

United Nations Development Programme

**PROJECT DOCUMENT****Country: INDIA****Project Title:** Technical Support for implementation the of Uttarakhand workforce Development project**Project Number (Award ID):** 110393**Project Number (Quantum Output ID):** 118971**Implementing Partner:** UNDP**Start Date:** 14/Aug/2019**End Date:** 31/Mar/2024**PAC Meeting date:**05/Aug/2019**Brief Description**

In Uttarakhand, of 6.2 million people in the age group 15–59 years in 2010, 3.2 million participate in the labor force (51 percent labor force participation rate—75 percent for male, 28 percent for female), and 16 percent of the total labor force is in wage employment. The shares of workers by sector are 33.8 percent, 33.2 percent, and 27.4 percent, respectively, for the agricultural, industry, and service sectors (NSDC 2013)¹. The fast-economic

Uttarakhand Statistics

- Literacy Rate: 78.80%
- GSDP of Uttarakhand (at current prices) in 2017-18: Rs. 2,14,033.26 crores
- BPL % - 15.6
- BPL % in Rural and Urban Areas – 17.9 and 11.1%
- Poverty among STs – 12.1%
- Population having access to internet – 3.16%
- Sex ratio: 963

growth of the state during the past decade is largely attributed to a booming manufacturing sector. The share of manufacturing in contribution to the GSDP increased from 18.8 percent in 1999 to 31.5 percent in 2010 with the contribution of agriculture shrinking from 30.1 percent to 15.0 percent during the same period². One of the unique characteristics of workers in Uttarakhand, which also contributed to the fast-economic growth of the state, is high mobility. The working-age population is more likely to migrate both intrastate and interstate³. 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 nonfarm 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, whose participation in the labor force has been declining since 1994.

The development of the skills and training sector in terms of access, quality, and relevance is one of the country's top priorities and the Government of Uttarakhand (GoUK) is equally committed to these goals. Backed up by robust economic growth, the favorable location of the state within the dynamic Northern India economy, and the state's investor-friendly industrial policy since 2003, the demand for skilled labor by the industrial and service sectors has been rapidly growing in Uttarakhand. In manufacturing alone, 230 large-scale industries and 42,000 micro, small, and medium enterprises employed 85,000 and 190,000 workers, respectively, in 2011, and the demand is expected to grow to 700,000 workers by 2022 (NSDC 2013)⁴. The Uttarakhand Government aims is to increase the pool of skilled workers by 650,000 over the next five years, to catch up with the growing industry demands. However, with the current quality or capacity of the skills and training sector in Uttarakhand, this demand may be difficult to meet.

Uttarakhand Policy for Skill Development, Employment & Entrepreneurship 2017

The draft policy recognizes the need of scaling efforts for skill development and entrepreneurship across the State and provides the framework for skill development activities in the state for increasing the employability of workers, the competitiveness of enterprise, and lead to less than 4% unemployment rate. The policy envisages the creation of an

¹ NSDC (National Skill Development Corporation). 2013. *District-wise Skill Gap Study for the State of Uttarakhand 2017, 2022*.

² The share of the service sector remained stable between 51.1 percent in 1999 and 53.7 percent in 2010.

³ The proportion of working-age population that experienced interstate migration is 33 percent as opposed to the all-India average of 17 percent. Similarly, the proportion of the population that experienced international migration is 2.7 percent as opposed to the all-India average of 0.8 percent.

⁴ Of 700,000 worker demand in manufacturing, 180,000 are expected to be skilled and 260,000 are semiskilled workers. For the entire Uttarakhand economy, the same analysis shows a growth of labor force from 3.8 million to 5.9 million between 2012 and 2022.

integrated institutional mechanism with the Uttarakhand Skill Development Mission as the Nodal agency for skill development and Employment activities- as single window for the stakeholders for skill development, employment activities, with a Skill Development, Employment and Entrepreneurship cell in other State Government departments.

