

GOVERNMENT OF INDIA – UNITED NATIONS DEVELOPMENT PROGRAMME

**PROJECT BRIEF**

Project title	National and State-Level Support to Livelihood Promotion Strategies
Project start and end date	Start Date: October 1, 2008 End date: December 31, 2012
National priority as per 11 <sup>th</sup> Plan	The 11th Plan seeks to provide an opportunity "to restructure policies to achieve a new vision based on faster, more broad-based and inclusive growth." The plan emphasizes creation of employment opportunities, access to financial products and services, equality of opportunity, empowerment and skill development, particularly for the deprived groups. It recognizes a pro-active role for Governments at different levels to make this possible.
UNDAF Outcome (1)	By 2012, disparities reduced and opportunities enhanced for disadvantaged groups, especially women and girls, for the achievement of MDG related 11th Plan Goals, through strengthened policy framework and implementation capacity of large scale state and national programmes.
UNDP CPAP Outcome	Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for inclusion of poor women and men from SC and ST groups, minorities and the displaced
CPAP Output (=project output)	Disadvantaged people (poor women and men from SC and ST groups, minorities and the displaced) in at least four UNDAF states benefit from national poverty programmes and livelihood strategies through enhanced public expenditure, private sector engagement and better delivery mechanisms
Specific project outputs (2-4 max)	<ol style="list-style-type: none"> <li>1. At least 4 state governments' capacities and coordination mechanisms strengthened for designing and implementing livelihood strategies for disadvantaged groups and regions</li> <li>2. At least 4 state governments adopt and implement inclusive monitoring systems to track coverage and impact of poverty reduction schemes and programmes</li> <li>3. Mechanisms established for participation of disadvantaged groups at national and state for a to reflect their voices in design and implementation of programmes and policies.</li> <li>4. In 4 states, at least 8 effective livelihood models developed that reduce the vulnerabilities of disadvantaged groups in the long-term</li> <li>5. Partnerships established in 4 states among communities, CBOs, private sector, technical institutions and government for diversifying livelihoods and skill development</li> </ol>
Implementing Partners	National Planning Commission (NPC) and State governments
<p>Brief summary of strategy:</p> <ol style="list-style-type: none"> <li>1) Support development of state level livelihood strategies: The project will seek to improve the livelihood security and employability of poor and marginalized groups in both rural and urban areas and expand employment opportunities in disadvantaged regions</li> <li>2) Strengthen monitoring and evaluation (M&amp;E) systems of national poverty reduction schemes</li> <li>3) Demonstrate vulnerability reduction models for disadvantaged groups: The project will provide technical support to develop/adapt a framework for analyzing the risks and vulnerability of the disadvantaged groups</li> <li>4) Foster public-private-community partnerships for diversifying livelihoods and skill development</li> <li>5) Support policy advocacy and knowledge management at both national and state levels.</li> </ol>	
Budget: USD 37.89 million	Core: US\$ 12.89 million (including \$2 million for NPC) Other resources: US\$ 25 million

## Executive Summary

### **1. Situational Analysis**

These UNDAF states have relatively higher concentration of poor and disadvantaged groups than other states. These disadvantaged people have limited livelihood options and are highly dependent on agriculture and informal economy.

Past experiences revealed key barriers of employment and livelihood promotion among disadvantaged groups and found great scopes for better design, implementation and monitoring of major poverty reduction and livelihood programmes and policies. Further, in the absence of effective coordination mechanisms and capacities at district and state levels, the immense opportunity remains untapped to provide integrated responses and convergence among the departments and schemes that can simultaneously address the different vulnerabilities of the poor. The fact that certain groups have been left out of development processes for several decades, points to an urgent need to equip government and non-government development agencies with capacities to improve their outreach.

Lessons from ongoing and past initiatives about the challenges of livelihood promotion for the disadvantaged groups: (a) poor access to livelihood assets – land, forests, water bodies and equipment, especially for women, SC, STs and slum dwellers who often do not have legal rights to land (b) degraded natural resources and uncertainties due frequent droughts and floods and other weather induced changes (c) poor quality or mismatch between skill available and those required in the market (d) lack of information and access to schemes, extension, finance (e) poor access to markets and low prices for the produce/products (f) social discrimination leading to their exclusion from economic opportunities and decision making processes (g) poor access to health and education services (h) poor implementation of schemes that focus rights and entitlements – minimum wages, decent work, social security benefits, access to common property resources.

### **2. Project Deliverables**

- Government capacities & coordination mechanisms strengthened in 4 UN focus states leading to better design & implementation of livelihood strategies for disadvantaged groups and regions. This will also include establishment of coordination and convergence mechanisms at district and state levels.
- Monitoring systems & capacities strengthened for selected poverty reduction programmes in 4 UN focus states to increase participation of and accrual of benefits for disadvantaged groups and regions. Mechanisms will be established at different levels to provide feedback to improve design and implementation of schemes/programmes
- Eight effective models of vulnerability reducing livelihood strategies and instruments demonstrated in selected districts. Lessons shared widely for up-scaling of tested models in UN states and nationally
- Increased opportunities created for diversifying livelihoods and skill development through engagement with private sector and integration with market.
- Increased reflection of the priorities and voices of the poor in design and implementation of programmes and policies

### **3. Project Strategy**

The project will have five key components to achieve the results listed above:

- a. **Support development of state level livelihood strategies:** The project will seek to improve the livelihood security and employability of poor and marginalized groups in both rural and urban areas and expand employment opportunities in disadvantaged regions. State governments will lead the formulation of demand driven livelihood strategies. It will support mission approach which allows for simultaneous action in several sectors, at different levels and with multiple partners. This requires good coordination to work with different ministries including MoRD, MoHUPA, MoLE and MoTA.

- b. Strengthening monitoring and evaluation (M&E) systems of national poverty reduction schemes:** The Government of India has launched major poverty reduction schemes that focus on disadvantaged groups and regions. These are implemented in partnership with state and district governments and, in some cases, the Panchayati Raj Institutions. Aiming at tracking of the accrual of benefits and the impact of these schemes on the poor especially the disadvantaged groups, the project will seek to strengthen the existing monitoring and evaluation systems of existing schemes such as NREGP, SGSY JNNURM and the recently launched Skills Mission.
- c. Demonstrating vulnerability reduction models for disadvantaged groups:** The project will provide technical support to develop/adapt a framework for analyzing the risks and vulnerability of the disadvantaged groups. It will focus especially on the vulnerabilities arising from the degraded state of the natural resource base (land, water, forests, common property resources), recurrent shocks due to weather induced changes, absence of or poorly defined access rights, social and physical exclusion from development process and programmes, lack of awareness on rights and entitlements, and inadequate protection through social security and risk mitigation instruments. Based on the framework it will evolve vulnerability reduction models to be tested at the district level, beginning with at least 4 districts in the UN focus states.
- d. Fostering public-private-community partnerships for diversifying livelihoods and skill development:** The project will facilitate engagement with the private sector to develop new, cutting edge business models that involve a range of local partners, particularly organizations of the poor and excluded groups. A private sector facilitating agency (agencies) will be engaged under the project to advise and support the coordination of this component. At district level, the project will support a comprehensive value chain analysis to identify additional livelihoods opportunities for the disadvantaged groups and analyze investment, institutional capacities and technical skills required to fill critical gaps and overcome identified/potential barriers. To this end, the project will provide technical assistance and training as well as support for group formation and communication with multiple stakeholders.
- e. Knowledge management and policy advocacy:** The project will support policy advocacy and knowledge management at both national and state levels. Using a participatory approach, the project will support the identification, review and analysis of key issues for policy advocacy efforts. An effective advocacy and communication strategy will be designed and rolled out, to develop and disseminate knowledge products and carry out evidence based advocacy at district, state and national levels. Issue based stakeholder consultations will be facilitated to address specific concerns related to livelihood promotion and poverty reduction. Issues for advocacy could include land, forest and water rights, land use changes, resettlement and rehabilitation, trade agreements, risk mitigation, social security and skill development.

#### **4. Implementation Arrangement**

The project will be implemented by the state governments which will be designated as Implementing Partners (IPs). The National Planning Commission (NPC), Government of India, will facilitate partnership development with state governments, the knowledge and advocacy component at national level, experience sharing across 7 UN focus states, and generation of feedback on relevant national policies and programmes, including inputs into the XII Plan formulation process.

#### **5. Budget**

The project will have a total budget of USD 12.89 million for five years, with \$2 million to allocated for activities managed by the National Planning Commission.

## Project Brief: State-Level Support to Livelihood Promotion Strategies

### 1. Situational Analysis

The Indian economy is now the twelfth largest in the world, with growth rates exceeding 8% p.a. during 2004-2007. The number of people living below the income poverty line has reduced from 36 % (1994) to 27 % (2005)<sup>1</sup>. However, as recognized by the 11 Five Year Plan, poverty levels vary between states, from 14% to 46 %, and are increasingly concentrated among certain regions and social groups. The percentage of poor among women and men from the Scheduled Caste (SC) groups remains high at 36%, and is higher again for the Scheduled Tribes (ST) groups at 43%. In urban areas, while the overall poverty ratio was 25.6%, among the SCs it stood at nearly 40%. Together, the Scheduled Castes (SCs), the Scheduled Tribes (STs), and other backward castes accounted for 81% of the rural poor in 1999-00, considerably more than their share in the rural population<sup>2</sup>. Studies also indicate that the female persons accounted for slightly less than half of the poor, about 49 per cent in both rural and urban areas<sup>3</sup>.

**High concentration of poor and disadvantaged groups in UN focus states:** The poverty ratio in the seven UN focus states is much higher<sup>4</sup>. Against the national average of 27.5%, for UN focus states it ranges between 22.1 in Rajasthan and 41.4 in Bihar. Rural and urban poverty levels in the UN focus states are higher than in other states. While the rural poverty ratios are 37.9% (140 mn) and 28.9% (81 mn) respectively, the urban poverty ratios show even larger disparities at 35.1% (33 mn) for the focus states and 18.3% (48 mn) for others. The UN focus states have a higher proportion Scheduled Castes (SCs) and Scheduled Tribe (STs) populations. Census of India 2001 reports concentration ratios at 17.5 % for SCs and 9.3% for STs in the UN focus states as compared to national averages of 16.5% and 8.3 % respectively. The UN focus states also perform poorly in terms of their human development ranking and gender disparity indices. Among the fifteen states for which the Human Development Index (HDI) is available, the UN focus states<sup>5</sup> are mostly ranked at the bottom ranging from 11<sup>th</sup> to 15<sup>th</sup><sup>6</sup>. On an average, women are poorer than men casual labourers and less educated among the poor<sup>7</sup>.

**High dependence of the poor on agriculture and informal economy in UN focus states:** In India, including the UN focus states, the poor are largely dependent on the primary sector (agriculture and allied activities) and comprise mainly small and marginal farmers, agriculture labour or landless. However, as the Planning Commission states, "agricultural employment has increased at less than 1% per annum, slower than population growth and much slower than growth in non-agricultural employment". Clearly, minuscule increases in agricultural productivity in the predominantly dryland and drought prone regions of the UN focus states have not provided sufficient economic opportunities for the poor<sup>8</sup>.

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<sup>1</sup> Uniform Recall Period Consumption: Government of India "Poverty Estimates for 2004-05"

<sup>2</sup> Working Group on Poverty, Planning Commission, 2006

<sup>3</sup> Planning Commission, 2006 "Report of the XI Plan Working Group on Poverty Elimination Programmes". It should be noted that this measure of gender poverty ignores intra-household inequalities in consumption. There are other dimensions of poverty such as food insecurity, malnutrition and health associated more with female members.

<sup>4</sup> Annexure I & II provide data and information for the 7 UN focus states.

<sup>5</sup> National Human Development Report, 2001 calculates HDIs for 15 major states prior to the creation of Jharkhand, Uttaranchal and Chhattisgarh. Therefore, data for "UN Focus States" here refers to undivided Bihar, M.P., Orissa, Rajasthan and U.P.

<sup>6</sup> Orissa 11<sup>th</sup>, Madhya Pradesh 12<sup>th</sup>, Uttar Pradesh 13<sup>th</sup> and Bihar 15<sup>th</sup>

<sup>7</sup> Rapid Poverty Reduction and Local Area Development for the 11<sup>th</sup> Five Year Plan, Planning Commission P26

<sup>8</sup> Towards Faster and More Inclusive Growth: An Approach to the 11<sup>th</sup> Five Year Plan (2007-12), Planning Commission, Chapter 5, p72

This has even greater significance for SCs and STs. More than 40% of these disadvantaged groups are agricultural labour or cultivators in the rural areas where over 70% of them reside<sup>9</sup>. However, their occupations are not limited to agriculture or related sectors. District level data in the UN focus states demonstrates that a large fraction of workers derive their income from non-agricultural work. For example, this proportion reaches 40% among SCs/STs in one of the districts of Chhattisgarh, and 71.9% in a district of Rajasthan<sup>10</sup>. Furthermore, due to insufficient productivity growth and job opportunities, several SC/ST households have fallen into debt<sup>11</sup>. In both rural and urban areas, SC households report the highest burden of debt (3.7% and 4.2% of total asset value respectively), as compared to 'other' households (2.4% in both rural and urban areas)<sup>12</sup>.

In addition, with limited opportunities to enhance their productivity or bargaining power in agriculture related sectors, some members of poor households step into non-agricultural sectors to increase their total household income. The data above, which points to the large fraction of households engaged in non-agricultural sectors, reflects this reality. Due to limited employment opportunities in the organized sector, non-agricultural workers tend to work in the unorganized sector mainly as unskilled labour where one predominantly witnesses low wages, distress migration, the absence of social protection and exploitative contractual arrangements. In fact, unorganized workers constitute 92% of India's total workforce, and for women the share is as high as 96%<sup>13</sup>.

#### **Low wage level and, unemployment of youth and lack of skill development:**

The wage level of the poor is extremely low, particularly among the illiterate. While the daily average wage level of non literate is Rs 72.1 in rural and 83.4 in urban areas, persons with secondary school education earn Rs. 142.4 and Rs. 178.3 in rural and urban areas respectively<sup>14</sup>. Furthermore, field studies in the backward regions of UN focus states show a monthly income as low as Rs. 144 for marginal farmers, which is equivalent to less than Rs. 5 per day<sup>15</sup>. To fulfill the wage gap, skill upgradation is essential for the poor. Lack of skills is also the primary cause for unemployment among the youth. NSSO 62<sup>nd</sup> Round reiterates that the proportion of person-days without work is more than 25% for rural young males and 60% for young females<sup>16</sup>. It also states that unemployment among urban youth is much worse than in rural areas<sup>14</sup>. This is partially due to the gap between demand for skilled workers and their availability. The private sector which is one of the key drivers fuelling India's growth story, needs skilled workers. However, 57% percent of India's youth suffer from some degree of skill deprivation<sup>17</sup>. This is largely due to the fact that most of the educational and vocational training institutions are disconnected from what the market needs. When it comes to the poor and

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<sup>9</sup> The percentage of agricultural labour is 47.1% in Jharkhand 45.7% in MP, and that of cultivators is 44% in Rajasthan and 45.9% in UP. The proportion of SCs/STs living in rural areas is 93.3% in Bihar and 78.5% in Chhattisgarh for example (Census of India 2001)

<sup>10</sup> Mahar district in Chhattisgarh and Bhangi district in Rajasthan

<sup>11</sup> The Proportion of indebted households, or incidence of indebtedness was highest for OBC households, 29 per cent among rural and 21 per cent among urban OBC households. For ST households, the incidence was 18 per cent in the rural areas and 12 per cent in the urban areas. For SC households, this was 27 per cent in rural areas and 19% in urban areas. In general, 27% of rural households were indebted while 18% of the urban households were indebted. (NSS 59th Round, All-India Debt and Investment Survey 2003)

<sup>12</sup> The debt asset ratio (DAR), which gives the value of debt per 100 rupees of assets, varied from 2.3 for rural ST households to 3.7 for rural SC households. In urban areas, the debt asset ratio varied from 2.4 for 'Other' households to 4.2 for SC households. (All India data, National Sample Survey Organization, Government of India, NSS 59th Round, All-India Debt and Investment Survey 2003)

<sup>13</sup> Report on Conditions of Work and Promotion of Livelihoods in the Unorganized Sector, NCEUS, 2007, p.(i) & p.241

<sup>14</sup> NSSO 62nd Round Survey "Employment and Unemployment Situation in India 2005-06"

<sup>15</sup> Food Security and Nutritional Vulnerability, A Bench Mark Study by DJRC for CYSD

<sup>16</sup> Youth group is the age group of 15 -29

<sup>17</sup> India Labour Report 2007. TeamLease Services.

especially women, there are issues of access and affordability as well. As a result only 7 per cent of the population in the 15 to 29 age group has received some form of vocational training.

**Key barriers to employment and livelihood promotion among disadvantaged groups in UN**

**focus states:** The barriers to livelihood promotion exist at all levels – micro (village-district), meso (state) and macro (national). Given that most poor in the UN focus states are engaged in the informal economy, the situation at the micro level is much more vulnerable for disadvantaged segments among the poor – namely women and men from SC and ST groups, migrants, minorities, displaced and women headed households. The vulnerabilities arise due to: (a) poor access to livelihood assets – land, forests, water bodies and equipment, especially for women, SC, STs and slum dwellers who often do not have legal rights to land<sup>18</sup> (b) geographical challenges (mostly hilly and forest regions) and degraded natural resources and uncertainties due to frequent droughts and floods and other weather induced changes (c) poor quality or mismatch between skill available and those required in the market (d) lack of information and access to schemes, extension, finance (e) poor access to markets and low prices for the produce/products (f) social discrimination leading to their exclusion from economic opportunities and decision making processes (g) poor access to health and education services (h) poor implementation of schemes that focus rights and entitlements – minimum wages, decent work, social security benefits, access to common property resources.

