

# GoI-UN JOINT PROGRAMME ON CONVERGENCE: INDIA UNDAF OUTCOME 3

Country: INDIA

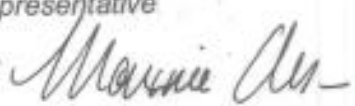
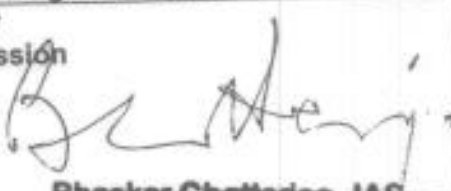
**UNDAF Outcome 3: By 2012, 11th Plan Targets related to the MDGs are on track in select districts in the 7 priority states**

Joint Programme Outcome: Obstacles to effective and efficient implementation of government development plans and programmes addressed and synergies between the various efforts created in 30 districts (GOI, FAO, ILO, UNAIDS, UNDP, UNESCO, UNFPA, UNICEF, UNIFEM, WFP, UN-Habitat, WHO and State Governments).







<p>Programme/project Duration (Start/end dates): 15<sup>th</sup> November 2008 - 31 December 2012</p> <p>Fund Management Option(s): Combination</p> <p>Managing or Administrative Agent: UN Agencies for parallel funding, State Governments for pass-through of UNDP funds</p>	<p>Total estimated budget*: USD 14,750,000</p> <p>Out of which:</p> <p>1. Funded Budget: USD 10,650,000</p> <p>2. Unfunded budget: USD 4,100,000</p>
	<p>Sources of funded budget:</p> <ul style="list-style-type: none"> <li>• Govt. of India _____</li> <li>• FAO TA</li> <li>• ILO TA</li> <li>• UNAIDS TA</li> <li>• UNDP USD 7,500,000</li> <li>• UNESCO TA</li> <li>• UNFPA USD 150,000</li> <li>• UN-Habitat TA</li> <li>• UNICEF USD 3,500,000</li> <li>• UNIFEM TA</li> <li>• WFP TA</li> <li>• WHO TA</li> <li>• Donor _____</li> </ul>

## Names and signatures of (sub) national counterparts and participating UN organizations

By signing this joint programme document, all signatories – national coordinating authorities and UN organizations – assume full responsibility to achieve results identified with each of them as shown in Table 1, which would be the subject of detailed annual work plans. Resources are provided by each Agency and are committed through separate agreements.

UN Organizations	National Coordinating Authorities
<p><b>UN Resident Coordinator</b> Name of Representative Signature Date &amp; Seal</p>  <p>Maxine Olson UN Resident Coordinator &amp; UNDP Resident Representative</p>	<p><b>Principal Adviser</b> Planning Commission Signature Govt. of India Date &amp; Seal</p>  <p><b>Bhaskar Chatterjee, IAS</b> Pr. Adviser Planning Commission Govt. of India Sansad Marg, New Delhi-110001</p>



<b>FAO</b> Name of Representative Signature <b>Gavin Wall</b> Date & Seal <b>FAO Representative in India &amp; Bhutan</b>	
<b>ILO</b> Name of Representative Signature Date & Seal	 
<b>UNAIDS</b> Name of Representative Date & Seal	 
<b>UNDP</b> Name of Representative Signature Date & Seal	 <b>Deirdre Boyd</b> <b>UNDP Country Director</b>
<b>UNESCO</b> Name of Representative Signature Date & Seal	 
<b>UNFPA</b> Name of Representative Signature Date & Seal	 
<b>UN-HABITAT</b> Name of Representative Signature Date & Seal	 
<b>UNICEF</b> Name of Representative Signature Date & Seal	 
<b>UNIFEM</b> Name of Representative Date & Seal	 
<b>WFP</b> Name of Representative Signature Date & Seal	 
<b>WHO</b> Name of Representative Signature Date & Seal	 

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 Govt of India

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## Executive Summary

Supporting India for the achievement of the Millennium Development Goals is the main goal of the United Nations Development Assistance Framework (2008-2012). Within the UNDAF, Outcome 3 focuses on the crucial role of the district in achieving MDGs in India and aims to foster convergence of large government programmes through strengthening integrated district planning, and collaborative implementation and monitoring. This is in accordance with India's Eleventh Five-Year Plan and directives of the Second Administrative Reforms Commission which aims to empower district Panchayats for more effective service delivery and meet the MDGs. As the UNDAF document states: "If the process of district level planning can be made effective, it would permit convergence of the various resource flows taking place and permit holistic planning". This entails working under the umbrella of Government of India's initiatives to foster convergence of public resources through participative district planning, as laid down in the Eleventh Plan.