The Uttarakhand Workforce Development Project (UKDP)

To improve the quality and relevance of training at priority Industrial Training Institutes (ITIs) and to increase the number of labor-market-relevant workers through short-term training in Uttarakhand, a project has been signed with World Bank on Uttarakhand Workforce Development. The Country Partnership Strategy of World Bank Group, India expresses that it will contribute to the 12th Five Year Plan target of providing skills training to 400 million workers by 2022. The project will contribute to these objectives by supporting Uttarakhand to strengthen the delivery of skills and training programs to produce higher-quality workers with relevant market skills and increasing access. This state-level skills development project would also play a strategic role in the World Bank's engagement in the skills agenda at the national level. An in- depth experience and lessons from Uttarakhand would inform the national-level engagement and could also provide a demonstration effect. There would be close linkages and synergies between the proposed project and the national-level engagements.

The Uttarakhand Workforce Development Project (UKWDP) has the following three components. Components 1 and 2 use a Result-based Financing (RBF) approach using Disbursement-linked Indicators (DLIs), and Component 3 uses traditional expenditure-based financing.

- Component 1: Improving the Quality and Relevance of ITI Training
- Component 2: Increasing the number of Skilled Workers through Short-term Training
- Component 3: Policy and Institutional Development and Project Management.

UNDP AS TECHNICAL SUPPORT AGENCY

UNDP will provide support to the Department of Skill Development and Employment (DSDE) and Uttarakhand Workforce Development Project (UKWDP) in hiring of team of professionals and provide capacity building support through trainings, workshops, exposure visits and Knowledge Management along with documentation of best practices.

Contributing Outcome (UNSDCF, CPD, RPD):

#4: By 2027, people will benefit from and contribute to sustainable and inclusive growth through higher productivity, competitiveness

and diversification in economic activities that create decent work, livelihoods and income particularly for youth and women


Indicative Output(s) with gender marker¹:

Output 2.2: Women, youth and other vulnerable groups transition into gainful employment and productive economic activities

Gender marker: GEN 2

Total resources required:	USD 10,58,157 (INR 8,78,05,879)	
Total resources allocated:	USD 10,58,157	
	UNDP TRAC:	0
	Donor:	0
	Government:	USD 10,58,157 (INR 8,78,05,879)
	In-Kind:	0
Unfunded:		

Agreed by (signatures):

Government	UNDP
Name:	<p>DocuSigned by:  Name: Shoko Noda Resident Representative</p>
Date:	Date: 8 June 2023

I. DEVELOPMENT CHALLENGE

Skill Gaps in Uttarakhand

24.49% of total population of the State which is close to 30 lakhs is within the age group of 20 to 35 years. While there is a paucity of highly trained workforce, there is also the challenge of non-employability of sizeable number of conventionally educated youth with little or no skills. As per the perception of the youth Skilling is seen as a last resort when employment in the Government sector is not available. Reports also show that even though a high number of polytechnic and Industrial training institutes exist (153), they only cater to about 15000 students on an average (fig 1). Reports also show that the Skill Development is not aspirational for the youth of the State and the common perception is that the current vocational training programmes have limitations as far as quality, standardization and employability are concerned.

S#	DISTRICT	Colleges/ Centres	Students	Average Enrollments
1	Chamoli - Polytechnic	2	170	85
	Chamoli-ITI	8	353	44
2	Rudraprayag- Polytechnic	2	48	24
	Rudraprayag- ITI	4	156	39
3	Tehri Garwhal- Polytechnic	1	248	248
	Tehri Garwhal- ITI	12	449	37
4	Uttarkashi- Polytechnic	1	483	483
	Uttarkashi- ITI	6	207	35
5	Dehradun- Polytechnic	5	947	189
	Dehradun- ITI	8	1043	130
6	Pauri Garwhal- Polytechnic	7	1526	218
	Pauri Garwhal- ITI	17	650	38
7	Pithoragrah- Polytechnic	4	102	26
	Pithoragrah- ITI	8	396	50
8	Champawat- Polytechnic	1	185	185
	Champawat- ITI	5	304	61
9	Almora- Polytechnic	6	542	90
	Almora- ITI	1	704	44
10	Baghweshwar- Polytechnic	2	153	77
	Baghweshwar- ITI	4	66	17
11	Nainital- Polytechnic	3	1118	373
	Nainital- ITI	10	743	74
12	USN- Polytechnic	3	1784	595
	USN- ITI	10	747	75
13	Haridwar- Polytechnic	1	334	334
	Haridwar- ITI	7	343	49

