level to integrate climate and sustainable livelihoods in their training programmes.
- III. **Strengthened MGNREGS systems and processes** to support construction of better quality infrastructure and improved resilience of rural poor, including through development of innovative tools.



- a. Innovative IT based tools and processes developed for better planning and monitoring of infrastructure.
- b. GIS based asset mapping systems for MGNREGS infrastructure.
- c. Strengthened capacity of National Informatics Centre (NIC) to integrate climate in existing IT based services related to MGNREGS infrastructure.

IV. **Evidence generated and shared nationally and regionally** to (a) inform a stronger policy focus on the design and implementation of public works based programmes, and (b) strengthen the evidence base for how better physical assets can build more climate resilient livelihoods.

- a. Improved evidence base to link MGNREGS with climate resilience, economic benefits and environmental benefits.
- b. Improved knowledge base of scientific assessments to inform climate resilient planning and design of infrastructure.
- c. Knowledge products and training modules on climate resilient and participatory planning and construction of infrastructure.
- d. Policy briefs and applied research to inform policies that support building resilient infrastructure in rural areas.

**ACTIVITIES**

- **Output 1: Build capacity of implementation agencies and communities in 100 Blocks in three states**
  - Carry out a present scenario assessment analysing current socio-economic context, MGNREGS implementation, institutional arrangements, resource mapping, etc.
  - Carry out climate vulnerability assessment, scientific studies and climate variability assessments in target blocks/districts for climate compatible planning.
  - Handhold Gram Panchayats, women SHGs and other implementation agencies to demonstrate participatory planning and watershed based planning of works under MGNREGS.
  - Carry out training and capacity building activities for Block/District level engineers and technical staff on climate resilient planning and design of infrastructure.
  - Demonstrate climate compatible design of infrastructure identified under MGNREGS in target Blocks.
- **Output 2: Build capacity of technical organizations and experts**
  - Develop training modules for climate resilient planning and design of infrastructure.
  - Training of Barefoot Engineers in 100 Blocks in three states.

- Strengthen capacity of State Institute of Rural Development and other technical training institutions to impart training on resilient infrastructure.
- Develop and establish an institutional mechanism drawing on range of technical experts to provide high quality technical advice and capacity building support to State governments.

- **Output 3: Strengthened MGNREGS systems and processes**

- Assess the current systems and processes and recommend strategies to facilitate integration of climate in critical stages of planning and approval.
- Work with National Informatics Centre team for MGNREGS to integrate climate in IT based applications related to planning and monitoring of assets.
- Develop innovative IT based tools and processes e.g. GIS based asset mapping system, apps for weather related information for farmers, and pilot in intervention blocks.

- **Output 4: Evidence generated and shared nationally and regionally**

- Identify and carry out high quality research and evidence generation work to generate evidence on link of durable assets with adaptation of vulnerable poor.
- Work in close collaboration with National Resource Group and Research Institution Network of Ministry of Rural Development and foster sustainable partnerships for future research and evidence work.
- Support Ministry of Rural Development in reviewing the greening strategy for MGNREGS and implementing priority strategies.
- Develop a strategy for convergence of MGNREGS with climate programmes of Government of India.

19. The private sector is increasingly involved in poverty reduction and climate resilience in India. Many companies are investing in social and environment related programmes, not least due to the recent Corporate Social Responsibility (CSR) Act which mandates 2% of profit earned to be spent for CSR activities. The programme would also explore the scope for public-private partnerships in areas such as skill development of rural poor, especially women.

**vi. Legal Framework:**

20. The programme will be implemented as part of the bilateral relationship between the UK and Indian government. A Memorandum of Understanding between the UK and Indian government will be signed specifically for this programme. DFID will follow its standard procurement processes for programme implementation, including signing a contract with a Service Provider. Compliance with Indian laws such as Foreign Contribution Regulation Act and Income tax requirements of Indian organization will be assessed wherever required.

