United Nations Development Programme  
Country: INDIA  
2013 Annual Work Plan

Project Title: Supporting Democratic Electoral Management  
Implementing Partner: UNDP

**PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)**

A. **State the specific development challenge or gap that this AWP is addressing.**
   - The Election Commission is one of the institutions in the country that has gained wide respect for conducting fair elections. However there is need for further improvement especially on enhancing voter participation and generation of good practices. Further, sharing of the good experiences on election management with other developing countries of south is a necessity given the demand for the same by other countries in signing the MoUs with ECI.

B. **Select one or more of the below strategies for addressing the above mentioned challenge/gap and describe in the context of this AWP:**
   - Changes in attitudes and access to decision making through awareness raising, brokering, convening
   - More initiatives at ECI for inclusive voter participation and youth engagement.

C. **List the specific strategies to be adopted to achieve the targets**
   - Strengthen and exchange the knowledge and good practices on election administration and management.
   - Promote more inclusive voter participation for removing democracy deficit
   - Facilitate partnerships with other developing countries and South-south exchange of experience through international forums
   - Advocacy for women’s participation in electoral democracy and for a more inclusive democracy

D. **List the possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP.**
   - Capacities of national and international Election Management Body (EMB) officials enhanced for inclusive voter participation through Election Commission of India and India International Institute of Democracy and Election Management (IIIDEM)

E. **List the gender issues in this AWP and specific ways in which they will be addressed.**
   - Advocacy and communication strategy to enhance women voters

F. **List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed.**
   - South-South sharing of experiences through training programmes held at IIIDEM of election officials of other developing countries
Programme Period: 2013-17

Key Result Area (Strategic Plan): Democratic Governance

Atlas Project ID: 00074683
Atlas Output ID: 00086973

Start date: July 2013
End Date: Dec 2017
PAC Meeting Date: 10th Sept. 2013
Implementation modality: DIM

2013 AWP budget*: USD 300,000

MULTI YEAR INDICATIVE Budget USD 1.00 million
(Subject to the availability of the necessary funds to the UNDP)

- Regular $1,000,000
- Other:
  - Donor (BDP-NSP)**
  - Donor
  - Government

**BDP funding for New Strategic Partnership. COA is given by HQ. Funds are not transferred to CO.

*2013 budget details (in USD):

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<th>Total Budget</th>
<th>Budget 2013</th>
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<tr>
<td>UNDP 1,000,000</td>
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<tr>
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</tr>
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Agreed by UNDP: [Signature] 30/04/2013
I. ANNUAL WORK PLAN

Year: 2013

Key area of UNDP strategic Plan: Democratic governance, MDGs

UNDAF / CPAP OUTCOME: Governance systems are more inclusive, accountable, decentralized and programme implementation more effective for realization of rights of marginalized groups, especially women and children.

CPAP OUTCOME Indicators

CONTRIBUTING TO CPAP OUTPUT:
South-South cooperation and partnerships are strengthened by:
- providing knowledge sharing platform for national and international (South-South) experience sharing
- supporting ECI to facilitate sharing of India’s electoral management experience with other countries and support training and knowledge sharing through IIIDEM

CONTRIBUTING TO CPAP 5 year target

<table>
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<tr>
<th>Annual OUTPUTS</th>
<th>PLANNED ACTIVITIES</th>
<th>Month of completion</th>
<th>RESPONSIBLE PARTY</th>
<th>PLANNED BUDGET</th>
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<tr>
<td>Triangular Partnerships for exchange of learning and experiences on electoral administration and management enhanced for SAARC and other developing countries</td>
<td>Study visit of EMB officials to witness the state assembly elections in India</td>
<td>Dates to be decided in consultation with ECI</td>
<td>ECI, UNDP</td>
<td>NSP</td>
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<td></td>
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<td>Travel/boarding lodging</td>
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<tr>
<td>Output 2</td>
<td>Develop Knowledge products on election administration and management:  - e-learning modules for IIIDEM  - Documentation of best practices on  1. Enhanced Voter Participation  2. Expenditure control and monitoring in elections</td>
<td>August December</td>
<td>ECI UNDP</td>
<td>TRAC</td>
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<td>Agency/Consultants</td>
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<tr>
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<td></td>
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<td>Consultants</td>
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<tr>
<td>International Institute of Democracy and Election Management (IIIDEM)</td>
<td>Consultation with Women organizations for enhanced voter participation</td>
<td>September</td>
<td>ECI, UNDP</td>
<td>TRAC</td>
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<tr>
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<tr>
<td>Communication materials targeting youth and rural women for voter participation</td>
<td>August</td>
<td>ECI, UNDP</td>
<td>TRAC</td>
<td>Consultancy company</td>
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<td><strong>AWP GRAND TOTAL IN USD</strong></td>
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1 Additional costs will be supplemented with ECI funds
II. **Multi-year Project Strategy Description (Optional for Year 1)**

