

# Clearance Certification

Project Document (AWP)

or

Project/Budget Revision



SHORT TITLE : Support to Social Protection Reform and Delivery

PROJECT NUMBER:

Award ID: 00046354

Project ID: 0007997

## (I) SUBMITTING PROGRAMME MANAGER :

I have checked, and hereby certify, the following:

1. Reasons and justification for this revision are clearly indicated on the cover page.
2. All relevant parties are in agreement with the revision:
  - as is indicated in the justification, or
  - as per signature(s) obtained on the cover page, or
  - as per written agreement as has been referenced in relevant signature block.
3. An analysis of the budget increase/decrease (in case more than \$10,000) has been made and is attached.
4. The cover page and budget are according to standard format.

Signature: Majeda Haq Date: 29.09.2011

## (II) CLUSTER HEAD : Majeda Haq, Programme Analyst

I have reviewed and hereby recommend approval of this Initiation Plan for mentioned project

Signature: Majeda Haq Date: \_\_\_\_\_

## (III) RESULT AND RESOURCE MANAGEMENT CLUSTER (RRMC):

| CLEARANCE FROM DESK OFFICER:   | CLEARANCE FROM ACD:                                  |
|--|--|
| <input checked="" type="checkbox"/> I have verified the attached submission and confirm that this AWP-2011 budget revision is in accordance with existing rules. | Recommendation for approval                          |
| <input type="checkbox"/> Justification for return  |  |
| Signature: <u>[Signature]</u> Date: <u>29.9.2011</u>   | Signature: <u>[Signature]</u> Date: <u>29/9/2011</u> |

[Signature]  
Recommended / Approved by DCD

[Signature] 29/9/2011  
Approved by CD



**Country: Bangladesh  
Initiation Plan**

**Project Title:** Support to Social Protection Reform and Delivery  
**Expected UNDAF/CP Outcome(s):** UNDAF Pillar 2, Outcome 1, Output 1.2  
**Initiation Plan Start Date:** 29 September 2011  
**Initiation Plan End Date:** 31<sup>st</sup> July 2012 (12 Months)  
**Implementing Partner:** UNDP in collaboration with General Economics Division, and Local Government Division of GoB

**Brief Description**

This Initiation Plan sets out a series of activities to support the preparation for the planned *Comprehensive Social Protection Project (CSPP)*. This future intervention will serve as a scaled-up replacement for the highly regarded *Rural Employment Opportunities for Public Assets* project (REOPA) which closes in December 2011. It also answers growing Government of Bangladesh (GoB) requests and donor interest in supporting reform efforts within the policy domain.

This document sets out two work streams: project development and on-going policy support. The former aims to translate the CSPP from the conceptual to the implementation stage. This provides for a mission to develop a fully-articulated project document, ready for approval and subsequent implementation. The latter stream provides for the continuation of policy initiatives begun by the County Office's Local Poverty Reduction Cluster PPRC to conduct a comprehensive study of Social Safety Nets and the hosting of a major policy conference in late September 2011 - entitled *Scaling-Up Social Protection in Bangladesh: Building Effective Social Ladders and Safety Nets*. It is planned that this IP would be active for 12 months following its inception date, at which point the delivery activities would be rolled into the then operational CSPP. This IP is supported by DFID and AusAid funding, supplemented by UNDP TRAC funds.

|   |                 |
|---|-----------------|
| Programme Period: September 2011 to July 2012       |                 |
| UNDAF AP Component: Pillar 2, Outcome 1, Output 1.2 |                 |
| Atlas Award ID:                                     | 00046354        |
| PAC Meeting Date:                                   | 21 August, 2011 |

|                            |               |
|----------------------------|---------------|
| Total resources required:  | 455,605       |
| Total allocated resources: | 304,105       |
| • Regular                  | 304,105       |
| • Other:                   |               |
| o DFID                     | 99,000        |
| o AusAid                   | 52,500        |
| Unfunded budget:           | Nil           |
| In-kind Contributions:     | To be advised |

Agreed by (UNDP):

29/9/2011

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## I. PURPOSE

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This Initiation Plan (IP) aims to facilitate the development of a major new intervention in social protection policymaking and delivery – entitled *the Comprehensive Social Protection Project (CSPP)*. This will take up the field delivery work undertaken by the Rural Employment Opportunities for Public Assets (REOPA) project and the policy research commissioned from PPRC, and additionally initiate new interventions in the policy arena and design safety nets in urban areas. The CSPP answers a pressing need for new strategic thinking on social protection and a scaling up of innovative delivery activities. These are both vital if the challenges described in the following sub-section are to be addressed.

The IP's primary Government partners are the General Economic Division (GED) within the Planning Ministry with regard to policy level work; and the Local Government Division (LGD) within the Ministry of Local Government, Rural development and Cooperatives, in relation to designing new delivery activities. However, the project team recognize the importance of other Ministries in the field of social protection policy at both levels<sup>1</sup>.

### ***Situation Analysis***

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Poverty reduction in Bangladesh has been significant, but still 31.5 per cent of the population remain below the national poverty line and 17.6 per cent fall below the lower (extreme) poverty line (HIES 2010). Poverty largely stems from a lack of access to economic opportunities, which reveals itself as high levels of unemployment and underemployment. Statistics indicate that out of a labour force of some 61 million people in, almost 38 per cent are unemployed or underemployed.

