

VERIFICATION PROTOCOL

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

4th Round of verification of DLI#3

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.

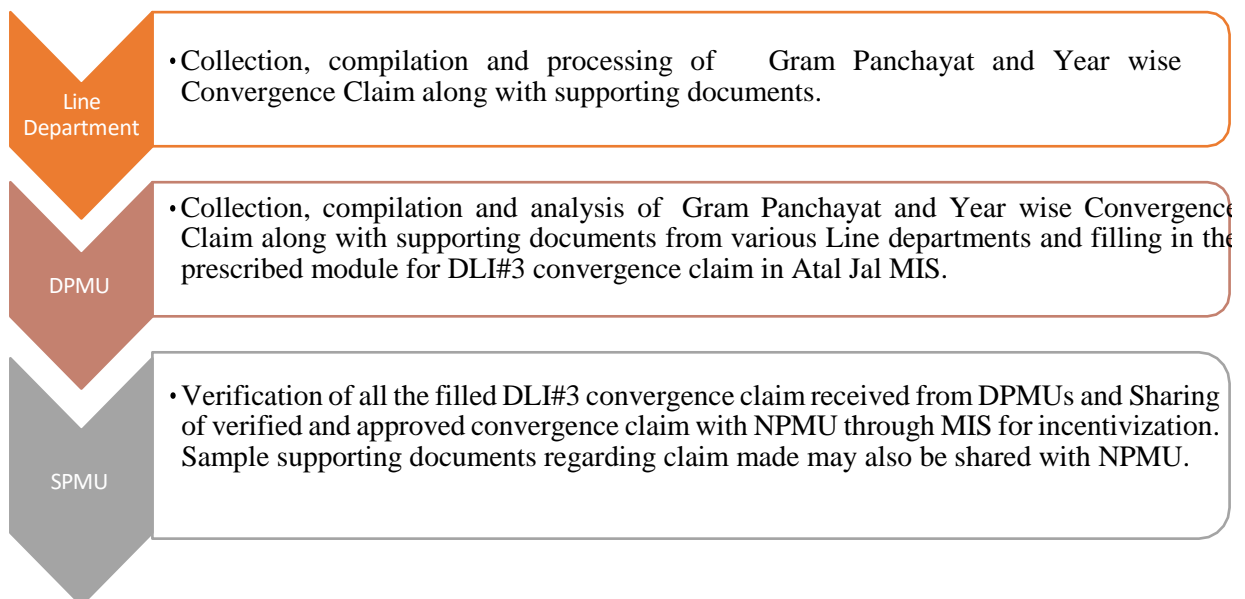
Step I: Collection and collation of convergence data by SPMU / DPMU in respect of expenditures incurred through convergence of ongoing / new schemes by various line departments and through other means towards implementation of interventions of approved Water Security Plan (WSP).

Step II: Submission of DLI#3 convergence 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 convergence 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 convergence 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 convergence 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 convergence 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, claim cost 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.

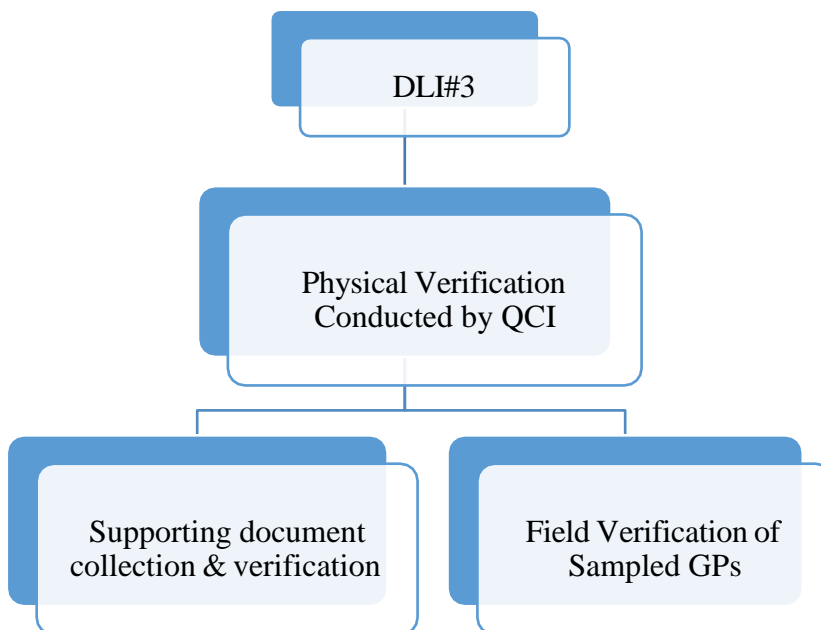
2.3 Verification of the submitted convergence claim - Verification of DLI#3 convergence claim shall be done in two stages