**Situation Analysis:**

Democracy thrives on participatory governance and involving all in the decision-making. Elections form the imperative part in the structure of democracy setup, where will of the people prevail in representational forum. With 1.2 billion population, about 730 million voters, spread over 35 States and Union Territories, India has massive experience in managing an electoral process where voter base is larger than in US, Europe and Australia combined. Election Commission of India has been managing a ‘free and fair’ electoral process that remains unparalleled in the world given the massive numbers, geographic spread and organisational logistics involved. Major strengths of the process in India are use of ICT (electronic voting machines), zero error, quick results in few hours and these have led to a demand for sharing of experiences and learning with other developing countries.

At the same time, for democracy to represent the actual will of the people, elections should be inclusive and with participation from all strata of the society. Inclusive voting is to be achieved through facilitating access to electoral processes to all eligible electors, irrespective of gender, geographical location, economic, social or physical conditions and educational level, and removing barriers that people face towards exercising their right to vote.

India represents the immense diversity in the sense of demographics, geographically, culturally, socially, economically and linguistically. The electoral and democratic system of India has to reflect this diversity to become an all-inclusive institution. Similarly, this diversity has to be considered while formulating efforts to achieve inclusive voting and higher electoral participation.

Concerted efforts by Election Commission and other bodies have succeeded in increasing the voter participation, as visible by the recent assembly elections. However, measures have to be taken up for further increasing the participation and involving all sections of the society for achieving further inclusive elections.

The Approach paper to the 12th Plan indicates that electoral reforms are an area which needs attention. The Election Commission of India is one of the institutions in the country that has gained wide respect for conducting fair elections which do lead to changes in government. However, there is need for further improvement. Apart from funding of elections, development of healthy electoral practices by which citizens with low financial means are also able to participate in the elections fairly is an important part of the political process. The Approach paper notes that there is need for stronger participation of women legislators.

ECI has conducted elections for 15 Lok Sabhas and about 350 State Assemblies, ensuring smooth and periodic transfer of power every time. The election management practices of ECI are appreciated globally and several countries are looking to share India’s experience.

UNDP initiated the partnership with Election Commission of India (ECI) in 2011 to support the newly established India International Institute on Democracy and Electoral Management (IIIDEM) as a training and resource centre to meet the demand for capacity development on electoral management from other countries.
The Institute (IIIDEM) is being developed by the Election Commission of India as a world class resource centre, in collaboration with the Government of India, United Nations, the Commonwealth and inter-governmental organisations like Sweden based International Institute of Democracy and Electoral Assistance (IDEA). The 54 member Commonwealth group has proposed to set up a resource centre for its member nations at IIIDEM.

On 11 October 2012, a Memorandum of Understanding (MoU) was signed between ECI and UNDP in Delhi to promote the exchange of knowledge and experience in the field of election management in the context of South-South cooperation. The purpose of this MoU is to provide a framework of cooperation and facilitate collaboration between ECI and UNDP to promote South-South Collaboration (SSC), on mutually agreed terms and conditions in the mutually identified priority areas in the field of electoral management and administration, including:

(a) Promoting the exchange of knowledge, experience and expertise in the field of electoral management and administration;
(b) Assisting in the identification of capacity needs with a focus on strengthening electoral systems and democratic institutions and designing learning and exchange programmes;
(c) Facilitating relationships with other electoral authorities and organizations; and
(d) Any other modality of cooperation as mutually agreed by the Parties.

