United Nations Development Programme INDIA

Project Title: Strategic Programmatic Engagement at State Level
Implementing Partner: UNDP

UNDP Strategic Plan Outcome 7.6: Development debates and actions at all levels prioritise poverty, inequality and exclusion, consistent with our engagement principles

UNDP Strategic Plan Output 7.6: Innovative development solutions and partnerships

UNDAF/CPAP Outcome: Inclusive and equitable growth policies and poverty reduction strategies of the Government are strengthened to ensure that most vulnerable and marginalized people in rural and urban areas have greater access to productive assets, decent employment, skills development, social protection and sustainable livelihoods.

PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)

A. State the specific development challenge or gap that this AWP is addressing.

India is a federal democracy with more than half of general government expenditures being undertaken at the state or district levels. The extent of inter-state differences in the pace of economic growth and development, in the past decade, has been an area of concern. This AWP seeks to work closely with state Governments to improve delivery mechanisms and increase the efficiency and effectiveness of governance structures and programmes. Project and programme level UNDP evaluations have recommended greater emphasis on state level monitoring of UNDP projects and activities, based on closer interactions with local stakeholders and beneficiaries. Development outcomes in India indicate that

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
☐ Changes in policies, plans, budgets and legislation through support to national assessment, planning, budgeting, policy making

C. List the possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP.

D. List the gender issues in this AWP and specific ways in which they will be addressed.

Programme Period: 2013-2017
Key Result Area (Strategic Plan): All
Atlas Project ID: 00074556
Atlas Output ID: 00082275
Start date: 1 Jan. 2013
End Date: 31 Dec. 2017
PAC Meeting Date: 10 September 2013
Implementation modality: DIM

2014 AWP budget: US$ 500,000
- Regular: US$ 500,000
- Donor: 
- Government: 
- In-kind Contributions (GEF)

<table>
<thead>
<tr>
<th>Total Project Budget</th>
<th>Exp 2013</th>
<th>Budget 2014</th>
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<tbody>
<tr>
<td>1,500,000</td>
<td>359,046</td>
<td>500,000</td>
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Agreed by UNDP:

Alexandra Solovieva
UNDP India Country Director
<table>
<thead>
<tr>
<th>Annual OUTPUTS 2014</th>
<th>PLANNED ACTIVITIES</th>
<th>Month of completion</th>
<th>RESPONSIBLE PARTY</th>
<th>PLANNED BUDGET</th>
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<tr>
<td></td>
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<td>Funding Source</td>
<td>Budget Description</td>
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<tr>
<td>State governments in UNDAF states provided high quality analysis and advice on programme implementation bottlenecks</td>
<td>Implementing mechanisms for improved monitoring of key development schemes</td>
<td>December</td>
<td>TBD</td>
<td>UNDP</td>
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<td></td>
<td>Knowledge partnerships with state level stakeholders for undertaking primary and secondary research</td>
<td>December</td>
<td>TBD</td>
<td>UNDP</td>
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<td>Sub total</td>
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<td>State governments in UNDAF states provided with support to ensure higher inclusion and participation of excluded groups in governance and implementation</td>
<td>Consultations on inclusion, especially of tribals and dalits in UNDAF states</td>
<td>December</td>
<td>TBD</td>
<td>UNDP</td>
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<tr>
<td></td>
<td>Develop increased understanding of sustainable development issues among key development partners at state level</td>
<td>December</td>
<td>TBD</td>
<td>UNDP</td>
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<td>Developing state level partnerships with organisation of marginalised groups to ensure greater participation</td>
<td>December</td>
<td>TBD</td>
<td>UNDP</td>
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<td>Sub total</td>
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<tr>
<td>Results of UNDP partnership with state governments documented and disseminated among UNDAF states and other partners</td>
<td>Documentation of success stories</td>
<td>December</td>
<td>TBC</td>
<td>UNDP</td>
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<td>Dissemination through local, national and international websites and other channels</td>
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<td>Sub total</td>
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<td>TOTAL IN USD</td>
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<td>Project staff salaries and project management expenses</td>
<td>Dev Effectiveness</td>
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<tr>
<td>AWP GRAND TOTAL IN USD</td>
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UNDP will enter into agreements(s) with other organizations or entities for providing goods and services to the project, carry out project activities and produce project outputs.

