

INTEROFFICE MEMORANDUM

Date: 3 June 2015

To: Dr. Jaco Cilliers, Country Director



Through: Resources and Planning after reviewing budget, fund flow arrangements, cost recovery, implementing partners and responsible parties

Meenakshi Kathel, Programme Specialist

From Ritu Mathur, Programme Analyst



Name of Project: Human Development – Towards Bridging Inequalities (00079936)

Implementing Partner: NITI Aayog

Annual Work Plan 2015 approved by NITI Aayog

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**United Nations Development Programme INDIA**  
**2015 Annual Work Plan (Government of India - UNDP Country Programme Action Plan 2013-2017)**

**Project Title:** Human Development – Towards Bridging Inequalities

**Implementing Partner:** NITI Aayog

**UNDP Strategic Plan Outcome:** Thought Leadership

**UNDP Strategic Plan Output(s):** Globally agreed agenda integrated into national plans & budget

**UNDAF / CPAP Outcome:** Governance systems are more inclusive, accountable, decentralised and programme implementation more effective for realization of rights of marginalised groups especially women and children

**PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)**

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

The prevalence of persistent inequalities and marginalization is an indication of outlays not translating into human development outcomes. The evidence base is weak with lack of availability of timely, reliable and disaggregated data on development targets. The project will assist developing evidence base for action on human development and ensuring follow-up to State HDRs.

**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 policies, plans, budgets and legislation through support to national assessment, planning, budgeting, policy making

**C. List the possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP.**

- Enhanced capacities of State Planning Departments, District Planning Committees and sub-district officials for planning and budgeting for human development and mainstreaming the marginalized
- Capacities of state-level training institutions and academic institutions developed to undertake trainings for diverse stakeholder groups, and resource centers strengthened to support this

**D. List the gender issues in this AWP and specific ways in which they will be addressed.**

HDR's /DHDR's being prepared by states address gender inequalities and related issues.

**E. List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed.**

The project will collaborate with the International Centre for Human Development on sharing experiences in the domain of promoting human development.

Atlas Project ID:	00049815
Atlas Output ID:	00079936
Local PAC meeting date:	29.08.2011
Start date:	October 2011
End Date:	December 2017
Implementation modality:	NIM

2015 AWP budget:	USD 365,000
- Regular:	USD 365,000
- Donor:	USD -
- Government:	INR 6.69 crore (parallel funding)
- In-kind Contributions (GEF):	- NA

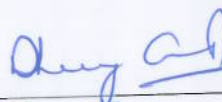
\* Subject to availability of UNDP funds

**Project Expenditure**

Total Project Budget	Exp 2011	Exp 2012	Exp 2013	Exp 2014	Budget 2015
2,700,000	36,228	333,286	492,862	560,162	365,000*

\*Allocated amount

Agreed by (Implementing Partner):

  
**(धीरज गुप्ता)**  
**(DHEERAJ GUPTA)**  
 संयुक्त सचिव (रा.से.) एवं सलाहकार (प्रशा. एवं वि.स.)  
 Joint Secretary (SP) & Adviser (Admin. & FR)  
 नीति आयोग / National Institution  
 for Transforming India (NITI)  
 भारत सरकार / Govt. of India  
 नई दिल्ली / New Delhi

Agreed by UNDP:

**Jaco Cilliers**  
 Country Director



I. ANNUAL WORK PLAN - YEAR: 2015

Annual Outputs 2015	Planned Activities	Month of completion	Responsible Party	Funding Source	Budget Description	Amount (USD)
<b>Output 1: State /regional/ District Human Development Reports focusing on inclusion prepared in select States.</b>  <b>Targets –</b> 1. Release of Bundelkhand HDR 2. Release of at-least 2 SHDRs 3. Drafting of Tribal HDR	1.1 Release of Bundelkhand HDR	Jan'15				
	a. Submission of draft Bundelkhand HDR	Mar'15	Resource Institution (Sanket Development Group)	UNDP	71300 - Local consultant short terms; 72100 contractual services/Institutional Contracts; 71600 travel	30,000
	b. Reviewing the draft HDR and providing comments					
	c. Finalisation of the HDR	Mar'15				
	d. Submission to the NITI Aayog and Presentation of the final HDR to the Governments of the Madhya Pradesh and Uttar Pradesh	Mar'15				
	e. Review of the Final HDR by state governments	July'15				
	f. Finalisation and printing					
	1.2 Preparation of Tribal HDR;					
	a. Submission of draft linear papers	May -15	Experts	UNDP	71300 - Local consultant short terms; 72100 contractual services/Institutional Contracts; 71600 travel	10,000
	b. Finalisation of linear papers	July 15				
	1.3 Release of the Assam and Karnataka HDR	Nov 15	State Government	UNDP	71300 - Local consultant short	168,000