**vii. Environmental Impact assessment:**

21. The environment impact assessment of the programme is summarized as below:



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- a. *The programme is focussed on minimizing the impact of climate change on vulnerable and poor people.*

According to IPCC, climate vulnerability is a function of exposure, adaptive capacity and sensitivity. Better built assets under MGNREGS would be less sensitive to impacts of climate change particularly flooding. Assets such as irrigation infrastructure, water conservations structures and plantations improve the adaptive capacity of poor by allowing them additional income avenues. The programme will mainstream climate change in MGNREGS implementation system and enhance skills of poor, women on planning, designing and implementation of assets. This will result in building more capable government and communities with enhanced skills and knowledge to tackle climate change issues, strengthening their adaptive capacity. The programme would directly improve resilience of poor in Odisha, Bihar and Chhattisgarh who are highly vulnerable to impacts of flooding and drought. Through demonstrative effect and influencing central policies towards climate resilience the intervention would improve resilience of poor across the country in more than 6000 blocks.

- b. *Programme would result in climate change mitigation and environmental benefits:*

Stronger physical assets would lead to multiple environmental and climate change mitigation benefits. Key benefits include increased soil moisture content, increased water table depth, reduced soil erosion and biodiversity conservation. Reduced soil erosion and increased afforestation activities under MGNREGS through the proposed intervention would directly result in carbon emission reductions by facilitating carbon sequestration.

- c. *Programme would not lead to any land acquisition and diversion of forest land.*

Full compliance to all land and environmental laws of Indian government will be ensured during programme implementation. No land acquisition and diversion of forest land is envisaged under the programme. It will provide technical assistance to strengthen infrastructure which will be planned and approved as per MGNREGS guidelines.

### viii. On-going initiatives:

#### *What is Indian government doing?*

22. The Indian government has largely focused on improving the governance of MGNREGS, addressing issues related to delay in wage payment, transparency and corruption. However, despite limited evidence for designing policies which could lead to building better quality assets under MGNREGS, the government has undertaken a few initiatives, especially:

- a. Set up a guideline that at least 60% of the works constructed under MGNREGS should support agriculture and allied activities;
- b. Developed a strategy for greening rural development in India, including measures to make communities more climate resilient and improve natural resource conservation under MGNREGS;
- c. Initiated a Cluster Facilitation Team (CFT) programme to provide technical support to Panchayat<sup>8</sup> and communities to improve the governance and

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<sup>8</sup> Gram Panchayat is the lowest level governance institution in India in rural areas. There are more than 200,000 Panchayats in 6500 Blocks in India.



implementation of MGNREGS. Key CFT deliverables include ensuring at least 75 days of work for Scheduled Caste/ Scheduled Tribe households, payment within 15 days and facilitating participatory planning of works.

- d. Initiated Integrated Participatory Planning Exercise in 2500 most backward Blocks across the country.
- e. Developed a strategy to link MGNREGS with Green India Mission.

These initiatives are all in their initial stages. Better evidence is needed to fine tune the policies, and more technical capacity, especially at state level, to implement them.

*What are other donors doing?*

- 23. Other donors have concentrated on improving the basic functioning of MGNREGS, e.g. ensuring wage guarantee payments are made to the rural poor. UNDP, in particular, has supported the Ministry of Rural Development since the scheme started. It supports capacity building of communities and other stakeholders through awareness generation and mobilization of youth for participatory planning, education and training.
- 24. GIZ is supporting the Ministry with a small evidence building programme in 12 Gram Panchayats to research how better implementation of MGNREGS (especially improved design and maintenance) can deliver environmental benefits.

*Link with ongoing initiatives:*

- 25. ICRG builds on the UNDP and GIZ programmes and also initiatives of Indian government. The governance improvement support, especially that provided by UNDP, should ensure that our programme can focus squarely on improving the quality of assets and resilience of the poor under MGNREGS. We will engage closely with GIZ's small demonstration programme to incorporate the lessons learned into our programme.

**ix. Technology issues:**

- 26. The proposed programme does not envisage any specific hard core technology deployment. It will bring in technical knowledge and capacity that rests with leading organizations and experts across the world in the areas of climate change, livelihoods and resilient infrastructure.