Bangladesh's growth and employment, and hence its poverty reduction model, is rooted in the country's industrialization process, and in parallel, rapid urbanization and mass rural-urban migration. These combined processes have given rise to both severe pressures in urban areas alongside a diminution of human capital and weak productivity growth in rural areas. Socio-economic dislocation often has a *pocketed* locally-specific character in Bangladesh. Empirical experience suggests that a well-adapted and functional social protection system can have both welfare and systematic pay-offs, making growth more robust, inclusive and sustained. The policy challenge is to craft a system which addresses the specificities of poverty and vulnerability in very different localities and a basic level of protection common to all areas.

In rural areas this implies targeted responses to promote access to employment and personal and institutional capacity building, alongside basic safety nets. Employment creation for the rural poor, and women and marginalized groups in particular, has been most difficult. These groups rely solely on selling their labour, yet face the most severe constraints and lack very basic human capital. Out of 8.5 million unemployed women in the country, over 6.5 million are from rural areas.

In urban areas, social protection issues are more related to service delivery and the expansion of employment, while again providing basic safety net coverage. The urban poor are generally underserved and social protection within slum is inadequate. The urban poverty problem is also highly localized, often affecting small wards and is bound up with issues of planning and urban governance. The incidence of the non-economic dimensions of poverty is more marked, with some of the most severe incidences of health outcomes being experienced in urban slums.

Bangladesh presents a highly risk-prone environment, which poses threats to basic living conditions. Natural disasters like floods and cyclonic storms are certain prospects rather than possible risks and are further heightened by climate volatility. Impacts of climate change are likely to be profound, affecting Bangladesh in a number of ways, notably increased food prices and livelihoods risks and degradation of the natural resources the poor rely on for their livelihoods. Equally, the economic

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<sup>1</sup> Notably: the relevant divisions of the Ministries of Food and Disaster Management, Social Welfare, and Women and Children's Affairs.

model adopted gives rise to other pressing vulnerabilities – reliance on a small number of exports (RMG), import of major commodities, remittances to finance domestic consumption and linked to this, a large number of workers overseas. This underscores the centrality of social protection to mediate vulnerabilities and promote resilience.

Bangladesh has some 30 major and 20 minor safety net projects implemented annually under different ministries and through NGOs. These are viewed primarily as a means of income redistribution and are targeted to reach the poor, vulnerable groups, widowed and abandoned women, senior citizens, poor school going children, and underemployed casual labourers. However, although outlays are substantial (accounting for around 15% of government spending) sustainability, effectiveness and overall success of these interventions are in doubt. Key issues include: targeting of beneficiaries, overall coverage, and implementation quality, adequacy of benefits, corruption, maladapted incentives and political pressures. There is a need for a comprehensive safety net strategy, but one which is also highly tailored to the development context described above. Schemes are sometimes at odds with each other, are implemented by various ministries with little coordination and compete with each other in reaching the same beneficiaries, with no strategy of harmonization of programmes in complementing each other.

Public policy in Bangladesh is tilting towards using social safety nets for the promotion or graduation of the beneficiaries from poverty, but the exact graduation process and hence the policy response is still unclear. Very few safety net programmes have a strategy for graduating beneficiaries out of the programmes. The niche for UNDP's intervention would be a combination of employment generation and human development in targeted areas, together with policy advocacy and technical assistance (TA) at the strategic level.

#### ***Existing UNDP intervention***

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UNDP's current intervention – the Rural Empowerment Opportunities for public Assets (REOPA) programme, is due to end at the close of 2011. REOPA, which is part funded by the European Union (EU), has been recognized as a social safety net providing such a springboard for beneficiaries, *“with a very relevant strategy to pull deprived women out of poverty”* (EU Mid-Term Evaluation 2009) and has recorded remarkable successes during both the employment episode and in the post-graduation period. A major research study undertaken for UNDP by PPRC – *Social Protection in Bangladesh*, is also highly appreciative of REOPA's impact especially with regard to graduation and in affecting long-lasting changes in the lives of its beneficiaries.

Given the forthcoming conclusion of this project, there is a need to plan for a new intervention which scales up the level of activity and the associated benefits. Moreover, the GoB has recognized REOPA's value and has committed to undertake a national project based on its modalities and experiences. It would be desirable to support this with TA and management support, and to enable greater delivery by supplementing these national efforts with UNDP and donor inputs. The EU is also currently examining future funding options.

External evaluations of UNDP's wider poverty portfolio (which includes the REOPA project) although also positive, have emphasized the need to expand the Country Office's work in the policy domain to secure comprehensive reforms and hence sustain the benefits of delivery efforts. During late 2010, UNDP embarked on a series of policy activities including the commissioning of the PPRC study referred to above. This had three deliverables: a review and application of global social protection experience to the Bangladeshi context; the making of an inventory of the existing system of social safety nets; and a thoroughgoing performance review of the major programmes in place. There is a need now to bring these deliverables into the decision making and policy arena. It is envisaged that this and the preparations for new field delivery operation would be brought together under a single programmatic framework.

### ***The need for a Project Initiation Plan***

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This IP aims to support the development of a future Comprehensive Social Protection Project (CSPP) and maintains the on-going impetus within the policy arena. The former will comprise a field mission to develop a working project proposal, as envisaged within the concept paper attached as an annex to this IP. This specifies three components: a new policy level intervention, an expanded and renamed field delivery project (SWAPNO); and an urban areas replication facility. The latter policy work comprises a major conference event and the establishment of a basic TA capacity which can be carried through into the main project budget.

