

National Mission on Himalayan Studies (NMHS)

Guidelines for Grant Facilities

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1 Section A - Introduction

The National Mission on Himalayan (NMHS) has introduced Grants as the main vehicle to deliver on-the-ground results for the well-being of the Indian Himalayan Region (IHR) and mountain communities in the region.

Projects that are supported by the NMHS Grants are expected to address one or more of the Broad Thematic Areas (BTAs) and Thrust Areas with respective indicative intervention areas (**Table 1**) within the context of the NMHS and its Vision, Mission, Goal, and Objectives.

1.1 Broad Thematic Areas (BTAs)

The projects under NMHS should address the following Broad Thematic Areas:

- (a) Water Resource Management;
- (b) Livelihood Options and Employment Generation;
- (c) Biodiversity Conservation and Management; and
- (d) Skill Development and Capacity Building

The Broad Thematic Areas aligning with the respective Thrust and Indicative Intervention Areas are given in the Table.1.

Table.1: Broad Thematic Areas (BTAs) Aligning with Thrust and Indicative Intervention Areas	
1.	Water Resource Management
	(a) Water Security through rejuvenation of springs and catchments <ul style="list-style-type: none">I. Developing state wide program on inventorization and rejuvenation of the natural springs in the Himalayan Watersheds towards increasing the water availability at watershed scale;II. Technology standardization for water harvesting and thus improving the efficacy of water availability round the year; (b) Study of Hydropower Development in the IHR <ul style="list-style-type: none">I. Database on hydropower potential and carrying capacity assessment of the Hydropower in IHR basins;II. Cumulative impact assessment of hydropower at basin scale (c) Assessment of water-induced hazards <ul style="list-style-type: none">I. Monitoring and modeling for prediction of hazards, i.e. inundation, flash floods and landslides;II. Development of early warning systems
2	Livelihood Options and Employment Generation
	(a) Promoting Bio-resource Planning for Rural Development <ul style="list-style-type: none">I. Digital database generation on the Himalayan resource status, availability and use-patterns;II. Field models for bio-resources management plan at the Himalayan village ecosystem level including integrated eco-restoration models

	<p>for degraded wasteland;</p> <p>III. Creating of new eco-tourism opportunities in the Himalayan ecosystem such as spiritual and yoga tourism, nature camps, etc.;</p> <p>(b) Up-scaling tested eco-friendly economic activities for improved livelihoods and employment generation</p> <p>I. Adoption/ adaptation of tested farming options/ technologies for improved livelihood and rural employment generation;</p> <p>(c) Database Development on Himalayan Indigenous Knowledge Systems (IKS)</p> <p>I. Operational database on the Himalayan Indigenous Knowledge System;</p> <p>II. Digital Library on the Himalayan IKS;</p> <p>(d) Technology development and backstopping</p> <p>I. Development of appropriate rural technologies for income generation.</p>
3	Biodiversity Conservation and Management
	<p>(a) Mountain Biodiversity Database and Information System (MBDIS)</p> <p>I. Formation of Mountain Biodiversity Database and Information System;</p> <p>II. Establishment of Mountain Biodiversity Network in association with State Biodiversity Boards (SBB);</p> <p>(b) Assessment of ecosystem health and harnessing potential for overall development by involving SBB and BRs in IHR</p> <p>I. Creation of ecosystem integrity profiles for critical Himalayan ecosystems;</p> <p>II. New assessment, evaluation and development approaches for ecosystem health and services;</p> <p>(c) Promoting recovery of threatened species by involving state and institutional partners</p> <p>I. Establishment of field based recovery models of threatened Himalayan species particularly in the degraded ecosystem across the IHR;</p> <p>(d) Up-scaling outreach through conservation education</p> <p>I. Sensitization/motivation of educational Institutions on nature learning</p>
4.	Skill Development and Capacity Building
	<p>(a) Strengthening of delivery systems of appropriate rural technologies through skill enhancement</p> <p>I. Increased, improved and alternative livelihood options for farmers, particularly for marginal, BPL ones and other weaker sections of the</p>

	<p>Himalayan society in different states; II. Creation of rural technology Centre in PPP mode</p> <p>(b) Land management practices for improved livelihoods</p> <p>I. Adoption/ adaptation of tested options/ technologies for improved livelihood in the IHR;</p> <p>(c) Documenting and valuing traditional ecological, ecological knowledge and practices</p> <p>I. Validation and promotion of Himalayan Indigenous Knowledge System (IKS); II. Exploring the possibilities for Intellectual Property Rights (IPR) on selected IKS.</p>
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1.2 Cross Cutting Issues

All projects supported by the NMHS Grants are expected to address the NMHS crosscutting issues including climate proofing, gender equality and communication.