Fig 1: District wise vocational training institutes and number of students

Source: District Skill Gap Study for the State of Uttarakhand, 2017,2022: National Skill Development Corporation

It has been projected that the State of Uttarakhand will have an incremental human resource requirement of approximately 5.89 million by 2022. As per the The State currently has more than 215 large industries and about 39,160 small and medium industries and together they employ around 254,000 people⁶ (The labor force participation for the State was 48 percent in 2017- 18(DES, GoUK) as compared to labor participation rate of 53 percent at the all India level indicating increasing level of unemployment in Uttarakhand. The labor force participation rates for both men and women in Uttarakhand, are also less than the national average.

The State Skill Development Mission came into being in 2013 to counter the skill gap and the Department of Skill Development & Employment was created in 2017 to promote entrepreneurship and cater to domestic as well as overseas market demand of skilled human resource. The state over a period of time, has transformed from an agrarian State into an industrial hub. There exists a vibrant policy framework for the industries sector and development of industrial infrastructure in the State. The Industrial Policy of 2003 and the Integrated Industrial Development Policy in 2008, were formulated to identify opportunities and utilize the resources in partnership with private

⁶District Skill Gap Study for the State of Uttarakhand, 2017,2022: National Skill Development Corporation)

players for overall promotion and development of industry in the State. Several Integrated Industrial Estates as well as State Infrastructure and Industrial Development Corporation of Uttarakhand Ltd ('SIDCUL') developed to promote industrial development in the State. The State has given several incentives to the industrial sector by giving tax exemption for 10 years, resulting in an industrial boom largely restricted to 3 Districts (Dehradun, Hardwar and Udham Singh Nagar). The services sector has shown maximum growth and sectors are like construction, Retail and Transportation and Warehousing and Education are rapidly expanding for which the State needs to prepare itself.

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

UNDP as a technical support agency will hire a team of professionals and provide capacity building support through trainings, workshops, exposure visits and Knowledge Management along with documentation of best practices.

The team of professionals will help the project in implementation and monitoring of project activities. UNDP will also conduct capacity building trainings from time to time to strengthen the delivery of skills and training programs and to produce higher-quality workers with relevant market skills and increasing access.

UNDP will undertake following tasks:

- **Task1:** Recruitment and Management of Professionals/PMU to roll out the project activities in the state
- **Task2:** Provide technical support in terms of Capacity building, trainings and knowledge management.

Mobilisation of high quality human resource within the **Department of Skill Development and Employment** and implementation of capacity building training plan of existing and newly recruited professionals will lead to directly in achievement of the UKWDP objectives of improving the quality and relevance of training at priority Industrial Training Institutes (ITIs) and of increasing the number of labor-market-relevant workers through short-term training in Uttarakhand.

III. RESULTS AND PARTNERSHIPS

Expected Results

Task1: Recruitment and Management of Professionals/PMU to roll out the project activities in the state

The focus will be on strengthening the Department of Skill Development and Employment (**DSDE**) and **UKWDP** for effective project management that develops key systems and processes for coordination and management of the Project to ensure the satisfactory implementation. UNDP experts will provide technical Support to the UKWDP for establishing/ hiring team of professionals in various functional areas such as Institutional Development, capacity building, Procurement and contract management, Social and Gender Development, Finance, Monitoring and Evaluation among others. The professionals would establish arrangements to facilitate implementation of project activities. They will also undertake comprehensive situational analysis to identify forms of social, financial and economic requirements of the aspirants from the state. This will help the department and project to prioritize interventions and resources while formulating the Annual Action Plan and project targets. The professionals will also support institutionalizing partnerships with resource agencies, professional service firms, public and private sectors considering their domain expertise in various functional areas.