Annual Outputs 2015	Planned Activities	Month of completion	Responsible Party	Funding Source	Budget Description	Amount (USD)
	1.4 Preparation of draft report Gujarat, Himachal Pradesh, Tamil Nadu, Nagaland by respective state governments	Nov 15	State Governments	UNDP	terms; 72100 contractual services/Institutional Contracts; 71600 travel	
					<b>Subtotal 1</b>	<b>208,000</b>
	2.1 HD Atlas prepared					
	a. Demo of Atlas presented	Jun 15				
	b. Revisions and updations	July 15	Resource Institution (AC Nielsen)	UNDP	72100 contractual services/Institutional Contracts	15000
	c. Finalisation of the HD Atlas	Aug15				
	d. Launch at a consultation	Sept 15				
<b>Output 2: Human Development Advocacy</b>						
	2.2 Release of Good Practices in Social Sector Service Delivery					
	a. Review and finalisation	Mar 15	One World Foundation	UNDP	72100 contractual services/Institutional Contracts	1000
	b. Printing and launch	June 15				
	2.3 Development of the project webpage	Jun-15	NIC	UNDP		1000
					<b>Subtotal 2</b>	<b>17,000</b>
<b>Output 3: New Initiatives</b>						
	To be confirmed in consultation with NITI Aayog	Nov 15	NITI Aayog/UNDP	UNDP	72100 contractual services/Institutional Contracts	13,000
					<b>Subtotal 3</b>	<b>13,000</b>
<b>Output 4: Capacity development for</b>						
	4.1 Training officials on HD indices & Procurement/ Thematic Consultations on	Mar 15	NITI Aayog/State Govt./UNDP/Resource	UNDP	71300 - Local consultant short	5000

Annual Outputs 2015	Planned Activities	Month of completion	Responsible Party	Funding Source	Budget Description	Amount (USD)
undertaking human development oriented analysis	human development/ National workshop on HD curriculum <i>(expenditure pertaining to the Training programme at ATI, Mysore (Nov 2014) and the National Workshop on HD Curriculum at XIM, Bhubaneswar. (Oct 2014) booked in Q1 of 2015)</i>		Institutions/Experts		terms; 72100 contractual services/Institutional Contracts	
	<b>Total (1+2+3+4)</b>				<b>Subtotal 4</b>	<b>5000</b>
	Project staff salaries and project management expenses					<b>243,000</b>
	Annual Audit, Evaluation, Micro assessment costs, others, support to Solex Community					89963
	Development effectiveness (3%) And DPC (5%)					5000
						10139+
						16898
	<b>AWP TOTAL IN USD</b>					<b>3,65,000</b>



## II. MANAGEMENT ARRANGEMENTS (AS PER APPROVED PRODOC)

Implementing Partner (IP): The project will be implemented by the NITI Aayog (PC), Government of India, hereinafter “the Implementing Partner (IP)”. The Implementing Partner (IP) will assume full responsibility and accountability for the effective use of UNDP (and other) resources and the achievement of the project outcomes and outputs as set forth in the document. The IP will be responsible for implementation of national level components of the project as well as for facilitation of partnership development with state governments. The IP will designate a National Project Director (NPD), who will be responsible for overall management, including achievement of planned results, and for the use of UNDP funds through effective process management and well established programme review and oversight mechanisms. Each state government will designate a nodal officer as State Project Director (SPD). SPD will be key in integrating project support at state and district and sub-district levels with mainstream implementation. The IP will sign a budgeted Annual Work Plan with UNDP on an annual basis, as per UNDP rules and regulations.