The policy conference on social protection in Bangladesh is scheduled to take place in September 2011. A post-event publication and a policy paper on preparation and for a national strategy will then follow. Additionally, the basic TA capacity will involve the retention of key experts and the resourcing of some CO facility throughout the remainder of the year.

### ***Intervention Framework***

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Following the argumentation above, the intervention framework has two parts: The first comprises a series of activities which will translate the current conceptualization of the future CSPP into a fully workable project. The second seeks to maintain and build upon the series of policy initiatives already in place.

### ***Development of the CSPP Project Documentation***

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Project development activities will build on existing preparatory work and take place within a formulation mission. This will examine the feasibility of the proposals covering and key delivery questions such as how to meet the challenges faced (as articulated in Section I above), and the existing GoB policy objectives; important operational questions such as the balance and connections between the three components, and the delivery modalities which will be required; raise awareness, promote synergies with Government and development partner interventions; initiate the mobilization of resources; and deliver a well-crafted and implementable project plan including key operational considerations. The latter will include detailed activities in each of the three component areas, targeting, and management arrangements, staffing and budgeting, and deliver up project proposals in a standard UNDP format ready for appraisal. The mission team would comprise a lead international consultant, a national consultant of standing within domestic policy circles, and UNDP representatives including REOPA International Project Manager.

### ***Policy Level Work***

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As noted a series of works will be carried out to maintain the impetus of past policy-based activities. PPRC is already close to completion of the major study referred to above. The second volume of this which includes evaluation of 10 major SSNPs in Bangladesh will be completed under the supervision of this IP. These policy works also comprise a major policy conference to be held on 9<sup>th</sup>-10<sup>th</sup> October and a set of subsequent publications including:

- A conference volume bringing together collected works from the event, with edited commentary;
- A policy paper to support future GoB Work, especially in preparation of a future National Social Protection Strategy.

In addition provision will be made to set up a basic policy support and TA capacity. This will comprise a retainer arrangement with a lead national consultant and a *block* contract with an international research institution. This capacity will also draw on the time of the Economic Advisor and a dedicated portion of his/ her time will be included in the budget. These inputs will ultimately be rolled into the main project budget of the CSPP.

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## II. EXPECTED OUTPUTS

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This IP aims to contribute to UNDAF Pillar 2, Pro-poor economic growth with equity; and within this Output 1.2, Poor families are less vulnerable to external shocks through greater access to financial and insurance services, social safety nets with clear graduation strategies.

In line with the above, five IP outputs can be specified:

1. Carrying out a formulation mission and preparation of full project documentation for a future Comprehensive Social Protection Project (CSPP), incorporating three components: Policy level work; Delivery activities under a reformulated and scaled up REOPA now renamed SWAPNO intervention; extension of these works within urban areas.
2. Completion of the PPRC research activities – including publication of volume 2 of the PPRC study.
3. Holding of a major policy conference event in September 2011.
4. Publication of policy materials including a post-conference volume and a policy document.
5. Provision of an on-going policy support/ TA facility managed within the UNDP CO (including a retained adviser and a block contract with a policy/ research institution plus other TA to support the transition from REOPA).

Detailed proposals and costs are described below within the budgetary and output framework within the Annual Work Plan.

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## III. MANAGEMENT ARRANGEMENTS

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In line with established practice, the IP will be overseen by a Project Board and the lead manager will be the Head of the Local Poverty Reduction Cluster. The IP Project Board will be chaired by the Country Director and comprise Senior Management and GoB representatives (from both Planning and Local Government Ministries).

IP Activities can be grouped under the two headings specified above – project development and policy support. Within the project development component, the project formulation mission will operate autonomously but will report to the Head of the Cluster and the Economic Advisor. The current REOPA International Project Manager would also join the mission as a team member. It is envisaged the mission will be led by a senior international consultant.

Project support comprises the major conference and allied activities, publication of PPRC Volume 2 and a retained advisory capacity. The former will be overseen by a Steering Committee, but organizational duties will be managed by an external events management company and the technical contest by a Technical Committee comprising UNDP and two institutional partners (namely PPRC and BWPI)<sup>2</sup>. The Retained Advisor will report to the Head of the Cluster, and liaise with the Economic Advisor and the REOPA International Project Manager, who will provide technical support.

The project assurance function will be performed by the Project Board as advised and reported to by the Head of the Local Poverty Reduction Cluster. In addition to IP level assurance, regular reports will be made on the specific conference activities to the Conference Steering Committee which includes representatives of the donors, the Government and the institutional partners.

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<sup>2</sup> Specifically: the Power and Participation Research Centre (Dhaka) and the Brooks World Poverty Institute (Manchester, UK)

## Organogram

The organogram for this IP follows below. This represents the two work streams – project development and policy activities and the key relations.



## IV. MONITORING

The project will be monitored on a quarterly basis and a quality assessment shall record progress towards the completion of key results. Project reports shall be submitted by the Head of the Local Poverty Reduction Cluster (as the designated IP Manager) to Project Board members. The UNDP Policy Support Cluster will be responsible for quality assurance.

Risk and issues will also be captured and updated by the Head of the Poverty Reduction Cluster to facilitate tracking and resolution of potential problems or requests for change.

Lessons learned shall also be regularly updated as part of the quarterly reporting to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the lessons learned report at the end of the project.