**x. Management arrangements:**

- 27. The programme will have the following governance structure to ensure strategic oversight and guidance. During the initial phase of the programme, MoRD and DFID will jointly finalize the composition of each Committee. The tentative structure of each committee is explained below.
  - A **National Steering Committee** at central level comprising members of MoRD, DFID and a representative from respective State Governments. This will be co-chaired by MoRD and DFID and will meet bi-annually to review programme progress, provide necessary steer, help the programme to respond to any change in context and develop national level strategies for large scale replication of the results across the country. The National Steering Committee



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could also include representatives from other Ministries including the Ministry of Panchayati Raj and the Ministry of Environment Forests and Climate Change to ensure appropriate convergence of the programme with their programmes. The composition of National Steering Committee will be finalized jointly by MoRD and DFID during initial phase of the programme.

- **State level management committees**, one per state, comprising members of State Rural Development Departments (including MGNREGS, National Rural Livelihood Mission, IWDP) and DFID will be formed. The Management Committee in each State will be chaired by the Secretary Panchayati Raj Department or any equivalent person nominated by him/her. It could include experts nominated by State Governments and DFID. The Management Committee would ensure that the programme achieves its objectives and also develop strategies on scaling up the results across the state. Each State committee would also meet bi-annually. The composition of this committee will also be finalized during inception phase of the programme.

In addition to the above, the National Steering Committee will engage independent experts from civil society, think tanks, academic institutions and private sector for seeking technical inputs as and when required.

28. The Energy, Climate and Growth Unit (ECGU) based in DFID India, will manage and monitor the overall programme with close involvement of DFID India's Procurement section. The core team will have a Senior Responsible Owner (SRO) who will be supported by the Team Leader of ECGU and Programme Managers assigned for this programme. In addition, DFID will draw on support from social, governance and economic advisers for effective implementation of the programme.

#### xi. Means of Finance and Project Budget:

29. DFID will provide **technical assistance up to £10 million** over four years (2015-2019). Finance will be directly provided to a Service Provider which will be selected through DFID's standard procurement process. The Service Provider can be a single entity or a consortium of national and international experts. The indicative programme costs and year wise break-up is provided below:

Table 2: Indicative Programme Costs

Spending Modality	Budget Head	Outputs	Total (£ million)
<b>Component 1:</b>  TA contract with Management Agency (£9 million)	Technical capacity building of implementation agencies and supporting institutions (£7 million)	Output 1: Strengthened technical skills of MGNREGS functionaries and implementation system	5
		Output 2: Enhanced technical capacity of supporting institutions	2
	Research and innovation fund (£2 million)	Output 3: Innovative ICT based tools and processes developed	1
		Output 4: Evidence generated, research and knowledge created and disseminated	1
<b>Component 2:</b>	Strategic activities for	M&E and support during	1



Managed by DFID (£1 million)	immediate response, Monitoring and evaluation (£1 million)	inception period, before Management Agency is contracted)	
		<b>Total</b>	<b>10</b>

Table 3: Indicative break-up of budget year-wise

Year	2015-16	2016-17	2017-18	2018-19	Total
Amount	£1.5 million	£3.0 million	£3.0 million	£2.5 million	£10 Million

**xii. How will expenditure be monitored, reported, and accounted for?**

30. DFID will directly oversee the work of Service Provider. Component wise/ year wise budgets will be set on DFID's online programme management tool. Output based contract will be signed and accordingly Purchase Orders will be created. All expenditure will be against pre-agreed fee rates and project costs between DFID and the Service Provider. Expenditure will be monitored, reported and accounted for on an annual basis, and will form part of the Annual Review cycle. The National Steering Committee will be updated about the programme expenditure in the bi-annual meetings. In addition, quarterly updates on expenditure will be provided to Department of Economic Affairs, Ministry of Finance.

**xiii. Time frame:**

31. The programme will begin from the date of signing the Memorandum of Understanding between Government of UK and India. The likely start date of the programme in this context is July 2015. The detailed time wise activity chart will be prepared during the initial inception phase of the programme and shared with the Ministry of Rural Development for their inputs. An indicative year wise spend of programme budget is shown in Table 4 above.