Most government schemes and programmes being sectoral in nature have failed to address the multiple vulnerabilities that the poor face, both at household and individual level. For example, among tribal communities, livelihood, food and health insecurity is often directly related to the security of land tenure. Therefore, a more comprehensive understanding of these vulnerabilities during design and delivery of services, can enhance the impact of government schemes and public investment with regard to disadvantaged groups. Moreover, a “one size fits all” approach is unable to recognise and respond to the differences, special features, strengths and needs of each disadvantaged group. Further, in the absence of effective coordination mechanisms and capacities at district and state levels, the immense opportunity to design integrated response and for convergence among the departments and schemes that can simultaneously address the different vulnerabilities remains untapped. The fact that certain groups have been left out of development processes for several decades, points to an urgent need to equip government and non-government development agencies with capacities to improve their outreach.

An attempt to address these issues has been initiated in Rajasthan where the government has launched a state wide Mission on Livelihoods. In the first two years of its operation on the ground, the Mission has worked with different departments and stakeholders to analyse livelihood issues with respect to the poor and disadvantaged groups (e.g., SC, STs, salt workers, pastoralists, urban poor) and for sectors on which they depend heavily for subsistence and income (mainly agriculture, livestock, migration, crafts); assessed barriers to livelihood promotion for these groups; designed holistic strategies to address the specific needs of sectors and social groups; and established mechanisms for partnerships and convergence of resources/expertise between relevant departments and key stakeholders. The Mission has worked with selected departments to review schemes and budgets and suggested ways of reorienting these to respond more effectively to needs of the poor and/or creating employment opportunities for them. It has identified opportunities for the poor in emerging sectors such as tourism, services and industry in both rural and urban areas and accordingly worked with state

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<sup>18</sup> The assets of disadvantaged groups among the poor are characterized by small landholdings, rainfed and drought prone agriculture, poor outreach of public investment and extension services, unclear/inadequate access rights to common property resources and in the case of certain groups especially SCs, STs and women, lack of ownership of agricultural land. Poverty Reduction Programme – State level Support to Livelihood Promotion Strategies 3 of 33  
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departments to organise employment fairs, design market driven skill training modules, develop PPP models for skill delivery and restructure employment exchange.

**Scope for better design, implementation and monitoring of major poverty reduction and livelihood programmes and policies:** A number of programmes were announced during the Tenth Five Year Plan to address the livelihoods and employment challenges, particularly for hitherto socially excluded groups. Prominent among these were the National Rural Employment Guarantee Scheme, Tribal Sub-Plan, Jawaharlal Nehru National Urban Renewal Mission, Backward Regions Grant Fund (BRGF), the Right to Information Act and the National Rural Health Mission. In addition, several policies are being debated nationally, such as the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act (2006), the Unorganised Sector Workers' Social Security Bill (2007), the Micro Financial Sector (Development and Regulation Bill) (2007), and the National Skills Development Policy (2008)<sup>19</sup>. A number of people's movements and alliances of the poor and excluded groups also began to play a more visible role. These groups include tribals, Dalits, minorities, farmers, involuntarily displaced persons, women and persons with disabilities. Their networks for example, the National Front for Tribal Self Rule, Campaign for Survival and Dignity, the National Campaign on Dalit Human Rights and the National Farmers Commission, were quite successful in drawing public attention towards their specific concerns.

The Eleventh Five Year Plan carries forward the Government of India's priority of pro-poor growth with a specific focus on disadvantaged groups and regions. It is evident that such "broad based and inclusive growth" will not only require directing investments to accelerate it, but also ensuring effective implementation of these programmes and policies as they impact the lives of a large number of poor - on their access to assets, vulnerability to shocks, and capacity to develop and sustain their livelihoods.

Recent evaluations and review<sup>20</sup> of these programmes and policies have identified areas that need attention, particularly (a) better capacities and systems in government for planning and implementation at state, district and *panchayat* levels (b) effective systems for transparency and accountability (c) improved procedures and delivery systems (d) strengthened information channels for the poor (e) going beyond routine monitoring through tracking financial and physical expenditure by increased use of participatory monitoring and feedback tools to track impact on disadvantaged groups<sup>21</sup>.

**Lessons from ongoing and past initiatives:** Lessons from government, NGO and donor supported programmes offer useful lessons for the future including this project and these are summarized below<sup>22</sup>:

- Supply-driven plans alone cannot address livelihood challenges of the poor. Demand-driven approaches need to be explored by closely analyzing the local context, comprehensively understanding the specific vulnerabilities of the poor, involving them in identifying options, and strengthening their capacities.

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<sup>19</sup> The Forest Rights Act was passed in December 2006 while the Social Security and Microfinance Bills are yet to be passed by Parliament. The National Skills Development Policy is in draft form and likely to be placed before Parliament in July 2008.

<sup>20</sup> Planning Commission Evaluation reports and Working Groups reports for 11<sup>th</sup> Five Year Plan

<sup>21</sup> NREGS has established a strong monitoring system from block, district, state to national levels with disaggregated data for men and women, SC, STs, disabled. JNNURM has piloted a poverty monitoring system with UNDP support and is populated by poverty profiles of cities. This is currently being tested.

<sup>22</sup> Lessons from outcome evaluation of UNDP livelihoods programme; reports of the World Bank, DFID and government on their respective livelihood promotion and poverty reduction programmes.

- Development programmes are often inhibited from reaching disadvantaged groups and regions because of social, political, infrastructural, institutional barriers. These needs to be better understood and addressed.
- For fostering inclusive growth, there is a need for programmes and agencies to strengthen and collaborate with organizations of the poor and excluded groups as well as those that represent their interests.
- Social mobilization processes need to be nurtured especially for disadvantaged groups as these help address exclusion, strengthen networks of mutual support and encourage creation of organizations of the poor that can participate more effectively in development activities<sup>23</sup>. Through their collectives, the poor are also better placed to struggle for their rights and entitlements.
- Building more lasting mechanisms at the state and district levels for (a) multi-stakeholder engagement (b) effective convergence and coordination between departments/stakeholders (c) designing and monitoring policies, programmes and schemes and (d) for knowledge sharing and generating public feedback.
- Micro-level interventions need to be reinforced by district and state level interventions especially pro-poor rural infrastructure<sup>24</sup>, improving access of the poor to credit and financial services as well as expand the social infrastructure and other well being factors such as drinking water, sanitation and shelter.
- Livelihood promotion cannot be the responsibility of the government alone. It also requires collaboration among communities (including organizations of the poor), PRIs, NGOs, local government and private sector.
- Well-defined strategies, road maps and action plans involving diverse stakeholders to guide the policy influence work need to be integrated from the beginning of programme cycles

Livelihood promotion thus requires integrated approaches which include holistic and deep analysis of livelihoods of the poor, involvement of disadvantaged people themselves, effective supports by governments, strong partnerships with CBOs, NGOs and private sector to enhance economic opportunities for disadvantaged groups and to secure their existing livelihoods by ensuring their rights and entitlements. This is recognized by working group of the Planning Commission as “it is imperative that the programmes to address poverty rely on a multi-pronged approach”<sup>25</sup>.

## 2. Scope and Strategy

This project is aligned with the Government of India’s Eleventh Plan priorities and UNDP’s Country Programme Outcome 1.1 *“Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for the inclusion of poor women and men from SC and ST groups, minorities and the displaced”*. It is also aligned with the UNDP’s strategic plan, *“Promoting inclusive growth, gender equality and achievement of the MDGs”*, particularly *“supporting the role of the private sector and small and micro-enterprises as potential vehicles for generating growth and employment, reducing poverty, and providing the poor with greater access to markets, goods, and services”*<sup>26</sup>

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<sup>23</sup> Successful examples from UNDP supported Social Mobilization project in Jharkhand, Rajasthan and Orissa and World Bank aided District Poverty Initiative Programme in Madhya Pradesh.

<sup>24</sup> For example infrastructure such as transport, water, energy, communication, production technologies, marketing and storage

<sup>25</sup> Rapid Poverty Reduction and Local Area Development for the 11<sup>th</sup> Five Year Plan, Planning Commission P25

<sup>26</sup> UNDP Strategic Plan (2008-11): Accelerating Global Progress on Human Development, Issued on 17 Jan 2008, pt. 74



The project will be operationalised in partnership with the National Planning Commission, Government of India and state governments in the UN focus states. At the national level, the project will contribute to the UN Programme on Convergence.

The National Planning Commission (NPC), will facilitate partnership development with state governments, the knowledge and advocacy component at national level, experience sharing across 7 UN focus states, and generation of feedback on relevant national policies and programmes, including inputs into the XII Plan formulation process.

At the state level, the project will be anchored at an appropriate level to enable coordination with different departments and stakeholders and working across several districts<sup>27</sup>. To the extent possible, these interventions will be supported in identified districts for the UN joint programme on convergence. Collaboration with UNDP's governance programme will be established, given its focus on capacity development of PRIs, elected representatives and district administration in inclusive planning, implementation and monitoring and on re-orientation of district schemes, credit plan and budgets to address the needs of disadvantaged groups.

The strategy outlined below is based on: (a) Situation analysis at national level and in UN focus states including the main thrust areas mentioned in the XI Five Year Plan. The key issues have been highlighted in the preceding section; (b) Consultations with governments and key stakeholders in UN focus states, especially with governments in Rajasthan, Jharkhand and Orissa; (c) Assessments papers commissioned to document current status of poverty reduction programmes focusing on disadvantaged groups and regions in the UN focus states; (d) review of livelihood promotion issues emerging from both government and donor funded programmes including UNDP. The project will address the key issues summarized in the figure below through five strategic areas of intervention in at least 4 UN focus states to start with (Refer Annexure III for problem and results tree). Lessons will be shared across the 7 UN focus states, selected districts and nationally.

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<sup>27</sup> For example the office of the Development Commissioner or the Chief Secretary or any state level mechanism that is empowered or positioned to coordinate with several departments and stakeholders.

## Ineffective poverty reduction and livelihood promotion programmes for disadvantaged groups and regions

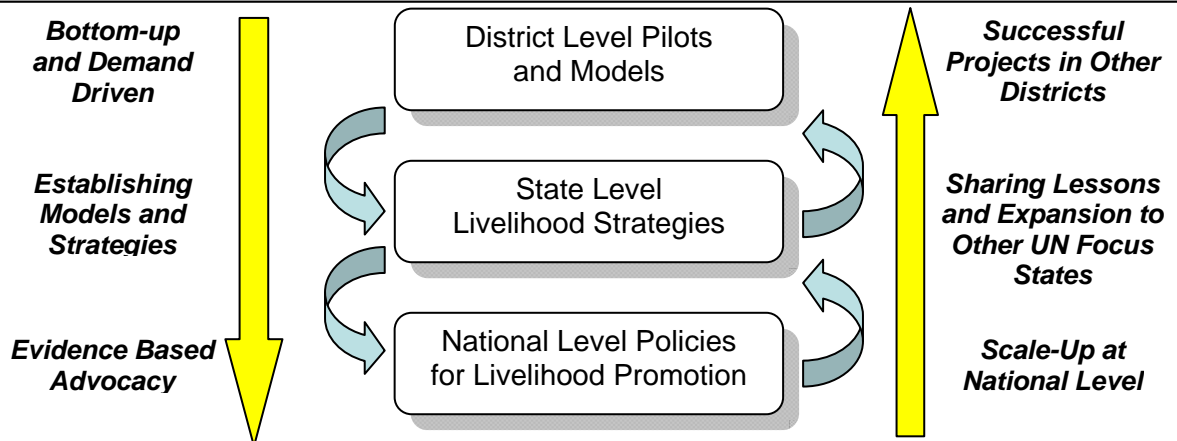
### Key Challenges

<ul style="list-style-type: none"> <li>- Lack of technical capacities in government to design holistic livelihood programmes</li> <li>- Supply-driven and narrowly defined livelihood interventions</li> </ul>	<ul style="list-style-type: none"> <li>- Poor implementation and monitoring of scheme/programmes</li> </ul>	<ul style="list-style-type: none"> <li>- Inadequate reflection of voices of the poor in schemes/programmes and policies</li> </ul>	<ul style="list-style-type: none"> <li>- High dependence on degraded natural resources for livelihoods</li> <li>- Insufficient access to and awareness of rights</li> <li>- Lack of diversified livelihood activities</li> </ul>	<ul style="list-style-type: none"> <li>- Inadequate systems for supporting livelihoods of the poor in rural and urban areas</li> <li>- Low productivity of assets and labour</li> </ul>
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### Project Strategy

<p><b>1. Government capacities &amp; coordination mechanisms strengthened for design &amp; implementation of livelihood strategies</b></p>	<p><b>2. Governments adopt and implement inclusive monitoring systems to track coverage of the poverty reduction schemes &amp; programmes</b></p>	<p><b>3. Mechanisms established for participation of the disadvantaged groups at national and state fora to reflect their voices in design and implementation of prgrms and policies</b></p>	<p><b>4. Effective livelihood models developed that reduce vulnerabilities of disadvantaged groups in the long term</b></p>	<p><b>5. Partnerships established in four states for diversifying livelihoods and skill development (communities/CBOs / private sector/ government)</b></p>
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### State Level Support for Livelihood Strategies for Disadvantaged Groups & Regions



### More Inclusion and Improved Livelihoods for Disadvantaged Groups

The disadvantaged groups will remain at the centre of project supported interventions and this would include poor women and men from ST and SC groups, women headed households, migrants, minorities, displaced, people with disabilities and people living with HIV. At the state level, the disadvantaged groups will be identified through consultations with their networks.

**a. Support development of state level livelihood strategies:** The project will seek to improve the livelihood security and employability of poor and marginalized groups in both rural and urban areas and expand employment opportunities in disadvantaged regions. This component builds on the recognition within state governments that financial resources are not a constraint and in fact remain unutilised in many schemes and departments. The issues the confront state governments relate to the schemes and programmes not being responsive to the needs of the poor and ineffective and inefficient delivery systems. At the same time, there is a lack of convergence between different departments responsible for livelihood promotion such as rural development, urban development, agriculture, forestry, fisheries, mining, labour and employment, small scale industries etc. Therefore, the project will strengthen state governments' capacities and coordination mechanisms for designing and implementing livelihood strategies for disadvantaged groups and regions.

State governments will lead the formulation of demand driven livelihood strategies through a broad-based consultative process. These strategies would also be based on assessments of current livelihood patterns of the various disadvantaged groups and their vulnerability context, defined by their access and rights to resources, wages/remuneration, skills, social exclusion and social security. The project will support fora for disadvantaged groups and their networks/associations to participate in these assessments as well as in the implementation of strategies on the ground. To facilitate the design and implementation of livelihood strategies in a consultative and convergent manner, coordination mechanisms will be established and supported at an appropriate level within the government. The purpose will be to bring about synergy between government departments/programmes and organizations of the poor, ultimately leading to increased delivery of livelihood services to disadvantaged groups and regions.

These challenges have been addressed to a large extent by applying a Mission Approach. According to the UNDP-supported Rajasthan mission on Livelihoods, such an approach allows for simultaneous action in the 3S's: sectors, segments (social groups) and spatial zones. (Refer Annexure IV for details). The project will extend this approach to other states that have expressed an interest. The state government of Orissa has launched the Orissa Employment Mission and is currently reviewing the scope and capacity of the Mission to address the livelihood challenge in a more holistic manner. The state government of Jharkhand has expressed interest to test the mission approach in selected districts and subsequently upscale it on a wider scale.

The Rajasthan experience and past instances of applying a Mission approach both at national level and by some states, have demonstrated that this approach offers the following advantages. It operates on a definite and time bound mandate issued by the central/state government. Its mandate is sharply focused on a significant and desirable outcome, with a mechanism to monitor results and evaluate impact. At the same time, it builds on and complements existing procedures, programmes and schemes without replacing them. It flows from current strengths, seeks to remove barriers that inhibit the participation of the poor, determines areas where resource mobilization and investments are required, and ascertains directions for policy change. The role of government as a facilitator at different levels (state, district and block) gains significance. However, it has been observed that once a Mission is wound up, the capacities generated in the process of implementing the Mission's mandate are also lost. The Rajasthan Mission on Livelihoods has sought to overcome this shortcoming by working with several departments and building their capacities to plan and implement more holistic and participatory livelihood promotion approaches.

At the state and district level, capacities of governments will be built to apply integrated approaches in relevant sectors/areas from which disadvantaged groups derive their livelihoods, such as agriculture, fisheries, forest based livelihoods and handicrafts as well as the informal economy

including construction, repair and other small-scale household manufacturing. Special attention will be given to livelihoods threatened by unfavorable trade policies and lack of price and market support etc. The integrated approach will be used by governments to understand and address the vulnerabilities of different disadvantaged groups and the barriers within the government's own delivery systems. The project will support testing of the integrated approach in selected sectors, the lessons from which will inform annual sectoral planning exercises and resource allocation in favour of disadvantaged groups/regions.

An area-based approach will be used to focus on those parts of the state which are the least developed or characterized by high concentration of disadvantaged groups. A spatial livelihood promotion plan will be developed and implemented in partnership with district governments, PRIs and other stakeholders. For addressing issues of urban poverty and livelihoods, the city plans being formulated under JNNURM will be used to design and implement specific livelihood strategies vulnerable groups among the urban poor.

For strengthening demand at the community level, the project will support select resource organizations to work with excluded groups in the following areas: identifying their vulnerabilities and articulating their concerns to government, panchayats, financial institutions and the private sector; building their capacity in identifying their livelihood needs and addressing the social barriers that prevent them from interfacing with various national and state bodies. These resource organizations will also develop and roll out orientation and sensitization modules especially at the government and NGO levels.

