

**United Nations Development Programme
Country: INDIA
2015 Annual Work Plan**

Project Title: Sustainable Land and Ecosystem Management in Shifting Cultivation Areas of Nagaland for Ecological and Livelihood Security

Implementing Partner: Department of Soil & Water Conservation, Govt. of Nagaland

UNDP Strategic Plan Outcome: Stronger Democratic Governance to meet citizen expectations

UNDP Strategic Plan Output(s): Conservation, sustainable use, access & benefit share of natural resources, biodiversity & ecosystems **UNDAF / CPAP Outcome:** Democratic governance

PROJECT DESCRIPTION

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

The AWP will address strategies for working with the relevant government departments on continuing the project activities beyond project closure. The AWP will also address terminal evaluation and successful project closure. **Select one or more of the below strategies for addressing the above mentioned challenge/gap and describe in the context of this AWP:**

- Strategies for working with the relevant government departments on continuing the project activities
- Terminal Evaluation
- Project Closure

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

The following activities will support strengthening of institutions and systems

- Capacity building of farmers, government extension workers and village councils to integrate SLEM principles into their farming practices and participatory and sustainable land management

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

- Promotion of additional and alternate livelihood activities
- Active and equal participation of women in LUCs

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

- Exchange of information on jhum cultivation is being planned with one of the south east Asian countries where sustainable land use and jhum management is practiced.

Atlas Project ID: 00070449
Atlas Output ID: 00057120(PIMS4073)
Local PAC meeting date:
Start date: June 2009- Dec 2015
Implementation modality: National Implementation

2015 AWP budget: **USD 66,089**

- Regular: -
- GEF: USD 31,089
- Govt. co-financing: USD 35,000 -

Govt in-kind contributions for full project period: USD 21,600,000

Project Expenditure (USD)

| Total Project Budget | Exp 2009 | Exp 2010 | Exp 2011 | Exp 2012 | Exp 2013 | Exp 2014 | Exp 2015 |
|----------------------|----------|----------|----------|----------|----------|----------|----------|
| 3600000 | 37115 | 731414 | 1256129 | 657828 | 550030 | 336395* | 66,089 |

*Provisional figure. Final CDR awaited

Agreed by (Implementing Partner):

[Signature] 24/10/2015

(MR. LIMAMEREN AO,
NPD & DIRECTOR, SOIL & WATER
CONSERVATION DEPT, GOVT. OF
NAGALAND)

Agreed by UNDP:

[Signature]

**Jaco Cilliers
Country Director**

I. ANNUAL WORK PLAN

Year: 2015

Key area of UNDP strategic Plan: Stronger Democratic Governance to meet citizen expectations
UNDAF / CPAP OUTCOME: Democratic Governance

CONTRIBUTING TO CPAP OUTPUT: Conservation, sustainable use, access & benefit share of natural resources, biodiversity & ecosystems

CONTRIBUTING TO CPAP 5 year target: Sustainable land and ecosystem management in shifting cultivation areas of Nagaland for livelihood and ecological security

ANNUAL OUTPUTS

| | PLANNED ACTIVITIES | MONTH OF COMPLETION | RESPONSIBLE PARTY | FUNDING SOURCE | PLANNED BUDGET | | Budget Code |
|---|--------------------|---------------------|-------------------|----------------|--------------------|--------------|-------------|
| | | | | | BUDGET DESCRIPTION | AMOUNT (USD) | |
| Outcome 1: The Policy, regulatory and institutional environment supports the integration of sustainable land management practices on Jhum lands. | | | | | | | |
| Output 1.1: Establishment of an inter-sectoral coordination platform on jhum policies and programs | | | | | | | |
| Output 1.2: Recommendations for strengthening the policy and regulatory environment affecting jhum lands | | | | | | | |
| Output 1.3: Guidelines for integrated land-use planning at the landscape/village level | | | | | | | |
| Sub Total Outcome 1 | | | | | | | 0 |
| Outcome 2: Options for improving the sustainability of jhum agro-forestry systems are developed and demonstrated in selected project sites. | | | | | | | |
| Output 2.1: Agri-silvi-pastoral models developed for enhancing alternative sources of livelihoods, mainstreaming biodiversity considerations and promoting greater ecological and cultural security | | | | | | | |

| | | | | | | | |
|---|---------|-----|-----|--|--|------|---------------|
| Outcome 4: Project Monitoring | | | | | | | 0 |
| Sub Total Outcome 3 | | | | | | | |
| A. Travel expenses | Jan-Dec | SWC | GEF | | | 6000 | |
| Sub Total Outcome 4 | | | | | | | 6000 |
| Terminal Evaluation | | | | | | | 35,000 |
| | | | | | | | |
| Sub Total Project staff salaries and project management expenses (Including DPC) | | | | | | | 25,089 |
| AWP GRAND TOTAL IN USD | | | | | | | 66,089 |

II. MANAGEMENT ARRANGEMENTS:

The management arrangements will remain same as specified in approved project document except with the following changes: The Outcome Boards will meet twice a year. The review and recommendations of the Outcome Board will feed into the Country Programme Management Board (CPMB) annual strategic review meeting. Oversight of project level activities will be provided by the Project Steering Committee (PSC) which will be responsible for approving the budgeted Annual Work Plans and providing overall guidance and oversight. The PSC will meet at least once a year although efforts will be made to convene quarterly meetings to ensure regular follow-up. The PSC 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.

Fund Flow Arrangements and Financial Management:

The project will be implemented by the Department of Soil and Water Conservation of Nagaland in three districts of Nagaland - Mokokchung, Mon and Wokha. The SWC Department and UNDP will be responsible for carrying out the project activities and result achievement on the ground. Under the guidance Project Steering Committee, the responsible parties will undertake project activities on the ground. Under the guidance of the Project Director, the Project Management Unit, based in Kohima is responsible for preparation of annual and quarterly plans, budgets, physical and financial progress reports etc.

The other management arrangements will remain same as specified in approved project document except with the following changes: Oversight of project level activities will be provided by the Project Steering Committee (PSC) which will be responsible for approving the budgeted Annual Work Plans and providing overall guidance and oversight. The PSC will meet at least once a year although efforts will be made to convene quarterly meetings to ensure regular follow-up. The PSC 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.

The Project follows National Implementation modality. At the request of the Government of Nagaland, UNDP will directly release funds to the bank account created for the implementation of this project (bank details given below). The Government of Nagaland (GoN) will account for funds received from UNDP. The request from GoN will come through the standard Fund Authorization and Certificate of Expenditures (FACE) Report duly signed by the Project Director or person assigned/delegated by GoN. No funds shall be released by UNDP without prior submission of a duly filled and signed FACE report. Unspent funds from the approved AWP's will be reviewed in the early part of the last quarter of the calendar year and funds reallocated accordingly. Only after 80% of last advance and 100% of all the previous advances are spent will the next advance be released. Separate books of account shall also be maintained in order to ensure accurate reporting of expenditure and providing a clear audit trail. Any interest accrued on the project funds during the project cycle will be ploughed back into the project in consultation with GoN 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 and project budget revised accordingly.

Bank Name : State Bank of India

A/C No : 30877874105

BranchName : Lerie Branch, Kohima

IFSC code : SBIN 0008306

Account Name : Director, Soil and Water Conservation Department, Nagaland

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.

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 in 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. A terminal **EVALUATION** will be conducted in the last year of the project, as per GEF guidelines.
- 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 in 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.