Annual Work Plan (Cover Page)

UNDAF Outcome(s): Reduction in HIV/AIDS prevalence rate amongst vulnerable groups and improved quality of life for positive people

Expected CP Outcome(s): Policies and programmes implemented through multi-stakeholder approaches to protect the human rights of people affected by AIDS, reduce HIV related vulnerability of sexual minorities, and address the impact of AIDS on women and girls

Expected CP Output(s): Civil society, Government and private sector implement policies and programmes of NACP3

Implementing partner: UNDP

Responsible Parties: State AIDS Control Societies (SACS) in the five states, Identified Agencies listed in the AWP budget sheet

**Narrative**

Under the joint-UN project to assist NACO in the north-east, this annual work plan for 2009 for the UNDP Project 'Support to National Initiatives to mainstream HIV in the North-East' presents a summary of project outputs & indicators, annual target and available resources. The indicators are firmly aligned with the overall NACP3 implementation plan for the period 2008-12. All quantitative results from this project will contribute to the 5 year result targets of the NACP3.

This project is directly implemented by UNDP, in collaboration with the North-Eastern Regional Office (NERO) of NACO at Guwahati, in the states of Mizoram, Manipur, Nagaland and Meghalaya. Key areas of work are HIV mainstreaming and integration in state govt departments like Police, Education, women and child etc, strengthening PLHIV networks at state and district levels, developing and implementing livelihoods strategies and options for PLHIV and their widows, innovative communication and media initiatives.

This annual work plan includes, among other things, development and implementation of livelihoods programmes in Manipur and Mizoram, strengthening of four state and 22 district level (A&B) networks of PLHIV, development of organizational strength to operationalise GIPA. Design and implementation of Community mobilization activities (FBOs, Youth Clubs) for stigma reduction & increased uptake of HIV services, and supporting inter departmental action through SACS to encourage HIV integration in strategic departments. The implementation of the work-plan will be done in close coordination with partners at the state, district and village levels. Specific emphasis will be placed on interventions that contribute to departmental initiatives to address HIV, innovative communication and media initiatives specifically to reduce stigma and increase uptake of services, enhanced access of services to women and girls, outboard migrants, excluded groups, and difficult to reach populations, and generation and nurturing of partnerships with Faith Based organizations and networks.

<table>
<thead>
<tr>
<th>Programme Period:</th>
<th>January 2007- December 2011</th>
</tr>
</thead>
<tbody>
<tr>
<td>Programme Component:</td>
<td>Capacity Development: Partnership Building: Communication &amp; advocacy</td>
</tr>
<tr>
<td>Intervention Title:</td>
<td>Support to the National Initiatives to Mainstream HIV in the North-East</td>
</tr>
<tr>
<td>Budget Code:</td>
<td>30000</td>
</tr>
<tr>
<td>Duration:</td>
<td>January – December 2009</td>
</tr>
</tbody>
</table>

| Estimated annualized budget: | 485,417 |
| Allocated resources: | 485,417 |
| Government | |
| Regular | |
| Other: | |
| UNAIDS | 485,417 |
| Donor | |

Unfunded budget:

Agreed by (Implementing Partner):
Date:

Agreed by (UNDP):
Date:

Signature: [Signature]

 Jerome Sauvage
 Deputy Country Director (Operations)
## ANNUAL WORKPLAN

**Project Title:** Support to National Initiatives to Mainstream HIV in the North-East

### Outputs and Indicators Including Annual Targets

<table>
<thead>
<tr>
<th>Outputs</th>
<th>PLANNED</th>
<th>TIMEFRAME</th>
<th>RESPONSIBLE PARTY</th>
</tr>
</thead>
<tbody>
<tr>
<td>NE - Community mobilisation and advocacy</td>
<td>UNDP</td>
<td></td>
<td></td>
</tr>
<tr>
<td>NE - Technical support to NERO and 4 states</td>
<td>UNDP</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Indicators

- Number of state-level departments which have integrated HIV in their response
- Number of frontline workers trained
- Strengthened Link Workers functional
- DLNs set up
- DLNs and SNLS strengthened
- District level NGO forums set up
- FBO partnerships developed
- Number of PLHIV who received livelihood support

