

United Nations Development Programme

**PROJECT DOCUMENT****INDIA**

Project Title: Technical Support to Centre for Public Policy & Good Governance in accelerating Economic Growth and Fast-tracking SDGs in Uttarakhand Development Project

Project Number (Award ID): 00110393

Project Number (Quantum Output ID): 00117158

Implementing Partner: UNDP

Start Date: 23-09-19

End Date: 15-02-23

PAC Meeting date: 23-07-19

Brief Description

Uttarakhand was formed in November 2000 by carving out the 13 hill-districts of Uttar Pradesh. Formerly named Uttaranchal, Uttarakhand became the 27th state of India after separation from Uttar Pradesh; Dehradun was named the capital. Uttarakhand's location has strategic significance because part of its borders constitutes the Northern boundary of the country. The state shares borders with Tibet in the North and Nepal in the East, inter-state boundaries with Himachal Pradesh in the West, Northwest and the Gangetic plains of Uttar Pradesh in the South and Nepal. Uttarakhand has diverse geographical features ranging from snow-capped mountain peaks in the North to tropical forests in the South; its climate and vegetation vary accordingly. Hindi, Garhwali and Kumaoni are commonly spoken in the state. English is the medium of education in many of its schools.

The State of Uttarakhand is an "Aspiring" state in the achievement of Sustainable Development Goals as categorized by Government of India, Uttarakhand is a resource rich State which requires clear strategies & action plans to effectively utilise the resources and emerge as a performer. The State also needs support in fast-tracking achievement of the Sustainable Development Goals. The State requires technical support in Awareness building, Innovations, Localisation & Integration and finally concurrent monitoring. UNDP proposes to offer technical support to Department of Planning through experts and curated activities to fast-track the agenda.

Government of Uttarakhand has initiated the process of SDG implementation and has nominated a nodal department for handholding the SDG agenda in the State. The Directorate of Economics & Statistics, Department of Planning has come up with a vision document focusing on sectoral growth aligned with SDGs. The State is in the process of finalization of indicators and preparation of the framework for implementation of the SDG agenda. Planning department has conducted Mapping of State Depts. programmes/schemes and an action Plan for implementation of SDGs under preparation. State has tentatively decided to adopt the National Indicator Framework for monitoring of SDGs. The Department of Planning/ Directorate of Economics & Statistics (DES) is the nodal department for collection, validation and analysis of data. State has emerged as front runner on various development sectors and has the potential of emerging as a model for other States in actualization of the Peoples Agenda 2030. Planning Department has taken keen interest in initiating the localization of the agenda and is looking forward for technical associations.

In spite of higher Growth rate of 6.8%¹ (2017-18) the state has increasing un employment rate. While poverty levels in Uttarakhand are lower than in other states, pockets within the state display a high incidence of poverty, and consumption inequality is increasing. There is a need to fast-track the growth in

¹Ministry of Statistics

(http://www.mospi.gov.in/sites/default/files/press_releases_statements/StatewiseDomesticProduct_3aug18.xls)

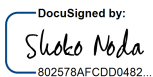
**PROJECT DOCUMENT****INDIA**

sectors identified by the State such as Environment & Climate Change, Health, Education, Gender, Value Chain etc. The State is bestowed with a Centre for Public Policy & Good Governance (CPPGG) which has the mandate to support the development planning and policy preparation in the State.

Government of Uttarakhand has partnered with UNDP to set up a PMU in Centre of Public Policy and Good Governance to support in terms of technical resource in key sectors which needs a rejig to ensure that these sectors perform well and contribute to the growth of the State. UNDP will also support the State Government in technical empowerment of the Centre for Public Policy & Good Governance, Uttarakhand by recruiting sectoral experts in mutually agreed sectors which are beneficial for the economic growth of the State and manage the policy development for fostering economic growth and inclusive development through SDGs, under the leadership and guidance of Secretary planning.

<p>Contributing Outcome (UNSDCF): UNSDCF Outcome 6: By 2027, a strengthened and more coordinated, inclusive and accountable governance system is in place at the national and local levels enabling all people, especially most marginalized and vulnerable, to be protected, empowered, engaged, and enjoy human rights and social justice, and lead their lives with respect and dignity.</p> <p>Indicative CPD Output(s) : Output 1.1: Government is better able to plan, implement, monitor and finance to accelerate progress towards the SDGs.</p> <p>Gender marker²: GEN2</p>	Total resources required:	USD 822,344 (INR 5,90,27,842)²		
	Total resources allocated:	USD 822,344 (INR 5,90,27,842)		
		UNDP TRAC:		
		Donor:		
		Government:	USD 822,344 (INR 5,90,27,842)	
		In-Kind:		
	Unfunded:	Nil		

Agreed by (signatures)³:

Government	UNDP
Name: Designation:	 Name: Shoko Noda Resident Representative, UNDP India
Date:	Date: 15 September 2022

² The INR budget amount mentioned in the LoA is 5,90,27,842. UN Operational Rate of Exchange at the time of its signature (Sept 2019=71.78) is applied throughout this document.

³ Note: Adjust signatures as needed

²The Gender Marker measures how much a project invests in gender equality and women's empowerment. Select one for each output: GEN3 (Gender equality as a principle objective); GEN2 (Gender equality as a significant objective); GEN1 (Limited contribution to gender equality); GEN0 (No contribution to gender quality)



PROJECT DOCUMENT

INDIA

DEVELOPMENT CHALLENGE (1/4 PAGE – 2 PAGES RECOMMENDED)

Uttarakhand is one of the fastest growing states in India and has witnessed massive growth in capital investments due to a conducive industrial policy and generous tax benefits ever since its formation in November 2000. The state's GSDP increased at a compound annual growth rate (CAGR) of 16.03% during 2004-05 to 2015-16. Blessed with abundant natural resources favoring sectors like tourism, forestry and hydropower, the State also has agro-climatic conditions which support horticulture-based Industries. Industry accounts for close to 50% of the state domestic product. The sectors of Tourism, Horticulture including hill agriculture, aromatic and medicinal plants, and Small Hydro-power (up to 25 MW), have been identified as growth drivers, while the IT sector has been seen as a sector that acts as an enabler. MSME continues to be the linchpin for the entire state as far as employment generation is concerned.

However, the district wise disaggregated data reveals a skewed pattern of development. Recent estimates reveal that Per capita income (measured in terms of per capita net district domestic product) in Bageshwar, Champawat, Tehri Garhwal and Almora districts is almost half of that in Dehradun and Haridwar. Most of the economic opportunities tend to concentrate in plain areas of the State, leading to huge income inequalities across the hill and plain districts of the State. The state economy has made healthy progress since its inception and in the recent past, between 2011-12 and 2017-18, has maintained a high annual rate of growth (at constant prices) of GSDP at 7 % or above for most years. The advance estimates for per capita income in the state (at constant 2011-12 prices) for 2017-18 is Rs. 161,102, exceeding the national average of Rs. 112,764 by a considerable margin. The state economy is characterized by a high share of Secondary sector at around half of the Gross Value Added (49.74%) of the state at current prices, followed by the share of Tertiary sector at 38.41 % and lastly the Primary sector at a meagre 10.5 % according to 2017-18 Advance Estimates. During 2011-12 to 2017-18, the tertiary sector maintained a growth rate of above 6.5 %. The secondary sector, too, exhibited healthy growth in this period.

The GSDP of Uttarakhand is Rs 2.14 trillion (2017-18) which is almost double of Rs 1.15 trillion registered in 2011-12. The state's economic growth is mainly driven by the non-farm sectors of the economy. Consumption inequality has been increasing in the state, especially in urban areas. The Goods & Service Tax regime has subsumed all other tax systems and after the initial hiccups, the State is also in the stable path of tax collection. The digitization efforts are ongoing and the networking of all parts of the State also has progressed considerably. Industrial growth in the State hasn't picked up even after the announcement of responsible business attractive policies. This in turn affects the job creation in the State. Infrastructure is a key driver for the economic growth of Uttarakhand. There is a need for significant push by providing incentives and financial supports also. The Ease of Doing Business in the State also needs to be looked into.

Large numbers of Uttarakhand's people are shifting away from farm jobs to other kinds of work. As a result, today, the share of those engaged in non-farm work in Uttarakhand is similar to the national average. However, the overall job growth in the state has been negative since 2005. Moreover, the share of workers with salaried jobs remains quite low. The non-farm sectors of Uttarakhand's economy are not creating enough jobs to absorb the growing size of its population that is not in school. This is especially so for the state's women, who's participation in the labor force has been declining since 1994.