1.2.1 Climate Change

The projects must take into cognizance the likely impacts of climate change and climate variability including climate-related problems already encountered or likely to be encountered at the local level (defined by the project system boundary) and the likely climate-driven impacts on the system. The Projects must include a strategy to identify and address these impacts to ensure that interventions are climate proofed.

1.2.2 Gender Equity

The projects should take into account gender equality aspects. Special attention should be paid to differences between men and women with respect to: access to and use of resources (including but not limited to, generation and use of income); observed practices and patterns of participation in decision making; social beliefs and perceptions; laws, policies, and institutions that may affect men and women's participation in the project.

1.2.3 Communication

The projects should include its communication strategy, including the audiences' present awareness level, current practices, media preferences and demographic/psychographic profiles, identifying the target audiences and interrelationships between each communications take holder/ target audience group, defining communication objectives, formulating key messages which are important to communicate to audiences, and selecting media which will best assist you to achieve objectives and desired relationships.

1.3 Type of Projects

The projects are expected to address the problems identified by comprehensive situation analysis and they should be founded on well-constructed monitoring frameworks with clear objectives and outcomes/impacts to enable potential changes brought about by the projects to be reported on clearly. There are two (2) types of NMHS Grants- (i) Medium Grants (MG) and (ii) Large Grants (LG).

1.3.1 Medium Grants (MG)

The main aim of MGs is to support medium projects can be used to build on and/or to expand successful projects with a total budgetary outlay of not more than 500 lakhs and are expected to reflect the multi-sectoral and partnership-based characteristics of NMHS and to address two or more TAWs in an effort to examine more complex and often multi-disciplinary issues affecting mountain ecosystems as prioritized by the NMHS.

MG projects should contribute significantly to building the resilience of ecosystem dependent mountain communities by addressing specific resilience parameters from either the ecosystem, or societal system, or both. Preferably there should be spatial mapping/planning data available and the location should be large enough to be important at the ecosystem level, containing significant mountain habitats and resources and/or biodiversity.

1.3.2 Large Grants (LG)

The LG will be used as a mechanism to address long-term multi-site, ecological monitoring trans-boundary issues in IHR issues spanning over two or more states/countries to consolidate existing knowledge, especially relevant to mountain resources management and to conduct research on merging issues to acquire new knowledge. LGs are projects that with total budgetary outlay of over 500 lakhs.

1.4 Information Dissemination

Key consideration in all NMHS Projects is that information generated from the projects should be freely available for dissemination. Thus, it is required that the Project Proponent/Grantees will provide NMHS-PMU unhindered access to all information (written material, sound and video recordings, including films, maps, photography, and any other materials in any other medium) generated under the project. NMHS also encourages the Grantees to freely disseminate all processed information amongst the project stakeholders and the general public.

2 Section B- Guidelines for Medium Grant (MG) Projects

The following sections provide guidelines for the application, design and planning, and award of projects under the NMHS Grant Mechanisms.

2.1 Eligibility Criteria for MG Projects

2.1.1 Project Size

The Medium Grant Project under NMHS would be above INR 50 lakhs and up to INR 500 lakhs.

2.1.2 Project Duration

The duration of Medium Grant Project would be of 3 years (w.e.f. Project start date).

2.1.3 Partnership with the local community

Project proposal should be developed in partnership with the local community and the proposal should adhere that the project:

- (a) would not adversely affect the positions of various stakeholders;
- (b) seeks to harmonise with the needs, views, expertise and experience of local stakeholders and associate them with the management; and
- (c) would follow a participatory approach.

2.1.4 Co-Financing

The Grantee/Project proponents are expected to provide co-financing from themselves or from partners in the form of either cash or in-kind contributions, equivalent to at least 10% of the total value of the project.

2.1.5 Cross Cutting Themes

The proposals would explicitly integrate the three NMHS crosscutting themes Climate Change, Gender Equality and Communications.

2.1.6 Capital Assets

In general, purchase of capital assets is not allowed, unless it can be justified as a vital and crucial tool for implementation of the project activities.

