

## 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.

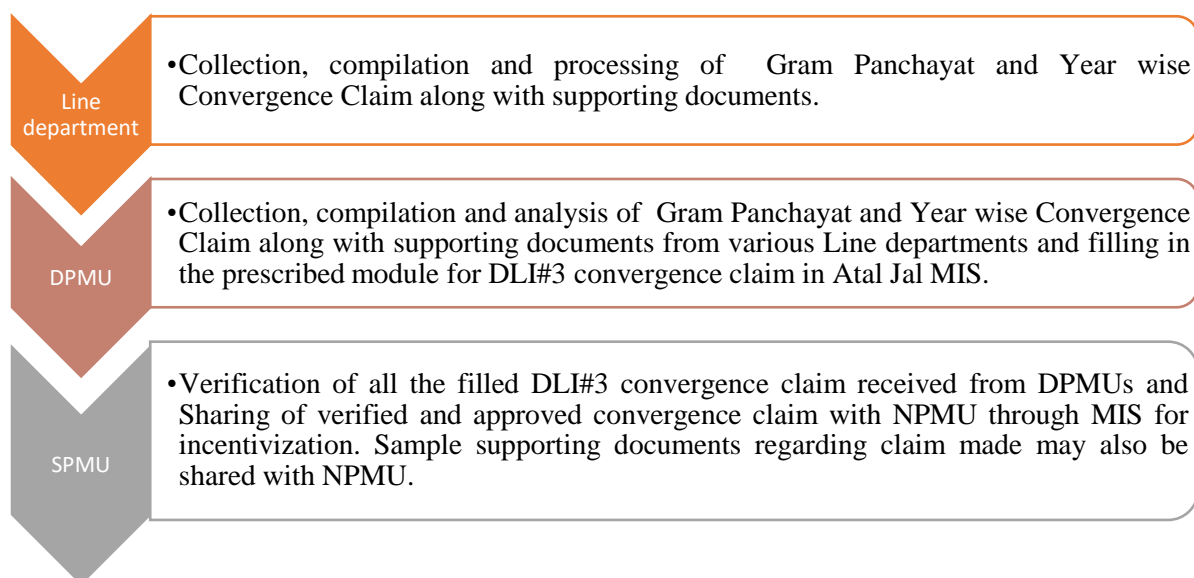
**Step I:** Collection and collation of data by SPMU / DPMU in respect of expenditures incurred through convergence of ongoing / new schemes by various line departments and through other means towards implementation of interventions of approved Water Security Plan (WSP).

**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

2.1.1 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.



2.1.2 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.

2.1.3 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.
- For supply side interventions- If the claimed amount against the number of structures constructed on ground is more than the numbers proposed in WSP.
- 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 DPMU/SPMU in the prescribed DLI#3 MIS module**

2.2.1 **MIS module of DLI#3**- It contains two sections 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. The claim can be entered in MIS module of DLI#3 available in Atal Jal Website by logging in the 'Monitoring & Evaluation Modules' of MIS. A detailed user manual has also been uploaded in the MIS DLI#3 module which outlines the procedure to be followed by user-DPMU/SPMU while filling expenditure claim along with description of module, sub-modules and uploading of sample source document. A template for convergence claim entry in MIS module is attached as Annexure I.

While entering demand side convergence claim for a Gram Panchayat in MIS module, following details needs to be entered regarding demand side claim

- Expenditure incurred other than Atal Jal incentives.
- Area covered under convergence in hectare.
- Name of Line Department through which convergence happened.
- Name of Scheme under which convergence happened
- Total Number of Beneficiary
- Financial year of subsidy disbursement,

While entering supply side convergence claim for a Gram Panchayat following details needs to be entered regarding supply side claim-

- Expenditure incurred other than Atal Jal incentive.

- Name of Line Department through which convergence happened.
- Name of Scheme under which convergence happened.
- Status of work (Ongoing/completed).
- Work Start date & completion Date.
- Latitude & Longitude of the structures claimed.

### **2.2.2 Points to be adhered by SPMU/DPMU during submission/verification of convergence claim under DLI#3**

- The claim data entered by DPMUs in the MIS is to be verified and approved by SPMU for onward submission to NPMU. The approved claim from the States shall be accepted with the assumption that all relevant documents by different line departments/CSR/NGOs/Trusts, towards incentive claim at Gram Panchayat level have been duly checked and verified by SPMU and approved by Project Director, SPMU.
- SPMUs to ensure availability of all primary/original source documents maintained by the line departments supporting incentive claim at SPMU, so that the same can be produced at the time of verification by QCI/ any authorized person along with the additional compilation.
- Below mentioned supporting documents may be considered as primary/original supporting documents for further verification of claim.

