

**United Nations Development Programme**  
**Country: INDIA**  
**2013 Annual Work Plan**



Empowered lives.  
Resilient nations.

**Programme Title: SWAAYAM**

The Swaayam programme comprises three projects listed below. The multiplicity of projects is the result of consecutive agreements with the IKEA Foundation in the course of the last five years. The AWP for 2013 includes all projects. It has been agreed that as of 2014 all projects will be consolidated into one programme which is currently being redesigned.

**Project Titles**

- Women's social, economic and political empowerment in Jaunpur, Mirzapur and SantRavidas Nagar of Uttar Pradesh (hereinafter referred to as "Pilot")
- Scaling up women's empowerment in Jaunpur, Mirzapur, sant Ravidas Nagar and Sonbhadra districts of Uttar Pradesh (hereinafter referred to as "Expansion - UP") with a renewable energy add on component
- Integrated Women's Empowerment - Sustaining Change for Generations: Replication of the Integrated Women's Empowerment Model in Cotton Areas of Gujarat, Maharashtra and Rajasthan (hereinafter referred to as "Expansion - Cotton") with an add on component focusing on ultra poor

**Implementing Partner: United Nations Development Programme**

**PROJECT DESCRIPTION**

**A. State the specific development challenge or gap that this AWP is addressing:**

Gender equality and women's empowerment are critical to realization of human rights, sustainable development and achievement of MDGs. Serious efforts made especially since the 1990s to promote gender equality through various legislations, policies, and schemes have not resulted in a significant improvement in women's condition and position. India's Gender Inequality Index (GEI) places the country at 0.748<sup>1</sup>, ranked 122 globally – below Pakistan, Bangladesh and Nepal and second only to Afghanistan in the region.

This project is located in Uttar Pradesh, which is ranked at the 2<sup>nd</sup> lowest position in the Gender Development Index (GDI)<sup>1</sup> for 35 states. UP also ranks 25 among 30 states on violence amongst women and its female work participation rate is recorded at 17%, which is 8 points lower than the national average.

**B. Select one or more of the below strategies for addressing the above mentioned challenge/gap and describe in the context of this AWP:**

- Changes in attitudes and access to decision making through awareness raising, brokering, convening.
- Changes in the lives of individuals and communities through implementation for inclusive development.

**C. List the specific strategies to be adopted to achieve the targets:**

To address the above, UNDP has designed and piloted an integrated women's empowerment project covering all dimensions – social, economic, political and legal across 500 villages across three districts of the state – Juanpur, Mirzapur and Sant Ravidass nagar.

UNDP with support from the IKEA Foundation is adapting and up-scaling the integrated women's empowerment approach (SWAAYAM) across 7 districts of Gujarat, Rajasthan and Maharashtra.

**D. Possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP:**

- Strengthened capacities of block federations of SHGs comprising 32,500 women, so that they function more effectively.
- 1,000 women will be educated on their legal entitlements and redressal.

**E. List of gender issues and specific ways in which they will be addressed**

Gender issues spelt out in the section on developmental challenges. Ways of addressing the same spelt below:

- Improve women's condition (i.e. improvements in access to basic services) and women's position (i.e. improvements in power structures, decision making and management).
- Enhancing political participation and representation of women in local self-government.
- Creating a supporting environment for women empowered in this project by working with male champions/advocates for women's rights.

