



United Nations Development Programme

Country: Uganda – Project Document

Project Title: Improving policies and regulations to support development of markets in Tourism
UNDAF Outcome(s): Vulnerable segments of the population increasingly benefit from sustainable livelihoods and in particular improved agricultural systems and employment opportunities to cope with the population dynamics, increasing economic disparities, economic impact of HIV/AIDS, environment shocks and recovery challenges by 2014.
Expected CP Outcome: Increased productivity, competitiveness and employment in selected sectors, particularly benefiting women and youth.
Expected CP Output: National policy and regulatory framework for the selected sectors established.
Implementing Partner: Ministry of Tourism
Collaborating Partners: UTB, MoLG, MTIC, MOFA, Min. of Int. Affairs, MOPED.

Brief Description


The tourism sector has become one of leading growth sectors in Uganda, and is now the single largest source of export revenue under the services sector, generating 25.4% of Uganda’s foreign exchange earnings. Government has recognized this trend and categorized tourism into a priority sector in the National Development Plan (NDP) 2010-2014. In 2008 it established a Tourism Act (2008) to strengthen the legal framework to guide the performance of the sector. However, the performance of the sector is constrained by the lack of appropriate enabling policies and regulations to facilitate the development of the sector. The current policy framework is outdated and out of tandem with emerging trends and issues, such as economic integration and the emergence of new tourism products. The recent Tourism Act has remained largely ineffective due to lack of supporting regulations to implement the policy.

This project will provide support to review and update the tourism policy and regulations in order to improve the legal and policy environment for the performance and growth of the tourism industry. It will also provide capacity building to key officials in the ministries of local government and tourism in the implementation of the regulations, as well as provide sensitization and information to stakeholders in order to facilitate their understanding of the new regulations.

Programme Period:	2011 - 2014	YYYY AWP budget:	
Key Result Area (Strategic Plan) and achievement of MDGs.	Poverty Eradication	Total resources required	US\$ 1,099,000
Atlas Award ID:		Total allocated resources:	US \$ 1,099,000
Start date:	2011	Regular	US \$ 1,099,000
End Date:	2014	Government	
PAC Meeting Date:	01 st – 02 June 2011	Unfunded budget:	US \$ 0
Management Arrangements:	NIM	In-kind Contributions:	

Executing Agency: Ministry of Finance Planning and Economic Development (MFPED)

Agreed by (Executing Agency):  Ministry of Planning and Economic Development

Agreed by (Implementing Partner):  Ministry of Tourism, Trade and Industry (MTTI)

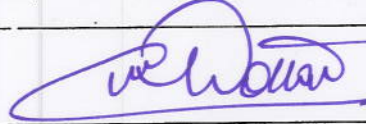
Agreed by UNDP:  14/12/2011

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ACRONYMNS

AIDS	Acquired Immune Deficiency Syndrome
DCOs	District Commercial Officers
DDPs	District Development Plans
GOU	Government of Uganda
HIV	Human Immune Virus
MICE	Meetings, Incentives, Conferences and Events
MoLG	Ministry of Local Government
MoT	Ministry of Tourism
NDP	National Development Plan
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UN WTO	United Nations World Tourism Organisation
WTO	World Trade Organisation


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1. SITUATION ANALYSIS

Tourism plays a leading role in foreign exchange earnings, and is the single largest source of export revenue under the services sector, generating 25.4% of Uganda's foreign exchange earnings¹. In the 1960's, tourism was a major contributor to the national economy, being the third foreign exchange earner after coffee and cotton. It was however, badly affected by the economic mismanagement during the era of Idi Amin in the 70's and the subsequent insecurity experienced in the Obote II Government in the 80's. With the advent of peace and economic recovery over the last two decades, the tourism sector has gradually picked up, with its share of GDP growing from 1.1% in 1988 to 7.4% in 2010. In terms of employment and livelihoods, direct employment in tourism and travel contributed to 2.8% of total employment in 2010 (NDP 2010-2014).

The tourism industry is now one of the leading growth sectors in Uganda. The current policy trend that has witnessed the transformation of tourism into a priority sector in the National Development Plan (NDP) 2010-2014, the formation of a separate ministry for tourism, and the enactment of the Tourism Act 2008 are positive changes that demonstrate government's increased commitment to this sector. Current international and domestic statistical indicators give strong justification for the country's strategic decision to prioritize tourism in its economic development agenda; according to the World Tourism Organization (WTO), the total tourism global expenditure in 2006 was estimated at US\$ 6.8 billion, though it suffered the economic crunch that halted its growth to US\$ 6 billion in 2010. Africa currently has the highest tourism sector growth rate in the world averaging 8%, with Sub Saharan Africa registering 12 percent. In Uganda, the travel industry recorded 842 million arrivals in 2008 and suffered a slight reduction to 817 million in 2009 owing to the global financial crisis. The number of leisure tourists also steadily increased from 45,000 in 2001 to 225,000 in 2010.

