United Nations Development Programme INDIA

Project Title: Strengthening National Capacities in Tribal Areas

Implementing Partner: Ministry of Tribal Affairs, Government of India

UNDP Strategic Plan Outcome: Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance

UNDP Strategic Plan Output(s): Legal reform enabled to fight discrimination and address emerging issues

UNDAF / CPAP Outcome: Government and civil society institutions are responsive and accountable for improving women’s position, advancing their social, political, economic rights and preventing gender discrimination

PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)

A. State the specific development challenge or gap that this AWP is addressing.
   • Uneven implementation and monitoring of Forest Rights Act (FRA), 2006 results in violation of rights of tribals that are guaranteed to them under these laws, especially to land and forest produce
   • Lack of integration of the differential needs of STs in Tribal Sub Plans (TSPs) by different ministries has resulted in widening of development gap
   • Lack of capacities with local level institutions working on tribal development to voice issues and advocate for their rights and entitlements

B. Select one or more of the below strategies for addressing the above mentioned challenge/gap and describe in the context of this AWP:
   √ Changes in attitudes and access to decision making through awareness raising, brokering, convening
   √ Changes in policies, plans, budgets and legislation through support to national assessment, planning, budgeting, policy making

C. List the possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP.
   • Strengthened national and state-level capacities for monitoring and reporting on implementation of Forest Rights Act
   • Mechanisms and tools available with MOTA and State Tribal Departments for effective designing, planning, and monitoring tribal sub-plans
   • Local level institutions such as Gram Sabhas engaged in tribal welfare are able to build awareness and generate demand for rights and entitlements

D. List the gender issues in this AWP and specific ways in which they will be addressed.
   • Strengthening implementation of Forest Rights Act will enhance women’s access to land, forest produce and livelihood options
   • Designing and planning of TSPs will have concentrated efforts towards provision for holistic empowerment of tribal women in areas such as health, education, livelihood etc.

E. List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed.
   MoTA and State Tribal Welfare/ Development Departments will benefit from global good practices in inclusive development of tribal rights and entitlements.
Project Expenditure

<table>
<thead>
<tr>
<th>Total Project Budget</th>
<th>Expenditure 2013</th>
<th>Budget 2014</th>
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<tbody>
<tr>
<td>3,200,000</td>
<td>401,105</td>
<td>470,000</td>
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Agreed by Ministry of Tribal Affairs:

Agreed by UNDP: Alexandra Solovieva
UNDP Deputy Country Director

21/04/2014
<table>
<thead>
<tr>
<th>Month</th>
<th>Data</th>
<th>Amount</th>
<th>Activity Description</th>
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<tbody>
<tr>
<td>December</td>
<td>7105</td>
<td>7105</td>
<td>Prepare national tribal HHS report, joint activity with MCHA the year ending December 2014.</td>
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<td>September</td>
<td>7122</td>
<td>7122</td>
<td>Research studies to build knowledge base on tribal issues.</td>
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<td>September</td>
<td>7124</td>
<td>7124</td>
<td>Develop training materials for health professionals on tribal health and nutrition self-assessment.</td>
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<td>January 2014</td>
<td>7130</td>
<td>7130</td>
<td>In response to tribal priorities, develop tribal health and nutrition self-assessment.</td>
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<td>October 2014</td>
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<td>Develop tribal health and nutrition self-assessment.</td>
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<td>Develop web-based monitoring system to facilitate updating of tribal health and nutrition self-assessment.</td>
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<td>November 2014</td>
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<td>2222</td>
<td>Develop tribal health and nutrition self-assessment.</td>
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**Planned Activities:**
- Prepare national tribal HHS report, joint activity with MCHA the year ending December 2014.
- Prepare tribal health and nutrition self-assessment and report on tribal health and nutrition self-assessment.
- Research studies to build knowledge base on tribal issues.
- Develop training materials for health professionals on tribal health and nutrition self-assessment.
- Develop tribal health and nutrition self-assessment.
- Develop web-based monitoring system to facilitate updating of tribal health and nutrition self-assessment.
- Develop tribal health and nutrition self-assessment.
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<table>
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<tr>
<th>National skill building strategy for tribal communities</th>
<th>Prepare National Skill building strategy for tribal communities for sustainable livelihood</th>
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<th>UNDP</th>
<th>Core</th>
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<td></td>
<td>Prepare sector specific action plan on skill building for tribal communities in four states (MCG with BAIF)</td>
<td>December 2014</td>
<td>UNDP</td>
<td></td>
<td>72600</td>
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<tr>
<td>Community led model demonstrated on forest resource management for conservation and livelihood generation</td>
<td>Support models on community forest management within the institutional and governance framework of FRA (50 villages in 5 districts) (MCG with KHOJ)</td>
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<td>Project staff salaries and project management expenses including office cost, staff travel etc.</td>
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<td>Development Effectiveness</td>
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<td>Micro assessment costs and other miscellaneous cost</td>
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<td>December 2014</td>
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<td>Core</td>
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II. MANAGEMENT ARRANGEMENTS