**F. List of South-South cooperation opportunities and specific ways in which they will be addressed**

Programme Period: 2013-2017 Pilot (July 2009 to December 2013) Key Result Area (Strategic Plan): Poverty Eradication & Achievement of MDGs  Atlas Project ID: 00049804 Atlas Output ID: 00061073 Start date: 1 January 2013 End Date: 31 December 2013 PAC Meeting Date: 21 December 2012 Implementation modality: Direct Implementation	2013 AWP budget: USD 1,500,000  Multiyear indicative budget:: USD 45,536,446  Source of funding: <ul style="list-style-type: none"> <li>• Regular: n/a</li> <li>• IKEA Foundation: USD 1,493,800</li> <li>• Rabobank Foundation: USD 6,200</li> </ul>
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Donors	Total Project budget	Actual Expenditure (years)				Budgets (years)			
		2009	2010	2011	2012	2013	2014	2015	2016
*IKEA-Pilot-UP	7,494,774	541,951	1,547,572	1,977,976	1,873,938	1,279,871	273,466		
**IKEA-Expansion UP	16,319,876	0	0	0	589,609	100,069	15,630,198		
#IKEA-Cotton	21,391,478	0	0	0	0	113,860	21,277,618		
##Rabobank	330,318	0	0	0	114,528	6200	209,590		
<b>Total</b>	<b>45,536,446</b>	<b>541,951</b>	<b>1,547,572</b>	<b>1,977,976</b>	<b>2,578,075</b>	<b>1,500,000</b>	<b>37,390,872</b>		

\* A grant of Euro 5,554,104 was approved by IKEA Foundation in the project document which was equivalent to USD 7,991,517 at the time of signing (June 2009). The actual receipts of the 4 tranches as per the CSA stood at USD 74,94,774. An amount of USD 273,466 will remain unutilized at end 2013.

\*\*A grant of Euro 12,631,483 was approved by IKEA Foundation in December 2011 which was equivalent to USD 16,319,745 at December 2011 UN rate of Exchange (1 USD = 0.774 Euro).

#A grant of Euro 17,343,512 was approved by IKEA Foundation in August 2012 which was equivalent to USD 21,254,304 at August 2012 UN rate of Exchange (1 USD = 0.816 Euro). A planning grant of Euro 100,000 was approved in September 2011 which was equivalent to USD 137,174 at September 2011 UN rate of Exchange (1USD = 0.729 Euro)

##A grant of Indian Rupees 17,160,000 was approved by Rabobank Foundation in July 2011 which was equivalent to USD 330,318 at July 2011 UN rate of Exchange (1 USD = 51.95 INR)

Agreed by UNDP: *[Signature]* 21/12/2013

## I. ANNUAL WORK PLAN

Year: 2013

<b>Key area of UNDP strategic Plan:</b> Poverty eradication, achievement of MDGs						
<b>UNDAF / CPAP OUTCOME</b> Inclusive and equitable growth policies and poverty reduction strategies of the Government are strengthened to ensure that most vulnerable and marginalized people in rural and urban areas have greater access to productive assets, decent employment, skills development, social protection and sustainable livelihoods.						
<b>CPAP OUTCOME Indicators</b>						
<ul style="list-style-type: none"> <li>Percentage increase in the number of households from persistently excluded groups' in rural and urban areas accessing national flagship livelihood and employment schemes and missions: MGNREGP, NRLM, NULM</li> <li>Number of districts in which Gender Empowerment Measure (GEM) value increases by 10 per cent</li> </ul>						
<b>CONTRIBUTING TO CPAP OUTPUT</b>						
<ul style="list-style-type: none"> <li>Scalable solutions for inclusion of marginalized groups are designed and implemented</li> </ul>						
<b>CONTRIBUTING TO CPAP 5 year target</b>						
<ul style="list-style-type: none"> <li>20% Percentage increase in the number of households from persistently excluded groups' in rural and urban areas accessing national flagship livelihood and employment schemes and missions: MGNREGP, NRLM, NULM</li> <li>10 districts in which Gender Empowerment Measure (GEM) value increases by 10 per cent</li> </ul>						
Annual OUTPUTS	PLANNED ACTIVITIES	Month of completion	RESPONSIBLE PARTY	PLANNED BUDGET		
				Funding Source	AC-Code	Amount <sup>1</sup> (In USD)
<b>Output 1: Social Empowerment (Pilot)</b> - Poor women organized in strong collectives at group and cluster levels and their capacities developed for running these sustainably.	1.1.1 Validated database of 50,000 SHG women and updated SHG records in web enabled MIS <b>Action 1:</b> Agencies to develop software and to validate the SHG database contracted. <b>Action 2:</b> Training of staff hired by agency, PMU team and Federation staff on software and validation process organized. <b>Action 3:</b> Village level validation and	November	TBI	IKEA Foundation (hereinafter IF)	72125	7,000

1 Budget amounts do NOT include Direct Project Costs. An internal working sheet will be developed with RMU. RMU will assist on this.

