United Nations Development Programme INDIA

Project Title: Strengthening Public Administration and Governance
Implementing Partner: Department of Administrative Reforms and Public Grievances, Ministry of Personnel, Public Grievances and Pensions, GoI
UNDP Strategic Plan Outcome: Institutions enabled to deliver universal access to basic services
UNDP Strategic Plan Output(s): Core functions of government
UNDP Strategic Plan Indicators:
UNDAF / CPAP Outcome: Governance systems are more inclusive, accountable, decentralized and programme implementation more effective for realisation of rights of marginalized groups, especially women and children

PROJECT DESCRIPTION (NOT MORE THAN 1/2 PAGE)

A. State the specific development challenge or gap that this AWP is addressing.
A changing environment, rising aspirations of the people, to seek greater accountability and improved efficiency and effectiveness and changing role of the Government have necessitated administrative reforms in India. Administrative reforms needs to keep pace with the rapid development of the country, particularly to ensure distribution of growth benefits to a large number of marginalized and disadvantaged people. There is also a need for associated simplification of rules and procedures, business process re-engineering and change management. While Indian states and district governments have come up with innovative solutions and have implemented best practices in public service delivery and public administration, including through the use of ICT and e-governance, these experiences have not been documented in a systematic manner, nor are there mechanisms to support states in adapting and replicating such best practices. As a result, states don’t benefit and learn from such experiences of other states and often re-invent the wheel when it comes to finding solutions to improve service delivery and administrative efficiency of programmes. Currently, there are hardly any analytical studies that attempt to highlight factors responsible for poor service delivery that impinge on development and social indicators for the marginalised people. Similarly, there is no documentation or analysis as to why some best practices that were rewarded or recognized a few years back have disappeared, or have degenerated without making any permanent impact on administrative productivity.

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
☐ Changes in the lives of individuals and communities through implementation for inclusive development

C. List the possible improvements in the capacities of institutions, individuals and systems that will occur as a result of this AWP.
1. Improved capabilities of institutions and individuals responsible for public administration and governance
2. Deeper understanding of administrators on factors that contribute to success or failure of service delivery under government programmes
3. Increased cooperation in the area of Public Administration globally including the South-South Context

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

E. List the South-South cooperation opportunities in this AWP and specific ways in which they will be addressed.
The Project will facilitate mutual learning and experience sharing on public administration reforms and best practices based on specific request from countries. The project partners will also be assisted in learning from and adapting good practices on public administration, governance & other relevant themes.

<table>
<thead>
<tr>
<th>Atlas Project ID:</th>
<th>00074680</th>
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<tbody>
<tr>
<td>Atlas Output ID:</td>
<td>00087356</td>
</tr>
<tr>
<td>Local PAC meeting date:</td>
<td>1 Oct 2013</td>
</tr>
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<td>Start date:</td>
<td>1 Oct 2013</td>
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<tr>
<td>End Date</td>
<td>31 Dec 2017</td>
</tr>
<tr>
<td>Implementation modality:</td>
<td>NIM</td>
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<td>2015 AWP budget:</td>
<td>USD 150,000</td>
</tr>
<tr>
<td>- Regular:</td>
<td>USD 150,000</td>
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<tr>
<td>- Donor:</td>
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<td>- Government:</td>
<td>USD</td>
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<tr>
<td>- In-kind Contributions (GEF):</td>
<td></td>
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## Project Expenditure

<table>
<thead>
<tr>
<th>Total Project Budget</th>
<th>Exp 2013</th>
<th>Exp. 2014</th>
<th>Budget 2015</th>
<th>Budget 2016</th>
<th>Budget 2017</th>
</tr>
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<tbody>
<tr>
<td>USD 1 million*</td>
<td>US 8,685</td>
<td>USD 176,766</td>
<td>USD 150,000</td>
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* Subject to i) availability of UNDP core resources, ii) initiation of Development Support Services in 2015 and iii) availability of budget from Gov (DARPG) from 2015

Agreed by (Implementing Partner):

Agreed by UNDP:

Jaco Cilliers  
Country Director

[Signature]
Replication/adoptions of global best practices in online citizen-centric services by aiming to make India among the top ten countries, providing citizen services through e-governance.