Further ECI has also been engaged on developing new partnerships when the Third Conference of Heads of Election Management Bodies of SAARC Countries at New Delhi in 2012 led to establishment of the “Forum of Election Management Bodies of South Asia” (Forum) with ECI as the initial Chair of the Forum. The objectives of the Forum are to:
- promote contact among the Election Management Bodies of South Asia;
- share experiences with a view to learning from each other; and
- cooperate with one another in enhancing the capabilities of the Election Management Bodies towards conducting free and fair elections.

Thus with the signing of the MoU between ECI and UNDP and formation of the Forum of the EMBs in South Asia and the potential for sharing of experiences between developing countries of south, a strategic project of UNDP under Direct Implementation modality is required to support the south-south exchange of experiences and capacity development of IIIDEM/ECI within the umbrella of the MoU.

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1 The 2009 Nairobi outcome document sets forth the rationale, principles and key actors of South-South cooperation as follows: "... South-South cooperation is a common endeavour of peoples and countries of the South, born out of shared experiences and sympathies, based on their common objectives and solidarity, and guided by, inter alia, the principle of respect for national sovereignty and ownership, free from any conditionalities. South-South cooperation should not be seen as official development assistance. It is a partnership among equals based on solidarity [...] South-South cooperation embraces a multi-stakeholder approach, including non-governmental organisations, the private sector, civil society, academia and other actors that contribute to meeting development challenges and objectives in line with national development strategies and plans (resolution 64/222, annex, paras. 18-19)."
Past cooperation and lessons learnt

UNDP has been advocating a stronger focus on South-South cooperation and has partnered with Election Commission of India since 2011 in facilitating ECI’s participation in the Electoral Cycle Regional Community of Practice meetings to share its experiences with participating Asian and Arab countries on issues related to election management bodies, reform and management.

UNDP India has facilitated participation of Election Commission of India (ECI) in the Electoral Cycle Regional Community of Practice meetings in Cairo (for Arab states) in May 2011 and in Manila (for Asian countries) in Sept. 2011 to share experiences with participating Asian and Arab countries on issues related to electoral management bodies, reform and management.

UNDP India also facilitated participation of ECI in a Seminar on Electoral Management Bodies and Democratic Reform in Mexico in Sept 2011 and in South Asia Regional Conference on Women’s Political Leadership in Bangladesh in Oct 2011 to share experiences on issues related to electoral management bodies, reform and participation & representation of Women in Parliament.

UNDP facilitated participation of Election Commission of India to the workshop on “Information Technology and Elections Management: Informed Decisions for Sustainable Outcomes”, taking place from 5 to 9 March 2012 in Mombasa, Kenya that provided ECI a forum to share the experiences and learning with African countries on use of Electronic Voting Machines for elections.

Since 2011, UNDP has also been providing support to the newly established India International Institute on Democracy and Election management (IIIDEM) at ECI to help establish it as a premier training resource center to meet the demand for capacity development on election management from other countries. UNDP supported the trainings of election management body officials of Maldives and Nepal in 2012 at IIIDEM and setting up of a library resource center.

UNDP recently facilitated a first ever consultation with Civil Society Organisations (CSOs) and Election Commission of India that has resulted in a draft Terms of Engagement to facilitate collaboration between Election Commission and CSOs. Partnerships with CSOs will aim to make electoral process more inclusive for marginalized groups through voter education and awareness programmes in preparation for the next general elections in 2014.

While the above results achieved during 2011-12 engagement of UNDP with Election Commission of India (ECI) show promise for south-south engagement, a concerted effort is further required to build on current partnership and work towards establishing ECI as the leader on sharing of experiences on election management issues with the EMBs of developing countries especially of south.
Scope and Strategy:

In order to operationalize activities in the areas of cooperation outlined in the Memorandum of Understanding (MoU), signed between ECI and UNDP on 11 October 2012, UNDP will implement a project on “Strengthening Partnerships for Empowered Electoral Democracy” for the cycle 2013-17 with the broad outcome of “Promoting the exchange of knowledge and experiences in the field of election management and administration through ECI to other developing countries.”