The legal and policy framework that guides the development and regulation of the tourism sector in Uganda includes; the Tourism Act (2008), the National Tourism Policy (2003), the Tourism Marketing Strategy (2004) and the Integrated Tourism Master Plan (1993). The Uganda Tourism Act, passed in 2008, aims to reform and consolidate the laws relating to tourism, and in particular, to provide for licensing and regulating the tourism sector; to give effect to the implementation of the tourism policy of Government; to reconstitute the Uganda Tourist Board to make it private sector driven; to establish a tourism development levy; to provide for the establishment and management of a tourism development fund; to repeal the Hotels Act, the Tourist Agents (Licensing) Act, and the Uganda Tourist Board Act; and to provide for related matters. However, the Act still lacks the regulations to operationalise it, and thus has not been fully implemented.

The National Tourism Policy 2003 was aimed at making tourism a vehicle for economic development through developing and marketing high end-tourism products in niche markets, such as gorilla tracking and white water rafting, in order to increase tourist arrivals and tourism income. The policy also aimed to promote the participation of the private sector as a driving force in tourism development; as well as development of tourism sites in a sustainable manner. However, since its establishment in 2003 new issues and challenges that were not initially addressed by the Policy have emerged, and these include; i)

¹ The services sector is currently the main contributor to GDP and a significant number of people are employed in this sector, and the sector is contributing significantly to the creation of new jobs.



regional integration, and marketing of East Africa as a single tourism destination ii) concerns over the sustenance of the integrity of Uganda's natural endowment and cultural heritage, iii) the emergence of new tourism trends and products such as conference tourism, iv) emergence of new enterprises in wildlife which impact on tourism, such as game farming and game ranching, and v) the need for tourism value chain upgrading through strengthening community and small scale enterprises involved in tourism value chains.

Furthermore, the Uganda Tourism Marketing Strategy that was developed in 2004 as a five year strategy is now outdated. For instance the set targets have been surpassed, and the strategy is not responsive to emerging tourism trends such conference marketing and new markets such as Asia, and focuses only on Europe and North America as source markets. There is a weak destination marketing effort resulting in the low market presence in the country's key source markets as a tourist destination. Thus the instruments and tools to guide proper engagement with source markets such as marketing through Uganda's embassies and tourism fairs and expos need to be reviewed. Also, the strategy does not spell out a collaboration mechanism for the East African Common marketing strategy.

In addition to weaknesses in the policies, laws and regulations as described above, growth in the tourism sector is also hampered by lack of capacity, such as understaffing in the institutions managing the industry particularly, the Ministry. The tourism support function is not effectively decentralized to the local government level thereby constraining its ability to implement the tourism policy. The institutional framework and coordination arrangements to facilitate public-private sector dialogue and promote public-private partnerships are weak, and there is inadequate capacity to collect and analyze data on tourism, in order to generate the information required to inform decision makers, investors and tourists.

There is weak participation of local entrepreneurs and communities in tourism, particularly in terms of ownership of enterprises, employment, skills enhancement and investments; and a narrow tourism product scope since Uganda's tourism activities are largely concentrated on wildlife in protected areas despite the existing tourism potential in culture, community, faith based conferences, bird watching, boat cruises on the various rivers and fresh water lakes, cultural tourism, agro-based tourism, museums and business tourism. In fact most of the potential tourism sites have not been developed or even identified, and their conservation status is under constant threat of erosion or alternative economic use. There are infrastructural deficiencies such as a poor transport infrastructure which limits access to some of tourism areas and sites; inadequate electricity supply and piped water distribution system, poor system of garbage collection and disposal of solid waste; an inadequate number of skilled human resource particularly in tourism promotion and quality assurance within the hotels, restaurants, tours and travel, leisure and hospitality. Many tourism facilities have infrastructural deficiencies and most enterprises have limited business management capacity, which has negatively affected their competitiveness.

Previous efforts to address the constraints in the sector include those undertaken by the European Union between 2002 and 2007, through the Uganda Sustainable Tourism Development Project. This project aimed to provide support in the areas of i) policy and legislation; ii) marketing and promotion; iii) institutional strengthening; iv) capacity building and human resource development; as well as v) product development. However, according to the project evaluation report, key components were not implemented, largely because there was no overall guiding tourism Act to provide the necessary legal framework for the institutional reforms and the concomitant capacity building recommendations to the fragmented institutions operating in the sector. Also at the time, there were inherent weaknesses in the government's level of commitment to tourism development as evidenced by the low level prioritization,



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combining it with Trade and Industry to form a Ministry of Tourism, Trade and Industry thus limiting its prominence.

2. PROJECT IMPLEMENTATION STRATEGY

This project will provide technical support for the revision of the National Tourism Policy, the Tourism Marketing Strategy, and the Tourism Master Plan in order to ensure that the revised policy framework is responsive to the current and anticipated national and global tourism context; is consistent with the national Development Plan priorities; and takes into account other issues that were not addressed by the existing policies and strategies.