Implementing Partner (IP): The project will be implemented by the Ministry of Tribal Affairs (MoTA), Government of India, hereinafter ‘Implementing Partner (IP)’. The Implementing Partner (IP) will assume full responsibility and accountability for the effective use of UNDP (and other) resources and the achievement of the project outcomes and outputs as set forth in the document. The IP will designate a National Project Director (NPD), who will be responsible for overall management, including achievement of planned results, and for the use of UNDP funds through effective process management and well-established programme review and oversight mechanisms. The IP will sign a budgeted Annual Work Plan with UNDP on an annual basis, as per UNDP rules and regulations.

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

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

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

Project Steering Committee: A Project Steering Committee (PSC) will be set up under the project. It will be chaired by the NPD and comprise designated representatives from the MoTA, relevant state governments and UNDP. Other stakeholders/experts in the area will also be invited, if required. The PSC will:
- Provide overall guidance and direction to the project;
- Review the project progress and provide direction and recommendations to ensure that the agreed deliverables are produced satisfactorily according to plans and timelines;
- Review programme expenditures against activities and outcomes; and
- Review, approve and sign Annual Work Plans.
- Provide guidance on new project risks and agree on possible countermeasures and management actions to address specific risks;
- Address project issues as raised by the Project Manager
- Review combined delivery reports prior to certification by the implementing partner;
- Appraise the project annual review report, make recommendations for the next annual work plan, and inform the Outcome Board about the results of the review;
- Assess and decide to proceed on project changes through appropriate revisions;

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

The PSC will delegate day to day management of the AWPs and related decisions to a working group comprising UNDP, Implementing Partner and other stakeholders, as appropriate.

At the programme level, coordination and oversight will be provided by Outcome Board established for each outcome area under the Secretary, Ministry of Tribal Affairs (MoTA) with representation from the relevant line ministries/Institutions. The Outcome Board will meet twice a year.

Project Manager: The IP will designate an official from the MoTA or hire from project funds a Project Manager (PM) and set up a Project Management Team (PMT) headed by the Project Manager. The Project Manager will be responsible for day-to-day management; monitoring and review of project activities; coordination with Responsible Party (ies) and different stakeholders and will be accountable to the NPD and PSC. S/he will ensure that the project produces the results specified in the project document, to the required standards of quality and within specified constraints of time and cost. The Project Manager is responsible for:

- Managing the overall conduct of the project;
- Implementing activities by mobilizing goods and services;
- Checking on progress and watch for plan deviations;
- Ensuring that changes are controlled and problems addressed;
- Monitoring progress and risks;
- Reporting on progress including measures to address challenges and opportunities.
- Be responsible for preparing and submitting financial reports to UNDP on a quarterly basis;
- Manage and monitor the project risks initially identified and submit new risks to the PSC for consideration and decision on possible actions if required; update the status of these risks by maintaining the project risks log;
- Prepare the annual review report, and submit the report to the PSC
- Capture lessons learnt during project implementation – a lessons learnt log can be used in this regard
- Prepare the annual work plan for the forthcoming year (as well as quarterly plans if required).

The Project Manager will function under the guidance of the NPD. The Project Manager will be supported by technical experts in the areas of FRA, TSP and M&E and support staff as part of the Project Management Team (PMT).

Project Management Team (PMT):
A PMT under the oversight of NPD will be established under the project. The PMT will comprise the following:
1. Project Manager - FRA
2. Project Officer – Tribal Sub Plan
3. Project Assistant

Technical experts will be engaged on need based assignment on short term, if and when required.

Project Assurance: Project Assurance will be the responsibility of UNDP. The Assurance role will support the PSC by carrying out objective and independent project oversight and monitoring functions. This will also include a six monthly review by the CPMB and an annual strategic review (in the last quarter of the year) between DEA and UNDP together with the implementing Partner. The review and recommendations of the Outcome Board will feed into the Country Programme Management Board (CPMB) annual strategic review meeting.