The project will be implemented under Direct Implementation (DIM) modality to gain form the linkages of UNDP with its regional centers, divisions at HQ and other country offices, in addition to its UNDP’s own flexibility for implementation of a project with two diverse theme – electoral management and women participation at decision making levels in electoral democracy. Through the project UNDP would not only work with Election Commission of India to help develop capacity of IIIDEM for south-south cooperation, but also help develop political representation of women at the decision making levels.

With Election Commission of India having knowledge and expertise, and the demand / interest being raised by several developing countries, the UNDP – ECI partnership will be leveraged to the next level where other developing countries can benefit from ECI’s experience leveraging UNDP’s role as a key knowledge broker for expanding the south-south cooperation on electoral management.

With ECI, the strategy will focus on south-south exchange of experiences on electoral management under the overall umbrella of the MoU signed between UNDP and ECI on 11 October 2012. Scope of the project would thus be following:

- Research and advocacy for better election management

To foster better exchange of experiences, and capacity transfer on election management between EMBs of developing countries, there is an immediate need to develop high-quality knowledge products and toolkits based on Indian experience on entire election process including constitution, law, administration, security, electoral roll, electoral participation, personnel and training, electronic voting machines, voter education programmes, participation campaigns, expenditure control and monitoring, appointing election functionaries, enforcing Model Code of Conduct, youth integration models, women participation models, civil society collaboration, media related practices, use of Electronic Voting Machines (EVM), as well as training of trainers for conducting international training programmes.

The project will focus on assisting ECI to strengthen the current electoral processes in India through research projects on electoral systems and processes for bringing about improvements in various election-related processes; and formulating new policies and procedures for more effective management of elections & democratic practices.
Additionally, consultations on inclusive voter participation with specific focus on youth and women voters are needed to generate recommendations for increasing voter participation. Such documentation and consultations will help not only ECI to formulate and propose new policies to strengthen the electoral processes while providing opportunity to other developing countries to learn from Indian experiences in revising their own policies.

- **Strengthening training at India International Institute of Democracy and Election Management**
  
  The recently established India International Institute of Democracy and Election Management (IIIDEM) can become the premier institution and thought leader on matters of democracy and election management in India and internationally. Its capacity and outreach will be strengthened with the development and sharing of knowledge on democracy, elections, political and civic participation and reform and training and exchanges between EMB officials from developing countries.

  The project will focus on the conduct of specialized training programmes on electoral management for developing countries in the south by India International Institute of Democracy and Election Management (IIIDEM). Capacity of IIIDEM will be strengthened to enhance sharing and dissemination of the knowledge products of IIIDEM/Election Commission of India to Indian, Regional and Global forums with specific focus on south—south cooperation. In addition to the Indian experiences, there exist wide range to global best practices that need to be documented and can add value to training courses at IIIDEM. The project will also document global best practices that will to be included into the training curriculum of IIIDEM.

- **South-South exchange of experiences on election management**
  
  The project will also support South-South exchange of experiences on electoral management through Community of Practice (CoP) meetings and conduct of specialized seminars and conferences. Exposure visit of ECI officials to other countries would also be supported to consolidate the achievements made by studying and analysing electoral practices of other democratic countries, and strengthening IIIDEM curriculum in the process.

  ECI has already hosted the Third Conference of Heads of Election Management Bodies of SAARC Countries at New Delhi in 2012 leading to establishment of the “Forum of Election Management Bodies of South Asia”. The project will help advance this partnership and regional and cross-regional dialogues between the EMBs of this Forum and also of other developing countries.

- **Advocacy for enhanced women participation in electoral democracy**
  
  Participation of women is imperative for conducting inclusive democratic elections. To increase women’s participation in the electoral process, a concerted effort is required (in addition to sensitisation and awareness) through focussed training to educate women electors. The project will hold outreach and advocacy events to ensure that women are able to participate freely in the election process. Department of Adult Education, Govt of India shall also be roped in for this special drive. In addition to the focus on south-south collaboration for exchange of experiences on electoral management, the strategy will focus on enhancing participation of women in decision making levels through advocacy and formation of cadre of such representatives for skill development.
• Advocacy for increase in electoral participation with focus on ‘Inclusion’

A sizable population does not participate in the electoral process due to various reasons. Awareness raising and capacity development activities will be undertaken for weaker sections and communities having traditionally low participation in electoral process. This will also include advocacy through CSOs and various youth organisation and women groups.
Strategy