Convergence of public resources within a rights based framework would improve fund utilization at the level of implementation (district and below) and catalyze greater effectiveness (and social inclusiveness) of service delivery. This would ensure that outlays (combined resources flowing to districts - currently estimated at an average of US\$ 75 million per district per year) translate into better outcomes (progress towards MDGs).

For convergence to be sustainable (beyond individuals' efforts) and effective (relate to actual change on the ground), a concerted effort to link needs assessment, planning, implementation (including budgeting and fund-flow) and M&E is required. The combination of participatory planning and efficient implementation is key to successful convergence.

This Joint Programme document, describes the support UN agencies will together provide to the process of needs assessment, integrated District Planning, budgeting, and convergence of government resources for implementation, supporting relevant existing and possible new schemes of the Government of India.. Specifically, the programme has been designed to support the Planning Commission Scheme for Strengthening Planning at National, State and District level and not as a stand-alone programme. The joint programme will furthermore work with existing governance and government structures and processes at all levels and will not create new institutional mechanisms specific to this programme.

Key partners in this Joint Programme will be – from GOI side – National Planning Commission and State and District Governments, and all participating UN Agencies, with UNDP, UNICEF, UNFPA, UNV and the Office of the Resident Coordinator being initially the most active.. The role of the Planning Commission will be substantial when it comes to supporting replication and strengthening the policy framework for improving planning nation-wide..

The main points of intervention will be at the state level and specifically in 30 backward districts in the priority states of the UN, viz.. Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh. In these states the development of capacity to prepare and implement District Plans would improve the implementation of large flagship programmes in the social sectors and foster greater social inclusion of disadvantaged groups, especially women, children, SC/ST and minorities.

## Chapter 1 - Background and Rationale

The Government of India's MDG Report 2007 points out that despite good economic growth and improved fiscal situation, the country is not on track to meet goals pertaining to hunger, literacy & school attendance, malnutrition, gender equality, maternal health, sanitation and environment.

India's Eleventh Five Year Plan (2007-12) has laid down specific MDG-oriented targets at national and state level for economic growth, poverty reduction and overall social development, with a particular focus on removing regional disparities and improving service delivery, especially for disadvantaged groups and from amongst them the focus being on women, children, SC/ST and minorities. The actual achievement of the MDGs/ Plan Goals depends on provision of sufficient resources and their cost-effective utilization – both together contributing to direct improvement in the quality of life.

The India UNDAF 2008-12- a framework that puts in perspective the programmes of the UN agencies in India- is aligned with the national government's priorities and programmes to address MDGs and promote social, political and economic inclusion of disadvantaged groups, especially women and girls.

The India UNDAF has four Outcomes:

- i) Strengthening the implementation of national schemes,
- ii) Strengthening governance at the district level,
- iii) MDGs met by 2012 in select districts through convergence, and
- iv) Vulnerability of poor people to natural disasters and public health emergencies reduced.

The geographic focus of the UNDAF is in 7 states, viz. Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh. These 7 states have a population of about 342 million (2001 Census) and contribute to large numbers of India's poor and excluded people. They have a larger than national average share of excluded groups such as Scheduled Castes, Scheduled Tribes and Muslims whose HDI is lower than the rest of the population within these states.

This Joint Programme document focuses specifically on UNDAF Outcome 3 which focuses on enabling select districts to be on track for achieving the MDGs by 2012. The India UNDAF document states: "If the process of district level planning can be made effective, it would permit convergence of the various resource flows taking place and permit holistic planning". The programme also has important linkages to the other UNDAF outcomes and during implementation, programmes undertaken under the auspices of these other outcomes may also contribute substantially.