Some of Uttarakhand's social groups have experienced more progress than others. While all social groups have experienced a similar pace of poverty reduction after 2005, some among them, mainly the Scheduled Castes, stand out for their higher levels of open defecation and lower access to drinking water than others.



PROJECT DOCUMENT

INDIA

In addition, social groups differ in their levels of schooling and access to salaried jobs, with those from the General category outperforming others.

Health issues in Uttarakhand have shown mixed progress. While the state's infant mortality rate, which is already lower than the national average, is declining, malnutrition levels among most households remain high. And although open defecation is more prevalent among the poor, the overall rates in Uttarakhand are lower than in most other Indian states. As for education, more of Uttarakhand's adults have completed secondary school than in many other states, and a larger share of its children are now in school than before. But, while it is heartening to note that the state ranks high on learning outcomes, these levels have stagnated in recent times. Incidentally, enrolment in the state's public school remains high, especially among the low-income households.

Uttarakhand's women face many barriers to progress. The state's child sex ratio, already lower than in most other states, is getting worse. By contrast, maternal mortality, which is among the highest in the country, is improving. While more adult women in Uttarakhand have completed secondary school than the national average, they lag behind the state's adult men in schooling. Today, more and more of the state's women are withdrawing from the labour force. This is especially true in rural areas where women predominantly work in farming. Very few urban women work but, where they do, the type of jobs they hold are similar to those held by men.

Uttarakhand also known as the land of Gods (Devbhoomi) is bestowed with lot of advantages. Its close proximity to the national capital of Delhi which is a leading market in the country allows it to utilise the same. State has abundant natural resources with forests and hills which supports in tourism and the vast water resources provide an economical power source. It has got a stable political environment which is to the core development oriented. The State has a dynamic pool of human resources which as of now migrates to national capital and other regions and if tapped properly, this will emerge as a boon for the State. The business-friendly policies and other incentives such as low interest rates, vibrant business environment and availability of land etc are very conducive. State has got two airports and there is wide network of roads across the depth and breadth of the State providing easy access to all regions.

Certain sectors need to be brought to the State such as pharmaceuticals. The resource rich State can attract major investments in this sector. The hydro power generation sector also needs to be relooked into by ensuring capacity additions, zero emission, and further expansion of micro and mini hydels.

I. STRATEGY (1/2 PAGE - 3 PAGES RECOMMENDED)

Project Strategies	Components
<p>Strategy 1 – Technical support to CPPGG for boosting Economic Growth UNDP will recruit technically sound sectoral experts in Centre for Public Policy & Good Governance and provide adequate training and exposure visits and will equip them to</p>	<p>1.1 CPPGG - Policy for Green Growth: Initiating Research, Preparation of Strategy Papers on challenges faced by Environment and pursuant climate change implications while factoring in the need of a Green Growth in the State.</p> <p>1.2 CPPGG- Policy for Ensuring Entrepreneurship Development and Placement Assistance: Initiating Research, Preparation of Strategy Papers on challenges faced by employment sector and pursuant implications which arrests the growth rate of the State to chalk out a new entrepreneurship strategy and placement for trainees.</p>



PROJECT DOCUMENT

INDIA

<p>perform as policy advisers for the State Government. The Specialists will prepare sector wise strategy papers and implementable action plans for all relevant growth sectors.</p> <p>Strategy 2 – Technical support to CPPGG for fast-tracking SDGs SDG Cell will be revamped to achieve the following Components in the next 3 years focusing on specific outputs and activities and will be provided with technical support on six sectors that will provide an impetus to the concerned sectors</p>	<p>1.3 CPPGG-Policy for Digital drive by initiating Management Information Systems: Initiating Research, Preparation of Strategy Papers on challenges faced by education sector, agriculture and other departments in ensuring real-time reporting and making informed decisions for human development in the State.</p>
	<p>1.4 CPPGG-Policy for Sustainable Livelihoods and elimination of Poverty: Initiating Research, Preparation of Strategy Papers on challenges faced by Livelihood sector and breaking the vicious circles of poverty to lead the State into a developed one.</p>
	<p>1.5. CPPGG – Support for Disaster management activities including resilience building in the disaster-prone areas: Implementation of the Sendai Framework, capacity building of the public on disaster resilience creation and enhancing the community level preparedness measures in the state.</p>
	<p>2.1 SDG - Build awareness and capacity of all stakeholders around SDG VISION of Uttarakhand and its targets. Organizing Training programmes for managerial development and Good Governance in different department to be prepared for handholding the SDG agenda.</p>
	<p>2.2 SDG – Adapt SDG VISION for local district level and GP level authorities in their plans and processes; Advocacy, Capacity building for integration of SDGs into Local Government Planning & Implementation</p>
<p>2.3 SDG (Integrated Planning, Monitoring & Evaluation)– Propose integrated development solutions and innovations to accelerate SDG implementation, develop sophisticated technology-based tools to monitor SDGs and ensure M & E systems are in place to collect data and monitor progress in target achievement as set in SDG VISION 2030 document.</p>	

Strategy 1 – Technical support to CPPGG for boosting Economic Growth

UNDP will recruit technically sound sectoral experts in Centre for Public Policy & Good Governance and provide adequate training and exposure visits and will equip them to perform as policy advisers for the State Government. The Specialists will prepare sector wise strategy papers and implementable action plans for all relevant growth sectors.

CPPGG Component 1

Policy for Green Growth – Initiating Research, Preparation of Strategy Papers on challenges faced by Environment and pursuant climate change implications while factoring in the need of a Green Growth in the State.

The Vision: The major growth engines identified by the State for enabling green growth in the State consists of boost to sectors such as hill agriculture and horticulture development through organic farming, aromatic and medicinal plants and herbs; renewable energy generation through small hydel projects; encouraging tourism in the state with focus on eco-tourism, high end leisure tourism, spiritual and religious tourism, wellness tourism; ecosystem services and enabling IT & MSME sectors. The State will aim at accelerating the growth regime and to reduce the income disparities in the districts. Further there needs a plan to enhance



PROJECT DOCUMENT

INDIA

the environmental sustainability by addressing the Bio-economy, Green Engineering and Green Technology for development of the State. Being one of the first States in India to create a Tourism Development Board by legislation, the State has shown its importance of the Tourism Sector. There has to be an agricultural policy which will promote high value herbal, medicinal and aromatic cultivations. Horticulture sector needs to be diversified and effective market linkages also needs to be established. A separate Uttarakhand Organic brand has to evolve and the producers of the State should be branded. There needs to be a plan where the entire people in the hill areas becomes resilient to the disasters.

The Strategy: State has to prepare strategy papers on the areas/sectors where it has to improve. The term for the strategy can be identified in consultation with the concerned departments. Further these Strategy Papers have to spelt into action plans for achieving the targets in a systematic manner. State has a policy for harnessing renewable energy sources and further there is a need of an implementable strategy and action plan to achieve the policy objective. Similarly the tourism policy 2017 has been prepared. Now CPPGG has to prepare the strategy to ensure that this policy promotes tourism and develops the sector into a major source of employment and revenue generation. There is a need to prepare strategy to promote the state as a global tourist destination by showcasing its spiritual, cultural and adventure tourism. Target 0.5 million international tourists by 2022.

CPPGG Component 2

Policy for Ensuring Good Health & Wellbeing - Initiating Research, Preparation of Strategy Papers on challenges faced by Health sector and pursuant implications which arrests the growth rate of the State.

The Vision: To increase the capacity of existing staff all possible training activities has to be initiated. State has issues of shortage of paramedical staff and there needs a vision for recruiting enough staff to the hilly regions thereby improving the health indicators. A health plan is required to address the problems of rural people. Lack of trained medical professionals is one of the major hindrances in the improvement of health and sanitation of rural people. The health plan with inbuilt standard operating procedures for paramedical staff could boost health care facilities in the villages. Trained paramedical staff could provide limited curative care and primary health care to people. Panchayats could provide them two rooms for routine examination of patients. They could also be trained to look into sanitation and other health-related issues in the villages. The trained paramedical staff could also guide serious patients to higher medical centres. The implementation of the health plan could be monitored at the panchayat level. Similarly, there is need to draft district and state level plans. Better nutritional profile of under-three children of educated mothers indicates that the right to have education and to achieve 100% literacy will help in promoting the nutritional status of children as educated mothers are more aware of the health services available and also the acceptance to utilize the same is better among them. Literate mothers can easily introduce new feeding practices scientifically, which helps to improve the nutritional status of their children.