### Planned Budget

<table>
<thead>
<tr>
<th>Fund Source</th>
<th>Donor</th>
<th>Budget Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rs. US$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30000 00297 72100</td>
<td>Contractual services - Companies</td>
<td>5,973,200</td>
<td>127,089</td>
</tr>
<tr>
<td>74100</td>
<td>Professional Services</td>
<td>4,150,000</td>
<td>88,298</td>
</tr>
<tr>
<td>72600</td>
<td>Micro-capital grants</td>
<td>1,866,000</td>
<td>39,702</td>
</tr>
<tr>
<td>74200</td>
<td>Audio visual &amp; printing production costs</td>
<td>2,248,000</td>
<td>47,830</td>
</tr>
<tr>
<td>71300</td>
<td>Local Consultants</td>
<td>3,185,000</td>
<td>67,766</td>
</tr>
<tr>
<td>71400</td>
<td>Service Contracts - individual</td>
<td>690,043</td>
<td>14,682</td>
</tr>
<tr>
<td>71600</td>
<td>Travel</td>
<td>900,000</td>
<td>19,149</td>
</tr>
<tr>
<td>72700</td>
<td>Hospitality - Special events</td>
<td>1,700,000</td>
<td>36,170</td>
</tr>
<tr>
<td>74500</td>
<td>Miscellaneous Expenses</td>
<td>500,000</td>
<td>10,638</td>
</tr>
</tbody>
</table>

**Remarks**

- PLHIV state consultations – needs assessments (OD, livelihoods etc) (Subline 72160)
- PLHIV livelihoods: Rs. 17,30,000 for livelihood trg and options in Nagaland; Rs. 34,60,000 for 1 state; Rs. 41,700 for video doc trg in Mizoram; Rs. 241,500 for Nagaland (Subline 72145)
- PLHIV network support for OD and leadership trainings (initiating the formation of a district PLHIV networks) = Rs. 1,50,000 x 21 districts for network OD & leadership trg + Rs. 5 lakhs each for setting up of DLNs in 2 districts (Subline 74105)
- Planning and implementation of FBO strategy: (1) Faith-based regional meeting = Rs. 2,66,000; (2) FBO project implementation @ Rs. 4 lakhs x 4 organisations = Rs. 16 lakhs. (Subline 72605)
- Media, communication and advocacy: (1) Media orientation on anti-Stigma issues = Rs. 3,68,000 balance for media sensitisation; (2) Rs. 13,80,000 balance for Rock4Life; Rs. 5 lakhs for mainstreaming products. (Subline 74225)
- Tech support to NE (1 person) + Tech support to 4 states (total 4 persons). Rs. 7,85,000 for NE Office and Rs. 50,000 x 4 x 12 for states (Subline 71305)
- Programme Support from UNDP: Rs. 80,000 x 6; Communication cost $4,469 (Subline 71405)
- Travel: (1) NE team: Rs. 7 lakhs (Subline 71610); (2) UNDP: Rs. 2 lakhs (Subline 71633)
- Capacity development for mainstreaming: (1) State dept sensitisation/training by SACS @ Rs. 1 lakh per event x 3 events per state x 4 states = Rs. 12 lakhs; (2) Regional sensitisation/training by NERO @ Rs. 2.5 lakhs x 2 events = Rs. 5 lakhs (Subline 72705)
- Miscellaneous: (1) NE team: Rs. 4 lakhs; (2) UNDP: 1 lakh.

### Project Total

<table>
<thead>
<tr>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>8,577,400</td>
</tr>
<tr>
<td>485,417</td>
</tr>
</tbody>
</table>
‘SUPPORT TO NATIONAL INITIATIVES TO MAINSTREAM HIV IN THE NORTH-EAST

MANAGEMENT ARRANGEMENTS

A Programme Management Board (PMB) convened by DEA and UNDP for the HIV Programme Outcome will oversee the delivery and achievement of results at the Outcome level. The PMB will comprise DEA, UNDP and NACO.

The project will be implemented by UNDP which will be responsible for achieving planned project results. Deputy Country Director, UNDP will be responsible for overall management, including achievement of planned results, and for the effective use of UNDP funds through well established project review and oversight mechanisms. S/he will be assisted by the Assistant Country Director (HIV) and her/his unit for the day-to-day management of the project.

A Programme Officer in the HIV Unit, UNDP will be the Project Manager who will support the Project Team situated at the North-East Regional Officer (NERO) of NACO and the SACS in the four project states. The Project Officer (Mainstreaming) at NERO will carry-out the day-to-day management of the work to ensure implementation of all project activities. The Programme Officer will coordinate the project activities including the preparation of Plans, Budget, and interface between UNDP and the Project Officer (Mainstreaming). The Project Officer (Mainstreaming) will interface between UNDP, the Project Team and the Responsible Parties (RPs – organisations and/or individuals contracted by NACO to produce project deliverables¹) and will coordinate the day-to-day activities of the project including the preparation of annual and quarterly workplans, reporting to UNDP and ensuring timely and qualitative project deliverables by the RPs.