## V. ANNUAL WORK PLAN

Year: August 2011 to July 2012 (Twelve months – 4 quarters)

| UNDAF Output 1.2: Poor families are less vulnerable to external shocks through greater access to financial and insurance services, social safety nets with clear graduation strategies |   |    |    |    |    |                   |                     |                |  |            |
|--|---|----|----|----|----|-------------------|---------------------|----------------|--|------------|
| EXPECTED OUTPUTS   | PLANNED ACTIVITIES  | Q1 | Q2 | Q3 | Q4 | RESPONSIBLE PARTY | SOURCE OF FUNDS     | PLANNED BUDGET |  |            |
|  |   |    |    |    |    |                   |                     | Coad           | Description  | AMOUNT USD |
| 1. Project Formulation is undertaken and full documentation is prepared  | 1. TOR for formulation mission and team selection   | X  |    |    |    | UNDP              | UNDP & Donors (TBC) | 61300          | Half share of Advisor's time for 3 months          | 25,000     |
|  | 2. Preparation and Start-up   |    |    |    |    |                   |                     |                |  |            |
|  | 3. Consultation and Initial Design  | X  | X  |    |    | UNDP              | UNDP & Donors       | 71200          | International Consultant                           | 50,000     |
|  | 4. Expert Inputs on Specific Components   |    |    |    |    |                   |                     |                |  |            |
|  | 5. Consolidate Inputs and Finalize Programme Design   |    |    |    |    |                   |                     | 71300          | National Consultant                                | 25,000     |
|  | 6. Follow-up for DPP Preparation and GOB Approval   |    |    |    |    |                   |                     |                |  |            |
| 2. Finalization of PPRC Study deliverables and shared in national level for comments.  | 1. Consolidate Inputs and Finalize research findings<br>2. Dissemination through policy dialogue<br>3. Vetting the final deliverable of the PPRC Study – Volume 2 (Ground Realities & Policy Challenges). | X  | X  |    |    | UNDP              | UNDP                | 72100          | Subcontract Final Payment to PPRC (study/research) | 29,000     |

|   |   |  |   |   |   |      |               |       |               |        |
|---|---|--|---|---|---|------|---------------|-------|---------------|--------|
| 3. Major Conference is held, launching PPRC Volume Two, and the GoB's Road Map for Reforms (within the final communiqué) in place and Policy materials are published: Collected works volume; and a policy paper published. | <ol style="list-style-type: none"> <li>1. Preparation of concept note; draft outline; call for papers and TORs for lead Partners.</li> <li>2. Conceptualization and organization and delivery of the High Level policy Conference</li> <li>3. Preparation, editing of the post-event volume.</li> <li>4. Preparation, liaison with GoB, and publication of Social Protection Policy Document</li> </ol> | X  | X   | X | X | UNDP | UNDP & Donors | 75700 | 75,105        |        |
|   |   | 4. Basic TA facility to support GoB and on-going project development is set up | <ol style="list-style-type: none"> <li>1. Lead national advisor is appointed on a retainer basis for six months</li> <li>2. Economic Advisor offers TA as needed to UNDP SM and REOPA Project.</li> <li>3. Further TA to be acquired as needed – for above works, plus CSPP and transition from REOPA.</li> </ol> | X | X | X    | X             | UNDP  | UNDP & Donors | 20,000 |
|   |   |  |   | X | X | X    | X             | UNDP  | UNDP & Donors | 61300  |
|   |   |  |   |   |   |      |               | 71200 | 50,000        |        |
| <b>Sub-total</b>  |   |  |   |   |   |      |               |       | 420,000       |        |
| <b>GMS 7% (on donor funds only)</b>   |   |  |   |   |   |      |               |       | 10,605        |        |
| <b>Total</b>  |   |  |   |   |   |      |               |       | 455,605       |        |

## Annual Work Plan 2011

(Version: 1.0, Dated: 01 September 2011 - 31 December 2011)

| Proposed title/BGD outcome No. --- (Award ID - 00046354 & Project ID - 00079997 in ATLAS) : Support to Social Protection Reform and Delivery  |  |           |    |    |    |                   |                 |                              |        |                |
|---|--|-----------|----|----|----|-------------------|-----------------|------------------------------|--------|----------------|
| UNDAF Output 1.2: Poor families are less vulnerable to external shocks through greater access to financial and insurance services, social safety nets with clear graduation strategies. |  |           |    |    |    |                   |                 |                              |        |                |
| Outputs<br><i>(Activities in ATLAS)</i>   | Activities<br><br>(Detailed results to be produced for achievement of each output not to be inc. In ATLAS) | Timeframe |    |    |    | Responsible Party | Source of Funds | Planned Budget               |        | Amount (USD)   |
|   |  | Q1        | Q2 | Q3 | Q4 |                   |                 | Account Code and Description | Amount |                |
| 1. Project Formulation is undertaken and full documentation is prepared   | 1. TOR for formulation mission and team selection  | X         |    |    |    | UNDP              | UNDP            | 61300                        |        | 25,000         |
|   | 2. Preparation and Start-up  | X         |    |    |    | UNDP              | UNDP            | 61300                        |        | 25,000         |
|   | 3. Consultation and Initial Design   | X         | X  |    |    | UNDP              | UNDP            | 71200                        |        | 50,000         |
|   | 4. Expert Inputs on Specific Components  | X         | X  |    |    | UNDP              | UNDP            | 71300                        |        |                |
|   | 5. Consolidate Inputs and Finalize Programme Design  | X         | X  |    |    | UNDP              | UNDP            | 71300                        |        |                |
|   | 6. Follow-up for DPP Preparation and GOB Approval  | X         | X  |    |    | UNDP              | UNDP            | 71300                        |        | 25,000         |
| General Management Services (GMS)   |  |           |    |    |    |                   |                 |                              |        | -              |
| <b>Sub Total: Activity-1</b>  |  |           |    |    |    |                   |                 |                              |        | <b>100,000</b> |
| 2. Finalization of PPRC Study deliverables and shared in national level for comments.   | 1. Consolidate Inputs and Finalize research findings   | X         | X  |    |    | UNDP              | UNDP            | 72100                        |        |                |
|   | 2. Dissemination through policy dialogue   | X         | X  |    |    | UNDP              | UNDP            | 72100                        |        |                |
|   | 3. Vetting the final deliverable of the PPRC Study – Volume 2 (Ground Realities & Policy Challenges).      | X         | X  |    |    | UNDP              | UNDP            | 72100                        |        | 19,000         |