An important change in India since the late 1990s is to address backwardness by focusing on the districts as the loci of development (rather than the state/province). In 2004-05 of the 604 districts in the country 250 were considered backward and a special fund called the Backward Regions Grant Fund (BRGF) was established. Of these 159 are in the UNDAF states which is 60% of the total number of districts in these states.

In recognition of the importance of moving as quickly as possible to improve the quality of life of the people of India particularly the poor, the Government of India has increased its allocations to the Centrally Sponsored Schemes (CSS) - funds for the seven Flagship Schemes<sup>1</sup> in the areas of employment,

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<sup>1</sup> The seven schemes are Sarva Shiksha Abhiyan (Education for All), Mid-day Meal Scheme, Drinking Water Mission, Total Sanitation Campaign, National Rural Health Mission,

education, health, women and children have gone from roughly 11.8 billion USD in 2006-07 to 13.3 billion USD in 2007-08. In addition, learning from the slow pace of implementation of the mandate of the 73<sup>rd</sup> and 74<sup>th</sup> amendments to the Constitution of India that put the primacy of governance on the local governments (73<sup>rd</sup> for rural and 74<sup>th</sup> for urban), the Government of India has allocated significant resources for the purpose of local level planning and monitoring in the Eleventh Plan period.

In fact a current thrust of the national government is to see how a District Plan can be a tool for achieving desired human development outcomes by integrating the mandate of the amendments to the Indian Constitution and resources provided to different departments under various schemes. To this end the Guidelines for District Plans (Formulation of District and Sub-district Plans at all Levels of Panchayats) state the desirability of using the word "plan" " to mean only that 'plan' prepared at the level of each local government. Sectoral planning efforts ought to be termed as 'programmes'."

The Guidelines and manuals/handbooks that are in the process of being developed nationally provide a framework for a participatory planning process at the local level to integrate local needs with resources from sectoral schemes. The Government of India, through the Backward Region Grant Fund and the Scheme for Strengthening Planning at National, State and District level, provides resources for the process in addition to the sectoral allocations.

In light of the Government of India's considerable resources in participatory, integrated district planning and, as UNDAF Outcome 3 is about 'convergence' at the district level, this Joint Programme proposes to work under the umbrella of national and states' initiatives, and closely with those responsible for them, to foster convergence of public resources through participative district planning, linking plans with budgets, implementation and monitoring in a continuous feedback loop.



## Chapter 2 - Situation analysis and lessons learned

Convergence of programmes to meet identified goals and targets has been attempted in several Indian states since the mid-1990s. These initiatives include the Rajiv Gandhi Missions in Madhya Pradesh, Velugu in Andhra, World Bank-funded District Poverty Initiative Project (DPIP) in Rajasthan, Madhya Pradesh and Andhra Pradesh. These interventions focused on over-riding departmental silos and fostering greater collaboration between government and non-government organizations. While many of the programmes achieved varying degrees of success, none of them have been sustained since they all functioned as 'special purpose vehicles' or stand alone 'missions' whose success depended upon the prevailing political leadership. A transition in political leadership led to lower priority being assigned to these initiatives and a return to "business as usual" where departments and implementers reverted to compartmentalized functioning.

Therefore, the challenge would be to address the underlying causes for poor performance of programmes at the district and below levels in terms of the absorption of financial resources, capacity constraints and effective utilization of resources within existing systems and structures so that the district can be on track to achieve MDGs/ Plan targets. This needs to be done in a sustainable manner through the DPC/ZP, and not through special purpose vehicles or NGO pilots.

During an experience sharing workshop among the key partners, including National Planning Commission, the following problem analysis was made.