	<p>update of SHG records completed and data uploaded in web enabled MIS.</p> <p><b>Action 4:</b> Validated SHG database shared with Federations for periodic update.</p>					
	<p>1.1.2 2000 vulnerable women mobilized into SHGs</p> <p><b>Action 1:</b> With the support of village representatives of federations vulnerable households identified.</p> <p><b>Action 2:</b> Women from vulnerable households mobilized by old SHGs.</p> <p><b>Action 3:</b> Training on SHG management and strengthening completed for newly inducted vulnerable women.</p> <p><b>Action 4:</b> New SHG/members data added into validated database.</p>	November	Federation	IF	-	0
	<p>1.1.3 Existing capacity of at least 3500 SHGs to function independently &amp; manage their groups without external support strengthened.</p> <p><b>Action 1:</b> Grading of all SHGs completed.</p> <p><b>Action 2:</b> 50,000 SHG members linked to six block level federations.</p> <p><b>Action 3:</b> Training on capsule module on SHGs/federations and bank linkage completed.</p>	November	Federation	IF	-	0
	<p>1.2.1 Infrastructural support to 6 registered federations provided.</p> <p><b>Action 1:</b> Assessment of infrastructural requirements completed.</p> <p><b>Action 2:</b> Goods procured and provided to six block federations.</p>	November	UNDP	IF	71300, 72200	10,151

	<p>1.2.2 Service package on micro insurance rolled out.</p> <p><b>Action 1:</b> Assessment of comprehensive insurance package and premium payment capacity completed.</p> <p><b>Action 2:</b> Indicative comprehensive policy cover developed and validated with industry representatives.</p> <p><b>Action 3:</b> Insurance company selected and agreement between Federations and insurance company finalized.</p> <p><b>Action 4:</b> Provision of micro insurance services by federations initiated.</p>	November	Amicus Advisory	IF	72100	23,000
	<p>1.2.3 Management support to federations at cluster and block federation provided.</p> <p><b>Action 1:</b> Agency to recruit block managers, cluster coordinators and link workers contracted.</p> <p><b>Action 2:</b> Recruitment and posting of required federation staff completed.</p>	November	SAMS	IF	72100	70,000
	<p>1.2.4 Delivery of basic services to member SHGs for women empowerment related activities through block and cluster federations strengthened.</p> <p><b>Action 1:</b> Agency for developing basic service package contracted.</p> <p><b>Action 2:</b> Training service package developed and approved.</p> <p><b>Action 3:</b> Standard operating procedure of federations developed and approved.</p> <p><b>Action 4:</b> Capacity building of federation staff completed.</p> <p><b>Action 5:</b> Pre training assessment of satisfaction of SHG members conducted</p> <p><b>Action 6:</b> Capacity building of federation</p>	November	Access	IF	72100	20,698

	<p>executive members completed.  <b>Action 7:</b> Post training assessment of satisfaction of SHG members conducted.  <b>Action 8:</b> Exposure visit of federation executive committee members completed. Basic service package develop by agency approved.  <b>Action 9: General body and executive committee meetings of all six federations organized.</b>  <b>Action 10:</b> Federation business plan developed and exit/sustainability plan finalized.</p>					
	<p>1.2.5 Satisfaction survey of women on federation services conducted.  <b>Action 1:</b> Agency for conducting satisfaction survey contracted.  <b>Action 2:</b> Inception meeting organized and strategy finalized.  <b>Action 3:</b> Survey tools finalized.  <b>Action 4:</b> Beneficiaries identified and survey completed.  <b>Action 5:</b> Final report of survey submitted.</p>	Agreed to do this in 2014	TBI	IF	72100	0
	<p>1.2.6 Identify and train 500 men in book keeping and promotion of gender understanding  <b>Action 1:</b> Federations to identify men  <b>Action 2:</b> ACCESS trains men in book keeping  <b>Action 3:</b> Agency is contracted to train men in promoting gender understanding.  <b>Action 4:</b> SHGs identify target groups to promote gender understanding  <b>Action 5:</b> Men are trained by contracted agency</p>	November	PMU, Federation, ACCESS and agency TBI	IF	71300	15,000
	1.2.7 Grievance redressal through federations	December	TBD	IF	72100	