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 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/Line Department office to collect the 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 also visit the Line Department to confirm that expenditure claimed is between 1st October 2023 to 31st March 2024 for Phase2 and between 1st April 23- September 23 for the left over Phase1 claim (*if state has claimed left over Phase1 convergence claim in MIS*). In addition to the below mentioned source documents, QCI shall also collect the Annexure – II of the verification protocol from SPMU.
 - **For supply side** – Documents including expenditure sanction/ approval letters and work orders issued for construction of claimed structures names, locations, scheme names, construction/renovation years, and expenditures. SPMU shall also submit the geo-tagged photographs of structures claimed by the State.
 - **For demand side** – Documents including beneficiary list along with the amount, beneficiary lists detailing names, interventions, scheme names, expenditures 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 original source documents from all the States, QCI shall carry out desktop verification of the claimed convergence data of sampled Gram Panchayats that were shared on MIS by NPMU after desktop assessment.
- **Field Verification:** QCI shall verify the demand-side interventions and supply-side structures under DLI#3 includes the following:
 1. Demand-side interventions will be assessed via individual interviews of the beneficiaries. During the beneficiary interaction, 50% of beneficiaries of demand-side intervention should be mandatorily present. QCI shall also physically observe the demand side interventions, wherever available.
 2. Supply-side structures will also be assessed through physical inspection of structures constructed or renovated between (1st October 2023 – 31st March 2024 for Phase 2) and (1st April 23- September 23 for left over Phase1, if claimed) at all the sampled GPs along with citizen feedback interviews.
 3. 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 fourth round of verification.

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

Convergence Expenditure Claim Other than Atal Bhujal Yojana Share (Phase 2 [October 2023 - March 2024])																																															
Demand Side Proposed Under WSP																																															
State Name :	District Name :	Block Name :																																													
Haryana_6	Sirsa_74	Ellenabad_548																																													
Gram Panchayat Name :	GP Center Point (Latitude) :	GP Center Point (Longitude) :																																													
Amrisar Khurd_265857	29.49612272	74.69101775																																													
Financial Year :	Demand Side Interventions :	Department Name :																																													
2023-24	Sprinkler	MICADA																																													
Scheme Name / Possible Funding Source :	Area Proposed Under Intervention (ha) :	Approximate Estimated Cost (in lakh) :																																													
PMKSY	21	24.75																																													
Total Area Under Conventional Irrigation (ha) :	Total water demand (ha m) :	Reduction in water demand (ha m) :																																													
1483.0000	815.65	3.46																																													
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Convergence Expenditure Claim Other than Atal Bhujal Yojana Share (Phase 2 [October 2023 -March 2024])

Supply Side Proposed Under WSP

State Name : <input type="text" value="Haryana_6"/>	District Name : <input type="text" value="Sirsa_74"/>	Block Name : <input type="text" value="Ellenabad_548"/>
Gram Panchayat Name : <input type="text" value="Amritsar Khurd_265857"/>	GP Center Point (Latitude) : <input type="text" value="29.49612272"/>	GP Center Point (Longitude) : <input type="text" value="74.69101775"/>
Village Name: <input type="text" value="Amritsar Khurd (129)"/>	Financial Year : <input type="text" value="2023-24"/>	Type of Supply Side Structure : <input type="text" value="Artificial Recharge Structure"/>
Name of Structure (Proposed) : <input type="text" value="Injection Wells/ Recharge Wells"/>	Annual GW Recharge/Effective Storage Available for Use (ha m) : <input type="text" value="0.0210"/>	Department Name: <input type="text" value="Agriculture & Farmer Welfare Department"/>
Scheme Name / Possible Funding Source : <input type="text" value="Other"/>	Other Scheme Name / Possible Funding Source : <input type="text" value="ATAL BHUJAL INCENTIVE FUND"/>	Latitude of proposed structure : <input type="text" value="29.505687"/>
Longitude of proposed structure : <input type="text" value="74.699253"/>	Total Approximate Estimated Cost(in lakh) : <input type="text" value="3.5"/>	

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

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

Convergence Expenditure Claim (Phase 2 [October 2023 - March 2024])

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

DECLARATION FOR DLI#3

This is to certify that under DLI#3-*Public financing of approved water security plans through convergence of ongoing/ new scheme* the total convergence claim filled in DLI#3 MIS (**left over claim of Phase1**) for the period **1st April23- 30th September 23** for the state of ----- is ----- Cr towards implementation of interventions proposed in the approved Water Security Plans **and the amount has not been previously claimed during third cycle of DLI#3 claim submission i.e., Phase1 claim.**

District wise details of left over Phase1 convergence claim is given below

S. No	State	District	Demand side convergence claim for left-over of Phase1 (Lakhs)	Supply side convergence claim for left-over of Phase1 (Lakhs)	Total convergence claim filled for left-over of Phase1 (lakhs)
			Grand total	Grand total	Grand total

It is hereby confirmed that the data/information furnished for convergence claim of left over phase1 is vetted & approved by the undersigned.

Project Director
SPMU, Atal Bhujal Yojana,