**xiv. Risk analysis:**

32. The key programme risks and their mitigation strategies are set out in Table 5:

Table 4: Programme risks

	Risk	Prob.	Impact	Mitigation strategy
		H/M/L		
1.	Government makes modifications on MGNREGS goals, priorities and implementation processes.	L	H	<p>The probability of this risk is low as the programme is designed to help deliver the new government's focus on MGNREGS as an investment in rural economic growth.</p> <p>The programme has been designed in close collaboration with the top officials in the central Ministry of Rural Development.</p>



				<p>Flexibility would be kept under the programme to accommodate procedural changes to how MGNREGS is implemented.</p> <p>The Steering Committee and State Management Committees will advise on any potential risks and suggest modifications if required.</p>
2.	Implementation weaknesses / corruption and/or other scandals at national or state level adversely affect reputation	M	H	<p>At State level, the programme would work in only those pilot Blocks where overall governance of MGNREGS is good. The Ministry has also committed to provide effective support on this aspect. In addition, the main objective of the programme is to strengthen MGNREGS system's capacity on planning, implementation and monitoring of assets.</p> <p>Risks would be further mitigated through independent monitoring of the programme and a proactive communication strategy.</p>
3.	Reduction in economic growth rates (national and state) erodes commitment to progress on poverty and rural livelihoods in practice.	L	M	<p>We will monitor the situation in programme areas. Work with national, state and local government proactively.</p>
4.	Project functionaries at district, block and village level have inadequate knowledge of schemes	M	H	<p>This will be a key focus of capacity building. The government has taken various initiatives recently to enhance knowledge and awareness about MGNREGS. In the intervention States, we will also benefit from current DFID support to strengthen MGNREGS governance.</p>
5.	Private sector unwilling to cooperate	L	L	<p>The private sector will be engaged in a strategic way through participation in the Independent Advisory Group.</p>
6.	NGOs, civil society, technical institutions unwilling or unable to cooperate	L	M	<p>Engaging and building their capacity will be a key focus of the programme. Engage with service providers to ensure services are delivered and to set standards for performance. Extra weight would be given to contractors which have experience of successfully managing a number of CSOs and technical partners.</p>
7.	Local political elites and vested interests are able to subvert to	L	H	<p>The mitigation strategy would be (a) careful selection of Blocks, (b) engage and maintain dialogue with elites, and (c) to work in</p>



	disrupt implementation of the programme.			coalition with others – especially civil society organisations.
8.	Extremists disrupt delivery of sustainable rural livelihood programmes	M	M	Maintain effective local dialogue and contact with law enforcement agencies. Blocks with limited extremist presence would be selected. Also, Duty of care for suppliers will be ensured by DFID.
9.	Major natural disaster disrupts implementation of the programme.	M	M	The risk of a major natural disaster occurring in part of the country high, but impacts would probably be limited to one region. Integrated natural resource management and watershed principles of designing physical assets would reduce the impact of weather extremes on physical assets.

**xv. Evaluation:**

- 33. A Comprehensive Monitoring and Evaluation Framework will be designed by the Management Agency in the inception phase of the programme. The framework will be based on the Theory of Change (Annex I) and Log Frame<sup>9</sup> (Annex II) and will clearly specify the delivery of the expected results. A six month inception phase will enable collection of baseline data. The Framework will be agreed with DFID and by the Steering Committee of the programme.
- 34. Progress will be reviewed on a quarterly basis by the SRO and on half yearly basis by the Steering Committee and State Management Committee. The Management Agency will produce a quarterly report which will form the basis of the six monthly reviews.
- 35. Annual Reviews will be undertaken in line with standard DFID requirements. This will be led by the SRO or by independent experts commissioned by DFID.
- 36. The Annual Review at the end of Year 2 will be informed by an independent assessment of progress against planned results. This will inform discussion in advance of the contract break (which is set at 18 months after the start of the contract) to agree forward strategic plans and work plans, identify key lessons and risks, and consider what changes are needed to maximise the likelihood that long term outcome indicators are achieved.
- 37. A Completion Review will be carried out at the end of Year 4 to assess the overall performance, sustainability and impact of the programme.
- 38. An independent impact evaluation (commissioned and managed by DFID) will be undertaken at the end of the programme year.