The accountability of an IP is to:

- Report, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and formats included in the project agreement;
- Maintain documentation and evidence that describes the proper and prudent use of project resources in conformity to the project agreement and in accordance with applicable regulations and procedures. This documentation will be available to project monitors (project assurance role) and designated auditors.
- Approve and sign the annual work plan
- Approve and sign the Combined Delivery Report (CDR) at the end of the year;
- Sign the Financial Report or the Funding Authorization and Certificate of Expenditures (FACE)

Responsible Party: The IP may enter into agreement(s) with other organizations or entities, known as responsible parties, for providing goods and services to the project, carry out project activities and produce project outputs. Responsible parties include UN agencies, Government agencies, inter-governmental organizations (IGOs), civil society organizations (CSOs) and private firms. All responsible parties are accountable directly to the implementing partner in accordance with the terms of their agreement or contract with the IP

UNDP will be represented as technical expert in selection of Responsible party (ies).

The IP will designate an official from the NITI Aayog or hire from project funds a Project Manager and set up a Project Management Team headed by the Project Manager. The Project Management Team will consist of a Project Assistant and other members as approved by the National Steering Committee. The Project Manager will be responsible for the day-to-day management of the programme. S/he will coordinate the Project activities including the preparation of Annual and Quarterly Work Plans, Budget, Financial Reports, etc. and will interface on project management issues. The Project Manager is responsible for:

- Managing the overall conduct of the project;
- Implementing activities by mobilizing goods and services;
- Checking on progress and watch for plan deviations;
- Ensuring that changes are controlled and problems addressed;



- Monitoring progress and risks;
- Reporting on progress including measures to address challenges and opportunities.

Along with the Project Manager, the PMT will be based at the NITI Aayog

National Steering Committee: A National Steering Committee (NSC) will be set up under the project. It will be chaired by the NPD and comprise designated representatives from the state departments, and a designated official from UNDP. The NSC will:

- Provide overall guidance and direction to the project,;
- Review the project progress and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans and timelines;
- Review programme expenditures against activities and outcomes; and
- Review, approve and sign Annual Work Plans.
- Provide guidance on new project risks and agree on possible countermeasures and management actions to address specific risks;
- Address project issues as raised by the project manager
- Review combined delivery reports prior to certification by the implementing partner;
- Sign the Financial Report or the Funding Authorization and Certificate of Expenditures (FACE)
- Appraise the project annual review report, make recommendations for the next annual work plan, and inform the Outcome Board about the results of the review;
- Assess and decide to proceed on project changes through appropriate revisions;

The NSC will be the group responsible for making, by consensus, management decisions for the project including recommendations for UNDP/IP approval of project plans and revision, and holding periodic reviews. In order to ensure UNDP's ultimate accountability, NSC decisions should be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. . In case a consensus cannot be reached within the Board, final decision shall rest with the UNDP. In addition, the NSC plays a critical role in UNDP commissioned project evaluations by quality assuring the evaluation process and products, and using evaluations for performance improvement, accountability and learning. Both IP and UNDP will be jointly responsible for achieving outcome level results. NSC will be convened at least once a year but efforts will be made to organise quarterly meetings to ensure regular follow up.

Project Assurance: Project Assurance will be the responsibility of UNDP. The Assurance role will support the NSC by carrying out objective and independent project oversight and monitoring functions. This will also include a six monthly review by the Country Programme Management Board (CPMB) and an annual strategic review (in the last quarter of the year) between DEA and UNDP together with the implementing Partner. During the implementation of the project, this role ensures (through periodic monitoring, assessment and evaluations) that appropriate project management milestones are managed and completed. The assurance will:

- Ensure that funds are made available to the project;



- Ensure the project is making progress towards intended outputs;
- Perform regular monitoring activities, such as periodic monitoring visits and spot checks;
- Ensure that resources entrusted to UNDP are utilized appropriately;
- Ensure that critical project information is monitored and updated in Atlas;
- Ensure that financial reports are submitted to UNDP on time, and that combined delivery reports are prepared and submitted to the project board;
- Ensure that risks are properly managed, and that the risk log in Atlas is regularly updated;