| Outputs   | Activities   | Timeframe |    |    |      | Responsible Party | Source of Funds | Account Code and Description | Amount (USD)   |
|---|--|-----------|----|----|------|-------------------|-----------------|------------------------------|----------------|
|   |  | Q1        | Q2 | Q3 | Q4   |                   |                 |                              |                |
| (Activities in ATLAS)   | (Detailed results to be produced for achievement of each output not to be inc. In ATLAS)       |           |    |    |      |                   |                 |                              |                |
|   | General Management Services (GMS)  |           |    |    | X    | UNDP              | UNDP            | 75100                        |                |
| <b>Sub Total: Activity-2</b>  |  |           |    |    |      |                   |                 |                              | <b>19,000</b>  |
| 3. Major Conference is held, launching PPRC Volume Two; and the GoB's Road Map for Reforms (within the final communiqué) in place and Policy materials are published: Collected works volume; and a policy paper published. | 1. Preparation of concept note; draft outline; call for papers and TORs for lead Partners.     | X         | X  | X  |      | UNDP              |                 | 71200                        | 26,000         |
|   | 2. Conceptualization and organization and delivery of the High Level policy Conference         | X         | X  | X  |      | UNDP              | DFID            | 75700                        | 92,070         |
|   |  | X         | X  | X  |      | UNDP              | AusAid          | 75700                        | 48,825         |
|   | 3. Preparation, editing and editing of the post-event volume.                                  | X         | X  | X  |      | UNDP              |                 | 75700                        | 39,105         |
|   |  | X         | X  | X  |      | UNDP              |                 | 71300                        | 7,500          |
| 4. Preparation, liaison with GoB, and publication of Social Protection Policy Document  | X  | X         | X  |    | UNDP |                   | 71300           | 7,500                        |                |
|   | General Management Services (GMS)  |           |    |    | X    | UNDP              | DFID            | 75100                        | 6,930          |
|   |  |           |    |    | X    | UNDP              | AusAid          | 75100                        | 3,675          |
| <b>Sub Total: Activity-3</b>  |  |           |    |    |      |                   |                 |                              | <b>231,605</b> |
| 4. Basic TA facility to support GoB and on-going project development is set up  | 1. Lead national advisor is appointed on a retainer basis for six months                       |           |    | X  | X    | UNDP              |                 | 71300                        | 20,000         |
|   | 2. Economic Advisor offers TA as needed to UNDP SM and REOPA Project.                          |           |    | X  | X    | UNDP              |                 | 61300                        | 30,000         |
|   | 3. Further TA to be acquired as needed – for above works, plus CSPP and transition from REOPA. | X         | X  | X  | X    | UNDP              |                 | 71200                        | 20,000         |
|   | General Management Services (GMS)  | X         | X  | X  | X    | UNDP              |                 | 71300                        | 10,000         |
|   |  |           |    |    | X    | UNDP              |                 | 75100                        | -              |
| <b>Sub Total: Activity-4</b>  |  |           |    |    |      |                   |                 |                              | <b>80,000</b>  |
| <b>Grand Total:</b>   |  |           |    |    |      |                   |                 |                              | <b>430,605</b> |

| Outputs<br>(Activities in ATLAS) | Activities<br>(Detailed results to be produced for achievement of each output not to be inc. In ATLAS) | Timeframe |    |    |    | Responsible Party | Source of Funds | Planned Budget               |              |
|----------------------------------|--|-----------|----|----|----|-------------------|-----------------|------------------------------|--------------|
|                                  |  | Q1        | Q2 | Q3 | Q4 |                   |                 | Account Code and Description | Amount (USD) |

|   |           |  |         |  |  |  |  |  |         |
|---|-----------|--|---------|--|--|--|--|--|---------|
| <b>Total by (Activity (ies):</b>        |           |  |         |  |  |  |  |  |         |
|   | Activity1 |  | 100,000 |  |  |  |  |  | 166,000 |
|   | Activity2 |  | 19,000  |  |  |  |  |  | -       |
|   | Activity3 |  | 231,605 |  |  |  |  |  |         |
|   | Activity4 |  | 80,000  |  |  |  |  |  | 264,605 |
|   |           |  |         |  |  |  |  |  |         |
| <b>Total by Implement Agency (ies):</b> |           |  |         |  |  |  |  |  |         |
|   | NEX       |  | 0       |  |  |  |  |  |         |
|   | UNDP      |  | 430,605 |  |  |  |  |  |         |
|   |           |  |         |  |  |  |  |  |         |
| <b>Total by Atlas Fund Code(s):</b>     |           |  |         |  |  |  |  |  |         |
|   | 30000     |  | 151,500 |  |  |  |  |  |         |
|   | 04000     |  | 279,105 |  |  |  |  |  |         |
|   |           |  |         |  |  |  |  |  |         |
| <b>Total by Donor(s)</b>                |           |  |         |  |  |  |  |  |         |
|   | DFID      |  | 99,000  |  |  |  |  |  |         |
|   | AusAid    |  | 52,500  |  |  |  |  |  |         |
|   | UNDP      |  | 279,105 |  |  |  |  |  |         |

