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~~XXXXXXXXXXXXXXXXXXXX~~ DUSTAN UNILEVER VITALITY FOUNDATION

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FORMAT FOR SHARING PROPOSAL ON THINKING AND ACTION ON THEME OF

“WATER FOR PUBLIC GOOD”

Contents

This format would contain the main document and

ANNEXURE A and TABLE A

ANNEXURE B

ANNEXURE C

ANNEXURE D

ANNEXURE E

Kindly fill in the proposal along with Annexures and send out to sustainability.hul@gmail.com latest by 31st January 2013.

General Guidelines

Hindustan Unilever Vitality Foundation has been set up as a not-for-profit entity by Hindustan Unilever Limited with intent to make a difference in the domain of water, specifically to further “water for public good”¹ in India. In the first phase of projects, the primary deliverable was to create significant water conservation potential. To this end, we have partnered with reputed NGOs pursuing projects in more than 150 villages across India. In the second phase of projects, we wish to support through our projects, NGO partners who along with communities can proactively contribute to systemic and policy processes at the macro level through the experiences and learning of the micro project actions while furthering their execution. Accordingly, the key deliverables in the second phase of projects would be interpreting and delivering on certain “Principles of Water” through micro action and contributions arising from these actions to systemic and policy processes on water, apart from the water conservation and allied micro impacts. Considering the water nexus with social landscape, environment and food security, mix of actions in different ecosystems in diverse socio-economic milieu would be needed.

The prospective partners can choose from the following districts while drafting their proposals

Assam: Tinsukia, Dibrugarh, Kokrajhar, North Lakhimpur, Karbi Anglong, Dhemaji, North Cachar Hills

Andhra Pradesh: Adilabad, Chittoor, Guntur, East Godavari, West Godavari, Khammam, Krishna, Mahabubnagar, Vizianagaram, Warangal

Bihar: Gopalganj, Siwan, Patna, Gaya,

Haryana: Hisar, Bhiwani, Sirsa

Himachal Pradesh: Shimla, Solan, Chamba, Simaur

Maharashtra: Pune, Thane, Ratnagiri, Buldhana, Ghadchiroli, Bhandara, Gondia, Chandrapur, Nanded, Dhule, Nandurbar, Ahmednagar, Hingoli

Madhya Pradesh: Jhabua, Indore, Mandla, Barwani, West Nimar, Seoni, Shahdol, Umaria, Bakaghat, Satna, Siddhi

Pondicherry: Mahe, Pondicherry

Punjab: Patiala, Hoshiarpur

Rajasthan: Banswara, Dungarpur, Jhalawar

Gujarat: Dangs, Dohad, Panchmahals

Dadra and Nagar Haveli: Dadra and Nagar Haveli

Tamil Nadu, Dindigul, Coimbatore, Krishnagiri , Tiruvanmalai, Cuddalore, Nagapattanam

¹ An environment economic and social nexus perspective to water, with a focus on “water quantities and sustainable use” for livelihoods and furthering democratization of its availability including an exploration of the Public trust Doctrine

Uttar Pradesh: Etah, Aligarh, Bulandshahr, Ghaziabad, Jalaun, Chitrakoot, Sonabhadra, Rare Baareli, Unnao, Sitapur, Hardoi, Banda, Fatehpur, Barabanki, Mirzapur, Gorakhpur, Kushinagar, Lalitpur, Jaunpur, Hamirpur, Mahoba, Kaushambi, Azamgarh, Pratapgarh

Uttarakhand: Hardwar, Garhwal, Champawat, Tehri Garhwal, Chamoli,

West Bengal: Burdwan, Purulia, Kolkata, 24 South Paraganas, Jalpaiguri, West Midnapore, South Dinajpur, Bankura, North Dinajpur, Birbhum

Karnataka: Mysore, Dharwad, Davangere

Goa: North Goa

Among the various ways that systemic processes can be engaged, fund mobilization or scale factors offer alternatives, whereby new partners align with the concepts of the approach spelt out herein. Accordingly, for strategic reasons, NGOs might decide to work in multiple districts and may be a few districts contiguous to and beyond the above listed ones. However, it is suggested that the above geographical focus not be diluted

The proposal is divided into various sections and it is suggested that all these be completed in entirety as the proposals would be screened based on quality of treatment accorded in responses.

While developing the proposal, certain thought constructs and concepts would need to be explored by proponent organizations. This proposal template has benefitted from existing body of work carried out both in India and internationally and while thanking the efforts of the associated authors and institutions, our intent is that the quoted references could also be studied by proponent organizations.