The key causes for districts not achieving MDGs are:

- Multi-level Planning: Exogenous variables which require action at levels above the district
  - District Plan: Neither participatory nor a 'district' plan, but schematic and departmental plans stapled together
  - District Planning is not integrated and does not relate to schematic/departmental budgets directly
  - Compartmentalization of programmes and schemes
  - Too many scheme-specific guidelines
  - Non-availability of timely information on available resources
- Implementation
  - Dispersed accountability- Levels of government, across departments
  - Lack of decision making powers and ability at the local levels
  - Poor data quality and reliability
  - Poor monitoring
  - Caste and gender-based exclusion
  - Non-utilization of available resources and their lapse
  - Uncertainty in release of funds
  - Procedures and rules are problematic
  - Conceptualization of an integrated plan is problematic as every scheme is linear and therefore not amenable to localization and horizontal linkage
- Monitoring
  - Largely input-based
  - Mostly schematic, departmental monitoring not an integrated 'local area monitoring'
  - Outcome monitoring and scheme/programme/plan monitoring not synchronized

- o Citizen-led monitoring not the norm

The Joint Programme objective would be to ensure that district plans are formulated, budgeted, implemented and monitored in a participatory manner with a focus on ensuring greater utilization of government schemes' resources for better results.

The above issues need to be addressed for district planning and implementation to be more effective in meeting MDGs.



### Chapter 3 - Expected Results

The Joint Programme to meet MDGs is aimed at capacity development and provision of technical assistance (approx. US\$ 100,000 per district per year) in select districts to leverage better utilization of government resources to reach the poorest of the poor living in India's "pockets of poverty".

The main outcome of the Joint Programme is achievement of the Millennium Development Goals by participating districts, by removing obstacles to effective and efficient implementation of government development plans and programmes. Specifically, capacity will be developed for integrated district planning, convergence of resources, effective implementation, monitoring and evaluation systems to learn from experience and make necessary adjustments to the planning and implementation process.

Greater absorption of funds at the level of implementation (district and below) is an imperative for effective and inclusive (universal) local service delivery which in turn facilitate the achievement of local development goals or put differently localized MDGs.

This outcome links directly with the expected results of the Planning Commission's Scheme for Strengthening Planning at the National, State and District level: to support and strengthen the constitutionally mandated District Planning Committees (DPC) for effective utilization of resources allocated in the Eleventh Plan.

The key results of the National Scheme are as follows:

- Physical infrastructure, ICT capabilities and human resources at district level provided to the DPCs
- Experts provided on needs basis to strengthen the TSG
- Capacity of district and lower level functionaries (including elected members of all tiers of PRIs) in all aspects of planning, monitoring and evaluation built
- District statistical systems covering all developmental departments strengthened
- State level planning machinery to supervise and provide guidance to district planning, including building capacity for policy research and policy planning strengthened
- State and district capacity to utilize digital spatial infrastructure [created under another project of the Planning Commission] strengthened
- DHDR as a basic input for district planning prepared
- Planning Commission and Central Ministries supported for appraisal of schemes, analysis of scheme design, finalization of implementation, accounting and financial management guidelines of on-going and new schemes, including inputs for Zero Based Budgeting
- Resources flowing under various schemes converged
- Improved service delivery and enhanced accountability achieved through strengthened capacities of PRIs and CSOs in planning, implementation and monitoring process

The Joint programme would contribute deliverables that would help realize the abovementioned results, with specific technical assistance from UN Agencies, primarily focusing on provision of a District Team (District Facilitator and UNV Volunteers, capacity building of PRIs and district officials, training on generation and use of data, budget analysis, needs-based technical support to address specific implementation bottlenecks and develop capacity for improved monitoring, evaluation and reporting at the district level.

A detailed Results Framework is provided as Annex 1, including with information of the Joint Programme implementation plan.

## Chapter 4 – Strategy of the proposed joint programme

Strengthening Convergence and Integrated District Planning to support the achievement of the MDGs, requires a focus on all administrative levels, including Panchayat, Block, District, State and Center. While the emphasis of this programme clearly is on the District and local levels, the roles of all other levels will also be addressed. Please see the UNDP Project Briefs on District Planning and Livelihoods Promotion (Annexes 2 and 3) on how this is planned to be achieved.

### Panel 1 – Convergence in the Context of the Joint Programme

Convergence in the context of this Joint Programme implies achieving results on MDGs at the district level by effective utilization of all available resources, especially government funds, to meet local needs and priorities as articulated from below. This will involve local needs assessment, and prioritization based on available local, state and national resources. The district planning process will facilitate panchayats and urban local bodies to plan for activities that will lead to the desired results in a specified period of time, using resources from, rather than planning for, specific national and state level schemes/programmes. The ideal convergent plan will be a matrix of desired results, specific activities and those who will be responsible for the same, the source of funds (including state government allocations, centrally sponsored schemes, special component budgets such as the Tribal sub-plan, and local revenue), all set within specified time limits.

