

## **VERIFICATION PROTOCOL**

### **DLI#3: PUBLIC FINANCING OF APPROVED WATER SECURITY PLANS THROUGH CONVERGENCE OF ONGOING/ NEW SCHEME**

#### **1. BACKGROUND**

DLI#3 provides an incentive to focus financing on groundwater to priority measures identified through the bottom-up groundwater planning process i.e. the water security plans. It will help to align the implementation of various programs and improve the effectiveness of financing on groundwater by moving to more coordinated investment in sustainable groundwater management. The DLI is defined as the aggregate amount of funds (excluding Atal Bhujal Yojana incentive fund) spent in a given Year for implementation of the interventions of approved WSP activities.

#### **2. VERIFICATION FRAMEWORK**

The verification protocol for incentive claim under DLI#3 comprises of three broad steps.

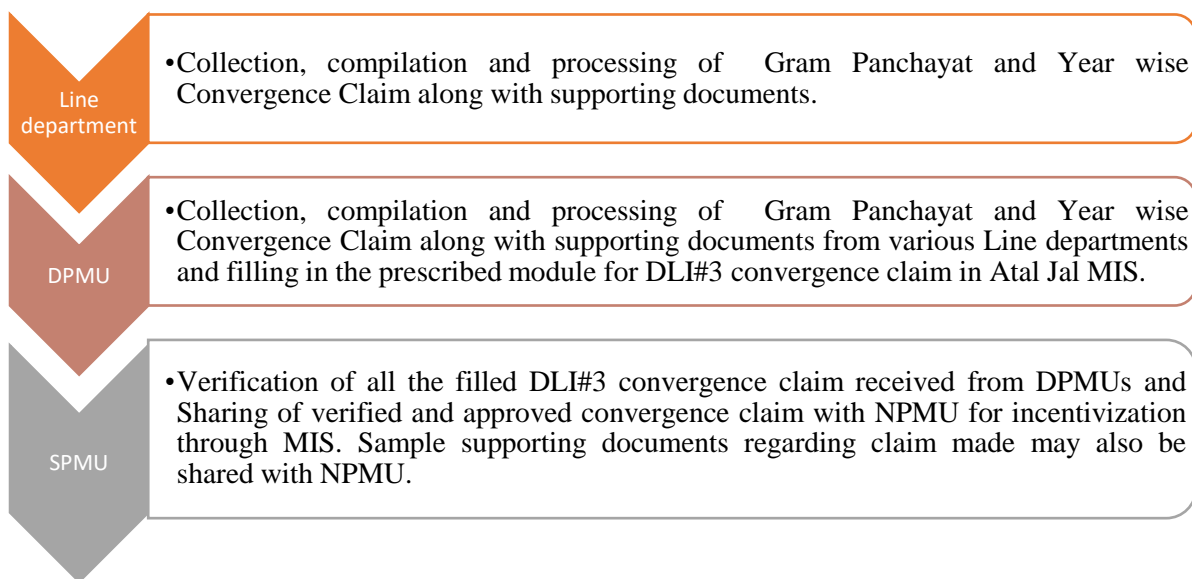
**Step I:** Collection and collation of data by SPMU / DPMU in respect of expenditures incurred through convergence of ongoing / new schemes by various line departments and through other means towards implementation of interventions of approved Water Security Plan (WSP).

**Step II:** Submission of DLI#3 incentive claim by the SPMU in the prescribed format duly filled in the MIS and verified based on the documentary proof.

**Step III:** Desktop and physical Verification of the submitted convergence claim under DLI#3

##### **2.1 Collection and collation of convergence claim data from line departments**

- All the states (SPMU) have to collect Gram Panchayat and year wise convergence data from various line departments for the implementation of approved WSP activities viz demand side and supply side both as per the devised mechanism shown below.



While compiling the data of expenditure incurred from various line departments / sources for a specified period against the convergence claim of DLI#3 and transferring the data in the DLI#3 MIS claim module, the following points may be considered.

- In case if any State finds it difficult to achieve the convergence through existing/new State/Central Government Schemes then the expenditure may be made by any of the agencies such as under CSR/Trust/NGO and shall be considered while claiming the incentive amount after due authentication of documents,
- The expenditure under self-financing, such as drip/ sprinkler installed by a farmer through his own resources may be considered eligible under incentive claim.
- Any expenditure towards activities forming part of WSP undertaken from ongoing Gram Panchayat schemes such as GPDP/Finance commission etc., may be considered under incentivization.

The incentive claims against the following points shall not be considered eligible.

- If the interventions implemented on ground with convergence is not at all proposed in approved WSP.
- If the claimed amount against the number of structures constructed on ground is more than the numbers proposed in WSP for supply side interventions,
- Convergence claim made under farmer share in case of partially subsidized scheme such as PMKSY etc.