Disclaimer: All references made in this document are solely for the purpose of inviting proposals for partnering in the not-for-profit water conservation projects in the specified geographical areas and are in no way intended to violate any Intellectual Property Rights associated with the referred published material.

BASIC CRITERIA

In order to be eligible, the prospective partner is encouraged to fulfill certain basic criteria. There are seven criteria and certain system requirements (Table A) listed vide Annexure A. Only, if the organisation satisfies itself that it meets these criteria and has these systems, it goes ahead to draft the proposal.

SECTION 1

1. Background of the Organisation and leadership

1. Whether registered as not for profit or for profit entity
2. Whether accredited with Credibility Alliance or such other National or International NGO

Governance and transparency based networks

3. Background of the current Leader/ Chief Executive

3.1. Number of Years in Societal Development

3.2. Nature of development issues worked on

3.3. Belief system regarding Water (as a Commodity, as a Service, as a Human Right).

3.3.1. Please elaborate this belief system and illustrate how the organisation has practiced this

3.3.2. Identify one Policy contribution on water (Topic and at which level) that the organization would make using this project

3.4. Education

4. Background of founders of the organisation

4.1. Name of each founder and background

4.2. Name of current Trustees/ Board members and their backgrounds if different from above

5. Board resolution indicating willingness to

5.1. partner with HUVF

5.2. Contribute their knowledge and learning to address larger systemic issues of water in India through platforms and acknowledge HUVF in all external communication pertaining to project

5.3. Welcome communication teams, international visitors, research fellows, independent financial and program monitors as assigned by HUVF from time to time

5.4. Allow use of the project results and associated NGO learning in external communication by HUVF and HUL

5.5. Partner with HUL on other issues that result in public good

SECTION 2

2. Local Presence (If Proposal has multiple geographies, please give separate information for each

Geography, resolution at block level, with specific focus on water and SC/ST issues)

1. India Map and District Map showing the various geographies

2. Presence in each area

2.1. How long ago did the organisation start working in the area?

2.2. How many years has the organisation worked in the area?

2.3. Is it currently working in the area?

3. What has been the nature of involvement in the area

3.1. Having staff presence in the area?

3.2. Working through networks

4. Does the organisation practice a learning process as a part of its Organisation Development? If yes, has the organisation learning been published in independent publications? Please share details

5. Please share the evidence of outcomes of organisation's work in project areas? Additionally please share

5.1. Key outcomes as appeared in media

5.2. Key outcomes as validated by local administration

5.3. Key outcomes as expressed by local community leaders

SECTION 3

3. Program detailing

1. Please interpret the suggested public policy principles on water (ANNEXURE B) from your organisation's perspective.

1.1. Identify impacts, outcomes, outputs and activities proposed in this project that would evidence this interpretation. You can use the Annexure B for assisting you in this

1.2. Please identify innovations in your interpretations and activities in Annexure B or elsewhere in the proposal and justify these

1.2.1. What is the specific contribution that the project intends to make

1.2.1.1. Please identify the Policy issue in light of a specific water related policy that the organization would work through this project

1.2.1.2. Please list the possible contributions to the issue and how do they would result in tangible changes in water quantity during the project period leading to better coping by communities

1.2.2. What are the innovations being proposed to overcome the associated challenges and how would the project deliver them

1.2.3. What are the opportunities that need to be harnessed

1.2.4. What are the innovations being proposed in order to harness the opportunities and how would the project deliver them

1.3. How has the proposal benefited from

1.3.1. Learning of earlier projects implemented by the □Organization

1.3.2. Other research and experiences that the □Organization would have used in proposal design (please quote them)

1.4. Please give specific statements on how would the project contribute to water policy processes (not exhaustive) like

1.4.1.1. National

1.4.1.1.1. Draft National Water Policy 2012

1.4.1.1.2. Draft Model groundwater conservation bill

1.4.1.1.3. 12th Plan Report of steering committee on water and sanitation

1.4.1.1.4. 12th Plan Report of Minor Irrigation and watershed Management

1.4.1.1.5. 12th Plan Report of working group on flood management and region specific issues

1.4.1.1.6. 12th Plan Report of the Working Group on Major and Medium Irrigation and Command Area Development

1.4.1.1.7. Report of the working group on Sustainable Ground water Management

1.4.1.1.8. 12th Plan Report of the Working group on Urban and Industrial water supply and sanitation

1.4.1.1.9. 12th Plan working group report on rural domestic water and sanitation

1.4.1.2. States

1.4.1.2.1. Various state water policies and approach papers

1.5. Please identify the districts and villages where the current project would focus. Identify the villages through census 2011 codes. Provide available base data of each village w.r.t