**In case of demand side** – Line departments’ portal generated documents containing details of Name of Department and Scheme, type of Intervention, convergence area and amount along with other relevant beneficiary details which is undersigned by competent authority (line department official) along with a covering letter from line department to certify the same.

In cases of non- availability of portal generated documents, Line department’s originally maintained documents containing details of Name of Department and Scheme, type of Intervention, convergence area and amount along with other relevant details which is undersigned by competent authority (line department official) along with a covering letter from line department to certify the same.

**In case of supply side** – Line departments’ portal generated documents containing details of convergence department and scheme, name and number of Structure constructed, convergence expenditure, latitude & longitude of structure along with other relevant details undersigned by competent authority (line department official) with a covering letter from line department official to certify the same.

In cases of non- availability of portal generated documents, Line departments’ originally maintained documents viz., expenditure sanction/approval letters/work order containing details of convergence department and scheme, name and number of Structure constructed, convergence expenditure, latitude & longitude of structure along with other relevant details undersigned by competent authority (line department official) with a covering letter from line department official to certify the same.

- Convergence under crop shifting should be claimed based on field verified data of line department. Claim for distribution of seed won’t be accepted unless it is field verified by the line department.
- The supporting documents on crop shifting from line departments/ CSR/NGOs/gram panchayat should have GP wise beneficiary level data of existing high water consuming crops, replacing low water consuming crops and area of crop shifting.

- Supporting documents pertaining to claim through self-financing shall be certified by the concerned Panchayat Secretary/ Sarpanch mentioning beneficiary details, area covered, expenditure incurred, name of activities implemented on field and other relevant details.
- Department wise sample source document for each intervention in demand and supply side needs to be uploaded in the DLI#3 module of MIS. In case of crop shifting claim, all the source documents to be uploaded in MIS for technical verification at NPMU.

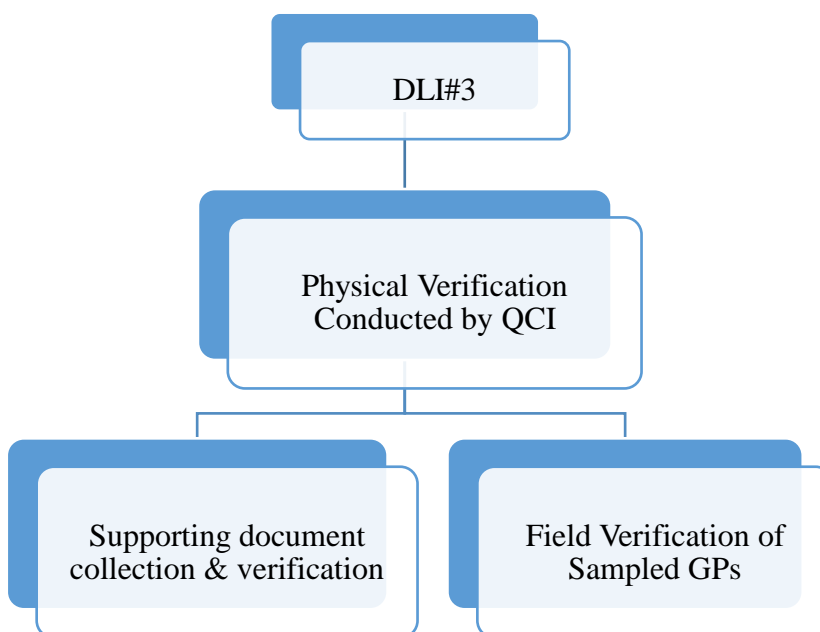
**2.3 Verification of the submitted convergence claim** - Verification of DLI#3 convergence claim shall be done in two stages

**Stage - I: Desktop assessment of the submitted convergence claim at NPMU-** Desktop assessment of the submitted convergence claim shall be done by NPMU to arrive at admitted claim based on the claim document submitted by SPMU, the process followed is 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 viz.
  - Whether the claimed amount is appropriate/non erroneous/ realistic against the claimed interventions. Any inconsistency in the claim data will be highlighted to the SPMUs for proper justification.
  - 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-



- **Sampling-** 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 interventions and average expenditure of intervention
- **Document Collection:** QCI shall visit SPMU/DPMU office to collect and verify supporting documents pertaining to convergence amount claimed by State. Document verification of the submitted claim of DLI#3 shall be carried out based on copy of original documents collected from the Line department office at SPMU/DPMU level. QCI shall consult line department if required during document collection. QCI shall verify supporting documents
  - For supply side -Expenditure sanction/ approval letters and work orders issued for construction of proposed structures.
  - For demand side- beneficiary list along with the amount, either downloaded from the portal or scanned copies. The scanned copies must be countersigned by the competent Authority of the line departments.
- **Document Verification:** After collecting the primary source documents from all the States, QCI shall carry out desktop verification of the claimed convergence for sampled gram panchayats from the claim data shared by NPMU after technical assessment.
- **Field Verification:** QCI shall verify the demand-side interventions and supply-side structures under DLI#3 which includes the following:
  - Demand-side interventions will be assessed via individual interviews of the beneficiaries'/community members. During the citizen interaction, 50% of beneficiaries of demand-side intervention (1st April 2023 – 30th September 2023) should be mandatorily present. QCI shall also physically inspect the demand side interventions, wherever available.
  - Supply-side interventions will be assessed through physical inspection of the structures constructed or renovated at all the sampled GP along with citizen feedback interviews.
  - QCI shall collect the geo-tagged photographs along with Video photography of the demand-side interventions and supply side structures that has been claimed by the State in third round of verification.