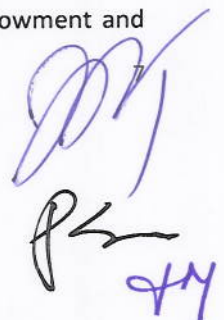
These issues include; the integration of the East African Community; marketing East Africa as a block; preservation of the cultural heritage; maintenance of the integrity of the natural resource endowments; environmental sustainability; diversification of tourism products - with special attention to community and pro-poor, tourism products; incentives for increased private sector participation and investment in the tourism sector; strategies for tourism value chain upgrading and diversification - with a focus on increasing private sector participation and strengthening the integration of the poor and communities in the tourism value chains; and promotion of quality, standards and ethics in the tourism industry. Furthermore, the project will also support the development of guidelines and regulations to operationalise the Tourism Act.

The implementation strategy will include activities to review existing policy documents; conduct policy-analytical research; and consultations with key stakeholders such as Ministry of Foreign Affairs, Ministry of Internal Affairs (Immigration Department), Ministry of Water and Environment, Ministry of Gender and Community Development, Ministry of Education and Antiquities, Ministry of Trade, Industry and Cooperatives, Ministry of Agriculture, Uganda Wildlife Authority, Uganda Tourism Board, Ministry of Local Government, Ministry of Finance, Planning and Economic Development, Civil Society, and the Private Sector. The project will conduct policy dialogue meetings as well as stakeholder validation that will feed into the preparation of the final draft documents.

The project will examine the institutional framework and coordination arrangements for the development and implementation of the revised policy. It will provide technical support to a multi-stakeholder forum as a platform for public-private sector dialogue in the policy formulation process. Currently, the Ministry of Tourism has a cooperation framework with the Ministry of Local Government that specifies arrangements for tourism service delivery in the district local governments. The framework also emphasizes that tourism be mainstreamed in the district development plans (DDPs), and responsibilities for promotion of tourism activities at the district level be assigned to district commercial officers (DCOs). In addition, under this framework, Ministry of Local Government authorized districts to recruit Tourism Officers provided the district budgets could fund them. Currently there are only five districts that have recruited tourism officers and these are Jinja, Kalangala, Kanungu Kasese and Kisoro. This project will closely consult with District Local Governments in the development of the tourism policies. In order to achieve the above results the project will provide technical assistance through UNVs as well as national and international technical advisers to support the implementation of the project. The major outputs and activity results of the project are;

Output 1: Tourism Policy reviewed and updated

Under this output, the tourism policy will be reviewed and updated taking into account new issues and challenges including regional integration; sustainability and integrity of Uganda's natural endowment and



cultural heritage; the emergence of new tourism trends and products; new enterprises in wildlife such as game farming and game ranching; and the potential and scope for strengthening the participation of community and small scale enterprises in tourism value chains.

Key activities to achieve this output include;

- Preparation of a base line diagnostic study of the tourism sector to identify opportunities and challenges
- Conducting analytical studies to assess the trade off and implications of alternative policy actions to inform the development of the policy
- Conducting policy dialogue and stakeholder consultations and
- Drafting the revised policy taking into account the analytical work as well as the stakeholder consultations and policy dialogue undertaken.

The policy will incorporate gender dimensions and will provide the necessary framework for inclusive private sector participation and engagement in the tourism sector.

Output 2: Tourism Strategy and Master Plan revised and updated.

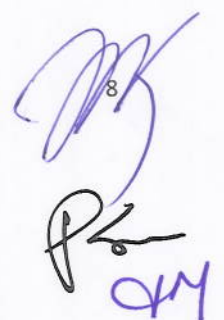
A number of analytical and strategic studies will be reviewed to scan the current tourism environment and identify opportunities in the sector. These reviews will provide the basis for the development of the new tourism strategy and master plan. The project will provide technical support for the preparation of the strategy and master plan through engagement of national and international consultants, who will carry out the analytical work and preparation of the strategy documents, in consultation with the Ministry for Tourism. During the process they will engage with and build the capacity of the relevant technical officers in the Ministry and at the district level through involving them in technical aspects of the strategy formulation, for instance, by involving them in task forces.

Output 3: Regulations and guidelines developed to operationalise the Tourism Act (2008)

The existing tourism regulations and guidelines are inadequate to give full effect to the implementation of the Tourism Act (2008). Through this output, new regulations will be developed and the existing ones will be rationalized to ensure that they are consistent with, and support the implementation of the Act. The project will support the review of ten existing regulations to assess their compatibility with the Act and their impact on the performance of the Tourism. Subsequently the gaps and inconsistencies in the regulations will be identified, and revised/or new regulations and guidelines will be prepared.

The project will support the publication and dissemination of the guidelines and regulations.