Using the above approaches, technical support will be provided to state governments to enable them to demonstrate the livelihood strategies designed for disadvantaged groups. Demonstration will be carried out in selected districts of each state including UN convergence districts. A monitoring system will be established in selected UN focus states to track the impact of the above approaches and capacity building inputs on disadvantaged groups, including both the number and quality of livelihoods strengthened/created. The impact of these inputs on mainstream livelihood planning processes and fund utilization at both state and district levels will also be monitored.

The project will forge partnerships between state and district governments and diverse stakeholders such as: organizations of the poor and excluded groups; CSOs working on livelihood promotion; social mobilization and rights-based approaches; private sector; financial institutions; and technical and marketing agencies. Linkages with district and state levels will be crucial both for convergence as well as feeding into district level processes for livelihood planning. Linkages will be established with relevant centrally sponsored programmes of ministries such as Rural Development (e.g. SGSY, PURA, NREGA), Housing and Urban Poverty Alleviation (JNNURM), Labour and Employment (Skill Development and Social Security programmes for informal sector workers) and Tribal Affairs. Collaboration with UN agencies especially ILO, FAO and UNCTAD will be forged to bring in relevant technical expertise.

**b. Strengthening monitoring and evaluation (M&E) systems of national poverty reduction schemes:** The Government of India has launched major poverty reduction schemes that focus on disadvantaged groups and regions. These are implemented in partnership with state and district governments and, in some cases, the Panchayati Raj Institutions. The project will seek to strengthen the existing monitoring and evaluation systems of selected schemes such as NREGS, SGSY, JNNURM and the recently launched Skills Mission. The aim will be to make M&E systems more inclusive and to

strengthen the tracking of accrual of benefits to and the impact of these schemes on the poor, especially disadvantaged groups.

The project will identify an appropriate one or more agency with expertise in strengthening M&E systems of government programmes and schemes. The selected agency will work with the Planning Commission, relevant central ministries and their counterparts at the state and district levels. The thrust will be on strengthening the M&E systems of selected schemes in four UN focus states. Based on lessons, the project will advocate for its replication to other UN focus states and nationally by sharing lessons/best practices and organizing technical and experience sharing workshops. Operationally, the project will focus on:

(a) Capacity development of functionaries at all levels of the government's delivery system and PRIs in monitoring the schemes. This would also cover a range of monitoring and evaluation exercises such as concurrent monitoring, annual reviews, and mid term and outcome evaluations.

(b) Providing technical support to strengthen the M&E systems of government schemes at different levels covering Management Information Systems and application of participatory tools and techniques to generate feedback from beneficiaries. The analysis of information from the ground would be fed back into the system for improving implementation, influencing mid-course corrections or for designing new schemes.

(c) At both district and state level, the project will create a communication platform and mechanisms where the disadvantaged groups, members of parliament/state assemblies, government functionaries meet and discuss issues with respect to implementation and design of the schemes and programmes. In recent years, government and community-based-organizations (CBOs) have made efforts to improve participation of and feedback from intended beneficiaries by utilizing tools such as social audits, citizen report cards and peer reviews. Efforts will be made to build capacities of the poor and institutionalize such tools and inclusive M&E systems.

**c. Demonstrating vulnerability reduction models for disadvantaged groups:** Through state level partnerships, the project will develop effective livelihood models that reduce the vulnerabilities of disadvantaged groups in the long-term. In the process of building these models, it will leverage the lessons from the best practices for vulnerability reduction models in India, including from UNDP's past projects on livelihood promotion, and other countries. These best practices include in dairy, poultry, vegetable, tusar and forest-based sub-sectors. Furthermore, the project will provide technical support to develop/adapt a framework for analyzing the risks and vulnerability of the disadvantaged groups. It will focus especially on the vulnerabilities arising from the degraded state of the natural resource base (land, water, forests, common property resources), recurrent shocks due to weather induced changes, absence of or poorly defined access rights, social and physical exclusion from development process and programmes; lack of awareness on rights and entitlements; and inadequate protection through social security and risk mitigation instruments. Gaps in critical financial products and services for vulnerability reduction will be identified and fed into the GoI-UNDP Project on Financial Inclusion. Based on an integrated framework, the project will evolve vulnerability reduction models to be tested at the district level, beginning with at least 4 districts in the UN focus states. These tested models will be fine-tuned and adjusted to increase effectiveness and impact on the ground. In addition, an M&E system will be established to monitor the performance of these models on vulnerability reduction.

Since a number of factors contribute to vulnerability of livelihoods, the project will develop models with some flexibility to enable adaptation for other districts. Lessons from the tested models will be analyzed and key elements will be added/modified, if necessary, to facilitate scaling-up and for

incorporation into the state livelihoods strategies. These will also be disseminated for wider application across UN focus states and nationally. Further, the project will support integration of these models into existing schemes and programmes to mobilize technical and financial resources for disadvantaged groups.

**d. Fostering public-private-community partnerships for diversifying livelihoods and skill development:** The poor derive their livelihoods largely from a degraded resource base and working as unskilled labour in the informal economy. To address the vulnerability and insecurity of income faced by the poor, the project will support the poor to diversify their livelihood portfolio to include new/higher level economic activities that spreads their risks and increases their income. In this, it will seek better integration of the poor with markets and increased engagement with the private sector. A private sector facilitating agency (agencies) will be engaged under the project to advise and support the coordination of this component. Public Private Community Partnerships (PPCPs) will be promoted at district (micro) and state (meso) levels.

The project will also develop a PPCP framework at meso (state) level and identify constraints to increased private sector engagement in doing business with the poor. The project will facilitate engagement with the private sector to develop new, cutting edge business models that involve a range of local partners, particularly organizations of the poor and excluded groups. It will organize and support alliances for development of integrated value chains that offer transition to higher value added and better remunerated forms of employment and entrepreneurship for the poor. A package of technical and financial services will be made available to support such models.

At the district level, the project will support a comprehensive value chain analysis to identify additional livelihood opportunities for disadvantaged groups and analyze investment, institutional capacities and technical skills required to fill critical gaps and overcome identified/potential barriers. To this end, it will provide technical assistance and training as well as support for group formation and communication with multiple stakeholders. In addition, the district administration will be supported to foster public-private-community partnerships for livelihood promotion especially in sectors that expand opportunities for excluded groups<sup>28</sup>.

Ensuring market linkages of disadvantaged groups will be one of essential components of the model. It will provide better market information, network with buyers and sellers and partnerships with private companies. Capacity development support will be provided to strengthen cooperatives, federations and producer groups of the poor and disadvantaged groups along with linkages with relevant technical agencies and financial institutions. Convergence with government schemes and programmes, NGOs and other donor agencies will be facilitated wherever possible.

In addition, the project will focus on skill development of the poor to enable them access better wages and benefit from employment opportunities. In partnership with state systems for vocational and skill training, it will support strengthening of skill development curricula by focusing on market driven skills and facilitating effective linkages with potential employers. It will also work with state governments to expand the outreach of skill development programmes to disadvantaged regions and groups. The project will facilitate public private partnerships (PPP) for delivering skill training wherever possible. With technical expertise from International Labour Organization, the project will seek to

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<sup>28</sup> Some UNDP supported PPCP projects are ongoing the following districts in UN focus states: Dungarpur in Rajasthan, Ganjam in Orissa, Rajnandangaon in Chattisgarh and Mandla in Madhya Pradesh. Lessons form these will be fed into future initiatives.

integrate decent work<sup>29</sup> approach in employment policies, industry and skill development programmes.

UNDP will facilitate knowledge sharing among stakeholders and create fora for dialogue between the private sector, government and communities to replicate “successful” approaches, share tools and good practices and identify policy and institutional bottlenecks.

**e. Knowledge management and policy advocacy:** The positive impact that policy design and implementation can have on the lives of the poor - on their access to assets, vulnerability to shocks, and capacity to develop and sustain their livelihoods - is now well recognized. For instance, the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act (2006) has directly impacted the livelihoods of a large number of the tribal population, by providing security of access and hence protecting the major source of their livelihoods. Along with advocacy, the role of sharing knowledge – of what works and what does not - among stakeholders engaged in poverty reduction is increasingly recognized as an important input to influence programmes and policy design and improve implementation. Linked to it is the growing importance of documentation of 'good practices' - a useful tool to distil lessons from experiences at the field level. Together, these contribute to learning for the larger community of practitioners, administrators, policy makers and people's representatives.

Both the National Planning Commission and UNDP are well placed to facilitate dialogue and partnerships between diverse stakeholders. The UN Solution Exchange (Work & Employment Community) offers a neutral platform for practitioners to discuss issues and exchange experiences. As the main policy making body in the country, the National Planning Commission can effectively use project outputs to influence planning, design and implementation of policies and programmes including the Twelfth Five Year Plan formulation process. As a multilateral institution, UNDP is perceived to have a high level of acceptability amongst all stakeholders including civil society, governments, people's organizations and the private sector. It can also leverage the expertise of other specialized UN agencies and bilateral donors where necessary, and bring in international experience in some critical areas.

Given this context, the project will support policy advocacy and knowledge management at both national and state levels. Using a participatory approach, the project will support the identification, review and analysis of key issues for policy advocacy efforts. An effective advocacy and communication strategy will be designed and rolled out, to develop and disseminate knowledge products and carry out evidence based advocacy at district, state and national levels. Issue based stakeholder consultations will be facilitated to address specific concerns related to livelihood promotion and poverty reduction.

Issues for advocacy could include land, forest and water rights, land use changes, resettlement and rehabilitation, trade agreements, risk mitigation, Panchayats Extension to Scheduled Areas (PESA) Act, social security and skill development. New issues may also emerge from the implementation experience of programmes and policies including UNDP-supported projects. The project will encompass both policies currently under formulation/implementation, as well as others that may be initiated during the course of the Eleventh Five Year Plan. Within UN focus states, evidence based advocacy will be supported to highlight and escalate issues emerging from the ground. This tool has

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<sup>29</sup> ILO's definition for Decent Work involves opportunities for work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men.

been effectively applied in recent years<sup>30</sup>. The “voices of the poor” will be gathered for potential use by governments as they formulate, modify and strengthen the implementation of programmes and policies. The project will promote dialogue between people’s movements representing disadvantaged groups<sup>31</sup> and government and experts, through issue based stakeholder consultations and other fora. Such an approach will allow for a greater understanding of each other’s perspective and an environment that encourages consensus building, mutual accountability and transparency.

Regarding inclusive M&E, the project will strengthen documentation and knowledge sharing at the national and state levels by capturing experience and lessons from state level implementation of the UNDP supported projects mentioned above as well as good practices from other countries.

The project will convert lessons emerging from state and district level work into knowledge products and share these with a wide range of stakeholders, through national level knowledge networks and platforms e.g. UN Solution Exchange Poverty Communities, Microfinance India Platform, Sustainable Livelihoods India Initiative, the district collectors network for NREGS and Sa-Dhan - Association of Community Development Finance Institutions, for potential replication and scaling up.

### **3. Proposed Output and Deliverables**

Output: Disadvantaged people (poor women and men from SC and ST groups, minorities and the displaced) in at least four UNDAF states benefit from national poverty programmes and livelihood strategies through enhanced public expenditure, private sector engagement and better delivery mechanisms.

Deliverables:

- Government capacities & coordination mechanisms strengthened in 4 UN focus states leading to better design & implementation of livelihood strategies for disadvantaged groups and regions. This will also include establishment of coordination and convergence mechanisms at district and state levels. (Please refer section 2.a )
- Monitoring systems & capacities strengthened for selected poverty reduction programmes in 4 UN focus states to increase participation of and accrual of benefits for disadvantaged groups and regions. Mechanisms will be established at different levels to provide feedback to improve design and implementation of schemes/programmes (Please refer section 2.b)
- Eight effective models of vulnerability reducing livelihood strategies and instruments demonstrated in selected districts. Lessons shared widely for up-scaling of tested models in UN states and nationally (Please refer section 2.c)
- Increased opportunities created for diversifying livelihoods and skill development through engagement with private sector and integration with market. (Please refer section 2.d)
- Increased reflection of the priorities and voices of the poor in design and implementation of programmes and policies (Please refer section 2.e)

Partnerships established in 4 states among communities, CBOs, private sector, technical institutions and government for diversifying livelihoods and skill development

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<sup>30</sup> For example, the Right to Food Campaign has used public hearings and action research to ensure that the benefits of schemes like PDS, Mid-day Meal, ICDS reach the people. National Rural Employment Guarantee Scheme (NREGS) has used social audits to highlight gaps in programme delivery. Experiences in implementing the Orissa Resettlement and Rehabilitation Policy (2006) have informed the formulation of the National Policy on Resettlement and Rehabilitation.

<sup>31</sup> Some examples are National Campaign on Dalit Human Rights, Indian Confederation of Indigenous and Tribal People, Kashtakari Sangathan, National Alliance of People’s Movements, National Conference of Dalit Organisations (NACDOR), Vikas Sahyog Pratisthan, COVA, Tehreek-e-Pasmanda, OneWorld South Asia and Handicap International

Poverty Reduction Programme – State level Support to Livelihood Promotion Strategies

Version: 22 October 2008



#### 4 Results & Resources Framework

<b>Intended Outcome as stated in the Country Programme Results and Resource Framework:</b>				
Assign a number to each outcome in the country programme (1, 2,...).				
UNDP Country Programme Outcome 1.1.: Improved effectiveness of poverty reduction and livelihood promotion programmes in disadvantaged regions and for the inclusion of poor women and men from SC and ST groups, minorities and the displaced				
<b>Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets.</b>				
7 state level livelihood promotion strategies formulated for disadvantaged groups and regions in 7 UNDAF States				
7 states-level poverty reduction schemes and programmes which reorient their budgetary allocations in favour of livelihood promotion for disadvantaged groups in 7 UNDAF States				
<b>Applicable Strategic Plan Key Result Area:</b> Promoting inclusive growth, gender equality and MDG achievement				
<b>Project title and ID (ATLAS Award ID):</b>				
<b>Intended Outputs</b> <i>(as outlined in CPD/CPAP)</i>	<b>Output Targets for (years)</b>	<b>Indicative Activities (deliverables)</b>	<b>Responsible parties</b>	<b>Inputs</b>
<b>Output 1.1.1.</b> Disadvantaged people (poor women and men from SC and ST groups, minorities and the displaced) in at least four UNDAF states benefit from national poverty programmes and livelihood	1 At least 4 state governments' capacities and coordination mechanisms strengthened for designing and implementing livelihood strategies for disadvantaged groups and regions	<u>2008</u> – Set up and initiate state-level projects in partnership with governments in at least two UN focus states – Identify and assess capacities of responsible parties at state level – Establish monitoring and result framework for state partnerships - Explore areas for technical collaboration with UN agencies (UNCTAD, FAO and ILO) - Support 4 state governments in identifying value chains that offer economic opportunities to disadvantaged groups -Identify resource organizations to work with excluded groups on building their capacities articulate their concerns to government	Some of the possible responsible parties are provided in Annexure V - Actual selection will be done in consultation with state governments and IP.	Core Resources: USD 12.89 million