The Joint Programme will not create any separate implementation mechanisms, but will work through existing government structures and systems of planning, implementation and monitoring. It will be a part of the package of technical assistance under the Government of India's Scheme for Strengthening Planning at National, State and District levels and provisions on planning under the BRGF, implemented through the Panchayati Raj and Planning Departments of State Governments and the proposed technical support units for District Planning adjunct to the DPCs/ District Administration. With regard to support to implementation, monitoring and evaluation, the Joint Programme will work with the respective functionaries of the line departments.

In other words, the programme is fully embedded in, and will strengthen the existing national legal and policy framework <sup>2</sup>(see Panel 2).

### Panel 2: National Legal and Policy Framework to which this Joint Programme contributes

GOI 11<sup>th</sup> Five Year Plan

Backward Regions Grant Fund (BRGF),

GoI Scheme for Strengthening Planning at National, State and District level

National Flagship Schemes (SSA, ICDS, NRHM, NREGS, NACP-III, JNNURM, Bharat Nirman) and provisions of the NDMA

73<sup>rd</sup> and 74<sup>rd</sup> Amendment to the Constitution

<sup>2</sup> Including specific and relevant state level acts, policies and guidelines

State Governments in UNDAF States would play a central role in the Joint Programme in terms of implementation and responsibility for results. The joint programme proposes to work in close collaboration with the state governments and assist them in building capacities of their resource institutions and of governance institutions (PRIs and ULBs) and government staff at the district and below levels. The agreement on roles and responsibilities for inputs and deliverables would be specified in state-specific tripartite MOUs signed by Planning Commission, State Government and the UN Resident Coordinator on behalf of the UN in India.

The embedded assumption in this programme is that if a sample of the backward districts (30 out of 250) can be shown to improve performance towards MDGs through this programme, then 'scaling-up' or 'replicating' the same in other districts (with support provided by the Planning Commission and Ministry of Panchayati Raj at the national level, and state governments at the state and below levels) would be feasible.

The selection of districts would be based on the following criteria: that they are BRGF districts, have an SC and ST population above state-average, have high IMR and number of infant deaths, and a low HDI. Additional state specific criteria would be discussed with respective state governments before finalization of districts for this joint programme.

While the Programme will adhere to the guidelines of BRGF, it would not duplicate any activities undertaken under BRGF. To enable districts to better utilize BRGF resources, it would provide flexible technical assistance from across all UN Agencies in terms of technical expertise on planning, implementation and monitoring. The sustenance and wider replication of processes and outcomes under the Joint Programme would be feasible under larger programmes such as BRGF and the Planning Commission's Scheme for Strengthening National, State and District level Planning. As mentioned above, the documentation and lessons of convergence at the district level would provide a basis for national and state level dialogue regarding convergence of centrally sponsored and state sector schemes, under the umbrella of the Planning Commission and the Ministry of Panchayati Raj.

The UN team at the district (one Facilitator provided by UNICEF and two UNV Volunteers) would work in close collaboration with the Technical Support Group of the District Planning Committee (DPC) which would facilitate and lead an iterative process of planning. The Technical Support Group (TSG) funded by the Planning Commission, aims to support the DPC/ ZP, and will play a key role in the quality of the Integrated District Plan and the identification of opportunities for convergence between existing programmes for effective and efficient realization of district objectives. It is envisaged that this TSG (see details in Panel 3) will have experts at least in the following areas: development sector (including on exclusion, gender, scope of various schemes), information analyst (including on GIS, data use, M&E) and public finance and budgets.

### **Panel 3**

#### **Envisaged support to the District Planning Technical Support Group (TSG)**

The District Planning Committee (DPC) is the central body in ensuring that guidelines laid down by the Government of India are adhered to in letter and spirit. The Technical Support Group (TSG) has been envisaged by the Planning Commission to assist the DPC in fulfilling this expectation.