The detailed activity results and budget are described in the Results and Resources Framework below.



3. RESULTS AND RESOURCES FRAMEWORK 2011 - 2014

INTENDED OUTPUTS		OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS (USD)
Output 1: Tourism Policy reviewed and updated.	Target 2011 Baseline Study Report	Target 2011 Baseline Study Report	Activity Result 1.1: Undertake a baseline diagnostic study of the tourism sector to identify constraints and opportunities within the sector		15,000
	Target 2012 Diagnostic report identifying policy gaps	Target 2012 Diagnostic report identifying policy gaps	Activity Result 1.2: Undertake at least 3 research and analytical studies to inform the preparation of the revised policy		50,000
Indicator: Final revised draft policy document ready for submission to cabinet.	Zero draft policy document prepared	Zero draft policy document prepared	Activity Result 1.3: Prepare zero draft policy document		5,000
	Stakeholder policy dialogue undertaken and policy issues paper prepared	Stakeholder policy dialogue undertaken and policy issues paper prepared	Activity Result 1.4: Undertake 2 stakeholder consultations to identify and generate consensus on emerging policy priorities	Ministry of Tourism	50,000
Baseline:	Revised draft tourism policy document prepared.	Target 2013 Revised draft tourism policy document prepared.	Activity Result 1.5: Prepare a revised draft of the policy document.	UNDP	25,000
	Stakeholder validation workshop undertaken	Stakeholder validation workshop undertaken	Activity Result 1.6: Undertake 4 regional stakeholder review and validation workshops of the draft policy		100,000
Outdated Tourism Policy (2003)	Final draft revised policy prepared	Final draft revised policy prepared	Activity Result 1.7: Prepare a final draft of the Revised Tourism Policy.		5,000
SUB-TOTAL					250,000

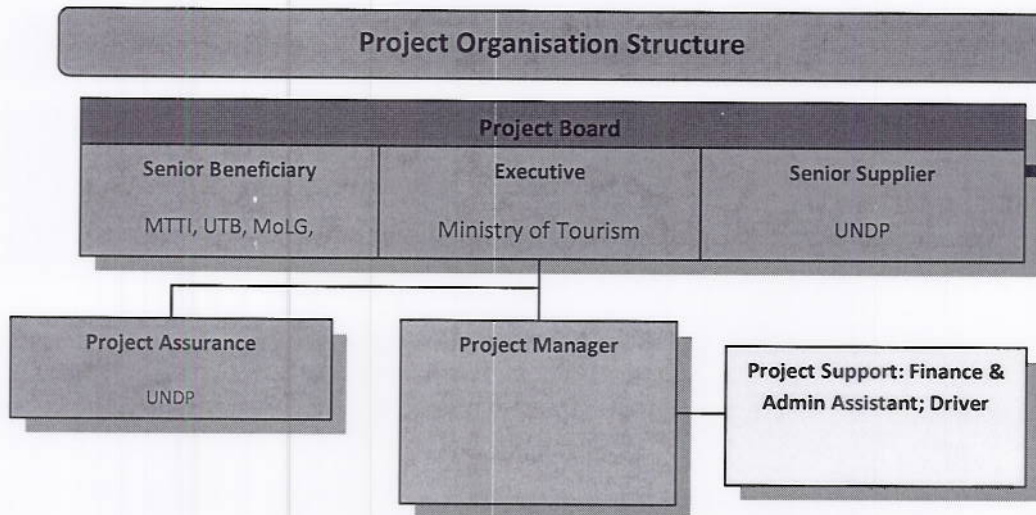
INTENDED OUTPUTS	OUTPUT TARGETS FOR (YEARS)	INDICATIVE ACTIVITIES	RESPONSIBLE PARTIES	INPUTS (USD)
Indicator:	Target 2012 Issues paper on regulatory gaps	Activity Result 3.3: Conduct stakeholder validation workshop to generate consensus on the priority regulatory gaps to be addressed	Ministry of Tourism	50,000
Tourism operational manuals and draft bye laws	Draft tourism regulations prepared	Activity Result 3.4: Draft Tourism Regulations.	UNDP (Consultants)	18,000
Baseline	Target 2013 Tourism guidelines prepared	Activity Result 3.5: Prepare tourism guidelines		18,000
Existing regulations and guidelines are inadequate to give effect to the operationalization of the Tourism Act (2008)	key stakeholders sensitized in the application of the new guidelines.	Activity Result 3.6: Undertake sensitization of key stakeholders in the tourism industry in the application of the guidelines (through 2 regional workshops).		50,000
	Revised guidelines published and disseminated	Activity Result 3.7: - Support publication and dissemination of the guidelines and regulations.		30,000
		SUB-TOTAL		214,000
Management, Monitoring, Audit and Evaluation	Target 2011 - 2013	Activity Result: Management support inputs provided	UNDP	50,000
		- Monitoring and evaluation		40,000
		- Audit		150,000
		- Project staff		
		- National and international technical advisers (costed in the respective activities - above)		
		- Project vehicle		50,000
		- Fuel & maintenance		40,000
		- Office equipment		40,000
		SUB-TOTAL		370,000
		GRAND TOTAL		999,000