During the implementation of the project, the assurance role ensures (through periodic monitoring, assessment and evaluations) that appropriate project management milestones are managed and completed.
The assurance will:

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

The NPD will convene an annual review meeting involving the Implementing Partner and Responsible Parties to review the progress in the previous year and discuss the work plan for the coming year. An independent external review may be conducted through resource persons/groups to feed into this process. The UNDP official responsible for the Project Assurance and the Project Manager will meet on a monthly basis to assess progress of the decisions taken in the PSC.

**Funds Flow Arrangements and Financial Management:**

Funds can be transferred as: a) direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; and b) direct payments to vendors or third parties for obligations incurred by UN agencies in support of activities agreed with implementing Partners. Advance fund transfers shall be requested and released for programme implementation periods not exceeding three months. Reimbursements of previously authorized expenditures will be requested and released quarterly or after completion of activities. The UNDP shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the authorized amounts. Also Partner needs to report interest earned immediately to UNDP through next submitted FACE Form.

The Implementing Partner may request UNDP to provide support services for project implementation. These services may include procurement, recruitment, purchase of goods and services, and organisation of training activities and workshops. UNDP recruitment and procurement rules and regulations will apply for the services provided. All direct costs which are attributable to the provision of these services (direct project costs) will be charged to the project in accordance with in accordance with the policies decided by UNDP decided by UNDP’s Executive Board.

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

**Audit:** Also 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.

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

III. Monitoring Framework and Evaluation
In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

A. Monthly Progress Report: The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These monthly reports will be provided in the format provided at Annex 1. These monthly reports will be consolidated, as required, by UNDP’s quality assurance team for progress review meetings.

B. One Time Risk Log: Based on the initial risk analysis, a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation. This will be completed by UNDP project assurance team in consultation with the Implementing partner. Use the standard Risk Log template.

C. Quarterly Financial Report: The Implementing Partner (IP) will make use of the Funding Authorization and Certificate of Expenditures (FACE) to request for advances and report on expenditures made on a quarterly basis, or more frequently if agreed. The implementing partner must submit the FACE at the end of each quarter, within the first 10 days of the following quarter. Together with the FACE, the project has to send a copy of the bank statement as up to the date of the end of the period reported and the itemized cost estimates of the activities to be funded. The FACE form has to be certified by the designated official from the IP.

D. In case a project Evaluation is required, please indicate the justification and proposed timing for the evaluation. A project evaluation is required only when mandated by partnership protocols such as GEF. However, a project evaluation may be required due to the complexity or innovative aspects of the project.

E. Annual Review Report: An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. The reporting format at Annex 2 will 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.

IV. Legal Context
Consistent with the above Supplemental Provisions, the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:

a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;

b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall
be deemed a breach of the Implementing Partner’s obligations under this Project Document [and the Project Cooperation Agreement between UNDP and the Implementing Partner]².

The Implementing Partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm. This provision must be included in all sub-contracts or sub-agreements entered into under/further to this Project Document.

² Use bracketed text only when IP is an NGO/GO
<table>
<thead>
<tr>
<th>Year</th>
<th>Implementing Partner</th>
<th>Project Title</th>
<th>Contributions to CPAF 5 Year Target</th>
<th>CPAF Outputs Indicators</th>
<th>CPAF Outputs Outcome</th>
<th>UNDAF / CPAF Outcome</th>
<th>Key area of UNDP Strategic Plan</th>
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Annex 2 – Annual Progress Report Format
Annex 3

Agreements: as applicable, any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs\(^3\) (where the NGO is designated as the “executing entity”) should be attached.

Annex 4

Capacity Assessment: as applicable, results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

Annex 5 - Guidance checklists

FREQUENTLY ASKED QUESTIONS ON PROGRAMME AND PROJECT MANAGEMENT (PPM) – includes gender and capacity development
https://intranet.undp.org/global/popp/ppm/Pages/FAQs-on-PPM.aspx?#_Toc316481178

CHECKLIST FOR REVIEW OF PROJECT DOCUMENTS – includes gender

ENVIRONMENTAL AND SOCIAL SCREENING PROCEDURE FOR UNDP PROJECTS

PROGRAMME DESIGN QUESTIONS FOR SCALING UP

PRINCIPLES UNDERLYING THE IDEA OF HUMAN DEVELOPMENT
http://www.in.undp.org/content/dam/india/docs/principles-underlying-the-idea-of-human-development.pdf

\(^3\) For GEF projects, the agreement with any NGO pre-selected to be the main contractor should include the rationale for having pre-selected that NGO.