Therefore, the TSG and the District UN team will work together to help the DPC foster agreement on convergence and collaboration within and across line departments and agencies, NGOs, private sector and other civil society partners. Specifically the TSG and UN Team at the district level will bring out information from the district, generate ideas (including through concept papers, etc.), do advocacy and convincing, expand partnerships and link with different sectors. More specifically the unit will be responsible for:

1. Support to Planning and Budgeting
  - a. Facilitate bottom up village planning
  - b. Conduct analysis of all major social sector schemes of the central and state governments and budgets allocated against these, especially special budgets for excluded groups (including Tribal Sub-Plan, Special Component Plan, Women's Component Plan) in terms of coverage, beneficiary identification and fund flow
  - c. Study expenditure patterns of the above over past 2 or more years and utilization (including lapsed/ surrendered funds)
  - d. Identify sources for augmenting district budget and filling gap areas
2. Systems strengthening
  - a) Collect information on norms for key institutions of governance and service delivery (GP, school, *Anganwadi*, PHC, ration shop, bank/ cooperative, forest depot, etc.) on infrastructure, human resources, equipment and consumables
  - b) Identify bottlenecks in manpower planning
  - c) Identify areas for building capacity of the managers of services
  - d) Study supply-chain management and locate and/or suggest removal of bottlenecks.
3. Knowledge building
  - a) Assess district's need for technical assistance
  - b) Act as a conduit for channeling such resource into the district
4. Monitoring & evaluation
  - a) Facilitate setting up of systems for monitoring progress of implementation of key government schemes and programmes through community participation
  - b) Facilitate specific studies to assess impact of interventions periodically

While the Planning Commission and Ministry of Panchayati Raj resources would form the bedrock of DPC strengthening in terms of infrastructure and staff, the resources from the UN agencies would be used for "software" in terms of technical experts' services (provision of experienced facilitators and UNV volunteers to support the work of State level officials and TSGs to the DPCs), resource institutions, evidence-based policy analyses for District HDRs and visioning documents, community monitoring of implementation and results, workshops and documentation.

Lessons learned from the work at District and State levels and dialogue with Planning Commission and the Ministry of Panchayati Raj (MoPR) will result in the refinement of guidelines, schemes, manuals and training programmes. The programme will also support the Planning Commission's role in the following:

- Set National standards for Integrated District Planning
- Identify and support linkages and synergies between Planning and Centrally Sponsored Schemes, aiming to harmonize guidance and procedures
- Share experiences and lessons learned from State and District implementation of the Joint Programme through communities of practice, workshops and other events

- Contribute to Virtual knowledge networks including Decentralisation CoP – Solution Exchange and DGP net
- Contribute to policy development and guidance materials, by supporting task forces, Round Tables, Legislators' forum and other processes organised by other agencies/ government
- Feed best practices into the various other relevant GOI and UN initiatives.

The final dimension of the strategy is that the United Nations would work within a single concept and design of the programme on Convergence, but execute the work largely 'in parallel' by individual UN Agencies based on specific time-frames for each district and sub-district levels and together where common activities are identified. Parallel financing by UN Agencies for their respective components of this joint programme will therefore be the main funding modality for the UN