The Strategy: In consultation with Health Department and health practitioners, a separate vision plan with Strategy Papers and Action Plan to revive the health sector of Uttarakhand will be prepared. A detailed analysis of the issues in the health and nutrition sector will be carried out and then through series of consultations involving practitioners and experts, a broad strategy will be prepared. The Strategy will cover aspects of complete coverage of health facilities in hilly districts as well as focus on the preventive health care of the people in hilly regions. The Road map will be translated into action plans with clear-cut deliverables in a time based manner.

CPPGG Component 3

United Nations Development Programme



PROJECT DOCUMENT
INDIA

Policy for Quality Education and reduction of inequalities - Initiating Research, Preparation of Strategy Papers on challenges faced by Education sector and inequalities which creates social unrests and prevents human development in the State.

The Vision: The State aims for human development by ensuring quality education in schools, improve the access and facilities in the hilly districts. It is planned to provide skills training and vocational education for gainful employment. Policies and plans for the empowerment of marginalised segments of the population is required in the State. The industrial requirements for a skilled work force are far higher than the availability due not only to the shortage of ITIs in the state but also, more importantly, due to the quality and orientation of education and training imparted at these institutes which does not fit job requirements at the factories. Vocational courses should be encouraged to meet the shortage of skilled labour and the government should take steps to tackle this problem. The Government run schools can provide a good model of how to provide high-quality education to talented students who cannot afford it.

The Strategy: As strategy is needed for improvising the educational attainment and gender parity in the State. This strategy should also include industry-specific training, a revision on the existing curriculum, creating education centres that would lead to development in an area around it etc. Soft skills trainings also need to be part of the strategy. Steps for ensuring a gender just society has to vetted. The concerns identified in the Vision Plan of the State has to be studied in detail and implementable solutions has to be identified in a time specific manner.

CPPGG Component 4

Policy for Sustainable Livelihoods and elimination of Poverty - Initiating Research, Preparation of Strategy Papers on challenges faced by Livelihood sector and breaking the vicious circles of poverty to lead the State into a developed one.

The Vision: The State aims for reducing migration by creation of jobs by transforming agriculture and providing livelihood options. More than 70% of the people in the state are dependent on agriculture but returns are not satisfactory and thus transforming agriculture through diversification towards horticulture, aromatic plants etc. like to develop the ONE VILLAGE-ONE FARM/CLUSTER FARMS concept in the hilly region is one aim of the State. Further there is a dire need to connect farmers to the market by creating infrastructure. The employment opportunities in hills to be created also in tourism sector, forest sector (non-timber forest products). There needs to be in place an entrepreneurship strategy for the State. The development of business skills in people, the development of entrepreneurial skills etc are crucial for the sustainable development of the State. Creating awareness and training can also help develop entrepreneurial skills. Since in the hill regions it is equally important to develop the entrepreneurial skills of women, vocational training should be imparted in activities like dairy processing, poultry raising, papad-making, mushroom cultivation, bee-keeping, quilt-making and running a small business.

The Strategy: A policy for Skill Development & Entrepreneurship exists in the State which now needs to be spelt into action plans for increasing the employability of workers, competitiveness of enterprises, and inclusiveness of growth, reduce the unemployment rate to below 4% for short term and to provide employment for all in long term and thus ensuring attainment of Sustainable Development Goals. The Start Policy has to be translated into action plans to encourage investments and incubation in the start-up sector and has to support the state government in ensuring investments in the State. MSME policy which was vetted in 2015 for a State where more than 50000 units are present, there is a need to promote the sustainability of such angel investors.

CPPGG Component 5

United Nations Development Programme



PROJECT DOCUMENT

INDIA

Policy for improving Connectivity, Infrastructure for Sustainable Rural & Urban Communities for Sustainable Economic Growth.

The Vision: There is need to create a sustainable urbanisation plan for the State of Uttarakhand. The aim is to provide the public services, water and drainage, solid waste management and effective transport facilities in the semi urban areas also. The State also has a plan to create a tool to combat Migration. Mission approach has to be planned to improve connectivity throughout the state by physical infrastructures such as roads, railways, air, etc. and also by reaching mobile/internet connectivity to even the remotest areas. The State having abundant water resource needs to emerge as a world leader in green energy by leveraging the hydropower potential. Alternative energy sources like solar energy should be encouraged. There should be policies and approaches to address the issues in maintenance of the roads which are affected by heavy rainfall, soil erosion and even snow fall in certain regions. It is important to link these districts with one another, state highways and national highways, because only after the roads are constructed is it possible to link them with the markets, which are a must for the development of agriculture and allied sectors. It is recommended that Uttarakhand should be linked with the freight corridor. Between the villages of the hill districts, a simple and cost-effective trolley system should be introduced, because road transport fails when it rains or snows. This will also help develop every district, town and village as a tourism hub and provide employment. Roads connections and maintenance should be given priority and all the important destinations of each district should be linked;

The Strategy: Infrastructure development policy will be the first and foremost strategy for ensuring sustained growth in the State. The State has to aim for village to village connectivity and ensure highways which can carry the noble products of Uttarakhand to the National Capital Region thereby ensuring good prices for the produces. There is a need of implementable plan to Improve yield and quality by providing irrigation facilities and latest technology and further create cold chain infrastructure and access to market intelligence for farmers.

CPPGG - Devbhoomi Lecture Series - CPPGG aims to build a strong Uttarakhand that will come together to build a strong nation. As the State government's premier think-tank, it views knowledge building & transfer as the enabler of real transformation in the State. The basic objective of the Lecture Series which will be hosted in the Gods Land (Devbhoomi) is to build knowledge systems. This Devbhoomi Lecture series aims to bring policy makers, academics, experts and administrators of global repute to India, for the benefit of policy makers in States and the Centre. This is aimed at learning from global experience in development and good governance. Hence CPPGG will organize a series of lectures in the State in consultation with the State Government for ensuring economic growth in the State by bringing best ideas from across spectrum. Organizing the lecture series will be the joint responsibility of the sector specialists working in the CPPGG.

CPPGG Training Calendar for Good Governance – The Centre will also perform the role of a training center for Government employees for career progression. The Centre will prepare training calendars with the objective of developing managerial skills, organizational abilities, leadership qualities and decision-making skills among different categories of employees of Government, Private and Public sector. A training policy and year wise training calendar will be prepared by the experts in consultation with the State Government. Through these continuous trainings the centre will bring Competence, Impact, Citizen Centricity, Excellence and Equity to the trainees. The basic objectives of the Training programme will be to :

- To create awareness of the potentialities of modern management science as a major instrument for the development of the economic and social activities of Govt;



PROJECT DOCUMENT

INDIA

- To develop managerial skills, organizational capabilities, leadership and decision-making ability, development planning and in efficient implementation;
- To carry on research, operational and policy, to evolve ideas and concepts appropriate to the nation and formulate policy alternatives;
- To foster, assist and support individuals, organizations and institutions directly for the use of management science and
- To create social awareness and make it a genuine instrument of economic development and social change in the state as well as in the region.

Strategy 2 – Technical support to CPPGG for fast-tracking SDGs

SDG Cell will be revamped to achieve the following Components in the next 3 years focusing on specific outputs and activities and will be provided with technical support on six sectors who will provide an impetus to the concerned sectors

CPPGG - SDG Component 1

Build awareness and capacity of all stakeholders around SDG VISION of Uttarakhand and its targets

This will include following activities but not limited to

Problem Definition - Till now the SDG VISION formulation process in the state of Uttarakhand has been limited to middle and senior level officers in the government departments. The success of the implementation of the VISION 2030 will depend on how well the targets set by the departments are owned by each employee of the department and the public at large is aware of the ambitious targets to become an active partner in their achievement.

The VISION set by the state will need to percolate down to each official and decision maker in the state. Their knowledge and capacity to understand the SDG targets will need to be augmented to make them part of the change process which will follow the implementation. This will also work towards motivating them to acquire new skill sets and new competencies.

The Strategy - To achieve this, CPPGG will articulate a detailed professional Communication Strategy by engaging communication experts / agencies to create a favourable and informative environment in the state where everyone is focused on achieving the ambitious VISION by 2030. The strategy will have two-pronged approach:

To ensure that all stakeholders, especially government staff and decision makers (State and district Functionaries, Officials, MPs, MLAs, PRI) have a clear idea about the SDG 2030 targets of the state in general and specifically of their own departments and districts.