	streamlined. <b>Action 1:</b> Status of existing grievance redressal process assessed. <b>Action 2:</b> Capacity of federations in redressing grievances mapped. <b>Action 3:</b> Grievances redressal mechanism designed and rolled out.					
	1.3 Professional Fee and Travel	December	PMU	IF	71400, 71600	27,970
	1.4 Liaison with government, private sector, allied institutions and networks for formalizing partnerships for the project.	December	PMU	IF	71400, 71600	0
<b>Sub Total Social Pilot</b>						<b>173,819</b>
<b>Output 2: Economic Empowerment (Pilot)</b> Capabilities enhanced and economic enterprises of women established and/or strengthened for enhanced household income.	2.1 At least 10,000 project beneficiaries trained on financial literacy and linked with formal financial institutions and availed social security schemes. <b>Action 1:</b> Agency to organize training on financial literacy contracted. <b>Action 2:</b> Inception meeting organized and strategy finalized. <b>Action 3:</b> Training module developed and approved. <b>Action 4:</b> Field implementation plan approved and rolled out. <b>Action 5:</b> Final report submitted by agency.	November	ACCESS	IF	72100	37,787
	2.2 Settlement of operational expenses of SKPCL from August to December.	October		IF		40,000
	2.3 Settlement and closure of contracts of technical resource agencies					140,500
	2.4 Management review of SKPCL	November	TBD	IF		10,000
	2.5 Determination of market assessment, scope and methodology for new value chains	November	TBD	IF		15,000

	2.6 Redesign of economic component	November	Consultant	IF	72100	25,000
	2.7 Database of 35,000 SHG women trained/linked to enterprises validated and updated in web enabled MIS <b>Action 1:</b> Agencies to develop software and to validate the SHG database contracted. <b>Action 2:</b> Training of staff hired by agency, PMU team and Federation staff on software and validation process organized. <b>Action 3:</b> Village level validation and updation of SHG records completed and data uploaded in web enabled MIS. <b>Action 4:</b> Validated SHG database shared with Federations for periodic update	November	TBI	IKEA Foundation <i>(hereinafter IF)</i>	72125	7,000
	2.8 Professional fee & Travel	December	PMU	IF	71400, 71600	36,364
	2.9 Liaison with government, private sector, allied institutions and networks for formalizing partnerships for the project /leveraging resources and capital for the project	December	PMU	IF	71300, 71600	0
<b>Sub Total Economic (Pilot)</b>						<b>311,651</b>
<b>Output 3: Political &amp; Legal Empowerment (Pilot)</b> Women leader supported to contribute effectively in local decision making and demand quality public services.	3.1 Capacity of at least 1000 women (elected women representatives, master trainers (Aaganwadi workers), para legal workers and federation board members) on legal rights and entitlements strengthened and linked with local administrative and legal authorities in coordination with Government's Ahimsa programme. <b>Action 1:</b> Agency to train on legal rights and entitlements contracted. <b>Action 2:</b> Inception meeting organized and implementation strategy finalized.	December	TBD	IF		12,000



	<p><b>Action 3:</b> Previously developed training modules adapted and training roll out plan developed.</p> <p><b>Action 4:</b> Training rolled out and post training awareness level of participating women assessed.</p> <p><b>Action 5:</b> Final report of assignment submitted.</p>					
	<p>3.2 Gender training for at least 1000 women (elected women representatives, master trainers, para legal workers and federation board members) organized.</p> <p><b>Action 1:</b> Agency to train on gender issues contracted.</p> <p><b>Action 2:</b> Inception meeting organized and implementation strategy finalized.</p> <p><b>Action 3:</b> Previously developed training modules adapted and training roll out plan developed.</p> <p><b>Action 4:</b> Training plan approved and rolled out.</p> <p><b>Action 5:</b> Final report of assignment submitted.</p>	October	TBD	IF		13,000
	<p>3.3 Legal literacy material (AISSCET and A2J material) to at least 1000 participants disseminated.</p> <p><b>Action 1:</b> AISSCET and A2J material Printed/procured.</p> <p><b>Action 2:</b> On training site resource material distributed.</p>	October	TBD	IF		12,727
	3.4 Professional Fee and Travel	December	PMU	IF	71400, 71600	27,273
	3.5 Liaison with government, private sector,	December	PMU	IF	71300, 71600	0