4. ANNUAL WORK PLAN

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5. MANAGEMENT ARRANGEMENTS

The project will be implemented by the Ministry of Tourism, Wildlife and Antiquities under the following management arrangements, which are summarised in the organisational structure below:



The Project Board

The Project Board is the highest decision making body for the project. It will be constituted of representatives from the Ministry of Tourism Wildlife and Antiquities; Ministry of Trade, Industry and Cooperatives; Ministry of Local Government; Uganda Tourist Board; Private Sector; Ministry of Internal Affairs (Immigration); Ministry of Foreign Affairs, and UNDP. The Board will be chaired by the Ministry of Tourism, Wildlife and Antiquities. The final composition of the Board will be concluded at the Project Inception meeting. The project Board represents the interests of three roles, namely the Executive, the Senior Supplier, and the Senior User or Beneficiary;

- i) The Executive— will be held by the Ministry of Tourism, Wildlife and Antiquities. The Executive's function is to represent project ownership on the Board. The Executive will be responsible for overall management and quality of the project, ensuring that the project is focused throughout its life time on achieving its outputs in accordance with the stated outcomes in the UNDP Country Programme Action Plan (CPAP) and consistent with the identified objectives of the National Development Plan.
- ii) The Senior Supplier - UNDP will represent the interests of the parties which provide funding and technical expertise to the project. The Senior Supplier's primary function within the Project Board is to provide guidance regarding the project including appraisal and approval of the project(s), oversight of project performance and quality assurance.

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iii) The Senior User or Beneficiary - will be responsible for representing the interests of all those who benefit from the project activities and outputs. These include the MTI, UTB, Ministries of Internal and Foreign Affairs, and the Private Sector. The senior user will promote and maintain the project's focus on expected outputs, making sure that the project's progress towards the outputs remains consistent from the beneficiary perspective. They will also monitor implementation of project activities and identify risks to the attainment of the project outputs and expected results throughout the project period.

The Project Board will steer the project to make sure that the project allocates the available resources effectively and efficiently to achieve the stated outputs. It will also ensure high level support and participation of key stakeholders, especially the related ministries, local governments and the private sector, and build synergies with other related institutions that affect or are affected by the results of the project. The membership and specific TORs for the Project Board will be reviewed and finalized during the inception phase.

Project Assurance

The role of project assurance is to support the project board by carrying out project monitoring to ensure appropriate project management milestones are managed and completed. The project assurance will ensure that quality management procedures of UNDP and project board decisions are followed, and that the project fits into the overall country programme. Project Assurance will be undertaken by the UNDP which will be responsible for monitoring progress towards achievement of project outputs, and overseeing compliance of implementation with UNDP policies, coordinate quarterly and annual reporting including the presentation of work plans and reports to UNDP and the Board.

Project Management

The Project will be implemented by the Ministry of Tourism, Wildlife and Antiquities. The implementation of project activities will be undertaken by a project team headed by the Project Manager, specifically designated or engaged to manage this project. The Manager will be responsible for the day to day implementation of project activities to achieve the specified results including use of inputs to produce outputs as set forth in the Annual Work Plans (AWP) to the required standard of quality and within the specified constraints of time and resources. The project manager will ensure that the project produces its intended outputs and will provide guidance to the project teams, manage finances and prepare progress reports as well as annual reports to be submitted to UNDP and the Board.

The project will be supported by a Finance and Administrative Assistant to undertake key project financial & administrative backstopping and operations and procurement of services as defined in the project work plans. The project will be provided with technical resources such as UNV specialists and/or other experts drawn from the extensive UNDP knowledge resources networks as well as from other sources. These experts will constitute the project technical teams that will work under the guidance of the project manager to implement the activities and deliver the project results. The technical experts will report to the Project Manager who will report to the Implementing Partner. The Implementing Partner will report to the Project Board. In addition the Implementing Partner may contract Responsible Parties (RPs) that will implement some of the activities and components, based on their (RPs) competence and comparative advantages. The Responsible parties will be accountable to the Implementing Partner for the delivery of activities and results relating to their specific components contracted to them.

Project Support

The role of Project Support will be to provide administrative and technical support to the Project Manager as will be required by the needs of the project. It is important to note that Project Support and Project Assurance roles are distinct and separate. This ensures that the independence of Project Assurance.

UNDP Support Services

The UNDP will provide specific services to the project at the request of the Implementing Partner. These services include overseas procurement of project equipment, sourcing and recruitment of UNVs, National and International consultants, as well as arranging of training and fellowships. Where necessary, the UNDP will also provide other services such as direct disbursements, identification of programme personnel, local procurement of goods and services etc. Such services will be provided in accordance with the UNDP regulations, rules and procedures. UNDP costs on these additional services will be recovered from the project.