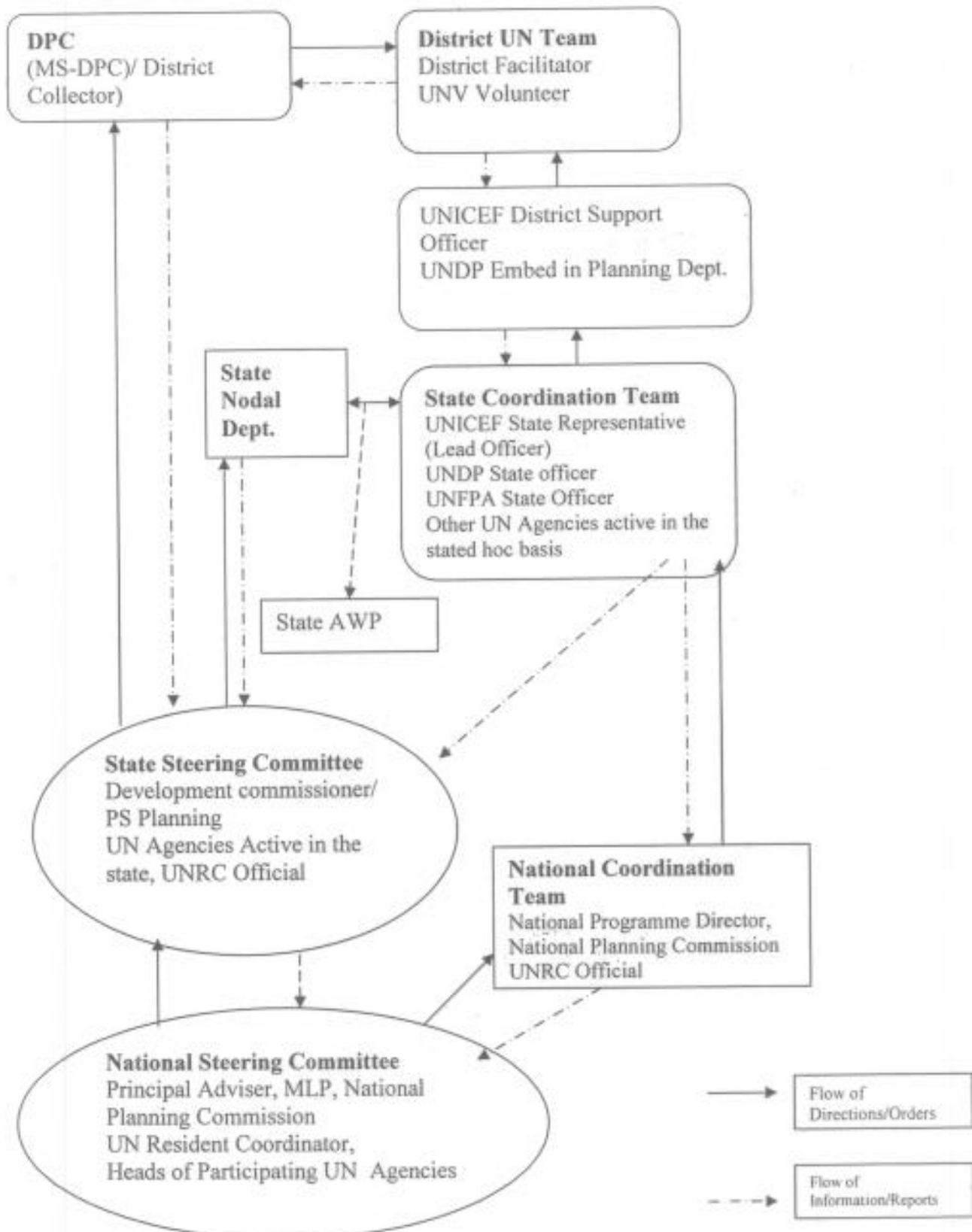


## **Chapter 5 – Implementation and Management Modalities**

The Joint Programme will be applying simple management and implementation modalities. The Joint Programme Steering Committee at the National level will comprise of representatives from State level Steering Committees. The National Steering Committee shall be responsible for overall coordination of the joint programme and will consist of the Planning Commission nodal point and nominees and UN nominated persons. It will meet twice a year. The Secretary, Planning Commission and the UN Resident Coordinators will be the joint Chairs of this committee.

The State level Steering Committee, under the overall guidance of the High Power Committee mandated under BRGF will also exercise oversight and be responsible for making necessary arrangements for assurance function and will have state planning department focal point, state government nominees, district level representatives and administration and UN staff and nominees. This committee will meet once in a quarter, or as decided jointly by the members in case they desire more frequent meetings. This committee will be chaired by a senior state official and would be of the rank of Additional Chief Secretary.

**The management arrangement is depicted in the flow chart below.**



## Fund Management Arrangements (including cash transfer modalities)

### Fund Management Arrangements

The Convergence Programme is composed of the National and State Governments' initiatives and UN Agencies' programmes plus a network of convergence specialists that are able to support government efforts at convergence in their respective fields of expertise. Parallel funding is therefore the principal cash transfer modality for the Joint Programme. Where specific activities are common to the UN agencies as also the overall evaluation plan, pooling of resources would be the cash transfer modality. In case pooled funding is required, the participating UN Agencies will decide on the managing agent that will be responsible for managing the common work plan.