1.5.1. A India, district , block and village map, preferably if a digitized version is available

1.5.2. A drainage map and a catchment boundary map

1.5.3. Does it fall in any command area

1.5.4. Is it identified as a backward area by any Government authority? If so, please quote report

1.5.5. Is it identified as water stressed area by any Government authority? If so, please quote report

1.5.6. Please provide the basic demographic data including details of vulnerable groups like SC/ST, etc

1.5.7. Please list the Government and NGO activities implemented in the village and have this authenticated by the Gram Panchayat

1.6. For the selected project area, has the following been looked at

1.6.1. Applicability of various interventions of water management ²– both supply and demand related, like soil techniques/No till farming, Irrigated fertilizer balance, System of Rice Intensification, Drainage, Drip Irrigation, Germplasm, Integrated plant stress management, Fertilizer use, Irrigation scheduling, agricultural rainwater harvesting, ground water pumping, etc . If so, please provide the analysis. If not please provide the justification for chosen techniques and interventions

1.6.2. Cost benefits of the above. If not studied, please provide the cost benefit of selected interventions using social, environmental and economic frameworks

1.7. One of the key outcome metrics of this project is around increment in water and its productivity achieved during the project duration and its sustainability after the project ends.

² Pls. refer Charting our Water Future, The 2030 Water Resources Group

- 1.7.1. Please explain and quantify the elements of water cycle including precipitation, surface run off, soil water, evaporation and transpiration, infiltration, percolation, ground water levels and others as they would be affected due to the project. in order to arrive at a metric of “water benefit to communities” that could be potentially validated.³
- 1.7.2. Please estimate the water availability in the proposed working area⁴
- 1.7.3. Please explain consumptive and non consumptive nature of water use as also the terrestrial, in stream, abstractive and storage use locations of water use. Please estimate quantities⁵
- 1.7.4. Try to estimate the blue and green flows in ecosystem and their end uses. Are there ways to manage these end uses better⁶
- 1.7.5. Improved water situation resulting from better demand management and enhanced supply. Please estimate quantity
- 1.7.6. Based on all the above the additional water potential created and how would the project deliver them⁷
- 1.7.7. What is the estimate pre product estimate of water productivity ⁸(quantify to extent possible) and expected change by end of project
- 1.7.8. Community Institutions and their role in sustaining the potential created and productivity enhanced

³ Pls. refer Law for water management : a guide to concepts and effective approaches for the Development Law Service, FAO Legal Office

⁴ Pls. refer Methodology for water availability computations under different data availability scenarios, NIH Roorkee

⁵ Disambiguation of water use statistics, FAO

⁶ Pls refer The New Blue and Green Water Paradigm : Breaking new ground for water resources planning and management by authors of Stockholm International Water Institute

⁷ Pls. refer Development of Hydrological Design Aids (Surface Water) under Hydrology Project –II by central Water Commission

⁸ Pls. refer World Water Productivity : Current Situation and Future Options by authors from IFPRI and IWMI

- 1.8. HUVF encourages projects to follow the Triple Bottom line approach to evidence Accountability. The organisations are encouraged to have a robust set of indicators and measures that are linked with all the above. These indicators and measures would need to be arranged as in Annexure C to result in a Project Scorecard that HUVF can put up in public domain
 - 1.9. Estimation of quantities based on standard design practices following watershed guidelines, net plans for each plot, community institution and other investments based on NABARD.
 - 1.9.1. For ground water interventions can the aquifer approach be detailed
 - 1.9.2. All drawings, estimates should be shared in a Detailed Project Report
 - 1.10. How does the organisation propose to involve communities and their institutions? Are the institutions created for the project or would existing institutions be used? What is the vision that the community institutions have for themselves? If there are existing institutions a narration by the apex institution on the above. If new institutions proposed, a narration by the organisation⁹
2. Having planned the project, it is important to execute the same
 - 2.1. Please list all the approvals needed for executing the project from local authorities and others. What are the risks in these leading to possible delays? Is the organisation confident of securing the approvals in the start up phase on the basis of an in principle approval by HUVF. How much time would be needed for securing the approvals
 - 2.2. Describe the ways in which community ownership of the various solutions proposed in project is obtained
 - 2.2.1. How would the Principles discussed and interpreted above be shared with communities and their readiness to participate in this obtained? Please illustrate the tools and processes that would be used
 - 2.2.2. How would the specifics of the proposal be derived from the local implications of these principles on communities
 - 2.2.3. Please discuss the strategy in getting communities to decide on solutions and if external inputs needed to build capacities for seeking solutions, ways in which these would be achieved
 - 2.2.4. How would communities be mobilized to financially participate in this solution
 - 2.2.5. What are the indicators to assure the project that ownership of the solutions are with communities and what are the timelines for this.
 - 2.3. Integrated Water Resources Management is increasingly being adopted by various practioners. It can be looked as “a process which promotes the coordinated development and management of water, land and related resources, in order to maximize the resultant economic