<table>
<thead>
<tr>
<th>ANNUAL OUTPUTS 2015</th>
<th>INDICATIVE ACTIVITIES</th>
<th>PERIOD OF ACTIVITY</th>
<th>RESPONSIBLE PARTY</th>
<th>PLANNED BUDGET</th>
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</thead>
<tbody>
<tr>
<td><strong>Output: 1</strong></td>
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<td></td>
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<tr>
<td>Analysis and Methodologies for Adoption of Global Best Practices in e-Governance with focus on Citizens Centric Online Services</td>
<td>UNDESA’s Mission on e-Gov Development Index/ Global On-line Services Practices</td>
<td>August</td>
<td>DARPG</td>
<td>UNDP</td>
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<tr>
<td></td>
<td>Stakeholders Consultation and Workshop on e-Gov Citizens Centric Services</td>
<td>August</td>
<td>DARPG</td>
<td>UNDP</td>
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<tr>
<td></td>
<td>Develop an Action Plan for e-Governance with time bound deliverables focussing mainly on On-line Delivery of Services to Citizens</td>
<td>August - October</td>
<td>DARPG</td>
<td>UNDP</td>
</tr>
<tr>
<td><strong>Output: 2</strong></td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td>International Symposium on e-Governance with focus on On-line Citizen Centric Delivery of Services</td>
<td>Organize an International Symposium inviting participants from the projects that have won UN Public Service Awards in the past for a discussion on gap assessment in the current e-governance initiatives of DARPG</td>
<td>November - December</td>
<td>DARPG</td>
<td>UNDP</td>
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<tr>
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<th>Sub Total (USD)</th>
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<tr>
<td></td>
<td>Direct Project Costs (DPC)</td>
<td>6,945</td>
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<tr>
<td></td>
<td>Development Effectiveness (DE)</td>
<td>4,166</td>
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<tr>
<td><strong>AWP GRAND TOTAL IN USD</strong></td>
<td>150,000</td>
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II. MANAGEMENT ARRANGEMENTS

The project will be implemented by the Department of Administrative Reforms and Public Grievances (DARPG), Ministry of Personnel, Public Grievances and Pension, Government of India with UNDP providing implementation support services. DARPG, as the implementing Partner, will assume full responsibility and accountability for the effective use of UNDP and other resources and the achievement of the project outcomes and outputs at all levels as set forth in the document. The DARPG will be responsible for the overall implementation of the project at national level. The Secretary, DARPG will be the National Project Director (NPD), and 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 DARPG will sign a budgeted Annual Work plan (AWP) with UNDP to achieve planned results.

The accountability of DARPG is for:

- Reporting, fairly and accurately, on project progress against agreed work plans in accordance with the reporting schedule and formats included in the project document/Annual Work Plans;
- Maintaining documentation and evidence that describes the proper and prudent use of project resources in conformity to the project document and in accordance with applicable regulations and procedures. This documentation will be available on request to project monitors (project assurance role) and designated auditors;
- Meeting the targets and the outputs outlined in the approved and signed annual work plan;
- Approving and signing the Combined Delivery Report (CDR) at the end of the year;

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

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

Oversight of project level activities will be provided by the Project Steering Committee (PSC) chaired by the National Project Director. The Joint Secretary will be the Member Secretary for the PSC. The PSC will be responsible for approving the budgeted AWPs and providing overall guidance and oversight. The PSC will meet twice a year although efforts will be made to convene quarterly meetings to ensure regular follow-up.

In addition, the PSC will be responsible for regular project reviews to ensure that the agreed deliverables are produced satisfactorily according to plans and timelines; assess and decide to proceed on project changes through appropriate revisions including budget revisions; and arbitrate on any conflicts within the project or negotiate a solution to emerging problems.

In order to ensure UNDP’s ultimate accountability, PSC decisions will be made in accordance with standards that shall ensure management for development results, best value money, fairness, integrity, transparency and effective international competition. In case a consensus cannot be reached within the 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 DARPG and UNDP will be jointly responsible for achieving outcome level results. The PSC will appraise the project annual review report, make recommendations for the next annual work plan, and inform the Outcome Board (established for the Governance Outcome Area) about the results of the review.
The PSC may delegate day to day management of the AWPs and related decisions to a Working Group comprising DARPG, UNDP and other stakeholders, as appropriate. The Working Group will be chaired by the Additional Secretary (AR&PG) and will comprise representatives of DARPG, UNDP and other stakeholders (as necessary) can meet as often as it deems necessary. The Working Group will be responsible for regular project monitoring, project expenditures and provide direction to ensure that the agreed deliverables are produced satisfactorily according to plans; and address project issues as raised by the Project Manager. The decisions of the Working Group will be ratified by the PSC.

At the programme level, coordination and oversight will be provided by the Outcome Board established for Governance outcome area. The Outcome Board will meet at least once a year. The review and recommendations of the Outcome Board will feed into the Country Programme Management Board (CPMB) annual strategic review meeting.

The project results will be reviewed at the Country Programme Management Board (CPMB) comprising DEA and UNDP. The oversight will consist, at a minimum, of a six monthly review (at the end of the second quarter) and an annual strategic review (in the last quarter of the year) between DEA and UNDP, together with Implementing Partners. The recommendations from the annual review will be used to update and adjust the annual workplan and budgets for the coming year, if required.

The DARPG 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. These entities are accountable directly to the DARPG in accordance with the terms of their agreement or contract with the DARPG. UNDP could be invited as a technical expert in selection of these entities.