	allied institutions and networks for formalizing partnerships for the project/leveraging resources and capital for the project.					
<b>Sub Total Political (Pilot)</b>						65,000
<b>Expansion Project</b>	<p>4.1 Project teams and Project offices established and implementing partners identified.</p> <p><b>Action 1:</b> SWAAYAM Project Managers including Programme Coordinator and International UN Volunteers on board.</p> <p><b>Action 2:</b> Programme officers and project personnel selected and state offices made functional</p> <p><b>Action 3:</b> Implementing partners selected for each state and work plans for 2014 submitted to UNDP.</p> <p><b>Action 4:</b> Baseline commissioned for the Expansion phase.</p> <p><b>Action 5:</b> Linkages with key state and district departments as well as government schemes and missions established.</p> <p><b>Action 6:</b> Intervention strategy for ultra poor component developed in new design of programme in cotton areas.</p>	December				70,000
	4.2 Balance Payment released to Janak Samiti and SVSS for Establishing Women Empowerment Centres in Jaunpur and Sant Ravidas Nagar	October				30069
<b>Total Expansion</b>						100,069
<b>Renewable Energy Component</b>	5.1 Merging of a detailed subset of inputs to economic component.	August				27,000
<b>Rabobank Support</b>	Rabobank support Economic Component			Rabobank		6200
Total of project costs	Total for project costs (A)					683,739
	Project staff salaries and project					226,050

	management expenses <sup>2</sup> (B)					
	Project staff salaries and project management expenses Gujrat, Maharashtra and Rajasthan (C)					113,860
	Annual Audit, Evaluations, Micro assessment costs <sup>3</sup> (D )					30,000
	Budget Line for direct project costs 2012 (E)	Recover in 2013				146,351
	Budget Line for direct project costs 2013 (F)					300,000
	AWP TOTAL IN USD (G) = (A)+(B)+(C)+(D)+(E )					1,386,140
	<b>AWP GRAND TOTAL IN USD</b>					<b>1,500,000</b>

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2 Costs for communication and state offices will not be charged to each AWP separately

3 Once a project has incurred expenditure for micro-assessment, do not budget for it in subsequent years.

## II. MULTI YEAR PROJECT STRATEGY DESCRIPTION (OPTIONAL FOR YEAR 1)

### Situation Analysis:

The XIIth Five Year Plan (2012-2017) of the Government of India recognises that barriers to women's empowerment are manifested in various ways. It calls for addressing deep rooted gender biases and discrimination that hinders women's participation in social, economic and political spheres and improving their status and position in the society.

Uttar Pradesh where this project is located is India's most populous state with a population of 166 million. It is also the second largest economy in the country. Poverty is widespread with 59 million people living below the poverty line. Women's status in Uttar Pradesh continues to present challenges as reflected in the indicators below:

- UP ranks at the second lowest position in the Gender Development Index (GDI) for 35 states.
- U.P is ranked 25 among 30 states on violence amongst women and over forty percent women have experienced physical violence in their lives (NHFS III)
- In rural Uttar Pradesh over 60 % of women were already married by the age of 18 (NHFS III)
- Maternal mortality indicators are worst in the state. In Uttar Pradesh, a woman has one in 42 chances of maternal death while the probability is just one in 500 in Kerala.
- Decision making in the family and community is influenced by men (NHFS III)
- The average Female Work Participation Rate (WPR) in UP is recorded at 17% - 8 points lower than the national average