|   |  |  |  |  |  |  |  |  |  |
|---|--|--|--|--|--|--|--|--|--|
| <b>Total for Procurement:</b>                 |  |  |  |  |  |  |  |  |  |
| <b>Total for Cash Advance:</b>                |  |  |  |  |  |  |  |  |  |
| <b>Total Programme Cost:</b>                  |  |  |  |  |  |  |  |  |  |
| <b>Total Operational/Administrative Cost:</b> |  |  |  |  |  |  |  |  |  |

Signature on behalf of Implementing Partner:

  
Majeda Haq

Programme Analyst

Local Poverty Reduction Cluster

Signature on behalf of UNDP:



Country Director  
UNDP, Bangladesh



**Notes:**

1. The above budget is informative/indicative only. Actual Budget may vary depending on the arrangement/availability of
2. The soft version of a budget is required to be submitted to the RRMC at the time of revision/approval.
3. The AWP, generated from ATLAS, should exactly match with the provision of the respective year.

**Prepared by:**

Signature:   
Name: Md. Mominul Haque  
Functional Title: Local Poverty Reduction  
Organisation/Project: cluster  
Date:

**Verified/Recommended by:**

Signature:   
Name: Majeda Haq  
Functional Title: Programme Analyst- & Cluster Head (a.i)  
Organisation/Project: Local Poverty Reduction Cluster  
Date: United Nations Development Programme (UNDP)

**Approved by:**

Signature:   
Name: Stefan Kuisner  
Functional Title: Country Director  
Organisation: UNDP  
Date: 29/8/2011

Ref: BGD/UNDP/LPAC21.08.11

*Local Project Appraisal Committee (LPAC)*

Record of Discussions

Project Code:

Project titles:

1. Support to Social Protection Reform and Delivery Initiation Plan
2. Good Urban Governance Initiation Plan

Meeting date: 21<sup>st</sup> August, 2011

Venue: UNDP (19<sup>th</sup> Floor Conference Room)

Chair: Robert Juhkam, Deputy Country Director

Participants: See attached annex

1. Opening:

The Chair of the meeting began by welcoming the LPAC participants, especially, the government counterparts to UNDP's offices. He also explained that this meeting will review of two major Initiation Plans (IPs) relating to:

- Support to Social Protection Reform and Delivery
- Good Urban Governance (GUG)

Both IPs had been prepared by the Poverty Cluster. The first would be presented by Richard Marshall (Economic Adviser) and the second by Ashekur Rahman (Programme Analyst).

2. Presentation on the Social Protection IP:

The Economic Adviser outlined the rationale and structure of the proposed IP, which would support the renewal and scaling up of the successful REOPA intervention and maintain UNDP's growing policy support work in this field. This presentation had three parts: the rationale and justification; description of the IP activities which had two components (project design and policy support); and the management arrangements and budget.

Social protection had emerged as a major policy issue both globally and nationally. Effective social protection systems were now central to poverty reduction and social cohesion. Moreover, delivery and policy reforms had a particular resonance for Bangladesh given its vulnerability to environmental threats and its integration within the global economy.

The IP served two functions and therefore, had two operational parts. The first would enable the design and development of a new intervention – the Comprehensive Social Protection Project (CSPP) which would include: a new policy component; a delivery component based on REOPA but renamed SWAPNO; and an



innovation/ replication component. The costs identified would support a field mission and staff time. The second part would enable a series of policy initiatives begun last year to be maintained – the most significant is a high level conference which would take place in September.

The IP would adopt a standard management structure with an IP Manager (the Head of the Local Poverty Cluster) reporting to an IP Board. The two branches of IP would be operationally separate and it would run for 12 months. The total budget was given as USD 484,000 with USD 240,000 contributed by development partners (DFID and AusAid). The key Government counterparts were: LGD (Local Government Ministry) for the CSPP development work and GED (Planning Ministry) for the policy support activities. Both had been briefed and were supportive of the IP.

### **3. Discussion of Social Protection IP:**

The ERD Joint Secretary (Mr Dilip Kumar Das) and other government partners enquired about the relationship between the UNDAF/CPD process and the Initiation Plans (IPs). It was explained IPs enable the development of major programmes and that IPs are the new title of the former PA (Preparatory Assistance) modality. This IP will allow UNDP and the Government to undertake initial work in furtherance of the future CSPP; this will include project formulation and the continuation of associated development activities.