To create mass awareness around SDG VISION through engaging Media organizations, Community Organizations, Academic Institutions, Schools and Colleges.

The communication strategy will cover all traditional and modern social media platforms to engage with the stakeholders and will have clear deliverables in terms of visibility and recall. It will attempt for a robust engagement with people and seek regular feedback as well as comments to inform states new policies. The communication experts / agencies will help create Information, Education and Communication (IEC) materials for wide dissemination. The IEC material development will be based on extensive pre / post-consultation and testing and will include but not limited to posters, pamphlets, leaflets, hoarding, radio jingles, folk media like street play or nukkad naatak etc.



PROJECT DOCUMENT

INDIA

An integral part of the communication strategic plan would be to document success stories and capture photos of beneficiaries and engage through the social media with youth. It will also aim to develop advocacy films – not more than 3-4 minutes long - for various stakeholders, including policy makers, beneficiaries, and others to be used as a behaviour change tool.

An important activity will be to produce short films to showcase the achievement of the Government of Uttarakhand in ensuring SDG VISION for all, which could be used as publicity material for the Chief Minister's Office. There will also be regular Video documentation of the successful implementation of the new schemes – not more than 15 minutes that can demonstrate the transformative work of the Departments in line with SDG VISION work.

CPPGG - SDG Component 2

Adapt SDG VISION for local district level and GP level authorities in their plans and processes; Advocacy, Capacity building for integration of SDGs into Local Government Planning & Implementation

Problem definition – While the SDGs are global, their achievement will depend on our ability to make them a reality in our cities and regions. All the SDGs have targets directly related to the responsibilities of local and regional governments, particularly to their role in delivering basic services. The SDG VISION 2030 will become a living entity only when they are “localized”. The success of the global goals are entirely dependent on the local level ownership by the three tier Gram Panchayat system and the planning should be bottom to top approach.

The Vision – “Localizing” of SDG is the process of considering subnational contexts in the achievement of the 2030 Agenda, from the setting of goals and targets, to determining the means of implementation and using indicators to measure and monitor progress. Localization relates both to how the SDGs can provide a framework for local development policy and to how local and regional governments can support the achievement of the SDGs through action from the bottom up and to how the SDGs can provide a framework for local development policy.

The Strategy: The SDG Action Plans will need last mile adaptation or LOCALISATION at the district and GP level. Districts are extremely important units of governance and administration and their role in achieving Agenda 2030 is vital. There is a need to build capacities of the districts in developing long term vision, action plans, monitoring mechanisms and processes that support implementation, linked to state vision. For this localization of SDGs, CPPGG will work towards orienting local planning and implementation at GP level by providing technical knowhow and hand hold all district / GP functionaries in formulation of Gram Panchayat Development Plans (GPDP) including mapping of existing schemes under the GPDP with the SDGs. It will work towards strengthening the functioning of state level resource institutions and departments for training, monitoring of GPDP and FFC utilization and strengthening of District and Block Resource Centres.

CPPGG - SDG Component 3 (Integrated Planning, Monitoring & Evaluation)

Propose integrated development solutions and innovations to accelerate SDG implementation, develop sophisticated technology-based tools to monitor SDGs and ensure M & E systems are in place to collect data and monitor progress in target achievement as set in SDG VISION 2030 document.

Problem Definition – For the VISION document to become a reality it will be important for all departments to work together and integrated planning and decentralized implementation is put into practice. The VISION targets identified for each SDG must be translated into robust action plans for them to be monitored and right strategic action is initiated to achieve these targets, both at the department level and district and panchayat level. The current data collection sources in the state are diverse and are not compatible to each

United Nations Development Programme



PROJECT DOCUMENT

INDIA

other. The district level data collection and real-time monitoring lacks capacity. For the state to be able to live up to its promise of achieving the SDG targets it's imperative that a robust data system is built.

The Strategy - Based on the gaps and bottlenecks identified in the strategic plans new mechanisms, policy measures and solutions to improve the service delivery may have to be deployed. The Strategy – First step will be to have the plans in place. As directed by Niti Aayog, the CPPGG will focus on ensuring that each government department can articulate their 3-year Action plan and 7 Year Strategic plans before the start of the next financial year. The starting point for the exercise will be to help Finance and Planning departments to internally collate data for SDG based Budget, aligned with Action Plans and the Vision Document. The detailed department plans will also help reflect on the synergies needed between the departments and help to look at integrated strategies to achieve the targets. Further an important work of the CPPGG supported SDG CELL would be to help monitor the progress on SDGs implementation and achievement of set targets by each department on a concurrent basis. It will endeavor to develop a framework for SDG monitoring and the data management system for collecting, validating and analyzing data on progress of SDGs (including a DASHBOARD). SDG CELL will also look at innovative technologies and mobile applications to build a robust institutional structure for conducting regular monitoring of SDGs as per the data management system.

The success of the 7-year Strategic Plan and 3 Year Action Plan will depend on the detailed study and research to address the specific gaps / bottlenecks and challenges posed specific to the situation. Every department will thus need to relook at its priorities in a fresh manner and look to adopt the world class best practices to achieve its committed targets for SDG 2030.

The Vision: SDG Cell/CPPGG will leverage UNDPs expertise and comparative advantage to expand its systems strengthening expertise further into state institutions, missions and programmes in support of delivery of core services. It will look at identifying the areas and issues and suggest institutional mechanisms and policy changes as needed. It will also look at improving coordination and leveraging disruptive technologies and digital governance solutions to improve service delivery for specific need within the SDG groups and departments. This will improve institutional and programme responsiveness; enhance synergies, effectiveness, accountability and targeting; improve access among marginalized and difficult to reach populations; and contribute to overall performance and citizen satisfaction.

CPPGG supported SDG Cell will endeavour to be an open space and engaging platform, positioned within the government to ensure ownership but staying neutral to ease cross-sector collaborations. Rather than the Component, it will look at promoting a process, that is intended to support multi-stakeholder groups in addressing a complex social problem. It will bring together government, the private sector, academia, and civil society to co-create sustainable solutions to social problems. It will work with government to identify the most pressing challenges, team up with local leaders to develop and test solutions, bring in expertise and technology from private sector, adopt the skills and tools to build agency and institutional capability, respond to citizen demand for responsive services, enhance government program delivery, capture and disseminate best practice locally and regionally, and ultimately expedite creative, systemic, transformational and sustainable change.

SDG CELL will work with every department to notify a Monitoring & Evaluation officer for collecting and updating the data on implementation of their Annual Plans and shall coordinate closely with the P&F department.



PROJECT DOCUMENT

INDIA

II. RESULTS AND PARTNERSHIPS (1.5 - 5 PAGES RECOMMENDED)

The Project will work towards achieving the following results:

1. Centre for Policy & Good Governance is equipped with sector specialists who supports the State Government in preparation of policies, proposals and Plan of actions for boosting the economic growth in the State.
2. Department of Planning is capacitated for accelerating the progress of Sustainable Development Goals using a whole of the government approach and providing technical support to all State Departments for handholding for the Transforming the world 2030 agenda.
3. Policies accelerating the economic growth in the State of Uttarakhand is vetted and sectoral growth boosters are put in place as per the advice of the experts.
4. Trainings and Workshops enhances the efficiency of State and District Departments in planning and delivery of services targeted at the public.
5. Issues/Problems in the growth sectors of State is identified and implementable solutions are prepared by the experts.
6. Awareness and capacity of all Stakeholders of SDG improves and a sense of ownership results in fast-tracking SDGs.
7. Districts and Gram Panchayats localizes SDGs; vision plan and plans to actualize the Goals and Targets are put in place.
8. Integrated development solutions and innovations accelerate SDG implementation; institutional mechanisms and policy changes to improve coordination and leveraging disruptive technologies and digital governance solutions to improve service delivery aided by concurrent monitoring of the targets and course corrections resulting in attainment of the SDG targets as per the plan.

III. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)

The project would be directly implemented by UNDP in close collaboration with the Planning Department (Directorate of Economics & Statistics), Government of Uttarakhand. UNDP will be responsible for all financial management, reporting and recruitment services in line with UNDP rules and procedures. UNDP will sign a budgeted Annual Work Plan with the Department as per UNDP rules and regulations.