**Project Management Team (PMT):**

Project Team requirements will be mutually agreed upon between DARPG and UNDP. A Project Management Team (PMU) headed by a full-time Project Manager will be established under the project for national level activities being implemented by DARPG. The full-time Project Manager will be recruited on project funds for the day-to-day management, monitoring and review of project activities, coordination with Responsible Parties and different stakeholders at national and state level. The Project Manager will lead the team comprising Project Assistant and Subject Matter Experts which will be recruited from time to time on short term basis as required. The Project Manager will be responsible for the day-to-day management of the project and will function under the guidance of the NPD. 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;
- Regular progress reporting to the PSC;
- Ensuring that changes are controlled and problems addressed;
- Monitoring progress and risks;
- Reporting on progress including measures to address challenges and opportunities;
- Coordinate the Project activities including the preparation of Annual and Quarterly Work Plans, Budget, Financial Reports, etc;
- Capture lessons learnt during project implementation – a lessons learnt log can be used in this regard
- Prepare the annual review report, and submit the report to the PSC.

**Project support** role provides project administration, management and technical support to the Project Manager as required by the needs of the individual project or Project Manager with the following responsibilities:

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

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

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

UNDP (Project Assurance), in collaboration with the NPD and the Project Manager, will convene an annual review meeting involving the Implementing Partners and Responsible Parties to review the progress in the previous year and approve the work plan for the coming year. The DARPG will conduct review meetings involving the Implementing Partners and Responsible Parties to review the progress in the previous year and discuss the work plan for the coming years. An independent external review may be conducted through resource persons/groups to feed into this process. Project Assurance and Project Manager will meet quarterly (or whenever guidance/decision is required).

Funds Flow Arrangements and Financial Management

a) Funds will be transferred by UNDP as (i) direct payment to vendors or third parties for obligations incurred by the DARPG on the basis of requests signed by the designated official of the DARPG; and (ii) direct payment to vendors or third parties for obligations incurred by UN Agencies in support of activities agreed with DARPG.

b) The DARPG may request UNDP to provide support services for the project implementation. These services known as direct project costs (DPC) will include procurement, recruitment, purchase of goods and services, and organization of training activities and Workshops. UNDP recruitment and procurement rules and regulations will apply for all DPC as well as UNDP rates and salary scales. Direct project costs including development effectiveness will be recovered in accordance with the policies decided by UNDP’s Executive Board.

c) Where, UNDP does the procurement of goods and services, relevant rules and regulations of UNDP will apply; and
d) Where, the DARPG procures goods / services, etc. GFRs / DFPRs / Government of India rules and regulations will apply

**Interest Clause:** Any interest accrued on the project money during the project cycle will be ploughed back into the project in consultation with the DARPG and UNDP and project budgets will stand revised to this extent. In case there is no scope for ploughing back, the interest will be refunded to UNDP.

**Development Support Services**
The GoI-UNDP CPAP 2013-2017 envisages that as a contribution to the programme, Government sharing and support arrangements, including the use of service-provision models, will be pursued, and the appointment of dedicated human resources will be made for the implementation of nationally implemented projects. As stipulated in the approved CPAP, at the request of the Government, UNDP will provide development support services (DSS) with a view to supporting administrative efficiency and developing capacities of Government agencies, including procurement support services, with requisite professional skills, personnel and technical resources and with applicable UNDP’s standard management fee. Under this project, DSS will be used starting 2015 including a range of policy, knowledge, technical assistance, procurement and recruitment support services as desired by DARPG.

**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. 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.

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**III. Monitoring Framework and Evaluation**

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

A. **MONTHLY PROGRESS REPORT:** The Implementing Partner, in consultation with the project teams, will provide brief monthly updates on progress against planned activities and budgets. These
monthly reports will be provided in the format provided 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. A terminal EVALUATION will be undertaken in the last year of project implementation with a view to capture the effectiveness, efficiency, inclusiveness and sustainability of the project interventions.

D. ANNUAL REVIEW REPORT: An Annual Review Report shall be prepared by the Project Manager and shared with the Project Steering Committee. The reporting format at Annex 2 will used to provide brief description of results achieved in the year against pre-defined annual targets.

E. 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 Steering Committee 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. In the last year, the annual review will be the final evaluation of the project and this will involve all key project stakeholders.

IV. Legal CONTEXT -- CLICK HERE FOR THE STANDARD TEXT.

V. ANNEXES
Annex 1 – Monthly progress report format

<table>
<thead>
<tr>
<th>Annual Outputs</th>
<th>Planned activities</th>
<th>Month of completion</th>
<th>Responsible party</th>
<th>Budget</th>
<th>Monitoring framework</th>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Amount</td>
<td>Cumulative expenditures</td>
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<td>3</td>
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</table>

**TOTAL IN USD**
Annex 2 – Annual progress report format

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

Annex 3 - Agreements: as applicable, any additional agreements, such as cost-sharing agreements, project cooperation agreements signed with NGOs (where the NGO is designated as the implementing partner) 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
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