**xvi. Success criteria:**

- 39. The success of the programme will be measured as per the log-frame of the programme. See Annex II.

<sup>9</sup> The Log Frame is a dynamic document and will be revised as the programme matures.



**xvii. Financial and economic analysis:**

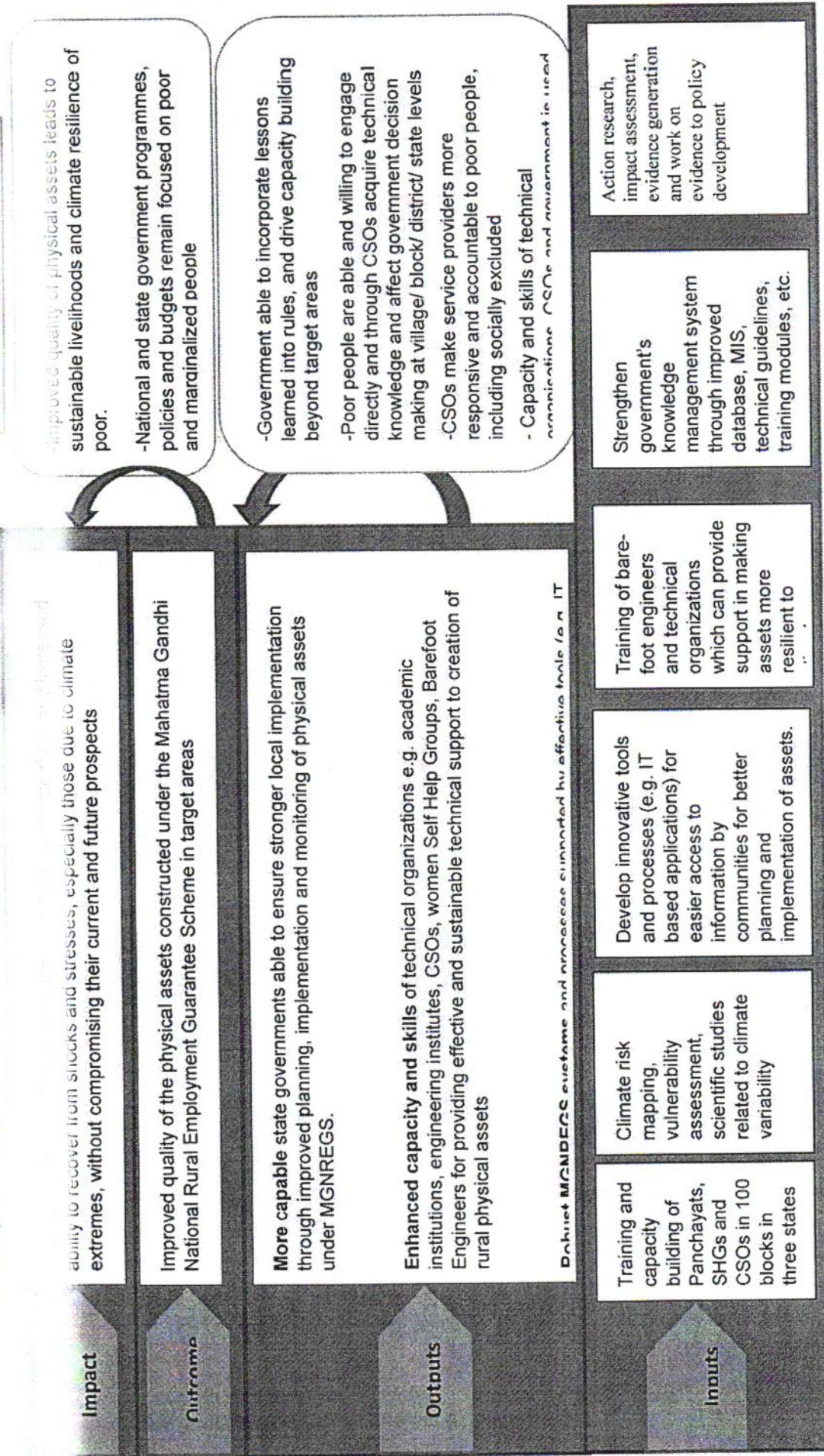
- 40. The Economic Appraisal of this programme is based on the premise that the programme will (a) improve the economic benefits realized by the rural poor who depend on these assets for their livelihoods, and (b) reduce the loss of public investment due to damages to these assets from weather extremes. While the programme would deliver these economic benefits in the implementation Blocks directly, DFID's focus on strengthening state capacity as well as on the implementation system at all levels would help scale up these benefits across the country.
- 41. There is limited evidence and a lack of comprehensive research on economic benefits from rural assets built under MGNREGS. Range of case studies is available which suggests that many assets get washed away due to monsoon rains and also assets are not used by beneficiaries due to faulty planning. Findings of some of these case studies are shown in table above.
- 42. The proposed programme will improve the percentage of assets which provide sustainable livelihoods for poor and which can withstand impact of climatic change on flooding and drought. These will improve the incremental income of rural poor especially marginal farmers by increasing the irrigated area, increase in groundwater table and soil moisture content and productivity of plantation/plantation. By protecting public investment made in these infrastructures from weather extremes, the proposed programme will also avoid loss of public money which can be used for other development priorities of Indian government.
- 43. In addition to the above are the direct economic benefits, the proposed programme will also provide indirect benefits in terms overall improvement of ecosystem services and easier access to water for domestic use. As stated earlier in the programme design, the proposed programme will invest in strengthening skill base of rural youth especially women which will provide benefits which accrue over the course of time.
- 44. During the inception phase and also over the programme period, baseline data and evidence will be generated on economic benefits of infrastructure built under MGNREGS to inform future policy making at the central and state level.