⁹ Pls. refer Institutionalising community based watershed management in India :elements of institutional sustainability , National Council of Applied Economic Research

and social welfare in an equitable manner without compromising the sustainability of vital ecosystems".¹⁰ Achieving these demands a multi disciplinary and multi stakeholder approach that associates communities, local governments, democratic institutions, etc. This requires intensive engagement and other processes including communication and documentation for the purpose of promoting coordinated development in project areas and having the potential to provide evidence to the Policy journey

2.3.1. Please detail how the proposal would lead to a coordinated management of resources with a view to maximize cumulative welfare equitably. In doing so you please answer for the project area, the following questions ¹¹

2.3.1.1. What are the options and their consequences for improving water productivity in agriculture?

2.3.1.2. What would be the benefits, costs and impacts of irrigated agricultural development

2.3.1.3. What are the likely consequences of land and water degradation on water productivity and the multiple users of water in catchments?

2.3.1.4. What would be the extent and significance of use of low-quality water in agriculture (saline and wastewater), and what are options for its use?

2.3.1.5. What are the likely options for better management of rainwater to support rural livelihoods, food production, and land rehabilitation in water-scarce areas?

2.3.1.6. What are the expected options and consequences related with using groundwater?

2.3.1.7. How would water be managed to sustain and enhance capture-fisheries and aquaculture systems?

2.3.1.8. What are the options for integrated water-resources management in basins and catchments in which these villages exist?

2.3.1.9. What policy and institutional frameworks would be tested and furthered by the project for managing water to meet goals of food and environmental security in the context of operational area and its wider area of influence?

2.3.1.10. How much water will be needed for agriculture given the need to fill food security and environmental sustainability goals?

2.3.2. Identify the stakeholders that need to be associated for the above and discuss ways in which such an association would happen including

2.3.2.1.1. Documentation plan to share perspectives of different stakeholders and arrive at possible consensus

2.3.2.1.2. Communication and engagement plan to take the journey

2.3.2.1.3. Indicators for the above

2.4. Please share the management expertise of the organisation that would be available to this project and the plan for

2.4.1. Fund management associated with project

¹⁰ Pls. refer Global Water Partnership

¹¹ adapted from the International Water Management Institute's Comprehensive Assessment of Water Management in Agriculture program

- 2.4.2. Asset Management under this project
- 2.4.3. Regular engagement plan with district and state administration including involvement of HVF desired
- 2.4.4. Documentation and Reporting Plan

2.5. Please share the values that the organisation follows during program design to make the benefits more inclusive. How will these values be deployed on the ground in this project? Please provide indicators for measuring deployment

SECTION 4

4. Based on project deliverables above, various stakeholders and the larger society needs to be engaged. This engagement would

- 1. Result in the project demonstrating “water for public good” in the context of state and national policies on water
 - 1.1. Please share a time based plan and indicators to measure
 - 1.1.1. learning emerging from this project and sharing with Government and NGOs (key message points, forums organised, participation mobilized, frequency) in the backdrop of the relevant policies
 - 1.1.2. “campaigning” on water for public good including the key message points, successful ways to secure access and control over water to communities and their democratic institutions like gram sabhas

- 1.1.3. Case stories and generic methods wherever applicable and sharing on internet platforms for discussions and knowledge building. An internet based communication plan with time lines including possible topics, ways of outreach, numbers to be reached, etc
- 1.1.4. Mobilising larger societies for participation in water conservation through small actions that can make a difference.
- 1.2. Results on utilizing the project to contribute to thinking at the district, state and national levels and indicators to measure
 - 1.2.1. What are the specific Government forums on water that the organisation plans to associate itself as a part of this project
 - 1.2.2. Is the likely to work with other development actors like OXFAM, PSI, WFP, UNICEF, etc as a part of this project
- 2. In the project areas, there might be other issues impinging on water which can impact success of this project. While their resolution might be beyond the mandate of this project, engagement with opinion shapers can help in keeping them informed and therefore reduce the project risks
 - 2.1. Have such issues been anticipated and has the organisation developed a plan to negotiate these? If so please share this and indicators to measure
 - 2.2. Further, is the organisation on any district or other committees that can help in minimizing these risks and indicators to measure
 - 2.3. Please share a resolution from the concerned gram sabhas welcoming HUVF support to the project