6. MONITORING AND EVALUATION FRAMEWORK

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following mechanisms:

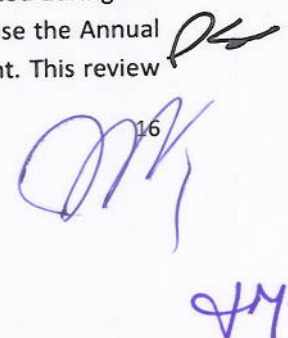
Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in a Quality Management Table.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Project Progress Reports (PPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- A project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

Annual Review Report. An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the Quarterly Progress Report (QPR) covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.

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

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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.

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7. RISK ANALYSIS

Description of Risk	Date Identified	Type	Impact & Probability	Counter Management Response	Owner	Submitted, updated by	Last Update	Status
Fragmentation of project components for implementation ie many institutions selected as responsible parties	21/6/2011	Operational	Inefficiency resulting from co-ordination problems and time consumed	Lead Agency to minimize this risk by setting up strong coordination mechanisms	The manager support UNDP	Lucy Aliguma	24 July 2011	
Hiring Consultancy Services and project support staff	21/6/2011	Operational	Delays in implementation of activities	TORs for Consultants should be developed in early stage of the project	The manager support UNDP	Lucy Aliguma	24 July 2011	
Inadequate technical capacity to implement the activities	21/6/2011	Operational	Project impact not realised	Institutional strengthening should be supported from start of the project improve technical capacity. Expertise from UN WTO and ITC will be sourced.	The manager support UNDP	Lucy Aliguma	24 July 2011	


Limited networking and collaboration among key technical institutions	21/6/2011	Operational	Delays in implementation of activities	Key institutions should be involved right from the inception of the project as well in evaluation of project activities.	The manager support from UNDP project with	Lucy Aliguma	24 July 2011	
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8. ANNEXES

Annex 1: Terms of references

7.1 TORs for the Project Manager

Overall responsibilities: The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the Board. The Project Manager is responsible for day-to-day management and decision-making for the project. The Project Manager's prime responsibility is to ensure that the project produces the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost.

The Implementing Partner will appoint the Project Manager in consultation with UNDP, who should be different from the Implementing Partner's representative in the Outcome Board.

Specific responsibilities would include:

Overall project management:

Manage the realization of project outputs through activities;

Provide direction and guidance to project team(s)/ responsible party (ies);

Liaise with the Project Board or its appointed Project Assurance roles to assure the overall direction and integrity of the project;

Identify and obtain any support and advice required for the management, planning and control of the project;

Responsible for project administration;

Liaise with any suppliers;

May also perform Team Manager and Project Support roles;

Running a project

Plan the activities of the project and monitor progress against the initial quality criteria.

Mobilize goods and services to initiative activities, including drafting TORs and work specifications;

Monitor events as determined in the Monitoring & Communication Plan, and update the plan as required;

Manage requests for the provision of financial resources by UNDP, using advance of funds, direct payments, or reimbursement using the FACE (Fund Authorization and Certificate of Expenditures);

Monitor financial resources and accounting to ensure accuracy and reliability of financial reports;

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Manage and monitor the project risks as initially identified in the Project Brief appraised by the LPAC, 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;

Be responsible for managing issues and requests for change by maintaining an Issues Log.

Prepare the Project Quarterly Progress Report (progress against planned activities, update on Risks and Issues, expenditures) and submit the report to the Project Board and Project Assurance;

Prepare the Annual review Report, and submit the report to the Project Board and the Outcome Board;

Based on the review, prepare the AWP for the following year, as well as Quarterly Plans if required.

Closing a Project

Prepare Final Project Review Reports to be submitted to the Project Board and the Outcome Board;

Identify follow-on actions and submit them for consideration to the Project Board;

Manage the transfer of project deliverables, documents, files, equipment and materials to national beneficiaries;

Prepare final CDR/FACE for signature by UNDP and the Implementing Partner.

7.2 TORS for the Project Board

Overall responsibilities²: The Project Board is the group responsible for making by consensus management decisions for a project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In order to ensure UNDP's ultimate accountability, Project Board decisions should be made in accordance to standards³ that shall ensure best value to money, fairness, integrity transparency and effective international competition. In case a consensus cannot be reached, final decision shall rest with the UNDP Programme Manager. Project reviews by this group are made at designated decision points during the running of a project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when PM tolerances (normally in terms of time and budget) have been exceeded.

Based on the approved annual work plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans. It is the authority that signs off the completion of each quarterly plan as well as authorizes the start of the next quarterly plan. It ensures that required resources are committed and arbitrates on any conflicts within the project or negotiates a solution to any problems between the project and external bodies. In addition, it approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities.

