



United Nations Development Programme

Country: India

2009 Annual Work Plan

**Project Title** **Strengthening State Plans for Human Development**

**UNDAF Outcome(s):** Public Administration at district, block and village levels made more effective to plan, manage and deliver public services, and be more accountable to the marginalized groups and by 2012, 11<sup>th</sup> Plan Targets related to the MDGs are on track in at least one district in each of the seven priority States

**Expected CP Outcome(s):** Capacities of elected representatives and State and district officials in the UNDAF focus states/districts enhanced to perform their roles effectively in local governance and human development oriented integrated planning

**Expected CP Output(s):** Institutions and mechanisms strengthened to enhance capacities of elected representatives and functionaries for human development oriented inclusive planning, implementation, and improved accountability in local governance.

**Implementing Partner:** Planning Commission

*State Governments*

- Assam
- Chhattisgarh
- Gujarat
- Himachal Pradesh
- Karnataka
- Kerala
- Madhya Pradesh
- Maharashtra
- Nagaland
- Orissa
- Punjab
- Rajasthan
- Sikkim
- Tamil Nadu
- West Bengal

**Responsible Parties:**

### Resource Institutions

Central Statistical Organisation (CSO)  
College of Agriculture Banking,  
Reserve Bank of India (RBI-CAB)  
Film & Television Institute of India (FTII)  
India Statistical Institute (ISI)  
Indira Gandhi Institute for Development  
Research (IGIDR)  
International Institute of Population Sciences (IIPS)  
National Institute of Public Finance &  
Policy (NIPFP)

### Brief Description

In India, the State-level Human Development Reports (SHDRs) have made an important contribution in terms of: (a) benchmarking the extent to which Plan targets – as well as global, international targets - on human development are being met; (b) providing for more effective human development action; and (c) assessing the extent to which these key recommendations are mainstreamed in the development plans at central and State levels and the impact this achieves.

The Planning Commission-UNDP Project “Strengthening State Plans for Human Development” (SSPHD) seeks to consolidate the momentum and ensure that the concepts underpinning the SHDRs become part of the mainstream planning agenda at the national and State levels. With this view, the project will strengthen State Plan processes and dialogue to focus more on human development concerns.

The 2009 AWP will specifically focus on further institutionalisation and completion of project activities such as (a) finalisation of district HDRs, (b) finalisation and dissemination of knowledge and advocacy products such as good practices resource book and HD films, (c) developing a cadre of HD trainers in State training institutions.

Programme Period:	2008-2012	2009 AWP budget:	1,154,747
Key Result Area (Strategic Plan):	Strengthening accountable and responsive governing institutions	Total resources required	10,960,000
Atlas Award ID:	00036190	Total allocated resources:	10,960,000
Start date:	1 January 2009	Regular	9,960,000
End Date:	31 December 2009	Other:	
PAC Meeting Date	16 January 2004	o Donor	1,000,000
Management Arrangements Implementation	National	o Donor	
		o Donor	
		o Government	
		Unfunded budget:	
		In-kind Contributions	

Agreed by (Implementing Partner): 

श्री अणुवर, ब्रिजवर्मान  
सयुक्त सचिव/Joint Secretary  
योजना आयोग/Planning Commission  
भारत सरकार/Go t. of India  
नई दिल्ली-01/New Delhi-01

  
Pieter Bult  
UNDP Deputy Country Director

30. 4. 2009

Agreed by UNDP:

## **1. PROJECT OVERVIEW:**

State Human Development Reports (SHDRs), prepared under the 1999-2005 SHDR project, have made an important contribution in terms of: (a) benchmarking the extent to which Plan targets – as well as global, international targets - on human development are being met; (b) providing, based on rigorous research, policy and programme options for more effective and efficient human development action; and (c) assessing the extent to which these key recommendations are being mainstreamed in the development plans at central and State levels and the impact this achieves. Secondly, they brought out differences and inequalities among States, districts and socio-economic groups, thus providing the analysis needed for more effective targeting of development programmes. Thirdly, they have provided policy makers with value-added policy alternatives and recommendations for holistic solutions to development challenges. Finally, the SHDRs were increasingly seen as being instrumental in spurring policy debate and making more informed decisions about development solutions.

The Project “Strengthening State Plans for Human Development seeks to consolidate the momentum and ensure that SHDRs become part of the mainstream planning agenda at the national and State levels. Under this project, State Plan processes and dialogue would be strengthened to focus more on human development concerns.