UNDP, together with Implementing Partners, The Project Team, will ensure that the annual budget will be used to update and adjust the annual workplan and budget for the coming year(s), if required.

UNDP will inform the Outcome Board about the results of the review.

In order to ensure UNDP’s ultimate accountability, PSC decisions will be made in accordance with standards that ensure management for solution of emerging problems, and in addition, the PSC will be responsible for regular project reviews to ensure that agreed deliverables are produced satisfactorily, according to plans and timelines, assess and decide on proposed changes through appropriate revisions and updates on any contracts within the project or negotiate a

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Project Steering Committee: Overseeing of project level activities will be provided by the Project Steering Committee (PSC) that will be chaired by the

UNDP will prepare a budgeted annual work plan on an annual basis, as per UNDP rules and regulations.

UNDP will implement the project in close cooperation with government and non-government partners.

Project Monitoring and Evaluation:

UNDP will be directly implemented by UNDP in close cooperation with government and non-government partners.

Management Arrangements:

UNDP will be responsible for the effective use of resources and the achievement of the project outcomes as set forth in the document. UNDP will

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An independent external review may be conducted through resource persons/groups to feed into this process. The UNDP official responsible for the PSC:

- Ensure that the PSC is made accessible to the project.

The assurance will:

- Prepare the annual review report, submit the report to the PSC.
- Collect and analyze relevant project information.
- Coordinate the project activities, including the preparation of annual and quarterly work plans, budget, financial reports, etc.
- Reporting on progress including measures to address challenges and opportunities.
- Continuous and monitoring progress and risks.
- Ensuring that changes are controlled and problems addressed.
- Regular progress reporting to the PSC.
- Checking on progress and watch for plan deviations.
- Implementing activities by mobilizing goods and services.
- Managing the overall condund of the project.

Programme officers will be responsible for:

- The preparation of annual and quarterly work plans, budget, financial reports, etc.
- Ensuring that UNDP funds, under Programme officers, for each of the UNDP stages, is used for implementing the project activities including monitoring progress and risks.
Funds from Arrangements and Financial Management:

- Background guidelines of the agencies.
- In order to accord proper acknowledgment to partners, UNDP and partner logos should appear on all relevant project publications as applicable and where it is

Agreement on the intellectual property rights and use of logo on the project's deliverables:

- Monitor and evaluate activities carried out by responsible parties.
- Review technical reports.
- Provide support in the use of maps for monitoring and reporting.
- Assist in the financial management tasks under the responsibility of the Project Coordinator and Manager.
- Complete, copy and distribute all project reports.
- Establish and maintain a good relationship.
- Administer project revision control.
- Administer project meetings and reviews.
- Ensure that the project manager in updating project plans.
- Collect project-related information data.
- Set up and maintain project files.
- Technical expertise.
- Project Assistant provides project management assistance, management and technical support to the Project Manager as required by the needs of the individual project, wherever required with the following responsibilities:

- Capture lessons learned during project implementation – a lesson learned log can be used in this regard.
- Manage and monitor the project risks initially identified and submit new risks to the Project Board for consideration and decision on possible actions if required. Update the list.
- Ensure continuous improvement of the project monitoring system and update the project plan as required.
- Monitor the activities of the project and model progress against the approved work-plan.

Project Manager will be appointed with the following responsibilities:

- Establishment and maintenance of good relationship with all stakeholders.
- Ensure continuous improvement of the project monitoring system and update the project plan as required.
UNDP will prepare a budgeted Annual Work Plan on an Annual basis, as per UNDP rules and regulations. UNDP may identify a Responsible Party to carry out activities within a DIM project. A Responsible Party is defined as an entity that has been selected to act on behalf of the UNDP on the basis of a written agreement or contract to purchase goods or provide services using the project budget. All Responsible Parties are directly accountable to UNDP in accordance with the terms of their agreement or contract with UNDP. The Responsible Party may follow its own procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of the responsible party, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.

Audit: The audit will be governed as per UNDP norms.

Project Closure:
Project will be closed as per UNDP guidelines.

II. 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 Annex 1. 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. EVALUATION: NA

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 be used to provide a brief description of results achieved in the year against the 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.