A series of substantive points were raised and answered during the discussion:

- The LGD representative (Mr Pranab Kumar Neogi, PD of the REOPA project) asked about the timeline for developing proposals for SWAPNO (which would replace the existing REOPA project). Government was well-advanced with their plans and would be supporting this new intervention with on-budget own resources. He underlined the need to accelerate proposed work in order that the two processes can be synergized. UNDP responded that the IP envisaged a period of around six months for the preparation of the project documentation, but agreed to ensure this was brought forward and to liaise further with LGD.
- The ERD Joint Secretary was keen to ensure the proposed policy component matched with the approach set out in the Sixth Five Year Plan (SFYP). UNDP and GED were clear that the IP would take its lead from the SFYP and, as such, the policy component would facilitate the implementation of the Government's strategy.
- Shaila Khan (ACD Local Governance) asked for some clarification of the role of REOPA International Project Manager (IPM). The Economic Adviser explained the REOPA IPM was being retained in a specific consultancy role, and that LGD would drive the formulation activities.
- Jessica Murray (ACD RRM) asked the presenters to clarify of the relationship between SWAPNO and CSPP, and suggested a series of technical amendments to the management arrangements and the budget. The relationship was further explained and it was agreed this should be better outlined in the documentation. All technical amendments were welcomed and would be taken up.

Overall, participants were appreciative of the IP and agreed it should be approved pending amendments arising from the observations above.



#### **4. Presentation of Good Urban Governance IP**

Ashekur Rahman (Programme Analyst) made a presentation on the proposed Good Urban Governance (GUG) IP which would support the initiation of a wider UNDP urban governance programme. The presentation had three parts: rationale, purpose and outputs and management arrangements and budget.

Despite some recent positive developments in urban governance, a number of challenges remain. Government oversight of urban activities continues to be ambiguous, there is a lack of coordination between urban actors and misconceptions exist among policy makers. Good urban governance is of critical importance as the urban population in Bangladesh continues to grow and more rural area becomes enveloped into the urban administration.

The purpose of the IP is to promote an enhanced urban sector development environment by facilitating advocacy and analytical work as well as new programme development to support the Government to achieve its urban governance objectives. The IP can be divided into two streams: policy support and project development. The former includes the establishment of a Bangladesh Urban Forum and its first launching event and the commissioning of urban governance research papers. The key objective of this stream is to provide a platform for urban sector stakeholders to discuss and build consensus on the challenges and opportunities arising from rapid, unplanned urbanization. These activities will feed into and facilitate the project development stream, the basis of which is an urban governance programme scoping mission. The expected outputs of the IP are i) the Bangladesh Urban Forum is established and launched through a high-level event; ii) urban governance research conducted and a team of experts formed to assess the context and provide direction on the formulation of a larger UNDP urban governance project; and iii) project documentation for the Good Urban Governance project is developed.

In line with established practice, the IP will be overseen by a Project Board and the Project Manager will be the Head of the Urban Sub Cluster under the Local Poverty Reduction Cluster. The IP Project Board will be chaired by the Country Director and comprise Senior Management and GoB representatives (from Local Government Division). The head of the Policy Cluster will provide project assurance. Organization of the Bangladesh Urban Forum will be overseen by an Organizing Committee, with organizational duties managed by a secretariat headed by an eminent urban expert aided by a core task force and professional staff. The urban sub cluster is responsible for the management of the research and scoping mission components. The total budget was given as USD 526,000, contributed from UNDP's core budget, with pledges of support from other donors to the BUF.

#### **5. Discussion of Good Urban Governance IP**

- Jessica Murray (ACD RRMCM) suggested a series of technical amendments to the management and monitoring arrangements and the annual work plan which were welcomed and would be taken up.
- ERD Joint Secretary sought clarification which is the right uses of terminology - 'good urban governance' or 'urban good governance'. It was clarified that the 'good urban governance' is a widely used terminology very much promoted by UN Habitat.



- GED, Planning Commission representative wanted to know the funding sources for this PA, especially the funding arrangement of Bangladesh Urban Forum (BUF). UNDP responded that in order to promote ownership of the BUF by wide range of stakeholders, BUF will require both direct and in-kind resource contributions from Government, development partners, the private sector or other organisations. GoB (LGD) and a number of Development Partners are already committed to support BUF. In addition to UNDPs core funding support, following organizations have indicated willingness to support the BUF in a variety of ways: ADB; DFID; GIZ; UNHABITAT; UNICEF; WFP; Water Aid; World Bank; WSP.

**6. Conclusions:**

The LPAC approved both IPs with necessary clarifications and amendments. The Chair thanked all the participants and closed the meeting.

**7. Attachments:**

The Initiation Plan documents and participant list are provided as Annexes A, B and C respectively.

**8. Minutes Prepared by:**

Richard Marshall (Economic Adviser) and Ashekur Rahman (Programme Analyst), UNDP Bangladesh

**9. Approved by Chair of the LPAC:**

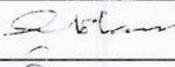
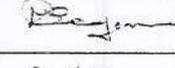
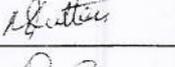
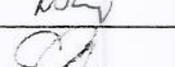
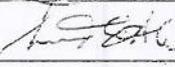
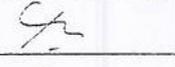
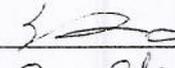
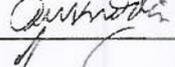
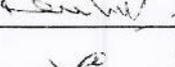
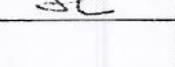
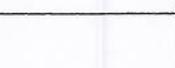
Robert Juhkam, Deputy Country Director, UNDP

A handwritten signature in black ink, followed by the date '21/09/11' written below it.