The two outputs expected from the project in 2009 are:

1. National Resource Institutions supported to provide documentation and training support in advocacy, capacity building, strengthening statistical systems and in exploring options for financing human development
2. Recommendations of State HDRs are integrated in State Planning agenda

Key activities at the national and State levels to be taken up for achieving the outputs are as follows:

1. Assisting State governments in follow-up to the SHDRs, by building the institutional capacity in the State Planning Boards and Departments;
2. Strengthening State statistical systems for better collection and reporting of district and local level indicators of human development, through development of methodologies, training modules and provision of expert services in tandem with the Planning Commission, State governments and national and State level statistical systems, particularly the Directorates of Economics and Statistics;
3. Identification of strategic options for financing of human development at the State level, through research, training and related studies, in tandem with specialised national resource institutions.



trained on human development and district planning in 2009	<b>Activity Result 3 – Training of Trainers on human development and district planning conducted</b>													
1.4. # of State specific studies on financing human development completed	One round of ToT conducted	<input checked="" type="checkbox"/>									RBI-CAB	TRAC	72125 (Institutional contract)	Rs. 45,00,000 USD 91,389.11
1.5 # of Statistical Officers trained on estimating district income in 2009	Four rounds of ToT conducted	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>										
	Two round of ToT conducted							<input checked="" type="checkbox"/>						
	<b>Activity Result 4 - Training on district income and HD indicators conducted</b>													
<b>Baseline:</b>	Proposal for training programme received	<input checked="" type="checkbox"/>									CSO	TRAC	72145 (Service contract)	Rs. 35,00,000 USD 71,080.42
1.1. Not released (2008)	Proposal approved by Planning Commission and UNDP	<input checked="" type="checkbox"/>												
1.2 – 19 (2008)	Training design and calendar finalized	<input checked="" type="checkbox"/>												
1.3 – 51 (2008)	5 rounds of training conducted			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>								
1.4 – 3 (2008)	<b>Activity Result 5 - Methodology for estimating district poverty proposed</b>													
1.5 – 0 (2009)														
<b>Targets –</b>														
1.1 – Release of Resource Book on HD (2009)	NSSO to review draft methodology	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>							ISI	TRAC	71305 (Local personnel)	Rs. 7,83,000 USD 15,901.71
1.2 - 30 (2009)	Methodology revised as per feedback			<input checked="" type="checkbox"/>										
1.3- 180 (2009)	Peer review			<input checked="" type="checkbox"/>										
1.4- 9 (2009)	Methodology finalised			<input checked="" type="checkbox"/>										
1.5- 125 (2009)														
<b>Related CP outcome:</b>														
Capacities of elected representatives and State	<b>Activity Result 6 – Papers on financing of human development presented to State governments</b>													

and district officials in the project states/districts enhanced to perform their roles effectively in local governance	Draft reports discussed	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		NIPFP	TRAC	72125	Rs. 32,40,000 USD 65,800.16	
	Drafts finalised			<input checked="" type="checkbox"/>					
<b>Baseline:</b> Draft PRSP (2)	<b>Activity Result 7 – State specific MDG based PRSP finalised in consultation with State governments</b>								
<b>Target:</b> Complete PRSP (3)	Comments received from State governments	<input checked="" type="checkbox"/>			IGDR			Activity already paid for from previous installments	
	Drafts of MDG based PRSPs finalised		<input checked="" type="checkbox"/>					Activity already paid for from previous installments	
<b>Activity Result 8 – Impact study on success of satellite based training programmes in Karnataka to assess the impact of the training programme on the target audience</b>									
	TORs for the study to be finalised	<input checked="" type="checkbox"/>			Planning Commission-UNDP			Funding required	not
	Hiring of Agency/Expert	<input checked="" type="checkbox"/>							
	Study completed		<input checked="" type="checkbox"/>		To be decided	TRAC	72125 (institutional contract)	Rs. 5,00,000 USD 10,154.35	
<b>Activity Result 9 – Stakeholders' consultation</b>									
	Identifying theme for stakeholder consultation	<input checked="" type="checkbox"/>			Planning Commission-UNDP			Funding required	not

1 USD = Rs. 49.24

	Organising stakeholder consultation	<input checked="" type="checkbox"/>				To be decided	TRAC	72145 (institutional contract)	Rs. 10,00,000 USD 20,308.69	
Monitoring tools for output 1 – Steering Committee meetings, Quarterly progress reports, Feedback from State governments, Project Standing Committee meetings.										
<b>Output 2</b> – Recommendations of State HDRs are integrated in State Planning agenda	<b>Indicators:</b> 2.1. Number of State Plans integrating human development and gender concerns. 2.2. Number of district HDRs completed	<b>Activity result 1 - HD Chapters written by State governments</b>					State governments	TRAC	72125 (institutional contract)	Rs. 2,22,70,000 <sup>2</sup> USD 452,274.6
		<b>Activity result 2 – District HDRs released</b>					State governments			
		Draft DHDRs reviewed	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>					
		Draft DHDRs re-written and peer reviewed		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>					
		Draft DHDRs finalised	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>					
		<b>Activity Result 3 – Thematic reports released</b>					State governments			
		Drafts of thematic reports peer-reviewed	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>					
		Drafts of thematic reports re-written and peer reviewed		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>					
		Drafts of thematic reports finalized		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>					
		<b>Activity Result 4 - Training programmes on HD and gender for various levels of officials and functionaries conducted</b>					State governments			