SECTION 5

5. Apart from the above HUVF would also look at scale up plans of the organisation and strategic alignment on certain aspects
Do you have any plans for scaling up this project in future with other resources and

partners? If so please share a roadmap for the same and indicators for success

- 1. Please share plans with indicators for success on
 - 1.1. Vulnerable groups like SC/ST/ Minorities/widows/ senior citizen to benefit from this project.
 - 1.2. Safety of communities, project staff and assets under this project
 - 1.3. Resource Mobilisation
 - 1.3.1. Funds
 - 1.3.1.1. Please provide names and commitments along with conditions if any, of other donors, partners including communities likely to be associated with this project.
 - 1.3.1.2. In case funds are not tied up, give a timeline for fund mobilization and pre-requisites

- 1.3.1.3. Please certify that HUVF funds would run in tandem with other financial resources and cost escalations due to delays in resourcing imbalance would be borne by organisation. This would not be HUVF responsibility
- 1.3.2. Technical
 - 1.3.2.1. Please provide names and commitments along with conditions if any, of academic, technical and research organisations who would partner in this project
- 1.3.3. Please certify that the organisation will be responsible for the claims that it makes
- 1.4. Partnering for communicating processes, results and impacts
 - 1.4.1. Please share a methodology including formats and stages for documenting and sharing processes and results with associated with each family in the project
 - 1.4.2. Please share plan for validating interpretations on Principles with the results and processes obtained on the ground
 - 1.4.3. Please share the organisation structure for MIS , documentation and communication (in English and vernacular)
- 1.5. Please share Board Resolution from organisation Board about Readiness to
 - 1.5.1. HUVF monitoring and
 - 1.5.2. independent assurance processes set by HUVF that would be adopted from time to time,
 - 1.5.3. Assurance that appropriate documentation will be followed and made available to HUVF and that Board of organisation would oversee this
 - 1.5.4. The organisation leader actively participating in HUL/HUVF consortiums and events around water and livelihoods to share experiences and contribute to knowledge building in this space. This would be through regular
 - 1.5.4.1. audio visuals of local experiences,
 - 1.5.4.2. written hypothesis that analyse micro realities in the context of various water policies
 - 1.5.4.3. lectures at various forums
 - 1.5.5. HUVF/HUL using the material and learning for its external communication
- 1.6. Please study HUL's Code of Business Principles and have a Board Resolution acceptance to comply with this

SECTION 6

- 6. Organisation For Project
 - 1. Please share the organogram for this project along with
 - 1.1. connection of this project team with the organisation team in case relevant
 - 1.1.1. Proportion of leader's time given to the project (pls. give figures in percentage)
 - 1.1.2. Nature of Board oversight on project
 - 1.1.3. Proportion of project core team involved in the project
 - 2. details of staff (roles and job specifications) dedicated to this project and those performing part time

roles

3. Board Resolution that organisation
 - 3.1. Provide PF and other statutory benefits to staff
 - 3.2. Manage staff costs in case project gets delayed because of funding delays from other partners and exigencies

SECTION 7

7. NGO and Project Finances
 1. Past Performance of the NGO
 - 1.1. Assets Base – What is the average assets base for the three preceding years? This would include movable and immovable assets
 - 1.2. Fund Utilization – What has been the average fund utilization by the NGO for

the three preceding years?

1.3. Fund Volume – What was the average receipt of fund by NGO for the three preceding years?

2. Admin. Cost – What was the average % of Admin cost to total cost for the past three years?

3. Finance For The Proposed Project

3.1. What is the year wise fund receipt (other than HUVF) expected by the NGO?

3.2. Please share the year wise ratios of HUVF Funds, community funds, other donor funds to the total fund requirement.

3.3. Would the NGO bring in the co funders with tripartite agreements with the banks / institutions like NABARD or any other Govt. Authorities? If so, by when would this be done?

3.4. What is the cost of water conserved on account of project by the NGO? i.e. cost/liter

3.5. Please ref Principles given in Annexure B.

3.5.1. Please share the percentage of funds deployed (HUVF, community and others) for Principles 3,4,7,8 as a ratio of the Total Project cost

3.5.2. Please share the percentage of funds deployed (HUVF, community and others) for the other Principles as a ratio of the Total Project cost.

3.6. Conceptually, the project would have interventions that help in managing and reducing demands for water on the one hand and providing structures and interventions for supply of water. Please share the ratio of demand related costs with total costs and supply related costs with total costs