Task2: Provide technical support in terms of Capacity building, trainings and knowledge management.

UN Country Team (UNCT) in India draws on internal staff expertise and external experts/organisations to provide demand-driven, quality technical support to all the three tiers of

the governments - central ministries (including NITI Aayog), state governments and local governments. Support is provided in areas of (i) capacity development (ii) integrated planning; (iii) budgeting for outcomes; (iv) data driven decision making; and (v) communication and advocacy. UNDP will utilize its experts from different programme units to provide technical support and capacity building trainings to all the consultants and the regular staff in SPIU in the areas of skill development, entrepreneurship, livelihoods, and climate change and environment conservation.

Under this assignment for UKWDP, UNDP envisages to provide technical support for capacity building and training support and knowledge management. Proposed activities include-

A. Capacity building and training workshops.

- Institutional strengthening for taking forward the SDM agenda
- Data ecosystem mapping and monitoring
- Behavioural and perception change to make skill development aspirational and help youth to make informed choices
- Skill development through Public-Private Partnership (PPP) models and Innovative business models
- Convergence with national and state flagship govt. programs.

1. **Institutional strengthening for taking forward the USDM agenda:** The State skill development policy provides for remodelling of employment exchanges at the district level as District Skill Development & Employment Information Centre, while in the rural and remote areas in block level ITIs/Polytechnics to be developed as Skill Development & Employment Information centres. These centres will provide skill development training information, employment opportunities and entrepreneurship related financial assistance support. The USDM would also need to converge with local bodies/panchayat and District Administration for promotion of Skill Development activities and for Mobilization.
2. **Data ecosystem mapping and monitoring:** Mapping of Existing Resources & employment, including local skills, skill Gaps, skill infrastructure available under public and private sectors, latest trends and requirements of industry, current and future skill sets and workforce requirement and available skill training resources of the State to be placed on an MIS portal to help assess the skill gaps and existing resources at District and Block level to leverage on strengths of an area. Post Placement Tracking may be done to maintain a central repository of certified youth to make them available to employers and keep it aligned to the National Apprenticeship Promotion Scheme.
3. **Behavioural and perception change to make skill development aspirational and help youth to make informed choices:** Awareness generation to remove the disconnect and make skill development a desired goal for the local youth and promotion of 'social entrepreneurship' and 'inclusive entrepreneurship' entrepreneurship courses with access to institutional finance through soft loans/grants. Help the youth to make informed choices through assessment processes to assess the need and aptitude. Make provision for third party assessments and certification post training so that is aligned to latest National Skills Qualification Framework.
4. **Skill development through appropriate Public-Private Partnership (PPP) models:** The need for coordinated action in the skills space includes Enhanced and coordinated private sector initiatives for skill development through appropriate Public-Private Partnership (PPP) models, for significant operational and financial involvement from the private sector. Envisaged in the form of active participation of the industry/private sector in every stage of design and implementation of the Skill Development Initiative Scheme (SDI), it will help build strong models for relevant and successful skill development progression in the State, create Skill Development Centres and create employment opportunities at the grass-root level, the Centre has called for a public-private partnership that will work towards across the country.
5. **Convergence and integration:** Various Government departments are running vocational training / skill development programmes. Convergence of efforts in Skill training and Entrepreneurship Development Programmes (EDPs) and integration and linkage of Skill training including short-term, industry-relevant courses, with formal education will take the

advantage of the large labour pool available and provide seamless horizontal and vertical mobility to ITIs, Polytechnics and Engineering Courses and other Higher Education courses.

B. Knowledge management

1. MIS/ Knowledge portal:

The portal will aim to promote interactions among various stakeholders, to consolidate the knowledge and data gathered through various activities at one place and to make this knowledge readily available for the users and community at large.