<sup>2</sup> The work-plans submitted by the State governments are for a higher amount. However, given the rate of utilization in the past years, the proposed expenditure is Rs. 2,22,70,000. A review will be done in May-June 2009 where the expenditure details will be finalised depending on the pace of progress. The state-wise expenditure proposed is HP – Rs. 51.5 lakhs, Maharashtra – Rs. 23 lakhs, Kerala – Rs. 45.75 lakhs, Nagaland – Rs. 50.7 lakhs, Chhattisgarh – Rs. 50 lakhs

Output 3 - Project management	Related CP outcome: Capacities of elected representatives and State and district officials in the UNDAF focus states/districts enhanced to perform their roles effectively in local governance	Resource identified	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	State governments	TRAC	72145 (Service Contract)	USD 50,000
		persons	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
Output 3 - Project management	Activity Result 5 - Activities on strengthening State statistical systems completed	Training conducted	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
		Resource institutions/ persons for training on statistical systems identified	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
		Training activities on statistical systems undertaken	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				
		Closure activities - documentation, workshop, final project evaluation	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	To be identified	TRAC	72145 (Service Contract)	USD 50,000
Running management costs	Audit	Running management costs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Planning Commission	TRAC	71505 (UN Volunteers)	USD 250,000
		Audit	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNDP	TRAC	72145 (Service Contract)	USD 9,200
		Travel	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Planning Commission	TRAC	71600 (Travel)	USD 25,000
Hospitality	Communication	Hospitality	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Planning Commission	TRAC	72700 (Hospitality/catering)	USD 500
		Communication	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Planning Commission	TRAC	73400 (Rental and maintenance equipment)	USD 20,000



	Miscellaneous services	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Planning Commission	TRAC	74100 (professional services)	USD 5,000
		<input checked="" type="checkbox"/>								
	ISS	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	UNDP	TRAC		USD 5000
<b>TOTAL</b>										USD 1,154,747

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### 3. MANAGEMENT ARRANGEMENTS

The Management Arrangements will be in accordance with the Project Document signed between UNDP and Planning Commission for the project attached herewith at Annex-1. The national Planning Commission will be the Implementing Partner for the project and will be responsible for its overall management, including achievement of planning results and for the use of UNDP funds.

The Project Standing Committee (PSC) constituted for the project will meet quarterly to review the progress against targets and expenditure. In addition to the PSC, the project progress will be reviewed at the Programme Management Board (PMB) established for the Governance practise area. The PMB will meet at least once a year.

At the State-level, the project will be located within the Department of Planning/State Planning Board/State Planning Commission and will be under the direct supervision of the Principal Secretary or Secretary of the Department of Planning or the Member-Secretary of the State Planning Board/Commission as the case may be.

A Human Development Cell set up within each State is assisting in the implementation of the project, especially for facilitating coordination within the respective State.

In addition, the project also envisages linkages with other agencies and resource persons/resource institutions for technical support, carrying out research studies and policy advocacy.

A project team led by the Project Manager in the Planning Commission will assist management of the day-to-day project-related activities under the overall guidance and supervision of the National Project Director. UNDP will work closely with the State Plans Division to ensure smooth implementation of the sub-programme, including its conformity to the strategic objectives of the Planning Commission and UNDP.

The Planning Commission will enter into an agreement with UNDP for the provision of implementation support services (ISS) provided by UNDP in the form of procurement of goods and services. UNDP rules and regulations as well as charges will apply in such cases. Also the cost for the implementation support services provided by UNDP will be charged as per UNDP rules and regulations. The details of UNDP's support services are outlined in the enclosed Letter of Agreement (Annex 2).

#### 3.1 Fund Flow Arrangements and Financial Management:

The project follows the direct payment to vendors or third party funding modality for obligations incurred by UN agencies in support of activities agreed with Planning Commission as stated in the CPAP. Funds will be released by UNDP on behalf of the Planning Commission to Responsible Parties (State Governments, resource institutions, consultants) with authorisation from the Planning Commission in accordance with the AWP. The quarterly expenditure will be reported in the Combined Delivery Report which will be signed by the Planning Commission and UNDP. The CDR will be supplemented by a detailed expenditure reported as per the format in Annex 3 to facilitate further reporting by the Planning Commission to CAAA. Unspent funds from the approved AWP's 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 procedures and as per the annual audit plan. The project shall be informed of the audit requirements by January of the following year. The audit covering annual calendar year expenditure will focus on the following parameters – (a) financial accounting, documenting and reporting; (b) monitoring, valuation and reporting; (c) use and control of non-extendable reporting; (d) UNDP Country Office support. In line with the UN Audit Board requirements for

submitting the final audit reports by 30 April, the auditors will carry out field visits during February/March. Detailed instructions on audit will be circulated by UNDP separately.