UNDP will sign a budgeted Annual Work Plan on a calendar year basis, as per UNDP rules and regulations. This AWP will guide the implementation of the project activities during that calendar year. UNDP will manage the project, based on the signed AWP, under the guidance of the Project Steering Committee.

This project, being part of the joint-UN initiative for the North-East, is monitored by the Project Steering Committee for the joint initiative. Thus, the components of this AWP become part of the joint UN workplan for the joint initiative which is vetted and monitored by the Steering Committee on a quarterly basis.

The components of the AWP are also part of the joint UN support plan to the NACO which is agreed upon between UNAIDS and NACO. UNAIDS, with inputs from all the participating UN agencies, updates NACO on the progress of the joint support plan on a regular basis.

A. Prior obligations and pre-requisites

- The UNAIDS convenes and S&DG, NACO chairs the Project Steering Committee quarterly to monitor and guide project implementation.

- NERO and SACS provide technical support to facilitate participation of the civil society² in the national efforts to expand the coverage and impact of the country’s HIV response in the northeast.

If anticipated fulfilment of one or more of the above pre-requisites-obligations fails to materialise, UNDP may, at its discretion, either suspend or terminate its assistance.

¹ UNDP User Guide – Results Management, 2005
² ‘Civil society’ includes PLHIV networks, NGOs, private sector, public sector, media, etc.
On its part, UNDP undertakes to, in addition to the funding of the project, assign one or more of its officers as ‘Project Assurance’ who will be responsible for project oversight and monitoring.

Project Management Arrangements

**Project Steering Committee (PSC):** UNDP will take necessary action to ensure that the project plan includes necessary aspects required to deliver the expected outputs and identifies initiatives that will clearly contribute to achieving planned outcomes. The ACD (HIV), UNDP will be responsible for the overall management of the project. The main institutional mechanism for guiding the Project at this level will be the Project Steering Committee instituted for the joint-UN initiative in the North-East.

The PSC will be convened by UNAIDS and will comprise of the S&DG, NACO, the UN agencies participating in the North-East initiative and the UN Team Leader for the project. The PSC will be the group responsible for making executive management decisions for the project and providing guidance when required by the Responsible Parties.

In particular, the PSC will carry out the following functions:

- Approve the joint-UN Plan;
- Ensure that the project goals and objectives are achieved in the defined timeframe;
- Review the project progress and suggest implementation strategies periodically;
- Provide guidance for cost effective implementation.

The PSC will be responsible for holding project reviews on a quarterly basis during the running of the project, or as necessary when requested by the participating agencies.

**Project Assurance (UNDP):** Project Assurance role will support PSC by carrying out objective and independent project oversight and monitoring functions. During the implementation of the project, this role ensures (through periodic monitoring, assessment and evaluations) that appropriate project management milestones are managed and completed. This role will be the responsibility of UNDP ACD.

Project Assurance, in collaboration with the Programme Officer, will convene an annual review meeting involving all Responsible Parties and other stakeholders to review the progress in the previous year and agree on the workplan for the coming year. An independent external review may be conducted through resource persons/groups to feed into this process. Project Assurance will be responsible for:

- Facilitating timely decision on project management issues such as budget structure, annual workplan, financial management including advance of funds, implementation issues, audit and follow-up.
- Exploring opportunities for flexible management, in tune with the ongoing rationalisation in governmental procedures and the fast-evolving UNDP reforms.
- Implementing the monitoring, evaluation and research strategy, particularly ensuring participatory monitoring and evaluation (PMD).
- Assessing development outcomes vis-à-vis the planned targets.
- Identifying policy lessons from the project, which are replicable.
**Project Manager:** The Project Manager for this project will be the Programme Officer in the HIV Team at UNDP/India. S/he will be responsible for the day-to-day management, decision-making and coordination of the project, and will be accountable to the Project Assurance. The Project Manager will work in close collaboration with the NERO, the Project Team in the North-East and UNDP and undertake regular review of the project activities. S/he will monitor the progress of the project, ensure progress towards attainment of the outcomes. The Project Manager will ensure that the project produces the results specified in the project document, to the required standards of quality and within the specified time and cost. The Project Manager will prepare and submit to the PSC through the Project Assurance the following reports/documents:

Annual and Quarterly Work Plans, Quarterly and Annual Progress Reports (substantive and financial).

The Project Manager will also undertake monthly updates on Project Issues, Risks, Quality and Lessons Learnt, Communications and Monitoring Plan.