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

Convergence Expenditure Claim Other Atal Bhujal Yojana Share (Phase 1 [April 2023 - September 2023])		
Demand Side Proposed Under WSP		
State Name :	District Name :	Block Name :
Maharashtra_27	Nashik_487	Sinnar_4490
Gram Panchyat Name :	GP Center Point (Latitude) :	GP Center Point (Longitude) :
Shrirampur( Shindewadi)_183713	19.88146332	74.23857014
Financial Year :	Demand Side Interventions :	Department Name :
2023-24	Drip	Department of Agriculture
Scheme Name / Possible Funding Source :	Area Proposed Under Intervention (ha) :	Approximate Estimated Cost (in lakh) :
PMKSY	80.00	28.50
Total Area Under Conventional Irrigation (ha) :	Total water demand (ha m) :	Reduction in water demand (ha m) :
83	28.83	11.41
Convergence Expenditure Claim (Phase 1 [April 2023 - September 2023])		
Year Of Subsidy Disbursement :	Department Name :	Scheme Name :
Phase-1(April-September 2023-24)	--Select Department Name --	--Select Scheme Name --
Area Covered (ha) :	Total Number of Beneficiary :	Expenditure incurred other than Atal Jal (in lakh) :
Enter Area Covered (in ha)	Enter Number of Beneficiary	Enter Expenditure incurred other than Atal Jal (in lakh)
Remark, if any :		
Enter Remark		
<input type="button" value="Save"/> <input type="button" value="Close"/>		

**DLI#3 MIS template for convergence claim entry- Demand side**

### Convergence Expenditure Claim Other than Atal Bhujal Yojana Share (Phase 1 [April 2023 - September 2023])

#### Supply Side Proposed Under WSP

State Name :	District Name :	Block Name :
<input type="text" value="Maharashtra_27"/>	<input type="text" value="Nashik_487"/>	<input type="text" value="Sinnar_4490"/>
Gram Panchyat Name :	GP Center Point (Latitude) :	GP Center Point (Longitude) :
<input type="text" value="Gonde_183854"/>	<input type="text" value="19.78870891"/>	<input type="text" value="74.05537798"/>
Village Name:	Financial Year:	Type of Supply Side Structure :
<input type="text" value="Gonde"/>	<input type="text" value="2023-24"/>	<input type="text" value="Water Conservation Structure"/>
Annual GW Recharge/Effective Storage Available for Use (ha m) :	Department Name:	Scheme Name / Possible Funding Source :
<input type="text" value="0.38"/>	<input type="text" value="District Soil and Water Conservation Officer Department"/>	<input type="text" value="Other"/>
Other Scheme Name / Possible Funding Source :	Name of Structure (Proposed) :	Latitude of proposed structure :
<input type="text" value="ABHY"/>	<input type="text" value="Repairing OF PT"/>	<input type="text" value="19.78870891"/>
Longitude of proposed structure :	Total Approximate Estimated Cost(in lakh) :	
<input type="text" value="74.05537798"/>	<input type="text" value="103.70"/>	

#### Convergence Expenditure Claim (Phase 1 [April 2023 - September 2023])

Work Start Date :	Work End Date :	Type of Work :
<input type="text" value="dd-mm-yyyy"/>	<input type="text" value="dd-mm-yyyy"/>	<input type="text" value="Select Type of Work"/>
Status of Work :	Latitude of structure (Decimal Degree) :	Longitude of structure (Decimal Degree) :
<input type="text" value="Select Status of Work"/>	<input type="text" value="Enter the numeric value"/>	<input type="text" value="Enter the numeric value"/>
Department Name :	Scheme Name / Possible Funding Source :	Expenditure incurred other than Atal Jal (in lakh) :
<input type="text" value="--Select Department name--"/>	<input type="text" value="--Select Scheme--"/>	<input type="text" value="Enter Expenditure incurred other than Atal Jal (in lakh)"/>
Remark, if any :		
<input type="text" value="Enter Remark"/>		

Save Close

**DLI#3 MIS template for convergence claim entry- Supply side**