Within the state, the eastern region where the four project districts namely Jaunpur, Mirzapur, Santa Ravidas Nagar & Sonbhadra has long been a microcosm for patriarchal values that have traditionally undermined the status and position of women. Three of the four project districts (Jaunpur, Mirzapur and Sonbhadra) also figure among the 250 most backward region districts of India. According to the official Below the Poverty Line Census (2002), against the state average of 41.4 percent, 68.8 percent households have BPL cards in Mirzapur, followed by Sonbhadra at 65 percent, Jaunpur at 43.6 percent and Santa Ravidas Nagar at 24.7 percent. Schedule Castes constitute an average of 23.4 percent in the three districts of Jaunpur, Santa Ravidas Nagar and Mirzapur, while in Sonbhadra the percentage of Schedule Castes population is highest at 42 percent. Other Backward Caste groups constitute 46 percent of the total population of the four districts and nearly 10 percent belong to the minority groups.

As per the findings of the situational analysis and stakeholder consultations carried out by UNDP in 2011-12, women in the project districts were found to be disadvantaged on multiple accounts. Women are unable to fully realise their worth and rights due to engrained gender disparities embodied at household, community and societal level. This coupled with institutional limitations stand in their way of women actualizing their full potential. The pilot project implemented by UNDP since 2009 across 500 villages has demonstrated the transformational impact of an integrated approach to women's empowerment, covering all dimensions- social, economic, political and legal. This approach is now being up-scaled across 6264 new villages which will address many of the aforesaid challenges.

### SCOPE AND STRATEGY:

The project scope and strategy is available in the three project proposals submitted to the donors (IKEA Foundation and Rabobank). However, following extensive reviews and in consultation with the donor, the programme design and strategy is being revisited and will be finalised at the end of 2013.

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**Results framework:**

<b>Key area of UNDP strategic Plan:</b> Poverty eradication, achievement of MDGs
<b>UNDAF / CPAP OUTCOME</b> Inclusive and equitable growth policies and poverty reduction strategies of the Government are strengthened to ensure that most vulnerable and marginalized people in rural and urban areas have greater access to productive assets, decent employment, skills development, social protection and sustainable livelihoods.
<b>CPAP OUTCOME Indicators</b> <ul style="list-style-type: none"><li>• Percentage increase in the number of households from persistently excluded groups' in rural and urban areas accessing national flagship livelihood and employment schemes and missions: MGNREGP, NRLM, NULM</li><li>• Number of districts in which Gender Empowerment Measure (GEM) value increases by 10 per cent</li></ul>
<b>CONTRIBUTING TO CPAP OUTPUT</b> <ul style="list-style-type: none"><li>• Scalable solutions for inclusion of marginalized groups are designed and implemented</li></ul>
<b>CONTRIBUTING TO CPAP 5 year target</b> <ul style="list-style-type: none"><li>• 20% Percentage increase in the number of households from persistently excluded groups' in rural and urban areas accessing national flagship livelihood and employment schemes and missions: MGNREGP, NRLM, NULM</li><li>• 10 districts in which Gender Empowerment Measure (GEM) value increases by 10 per cent</li></ul>

The detailed multi year results framework will be prepared along with the revised programme design and strategy by the end of 2013.

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### III. MANAGEMENT ARRANGEMENTS

For details refer to **section D1** of the project documents.

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### IV. 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:

- A. **MONTHLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided at **Annex1**. These monthly reports will be consolidated, as required, by UNDP's quality assurance team for progress review meetings.
- B. **ONE TIME RISK LOG:**Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner. Use the standard Risk Log template
- C. An external **EVALUATION** will be commissioned by IKEA Foundation during September-December 2013.
- D. **ANNUAL REVIEW REPORT:** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format at **Annex 2** will used to provide brief description of results achieved in the year against pre-defined annual targets.
- E. **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.

**Annex 2 – Annual progress report format**

Key area of UNDP strategic Plan:			
UNDAF / CPAP OUTCOME			
CPAP OUTCOME Indicators			
CONTRIBUTING TO CPAP OUTPUT			
CONTRIBUTING TO CPAP 5 year target			
Project title			
Implementing partner			
Year			
Annual Outputs	Allocated budget	Total Expenditure	Progress on planned outputs and key successes
1			
2			
3			
Policy results and any additional results achieved			
Lessons learned, project shortcomings and solutions			
Follow-up Actions			