The project will have the following strategy to implement the project:

i. **Strengthen and exchange the knowledge and good practices on election administration and management.**
   The knowledge products will be developed based on action research studies for sharing with national and international forums. The good practices will be captured in the form of toolkits to be utilized for international training programmes at ECI/IIIDEM. The knowledge products will specifically focus on enhancing voter participation, assessing the voting behaviour and measures for expenditure control and monitoring and other issues identified jointly between ECI and UNDP.
   The project will provide technical support to IIIDEM through well researched and well experienced resource persons. Use of ICT for training and learning can widen the reach of IIIDEM. The project would support IIIDEM for consolidating and developing e-learning web portal that had been initiated in 2012.
   The knowledge products will lead to:
   - a standard toolkit on various aspects of election administration and management that will form the basis of international training programmes. The standard toolkit can be adapted to requirements from various countries.
   - a cadre of trainers who will be responsible for conducting international training programmes at IIIDEM.
   - a well -designed standardised training programme for IIIDEM
   - action research papers on themes identified during the project period by ECI to be shared at national and international forums

ii. **Promote more inclusive voter participation for removing democracy deficit**
   A sizable population in India are still not registered in the electoral rolls, and of those registered a sizable percentage does not vote, leading to a democracy deficit. ECI will undertake programmes and campaigns to promote enhanced and more inclusive voter participation and standard motivational communication materials will be developed to generate interest of women and youth in particular, to increase voter turnout. Results of these will be documented to facilitate experience sharing with EMB officials of other developing countries for similar initiatives to be undertaken for better voter participation. In addition to holding of consultations and development of communication materials, ECI will provide parallel funding for the national segments.

iii. **Facilitate partnerships with other developing countries and South-south exchange of experience through international forums**
   Consultations with Electoral Management Bodies (EMBs) of other developing countries and a conclave with thought-leaders on democracy, elections and reforms will be held with a view to developing new partnerships, networking and exchange of experiences on election management. ECI will be supported to participate in Community of Practice meetings to develop new partnerships. Additionally to promote learning amongst EMBs, global best practices on electoral practices will be documented and shared at international forums and the conclaves in Delhi.

   For exchange of experiences, the EMBs officials from developing countries will be invited to India to study and witness the elections in one of the states so as to get the first hand learning and experience on the election administration and management. Similarly there will be visits by Experts of ECI to other countries for meeting knowledge and skill augmentation needs.

iv. **Advocacy for women's participation in electoral democracy and for a more inclusive democracy**
   Training and advocacy programmes for women and weaker and marginal section will be conducted in coordination with the Civil Society Organisations (CSOs), Department of Adult Education, GOI
and Academic Institutions with focus on narrowing the gender gap in electoral participation, and for inclusive elections.
Results framework:

Key area of UNDP strategic Plan:

**UNDAF / CPAP OUTCOME**: Governance systems are more inclusive, accountable, decentralized and programme implementation more effective for realization of rights of marginalized groups, especially women and children.

**CPAP OUTCOME Indicators:**
- Number of knowledge products / global best practices on election management. Baseline: TBE, Target: 7
- No. of knowledge products (monographs, articles, briefs, policy recommendations etc.) available in public domain (libraries, websites, etc.) Baseline: As available in 2011. Target: 10 knowledge products by 2017.

**CONTRIBUTING TO CPAP OUTPUT:**
South-South cooperation and partnerships are strengthened by:
- providing knowledge sharing platform for national and international (South-South) experience sharing
- supporting ECI to facilitate sharing of India’s electoral management experience with other countries and support training and knowledge sharing through IIIDEM