The NPD, in collaboration with the Project Manager, will convene an annual review meeting involving the Implementing Partner and Responsible Parties to review the progress in the previous year and discuss the work plan for the coming year. An independent external review may be conducted through resource persons/groups to feed into this process. The UNDP official responsible for the Project Assurance and the Project Manager will meet on a monthly basis to assess progress of the decisions taken in the NSC (or whenever guidance/decision is required by an implementing agency)

At the programme level, coordination and oversight will be provided by Outcome Board established for each outcome area. The Outcome Board will meet twice a year. The review and recommendations of the Outcome Board will feed into the CPMB annual strategic review meeting. Oversight of project level activities will be provided by the National Steering Committee (NSC) which will be responsible for approving the budgeted AWP's and providing overall guidance and oversight. The NSC will meet at least once a year although efforts will be made to convene quarterly meetings to ensure regular follow-up. The NSC will delegate day to day management of the AWP's and related decisions to a working group comprising UNDP, Implementing Partner and other stakeholders, as appropriate.

**Project Manager** will be the focal point for UNDP and report to the Project Assurance with the following responsibilities:

- Plan the activities of the project and monitor progress against the approved work-plan;
- Coordinate the implementation of the activities with the Project Working Groups
- Monitor events as determined in the project monitoring schedule plan, and update the plan as required;
- Manage requests for the provision of financial resources by UNDP, through advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures);
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the project board for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Capture lessons learnt during project implementation – a lessons learnt log can be used in this regard
- Perform regular progress reporting to the NSC;
- Prepare the annual review report, and submit the report to the NSC;
- In consultation with the Project Working Groups, prepare the annual work plan for the following year, as well as quarterly plans if required; update the Atlas Project Management module if external access is made available.



**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 with the following responsibilities:

- Set up and maintain project files;
- Collect project related information data;
- Assist the project manager in updating project plans;
- Administer NSC meetings and reviews;
- Administer project revision control;
- Establish document control procedures;
- Compile, copy and distribute all project reports;
- Assist in the financial management tasks under the responsibility of the project manager and manager;
- Provide support in the use of Atlas for monitoring and reporting;
- Review technical reports;
- Monitor technical activities carried out by responsible parties.

**State level Project Steering Committee (SPSC):** State level Project Steering Committee (SPSC) will be set up at the state level chaired by the SPD. SPSC will be responsible for making by consensus, management decisions for a project including approval of state project plans and revisions, will comprise representatives from the IP and UNDP. Representatives from line departments such as the Department of Panchayati Raj, Rural Development, Women and Child Development, The State Project Directors (SPDs), or a designated representative, will also be part of the PSC. In order to ensure UNDP's ultimate accountability, SPSC decisions will be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the SPSC, final decision shall rest with the UNDP Programme Manager. The SPSC will be responsible for functions similar to the overall PSC but its mandate will be restricted to activities at the state level. Its decisions will feed into the national PSC.

**Funds Flow Arrangements and Financial Management:** All cash transfers to an Implementing Partner will be in support of the activities specified in the AWP's agreed between the Implementing Partner and UNDP. No funds will be released by UNDP without prior submission by the Implementing Partner of a signed UN standard Fund Authorization and Certification of Expenditure (FACE) report. Funds will be transferred by UNDP as: a) direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; and b) direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with Implementing Partners. Direct cash transfers shall be requested and released for programme implementation periods not exceeding three months. Reimbursements of previously approved expenditures will be requested and released quarterly or after completion of activities. The UNDP shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the approved amounts.

Any interest accrued on the project funds during the project cycle will be ploughed back into the project in consultation with Implementing partner and UNDP and project budgets will stand revised to this extent. If there is no scope for ploughing back the interest will be refunded to UNDP.

The Implementing Partner may request UNDP to provide support services for project implementation. These services known as direct project costs may include procurement, recruitment, purchase of goods and services, and organisation of training activities and workshops. UNDP recruitment and procurement rules and



regulations will apply for the services provided. All direct costs, including development effectiveness which are attributable to the provision of these services (direct project costs) will be charged to the project in accordance with the policies decided by UNDP rules and regulations.

In cases when UNDP provides only direct payments on behalf of an implementing partner, UNDP's accountability is limited to 1) assurance that request has come from an authorized official; 2) verification that the requested payment is in accordance with the project work plan; and 3) verification that payment is made to the specified vendor/third party for services rendered.