2.2 Organisational and Institutional Criteria

2.2.1 Project Participants

The Medium Grant Project is open to all sectors (including Ministries, Government Departments and Private Institutions).

2.2.2 Project Implementation

Two or more partners are expected to be involved in the implementation of the proposed project, with the lead partner clearly indicated; the existing (or potential) working and communication arrangements between the partners should also be explained clearly.

2.2.3 Role and responsibility of Stakeholder

The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the Government where relevant).

2.3 Operation of the Medium Grant

2.3.1 Call for Proposal

Maximum publicity is given to the call for proposals through advertising in national/ local newspapers / in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

2.3.2 Submission of Proposal

Proponents should submit a brief of project proposal as a Concept Note in the prescribed format (**Annexure 1**) along with a full proposal based on a format provided (**Annexure 2**).

2.3.3 Administration, Oversight and Execution

The selected proponents will have to enter into an agreement with the PMU-NMHS. The projects will be managed by the PMU-NMHS for CS-I Division while implementation will be overseen by the under the guidance of the STAG.

2.3.4 Design and Planning of Proposals

The proposal should be based on a clear problem identification following a comprehensive situation analysis, and should be presented following the prescribed formats. The short-listed proponents may also be asked to undertake training in Project Cycle Management organized by NMHS to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the NMHS standards and requirements.

2.3.5 Project Approval

A peer review/external evaluation of the proposals will be done by thematic experts or thematic Working Group of STAG. The Working Groups may also

have co-opted experts as necessary. The recommendations of these appraisals will be used for further improvement of the proposals, as required.

The proposals received for funding through open advertisement may also be sent to the independent experts for evaluation by the Institute. The evaluation report of the experts in respect of project proposals received through open advertisement and report of the expert committee/ thematic working groups for the project proposals evaluated in the project evaluation workshops/ meetings shall be placed before the STAG which may invite the project proponents for making presentation of the project before taking any decision.

Recommended proposals, when endorsed by the STAG, will be approved by the Steering Committee. PMU-NMHS will enter into a contract with the proponent.

2.3.6 Funding Pattern

It is proposed to release the total sanctioned amount for an approved project/study/intervention in three instalments.

S No	Instalments	Amount	Terms and Conditions
1	First	40%	As advance with adequate safeguards as applicable
2	Second	50%	On receipt of satisfactory Interim Report and Utilisation Certificates(UC)
3	Third	10%	On receipt of satisfactory FTR duly accepted by the competent authority and UC

2.3.7 Monitoring, Learning and Evaluation (MLE)

NMHS PMU shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of at least one STAG Member, and one CS-I Division/ PMU representative. Additionally, CS-I Division may co-opt other national or international experts. In addition, STAG shall undertake MLE missions in between those led by the NMHS. The Grantee is expected to assist the MLE missions by providing access to the project sites and other information, as requested.

2.3.8 Reporting

The Project Proponent would make periodic progress and financial reports and Utilisation Certificates (UCs) as outlined in the Sanction/ Agreement. These will be used for project monitoring and as a basis for grant disbursement.

2.3.9 Audit

NMHS may initiate an internal or external financial audit during or after completion of project implementation.

3 Section C - Guidelines for Large Grant (LG) Projects

3.1 Eligibility Criteria for LG Projects

3.1.1 Project Size

The Large Grant Project under NMHS would be more than INR 500 lakhs. A higher upper cap may be defined and approved by the STAG and Steering Committee based on the requirements of specific project proposals.

3.1.2 Project Duration

The duration of Large Grant Project would be of 3 years (w.e.f. Project start date).

3.1.3 Thematic Areas

Projects have to be in line with and complementary to the overall Vision, Mission, Goals, and Objectives of the NMHS and have clear relevance to the TAW and the strategic action plans of the participating states/countries.

3.1.4 Interstate/ transboundary initiative

Large Grant Projects must involve interstate/ transboundary initiative at least between two IHR states.

3.1.5 Co-financing

The proponents should have sound financial and operational structures and be able to provide and enlist significant co-financing and other tangible commitments from its partners. The co-financing in the form of either cash or in-kind contributions shall be equivalent to at least 20% of the total value of the project.