**CONTRIBUTING TO CPAP 5 year target:**

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<th>INTENDED PROJECT OUTPUTS over 5 years</th>
<th>OUTPUT TARGETS FOR each year</th>
<th>INDICATIVE ACTIVITIES</th>
<th>RESPONSIBLE PARTIES</th>
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<td>Triangular Partnerships for exchange of learning and experiences on electoral administration and management enhanced for SAARC and other developing countries</td>
<td>Target Made available the elections experience from India.</td>
<td>Activities Consultation in Delhi with the Heads of Election Management Bodies of SAARC and other developing countries Study visit of EMB officials to witness the state assembly elections in India and also visit by ECI experts to other countries</td>
<td>UNDP, Election Commission of India, India International Institute on Democracy and Election Management, CSOs, NGOs, Academic institutions</td>
<td>300,000</td>
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<td>Output 2</td>
<td>Target</td>
<td>Develop Knowledge products on election administration and management with focus on:</td>
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</table>
| Capacities of national and international Election Management Body (EMB) officials enhanced for inclusive voter participation through Election Commission of India and India International Institute of Democracy and Election Management (IIIDEM) | Strengthened and exchanged the knowledge and good practices on election administration and management. |- Enhanced Voter Participation  
- Expenditure control and monitoring in elections  
- Electoral Roll Management  
- Election Management  
- Model Code of Conduct |

**Consultation / conclave on Democracy and Election Management at IIIDEM Delhi**

**Consultation with Youth organizations for enhanced voter participation**

**Consultation with Women organizations for enhanced voter participation**

Support knowledge sharing and learning amongst EMBs viz. Forum of EMBs of South Asia and other developing countries.

Coordinate with UNDP Country Offices in other countries for south-south partnerships.

Support knowledge sharing and learning amongst EMBs viz. Forum of EMBs of South Asia and other developing countries.

**UNDP, Election Commission of India, India International Institute on Democracy and Election Management, CSOs, NGOs, Academic institutions**

500,000
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<th>Staff Salary and Project Management Costs</th>
<th>200,000</th>
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<tr>
<td><strong>Total</strong></td>
<td><strong>1,000,000</strong></td>
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</table>
III. MANAGEMENT ARRANGEMENTS

The project will be directly implemented by UNDP in close cooperation and consultation with the Election Commission of India.

The UNDP Country Office will be responsible for all financial management, reporting, procurement and recruitment services and issues. UNDP recruitment and procurement rules will apply. Election Commission of India will designate a focal point in ECI to support the implementation of different activities of the work plan.

UNDP will prepare a budgeted Annual Work Plan on an annual basis, as per UNDP rules and regulations, which will be shared with the Election Commission of India for comments and inputs.

Under the Government of India (GOI)-UNDP Country Programme (2013-17), the Country Programme Management Boards (CPMB) co-chaired by DEA and UNDP provides guidance and oversight to the different programme areas. This project will be reviewed at the CPMB meetings which will take place twice a year. The CPMB is overall country programme oversight mechanism chaired by Government Coordinating Agency (in this case DEA) and UNDP. ECI will be invited to CPMB meetings.

At the programme level, coordination and oversight will be provided by Outcome Board established for the Governance outcome area. The Outcome Board will meet twice a year. The review and recommendations of the Outcome Board will feed into the CPMB annual strategic review meeting (in the last quarter of the year) and mid-year between DEA and UNDP together with the implementing Partner.

A Project Steering Committee (PSC), the group responsible for making by consensus, management decisions for a project including approval of project work plans and revisions, will comprise representatives from the ECI and UNDP. In order to ensure UNDP’s ultimate accountability, PSC decisions will be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the PSC, final decision shall rest with the UNDP. The PSC will be responsible to:

- Ensure project is in line with the priorities of the Government
- Monitor and review project progress and provide direction and recommendation to ensure that the agreed deliverables are produced satisfactorily according to the plan
- Provide advice when substantive changes are needed in the project’s planned results and strategies
- Review project expenditure and financial progress against activities and outputs

PSC will be convened at least once a year but efforts will be made to organise quarterly meetings to ensure regular follow up.

The project will identify Responsible Parties for carrying out the work plan activities and produce project outputs under the overall guidance of the PSC. Responsible parties include UN agencies, Government agencies, inter-governmental organizations (IGOs), civil society organizations (CSOs) and private firms. All responsible parties are accountable directly to the implementing partner in accordance with the terms of their agreement or contract with the implementing partner.

Project Assurance: The project assurance will be the responsibility of UNDP. The Assurance will be performed by the official other than the UNDP Project Manager. The project assurance role will support the PSC by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. A DCD / ACD will typically hold the Project Assurance role on behalf of UNDP.