² Source: Guidelines on UNDP Implementation of UNDAF Annual Review Process

³ UNDP Financial Rules and Regulations: Chapter E, Regulation 16.05: a) The administration by executing entities or, under the harmonized operational modalities, implementing partners, of resources obtained from or through UNDP shall be carried out under their respective financial regulations, rules, practices and procedures only to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. b) Where the financial governance of an executing entity or, under the harmonized operational modalities, implementing partner, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, that of UNDP shall apply.

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Composition and organization: This group contains three roles, including:

An Executive: individual representing the project ownership to chair the group.

Senior Supplier: individual or group representing the interests of the parties concerned which provide funding and/or technical expertise to the project. The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project.

Senior Beneficiary: individual or group of individuals representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

Potential members of the Project Board are reviewed and recommended for approval during the LPAC⁴ meeting. For example, the Executive role can be held by a representative from the Government Cooperating Agency or UNDP, the Senior Supplier role is held by a representative of the Implementing Partner and/or UNDP, and the Senior Beneficiary role is held by a representative of the government or civil society. Representative of other stakeholders can be included in the Board as appropriate.

Specific responsibilities:

Defining a project

Review and approve the Initiation Plan (if such plan was required and submitted to the LPAC).

Initiating a project

Agree on Project Manager's responsibilities, as well as the responsibilities of the other members of the Project Management team;

Delegate any Project Assurance function as appropriate;

Review the Progress Report for the Initiation Stage (if an Initiation Plan was required);

Review and appraise detailed Project Plan and AWP, including Atlas reports covering activity definition, quality criteria, issue log, updated risk log and the monitoring and communication plan.

Running a project

Provide overall guidance and direction to the project, ensuring it remains within any specified constraints;

Address project issues as raised by the Project Manager;

Provide guidance and agree on possible countermeasures/management actions to address specific risks;

Agree on Project Manager's tolerances in the Annual Work Plan and quarterly plans when required;

Conduct regular meetings to review the Project Quarterly Progress Report and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans.

Review Combined Delivery Reports (CDR) prior to certification by the Implementing Partner;

⁴ Depending on its composition, the Outcome Board can fulfill the function of the Project Appraisal Committee (LPAC)

Appraise the Project Annual Review Report, make recommendations for the next AWP, and inform the Outcome Board about the results of the review.

Review and approve end project report, make recommendations for follow-on actions;

Provide ad-hoc direction and advice for exception situations when project manager's tolerances are exceeded;

Assess and decide on project changes through revisions;

Closing a project

Assure that all Project deliverables have been produced satisfactorily;

Review and approve the Final Project Review Report, including Lessons-learned;

Make recommendations for follow-on actions to be submitted to the Outcome Board;

Commission project evaluation (only when required by partnership agreement)

Notify operational completion of the project to the Outcome Board.

Executive

The Executive is ultimately responsible for the project, supported by the Senior Beneficiary and Senior Supplier. The Executive's role is to ensure that the project is focused throughout its life cycle on achieving its objectives and delivering outputs that will contribute to higher level outcomes. The Executive has to ensure that the project gives value for money, ensuring a cost-conscious approach to the project, balancing the demands of beneficiary and supplier.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

Ensure that there is a coherent project organisation structure and logical set of plans

Set tolerances in the AWP and other plans as required for the Project Manager

Monitor and control the progress of the project at a strategic level

Ensure that risks are being tracked and mitigated as effectively as possible

Brief Outcome Board and relevant stakeholders about project progress

Organise and chair Project Board meetings

The Executive is responsible for overall assurance of the project as described below. If the project warrants it, the Executive may delegate some responsibility for the project assurance functions.

Senior Beneficiary

The Senior Beneficiary is responsible for validating the needs and for monitoring that the solution will meet those needs within the constraints of the project. The role represents the interests of all those who will benefit from the project, or those for whom the deliverables resulting from activities will achieve specific output targets. The Senior Beneficiary role monitors progress against targets and quality criteria. This role

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may require more than one person to cover all the beneficiary interests. For the sake of effectiveness the role should not be split between too many people.

Specific Responsibilities (as part of the above responsibilities for the Project Board)

Ensure the expected output(s) and related activities of the project are well defined

Make sure that progress towards the outputs required by the beneficiaries remains consistent from the beneficiary perspective

Promote and maintain focus on the expected project output(s)

Prioritise and contribute beneficiaries' opinions on Project Board decisions on whether to implement recommendations on proposed changes

Resolve priority conflicts

The assurance responsibilities of the Senior Beneficiary are to check that:

Specification of the Beneficiary's needs is accurate, complete and unambiguous

Implementation of activities at all stages is monitored to ensure that they will meet the beneficiary's needs and are progressing towards that target

Impact of potential changes is evaluated from the beneficiary point of view

Risks to the beneficiaries are frequently monitored

Where the project's size, complexity or importance warrants it, the Senior Beneficiary may delegate the responsibility and authority for some of the assurance responsibilities (see also the section below)

Senior Supplier

The Senior Supplier represents the interests of the parties which provide funding and/or technical expertise to the project (designing, developing, facilitating, procuring, implementing). The Senior Supplier's primary function within the Board is to provide guidance regarding the technical feasibility of the project. The Senior Supplier role must have the authority to commit or acquire supplier resources required. If necessary, more than one person may be required for this role. Typically, the implementing partner, UNDP and/or donor(s) would be represented under this role.