#### 4. MONITORING FRAMEWORK AND EVALUATION –

The M&E Framework described in the project document will be applicable.

Planning Commission will be responsible for regularly monitoring progress in project implementation. In this, it will be supported by the NPD and the Project Team, as above. Progress will be measured against the targets set out in the work plan and project logical framework. Project Team will be required to report relevant progress to the NPD and UNDP on a quarterly basis. Regular monitoring of the project will occur through this reporting mechanism as well as through site visits, as required.

In addition to normal Government monitoring as outlined in the project document attached herewith, UNDP will have the monitoring and reporting obligation for the programme. In this connection, additional M&E missions will be undertaken by UNDP when this is judged to be required, as for example when there is a need for an intermediate assessment of progress or impact before a decision is made as to the continuation of any given activity. This will be done in collaboration with the Planning Commission as well as with the other relevant stakeholders.

Annual review meetings with the participation of IP, project team, stakeholders and UNDP, will be held to review progress, identify problems, and agree on solutions to maintain timely provision of inputs/achievement of results. The PSC will review annual work plans as well as provide strategic advice on the most effective ways and means of implementation

#### Quality Management for Project Activity Results

Replicate the table for each activity result of the AWP to provide information on monitoring actions based on quality criteria. To be completed during the process "Defining a Project" if the information is available. This table shall be further refined during the process "Initiating a Project".

OUTPUT 1: Strengthening State Plans for Human Development		
<b>Activity Result 1</b> (Atlas Activity ID)	<i>Short title to be used for Atlas Activity ID</i> <i>Capacity Building</i>	Start Date: July 2004 End Date: December 2009
<b>Purpose</b>	<i>What is the purpose of the activity?</i> <i>Develop capacity of State Planning bodies for mainstreaming human development in State plans.</i>	
<b>Description</b>	<i>Planned actions to produce the activity result.</i> <ul style="list-style-type: none"> <li>A cadre of trainers on human development and district planning developed in participating States</li> </ul>	
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>
Quality of training programme held on HD and district planning	Review of the design of the National ToT programmes against quality criteria. Evaluation of feedback received from Trainees.	Quarterly
<b>Activity Result 2</b>	<i>Short title to be used for Atlas Activity</i>	

<b>(Atlas Activity ID)</b>	<i>ID</i> <i>Strengthening State statistical system</i>	
<b>Purpose</b>	<i>What is the purpose of the activity?</i> <i>To strengthen capacities of State statistical officials for collecting and analysing data on HD indicators</i>	
<b>Description</b>	<i>Planned actions to produce the activity result.</i> <ul style="list-style-type: none"><li><i>Training of officials from States' Directorates of Economics and Statistics on district income and HD indicators</i></li></ul>	
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>
<ul style="list-style-type: none"><li><i>Number of training programme held on State/district income and HD indicators</i></li><li><i>Number of participants from State training institutions</i></li></ul>	<i>Review of training design</i>	<i>July 2009</i>
<b>Activity Result 3 (Atlas Activity ID)</b>	<i>Short title to be used for Atlas Activity ID</i> <i>Financing for Human Development</i>	
<b>Purpose</b>	<i>What is the purpose of the activity?</i>  <i>Review of State finances to provide State specific options for financing to meet HD goals</i>	
<b>Description</b>	<i>Planned actions to produce the activity result</i>  <i>State specific research studies on financing to meet HD goals.</i>	
<b>Quality Criteria</b> <i>how/with what indicators the quality of the activity result will be measured?</i>	<b>Quality Method</b> <i>Means of verification. What method will be used to determine if quality criteria has been met?</i>	<b>Date of Assessment</b> <i>When will the assessment of quality be performed?</i>
<i>Ensuring State reviews of draft studies</i>	<i>Follow up with Resource Institutions and State governments</i>	<i>October 2009</i>

## 5. LEGAL CONTEXT

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together the instrument envisaged in the Supplemental Provisions to the Programme Document. Consistent with Supplemental Provisions, the responsibility for safety and security of the IP 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:

- put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the programme is being carried;
- 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 Programme 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). This provision must be included in all sub-contracts or sub-agreements entered into under this Programme Document.