<p>strategies through enhanced public expenditure, private sector engagement and better delivery mechanisms.</p>		<p><u>2009</u></p> <ul style="list-style-type: none"> <li>- Convene a workshop for all 7 focus states to discuss emerging state partnerships</li> <li>- Develop and implement a communication strategy for the GOI-UNDP programme at national, state and district levels <ul style="list-style-type: none"> <li>– Set up and initiate state-level projects in partnership with governments in two more UN focus states including establishment of monitoring and result framework</li> <li>– Establish baselines in at least 4 UN focus states for interventions in both rural and urban areas</li> <li>– Assess potential coordination and convergence mechanisms at state level and in selected districts</li> <li>– In 8 districts (including 4 convergence), support social mobilization and empowerment of disadvantaged groups to access resources available with district governments , and financial products and services</li> <li>– Provide technical assistance and tools to state and district governments for participatory livelihood planning and orientation towards rights and entitlements of the poor</li> <li>– Initiate formulation of demand driven livelihood strategies in 4 states including identification of suitable financial products and services</li> <li>– Identify vulnerable groups in 8 towns/cities (including in 4 convergence districts) and develop plans for livelihood promotion for select groups</li> </ul> </li> <li>- Initiate action research to identify areas for improving project strategy and implementation on a continuous basis</li> <li>- Organize a national workshop on lessons from large scale livelihood and poverty reduction programmes (including international experience)</li> </ul> <p><u>2010</u></p> <ul style="list-style-type: none"> <li>– Support design of at least 4 sectoral plans each in 4 UN focus states reflecting increased allocations in favour of disadvantaged groups and regions</li> <li>- Support action research to identify areas for improving project strategy and implementation on a continuous basis <ul style="list-style-type: none"> <li>– In 8 districts (including 4 convergence), continue to support social mobilization and empowerment of</li> </ul> </li> </ul>		
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		<p>disadvantaged groups to access available resources with district governments</p> <ul style="list-style-type: none"> <li>- In 8 cities/towns , livelihood promotion plans prepared and implementation initiated</li> <li>- Resources from 2 or more programmes converged within departments in 10 districts</li> <li>- Develop plans and initiate action for scaling up of livelihood strategies within 4 states</li> <li>- Organize a national workshop on lessons from large scale livelihood and poverty reduction programmes (including international experience)</li> </ul> <p><u>2011</u></p> <ul style="list-style-type: none"> <li>- Generate feedback on impact of demand driven livelihood strategies to improve coordination at district and state levels</li> <li>- Carry out documentation of lessons and good practices from at least 4 UN focus states</li> <li>- Develop scale-up plans and build capacities of state governments to institutionalize the state-level coordination mechanisms in at least 4 UN focus states</li> <li>- Support participatory review of livelihood promotion plans for towns/cities to track benefits to disadvantaged groups</li> <li>- Organize a national workshop on lessons from large scale livelihood and poverty reduction programmes (including international experience) to encourage adoption of good practices in all UN focus states</li> </ul> <p><u>2012</u></p> <ul style="list-style-type: none"> <li>- Carry out documentation of lessons and good practices from at least 4 UN focus states</li> <li>- Implement scale-up plans and build capacities of state governments to institutionalize the state-level coordination mechanisms in at least 4 UN focus states</li> <li>- Provide lessons from state partnerships to 12<sup>th</sup> plan formulation</li> <li>- Organize a national workshop on lessons from large scale livelihood and poverty reduction programmes (including international experience) to encourage adoption of good</li> </ul>		
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	<p>2 At least 4 state governments adopt and implement inclusive monitoring systems to track coverage and impact of poverty reduction schemes and programmes</p>	<p>practices in all UN focus states</p> <p><u>2008</u></p> <ul style="list-style-type: none"> <li>– Central and state government partners identified for strengthening the M&amp;E systems of selected poverty reduction programmes or schemes</li> <li>– Baseline and targets established on satisfaction level amongst disadvantaged groups on benefits of selected poverty reduction programmes and schemes</li> <li>– Linkage with joint UN convergence plan established in at least 2 UN focus states</li> </ul> <p><u>2009</u></p> <ul style="list-style-type: none"> <li>– Capacity assessment of state support institutions providing training to government and elected representatives in inclusive planning and monitoring</li> <li>– Baselines and targets established for the number of persons (government staff, elected representatives or CBO representatives) trained in inclusive monitoring tools in 7 UN focus states</li> <li>– M&amp;E needs assessment for central and state government partners initiated in at least 2 UN focus states</li> <li>– Compile and disseminate international and local best practices in inclusive M&amp;E tools and processes across 7 UN focus states and nationally</li> <li>– Roll out an action plan to test selected tools for generating public feedback and to track inclusion through public participation for selected poverty reduction programmes/schemes in 2 UN focus states</li> <li>– State support institutions develop training modules for inclusive planning and monitoring</li> </ul> <p><u>2010</u></p> <ul style="list-style-type: none"> <li>– Systems established in state support institutions to track outreach and quality of training</li> <li>– State support institutions roll out training programmes for inclusive planning and monitoring</li> <li>– Adaptation of inclusive M&amp;E tools in selected poverty reduction schemes and feedback provided to design and implementation</li> </ul>		
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	<p>3. Mechanisms established for participation of disadvantaged groups at national and state for a to reflect their voices in design and implementation of programmes and policies.</p>	<p><u>2008</u></p> <ul style="list-style-type: none"> <li>– Identify organizations, networks of disadvantaged groups for further collaboration at national level and in 7 UN focus states</li> <li>– Develop advocacy and knowledge sharing plans for selected themes (e.g. forestry, R&amp;R, rights to land etc)</li> </ul> <p><u>2009</u></p> <ul style="list-style-type: none"> <li>– Facilitate discussions and debates on implications of policies and programmes for disadvantaged groups at national, state and district level fora</li> <li>– Organize workshops on ground-level situation of rights and entitlements for disadvantaged groups</li> <li>– Support networks/organizations for awareness generation and capacity building of disadvantaged groups to claim their rights and entitlements and present their concerns to policy makers</li> <li>– Commission action and policy research to identify barriers as well as best practices</li> <li>– Equip communities with ICT tools to access information of schemes and policies , and to generate feedback for</li> </ul>		

		<p>government and policy makers</p> <p><u>2010</u></p> <ul style="list-style-type: none"> <li>– Organize workshops to share lessons among networks of disadvantaged groups and policy makers</li> <li>– Support networks of disadvantaged groups for effective participation in discussions on policy/programme design</li> <li>– Commission action and policy research to identify barriers as well as best practices for disadvantaged groups in accessing their rights and entitlements</li> <li>– Support policy retreats and discussion platforms with participation of disadvantaged groups at state and national levels</li> </ul> <p><u>2011</u></p> <ul style="list-style-type: none"> <li>– Support alliance building across 7 UN focus states and nationally to influence key policies and programmes</li> </ul> <p><u>2012</u></p> <ul style="list-style-type: none"> <li>– Publish policy papers and organize consultations to inform 12<sup>th</sup> formulation</li> </ul>		
	<p>4. In 4 states, at least 8 effective livelihood models developed that reduce the vulnerabilities of disadvantaged groups in the long-term</p>	<p><u>2009</u></p> <ul style="list-style-type: none"> <li>– Commission vulnerability and risks assessment of selected disadvantaged group at state level</li> <li>– Develop capacities of state and district governments to understand and assess the vulnerabilities of disadvantaged groups</li> <li>– Research best practices for vulnerability reduction both nationally and internationally</li> <li>– Develop and initiate 8 vulnerability reduction models in selected sub-sectors, including identification of financial bottlenecks if any</li> </ul> <p><u>2010</u></p> <ul style="list-style-type: none"> <li>– Identify and initiate development of tools for collecting and analyzing information vulnerability context and needs of the poor</li> <li>– Establish M&amp;E framework to track performance for all four districts</li> </ul>		

		<ul style="list-style-type: none"> <li>– Review the impact of models on vulnerability reduction and fine-tune them for improvement</li> <li>- Identify policy barriers to be addressed for scaling up of vulnerability reducing models</li> <li>- Organize a national workshop on lessons from vulnerability reducing models (including international experience) to encourage adoption of good practices in all UN focus states and address policy barriers</li> </ul> <p><u>2011</u></p> <ul style="list-style-type: none"> <li>– Review the impact of models on vulnerability reduction</li> <li>– Share and publish the lessons from the districts with UN focus state and nationally</li> <li>– Support integration of models into state level livelihood strategies and plans</li> <li>– Identify location, disadvantaged groups and responsible parties to adapt vulnerability reduction models in other districts and develop and initiate action plans</li> <li>- Organize a national workshop on lessons from vulnerability reducing models (including international experience) to encourage adoption of good practices in all UN focus states and address policy barriers</li> </ul> <p><u>2012</u></p> <ul style="list-style-type: none"> <li>– Commission studies to review potential of scaling-up in UN focus states</li> <li>– Support integration of models in relevant national schemes</li> <li>- Organize a national workshop on lessons from vulnerability reducing models (including international experience) to encourage adoption of good practices in all UN focus states and address policy barriers</li> </ul>		
	<p>5. Partnerships established in 4 states among communities, CBOs, private sector, technical institutions and government for</p>	<p><u>2008</u></p> <ul style="list-style-type: none"> <li>– Commission sector assessments to identify potential market-driven livelihood activities and partners in 4 states</li> </ul> <p><u>2009</u></p> <ul style="list-style-type: none"> <li>– Map and review existing livelihood promotion initiatives, financial inclusion and PPCP in UN focus states</li> </ul>		

	<p>diversifying livelihoods and skill development</p>	<ul style="list-style-type: none"> <li>– Generate framework and models for partnership with focus on enhancing the interest of the organization of the poor</li> <li>– Commission sector assessments to identify potential livelihood activities and partners in the remaining UN focus states</li> <li>– Develop and initiate partnership- based action plans for livelihood diversification and skill development in 4 UN states</li> <li>– Initiate 4 partnership pilots</li> </ul> <p><u>2010</u></p> <ul style="list-style-type: none"> <li>– Review action plans and adjust design of PPCP framework and models</li> <li>– Facilitate agreement among stakeholders of the 4 pilots</li> <li>– Initiate 4 more partnership pilots</li> <li>– Public- Private Community Partnership agreements signed</li> <li>– Support integration of PPCP framework and models into state livelihood strategies</li> </ul> <p><u>2011</u></p> <ul style="list-style-type: none"> <li>- Documentation and scaling up of PPCP pilots</li> <li>- Events organized for sharing lessons from the PPCP pilots</li> </ul> <p><u>2012</u></p> <ul style="list-style-type: none"> <li>- Events organized for sharing lessons from the PPCP pilots, including for 12<sup>th</sup> Five Year Plan formulation</li> </ul>		
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The proposed project envisages the following risks which need to be considered once it becomes operational.

#### National/State government

- Inadequate leveraging of government funds by the project in the selected UN focus states.
- Lack of coordination between departments for effective convergence and pooling of government resources.
- Low capacities in state governments, civil society organizations and private sector for collaborative and partnership-based livelihood promotion.
- Low receptivity for adapting participatory M&E systems and processes at all levels of government.
- National/state policies related to land, water and forest resources, common property resources as well as sectoral regulations/guidelines limit the potential of poverty reduction and livelihood promotion programmes.
- Changes in political configuration at the state level create new challenges to project implementation.
- Changes in trade policies, sectoral growth strategies (e.g. in agriculture, mining) undermine livelihood strategies and options for the poor.

#### Private sector and Non-government entities

- Limited interest and/or availability of private sector and technical organizations for district level interventions including the work on PPCP.
- Lack of commitment among stakeholders to work with disadvantaged groups and regions.

#### External factor

- Changes in the external environment such as climate and natural disasters (earthquake, flood etc)
- Inflation rate, food and oil price increase reduce the net benefit for the poor

## **5. Management Arrangement**

### **Implementation Arrangements**

A Programme Management Board (PMB) for the Poverty Reduction Programme Outcome (Outcome 1.1 in CPD/CPAP) will be set up and co-chaired by DEA and UNDP. The PMB will oversee the delivery and achievement of results for all the initiatives under the Poverty Reduction Programme Outcome and provide strategic direction for future programmes in this Outcome area. The PMB will also appraise the new programme initiatives prior to sign off with the Implementing Partners (IPs). The PMB will comprise ministries relevant to the Programme Outcome and relevant stakeholders identified in consultation with UNDP and IPs. It will meet twice a year, in the 2nd and 4th quarter, to take stock of the physical and financial progress.

Implementing Partners: At the national level the project will be implemented by the National Planning Commission and at the state level by State Governments. The NPC and the State Governments will be designated as Implementing Partners (IPs) and will identify a National Project Director and State Project Directors respectively, who will be responsible for overall management, including achievement of planned results, and for the use of UNDP funds through effective process management and well established project review and oversight mechanisms. The National Planning Commission (NPC), Government of India, will facilitate partnership development with state

governments, the knowledge and advocacy component at national level, experience sharing across 7 UN focus states, and generation of feedback on relevant national policies and programmes, including inputs into the XII Plan formulation process. The Implementing Partners will sign a budgeted Annual Work Plan with UNDP on an annual basis, as per UNDP rules and regulations.

The NPC will establish a Project Steering Committee (PSC) and designate a National Project Director who will chair the PSC. This PSC will also serve as the National Coordination Team for the Joint UN Convergence Programme. S/he will be responsible for delivery of programme goals and of the objectives of its constituent projects at the State level. The NPD will ensure that planned results at the national level are achieved and that project resources are used effectively. These will require establishment of effective process management and well established project review and oversight mechanisms led by the designated National Project Director (NPD).

Responsible Parties: To achieve project results, the NPC and state government will respectively identify partners for carrying out specific project activities. These will be designated as Responsible Parties and could be state departments, civil society organizations (CSOs), financial institutions, private sector development agencies or UN agencies.

The NPC and the state governments will sub-contract institutions/organizations or procure the services of consultants to ensure proper implementation of project activities. Procurement of services from "Responsible Party (ies) will be through capacity assessment and a process of competitive bidding to undertake specific tasks linked to project outputs carried out under the overall guidance of the Project Steering Committee. If the entity short-listed is another Government Institution or a UN Agency, the process of selection of the Responsible Party(ies) will be carried out through appropriate capacity assessment and appraisal processes. Notwithstanding, the contracting arrangements will be fully documented and endorsed by the State Steering Committees (SSC). Based on initial scanning of organizations, a list of possible partners is attached (Annexure V).

Project and State Steering Committees: Project Steering Committee and State Steering Committees will be set up at national and state levels respectively. They will be chaired by the NPD and SPD respectively and comprise designated representatives from NPC, UNDP and representatives from Responsible Parties. The PSC and SSCs will:

- Ensure that project goals and objectives are achieved in the defined timeframe;
- Review project progress and suggest implementation strategies periodically;
- Review project expenditures against activities and outcomes; and
- Approve Annual and Quarterly Work Plans.

The PSC and SSCs will be the group responsible for making, by consensus, management decisions for the project and holding periodic reviews. In order to ensure UNDP's ultimate accountability, the final decision making rests with UNDP in accordance with its applicable regulations, rules, policies and procedures. Project reviews by the SSC will be carried out on a quarterly basis during the running of the project, or as necessary when raised by the Project Manager.

Project Management Team: Project management arrangements will be agreed upon with the Implementing Partners. The Project Management team at the national level will be common for the UNDP projects (District Planning and Livelihood Promotion Projects) forming part of the Joint UN Programme on Convergence.

A Programme Management Team headed by a Project Manager will be established under the project for national level activities being implemented by NPC as well as oversight of state partnerships. A full-time Project Manager will be designated by the NPC or recruited on project funds by the NPC for the day-to-day management; monitoring and review of project activities; coordination with Responsible Party (ies) and different stakeholders at national and state level. The Project Manager will be accountable to the NPD and PSC and will prepare the Annual Work plans (AWP) to deliver on project objectives and submit it to the PSC for approval. 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 constraints of time and cost.

The Project Manager will prepare and submit to the NPC and UNDP the following reports/documents: Annual and Quarterly Work Plans, Quarterly and Annual Progress Reports (substantive and financial), Issue Log, Risk Log, Quality Log, Lessons Learnt Log, Communications and Monitoring Plan using standard reporting format to be provided by UNDP. S/he will ensure that responsible parties are capable of delivering outputs. S/he will utilise her/his domain knowledge relevant to the project to establish quality standards for delivery of outputs. S/he will provide technical guidance to the responsible parties as and when necessary in consultation with UNDP.

The Project Manager will be assisted by other members of the Project Management team at the national level in the day-to-day management of the project. The Project Management Team will include:

- a. Project Officer (Livelihoods): knowledge of livelihood programmes and policy and schemes, economic growth, public private partnerships, livelihood promotion, financial inclusion and access to markets and inclusion of financial resources; familiarity with project cycle management, M & E Systems and financial management.
- b. M & E Officer (Livelihoods and District Planning): experience in project monitoring and evaluation, M&E framework design, Result Based Management system; familiarity with government data systems and reporting systems; tracking MDG indicators.
- c. Documentation and Communication Associate (Livelihoods and District Planning): knowledge and experience in development communication, print media, publications, event management and liaison.
- d. Project Administrative Assistant to provide operations support to the Project Management Team including accounting, file management and record maintenance, travel, leave management, claims settlement etc..

In addition, services of a Gender and Social Inclusion Specialist will be hired for specialized inputs to the project as and when required. The costs for Project Manager, M&E Officer and Documentation and Communication Associate will be co-shared between the District Planning and Livelihoods Promotion projects. The PMT will be based at the NPC and if agreed otherwise, alternative arrangements will be made and charged to the project.

Above project management arrangements at national and state level will be further detailed out in the Annual Work Plans with the implementing partners.

The recruitment and staffing process will give due attention to considerations of gender equality, promoting diversity at workplace and will not discriminate on the basis of HIV/AIDS status.

Project Assurance: Project Assurance will be the responsibility of UNDP. The Project Assurance role will support the PSC and SSC 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.

Project Assurance, in collaboration with the Project Manager, will convene an annual review meeting involving the Implementing Partners and Responsible Parties to review the progress in the previous year and approve the work plan for the coming year. The NPC will conduct review meetings involving the Implementing Partners and Responsible Parties to review the progress in the previous year and discuss the work plan for the coming years. An independent external review may be conducted through resource persons/groups to feed into this process. Project Assurance and Project Manager will meet quarterly (or whenever guidance/decision is required by an implementing agency).

### **Funds Flow Arrangements and Financial Management:**

Funds will be released directly to the Implementing Partners (IPs) – i.e. The Planning Commission and state governments. The Implementing Partners will account for funds received from UNDP as per the respective signed AWP and QWP. The IPs may request UNDP to proceed directly with payments to Responsible Parties on its behalf on a quarterly basis through the standard Fund Authorization and Certificate of Expenditures (FACE) Report duly filled and signed by the NPD (in case of Planning Commission) and SPD (in case of State Government). No funds shall be released by UNDP without prior submission of a duly filled and signed FACE report. The Project Manager will be responsible for compilation and collation of these Financial Reports. Unspent funds from the approved AWP will be reviewed in the early part of the last quarter of the calendar year and funds reallocated accordingly. The detailed UNDP financial guidelines will be provided on signature of the project.

The NPC and state governments may enter into an agreement with UNDP for the provision of implementation support services (ISS) by UNDP in the form of procurement of goods and services. Cost recovery for ISS will be charged as per UNDP rules and regulations and the details will be outlined in the budgeted AWP for each year.

Upto 1% of the total project budget will be allocated for communication and advocacy, and accountability purposes undertaken by UNDP.

Interest Clause: A separate Savings Bank Account will be opened 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 the NPC, state governments and UNDP and project budgets will stand revised to this extent. In case there is no scope for ploughing back, the interest will be refunded to UNDP.

Audit: The project shall be subject to audit in accordance with UNDP procedures and as per the annual audit plan drawn up in consultation with DEA. 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 and on signature.

## **6. Monitoring & Evaluation**

A monitoring and evaluation system will be established to track the project's progress at national and state levels. It will also help identify lessons and good practices with potential for policy advocacy and replication/scaling up in other states/regions. The monitoring tools used will promote learning (including identification of factors that impede the achievement of outputs). Such learning will be used to adapt strategies accordingly and avoid repeating mistakes from the past. ICTs will be used to provide easily accessible information to various stakeholders.