**Project Team:** A team will be set up in the North-Eastern region to assist the Project Manager in project administration and management. The team will be headed by the Project Officer (Mainstreaming) situated at NERO and will comprise one Project Officer each in the four participating SACS.
The Project Officer (Mainstreaming) at NERO will be responsible for steering the mainstreaming efforts in the region and coordinating and guiding the efforts of the Project Officers at the participating SACS. S/he will be responsible for the day-to-day management of the project. S/he will work in close coordination with the participating SACS, as well as other partner organizations and undertake routine monitoring. The Project Officer (Mainstreaming) will monitor the progress of the various RPs, ensure timely flow of funds to and submission of progress reports by RPs, and facilitate technical resources to the RPs as and when necessary in consultation with the Project Manager. S/he will prepare and submit to the Project Manager the following reports/documents:

Annual and Quarterly Work Plans, Quarterly and Annual Progress Reports (substantive and financial), monthly updates on Project Issues, Risks, Quality and Lessons Learnt, Communications and Monitoring Plan.

The Project Officers in the participating SACS will be responsible for the mainstreaming efforts at the state level and for coordinating and guiding the efforts of various Departments, government bodies and the civil society, and will be guided by and report to, on a day-to-day basis, to the Project Officer (Mainstreaming) at NERO.

**Responsible Parties:** To achieve project results, Responsible Parties will be identified. These could be NGOs, civil society organizations (CSOs), financial institutions, private sector development agencies or UN agencies. Accordingly, the NGOs, PLHIV networks and any other institution contracted for project deliverables are referred to as Responsible Parties. The Responsible Party (ies) for the project will be responsible for the implementation of project activities and will carry them out under the overall guidance of the Project Steering Committee. RPs will submit annual workplans (with timelines and budget), and annual revisions to the Project Officer. They will report on quarterly basis to the Project Officer on agreed lines and seek her/his guidance in case of implementation bottlenecks requiring deviations from, delays or closure of agreed tasks/activities.

**B. Fund flow arrangement and financial management**

Annual Work Plan (AWP) is an important tool for effective project management. For activities planned under this AWP, UNDP as the implementing partner will take necessary action for procurement of services and fund disbursement will be done directly by UNDP as per its rules and procedures.

In accordance with the AWP, UNDP, in consultation with NERO, will enter into contractual agreements with the Responsible Parties. UNDP will release funds directly to the RPs as per the terms of the agreement. For the smooth functioning of the Project Team and to facilitate day-to-day management of the project, UNDP will release funds directly to NERO based on a workplan, quarterly reports and quarterly workplans (based on the approved workplan). UNDP and NERO will enter into an agreement for this purpose.

The Responsible Parties, including NERO, shall maintain a separate savings bank account in order to receive and disburse UNDP funds. Separate books of accounts on cash basis of accounting shall also be maintained in order to ensure accurate reporting of expenditures and providing a clear audit trail.

The Responsible Parties, including NERO, will report progress and disbursement on a quarterly basis, or as specified in the agreement, to the Project Manager and UNDP. Request for release of funds will be made to the Project Manager as per the approved workplan. The Financial Report will contain, in addition to the information on funds required, information on expenditure during the quarter or preceding period and available balance. UNDP will release funds based on the duly certified and signed financial report and the request for advance which will contain a detailed
workplan derived from the approved work plan. Interest earned on UNDP funds will become part of the ‘available funds’ and will be adjusted against subsequent releases of funds.

Any unspent balances at the end of the project will be returned to UNDP within three months of project closure.

UNDP CO shall maintain accounts in respect of all disbursements made on behalf of the project, which will be audited by UNDP’s auditors. UNDP shall generate, verify and sign the quarterly and annual combined delivery reports (CDRs) which reflect all expenditures incurred under the project, for information and certification.

Interest Clause: A separate Savings Bank Account will be opened by the Responsible Parties in the name of the project and any interest accrued on the project money during the project cycle will be ploughed back into the project in consultation with UNDP and project budget will stand revised to this extent. In case there is no scope for ploughing back, the interest will be refunded to UNDP.

C. Audit
The project shall be subject to audit in accordance with UNDP procedures, rules and regulations.

INCLUSION FOR THE MOST DISADVANTAGED, ESPECIALLY WOMEN AND GIRLS

UNDP’s country programme is positioned within the over-arching objective of the India-United Nations Development Assistance Framework (UNDAF) 2008-2012 - the strategic framework for the UN in India. UNDAF, in its support to the Government’s national priorities, focuses on: “Promoting social, economic and political inclusion for the most disadvantaged, especially women and girls”. As the UNDAF is a central pillar of the GOI/UNDP Country Programme (2008-2012), all UNDP-supported projects are required to mainstream strategies towards achieving this goal.