The portal will make various data sets, reports and related studies available for policy makers and its management practitioners with a resource to explore, evaluate, synthesize, and learn about sector/industry and actions at multiple levels of details for the specific region. This will also result in informing the decision making process concerning policies or specific measures needed for skill development among local youth.

2. Documentation: Document best practices which help address gaps in the skillingecosystem

A good practice is a technique or methodology that, through experience and research, has proven to reliably lead to a desired result. A commitment to using the good practices in any field is a commitment to using all the knowledge and technology at one's disposal to ensure success. Some of the characteristics of a good criteria include relevancy in addressing the operational and programming areas; Innovative in demonstrating new and creative ideas to solving the problems; impact demonstrates a positive and tangible result that enhances program delivery and contributes to long term results and Replicability in that it serves as an effective model and has potential for application to other contexts/programs.

Experts will aim to capture and share practices and experiences in order to build a collective knowledge network and inform learning from the experiences to compliment knowledge gaps in the skill ecosystem. Under this assignment, UNDP will facilitate Exposure visit to national and international good practices in skill development including learning methodologies, evolution, experiments especially digital delivery of learning and experience in liaising with leading agencies in skill development

C. Exposure Visits

Exposure visits have been widely used by Skill Development Institutes and organizations to promote knowledge sharing and capacity development. The methodology used by this analysis includes a literature review and interviews with expert practitioners. The motivation for organizing and implementing exposure visits, including but not limited to the following:

- Exposing participants to a variety of new approaches and/or technologies to demonstrate concrete and practical results;
- Developing technical skills or offering training on a particular skill or strategy;
- Providing motivation or a spark of inspiration to encourage participants to try new approaches or develop new attitudes;
- Encouraging critical thinking and reflection;
- Developing trust and confidence that encourages future exchanges;
- Connecting groups, creating networks for ongoing engagement or learning around an issue;
- Developing advocacy messages, evidence, and solidarity and forming new leaders to help push forward an agenda; and
- Influencing decision makers

Resources Required to Achieve the Expected Results

- The project will be entirely funded by the Government of Uttarakhand through a financial allocation of **USD 851,132**. Key inputs include recruitment and deployment of 12 personnel at State level for effective implementation of the World bank funded UKWDP.

Partnerships

- The project will be essentially implemented through partnership between UNDP and Government of Uttarakhand. UNDP will be uniquely positioned to quickly transfer the technical know-how gained at the national and state level working across the country on this flagship schemes and programmes in the areas of Skill development.

Risks and Assumptions

- There is tremendous interest in the state level partners for collaborating with UNDP. Within the overall rubric of this project brief, strategies may need adaptation if there is a change of priorities.
- Risk mitigation will include constant engagement with partners and responding quickly to changing priorities if any.
- An assumption is that the UNDP model for providing Advisory Services will be functioning smoothly throughout the duration of the project. This will need to be closely monitored and strategies adapted if there is any change.

Stakeholder Engagement

The key stakeholders are –

- DSDE, Uttarakhand – As the key government institution responsible for implementation of World bank funded UKWDP.
- World Bank as funding agency.
- Industrial Training Institutes.
- **Target Groups:** The direct project beneficiaries during the project period are (a) 30,500 trainees in ITIs and (b) 50,000 untrained youth, including unemployed and unskilled workers participating in short-term training.⁷ A selected number of priority public ITIs will receive comprehensive quality and relevance improvement packages, and other public ITIs will benefit from professional development and administrative quality improvement. Private ITIs will also benefit from in-service professional training opportunities and improved ITI sector management.⁸ Capacity building programmes will be the main vehicles of short training courses under SDM; hence, they will benefit from capacity development and increased market opportunities. Industries and the economy as a whole will benefit from a larger number of more relevantly skilled workers, trained either through ITIs or short courses.

South-South and Triangular Cooperation (SSC/TrC)

UNDP will facilitate sharing of lessons and best practices in the areas of Skill development. At the same, relevant good practices from Uttarakhand will be shared in global platforms. Wherever possible, cross-exchanges will be organized with countries in the region as well as with other state level initiatives.