The NPC and state governments will have the overall responsibility of monitoring their respective AWP, in line with the roles and responsibilities described above and through regular monitoring visits and quarterly review meetings by the PSC and SSCs. The Project Manager assisted by the PMT will be responsible for overall coordination and management of project activities through periodic field visits, interactions with state level project teams/partners and desk reviews. S/he will also prepare and submit periodic progress reports to the PSC and SSCs. Monitoring will be an on-going process and mid-course corrections will be made if required.

An annual project review will be conducted during the 4<sup>th</sup> quarter of each year to assess the performance of the project and the extent to which progress is being made towards outputs, and ensure that these remain aligned to relevant outcomes. Based on the status of project progress, the Project Manager will prepare an Annual Work Plan for the subsequent year which will be discussed and approved at the annual review meeting. In addition, UNDP will commission a mid-term project review and annual management and financial audit during the project period. In the last year, the annual review will be the final evaluation of the project and this will involve all key project stakeholders.

A variety of formal and informal monitoring tools and mechanisms should be used by the Project Management Team and IPs. This would include field visits as well as reports in standard UNDP formats and as per UNDP's web-based project management system (ATLAS). Within the annual cycle, the Project Manager in consultation with the NPD, SPDs and UNDP will ensure quarterly review and reporting.

## **7. Exit Strategy**

A comprehensive exit strategy will be formulated for the gradual withdrawal of UNDP support. This strategy will be formulated by the end of 2010 in discussion with project stakeholders to decide the form of continuation of the project. Based on the anticipated needs after 2012, stakeholders, especially responsible parties, will decide how they will proceed to maintain the established functions. Adequate mechanisms and systems will be established for a steady and smooth transition to institutionalize key functions in the state/national governments, PRIs, community based organizations, platforms/networks and identified institutions (e.g. new institutions created under the project). This may include additional capacity development of stakeholders to undertake these functions. Further plans may also be developed by national and state governments to move onto next steps, including establishing post-project monitoring/handholding mechanisms. Dissemination workshops will be organised to share project lessons and to identify elements to be taken up on a sustained basis by national and state governments.

As part of the exit strategy, efforts will be made to ensure that any community-based institutions supported under the project are empowered to play important roles in post-project institutional mechanisms. These organisations will also be integrated with or linked to wider state and national level networks/organisations for continued post-project support and sustainability. The exit strategy

will also allow UNDP and the Implementing Partner to withdraw from the project in the case of risks (anticipated or unanticipated) that prevent the achievement of project deliverables.

The Project Manager will define the process for the formal handover of project assets/equipment, documents and files to the Implementing Partners and/or responsible parties as per UNDP guidelines and PSC/SSC decision. A mechanism for post-project maintenance of assets will also be established.

## **8. 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 Project Document, attached hereto (Annexure VI). 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 project 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 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). This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

## **9. Budget**

Expected Outputs	Key Activities and Deliverables	Budget Description		
		Budget Description	Amount (INR in Lakhs)	Amount (USD)
CPAP Output 1.1.1. Disadvantaged people (poor women and men from SC and ST groups, minorities and the displaced) in at least four UNDAF states benefit from national poverty programmes and livelihood strategies through enhanced public expenditure, private sector engagement and better delivery mechanisms.	<b>Activity 1: At least 4 state governments' capacities and coordination mechanisms strengthened for designing and implementing livelihood strategies for disadvantaged groups and regions</b>			<b>5,120,863</b>
	Support state governments to identify, design and implement livelihood strategies for the poor in different sectors and geographic areas	Contract Services - Studies and Research Services: 72125	1755.78	4,370,863
	Support capacity development at district level to design, implement, monitor inclusive livelihood promotion strategies	Contract Services - Training and Education Services: 72145 Local consultants - Technical: 71305	301.28	750,000
	<b>Activity 2: At least 4 state governments adopt and implement inclusive monitoring systems to track coverage and impact of poverty reduction schemes and programmes</b>			<b>950,000</b>
	Diagnosis of the current poverty reduction schemes and their M&E system	Contract Services - Studies and Research Services: 72125 Contract Services - Training and Education Services: 72145	36.15	90,000
	Support development of improved M&E system and mechanism for tracking inclusion at different levels including communities/districts	Contract Services - Studies and Research Services: 72125 Contract Services - Training and Education Services: 72145	200.85	500,000
	Capacity building to adapt and institutionalize the inclusive M&E tools and mechanisms	Int'l/Local consultants - technical: 71205/71305 Contract Services - Training and Education Services: 72145	144.61	360,000

<b>Activity 3: In 4 states, mechanisms established for participation of disadvantaged groups at national and state for a to reflect their voices in design and implementation of programmes and policies.</b>			<b>634,264</b>
Design and rollout of an effective advocacy and communication strategy for key livelihood and financial inclusion policies and programmes	Contract Services - Studies and Research Services: 72125	13.76	34,264
Support identification, review and analysis of key issues for policy advocacy	Contract Services - Studies and Research Services: 72125 Assessment: 74120 (identify partners)	32.14	80,000
Support policy and action research, issue papers and good practices/case studies	Contract Services - Communication Services: 72135 Contract Services - Studies and Research Services: 72125	48.20	120,000
Support knowledge and policy advocacy networks working on issues relevant to the poor and disadvantaged groups	Contract Services - Training and Education Services: 72145	120.51	300,000
Promote policy dialogue e.g. through consultations and disseminate knowledge products	Communication Services: 72135 Contract Services - Studies and Research Services: 72125 Contract Services - Training and Education Services: 72145	20.09	50,000
Generate and analyse feedback on UNDP's knowledge products e.g. through perception surveys	Contract Services - Studies and Research Services: 72125	20.09	50,000
<b>Activity 4: In 4 states, at least 8 effective livelihood models developed that reduce the vulnerabilities of disadvantaged groups in the long-term</b>			<b>1,000,000</b>



Develop framework and models for vulnerability reducing livelihood strategies including monitoring and review of framework and models	Local consultants - technical: 71305 Contract Services - Training and Education Services: 72145	72.31	180,000
Support adaptation of models by communities in selected districts including monitoring and process documentations	Contract Services - Training and Education Services: 72145 Local consultants - technical: 71305	241.02	600,000
Support integration of models into state livelihood strategies in UN focus states	Contract Services - Training and Education Services: 72145 Local consultants - technical: 71305	88.37	220,000
<b>Activity 5: Partnerships established in 4 states among communities, CBOs, private sector, technical institutions and government for diversifying livelihoods and skill development</b>			<b>800,000</b>
Develop PPCP strategy at meso level	<b>Contract Services -Local consultants - technical: 71305</b>		
Identify partners to collaborate with the poor in sectors where the poor are engaged/can be engaged	Contract Services -Local consultants - technical: 71305 Contract Services -Trade and Business Services: 72120 Professional Services: Capacity Assessment: 74120 (identify partners)	40.17	100,000
Assess capacities of partners, conduct feasibility studies, clarify roles and develop benefit sharing and sustainability mechanism	Contract Services -Local consultants - technical: 71305 Contract Services -Trade and Business Services: 72120	200.85	500,000

Facilitate mechanisms for continuous dialogue among stakeholders and for monitoring results	Contract Services -Local consultants - technical: 71305 Contract Services -Trade and Business Services: 72120 Travel: 71600	28.12	70,000
Capacity building for partners in building alliances with multiple stakeholders	Contract Services - Training and Education Services: 72145 Local consultants - Technical: 71305	32.14	80,000
Policy dialogue with state governments and regulatory agencies	Contract Services - Training and Education Services: 72145 (Workshops etc)	20.09	50,000
<b>Activity 6: Providing effective support to project implementation and management at national and state levels</b>			<b>3,108,515</b>
Recruitment and orientation of project management team at national and state levels	Contract Services - Local Consultants: 71300	330.20	822,000
Technical support to project and partners	Contract Services - Local Consultants: Technical: 71305	281.19	700,000
Project monitoring, evaluations, studies and assessment	Contract Services - Studies and Research Services: 72125	298.74	743,679
Meetings, consultations and workshops	Contract Services - Training and Education Services: 72145 (Workshops etc)	99.58	247,893
Documentation and communication	Contract Services - Communication Services: 72135	99.58	247,893

Office equipment and other office support	Office Equipment: 72200 Rental and Maintenance - Premises: 73100	69.71	173,525
Administrative expenses and sundries	Office Equipment: 72200 Miscellaneous Expenses - Sundry: 74525	69.71	173,525
<b>Activity 7: Project Monitoring, Evaluation &amp; Capacity Development</b>			<b>1,280,000</b>
Technical and capacity development support	Contract Services - Local Consultants: Technical: 71305	112.48	280,000
UNDP state coordinators	Contract Services - Local Consultants: 71300	52.22	130,000
Project quality assurance	Travel: 71600	60.26	150,000
Annual Review and midterm & terminal evaluation	Contract Services - Studies and Research Services: 72125 Travel: 71600	100.43	250,000
Annual and terminal audits	Audit: 74110	32.14	80,000
Meetings, consultations and workshops	Miscellaneous Expenses - Sundry: 74525	40.17	100,000
Documentation and communication - 1%	Communications and Audio Visual Equipments: 72400	36.15	90,000
Implementation Support Services (ISS)	ISS: 75100	40.17	100,000
Sundries (1%)	Miscellaneous Expenses - Sundry: 74525	40.17	100,000
<b>1 USD = INR</b>	<b>40.17</b>	<b>Total</b>	<b>5179.375841</b>
			<b>12,893,642</b>

Out of the total project budget of USD 12.89 million for Livelihoods Promotion, USD 2 million will flow through the NPC as per the following details:

<b>Funds from UNDP Flowing Through Planning Commission Budget</b>				
<b>S. No.</b>	<b>Activities</b>	<b>District Planning</b>	<b>Livelihood Promotion</b>	<b>Total</b>
		<b>USD</b>	<b>USD</b>	<b>USD</b>
1	Project Management Team	300,000	300,000	600,000
2	Technical Consultants	200,000	200,000	400,000
3	Consultations at national level	300,000	300,000	600,000
4	Studies and Policy Research	200,000	200,000	400,000
5	Annual Reviews	50,000	50,000	100,000
6	Knowledge Sharing	300,000	300,000	600,000
7	Documentation and Communication	250,000	250,000	500,000
8	Exit Strategy	85,000	85,000	170,000
	<b>Sub total</b>	<b>1,685,000</b>	<b>1,685,000</b>	<b>3,370,000</b>
9	Communication (1%) of total budget	168,500	168,500	337,000
10	ISS upto 3%	5,000	5,000	10,000
11	Consultants and workshops	50,000	50,000	100,000
12	Mid Term Review and Evaluation	50,000	50,000	100,000
13	Audit	41,000	42,000	83,000
	<b>Sub total</b>	<b>314,500</b>	<b>315,500</b>	<b>630,000</b>
	<b>Grand Total</b>	<b>1,999,500</b>	<b>2,000,500</b>	<b>4,000,000</b>

**Annexure I – Summary Statistics for UNDAF focus states**

Feature	All India	Bihar	Chattisgarh	Jharkhand	M.P.	Orissa	Rajasthan	U.P.
<b>0 HDI 2001</b>	<b>0.588</b>	<b>0.365</b>	<b>0.541</b>	<b>0.525</b>	<b>0.490</b>	<b>0.443</b>	<b>0.540</b>	<b>0.419</b>
<b>1.1 Population (Total)</b>	1,028,610,328	82,998,509	20,833,803	26,945,829	60,348,023	36,804,660	56,507,188	166,197,921
1.2 <i>Scheduled Castes(SC) Population</i>	166,635,700	13,048,608	2,418,722	3,189,320	9,155,177	6,082,063	9,694,462	35,148,377
1.4 <i>Scheduled Tribes (ST) Population</i>	84,326,240	758,351	6,616,596	7,087,068	12,233,474	8,145,081	7,097,706	107,963
1.3 <i>Proportion of SC Population (%)</i>	16.2	15.7	11.6	11.8	15.2	16.5	17.2	21.1
1.5 <i>Proportion of ST Population (%)</i>	8.2	0.9	31.8	26.3	20.3	22.1	12.6	0.1
<b>2.1 Literacy Rate</b>	64.8	47	64.7	53.6	63.7	63.1	60.4	56.3
2.2 <i>Male</i>	75.3	59.7	77.4	67.3	76.1	75.3	75.7	68.8
2.3 <i>Female</i>	53.7	33.1	51.9	38.9	50.3	50.5	43.9	42.2
<b>3.1 Sex Ratio (Females per 1000 males 0-6 yrs)</b>	927	942	975	965	932	953	909	916
3.2 <i>Rural (No. of females per 1000 males)</i>	959							
3.3 <i>Urban (No. of females per 1000 males)</i>	913							
<b>4 Population Below Poverty Line</b>								
Combined (Rural+Urban)								
4.1 <i>Number of Persons (million)</i>	260.25	42.56	N/A	N/A	29.85	16.91	8.18	52.99
4.2 <i>% Persons</i>	26.10	42.60	N/A	N/A	37.43	47.15	15.28	31.15
Rural								
4.3 <i>Number of Persons (million)</i>	193.24	37.65	N/A	N/A	21.73	14.37	5.51	41.20
4.4 <i>% Persons</i>	27.09	44.30	N/A	N/A	37.06	48.01	13.74	31.22
Urban								
4.5 <i>Number of Persons (million)</i>	67.01	4.91	N/A	N/A	8.12	2.54	2.68	11.79
4.6 <i>% Persons</i>	23.62	32.91	N/A	N/A	38.44	42.83	19.85	30.89
<b>5.1 Workers (Total)</b>	402,234,724	27,974,606	9,679,871	10,109,030	25,793,519	14,276,488	23,766,655	53,983,824
5.2 <i>Male</i>	275,014,476	20,483,003	5,531,859	6,659,856	16,194,368	9,802,006	14,695,802	40,981,558
5.3 <i>Female</i>	127,220,248	7,491,603	4,148,012	3,449,174	9,599,151	4,474,482	9,070,853	13,002,266
<b>6.1 Distribution of Workers by Category (% of total workers)</b>	100	100	100	100	100	100	100	100
6.2 <i>Cultivators</i>	31.7	29.3	44.5	38.5	42.8	29.8	67.0	36.1
6.3 <i>Agricultural Labourers</i>	26.5	48	31.9	28.2	28.7	35.0	16.2	39.6
6.4 <i>Household Industry Workers</i>	4.2	3.9	2.1	4.3	4.0	4.9	2.8	8.3
6.5 <i>Other Workers</i>	37.6	18.8	21.5	29.1	24.5	30.3	14.0	16.0

## Annexure II: SCs and STs in 7 UN Focus States <sup>1</sup>

### 1. Bihar

#### Concentration of SCs and STs

**The Scheduled Caste (SC) population of Bihar State is 13,048,608 as per 2001 census constituting 15.7 per cent of the total population (82,998,509) of the State. The State holds 3rd rank among all the States and UTs in terms of SC population.** The growth of SC population during 1991-2001 has been 30.7 per cent which is 2.1 per cent higher than the growth of total population (28.6 per cent). The State has a total of twenty three (23) Scheduled Castes and all of them have been enumerated at 2001 census. Overall, the State accounts for 1.3 per cent of the total SC population of the country.

**The Scheduled Tribe (ST) population in the State of Bihar is 758,351 as per 2001 census, constituting 0.9 per cent of the total population (82,998,509) of the State.** The decennial growth of ST population has been 32.4 per cent which is 3.8 per cent higher than the State's total population. The State has a total of twenty nine (29) Scheduled Tribes and all of them have been enumerated at 2001 census.

**The Scheduled Castes are overwhelmingly rural, with 93.3 per cent residing in rural areas.** Among the districts, Gaya has the highest proportion of SCs (29.6 per cent) followed by Nawada, Aurangabad, Kaimur, Vaishali and Nalanda. Kishanganj district has the lowest proportion of the SC population (6.6 per cent).

**Almost of all the Scheduled Tribes reside in rural area as 94.6 per cent of them reside in villages.** District wise distribution of ST population shows that Katihar district has the highest proportion of STs (5.9 per cent) followed by Jamui (4.8 per cent), Banka (4.7 per cent) and Purnia (4.4 per cent). Sheohar district has the lowest proportion

Out of twenty three (23) SCs, **Chamar is the most populous caste with a population of 4,090,070, constituting 31.3 per cent of the total SC population.** Dusadh is the second largest SC, having a number of 4,029,411 forms 30.9 per cent of the SC population. Four other SCs in the descending order are Musahar, Pasi, Dhobi and Bhuiya. Along with Chamar and Dusadh, the six castes constitute 93.2 per cent of the total SC population of the State. Five castes, namely Chaupal, Bantar...upto Rajwar having population in the range of 100,111 to 213,795, constitute 5.8 per cent and the remaining 12 castes along with the generic castes constitute the residual 1.1 per cent of the total SC population. Eight (8) SCs have below 5000 population. Of them, two castes, namely, Ghasi and Lalbegi are very small, having population less than 1000.

**Chamar constitute 58 – 67 per cent of the total SC population in Gopalganj, Siwan, Buxar and Kaimur districts.** Dusadh constitute 54 per cent each in Vaishali and Begusarai districts. Pasi and Bhuiya are primarily concentrated in Gaya district whereas Musahar and Dhobi have maximum concentration in Purnia and Purba Champaran districts respectively.