**xviii. Sustainability:**

- 45. The programme will support the Indian government's plan of transitioning MGNREGS from a safety net scheme to one that stimulates rural growth through investment in productive assets which provide sustainable employment to rural poor. Thus the government is committed to the MGNREGS and has strong incentives to embed the results of this programme, which should lead to a sustainable outcome.
- 46. There are also strong incentives for local government to build better quality and productive assets under MGNREGS. The benefit of MGNREGS has so far reached primarily to wage earners and not so much to communities as a whole. Better planned and better quality assets will provide economic benefits to villages in terms of improved agriculture and livelihood opportunities.
- 47. The programme will strengthen capacity and technical skills of local implementation agencies such as barefoot engineers. It will also strengthen the systems and processes at local level. Enhanced technical capacity at local level will ensure that infrastructure under MGNREGS is better planned, constructed and maintained after the programme ends.



# Annex - I Theory of Change







Finance is taken as adaptation finance is not established yet. To be developed during inception phase.

Assumptions

effectively delivered for achieving the incremental benefits.

Outcome Indicator	Status	Source				Target (date)
		Milestone 1	Milestone 2	Milestone 3- Year 3	Milestone 3- Year 3	
Outcome Indicator 2 Agriculture productivity in MGNREGS Blocks****	Planned				20-30%	
	Achieved					
Outcome Indicator 3 Increase in value of ecosystem services generated or protected	Planned					
	Achieved					
Outcome Indicator 4 Reduction in damages and loss to public infrastructure due to climate extremes	Planned				0	£15 million