⁷ Trainees at ITIs and short-term training after the project period will also benefit from the improved quality and relevance of training.

⁸ For example, improved Management Information System (MIS) and introduction of the ITI performance scorecard will also involve private ITIs.

Knowledge

Knowledge management is an important component of this engagement/partnership. Under this component, the project will be supported in documenting best practices which help address gaps in the skilling ecosystem, and development of MIS/ Knowledge portal.

Sustainability and Scaling Up

The sustainability/scaling up of the UKWDP project will be ensured by DSDE, Uttarakhand upon successful implementation.

IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)***Cost Efficiency and Effectiveness***

The project will be funded by the DSDE under World Bank funded project, UKWDP and will follow the cost norms agreed by the Government of Uttarakhand.

The Country Partnership Strategy of World Bank Group, India expresses that it will contribute to the 12th Five Year Plan target of providing skills training to 400 million workers by 2022.

The project will contribute to these objectives by supporting Uttarakhand to strengthen the delivery of skills and training programs to produce higher-quality workers with relevant market skills and increasing access.

Project Management

The project will operate from Department of Skill Development and Employment, Government of Uttarakhand, Dehradun, Uttarakhand. Operations support will be provided by the Government of Uttarakhand under the project. The Government of Uttarakhand will constitute a Project Steering Committee chaired by Secretary – Skill Development and Employment, Government of Uttarakhand, and UNDP representative for periodic review of project activities. The Government partner will appoint a Nodal Officer to facilitate communication and coordination between the Uttarakhand Workforce Development Project team as well as various departments and at State / Division / district and block level. The UNDP State Office team through its Human Resources will provide technical support in implementation of the project activities under the project budget and also monitor and review the project implementation progress regularly. The UNDP Uttarakhand Office through its Programme, Human Resource and Finance teams will provide oversight and quality assurance of the services being provided.

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.

Following table highlights Work Plan for technical support in terms of Capacity building, trainings and knowledge management.

S#	Activity	Year 1				Year 2				Year 3				Year 4			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
B	Task2: Provide technical support in terms of Capacity building, trainings and knowledge management.																
1	CAPACITY BUILDING AND TRAININGS: • Institutional strengthening for taking forward the SDM agenda • Data ecosystem mapping and monitoring • Behavioural and perception change to make skill development aspirational and help youth to make informed choices • Skill development through Public-Private Partnership (PPP) models and Innovative business models • Convergence with national and state flagship govt. programs.																
3	EXPOSURE VISITS: Organise exposure visit on Innovative business models and best practices to align skill development with the industry ecosystem.																
5	KNOWLEDGE MANAGEMENT: (Development of Portal, documentation of case studies, Flyers and Brochures)																

Funds Flow Arrangements and Financial Management:

- ② A mobilization advance equal to 03 months of gross expenses will be required by UNDP from State Government to facilitate the smooth operations. UNDP Country Office at New Delhi, through its Programme, Human Resource and Finance teams will provide oversight and quality assurance of the services being provided. UNDP will charge a management fees of 8% on the gross expenditures.
- ② The project will be directly implemented by UNDP in close collaboration with the Airport Authorities of India. UNDP will implement the project under Direct Implementation modality and will be responsible for all financial management, reporting and recruitment services in line with UNDP rules and procedures.
- ② UNDP may identify Responsible Parties to carry out activities within a DIM project. A Responsible Party is defined as an entity that has been selected to act on behalf of the UNDP on the basis of a written agreement or contract to purchase goods or provide services using the project budget. All Responsible Parties are directly accountable to UNDP in accordance with the terms of their agreement or contract with UNDP. The Responsible Party may follow its own 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 the responsible party, does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition that of UNDP shall apply.
- ② **Project Audit:** The donor funds shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules, policies and procedures of UNDP. Should the annual Audit Report of the UN Board of Auditors to its governing body contain observations relevant to the donor funds, such information shall be made available to the donor by the country office.
- ② **Project closure:** The project would be closed as per UNDP rules and regulations.