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<sup>1</sup> Census of India 2001, available at: [http://www.censusindia.gov.in/Tables\\_Published/SCST/scst\\_main.html](http://www.censusindia.gov.in/Tables_Published/SCST/scst_main.html)

## Occupation of SCs and STs

**For SCs, 'Agricultural Labourers' constitute the highest proportion of 77.6 per cent among all workers.** This implies that more than three fourth of the total SC workers are 'Agricultural Page 4 of 4 Source: Office of the Registrar General, India Labourers'. This figure is higher than the national average (45.6 per cent). 'Other Workers' constitute 11.2 per cent which is lower if compared to the national average of 30.5 per cent in respect of all SCs. 'Cultivators' account for 7.9 per cent against the national average of 20 per cent. Workers engaged in Household Industry (HHI) constitute 3.3 per cent which is at par with the national average for SCs (3.9 per cent). 16. Among the major castes, Musahar have the highest proportion of 'Agricultural Labourers' followed by Bhuiya, Chamar and Dusadh whereas in 'Other Workers' category, Pasi are leading followed by Dhobi.

**For STs. 'Agricultural Labourers' constitute the highest proportion (62.5 per cent) among the total tribal workers,** which is considerably higher than that of the national average (36.9 per cent). 'Cultivators' account for 21.3 per cent, which is less than half of that recorded for all STs at the national level (44.7 per cent). 'Agricultural Labourers' and 'Cultivators' together constitute 83.8 per cent of the total workers. 'Other Workers' form 12.2 per cent which is comparable with the national average of 16.3 per cent in respect of all STs whereas workers engaged in Household Industry (HHI) constitute 4 per cent which is twice that of the national average (2.1 per cent). 18. Among the major tribes, Santal and Oraon have more than 60 per cent workers are 'Agricultural Labourers' followed by Munda, Gond and Kharwar. Kharwar and Santal have every 4th worker, a 'Cultivator' and Munda have every 3rd worker belong to the category of 'Other Workers'.

## **2. Chhattisgarh**

### Concentration of SCs and STs

**The Scheduled Caste (SC) population of Chhattisgarh is 2,418,722 as per 2001 census constituting 11.6 per cent of the total population (20,833,803).** It holds 16th position among all the States and UTs as far as the SC number is concerned. The decadal growth of SC population has been 12.6 per cent which is 5.7 per cent lower than the growth of State population.

**The SC population in the State is overwhelmingly rural as 78.5 per cent of them reside in the rural areas.** District-wise distribution of SC population shows that they have their highest concentration in Janjgir-Champa district (22.5 per cent), followed by Bilaspur (18.5 per cent), Raipur (16.2 per cent) districts etc. Bastar district has the lowest share of SC population (3 per cent), preceded by Dantawada (3.4 per cent) and Kanker (4.2 per cent).

**The Scheduled Tribe (ST) population of Chhattisgarh State is 6,616,596 constituting 31.8 percent of the total population of the State.** The State holds 8th position among all the States and UTs in term of the proportion of ST population to the total population (20,833,803). The decennial growth of ST population has been 15.7 per cent, which is 2.6 per cent lower than the overall growth of population (18.3 per cent). The State has a total of forty two (42) Scheduled Tribes and all have been enumerated at 2001 census.

**As many as 94.7 per cent of ST population resides in rural areas. At the district level, tribals have their highest concentration in Dantewada (78.5 per cent) followed by Bastar**

**(66.3 per cent) and Jashpur (63.2 per cent) districts.** Janjgir-Champa district has the lowest proportion of tribal population (11.6 per cent).

**Out of forty three (43) SCs, Chamar has the largest number, with a population of 1,659,303. They constitute 68.6 per cent of the total SC population of the State.** Ganda is the second largest caste having a population of 303,792, followed by Mahar, Ghasi with population of 212,099 and 113,897 respectively. These four castes together constitute 94.6 per cent of the total SC population. Five (5) SCs, namely, Dom, Chikwa, Bhangji, Basor and Dewar having a population in the range of 19,540 down to 11,109 have a share of 3.3 per cent; remaining thirty four (34) SCs along with the generic castes constitute the balance 2.1 per cent of total SC population. As many as twenty three (23) SCs each has below 500 population. Of them, seventeen castes are very small each having population less than 100. 5. Chamars have registered large number in Raipur, Bilaspur, Janjgir-Champa and Durg districts. Ganda have their maximum population in Raigarh and Raipur districts. Mahars are primarily concentrated in Durg and Rajnandgaon whereas Ghasi have their major concentration in Surguja and Raigarh districts.

#### Occupation of SCs and STs

**As per SCs, 'Agricultural Labourers' constitute the highest proportion of 41.6 per cent among all SC workers.** This figure is lower than that of the national average, 45.6 per cent. 'Cultivators' account for 32.6 per cent which is significantly higher than that of all SCs at the national level (20 per cent). This implies that every third SC worker is a 'Cultivator'. Workers engaged in Household Industries (HHI) constitute 2.7 per cent which is comparable with the corresponding figure registered by all SCs at the national level (3.9 per cent). Persons working as 'Other Workers' have a share of 23.2 per cent only which is lower than the national average recorded for all SCs (30.5 per cent).

**Regarding STs, more than half (56.6 per cent) of the total tribal workers are 'Cultivators'.** This figure is higher than that of the country (44.7 per cent). 'Agricultural Labourers' constitute 32.7 per cent, which is comparable with the national average of 36.9 per cent. 'Cultivators' and 'Agricultural Labourer' together constitute 89 per cent of the total tribal workers. 'Other workers' account for 9.7 per cent only. This proportion is also considerably lower if compared to the national average of 16.3 per cent. Workers engaged in Household Industry (HHI) account for a meagre 1.2 per cent, which is lower than that of all STs at the national level (2.1 per cent).

### **3. Jharkhand**

#### Concentration of SCs and STs

**According to 2001 census, the Scheduled Caste (SC) population of Jharkhand is 3,189,320, constituting 11.8 per cent of the total population (26,945,829).** It holds 14th position among all the States / UTs in terms of the Scheduled Caste population. The decennial growth of SC population has been 23.2 per cent which is almost the same as the growth of the total population (23.3 per cent). The State has a total of twenty two (22) Scheduled Castes and all have been enumerated at 2001 census.

**The Scheduled Tribe (ST) population of Jharkhand State is as per 2001 census 7,087,068 constituting 26.3 per cent of the total population (26,945,829) of the State.** Among all States and UTs, Jharkhand holds 6th and 10th ranks terms of the ST population and the



percentage share of the ST population to the total population of the State respectively. The growth of the ST population has been 17.3 per cent which is lower by 6 per cent if compared with the growth of the State's total population (23.3 per cent) during 1991-2001. The state has a total of thirty (30) Scheduled Tribes and all of them have been enumerated at 2001 census

**The SCs are predominantly rural as 81.1 per cent of them reside in villages. At the district level, the SCs have registered the highest proportion (31.9 per cent) in Chatra district, followed by Palamu (25.7 per cent) and Garhwa (23.9 per cent).** Pakaur and Lohardaga have the lowest proportion of SCs (3.3 – 3.5 per cent).

**The Scheduled Tribes are primarily rural as 91.7 per cent of them reside in villages. District wise distribution of ST population shows that Gumla district has the highest proportion of STs (68.4 per cent).** The STs constitute more than half of the total population in Lohardaga and Pashchimi Singhbhum districts whereas Ranchi and Pakaur districts have 41.8 – 44.6 per cent tribal population. Kodarma district (0.8 per cent) preceded by Chatra (3.8 per cent) has the lowest proportion of the STs Population

**Out of twenty two (22) SCs, Chamar is the most populous caste, having a number of 837,333, constituting 26.3 per cent of the total SC population.** Bhuiya and Dusadh are the second and third largest SCs having population of 680,030 and 349,284 respectively. The other SCs in descending order are Dhobi, Bhogta, Baurri, Turi and Rajwas. Alongwith Chamar, Bhuiya and Dusadh, eight SCs constitute 85.5 per cent of the total SC population of the State. Four castes, Musahar, Pasi, Ghasi and Dom having population in the range of 42,647-137,465, account for 11.3 per cent; the remaining 10 castes alongwith the generic castes constitute the residual 3.2 per cent of the State's SC population. Bantar, Choupal, Halalkhor and Kanjar are other Scheduled Castes which are small in number each having less than 1000 population.

**Chamars are in large number in the districts of Palamu, Giridih, Hazaribagh and Garhwa.** They have the highest percentage of the total SC population in **Giridih district (49.7 per cent)**. Bhuiya constitute more than half of the total SC population in **Chatra (52 per cent)** district. Dusadh are concentrated in Palamu district and in respect of other five large groups, namely, Dhobi, Bhogta, Baurri, Turi and Rajwas, their concentration in Dhanbad, Chatra, Dhanbad, Giridih and Bokaro districts respectively.

**Out of thirty (30) Scheduled Tribes notified for the State, Santhal is the most populous tribe having a population of 2,410,509, constituting 34 per cent of the total ST population of the State.** Oraon, Munda and Ho, the 2nd, 3rd and 4th largest tribes constitute 19.6, 14.8 and 10.5 per cent respectively of the total ST population of the State. Four other major tribes, Kharia, Bhumij, Lohra and Kharwar having population ranging from 164,022 - 192,024 along with Santhal, Oraon, Munda and Ho, constitute 89.1 per cent of the total tribal population. The tribes namely, Chero, Bedia, Mal Pahariya and Mahli in the population range from 75,540 to 121,174 account for another 5.6 per cent; the remaining 18 tribes, along with the generic tribes constitute the balance 5.3 per cent of the total ST population.

**District wise distribution of the individual ST shows that Santhal have the highest population in Dumka district followed by Purbi Singhbhum, Pakaur and Sahibganj districts but they constitute the highest proportion of the total ST population in Giridih (90.8 per cent), followed by Dumka (89.7 per cent) and Pakaur (85 per cent) districts.** Oraon have returned the highest population in Ranchi district followed by Gumla. They have the highest percentage share in the total tribal population (81 per cent) in Lohardaga district. Other six major tribes, namely Munda, Ho, Kharwar, Lohra, Bhumij and Kharia are concentrated

in Ranchi, Pashchimi Singhbhum, Palamu, Ranchi, Purbi Singhbhum and Gumla districts respectively

#### Occupation of SCs and STs

**For SCs, 'Agricultural Labourers' constitute the highest proportion of 47.1 per cent among the total workers.** This figure is slightly higher than the national average of 45.6 per cent recorded by all SCs in this category. 'Other Workers' constitute 27.9 per cent which is comparable with the national average of 30.5 per cent in respect of all SCs. 'Cultivators' account for 19.3 per cent and this figure is at par with the national average (20 per cent). Workers engaged in Household Industry (HHI) constitute 5.7 per cent which is 1.8 per cent higher than the national average (3.9 per cent). Among the major castes, Bhuiya have the highest percentage of 'Agricultural Labourers' followed by Rajwas and Chamar. Baurri have the highest proportion of 'Other Workers'. Bhogta have the highest share of 'Cultivators' whereas Turi have the maximum share of HHI workers.

**Fos STs, 'Cultivators' constitute more than half of the total workers and this figure is significantly higher than the national average of 44.7 per cent recorded by all STs** in this category. 'Agricultural Labourers' account for 31 per cent which is less than that recorded for all STs at the national level (36.9 per cent). 'Other Workers' form 13.5 per cent which is comparable with the national average of 16.3 per cent whereas workers engaged in Household Industry (HHI) constitute 3 per cent which is marginally higher than that of the national average (2.1 per cent). 17. Among the major tribes, Oraon, Munda and Kharia have 62-71 per cent workers engaged as 'Cultivators' followed by Kharwar and Santhal. Bhumij and Lohra have recorded the highest proportion of 'Agricultural Labourers' in their total working population. Lohra have also registered the higher percentage of 'Other Workers' as well as 'HHI' workers in comparison to other major tribes.

#### **4. Madhya Pradesh**

##### Concentration of SCs and STs

**The Scheduled Caste (SC) population of the State as per 2001 census, is 9,155,177, constituting 15.2 percent of the total population (60,348,023).** The State holds 8th rank in terms of the SC population among all the States and UTs. The growth of the SC population during 1991-2001 has been 22.4 per cent, which is 1.9 per cent lower than the growth of the total population (24.3 per cent). The state has a total of forty seven (47) SCs and all of them have been enumerated at 2001 census. 2. Majority (75.5 per cent) of the SC population resides in the rural areas. Among the districts, Datia has the highest proportion of SCs (24.9 per cent), followed by Ujjain (24.7 per cent) and Tikamgarh (24.3 per cent). Jhabua district has the lowest proportion of SC population (2.8 per cent), preceded by Mandla (4.6 per cent) and Dindori (5.8 per cent) districts.

**The Scheduled Tribe (ST) population of the State of Madhya Pradesh is 12,233,474 as per 2001 census. This constitutes 20.3 per cent of the total population (60,348,023) of the State.** Madhya Pradesh holds 1st rank among all the States/UTs in terms of ST population and 12th rank in respect of the proportion of ST population to total population. The growth of the ST population during 1991-2001 has been 26.4 per cent, which is 2.1 per cent higher than the overall growth of total population (24.3 per cent). The State has a total of forty six (46) Scheduled Tribes, and all of them have been enumerated at 2001 census. 2. The Scheduled Tribe population in the State is overwhelmingly rural, with 93.6 per cent residing in rural areas.

At district level, STs have returned the highest proportion in Jhabua district (86.8 per cent) followed by Barwani (67 per cent), Dindori (64.5 per cent) and Mandla (57.2 per cent) districts. Bhind district preceded by Morena and Datia has the lowest proportion of STs (0.5 per cent).

**Out of forty seven (47) SCs, Chamar is the most populous caste, with a population of 4,498,165 constituting 49.1 per cent of the total SC population.** Balahi is the second largest caste, having a population of 1,105,558 forms 12.1 per cent of all SC population. Three other SCs in the descending order are Mahar, Koli and Bhangi. Along with Chamar and Balahi, the five SCs constitute 77.9 per cent of the total SC population. Khatik, Katia, Khangar, Kumhar, Bagri and Basor have population ranging from 118,763 to 262,257; together they form 12.3 per cent of the total SC population in the State. Four SCs, namely, Nat, Dhanuk, Barahar and Chadhar having population in the range of 71,820 to 94,870 constitute another 3.6 per cent of total SC population. Remaining thirty two (32) SCs along with generic castes constitute the residual 6.2 per cent of total SC population. Among the forty seven SCs, twelve have below 5,000 population. Of them, six castes namely Muskhan, Bahna, Dhed, Dewar, Audhelia and Chitar are very small groups, each having less than 500 population. 4. Though Chamar are primarily concentrated in Sagar, Morena, Rewa, Bhind and Chhatarpur districts, they have their highest proportion (75.7 per cent) in Morena district. Balahi have major concentration in Ujjain, West Nimar and Dewas districts. Mahar have their highest concentration in Betul district whereas Koli and Bhangi each have their maximum concentration in Gwalior district.

#### Occupation of SCs and STs

**For SCs, 'Agricultural Labourers' constitute the highest proportion (42.5 per cent) among all workers.** This is lower than the national average of 45.6 per cent recorded for all SCs in this category. 'Cultivators' account for 27 per cent, which is higher if compared with that of all SCs at the national level (20 per cent). 'Other Workers' constitute 22.7 per cent against the national average of 30.5 per cent. Workers engaged in Household Industry (HHI) constitute 7.8 per cent which is twice that of the national average (3.9 per cent). 16. Among the major castes, Balahi have more than half of the total workers are 'Agricultural Labourers' whereas Bhangi have more than 60 per cent workers are 'Other Workers'. Koli have the highest proportion of 'HHI Workers' in comparison to other major castes.

**For STs, 'Cultivators' constitute the highest proportion (46.8 per cent) among the total workers,** which is higher than that of all STs at the national level (44.7 per cent). 'Agricultural Labourers' account for 42.1 per cent, which is higher than the national average of 36.9 per cent recorded by all STs in this category. 'Cultivators' and 'Agricultural Labourers' together constitute 89 per cent of the total workers. 'Other Workers' constitute 10 per cent. This proportion is lower than that of the national average (16.3 per cent) whereas workers engaged in 'Household Industry' (HHI) constitute 1.1 per cent, which is almost half of the national average (2.1 per cent).

## **5. Orissa**

#### Concentration of SCs and STs

**The Scheduled Caste (SC) population of the State of Orissa, as per 2001 census is 6,082,063. This constitute 16.5 percent of the total population of the State.** The State holds 11th rank and 12th rank among all the States and UTs in terms of the SC population and the proportion of SC population to the total population of the State respectively. The decennial growth of SC population has been 18.6 per cent, which is 2.3 per cent higher than

the overall growth of the total population (16.3 per cent). The State has a total of ninety-three (93) Scheduled Castes, but ninety one (91) have returned their population at 2001 census. 2. The Scheduled Castes are predominantly rural with 88.4 per cent residing in villages. Among the districts, the SCs have the highest concentration in Sonapur district with a share of 23.6 per cent to the total population, followed by Jajapur (23 per cent) and Baudh (21.9 per cent) districts. Gajapati district has the lowest proportion of the SC population (7.5 per cent).

**The Scheduled Tribe (ST) population of the State of Orissa is 8,145,081. This constitutes 22.1 percent of the total population of the State** and 9.7 per cent of the total tribal population of the country. The state holds 3rd and 11th rank among the States/UTs in terms of ST population and the proportion of ST population to total population of the State respectively. The decennial growth of ST population has been 15.8 per cent, which is 0.5 per cent lower than the growth of population (16.3 per cent). The State has a total of sixty two (62) Scheduled Tribes, and all have been enumerated at 2001 census. 2. The Scheduled Tribe population in the State is overwhelmingly rural, with 94.5 per cent residing in villages. District wise distribution of ST population shows that Malkangiri district has the highest proportion of STs (57.4 per cent) followed by Mayurbhanj (56.6 per cent), Rayagada (55.8 per cent) and Nabarangapur (55 per cent). Puri district has the lowest by proportion of STs (0.3 per cent).

#### Occupation of SCs and STs

**For SCs, 'Agricultural Labourers' constitute the highest proportion (45.7 per cent) among all SCs workers, which is almost equal to that of the national average (45.6 per cent).** Persons working as 'Other Workers' constitute 30.2 per cent which is approximately the same if compared to the national average of 30.5 per cent. 'Cultivators' account for 18.2 per cent which is at par with the national average of 20 per cent whereas workers engaged in Household Industry (HHI) constitute 6 per cent and this figure is significantly higher than that of all SCs at the national level (3.9 per cent). 16. Among the major castes, Dhoba, Dewar, Kandra and Dom have every 5th worker, a cultivator. 'Agricultural Labourers' constitute 61 per cent of the total workers of Bauri, followed by Pan, Ganda, Kandra who have more than half of the total workers are 'Agricultural Labourers'. Dewar have the highest proportion of 'Other Workers' followed by Dhoba (39.9 per cent) and Kandra (26.4 per cent).

**For STs, 'Agricultural Labourers' constitute the highest proportion (46.9 per cent) among the total workers.** This figure is higher than that of the national average of 36.9 per cent. 'Cultivators' account for 33.3 per cent which is lower than that of all STs at the national level (44.7 per cent). 'Other Workers' constitute 15 per cent. This proportion is at par with that of the national average (16.3 per cent) whereas workers engaged in 'Household Industry' (HHI) constitute 4.8 per cent, which is 2.7 per cent higher than that of all STs at the national level

## **6. Rajasthan**

#### Concentration of SCs and STs

**The state has Scheduled Caste (SC) population of 9,694,462 as per 2001 census constituting 17.2 per cent of the total population (56,507,188).** The state holds 7th rank in SC population and 10th rank in terms of proportion of SC population to total population among all States and UTs. Fifty nine (59) castes have been scheduled in respect of Rajasthan. All of them have been enumerated during the Census 2001. The SC population has registered a growth rate of 27.4 per cent during 1991-2001, which is lower by one per cent than the

growth of the total population. . Scheduled Castes are predominantly rural as 79.8 per cent of them live in the villages.

District wise distribution of SC population shows that they have the highest concentration in **Ganganagar with a share of 33.7 per cent to the total population, followed by 26.1 per cent and 23.2 per cent in Hanumangarh and Karauli districts respectively.** Both Dungarpur and Banswara districts (4 per cent each) have the lowest share of SC population to total population of districts preceded by Udaipur (6 per cent). Population: Size & Distribution

The Scheduled Tribe (ST) population of Rajasthan State is 7,097,706 constituting 8.4 percent of the total ST population of India. **The Scheduled Tribes of the State constitute 12.6 percent of the total population (56,507,188) of the State.** It holds 12th position among all States and UTs in respect of the percentage share of ST population to total population. **The ST population has registered a growth rate of 29.6 per cent during 1991-2001 which is 1.2 per cent higher than the growth of the total population. The Scheduled Tribes are overwhelmingly rural as 94.6 per cent of them inhabit in rural areas whereas 76.6 per cent of the total population of the state live in villages.** District wise distribution of tribal population shows that they have their highest concentration in **Banswara district (72.3 per cent), followed by 65.1 percent and 47.9 per cent in Dungarpur and Udaipur districts respectively.** Nagaur ( 0.2 per cent) preceded by Bikaner (0.4 per cent) has the lowest share of tribal population in the total population.

**At the level of the individual caste, Chamar is the largest group with a population of 2,465,563 forming 25.4 per cent, followed by Megh with a population of 2,060,454 accounting for 21 per cent of the total SC population.** Bairwa, Thori, Balai have population of 931,030, 650,373 and 643,189 respectively. These five (5) major castes combine to form 69.6 per cent of the total SC population. Koli, Bhangi, Khatik, Baori, Dhobi, Mazhabi, Sargara and Dholi with more than one lakh population, have together a share of 20.1 per cent of the total SC population. Fourteen (14) SCs namely, Dhanak, Kalbalia, Gavaria, Sansi, Bawaria Rawal have 7.5 per cent of the SC population of the state. Remaining thirty two (32) SCs along with generic castes constitute the residual 2.8 per cent of the total SC population.

**Chamar constitute highest proportion (76.7 per cent) of the total SC population in Bharatpur district, followed by Dhaulpur (68.2 per cent), Jhunjhunun (59.7 per cent) etc.** The other larger SCs, Megh, Bairwa, Thori, Balai have registered maximum proportion in the districts of Jaisalmer ( 83.7 per cent), Dausa( 56.6 per cent), Ganganagar( 41.5 per cent) and Sikar( 61 per cent) respectively.

#### Occupation of SCs and STs

Majority of the SCs workers are engaged in agriculture. **As many as 44 per cent of the workers are 'Cultivators' which is more than double of the national average of 20 per cent in respect of all SCs in this category.** 'Other Workers' also have a significant share of 32 per cent showing higher proportion than that of all SCs at country level (30.5 per cent). Persons working as 'Agricultural Labourers' constitute only 20 per cent which is significantly lower if compared with that of the country (45.6 per cent). Workers in 'Household Industry' account for 3.4 per cent which is very close to that of the total SCs at the national level (3.9 per cent).

At the individual caste level, Megh, Bairwa, Balai, Thori, Baori and Chamar have the highest proportion of 'Cultivators' whereas Bhangi, Khatik and Koli have the highest percentage of 'Other Workers' in their total working population.

For STs, Agriculture is the main economic activity of the tribes of Rajasthan. **While 69 per cent of total workers are 'Cultivators'** which is significantly higher than the national average of 44.7 per cent, 'Agricultural Labourers' constitute only 14 per cent which is less than half of that recorded by of total STs at the national level (36.9 per cent). 'Other Workers' constitute 16.3 per cent and workers in 'Household Industry' account for only 0.7 per cent. 17. Expectedly, majority of the workers are 'Cultivators' among Mina, Damor, Bhil and Garasia tribes whereas Seharia have maximum proportion of 'Agricultural Labourers' followed by 'Cultivators'. Dhanka have the highest proportion of 'Other Workers

## **7. Uttar Pradesh**

### Concentration of SCs and STs

The total population of Uttaranchal in 2001 Census has been 8,489,349. **Of these 1,517,186 persons are Scheduled Castes (SCs), which constitute 17.9 per cent of the total population of the state.** The state has registered decadal growth of 23.2 per cent in SC population in 1991-2001. In Uttaranchal, there are sixty six (66) notified SCs. Of these, 64 SCs have been enumerated at 2001 Census; two namely, Banmanus and Rawat have not returned any population at 2001 Census. Population: Size & Distribution 2. Individual SC wise, Shilpkar alone have a population of 51.9 per cent of the state SC population, followed by Chamar (29.3 per cent), Balmiki (5.9 per cent), Kori (2.7 per cent), Bajgi (1.4 per cent), and Dom (1.2 per cent). The Pasi, Dhobi, and Kol are the three other SCs, each having returned more than 10,000 population. The rest of the SCs are small in population size. The SC population is by and large uniformly distributed across all the thirteen districts in terms of percentage. Bageshwar district has recorded the highest (25.9 per cent) SC population, followed by Pithoragarh (23 per cent). The lowest percentage of SC population (13.2 per cent) has been returned in Udham Singh Nagar. However, Hardwar (20.7 per cent), Dehradun (11.4 per cent) and Udham Singh Nagar (10.7 per cent) together account for 42.9 per cent of the total SC population of the state (Statement -2).

**The Scheduled Tribe (ST) population of Uttar Pradesh is 107,963 at 2001 census, constituting a meagre 0.1 per cent of the total population (166,197,921) of the State.** The decennial growth of ST population has been 42 per cent, which is 16.2 per cent higher than the growth of total population (25.8 per cent) during 1991-2001. The State has a total of five (5) Scheduled Tribes and all of them have been enumerated at 2001 census. 2. The tribal population of the State is predominantly rural with 88.8 per cent of them residing in villages. District wise distribution of ST population shows that Kheri district has the highest proportion of STs (1.2 per cent), followed by Balrampur (1.1 per cent), Shrawasti & Bahraich (each 0.4 per cent) districts. Nine (9) districts, each having a proportion of 0.1 per cent tribal population whereas remaining fifty seven (57) districts have negligible proportion of ST population.

### Occupation of SCs and STs

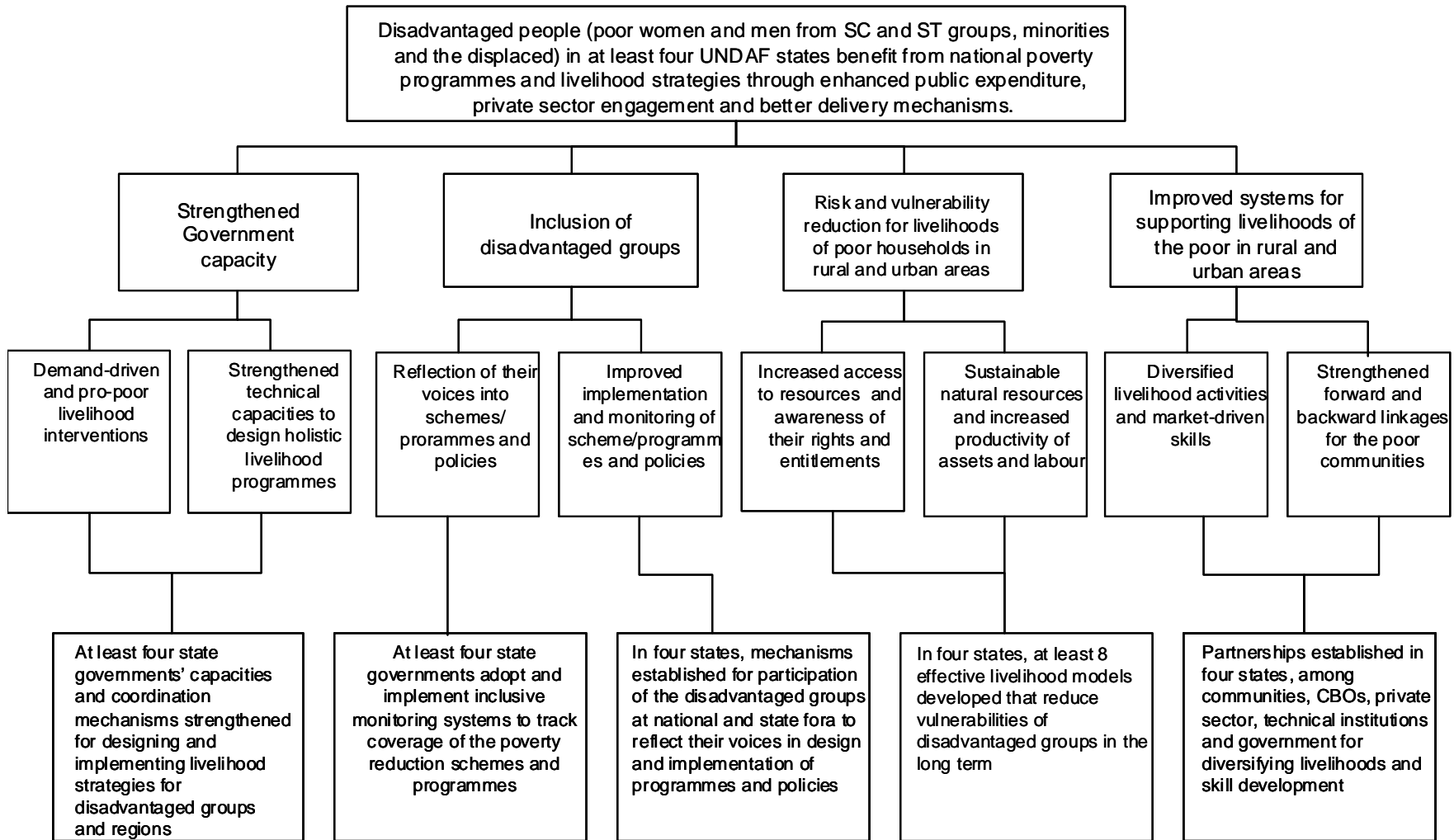
**Of the total main workers among SCs, the highest 45.9 per cent has been recorded as cultivators.** The main workers among SCs as agricultural labourers constitute only 12.3 per cent. Another 3.2 per cent is involved in household industry. And the rest 38.6 per cent is in the category of other workers. 15. The highest 74.1 per cent of total main workers as cultivators

have been recorded among Bajgi, closely followed by Kol (72.4 per cent), Dom (70.6 per cent) and Shilpkar (65.5 per cent). On the other hand Balmiki have recorded the lowest (1.2 per cent). The percentage of cultivators is also quite low among Dhobi (5.3 per cent) and Pasi (5.5 per cent).

**For STs as well, 'Cultivators' constitute the highest proportion (44.6 per cent) among the total tribal workers,** which is equal to that of all STs at the national level (44.7 per cent). 'Agricultural Labourers' account for 31.4 per cent, which is lower than the national average of 36.9 per cent recorded by all STs in this category. 'Other Workers' form 21.6 per cent which is higher than the national average of 16.3 per cent. Workers engaged in 'Household Industry' (HHI) constitute 2.4 per cent which is same as that of the national level (2.1 per cent). At the individual level, Tharu have more than fifty per cent workers are 'Cultivators'. Buksa have the highest proportion of 'Agricultural Labourers' (42.3 per cent) whereas more than 70 per cent of Bhotia workers are 'Other Workers'. Among all tribes, Raji have the highest proportion of 'HHI' workers followed by Bhotia and Buska.

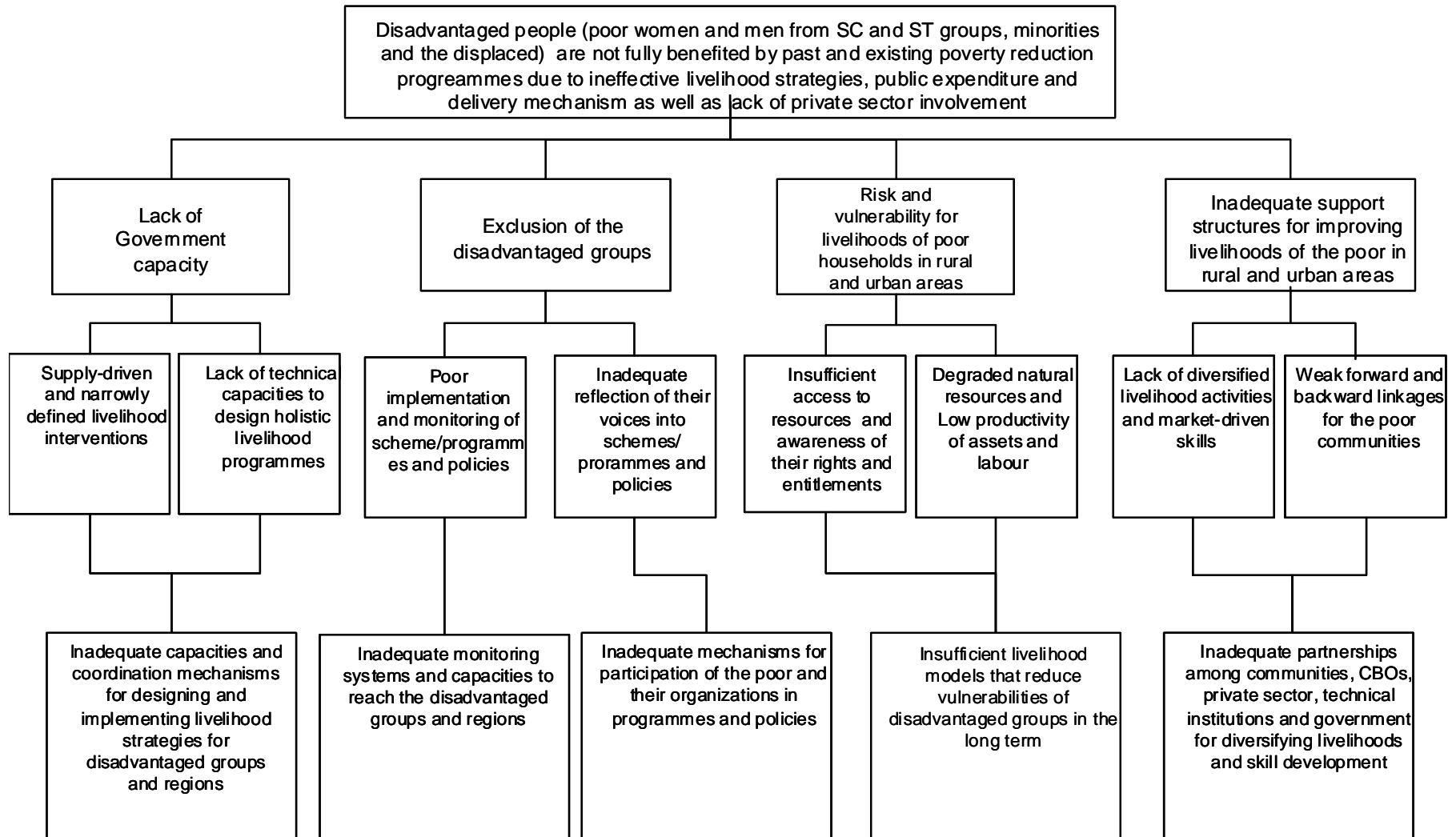
ANNEXURE III

Result Tree – Poverty/Livelihoods Promotion





# Problem Tree – Poverty/Livelihoods Promotion



# Rajasthan Mission on Livelihoods

## A State-wide Mechanism for Addressing Livelihood Challenges

*The Government of Rajasthan adopts a new approach to livelihood promotion, with improved analysis, planning and coordination.*

### Livelihood Challenges in Rajasthan

Rajasthan is India's largest state in terms of area. Its people engage in a range of livelihood activities that vary with the state's diverse terrain. A significant challenge for Rajasthan is ensuring faster growth that is pro-poor, with livelihoods that are sustainable. At least 8 lakh new livelihoods are needed every year, to keep pace with rapid growth of the labour force and increasing unemployment. Of equal importance is increasing the incomes of at least 20 lakh "working poor", in order to tackle poverty.

Several interventions have been taken up in the past to enhance the livelihoods of Rajasthan's poor, with positive outcomes. At the same time, it has become clear that addressing livelihood challenges requires:

- Testing alternative and new ideas
- Building the capacities and infrastructure of livelihood service delivery agencies
- Mobilising and converging with a range of stakeholders
- Developing an umbrella mechanism to coordinate a range of efforts

### The Rajasthan Mission on Livelihoods: Exploring a New Approach

The Government of Rajasthan recognised that a 'Livelihood Mission' could provide a possible answer to these challenges, by providing a state level mechanism for better participation, analysis and coordination. In September 2004, it launched the Rajasthan Mission on Livelihoods (RMOL), with the Honourable Chief Minister as its Chairperson. The Mission is a think-tank comprising a board of 14 people—eminent representatives from government, industry, financial institutions and civil society. A former bureaucrat, Mr. M.L. Mehta (Ex Chief Secretary, Government of Rajasthan) is Deputy Chairman and Mr. Vijay Mahajan (Chairman, BASIX and ARAVALI) is Principal Advisor to the Mission.

With UNDP support, BASIX—a new generation livelihood promotion organization—is providing technical assistance to the Mission in designing and implementing livelihood strategies. This is operationalised through the Mission Assistance Technical Unit, a team of 8 professionals providing full-time support to RMOL.

#### **RMOL's Mandate**

*Build and disseminate knowledge:* Ideate on livelihood promotion to use the state's massive resources; analyse ongoing livelihood programmes; build knowledge through field visits, studies and stakeholder consultations; and disseminate knowledge on livelihoods.

*Design livelihood promotion strategies:* Prepare state livelihood strategies, and implementation and investment plans. For this, identify demand-supply gaps across sectors, social groups and agro-ecological zones, as well as key growth areas.

*Implement strategies through pilots:* Initiate demonstration pilots for livelihood promotion through action research; pilot these as Community-NGO-Public-Private-Partnerships; showcase successful interventions; and mainstream piloted strategies.

*Facilitate convergence and coordination:* Support coordination and convergence among various government departments and facilitate resource mobilization. Coordinate with Planning and Finance Departments to ensure that financial resources are made available for recommended plans.

*Policy reform and advocacy:* Identify areas requiring policy reform. Network with livelihood-related organizations.

Administratively, the Mission is anchored with the Department of Employment and Labour, Government of Rajasthan, and became fully operational in April 2005. Till 2007-08, the state government has provided a financial allocation of Rs. 297 million to RMOL, with UNDP providing Rs. 22 million for technical support.

## Achievements

Between April 2005-November 2007, RMOL has:

- Carried out 24 wide-ranging consultations and workshops, 25 studies and institutional and policy analysis for an objective review of Rajasthan's livelihood scenario.
- Identified gaps between supply and demand across sectors, including agriculture, livestock, mining, informal sector services and forestry. Analysed gaps across agro-ecological zones, and for the youth and vulnerable groups such as women, dalits and tribals.
- Identified areas for strengthening the participation of poor people in growing sectors such as tourism, information technology and services.
- Formulated livelihood strategies on themes vital to poor households: natural resources, rural non-farm sector, urban informal sector and out of state migration.
- Initiated demonstration pilots in rural tourism, dairy, rural employment exchange and migrant services. Developed partnerships, e.g. Skill Development Centers with corporate, financial institution and NGO collaboration.
- Developed policies and programmes in different areas, e.g. employability, horticulture, backyard poultry, goatery, mobile training and distance education.
- Enhanced capacities of institutions delivering government programmes and schemes to the poor. E.g. restructured the employment department, developed Industrial Training Institute infrastructure, and revived and diversified Krishi Vigyan Kendras.
- Promoted new institutions based on demand-supply gaps, such as an employment facilitation agency and 'Rural Development and Self Employment Training Institutes'.
- Facilitated institutional convergence for a synergy of funds, expertise and other resources. E.g. with Departments of Technical Education, Women and Child Development and Rural Development, agricultural universities and Entrepreneurship Management Institute.
- **Generated 1 lakh new livelihoods** through employment fairs, skill training, rural employment exchange, horticulture, migrant services, distance education and goat breeding and backyard poultry programmes. Details are as follows:

<b>RMOL's Impact on Livelihoods in Rajasthan</b>		
<b>Sector/Activity</b>	<b>Number of Persons Impacted</b>	<b>Income Generated</b>
Employment Fairs	46000 individuals	Rs. 2500-Rs. 5000 p.m.
Skill Training Programs	12000 youth	Rs. 3000-Rs. 8000 p.m.
Employment Exchange	1000 youth	Rs. 3000-6000 p.m.
Goat Breeding Promotion	12000 goat farmers	Rs. 5000-10000 p.a.
Backyard Poultry	1000 households	Rs. 6000-8000 p.a.
Horticulture	6000 farmers	Rs. 1000-4000 p.a.
Migration Services	1000 migrants	Rs. 500 p.m. (incremental)
IT-based Distance Education	1000 youth	-
Departmental/Infrastructure Support	20000 individuals	-
<b>Total number of livelihoods</b>	<b>100000</b>	

## Lessons Learnt

- The Mission Approach helps in networking, ideation, innovation and developing a holistic strategy for livelihood promotion.
- The involvement of government, professionals, knowledge institutions and NGOs is conducive to better livelihood planning and programming.
- Provision of a Technical Assistance Unit – through a professional organization such as BASIX – is crucial. The Unit plays a significant role in undertaking field studies, holding consultations and strengthening policies and programmes.
- A strong political mandate with the Chief Minister heading the Mission, and a high ranking former civil servant as Deputy Chairman have strengthened the Mission.
- Autonomy and decentralisation of the Mission are essential for success.

For more information, please visit [www.rajasthanlivelihoods.org](http://www.rajasthanlivelihoods.org) or contact Mr. Rajeev Gupta, RMOL-BASIX, Room No 245-A, Pant Krishi Bhawan, Bhagwandas Road, Jaipur 302 005 Ph: 0141-510 3246, 510 3247 Email: [rmol.jpr@gmail.com](mailto:rmol.jpr@gmail.com)

## **Annexure V: List of Possible “Responsible Parties” at National and State Levels**

- Central ministries such as MORD, MoHUPA, Ministry of Tribal Affairs
- State governments including state wide missions on livelihoods/employment such as the Rajasthan Mission on Livelihoods and the Orissa Employment Mission
- Technical resource organizations/NGOs such as BASIX, ACCESS Development Services, ARAVALI, PRADAN, Udyogini, MART and National Institute of Rural Development
- Organizations of the poor and excluded such as community-based organizations, women’s collectives/federations, cooperatives and producer companies
- Private sector including industry association such as CII and FICCI
- National Campaign on Dalit Human Rights
- Indian Confederation of Indigenous and Tribal People
- Microfinance India Platform
- Sustainable Livelihoods India Initiative
- Indian Social Institute
- National Alliance of People's Movements
- National Conference of Dalit Organisations (NACDOR)
- Confederation of Voluntary Associations
- Handicap International
- Media
- Networks of people living with HIV
- UN Solution Exchange

Standard annex to project documents for use in countries which are not parties to the Standard Basic Assistance Agreement (SBAA)

Standard Text: Supplemental Provisions to the Project Document:  
The Legal Context

General responsibilities of the Government, UNDP and the executing agency

1. All phases and aspects of UNDP assistance to this project shall be governed by and carried out in accordance with the relevant and applicable resolutions and decisions of the competent United Nations organs and in accordance with UNDP's policies and procedures for such projects, and subject to the requirements of the UNDP Monitoring, Evaluation and Reporting System.
2. The Government shall remain responsible for this UNDP-assisted development project and the realization of its objectives as described in this Project Document.
3. Assistance under this Project Document being provided for the benefit of the Government and the people of (the particular country or territory), the Government shall bear all risks of operations in respect of this project.
4. The Government shall provide to the project the national counterpart personnel, training facilities, land, buildings, equipment and other required services and facilities. It shall designate the Government Co-operating Agency named in the cover page of this document (hereinafter referred to as the "Co-operating Agency"), which shall be directly responsible for the implementation of the Government contribution to the project.
5. The UNDP undertakes to complement and supplement the Government participation and will provide through the Executing Agency the required expert services, training, equipment and other services within the funds available to the project.
6. Upon commencement of the project the Executing Agency shall assume primary responsibility for project execution and shall have the status of an independent contractor for this purpose. However, that primary responsibility shall be exercised in consultation with UNDP and in agreement with the Co-operating Agency. Arrangements to this effect shall be stipulated in the Project Document as well as for the transfer of this responsibility to the Government or to an entity designated by the Government during the execution of the project.

7. Part of the Government's participation may take the form of a cash contribution to UNDP. In such cases, the Executing Agency will provide the related services and facilities and will account annually to the UNDP and to the Government for the expenditure incurred.

(a) Participation of the Government

1. The Government shall provide to the project the services, equipment and facilities in the quantities and at the time specified in the Project Document. Budgetary provision, either in kind or in cash, for the Government's participation so specified shall be set forth in the Project Budgets.
2. The Co-operating Agency shall, as appropriate and in consultation with the Executing Agency, assign a director for the project on a full-time basis. He shall carry out such responsibilities in the project as are assigned to him by the Co-operating Agency.
3. The estimated cost of items included in the Government contribution, as detailed in the Project Budget, shall be based on the best information available at the time of drafting the project proposal. It is understood that price fluctuations during the period of execution of the project may necessitate an adjustment of said contribution in monetary terms; the latter shall at all times be determined by the value of the services, equipment and facilities required for the proper execution of the project.
4. Within the given number of man-months of personnel services described in the Project Document, minor adjustments of individual assignments of project personnel provided by the Government may be made by the Government in consultation with the Executing Agency, if this is found to be in the best interest of the project. UNDP shall be so informed in all instances where such minor adjustments involve financial implications.
5. The Government shall continue to pay the local salaries and appropriate allowances of national counterpart personnel during the period of their absence from the project while on UNDP fellowships.
6. The Government shall defray any customs duties and other charges related to the clearance of project equipment, its transportation, handling, storage and related expenses within the country. It shall be responsible for its installation and maintenance, insurance, and replacement, if necessary, after delivery to the project site.
7. The Government shall make available to the project - subject to existing security provisions - any published and unpublished reports, maps, records and other data which are considered necessary to the implementation of the project.

8. Patent rights, copyright rights and other similar rights to any discoveries or work resulting from UNDP assistance in respect of this project shall belong to the UNDP. Unless otherwise agreed by the Parties in each case, however, the Government shall have the right to use any such discoveries or work within the country free of royalty and any charge of similar nature.

9. The Government shall assist all project personnel in finding suitable housing accommodation at reasonable rents.

10. The services and facilities specified in the Project Document which are to be provided to the project by the Government by means of a contribution in cash shall be set forth in the Project Budget. Payment of this amount shall be made to the UNDP in accordance with the Schedule of Payments by the Government.

11. Payment of the above-mentioned contribution to the UNDP on or before the dates specified in the Schedule of Payments by the Government is a prerequisite to commencement or continuation of project operations.

(b) Participation of the UNDP and the executing agency

1. The UNDP shall provide to the project through the Executing Agency the services, equipment and facilities described in the Project Document. Budgetary provision for the UNDP contribution as specified shall be set forth in the Project Budget.

2. The Executing Agency shall consult with the Government and UNDP on the candidature of the Project Manager a/ who, under the direction of the Executing Agency, will be responsible in the country for the Executing Agency's participation in the project. The Project Manager shall supervise the experts and other agency personnel assigned to the project, and the on-the-job training of national counterpart personnel. He shall be responsible for the management and efficient utilization of all UNDP-financed inputs, including equipment provided to the project.

3. The Executing Agency, in consultation with the Government and UNDP, shall assign international staff and other personnel to the project as specified in the Project Document, select candidates for fellowships and determine standards for the training of national counterpart personnel.

4. Fellowships shall be administered in accordance with the fellowships regulations of the Executing Agency.

a/ May also be designated Project Co-ordinator or Chief Technical Adviser, as appropriate.

5. The Executing Agency may, in agreement with the Government and UNDP, execute part or all of the project by subcontract. The selection of subcontractors shall be made, after consultation with the Government and UNDP, in accordance with the Executing Agency's procedures.
6. All material, equipment and supplies which are purchased from UNDP resources will be used exclusively for the execution of the project, and will remain the property of the UNDP in whose name it will be held by the Executing Agency. Equipment supplied by the UNDP shall be marked with the insignia of the UNDP and of the Executing Agency.
7. Arrangements may be made, if necessary, for a temporary transfer of custody of equipment to local authorities during the life of the project, without prejudice to the final transfer.
8. Prior to completion of UNDP assistance to the project, the Government, the UNDP and the Executing Agency shall consult as to the disposition of all project equipment provided by the UNDP. Title to such equipment shall normally be transferred to the Government, or to an entity nominated by the Government, when it is required for continued operation of the project or for activities following directly therefrom. The UNDP may, however, at its discretion, retain title to part or all of such equipment.
9. At an agreed time after the completion of UNDP assistance to the project, the Government and the UNDP, and if necessary the Executing Agency, shall review the activities continuing from or consequent upon the project with a view to evaluating its results.
10. UNDP may release information relating to any investment oriented project to potential investors, unless and until the Government has requested the UNDP in writing to restrict the release of information relating to such project.

#### Rights, Facilities, Privileges and Immunities

1. In accordance with the Agreement concluded by the United Nations (UNDP) and the Government concerning the provision of assistance by UNDP, the personnel of UNDP and other United Nations organizations associated with the project shall be accorded rights, facilities, privileges and immunities specified in said Agreement.
2. The Government shall grant UN volunteers, if such services are requested by the Government, the same rights, facilities, privileges and immunities as are granted to the personnel of UNDP.



3. The Executing Agency's contractors and their personnel (except nationals of the host country employed locally) shall:

(a) Be immune from legal process in respect of all acts performed by them in their official capacity in the execution of the project;

(b) Be immune from national service obligations;

(c) Be immune together with their spouses and relatives dependent on them from immigration restrictions;

(d) Be accorded the privileges of bringing into the country reasonable amounts of foreign currency for the purposes of the project or for personal use of such personnel, and of withdrawing any such amounts brought into the country, or in accordance with the relevant foreign exchange regulations, such amounts as may be earned therein by such personnel in the execution of the project;

(e) Be accorded together with their spouses and relatives dependent on them the same repatriation facilities in the event of international crisis as diplomatic envoys.

4. All personnel of the Executing Agency's contractors shall enjoy inviolability for all papers and documents relating to the project.

5. The Government shall either exempt from or bear the cost of any taxes, duties, fees or levies which it may impose on any firm or organization which may be retained by the Executing Agency and on the personnel of any such firm or organization, except for nationals of the host country employed locally, in respect of:

(a) The salaries or wages earned by such personnel in the execution of the project;

(b) Any equipment, materials and supplies brought into the country for the purposes of the project or which, after having been brought into the country, may be subsequently withdrawn therefrom;

(c) Any substantial quantities of equipment, materials and supplies obtained locally for the execution of the project, such as, for example, petrol and spare parts for the operation and maintenance of equipment mentioned under (b), above, with the provision that the types and approximate quantities to be exempted and relevant procedures to be followed shall be agreed upon with the Government and, as appropriate, recorded in the Project Document; and

(d) As in the case of concessions currently granted to UNDP and Executing Agency's personnel, any property brought, including one privately owned automobile per employee, by the firm or organization or its personnel for their personal use or consumption or which after having been brought into the country, may subsequently be withdrawn therefrom upon departure of such personnel.

6. The Government shall ensure:

(a) prompt clearance of experts and other persons performing services in respect of this project; and

(b) the prompt release from customs of:

(i) equipment, materials and supplies required in connection with this project; and

(ii) property belonging to and intended for the personal use or consumption of the personnel of the UNDP, its Executing Agencies, or other persons performing services on their behalf in respect of this project, except for locally recruited personnel.

7. The privileges and immunities referred to in the paragraphs above, to which such firm or organization and its personnel may be entitled, may be waived by the Executing Agency where, in its opinion or in the opinion of the UNDP, the immunity would impede the course of justice and can be waived without prejudice to the successful completion of the project or to the interest of the UNDP or the Executing Agency.

8. The Executing Agency shall provide the Government through the resident representative with the list of personnel to whom the privileges and immunities enumerated above shall apply.

9. Nothing in this Project Document or Annex shall be construed to limit the rights, facilities, privileges or immunities conferred in any other instrument upon any person, natural or juridical, referred to hereunder.

#### Suspension or termination of assistance

1. The UNDP may by written notice to the Government and to the Executing Agency concerned suspend its assistance to any project if in the judgement of the UNDP any circumstance arises which interferes with or threatens to interfere with the successful completion of the project or the accomplishment of its purposes. The UNDP may, in the same or a subsequent written notice, indicate the conditions under which it is prepared to resume its assistance to the project. Any such suspension shall continue until such time as such conditions are accepted by the Government and as the UNDP shall give written notice to the Government and the Executing Agency that it is prepared to resume its assistance.

2. If any situation referred to in paragraph 1, above, shall continue for a period of fourteen days after notice thereof and of suspension shall have been given by the UNDP to the Government and the Executing Agency, then at any time thereafter during the continuance thereof, the UNDP may by written notice to the Government and the Executing Agency terminate the project.

3. The provisions of this paragraph shall be without prejudice to any other rights or remedies the UNDP may have in the circumstances, whether under general principles of law or otherwise.