The project will be implemented in partnership with a range of stakeholders such as civil society organizations, NGOs, organizations of the poor and excluded groups, private sector, technical/ resource groups and financial institutions. UNDP will enter contracts with individuals/agencies in line with its rules and procedures and keeping within the mandate of direct implementation of the above support. UNDP will consult Government partner about terms of reference of human resources/agencies to be provided.

Department of Economic Affairs (DEA), Ministry of Finance, Government of India has endorsed UNDP's Country Programme Document (2018-22) and has advised UNDP to focus on state level engagement "*to develop and transfer critical capacities in policy analysis, programme management, implementation and monitoring through some of the leading development and social protection missions of the Government.*" More specifically UNDP is successfully engaging in the states in SDG localization at all levels; implementing ICT Based solutions; building electronic vaccine intelligence network across 18 states which has the potential to expand in areas beyond health; Monitoring & Supervision of national and state flagship schemes at state/district level; BCC/IEC activities; Capacity Building and HR Management; Documentation and dissemination of lessons learnt from process and product innovation; Monitoring and Coordination of multi-



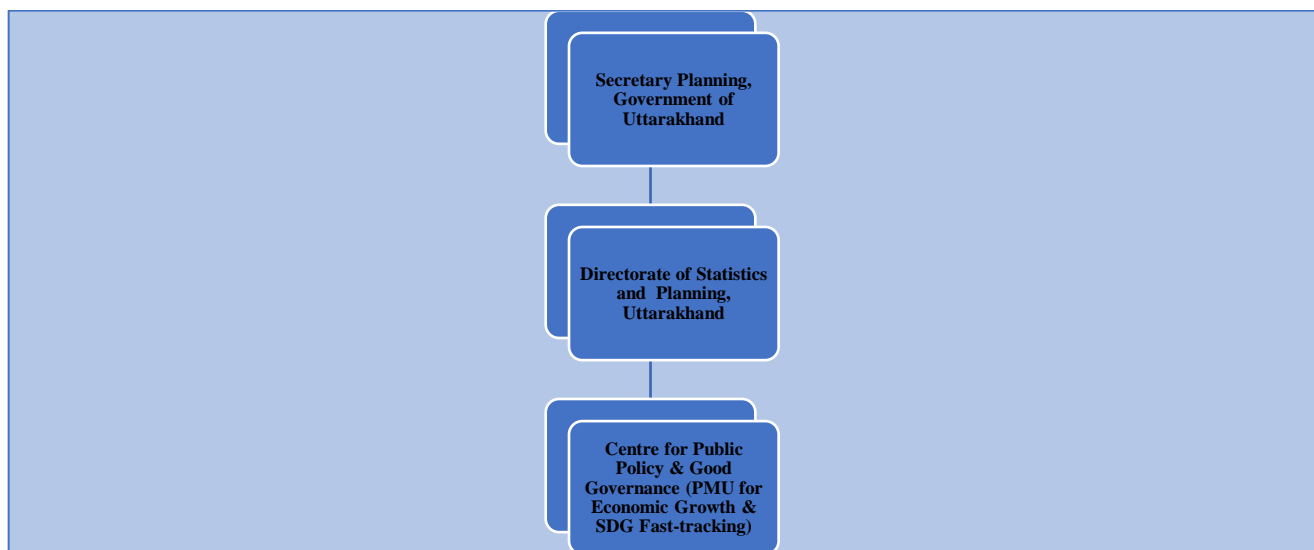
PROJECT DOCUMENT

INDIA

state projects. UNDP has demonstrated capacity in developing and implementing specific thematic area interventions in the country in areas related to Institutional and systems strengthening for service delivery; Inclusive growth; Energy, environment and resilience.

DEA has agreed to a Government Cost- Sharing (GCS) model where UNDP can provide consultancy services including establishment of PMU, hiring human resource, training programmes, documentation, evaluations etc (as provisioned in GFR 2017) etc @ 8% consultancy charges on Govt funded projects.

Management Arrangements:



Project Management Unit for CPPGG (9 staff) Staff on UNDP Rolls and funded by Department of Planning, Uttarakhand

Funds Flow Arrangements and Financial Management

UNDP through its Programme, Human Resource and Finance teams will provide oversight and quality assurance of the services being provided. In accordance with the decisions and directives of UNDP's Executive Board reflected in its Policy on Cost Recovery from Other Resources, the Funds shall be subject to cost recovery. Funds will be subject to 8% as Management fee on the Gross actual expenditure on deliverables.

1. UNDP shall not start implementation of the activities prior to signing of the agreements by both the parties.
2. UNDP will be responsible for all financial management and reporting for all funds received in line with UNDP rules and procedures and for recruitment services for all SDG CELL staff in line with UNDP rules and procedures.
3. UNDP's accounting currency is the United States dollars. Therefore, for its accounting purposes, the value of the payment made in a currency other than USD, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment.
4. UNDP shall provide the Government on request with financial and other reports prepared in accordance with UNDP reporting procedures.
5. Financial accounts and statements shall be expressed in United States dollars and in INR (on provisional basis).
6. The funds shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, policies and procedures of UNDP. Services will be provided by the UNDP as

United Nations Development Programme

**PROJECT DOCUMENT****INDIA**

per the approved budget and Terms and Conditions laid down in the Agreement against advance provided by the State Government. The audit of the GOH books where the monetary advances are records will be audited as per the rules of the GoUK.

7. Any funds that remain unexpended after all commitments and liabilities have been satisfied shall be refunded to the Government”.

Sustainability Strategy

Based on the SDG VISION 2030, UNDP will support the Government of Uttarakhand and directly implement the CPPGG activities for an initial period of 3 years by recruiting best possible technical experts, project planning and implementation, data collection, fund-raising, drafting of a communication and partnerships strategy, capacity building, monitoring and evaluation. It is envisaged that after completion of 3 years, the CPPGG performance will be reviewed and a sustainability plan will be put in place so that in the next 2 years it can be made self-sufficient. After 3 years PMU at CPPGG will be managed directly by the Department of Planning, Government of Uttarakhand.

IV. RESULTS FRAMEWORK⁴

Intended Outcome as stated in the UNSDF Country Programme Results and Resource Framework:										
UNSDCF Outcome 6: By 2027, a strengthened and more coordinated, inclusive and accountable governance system is in place at the national and local levels enabling all people, especially most marginalized and vulnerable, to be protected, empowered, engaged, and enjoy human rights and social justice, and lead their lives with respect and dignity.										
Outcome indicators as stated in the Country Programme Document Results and Resources Framework, including baseline and targets:										
Number of states that mainstream and institutionalize SDGs into: a. State budgets and union territories b. Gender Budget c. Child budget										
Applicable Output(s) from the UNDP Strategic Plan as mentioned in the CPD: Output 1.1: Government is better able to plan, implement, monitor and finance to accelerate progress towards the SDGs.										
Project title and Atlas Project Number: Technical Support to Centre for Public Policy & Good Governance in accelerating Economic Growth and Fast-tracking SDGs in Uttarakhand 117158										
EXPECTED OUTPUTS	OUTPUT INDICATORS ⁵	DATA SOURCE	BASELINE	TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	FINAL	
Output 1 <i>Technical Experts for CPPGG</i> <i>Gender Marker: GEN2</i>	Indicator 1.1 Number of Human Resources that consists PMU for effective implementation of CPPGG	<i>Planning Department reports</i>	0 (2019)	9	9	9	9	9	9	<i>UNDP Project Annual Report</i>
Output 2 SDG Localization and Integration <i>Gender Marker: GEN2</i>	Indicator 2.1 No. of Stakeholders consultation and capacity building took place	<i>Planning Department reports</i>	0 (2019)	0	4	8	12	15	15	<i>UNDP Project Annual Report</i>

V. MONITORING AND EVALUATION

Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
Track results progress	Progress data against the results indicators will be collected and analysed to assess the progress of the project in achieving the agreed outputs.	Quarterly	Slower than expected progress will be addressed by project management.	Department of Planning, Government of Uttarakhand	All M & E costs are covered under the costs
Monitor and Manage Risk	The project will identify specific risks that may threaten achievement of intended and monitor risk management actions using a risk log. This will include monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Department of Planning, Government of Uttarakhand	related to Activity number 1.1.a as shown below in Multi-Year Work Plan
Learn	The project will capture Knowledge, good practices and lessons regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Annually	Relevant lessons are captured by the project team and used to inform management decisions.	Department of Planning, Government of Uttarakhand	
Annual Project Quality Assurance	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	Department of Planning, Government of Uttarakhand	

**PROJECT DOCUMENT****INDIA**

	inform management decision making to improve the project.				
Review and Make Course Corrections	Internal review of data and evidence from all monitoring actions to inform decision making.	Annually	Performance data, risks, lessons and quality will be discussed by the project board and used to make course corrections.		
Project Report	A progress report will be presented to the Project Board / PSC and key stakeholders, consisting of progress data showing the results achieved against pre-defined annual targets at the output level, the annual project quality rating summary, an updated risk long with mitigation measures, and any evaluation or review reports prepared over the period.	Annually, and at the end of the project (final report)			
Project Review (Project Board/PSC)	The project's governance mechanism (i.e., Project Steering Committee) will hold regular project reviews to assess the performance of the project and review the Multi-Year Work Plan to ensure realistic budgeting over the life of the project. In the project's final year, the PSC will hold an end-of project review to capture lessons learned and discuss opportunities for scaling	Annually	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.		