3.1.6 Crosscutting themes

The proposals must explicitly integrate the three NMHS crosscutting themes Climate Change, Gender Equality and Communications. In particular, proposals for regional projects should have a clear knowledge dissemination strategy including mechanisms to take up the results and disseminate those in the multi-state context.

3.2 Organisational and Institutional Criteria

3.2.1 Project Participants

The Large Grant Project is open to all sectors (including Ministries, Government Departments and Private Institutions).

3.2.2 Project Implementation

Two or more partners are expected to be involved in the implementation of the proposed project, with the lead partner clearly indicated; the existing (or potential) working and communication arrangements between the partners should also be explained clearly.

3.2.3 Role and responsibility of Stakeholder

The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the Government where relevant).

3.3 Operation of the Large Grant

3.3.1 Call for Proposals

Maximum publicity is given to the call for proposals through advertising in national/ local newspapers / in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

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3.3.9 Audit

NMHS may initiate an internal or external financial audit during or after completion of project implementation.

4 Template for Concept Note: Medium Grant and Large Grant Project

The Concept Note should be a maximum of four (4) pages [excluding the “Information on the Proponent Organization” and CV of PIs and Co PIs) (**Annexure 3 & 4**)].

Date of Proposal Submission

d	d	m	m	y	y	y	y

1	Type of Proposal	Large Grant		Medium Grant		
2	Project Title	[Should reflect the work of the project]				
3	Project Location	[As specific as possible, attach a general map, as applicable]				
4	Scale of Project operation	National		Regional		Local
5	Implementation Agency/ies	Name and Address of the Organization, website				
	Principal Investigator (PI)	[With contact details, Phone Fax, email and Mobile]				
	Co- Principal Investigator (co-PI)	[With contact details, Phone Fax, email and Mobile]				
6	Implementing partners	Implementing Agency/ies with Name and Address, website				
	Key Persons of Implementing Partners with contact details					
7	Synopsis of the Project (500 words)					

8	Rational of the Project (200 words) why the project is necessary																								
9	Proposed Outcomes of the projects(in bullets)																								
10	Expected Project Impacts																								
11	Project Budget <table border="1" data-bbox="491 1285 1300 1599" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>S No</th> <th>Items</th> <th>Amount (INR)</th> </tr> </thead> <tbody> <tr> <td></td> <td>Activities</td> <td></td> </tr> <tr> <td></td> <td>Manpower</td> <td></td> </tr> <tr> <td></td> <td>Equipments</td> <td></td> </tr> <tr> <td></td> <td>Travels</td> <td></td> </tr> <tr> <td></td> <td>Meetings/Workshop</td> <td></td> </tr> <tr> <td></td> <td>Others</td> <td></td> </tr> <tr> <td></td> <td style="text-align: right;">Total</td> <td></td> </tr> </tbody> </table>	S No	Items	Amount (INR)		Activities			Manpower			Equipments			Travels			Meetings/Workshop			Others			Total	
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16	Contribution from Others Sources (Co-financing) <table border="1" data-bbox="464 1765 1332 2051" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th rowspan="2">Total Budget Requirements (INR)</th> <th colspan="3">Financing Plan</th> </tr> <tr> <th>Request from NMHS</th> <th>Gurantee Contribution</th> <th>Other Contributions</th> </tr> </thead> <tbody> <tr> <td>100%</td> <td>XX%</td> <td>YY%</td> <td>ZZ%</td> </tr> </tbody> </table>	Total Budget Requirements (INR)	Financing Plan			Request from NMHS	Gurantee Contribution	Other Contributions	100%	XX%	YY%	ZZ%													
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100%	XX%	YY%	ZZ%																						