Achieved

<p>Better capacity of state governments to ensure stronger local implementation agencies and communities for improved planning, implementation and monitoring of physical assets under MGNREGS.</p>	<p>Governance structure for implementation of programme established (cross cutting for all the outputs)</p>	<p>Planned</p>	<p>0</p>	<p>MoU with Government of India signed; Steering committee at central level set up; State level Management Committees set up; Management Agency selected and contracted.</p>	<p>Independent Advisory Group formed.</p>	<p>Central and State governments continue focus on improving effectiveness of MGNREGS implementation.</p>
<p>Achieved</p>						
<p>Source</p>						
<p>MGNREGS MIS, Panchayat data, Programme progress reports, Evaluation reports</p>						
<p>Output Indicator 1.2</p>			<p>Baseline</p>	<p>Milestone 1</p>	<p>Milestone 2</p>	<p>Milestone Target (date)</p>
<p>% of poorest and vulnerable people report inclusion of livelihood assets in MGNREGS Shelf of works. ****</p>		<p>Planned</p>	<p>0</p>			<p>50%</p>
<p>Achieved</p>						
<p>Source</p>						
<p>MGNREGS MIS, Panchayat data, Programme progress reports, Evaluation reports</p>						
<p>Output Indicator 1.3</p>			<p>Baseline</p>	<p>Milestone 1</p>	<p>Milestone 2</p>	<p>Milestone Target (date)</p>

		Planned		50%			
		MGNREGS MIS data					
IMPACT WEIGHTING (%)	Output Indicator 1.4	Baseline	Milestone 1	Milestone 2	Milestone 3- Year 3	Target (date)	
30%	% of staff in MGNREGS implementation system with climate change planning, implementation and monitoring competencies	Assessment of existing capacity to be done during inception phase and baseline will be developed..				50%	
		Achieved					
			Source				
						RISK RATING Medium	
*****	Poorest and vulnerable would include people from excluded groups e.g. SCs/STs/Dalits and below poverty line. Baseline in the Blocks to be established during inception phase once the Blocks are finalized.						
*****	Current completion rate as per MGNREGS MIS is between 30-50% in the three states						
OUTPUT 2	Output Indicator 2.1	Baseline	Milestone 1	Milestone 2	Milestone 3- Year 3	Target (date)	Assumptions
Enhanced capacity of technical organizations such as academic institutions, technical engineering institutions, training organizations, CSOs	Total number of Bare-foot Engineers trained; Number of women bare-foot engineers	0				2000; 1000	Assuming central and state government will pay the remuneration of the barefoot engineers and
		Achieved					



technical organizations

Source

planning, measurement of works e.g. institutional networks, training divisions in State Institute of Rural Development, National Institute of Rural Development.

Achieved

Source

Project progress reports, Annual reviews

RISK RATING

Medium

**OUTPUT 3**

Innovative tools (e.g. IT based) and effective processes to strengthen MGNREGS systems

**Output Indicator 3.1**

Number of IT based tools developed for planning, execution and monitoring of assets and tested in pilot Blocks e.g. GIS based tool for asset mapping, ICT based applications for planning and tracking progress of works, etc.

Planned

0

Baseline

Milestone 1

Milestone 2

Milestone 3- Year 3

Target (date)

5

Assumptions

Achieved

Source

RISK RATING

Low

Reviews, impact evaluations, MGNREGS website

**IMPACT WEIGHTING (%)**

20%

**OUTPUT 4**

**Output Indicator 4.1**

Baseline

Milestone 1

Milestone 2

Milestone 3- Year 3

Target (date)

Assumptions

<p>Evidence generated and analyzed regionally to assess climate resilience of rural livelihoods and physical assets</p>	<p>#scientific assessments to assess climate risks/variability (one per State)</p>	<p>Planned</p>	<p>3</p>
<p>State Government (Orissa) and State Governments in Odisha, Bihar and Chhattisgarh</p>	<p>Achieved</p>	<p>Source</p>	<p>5</p>
<p><b>IMPACT WEIGHTING</b> (%)</p>	<p><b>Output Indicator 4.2</b></p>	<p>Planned</p>	<p>5</p>
<p>20%</p>	<p>New policy guidelines adopted by MoRD and State Governments e.g. include asset quality in MGNREGS MIS, climate resilience as part of impact assessment, etc.</p>	<p>Achieved</p>	<p>Source</p>
<p>MGNREGS website; Ministry of Rural Development</p>		<p>Source</p>	<p><b>RISK RATING</b> Medium</p>