United Nations Development Programme

**PROJECT DOCUMENT****INDIA**

	up and to socialize project results and lessons learned with relevant audiences.				
--	--	--	--	--	--

Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNSDCF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Terminal evaluation	Planning Department, Government of Uttarakhand	#1: Structural transformation accelerated, particularly green, inclusive and digital transitions	UNSDCF Outcome 6: By 2027, a strengthened and more coordinated, inclusive and accountable governance system is in place at the national and local levels enabling all people, especially most marginalized and vulnerable, to be protected, empowered, engaged, and enjoy human rights and social justice, and lead their lives with respect and dignity.	Feb 2023	UNDP Country Office, UNDP RBAP, Government of Uttarakhand	2000 USD

VI. MULTI-YEAR WORK PLAN ⁶⁷

All anticipated programmatic and operational costs to support the project, including development effectiveness and implementation support arrangements, need to be identified, estimated and fully costed in the project budget under the relevant output(s). This includes activities that directly support the project, such as communication, human resources, procurement, finance, audit, policy advisory, quality assurance, reporting, management, etc. All services which are directly related to the project need to be disclosed transparently in the project document.

EXPECTED OUTPUTS	PLANNED ACTIVITIES	Budget by Year (USD) (Y1-4=actual expenditure, Y5=planned budget)					RESPONSIBLE PARTY	PLANNED BUDGET		
		Y1 (Sept-Dec 2019)	Y2 (Jan – Dec 2020)	Y3 (Jan – Dec 2021)	Y4 (Jan-Dec 2022)	Y5 (Jan-Feb 2023)		Funding Source	Budget Description	Amount
Output-1: Technical Experts for CPPGG GENDER MARKER GEN2	1.1 Placement of CPPGG PMU team in the state office	21,055	112,036	115,531	125,036	18,000	UNDP	Govt of Uttarakhand	71300	391,658

⁶ Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

⁷ Changes to a project budget affecting the scope (outputs), completion date, or total estimated project costs require a formal budget revision that must be signed by the project board. In other cases, the UNDP programme manager alone may sign the revision provided the other signatories have no objection. This procedure may be applied for example when the purpose of the revision is only to re-phase activities among years.

United Nations Development Programme

**PROJECT DOCUMENT****INDIA**

Output 2: SDG Localization and Integration Gender marker: GEN2	1.2.a. Induction and Training of CPPGG-PMU team				73,095	122,315			277,486
	1.2.b. One State level Workshop on SDG Localisation and Integration in State policies	5,003	30,673	40,666					
	1.2.c. Four District level Workshops on SDG localisation and Integration in district level Planning								
	1.2.d. One National level Exposure Visit on SDG Best practice						UNDP	Govt of Uttarakhand	74200/75700
	1.2.e. One International Level Exposure visit for Government Official on SDG best practices				5,734				
	1.2.f. Development of Scheme-wise, Department-wise knowledge products for SDG (Flyers, posters etc.								
	1.2.g. Creation of State and District level SDG Portal								

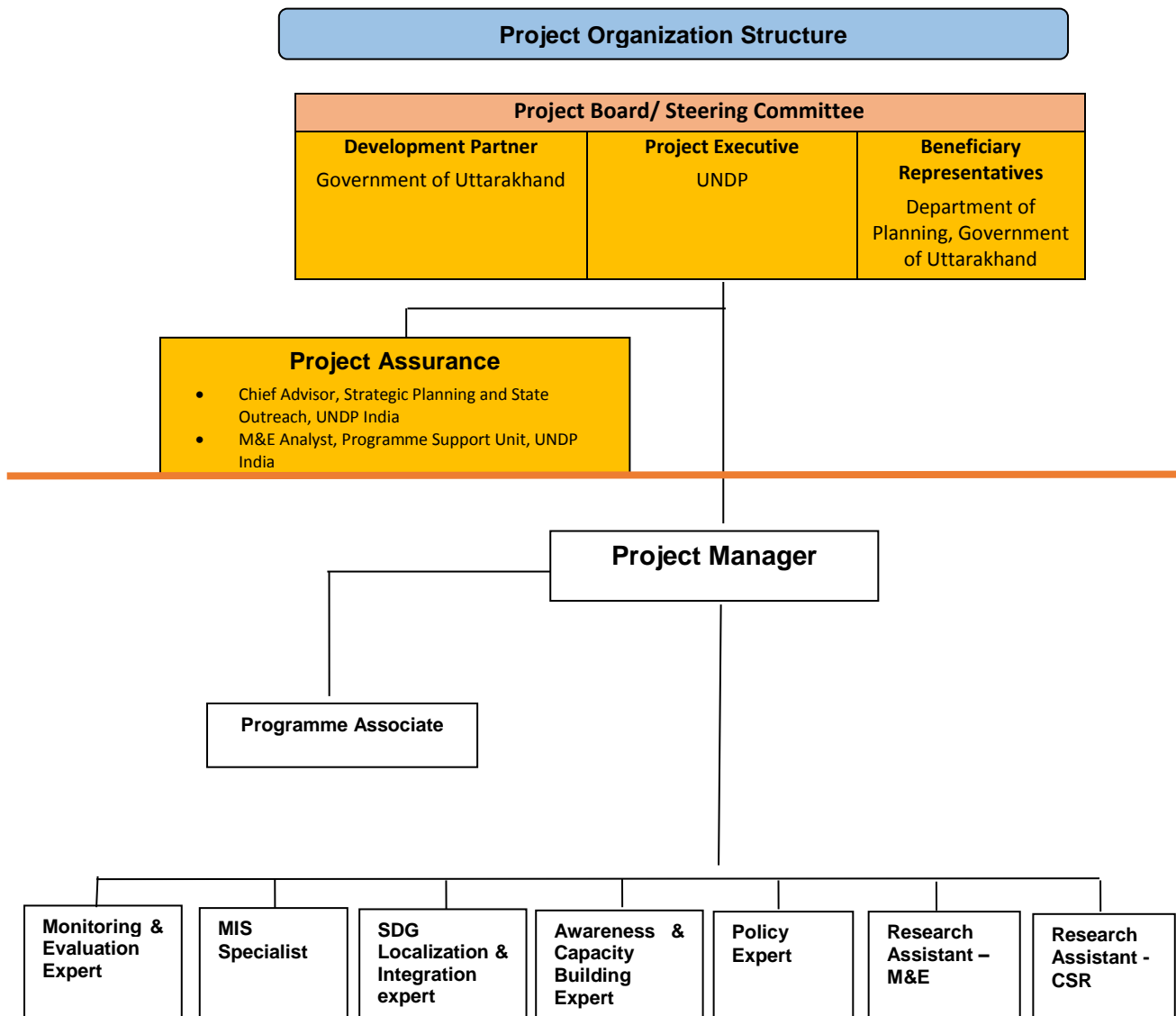
United Nations Development Programme

**PROJECT DOCUMENT****INDIA**

Project Support	1.3.a. Management of Recruitment drive and intake process for selection of candidates for CPPGG PMU team 1.3.b. Recruitment of Proposal Writer 1.3.c. Proposal writer to establish his/her component and work plans and KRAs 1.3.d. Proposal writer to develop 5 proposals as per direction of CEO, CPPGG	4,398	39	4,751	103	82,995	UNDP	Govt of Uttrakhand	72100/71600/72500	92,286
Subtotal Outputs		30,456	142,748	160,948	203,968	223,310				761,430
Project Management ⁸ (8%)		2,436	11,420	12,876	16,317	17,865				60,914
Evaluation (as relevant)	EVALUATION									
GRAND TOTAL		32,892	154,168	1,73,824	2,20,285	2,41,175				822,344

⁸ Y1-Y4 management fee is based on actual expenditure. Therefore, it cannot be calculated by multiplying the total Outputs by 8%.

VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



Management Team

The **Project Management Unit (PMU)** – Five Sector Specialists, 2 Research assistants and 1 Programme Associate. These team members will be recruited by UNDP as per their rules and regulations and will be on the rolls of UNDP to freely access technical information, knowledge and assistance from UNDP offices across the world. The team for fostering economic growth consists of Environment & CCA Specialist, Health Specialist, Education & Gender Specialist, Livelihood & Value Chain Specialist and Infrastructure Specialist.

In terms of team composition for fast-tracking SDGs, the Leads placed at the CPPGG will work directly under the supervision of the Chief Executive Officer, of Directorate of Economic & Statistics. The team will consist of Consultants/Leads in Awareness & and capacity building, SDG localization, Integrated Planning, Monitoring, and evaluation. The HR/Operations associate recruited at CPPGG will be common for both components of the proposal. These team members will be recruited by UNDP as per their rules and



PROJECT DOCUMENT

INDIA

regulations and will be on the rolls of UNDP to freely access technical information, knowledge, and assistance from UNDP offices across the world.

The Project Manager will look after the overall day-to-day management, monitoring, and review of the project activities, and coordinate with various stakeholders with the help of his team in close association and assistance from the Planning department. S/he will be assisted by an HR/Operations Associate. The Component Leads will be technical experts who will guide the activities of each component under guidance from the Project Manager and all other stakeholders. The detailed duties and responsibilities of each staff are captured in the below table:

Designation	Nos	Function
Project Manager	1	Manage the overall conduct of the project including general coordination, and management. Responsible in preparation of annual work plans and monitoring the progress; Monitor as per the project monitoring plan, and update the plan as required. Monitor financial resources, risks and mitigations measures.
Programme Associate	1	Coordinate with the CPPGG for strengthening and designing their Annual Work Plans (AWPs). Provide technical support in execution of overall activities planned annually.
Monitoring & Evaluation Expert	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Develop a monitoring platform for analyzing the progress on SDGs in the state. Strengthen capacities for planning and implementation at state and district level.
MIS Specialist	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Develop a monitoring platform for analyzing the progress on SDGs in the state. Strengthen capacities for planning and implementation at state and district level, to deliver on key development priorities.
SDG Localization & Integration expert	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Develop a monitoring platform for analyzing the progress on SDGs in the state. Strengthen capacities for planning and implementation at state and district level, to deliver on key development priorities and objectives,
Awareness & Capacity Building Expert	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Develop awareness and capacity of different departments
Policy Expert	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs).Strengthening policies of different line departments
Research Assistant – M&E	1	Provide technical support to M&E Expert
Research Assistant - CSR	1	Provide technical support to CSR Expert
Total	9	

Standards of Performance

UNDP will provide the above support with all due diligence, efficiency and economy in line with UNDP rules and procedures. UNDP will observe sound management practices in line with its programme policy and guidelines.

The project will be monitored through the following:

1. **SDG Steering Committee**- Meets every three months. Headed by Chief Secretary, to analyse outputs and work plan for each Components and make recommendations for the next quarter activities. **Members:** Administrative Secretaries of Finance, Planning, Development and



PROJECT DOCUMENT

INDIA

Panchayat, Health, Education, Industries & Commerce, Environment and Public Health and Engineering, Director, Planning Department, **Secretary Planning**: Project Head, SDG CELL.

2. **SDG State Task Force** – Meets every 6 months. Headed Planning Secretary. **Members**-Administrative Secretaries of Finance & Planning, Development and Panchayat, Health, Education, Industries & Commerce, Environment and Public Health and Engineering, Director, Planning Department. **Member Secretary**: Planning secretary, GoUK.
3. **High Level Review Committee** – Meets once a year under the Chairmanship of Honourable Chief Minister and reviews the achievement and progress of SDG goals set by the state.
 - A Quarterly Project Progress Report (QPPR) shall be submitted by each of the 9 programme leads to the CEO, CPPGG/SDG Cell. *Template for the QPPR to be discussed /finalized*

VIII. LEGAL CONTEXT

Option b. Where the country has NOT signed the [Standard Basic Assistance Agreement \(SBAA\)](#)

The project document shall be the instrument envisaged and defined in the [Supplemental Provisions](#) to the Project Document, attached hereto and forming an integral part hereof, as “the Project Document”.

This project will be implemented by UNDP (“Implementing Partner”) in accordance with its 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. Where the financial governance of an Implementing Partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

IX. RISK MANAGEMENT

1. UNDP as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. UNDP as the Implementing Partner will undertake all reasonable efforts to ensure that none of the project funds are used to provide support to individuals or entities associated with terrorism , that the recipients of any amounts provided by UNDP hereunder do not appear on the United Nations Security Council Consolidated Sanctions List, and that no UNDP funds received pursuant to the Project Document are used for money laundering activities. The United Nations Security Council Consolidated Sanctions List can be accessed via <https://www.un.org/securitycouncil/content/un-sc-consolidated-list>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.
3. Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (<http://www.undp.org/ses>) and related Accountability Mechanism (<http://www.undp.org/secu-srm>).
4. UNDP as the Implementing Partner will: (a) conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards, (b) implement any management or mitigation plan prepared for the project or programme to comply with such standards, and (c) engage in a constructive and timely manner to address any concerns and



PROJECT DOCUMENT
INDIA

complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.

5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.

6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.

7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor, and sub-recipient:

- a. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
 - i. 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;
 - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
- b. 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 responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
- c. Each responsible party, subcontractor and sub-recipient (each a “sub-party” and together “sub-parties”) acknowledges and agrees that UNDP will not tolerate sexual harassment and sexual exploitation and abuse of anyone by the sub-parties, and other entities involved in Project implementation, either as contractors or subcontractors and their personnel, and any individuals performing services for them under the Project Document.
 - (a) In the implementation of the activities under this Project Document, each sub-party shall comply with the standards of conduct set forth in the Secretary General’s Bulletin ST/SGB/2003/13 of 9 October 2003, concerning “Special measures for protection from sexual exploitation and sexual abuse” (“SEA”).
 - (b) Moreover, and without limitation to the application of other regulations, rules, policies and procedures bearing upon the performance of the activities under this Project Document, in the implementation of activities, each sub-party, shall not engage in any form of sexual harassment (“SH”). SH is defined as any unwelcome conduct of a sexual nature that might reasonably be expected or be perceived to cause offense or humiliation, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. SH may occur in the workplace or in connection with work. While typically involving a pattern of conduct, SH may take the form of a single incident. In assessing the reasonableness of expectations or perceptions, the perspective of the person who is the target of the conduct shall be considered.
- d. In the performance of the activities under this Project Document, each sub-party shall (with respect to its own activities), and shall require from its sub-parties (with respect to their activities) that they, have minimum standards and procedures in place, or a plan to develop and/or improve such standards and procedures in order to be able to take effective preventive and investigative action. These should include: policies on sexual harassment and sexual exploitation and abuse; policies on whistleblowing/protection against retaliation; and



PROJECT DOCUMENT

INDIA

complaints, disciplinary and investigative mechanisms. In line with this, sub-parties will and will require that their respective sub-parties will take all appropriate measures to:

- (i) Prevent its employees, agents or any other persons engaged to perform any services under this Project Document, from engaging in SH or SEA;
 - (ii) Offer employees and associated personnel training on prevention and response to SH and SEA, where sub-parties have not put in place its own training regarding the prevention of SH and SEA, sub-parties may use the training material available at UNDP;
 - (iii) Report and monitor allegations of SH and SEA of which any of the sub-parties have been informed or have otherwise become aware, and status thereof;
 - (iv) Refer victims/survivors of SH and SEA to safe and confidential victim assistance; and
 - (v) Promptly and confidentially record and investigate any allegations credible enough to warrant an investigation of SH or SEA. Each sub-party shall advise UNDP of any such allegations received and investigations being conducted by itself or any of its sub-parties with respect to their activities under the Project Document, and shall keep UNDP informed during the investigation by it or any of such sub-parties, to the extent that such notification (i) does not jeopardize the conduct of the investigation, including but not limited to the safety or security of persons, and/or (ii) is not in contravention of any laws applicable to it. Following the investigation, the relevant sub-party shall advise UNDP of any actions taken by it or any of the other entities further to the investigation.
- e. Each sub-party shall establish that it has complied with the foregoing, to the satisfaction of UNDP, when requested by UNDP or any party acting on its behalf to provide such confirmation. Failure of the relevant sub-party to comply of the foregoing, as determined by UNDP, shall be considered grounds for suspension or termination of the Project.
 - f. Each responsible party, subcontractor and sub-recipient will ensure that any project activities undertaken by them will be implemented in a manner consistent with the UNDP Social and Environmental Standards and shall ensure that any incidents or issues of non-compliance shall be reported to UNDP in accordance with UNDP Social and Environmental Standards.
 - g. Each responsible party, subcontractor and sub-recipient will take appropriate steps to prevent misuse of funds, fraud, corruption or other financial irregularities, by its officials, consultants, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. It will ensure that its financial management, anti-corruption, anti-fraud and anti money laundering and countering the financing of terrorism policies are in place and enforced for all funding received from or through UNDP.
 - h. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to each responsible party, subcontractor and sub-recipient: (a) UNDP Policy on Fraud and other Corrupt Practices (b) UNDP Anti-Money Laundering and Countering the Financing of Terrorism Policy; and (c) UNDP Office of Audit and Investigations Investigation Guidelines. Each responsible party, subcontractor and sub-recipient agrees to the requirements of the above documents, which are an integral part of this Project Document and are available online at www.undp.org.
 - i. In the event that an investigation is required, UNDP will conduct investigations relating to any aspect of UNDP programmes and projects. Each responsible party, subcontractor and sub-recipient will provide its full cooperation, including making available personnel, relevant documentation, and granting access to its (and its consultants', subcontractors' and sub-recipients') premises, for such purposes at reasonable times and on reasonable conditions as may be required for the purpose of an investigation. Should there be a limitation in meeting this obligation, UNDP shall consult with it to find a solution.
 - j. Each responsible party, subcontractor and sub-recipient will promptly inform UNDP as the Implementing Partner in case of any incidence of inappropriate use of funds, or credible allegation of fraud, corruption other financial irregularities with due confidentiality.

Where it becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, each responsible party, subcontractor and sub-recipient will inform the UNDP



PROJECT DOCUMENT

INDIA

Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). It will provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

- k. UNDP will be entitled to a refund from the responsible party, subcontractor or sub-recipient of any funds provided that have been used inappropriately, including through fraud corruption, other financial irregularities or otherwise paid other than in accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the responsible party, subcontractor or sub-recipient under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail any responsible party's, subcontractor's or sub-recipient's obligations under this Project Document.

Where such funds have not been refunded to UNDP, the responsible party, subcontractor or sub-recipient agrees that donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities under this Project Document, may seek recourse to such responsible party, subcontractor or sub-recipient for the recovery of any funds determined by UNDP to have been used inappropriately, including through fraud, corruption or other financial irregularities, or otherwise paid other than in accordance with the terms and conditions of the Project Document.

Note: The term "Project Document" as used in this clause shall be deemed to include any relevant subsidiary agreement further to the Project Document, including those with responsible parties, subcontractors and sub-recipients.

- l. Each contract issued by the responsible party, subcontractor or sub-recipient in connection with this Project Document shall include a provision representing that no fees, gratuities, rebates, gifts, commissions or other payments, other than those shown in the proposal, have been given, received, or promised in connection with the selection process or in contract execution, and that the recipient of funds from it shall cooperate with any and all investigations and post-payment audits.
- m. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project or programme, the Government will ensure that the relevant national authorities shall actively investigate the same and take appropriate legal action against all individuals found to have participated in the wrongdoing, recover and return any recovered funds to UNDP.
- n. Each responsible party, subcontractor and sub-recipient shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to its subcontractors and sub-recipients and that all the clauses under this section entitled "Risk Management Standard Clauses" are adequately reflected, *mutatis mutandis*, in all its sub-contracts or sub-agreements entered into further to this Project Document.

Special Clauses. In case of government cost-sharing through the project, the following clauses should be included:

1. The schedule of payments and UNDP bank account details.

As per the signed agreement between the donor and UNDP, the schedule of payment shall be as follows.

**PROJECT DOCUMENT****INDIA**

Tranche	Schedule of payment
1	Up to six months (two quarters) mobilization advance payment to be released by the FIRST PARTY at the start of the Project.
2.	Request for advance for the 3 rd and 4 th quarter by the SECOND PARTY at the end 2 nd Quarter.

Thereafter, the donor will release funds in each financial year of the project on the basis of the request for release of funds made by the UNDP similarly on half yearly basis.

UNDP bank account details are as follows:

Account Name	UNDP Representative Rupee A/c
Bank Name/Address	Bank of America
	DLF Centre, Sansad Marg, New Delhi- 110001 – India
Bank A/c No:	21100019
RTGS/IFSC Code:	BOFA0ND6216
Swift Code:	BOFAIN4XDEL

2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.

3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.

4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.

5. All financial accounts and statements shall be expressed in United States dollars.

6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavours to obtain the additional funds required.

United Nations Development Programme



PROJECT DOCUMENT

INDIA

7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph 6 above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.

8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

(a) 8% management fee for the provision of indirect support services and direct project implementation support services provided by UNDP.

9. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.

10. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP.”

X. ANNEXES

Annex 1: Project Risk Register

#	Event	Cause	Impact(s)	Risk Category and Sub-category	Impact, Likelihood & Risk Level	Risk Valid From/To	Risk Owner	Risk Treatment and Treatment Owner
1	There is a risk that UNDP cannot hire and place capable human resources	As a result of limited outreach as well as low salary	Which will impact in 1) compromise the quality of human resources, 2) re-advertise the positions due to no candidates above the passing mark, which can result in reduced quality and delay in implementation especially in operating up PMU.	4. Organizational 4.7. Human Resources	Likelihood: 3-Moderately likely Impact: 3-Intermediate Risk level: Moderate	From: 23/Sept/2019 To: 15/Feb/2023	Chief Advisor, Strategic Planning and State Outreach, UNDP India	Risk Treatment 1.1:UNDP will review payment for human resource where possible Risk Treatment Owner: Project Manager Risk Treatment 1.2: The project will tap into human resource talent such as Mission Managers who have already worked on similar assignments Risk Treatment Owner: Project Manager Risk Treatment 1.3: UNDP will ensure wide outreach of job opportunities through its past and present partner organizations working across the state to attract best talent Risk Treatment Owner: Project Manager
2	There is a risk that natural disaster in Uttarakhand cases damage in infrastructure and movement restriction	As a result of Disaster occurring due to glacier burst	Which will impact in projects implementation in particular the training sessions, capacity building and exposure visits are halted due to the travel restrictions owing to the disaster.	1. Social and Environmental 1.6. Community health, safety and security	Likelihood: 3-Moderately likely Impact: 3-Intermediate Risk level: Moderate	From: 23/Sept/2019 To: 15/Feb/2023	Chief Advisor, Strategic Planning and State Outreach, UNDP India	Risk Treatment 2.1: Use of virtual communications in case of such situation to continue projects Risk Treatment Owner: Project Manager Risk Treatment 2.2: Initial risk assessment and impact of the pandemic have been done and necessary actions involving shifting of the activities/tasks online wherever possible, done. Risk Treatment Owner: Project Manager
3	There is a risk of delay in funds transfer from the State	As a result of 1) Internal control of State government (funds transfer from central	Which will impact in delay in implementation of many outputs and activities under the projects	2.Financial 2.6. Budget availability and cash flow	Likelihood: 3-Moderately likely	From: 23/Sept/2019	Chief Advisor, Strategic Planning and	Risk Treatment 3.1:Timely request/ follow-up with State government so that procedure of government flows smoothly

United Nations Development Programme

**PROJECT DOCUMENT****INDIA**

	government to UNDP	government as well as excess turnover time), 2) Delay in UNDP procedure to prepare Utilisation Certificate (necessary doc for funds transfer) requested by the State government			Impact: 3-Intermediate Risk level: Moderate	To: 15/Feb/2023	State Outreach, UNDP India	Risk Treatment Owner: Project Manager
--	--------------------	--	--	--	--	---------------------------	----------------------------	---------------------------------------

Annex 2: Project Quality Assurance Report**Annex 3: Social and Environmental Screening Procedure**