- Ensure that funds are made available to the project;
- Ensure the project is making progress towards intended outputs;
- Ensure that the project progress and financial reports are prepared on time and presented to the PSC
- Ensure that risks are properly managed and regularly updated
- Ensure periodic monitoring visits and spot checks
- Ensure that critical project information is monitored and updated in Atlas;

UNDP will designate a Project Manager for the day to day management of the project supported by a Project Support team

○ **Project Manager:** The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Implementing Partner within the constraints laid down by the PSC. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager’s prime responsibility is to ensure that the project produces the results (outputs) specified in the project document, to the required standard of quality and within the specified constraints of time and cost. UNDP will appoint the Project Manager, who should be different from the Implementing Partner’s representative in the Outcome Board and from the person holding Project Assurance role.

○ **Project Support:** The Project Support role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance. The Project Support team will comprise of technical and administrative project staff appointed by UNDP and reporting to the Project Manager. United Nations Volunteers will also be used to help Project Manager achieve planned targets and results.

**Fund Flow Arrangement**

The UNDP Financial Rules and Regulations as well as charges will apply for expenditure incurred under the project. Funds will be released to vendors and third parties for agreed activities according to the approved AWP. The Project Manager will be responsible for compilation and collation of the financial reports and will coordinate the preparation of financial reports within the finance section of the Country Office. Unspent funds from the approved AWPs will be reviewed in the early part of the last quarter of the calendar year and funds reallocated accordingly.

**Audit**

The project shall be subject to audit in accordance with UNDP rules and regulations.

**IV. MONITORING FRAMEWORK AND EVALUATION**

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

A. **MONTHLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided at Annex1. These monthly reports will be consolidated, as required, by UNDP’s quality assurance team for progress review meetings.

B. **ONE TIME RISK LOG:** Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner. Use the standard Risk Log template

C. **QUARTERLY FINANCIAL REPORT:** The Implementing Partner (IP) will make use of the Funding Authorization and Certificate of Expenditures (FACE) to request for advances and report on expenditures made on a quarterly basis, or more frequently if agreed. The implementing partner
must submit the FACE at the end of each quarter, within the first 10 days of the following quarter. Together with the FACE, the project has to send a copy of the bank statement as up to the date of the end of the period reported and the itemized cost estimates of the activities to be funded. The FACE form has to be certified by the designated official from the IP.

D. In case a project EVALUATION is required, please indicate the justification and proposed timing for the evaluation. A project evaluation is required only when mandated by partnership protocols such as GEF. However, a project evaluation may be required due to the complexity or innovative aspects of the project.

E. ANNUAL REVIEW REPORT: An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format at Annex 2 will used to provide brief description of results achieved in the year against pre-defined annual targets.

F. ANNUAL PROJECT REVIEW. Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

V. LEGAL CONTEXT — CLICK HERE FOR THE STANDARD TEXT.

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference, constitute together the instrument envisaged and defined in the Supplemental Provisions to the Project attached hereto and forming an integral part hereof, as the Project Document.

Consistent with the above Supplemental Provisions, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

b) assume all risks and liabilities related to the implementing Partner’s security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner’s obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner].

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/sc/committees/1267/ag_sanctions_list.shtml. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

VI. SECURITY UNIT WORK PLAN: PLEASE ATTACH WITH AWP THE SECURITY PLAN IN THE STANDARD TEMPLATE. THE TEMPLATE IS BEING FINALIZED.

3 Use bracketed text only when IP is an NGO/IGO
Annex 1 – Monthly progress report format

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<th>Project Title</th>
<th>Implementing Partner</th>
<th>Month/Year</th>
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<td>Planned activities</td>
<td>Month of completion</td>
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<td>UNDP strategic Plan: UNDAF/CPAP OUTCOME</td>
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**Follow-up Actions: Lessons learned, project shortcomings and solutions**
Agreements: as applicable, any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs⁴ (where the NGO is designated as the “executing entity”) should be attached.

Annex 4

Capacity Assessment: as applicable, results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

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⁴ For GEF projects, the agreement with any NGO pre-selected to be the main contractor should include the rationale for having pre-selected that NGO.