**UNDP Bangladesh**  
**Local Project Appraisal Committee (LPAC) Meeting**  
 On  
**Urban Good Governance, Support to Social Protection Reform & Delivery Initiatives**  
**Attendance Sheet**

Date: 23 August, 2011

Venue: Village Well

| Sl. | Name               | Organization        | Designation               | Signature   |
|-----|--------------------|---------------------|---------------------------|---|
| 01  |                    |                     |                           |   |
| 02  | Pranab Kumar Neogi | LED                 | PD, REOPA                 |    |
| 03  | Aminul Islam       | UNDP                | ACD                       |    |
| 04  | Munir Begum        | ERD                 | St. Asst. chief           |    |
| 05  | NANDITA DUTTA      | UNDP                | Prog. Analyst             |    |
| 06  | Pieter Bossink     | UNDP                | LPAC                      |    |
| 07  | KAN HUSSEIN        | UNDP                | ASST                      |    |
| 08  | Ashiqul H. Tareq   | UNDP                | Prog. Analyst             |    |
| 09  | Shahid Khan        | UNDP                | Asst. Comm. Director      |    |
| 10  | Robel Juran        | UNDP                | Asst. Director            |   |
| 11  | DILEEP KUMAR DAS   | ERD                 | JOINT SECRETARY           |  |
| 12  | SUSAN MURRAY       | UNDP                | Asst. Dir.                |  |
| 13  | MR. EAKUB ALI      | PLANNING Commission | Joint chief               |  |
| 14  | Abdullah Khan      | UNDP                | Asst. ACD                 |  |
| 15  | Young              | UNDP                |                           |  |
| 16  | Ramul              | UNDP                | CCS                       |  |
| 17  | Ashkur Rehman      | UNDP                | Prog. Analyst             |  |
| 18  | Richard Marshall   | UNDP                | ECONOMIST                 |  |
| 19  | SARWAT CHOWDHURY   | UNDP                | CLIMATE CHANGE SPECIALIST |  |
| 20  |                    |                     |                           |   |



## Annual Work Plan

Bangladesh - Dhaka

Award Id: 00046354

Report Date: 9/29/2011

Award Title: Capacity Strengthening Team of REOPA Project

Year: 2011

| Project ID        | Expected Outputs | Key Activities          | Timeframe |     | Responsible Party | Planned Budget |            |              |                                |            |
|-------------------|------------------|-------------------------|-----------|-----|-------------------|----------------|------------|--------------|--------------------------------|------------|
|                   |                  |                         | Start     | End |                   | Fund           | Donor      | Budget Descr | Amount US\$                    |            |
|                   |                  | Capacity Strengthening  |           |     | UNDP              | 30000          | UNDP       | 72100        | Contractual Services-Company   | 110,000.00 |
|                   |                  | Mgt. & Admn. Assistance |           |     | UNDP              | 30000          | UNDP       | 71600        | Travel                         | 3,000.00   |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP(JPAA) | 72500        | Supplies                       | 5,000.00   |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP(JPAA) | 75700        | Training, Workshops and Confer | 10,000.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP(JPAA) | 74500        | Miscellaneous Expenses         | 2,500.00   |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP(JPAA) | 75100        | Facilities & Administration    | 3,430.00   |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP(JPAA) | 72100        | Contractual Services-Company   | 29,000.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP       | 72100        | Contractual Services-Company   | 48,000.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP       | 74500        | Miscellaneous Expenses         | 3,000.00   |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP(JPAA) | 71600        | Travel                         | 2,500.00   |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP       | 75700        | Training, Workshops and Confer | 12,000.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP       | 72500        | Supplies                       | 10,000.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | UNDP       | 75100        | Facilities & Administration    | 5,320.00   |
| <b>TOTAL</b>      |                  |                         |           |     |                   |                |            |              |                                |            |
| 00079997          | IP-SSPRD         | Basic TA Facility       |           |     | UNDP              | 04000          | UNDP       | 61300        | Salary & Post Adj Cst-IP Staff | 30,000.00  |
|                   |                  |                         |           |     | UNDP              | 04000          | UNDP       | 71300        | Local Consultants              | 30,000.00  |
|                   |                  |                         |           |     | UNDP              | 04000          | UNDP       | 71200        | International Consultants      | 20,000.00  |
|                   |                  | Finalization PPRC Study |           |     | UNDP              | 04000          | UNDP       | 72100        | Contractual Services-Company   | 19,000.00  |
|                   |                  | Major Conference        |           |     | UNDP              | 04000          | UNDP       | 71200        | International Consultants      | 26,000.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | DFID       | 75700        | Training, Workshops and Confer | 92,070.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | AUL        | 75700        | Training, Workshops and Confer | 48,825.00  |
|                   |                  |                         |           |     | UNDP              | 04000          | UNDP       | 71300        | Local Consultants              | 15,000.00  |
|                   |                  |                         |           |     | UNDP              | 04000          | UNDP       | 75700        | Training, Workshops and Confer | 39,105.00  |
|                   |                  |                         |           |     | UNDP              | 30000          | AUL        | 75100        | Facilities & Administration    | 3,675.00   |
|                   |                  |                         |           |     | UNDP              | 30000          | DFID       | 75100        | Facilities & Administration    | 6,930.00   |
|                   |                  | Project Formulation     |           |     | UNDP              | 04000          | UNDP       | 61300        | Salary & Post Adj Cst-IP Staff | 25,000.00  |
|                   |                  |                         |           |     | UNDP              | 04000          | UNDP       | 71200        | International Consultants      | 50,000.00  |
|                   |                  |                         |           |     | UNDP              | 04000          | UNDP       | 71300        | Local Consultants              | 20,000.00  |
| <b>TOTAL</b>      |                  |                         |           |     |                   |                |            |              |                                |            |
| <b>425,605.00</b> |                  |                         |           |     |                   |                |            |              |                                |            |