V. RESULTS FRAMEWORK⁹

Intended Outcome as stated in the UNSDCF Country Programme Results and Resource Framework:

#4: By 2027, people will benefit from and contribute to sustainable and inclusive growth through higher productivity, competitiveness and diversification in economic activities that create decent work, livelihoods and income particularly for youth and women

Outcome indicators as stated in the Country Programme Document Results and Resources Framework, including baseline and targets:

2.2.1: Number of individuals equipped with necessary skills and supported with finance, market access and linkages to schemes for enhanced access to livelihood opportunities and volunteerism

Applicable Output(s) from the UNDP Strategic Plan as mentioned in the CPD:

Output 2.2: Women, youth and other vulnerable groups transition into gainful employment and productive economic activities

Project title and Quantum Project Number: Technical Support for implementation of the Uttarakhand Workforce Development Project 118971

EXPECTED OUTPUTS	OUTPUT INDICATORS ¹⁰	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)							DATA COLLECTION METHODS & RISKS
			Value	Year	Year1 (2019)	Year 2 (2020)	Year 3 (2021)	Year 4 (2022)	Year 5 (2023)	Year 6 (2024)	FINAL	
Output 1: Institutional Strengthening of the Department of Skill Development and Employment to convert select 24 Industrial Training Institutes (ITI) into model ITIs. GENDER MARKER -GEN 2	<i>Number of technical teams in place for the implementation of Uttarakhand Workforce Development Project (UKWDP)</i> <i>Gender indicator: (i)atleast 30% females are recruited, (ii) atleast 1 female will be placed as an interview panel, (iii) At leastb 1 Interview question will be stonglty aligned with gender. (iv) At state level, the project has one Gender Specialist who will oversee state level activities to ensure gender mainstreaming such as a) conduction of gender training to all state and district level staff as well as government countarparts; b) to ensure balanced enrollment of female candidates in ITIs; and c) to ensure other gender sensitivity/parity elements (such as wages, participation and activity planning).</i>	Government	0	2019	15	15	15	15	15	15	15	UNDP Annual Project Reports

<p>Output 2: Capacity building for new and existing staff of Department of Skill Development and Employment conducted in order to enhance their capacities in delivering well structured training in relevant fields</p> <p>Gender marker: GEN 2</p>	<p><i>Number of Project Management Unit (PMU) staff with an enhanced capacity to better facilitate in trainings in converting select 24 ITIs into Model it is</i></p> <p><i>Gender indicator: (i)atleast 30% women participants in the training, (ii) Gender inclusive selection criteria will be developed for identification of best practices to be introduced in the training courses, (iii) The focus of exposure visit would be on learning from women empowerment initiatives in the model states, aiming at replication of the same in the Uttarakhand. (iv) A special focus on gender inclusion should be considered while planning thematic courses/ workshops.</i></p>	Government	0	2019	1	2	3	4	5	6	6	UNDP Annual Project Reports
<p>Output 3: Strengthening monitoring and evaluation mechanism under Uttarakhand Workforce Development Project (UKWPD) through converting ITIs into model ITIs, and development of Knowledge Management Products.</p> <p>Gender marker: GEN 2</p>	<p><i>Number of Knowledge Management Products prepared.</i></p> <p><i>Gender Indicator:(i) Project will encourage women to use the MIS portal. (ii) Genderrelated components will be included in the portal subject to approval from the State government (iii) The Knowledge products will target to increase the admission of female candidates by 5 - 10 % from the entire 13 districts of the state.</i></p>	Government	0	2019	1	1	1	1	1	1	1	UNDP Annual Project Reports

⁹ UNDP publishes its project information (indicators, baselines, targets and results) to meet the International Aid Transparency Initiative (IATI) standards. Make sure that indicators are S.M.A.R.T. (Specific, Measurable, Attainable, Relevant and Time-bound), provide accurate baselines and targets underpinned by reliable evidence and data, and avoid acronyms so that external audience clearly understand the results of the project.