Audit: In support of fiduciary good practice and to facilitate scheduled and special audits, each Implementing Partner receiving funds from UNDP will provide UNDP or its representative with timely access to: a) all financial records which establish the transactional record of the fund transfers provided by UNDP; and b) all relevant documentation and personnel associated with the functioning of the Implementing Partner's internal control structure through which the fund transfers have passed. The findings of each audit will be reported to the Implementing Partner, DEA and UNDP. As part of the process, each Implementing Partner will: a) receive and review the audit report issued by the auditors; b) provide timely statements of the acceptance or rejection of any audit recommendation to the UNDP that provided the funds; c) undertake timely actions to address the accepted audit recommendations; and d) report on the actions taken to implement accepted recommendations to the UNDP on a quarterly basis.

The project shall be subject to audit in accordance with UNDP procedures and as per the annual audit plan drawn up in consultation with DEA. The project shall be informed of the audit requirements by January of the following year. The audit covering annual calendar year expenditure will focus on the following parameters – (a) financial accounting, documenting and reporting; (b) monitoring, evaluation and reporting; (c) use and control of non-extendable reporting; (d) UNDP Country Office support. In line with the UN Audit Board requirements for submitting the final audit reports by 30 April, the auditors will carry out field visits during February/March. Detailed instructions on audit will be circulated by UNDP separately and on signature.

Project Closure: Project will be operationally completed when the last UNDP-financed inputs have been provided and the related activities completed. Through the NSC, the implementing partner notifies the UNDP when this has been done. When a project is operationally complete, the parties must agree on the disposal of any equipment and complete the transfer of assets under the project. Projects will be financially completed when the Implementing Partner has reported all financial transactions to UNDP so that the project accounts can be closed. UNDP and the Implementing Partner will certify a final Combined Delivery Report. Projects will be financially completed not more than 12 months after being operationally completed. Between operational and financial closure, the Implementing Partner will be required to identify and settle all financial obligations and prepare a final expenditure report. No adjustments can be made to a financially completed project.

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### III. 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 **Annex 1**. 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. **QUARTERLY FINANCIAL REPORT:** The Implementing Partner (IP) will make use of the Funding Authorization and Certificate of Expenditures (FACE) to request for advances and report on expenditures made on a quarterly basis, or more frequently if agreed. The implementing partner must submit the FACE at the end of each quarter, within the first 10 days of the following quarter. Together with the FACE, the project has to send a copy of the bank statement as up to the date of the end of the period reported and the itemized cost estimates of the activities to be funded. The FACE form has to be certified by the designated official from the IP.
- D. There will be one project **EVALUATION** in the life cycle of the project.
- E. **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 be used to provide brief description of results achieved in the year against pre-defined annual targets.
- F. **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

Year	Annual Outputs	Allocated budget	Total expenditure	Progress towards meeting AWP annual outputs
1				
2				
3				
	<b>TOTAL IN USD</b>			
	Policy results and any additional results achieved			
	Lessons learned, project shortcomings and solutions			
	Follow-up actions			

**ritu mathur**

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**From:** ritu mathur  
**Sent:** Thursday, June 04, 2015 2:21 PM  
**To:** Meenakshi Kathel; Garima Sharma  
**Cc:** 'Archana Bhardwaj (Archana.Bhardwaj@undp.org)'  
**Subject:** RE: IoM for AWP signature- HDBI 2014

Dear Meenakshi,

This is to note our mutual understanding that the 65000 USD added to the HDBI project will come from the IC4HD project and the budgets in Atlas will be accordingly adjusted.

Regards  
Ritu



*Empowered lives.  
Resilient nations.*

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**From:** Meenakshi Kathel  
**Sent:** Wednesday, June 03, 2015 6:29 PM  
**To:** Garima Sharma  
**Cc:** ritu mathur  
**Subject:** RE: IoM for AWP signature- HDBI 2014

Approved am really sorry for the delay.

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**From:** Garima Sharma  
**Sent:** 03 June 2015 12:34  
**To:** Meenakshi Kathel  
**Cc:** ritu mathur  
**Subject:** IoM for AWP signature- HDBI 2014

Dear Meenakshi,

Please find attached IOM for HDBI project AWP 2015 for your approval pls.

Regards, Garima



**ritu mathur**

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