5 Template for Full Proposals Medium Grant and Large Grant

1	<p>INTRODUCTION</p> <p>(a) Background (b) Project Area [It should capture the baseline of the project area including demography, socio-economy, biodiversity, forest & wildlife, natural resources and environment] (c) Situation Analysis of the Area (d) Identification Issues/ problems and justification for the Project (e) How the Project is relevant to NMHS and National priorities (f) Identify the Project Beneficiaries (g) Ongoing activities /other project or activities in support of this project (h) Expected Impacts of the Proposed Project [It may be livelihood, socio-economy, biodiversity, forest & wildlife, natural resources and environment etc.]</p>
2.	<p>PROJECT DESCRIPTION</p> <p>(a) Aim, Objective(s) and Goals (b) Proposed Activities to Achieve Project Goals (c) Describe the details of Activities (each activity separately) I. Methodology II. Focus Area of Action III. Performance Indicators IV. Key beneficiaries V. Expected Results</p> <p>[Activity table including activities, Methodology, Focussed action, Performance indicators, Key Beneficiaries and expected results need to be provided]</p> <p>(d) Expected outcomes of the project [PERT Chart may be given] (e) Time Frame [with WBS and Gantt Chart showing each Activity and sub components]</p>
3	<p>PROJECT IMPLEMENTATION PLAN</p> <p>(a) How project would be Implemented (b) Identification of Project Partners and how they would be co-ordinated (c) Details of Project Workers to be included (d) A Block Diagram on Project Implementation Plan should be provided approach to be elaborated (e) Exit strategy- how Outcomes be sustained after funding ceases</p>
4	<p>PROJECT MANAGEMENT AND CO-ORDINATION</p> <p>(a) Financial Management and Procurement (b) Identify Risks associated with Projects how these risks be addressed (c) How Cross-Cutting Issues would be addressed in the Project (d) How the project would be Sustainable and Replicable for wider benefits</p>

	(e) How project Information would be disseminated for better visibility
5	<p>MONITORING, REPORTING & EVALUATION</p> <p>(a) How Project progress would be reporting (Technical and Financial) (b) Describe the Internal Progress Assessment arrangement (c) How project would be Monitored (d) Project Evaluation Strategy (e) Attending Committee Meetings, Workshop</p>
6.	<p>ANNEXURES</p> <p>(a) Site description (with maps, photos where relevant) (b) Detailed Budget and Disbursement Plan (c) Project organization Chart (d) TOR/Job Descriptions for all project implementing personnel</p>

6 Information on the Proponent Organization

NOTE : Please fill in this form and send it with the Concept Note and Full Proposal.

Project Title			
Name of the Organization			
Mailing Address			
Visiting Address (if different from above)			
Telephone		Fax	
E.mail		website	
Mission and Goal of the Organization			
About the organization	Registration date		
	Category		
	Contact Person		
	Number of Staff		
Bank Account details	Account Name:		
	Bank Name:		
	Bank Address		
	Account No		
	SWIFT code		
	Other routing code:		
References	Signatories names		
	Name, address and Tel No (Referee1):		
	Name, address and Tel No. Referee 2)		
Projects implemented during the last 5 years relevant to the theme of the current proposal			
S.No	Title of the project	Donor / Amount	Reference (Name/Tel/email)
1			
2			
3			
4			
5			

7 Template for submitting CV of [Principal Investigator (PI) and Co-Principal Investigator (CO-PI)]

1	Submitted CV of PI/ CO-PI	PI		Co-PI	
2	Name in full (in block letters)				
3	Designation of PI/CO-PI				
3	Date of Birth and Age as on Project submission date				
		d	d	m	m
		y	y	y	y
		Years	Months	Days	
5	Nationality				
4	Sex	Male		Female	
6	Address for correspondence (in block letters with pin code)				
7	Contact mobile number/	mobile:			
	e-mail id	e-mail			
8					

7. Educational Qualification

(a) Details of Examination Passed from Garduation onward to Ph. D)

S No	Exam Passed/ Degree Awarded	University/ Institution/ Board	Year of Passing	Subjects Taken	Result with Division/ Class

(b) Details of Ph.D.

Title of Ph D Thesis	Subject /Branch	University/ Organization

(C) Professional Trainings, if any

Organisations	Period		Details of Trainings
	From	To	

9. Research Experience (200 words)

10. Experience related to sustainable mountain development, If any (200 words)

11. Major Awards/ Recognition (if Any) at National / International Level
30 words (in bullets)

12. Members of Learned Societies (International and National) if any
30 Word (in bullets)

13. Major Scientific/ Technological Achievements² (if any)
50 words (in bullets)
² (New Methods/ Theory/ Process established, Technology Developed, Socio-economic issues Addressed, Unique data base/centres established etc

14. Publications/Patents (numbers only)							
Scientific Papers		Policy Papers	Books		Technical Reports	Project Proposals for Fund Generation	Patents (if Any)
International	National		Edited	Written			

15. Experience in Managing Research Projects					
No of similar Projects Managed (with details)					
S No	Project Details	Donor Agency	Duration	Project Budget (INR)	

(Signature of PI/Co-PI)

Date:

Name:

Place: