

IV. ANNUAL WORK PLAN BUDGET SHEET

YEAR: 2010

Expected outputs And baseline, associated indicators and annual targets	Planned Activities <i>List activity results and associated actions</i>	Timeframe				Responsible Party	Planned Budget		
		Q1	Q2	Q3	Q4		Funding Source	Budget Description	Amount
Output 1  Strengthened and pro- active engagement with political parties to ensure progress for implementation of the MDGs.  Baseline: Little or no engagement of the parties on the MDGs, large number of small parties, no parliamentary oversight on MDGs  Indicators: MDG usage in party discussions and profiling	1.1 Workshop with political parties to promote progress towards achievement of the MDGs held		x			TRC/UNDP	UNDP	71305 Local Consultant 75700 Workshop	20,000
	1.2 Public debates by political parties on selected MDGs organized				x	TRC	UNDP	71305 National Consultant 75700 Venue 71200 Logistics 71200 Media (airtime radio, TV, print)	30,000
	1.3 Consultant engaged to study and report on phenomenon of political party proliferation					TRC/UNDP	UNDP	71210 International Consultant	20,000
	1.4 National Forum on proliferation of political parties for cross section of Basotho society					TRC/UNDP	UNDP	71600 Travel 71210 International Consultant	20,000
	1.5 Advocacy on establishment of a parliamentary oversight committee on the MDGs undertaken					UNDP	UNDP	71305 National Consultant 75700 Workshop	10,000

on MDGs and need for oversight							
Output 2 Capacity building of and advocacy with the media and youth groups for more effective reporting on and direct promotion of the MDGs	2.1 Media training workshops on the MDGs organized	x		TRC/UNDP	UNDP	71210 International Consultant 75700 Workshop	20,000
Baseline: limited media coverage of MDGs, youth not engaged in MDGs and limited in politics	2.2 International media consultancy to build capacity of local media	x		TRC/UNDP	UNDP	71210 International Consultant	10,000
	2.2 Annual Media Incentive Award on MDG reporting launched, panel of judges appointed	x		TRC	UNDP	71305 National Consultant	5,000
Indicators: MDG media coverage Youth knowledgeable about MDGs and parties, youth active in voting in elections	2.3 Engagement with youth on the MDGs	x		TRC/UNDP	UNDP	71200 Logistics 75700 Workshop	20,000
Targets: Media is covering MDG debates and other MDG related activities Significant increase in voter registration and actual voting amongst youth	2.4 Advocacy consultations held with the Ministry of Education and selected schools on MDG debates by students of tertiary institutions	x	x	TRC/UNDP	UNDP	75700 Workshop (debates at institutions)	10,000
						<b>Total for 2010</b>	<b>165,000</b>

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## Management Arrangements

Article III of the Standard Basic Agreement between the Government of the Kingdom of Lesotho and UNDP of 31 December 1974 states that execution of UNDP-assisted projects shall remain the responsibility of the Government. This was also reaffirmed in United Nations General Assembly resolution 44/211, which categorically states that the recipient Governments have the sole responsibility for the co-ordination of external assistance and the principal responsibility for its design and management and that the exercise of those responsibilities is crucial to the optimal use of external assistance and to the strengthening and utilisation of national capacity. UNDP works to help develop and enhance the national capacities in the initiation, implementation and conclusion of the developmental undertakings in which it is involved as a partner. For this to work, it is essential that the Government assume the overall responsibility and direction for the execution of the UNDP-supported initiatives. To this end, the National Implementation (NIM) modality will be used for programme execution in accordance with the approved Country programme Action Plan (CPAP).

Whereas execution means overall ownership and responsibility for programme activities, to be undertaken by the Ministry of Finance and Development Planning, expressed via signature of the CPAP, implementation means responsibility for management and delivery of programme activities to achieve specified results, and is expressed via signature of an Annual Work Plan (AWP).

Given the scope of the project, the Transformation Resource Center will be the **Implementing Partner** for all Output areas, and Annual Work Plans (AWP) will be signed with by this partner as it will have responsibility for the management and delivery of project activities to produce the specified output(s).

In line with the UNDP Harmonised Approach to Cash Transfers (HACT) approach to disbursements of project funds, agreements will be made with the implementing partner for UNDP to make direct payments to service providers.

In all administrative and operational aspects of the project implementation, the UNDP Country Office will provide support to and facilitate the implementation of activities in the form of **Implementation Support Services**. Procurement as well as recruitment of project staff and consultants will be done by UNDP in line with standard, published, UNDP procurement and recruiting rules and procedures. In addition, UNDP is able to provide support to the Implementing Partner(s) by processing procurement of goods and services, as well as accessing and adapting best practices from its global knowledge networks. As these services entail a cost to the UNDP office, these will be incorporated as direct costs to the project.

If required, training on the UNDP project management, procurement and financial practices and regulations will be given during the start-up of the project to the Implementing Partners.

### **Capacity Assessment of Implementing Partners:**

As a standard procedure for all UNDP administered projects and programmes under the new Harmonised Approach to Cash Transfers to implementing partners (HACT), there is a requirement that a Macro and Micro Assessment be carried. A Macro Assessment is a key

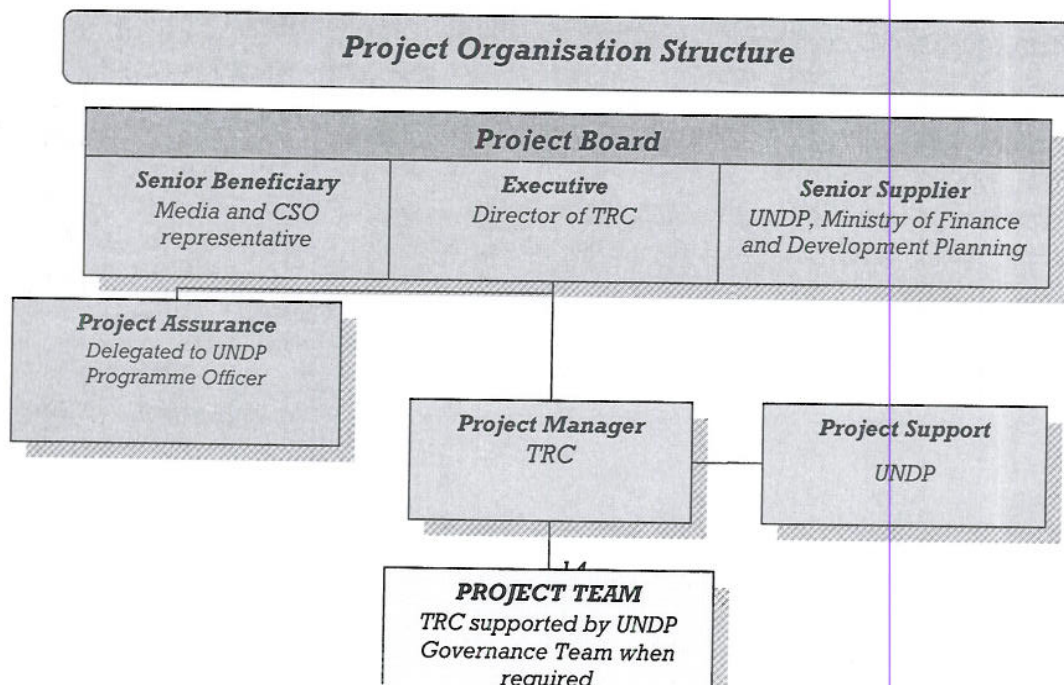
element of the HACT. It is basically a review of a country's public financial management system. There are two reasons why a Macro Assessment has to be carried out. The first is to help UNDP, the government and development partners identify strengths and weaknesses in the public financial management system that can be flagged for follow-up assistance, and the second is to help UNDP and its partners understand more fully the financial environment within which they are operating. It helps UNDP and partners decide, in conjunction with the Micro Assessment, on the most appropriate assurance methods and the best procedures to use for transferring financial resources. The Micro Assessment on the other hand, is a review of a partner's financial management capacity. It is used to review the strengths and weaknesses of an implementing partner's financial management system. The assessment includes recommendations to strengthen less robust areas. This information is then fed into the overall capacity development plan in the programme. It is also used identify the best procedures to use for transferring cash and the most appropriate assurance methods (the process of determining whether expenditures that took place were for the purpose intended). Assurance requires familiarity with the internal controls and financial management practices of all implementing partners as they relate to cash transfers. Practically, assurance involves checking the accuracy of a partner's reporting on the use of funds to ensure that expenditure has been true and fair.

## 2. Project Board:

In line with PRINCE 2 project management standards, a Project Board will be established for making, on a consensus basis, management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/ Implementing Partner approval of project revisions. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances have been exceeded.

This group contains three roles:

- **Executive** representing the project ownership to chair the group.
- **Senior Supplier** role to provide guidance regarding the technical feasibility of the project, and
- **Senior Beneficiary** role to ensure the realisation of project benefits from the perspective of project beneficiaries.



### **3. Project staff**

The **Project Manager will have** the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Project Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost..

The **Project Support** role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager.

**Project Assurance** is the responsibility of each Project Board member. In addition, representatives from the various responsible parties as well as a UNDP staff member will also, carry out objective and independent project oversight and monitoring functions. This role ensures that appropriate project management milestones are managed and completed.

#### **Capacity of UNDP:**

UNDP Lesotho has an Operations Unit which services projects either through Implementation Support Services or as part of Direct Implementation. The Unit contains Human Resources, Procurement, ICT Advisory and Finance sections. The backbone of the Operations section for UNDP is the corporate Enterprise Resource Planning (ERP) system known as Atlas. Atlas is used for project management and reporting, all procurement, processing of payments and maintenance of staff, consultants and vendors. No transaction takes place outside of this system to ensure transparency at all times.

On the programming side, UNDP Lesotho will provide local support to the project through the governance team. The office also has access to a global network of experts as well as a Africa Sub-Regional Office (ASRO) based in Johannesburg, South Africa. Further, all Programme Officers have been trained on PRINCE2 as well as UNDP Results-based project management standards.

During project start up, a UNDP Programme Officer who is competent in project management and Atlas will ensure correct Atlas set-up.

#### **Audit arrangements**

In line with UNDP auditing procedures, the project will be subject to audit on an annual basis. The costs for the audit will be borne by the project.

#### **Intellectual property Rights and Use of logo**

In all communication, the project will bear the logos of the Transformation Resource Center and the UNDP. This arrangement may change based on requirements from additional partners that join the project at a later stage.

#### **Financing arrangements**

The UNDP-managed programme will be funded by UNDP through its Democratic Governance Thematic Trust Fund to the tune of US\$ 300,000. Additional resources will be mobilized by strengthening existing partnerships as well as identifying new ones.

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## **Monitoring Framework and Evaluation**

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

### Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organisation, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

### Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

### Final Project Evaluation

- Towards the end of 2011, an evaluation will be conducted funded through the project. An international consultant will be engaged to assess the impact of the project and draw up Lessons Learned. The evaluation should be specifically focused towards determining the extent to which the national capacity is sufficient to continue to carry out the foreseen activities. If gaps exist, the evaluation should serve to

indicate the required activities to ensure sustainable national capacity. This evaluation is critical to ensure that the UNDP exit strategy is viable and that national capacity is indeed built as one of the key results.

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### **Legal Context**

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together a Project Document as referred to in the SBAA [Standard Basic Assistance Agreement between the Government of the Kingdom of Lesotho and UNDP of 31 December 1974] and all CPAP provisions apply to this document.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

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

**ANNEX 1: RISK ANALYSIS**

**Project Title: Political party engagement for the MDGs**

**Award ID:**

**Date: 1 February 2010**

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
1	Sensitivity of direct involvement with political parties	1/2/2010	Political	Critical. There will always be need to tread with caution as any sloppiness could fuel divisiveness among political parties and jeopardize the project	Well thought out approach and a clear communication strategy to dispel doubts and possible misinterpretations	UNDP	UNDP		
2	Willingness among political parties to cooperate among themselves towards achievement of the project objectives	1/2/2010	Political	Critical. Lesotho political parties have a history of working together and this augurs well for the success of the project	Periodic media reports on progress to ensure accountability	UNDP	UNDP		
3	Difficulty of mobilising political parties on a common cause with local government elections	1/2/2010	Political	Critical. Progress will need to be closely monitored so that alternative strategies may be adopted if necessary	Regular meetings of the project oversight structures and prompt follow up on agreed actions	UNDP	UNDP		



#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Mngt response	Owner	Submitted, updated by	Last Update	Status
	imminent and a general election looming								
4	Possible failure of on-going parliamentary seat allocation talks could lessen inter-party trust and threaten the success of the project	1/2/2010	Political	Critical	Support to the mediation process and pre-emptive engagement with political parties	UNDP	UNDP		
5	Implementation capacity of Implementing Partner.	1/2/2010	Organisational	The selected implementing partner, TRC, has never implemented a UNDP-supported project before	Orientation of TRC on UNDP programme management procedures	UNDP	UNDP		