For those Agency-specific activities funded under a common programme budget the pass-through mechanism be used to provide funding to the agencies.

Please see Agency documents attached for specific fund management arrangements.

### Legal Context or Basis of Relationship

In view of the fact that parallel financing is the main funding modality, the Joint Programme will adhere strictly with the Country-specific execution guidelines of each UN Agency participating in the Programme. The cooperation or assistance agreements<sup>3</sup>, which are the legal basis for the relationships between the Government and each of the UN Organizations participating<sup>4</sup> in this Joint Programme, will apply. Accordingly, each agency's activities under this Joint Programme will be governed by the respective applicable basic and other agreements of the agency.

## Chapter 6 – Feasibility, Risk management and Sustainability of Results

### Risk Management

The risk factors and the steps to address them under the Joint Programme are as follows:

- Loosening or lack of fit with the Government of India's own programmes on district planning and convergence (*Design of Programme with Gol participation and transfer of ownership of the programme to the state governments. Regular dialogue of state and national levels in meetings of the National Outcome Board and the UNCT*);
- Dissipation of State Government's interest and commitment to the Joint Programme (*MOUs and PCAS with State Government; tracking of Project progress by Government of India and UNCT during State Plan discussions and; regular meetings of State level Empowered Committee to review progress and share findings*);

<sup>3</sup> Such as: the Basic Cooperation Agreement for UNICEF; Standard Basic Assistance Agreement for UNDP, which also applies to UNFPA; the Basic Agreement for WFP; as well as the Country Programme Action Plan(s) where they exist; and other applicable agreements for other participating UN organizations.

<sup>4</sup> Including Specialized Agencies and Non Resident Agencies who are participating.

- Fluctuating leadership at the State and district level, with frequent transfer of key officials such as District Collector (*Anchoring of Convergence Programme with State Planning Commissions/ Departments and with the DPC in the district*)
- Poor fit of the District Technical Team (resource institutions/experts/district leverager) within the district set-up (*Proper legitimization of District Technical Team as the support unit for District Planning by State Government and District Administration, based upon the Joint Programme MOU; involvement of State Planning Board/ Department in reviewing the work of the Team*)
- Poor or uneven progress of different components which are financed in parallel (and are contributions in kind from different agencies' CPAP outputs) leading to delays in the progress of the entire programmes (*State level focal point to consolidate and track state-specific Workplans and report progress to UNCT*)

### **Sustainability of results**

The following aspects of the wider development context of India make the programme on Convergence both relevant and feasible:

- The emphasis in the Eleventh Plan on setting MDG-related targets for State Governments as a means for monitoring the achievement of inclusive growth;
- The provision of substantial resources (average approx. US\$ 75 million per year per district including all allocations) especially by the Government of India for the implementation of flagship programmes pertaining to the MDGs, with a strong focus on the UNDAF states;
- The emphasis by the Indian Planning Commission and the Ministry of Panchayati Raj on district planning, efficient implementation and tracking the effectiveness of resource utilization at the district level

## Chapter 7 - Accountability, Monitoring, Evaluation and Reporting

The results framework sets out the outcome(s) to which the JP is meant to contribute<sup>5</sup>, the outputs which the JP will deliver, the UN organizations which will be responsible for each output, the indicators (with baselines and targets to be achieved) which will measure achievement of the outputs and outcomes, the means of verification or sources from where the indicators will be measured, the periodicity and responsibility for such measurement and risks and assumptions.

The M&E Plan sets out the M&E activities that the Joint Programme on Convergence will undertake (baseline data collection, reviews or studies if necessary to measure effect/impact, field visits, evaluation etc.) the timing of such activities and the respective responsibilities.

The UNDAF M&E Framework, the Results Framework and the M&E plan together constitute the accountability framework of the joint programme.

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<sup>5</sup> Outcomes could be derived from the UNDAF or from a Humanitarian or any other framework as appropriate