Accordingly, this project will give special attention to ensuring sensitivity to and integration of gender and equity concerns in both the site based and state and national level activities. In addition, the monitoring and evaluation system of the project will track progress in mainstreaming gender and equity issues.

**RISK ANALYSIS**

<table>
<thead>
<tr>
<th>Risk</th>
<th>Risk Rating (high/ medium/low)</th>
<th>Risk Minimisation Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk of outputs failing to translate into outcomes (e.g. complex policy environment, local ownership)</td>
<td>Medium</td>
<td>Regular meetings with the government to review progress and share project learnings.</td>
</tr>
<tr>
<td>Departments of the participating State Governments are not effective in mainstreaming HIV.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Non-HIV civil society organisations unwilling to become partners.</td>
<td>Low</td>
<td></td>
</tr>
<tr>
<td>Insurgency impending progress of project activities</td>
<td>Medium</td>
<td>Careful choice of project locations and partners</td>
</tr>
<tr>
<td>Risk of outputs not being produced (e.g. constraints in partnership strategy, counterpart support, complex management arrangement)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fragmentation of PLHIV networks</td>
<td>Low</td>
<td>Encourage collaboration through state- and district-wide consultations</td>
</tr>
<tr>
<td>Operational mechanisms in joint-UN programming impeding progress</td>
<td>Low</td>
<td>Regular meetings of UN agencies to smoothen out the bottlenecks.</td>
</tr>
</tbody>
</table>
MONITORING & EVALUATION, COMMUNICATIONS & ADVOCACY

A. Monitoring and Evaluation

The PSC will monitor the progress of the project.

The Quarterly Progress Reports shall be submitted by the Project Manager to the PSC through the Project Assurance, using the UNDP standard report format available.

The Responsible Parties shall submit quarterly and annual progress reports (both financial and physical) to the Project Officer (Mainstreaming), using the UNDP standard report format. The Project Officer shall submit the consolidated quarterly and annual progress reports to the Project Manager. The Issue Log, Risk Log, Lessons-learned Log shall be activated and updated in the UNDP management system (ATLAS) based on the inputs by the Project Officer to facilitate tracking and resolution of problems and to enable sharing of the project learnings.

Project Assurance, in collaboration with the Project Manager, will conduct an annual review involving all RP’s and other stakeholders, as needed, to review the progress and agree on the workplan for the coming year. An independent external review may be conducted through resource persons/groups to feed into this process.

Progress on targets shall be monitored through surveys by Resource Persons/Organisations or gathering of information by the Project Personnel.

In addition, a mid-term review of the project will be undertaken before the end of two years to track progress, take stock especially of the link worker concept to enable NACO/UNDP to decide on future course of action and mid-course corrections.

A terminal evaluation including assessment of sustainability and gender and GIPA dimensions will be carried out on completion of the project.

B. Communication and Advocacy, Lessons Learned, and Upscaling

Each Responsible Party will develop a concrete action plan along with budgetary outlays, to document and disseminate best practices for greater cross learning between project partners as well as for wider learning. The roles of different actors will be defined and the work-plans will reflect the different activities related to documentation (e.g. commissioning case studies, process documentation, issue-based studies, reviews, working papers) and wider dissemination through publications, inputs into websites, monographs and multi-mass media coverage as required.

The Responsible Parties will ensure effective communication that covers information gathering and sharing documentation with all project partners. The project will encourage documentation of key milestones during the project period through use of electronic and print media; coverage of key events by journalists and others; commissioning success stories with a strong human element and; facilitating linkages, wherever possible, with communication staff of the government. It will support mechanisms such as workshops to share and review experiences and lessons learnt at different levels within the project as well as implications for programme and policy formulation.

Relevant stakeholders will use the learning from the project for wider advocacy. The project could also consider setting up a facilitation group consisting of representatives of the media, the civil society, eminent persons and experts. It would serve as the project’s interface with the larger public advocating for rights and against stigma & discrimination. One percent of the total project budget will be allocated for communication and advocacy activities undertaken by UNDP.
LEGAL CONTEXT

This AWP together with CPAP signed by the Government and UNDP which is incorporated by reference constitute together the instrument envisaged in the Supplemental Provisions to the Project Document, attached hereto.

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. 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 this agreement.

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/Docs/sc/committees/1267/1267ListEng.htm. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.