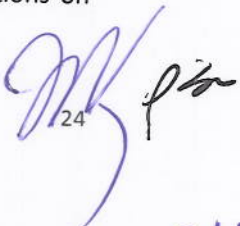

Specific Responsibilities (as part of the above responsibilities for the Project Board)

Make sure that progress towards the outputs remains consistent from the supplier perspective

Promote and maintain focus on the expected project output(s) from the point of view of supplier management

Ensure that the supplier resources required for the project are made available

Contribute supplier opinions on Project Board decisions on whether to implement recommendations on proposed changes


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Arbitrate on, and ensure resolution of, any supplier priority or resource conflicts

The supplier assurance role responsibilities are to:

Advise on the selection of strategy, design and methods to carry out project activities

Ensure that any standards defined for the project are met and used to good effect

Monitor potential changes and their impact on the quality of deliverables from a supplier perspective

Monitor any risks in the implementation aspects of the project

If warranted, some of this assurance responsibility may be delegated (see also the section below)

7.3 Roles and responsibilities for the Project Assurance

Overall responsibility: Project Assurance is the responsibility of each Project Board member, however the role can be delegated. The Project Assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed.

Project Assurance has to be independent of the Project Manager; therefore the Project Board cannot delegate any of its assurance responsibilities to the Project Manager. A UNDP Programme Officer typically holds the Project Assurance role.

The implementation of the assurance responsibilities needs to answer the question "What is to be assured?" The following list includes the key suggested aspects that need to be checked by the Project Assurance throughout the project as part of ensuring that it remains relevant, follows the approved plans and continues to meet the planned targets with quality.

- Maintenance of thorough liaison throughout the project between the members of the Project Board.
- Beneficiary needs and expectations are being met or managed
- Risks are being controlled
- Adherence to the Project Justification (Business Case)
- Projects fit with the overall Country Programme
- The right people are being involved
- An acceptable solution is being developed
- The project remains viable
- The scope of the project is not "creeping upwards" unnoticed
- Internal and external communications are working
- Applicable UNDP rules and regulations are being observed
- Any legislative constraints are being observed

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- Adherence to RMG monitoring and reporting requirements and standards
- Quality management procedures are properly followed
- Project Board's decisions are followed and revisions are managed in line with the required procedures

Specific responsibilities would include:

Initiating a project

- Ensure that project outputs definitions and activity definition including description and quality criteria have been properly recorded in the Atlas Project Management module to facilitate monitoring and reporting;
- Ensure that people concerned are fully informed about the project
- Ensure that all preparatory activities, including training for project staff, logistic supports are timely carried out

Running a project

- Ensure that funds are made available to the project;
- Ensure that risks and issues are properly managed, and that the logs in Atlas are regularly updated;
- Ensure that critical project information is monitored and updated in Atlas, using the Activity Quality log in particular;
- Ensure that Project Quarterly Progress Reports are prepared and submitted on time, and according to standards in terms of format and content quality;
- Ensure that CDRs and FACE are prepared and submitted to the Project Board and Outcome Board;
- Perform oversight activities, such as periodic monitoring visits and "spot checks".
- Ensure that the Project Data Quality Dashboard remains "green"

Closing a project

Ensure that the project is operationally closed in Atlas;

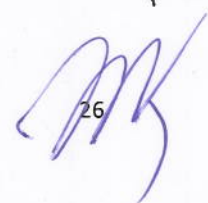
Ensure that all financial transactions are in Atlas based on final accounting of expenditures;

Ensure that project accounts are closed and status set in Atlas accordingly.

7.4 Roles and Responsibilities for the Project support

Overall responsibilities: The 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. It is necessary to keep Project Support and Project Assurance roles separate in order to maintain the independence of Project Assurance.

Specific responsibilities: Some specific tasks of the Project Support would include:

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Provision of administrative services:

- Set up and maintain project files
- Collect project related information data
- Update plans
- Administer the quality review process
- Administer Project Board meetings
- *Project documentation management:*
- Administer project revision control
- Establish document control procedures
- Compile, copy and distribute all project reports
- *Financial Management, Monitoring and reporting*
- Assist in the financial management tasks under the responsibility of the Project Manager
- Provide support in the use of Atlas for monitoring and reporting

Provision of technical support services

- Provide technical advices
- Review technical reports
- Monitor technical activities carried out by responsible parties

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