## **2.2 Submission of DLI#3 incentive claim by the SPMU in the prescribed DLI#3 MIS module**

- DLI#3 MIS module contains two section viz., GP wise WSP approved physical and financial targets of both demand side and supply side interventions and the other section

comprises actual interventions implemented on ground through convergence with various line departments and any other means both physical and financial aspects.

- While entering convergence claim for a Gram Panchayat in MIS module, following details needs to be entered regarding demand side claim
  - Financial year of subsidy disbursement,
  - Name of convergence Line Department
  - Name of Scheme under which convergence happened
  - Expenditure incurred other than Atal Jal incentives
  
- While entering convergence claim for a Gram Panchayat following details needs to be entered regarding supply side claim-
  - Work Start date & completion Date
  - Latitude & Longitude of the structures claimed.
  - Name of convergence Line Department
  - Name of Scheme under which convergence happened.
  - Expenditure incurred other than Atal Jal incentives
  
- The SPMU should keep all supporting documents related to demand side and supply side interventions against which the incentive claim has been made from line departments / other sources under their custody. The same may be produced at the time of physical verification by QCI or any authorized person.

**2.3 Verification of the submitted convergence claim** - Verification of DLI#3 convergence claim shall be done in two stages

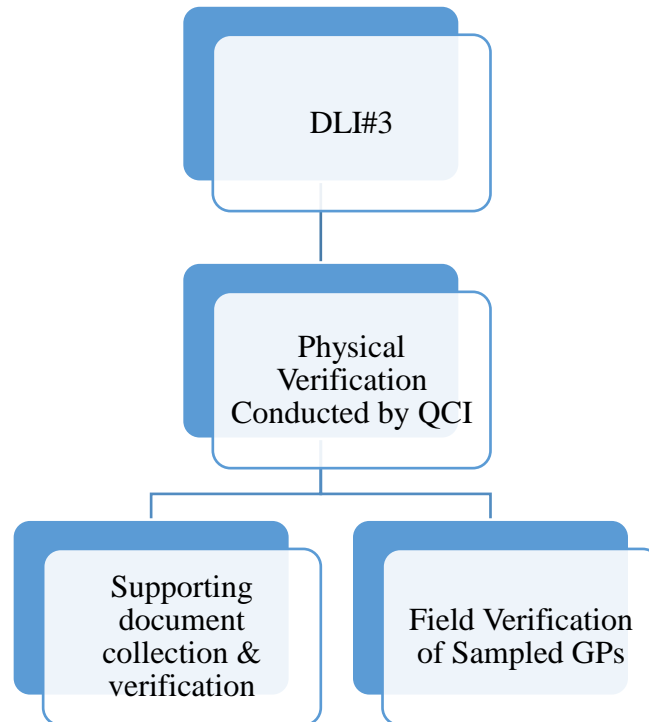
**Stage - I: Desktop assessment of the submitted convergence claim at NPMU**

Desktop assessment of the submitted convergence claim will be done by NPMU to arrive at admitted claim based on the claim document submitted by SPMU, the process followed are as below

- Assessment of the submitted claim with approved WSP to ensure that the Gram Panchayat wise implemented interventions as claimed in the MIS module DLI#3 are in line as proposed in the approved WSP.
- Submitted Convergence claimed shall also be assessed on various parameters via.
  - Whether the claimed amount is appropriate/non erroneous/ realistic against the claimed interventions;
  - Whether claimed interventions can be incentivized under DLI#3 as per the objectives of the scheme.
- After the desktop assessment, NPMU shall provide the admitted convergence claim template to QCI for further physical verification.

## Stage – II: Physical Verification by QCI

The physical verification by QCI as TPGVA shall be done in the following ways-



- QCI will take 20% of the GPs as sample for physical verification from each District. Each District will be divided into 4 quartiles based upon convergence amount in a given Gram panchayat under this DLI and then sample will be collected from each Quartile by using weightage average which shall be calculated on the basis of 2 parameters-viz., number of intervention and average expenditure of intervention.
- Document Verification: QCI shall visit SPMU to collect and verify supporting documents pertaining to convergence amount claimed by the State.
- Field Verification: QCI shall verify the demand-side and supply-side interventions under DLI#3 by visiting all sampled Gram Panchayats:
  1. Demand-side interventions will be assessed via individual interviews of the beneficiaries'/community members as well as by physically examine the interventions, wherever available.
  2. Supply-side interventions will be assessed through inspection of structures constructed or renovated on random basis along with citizen feedback interviews.

The field verification shall be conducted with the assistance of on-field team consisting of SPMU/DPMU, Gram Panchayat officials and DIPs