¹⁰ It is recommended that projects use output indicators from the Strategic Plan IRRF, as relevant, in addition to project-specific results indicators. Indicators should be disaggregated by sex or for other targeted groups where relevant.

VI. MONITORING AND EVALUATION

In accordance with UNDP's programming policies and procedures, the project will be monitored through the following monitoring and evaluation plans:

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, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Department of Skill Development and Employment, Govt. of Uttarakhand	
Monitor and Manage Risk	Specific risks will be identified, monitored and managed in the risk log. In addition, quarterly and annual monitoring reports will be developed. This includes 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 Skill Development and Employment, Govt. of Uttarakhand	
Learn	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Concurrent	Relevant lessons are captured by the project team and used to inform management decisions.	Department of Skill Development and Employment, Govt. 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 inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	Department of Skill Development and Employment,	

				Govt. of Uttarakhand	
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.	Department of Skill Development and Employment, Govt. of Uttarakhand	
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)		Department of Skill Development and Employment, Govt. of Uttarakhand	
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 Project Steering Committee shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Half yearly	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	Department of Skill Development and Employment, Govt. of Uttarakhand	

Evaluation Plan¹¹

No evaluation planned for this project.

¹¹ Optional, if needed

VII. MULTI-YEAR WORK PLAN ¹²¹³

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						RESPON SIBLE PARTY	PLANNED BUDGET		
		(Y1-4: actual expenditure, Y5-6: planned budget)							Funding Source	Budget Description	Amount
		Y1 (2019)	Y2 (2020)	Y3 (2021)	Y4 (2022)	Y5 (2023)	Y6 (2024)				
<p>Output 1: Institutional and Capacity Development</p> <p><i>Gender marker: GEN--2</i></p> <p><i>Gender indicator: (i)atleast 30% females are recruited, (ii) atleast 1 female will be placed as an interview panel, (iii) At least 1 Interview question will be strongly aligned with gender. (iv) At state level, the project has one Gender Specialist who will oversee state level activities to ensure gender mainstreaming such as a) conduction of gender training to all state and district level staff as well as government countarparts; b) to ensure balanced enrollment of female candidates in ITIs; and c) to ensure other gender sensitivity/parity elements (such as wages, participation and activity planning).</i></p>	<p>Mobilisation of Human Resource- Currently 15 consultants are functional, and 03 more consultants will be recruited under the PMU.</p>	1,251	81,757	96,614	165,012	98,582	342,536	UNDP	Govt. of Uttarakhand	785,752	

<p>Output 2: Capacity building for new and existing staff of Department of Skill Development and Employment conducted in order to enhance their capacities in delivering well structured training in relevant fields</p> <p>Gender marker: GEN 2</p> <p><i>Gender indicator: (i)atleast 30% women participants in the training, (ii) Gender inclusive selection criteria will be developed for identification of best practices to be introduced in the training courses, (iii) The focus of exposure visit would be on learning from women empowerment initiatives in the model states, aiming at replication of the same in the Uttarakhand. (iv) A special focus on gender inclusion should be considered while planning thematic courses/ workshops.</i></p>	Capacity Building of the PMU staff and Department of Skill Development	0	0	535	8,546	25,645	3,964	0			38,690

<p>Output 3: Strengthening monitoring and evaluation mechanism under Uttarakhand Workforce Development Project (UKWPD) through converting ITIs into model ITIs, and development of Knowledge Management Products.</p> <p>Gender marker: GEN 2</p> <p><i>Gender Indicator:(i) Project will encourage women to use the MIS portal. (ii) Genderrelated components will be included in the portal subject to approval from the State government (iii) The Knowledge products will target to increase the admission of female candidates by 5 - 10 % from the entire 13 districts of the state.</i></p>	Development of an Interactive MIS portal / Knowledge Products	0	0	0	0	89,760	0	UNDP/DSDE	Govt. of Uttarakhand		89,760
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¹² 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

¹³ 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.

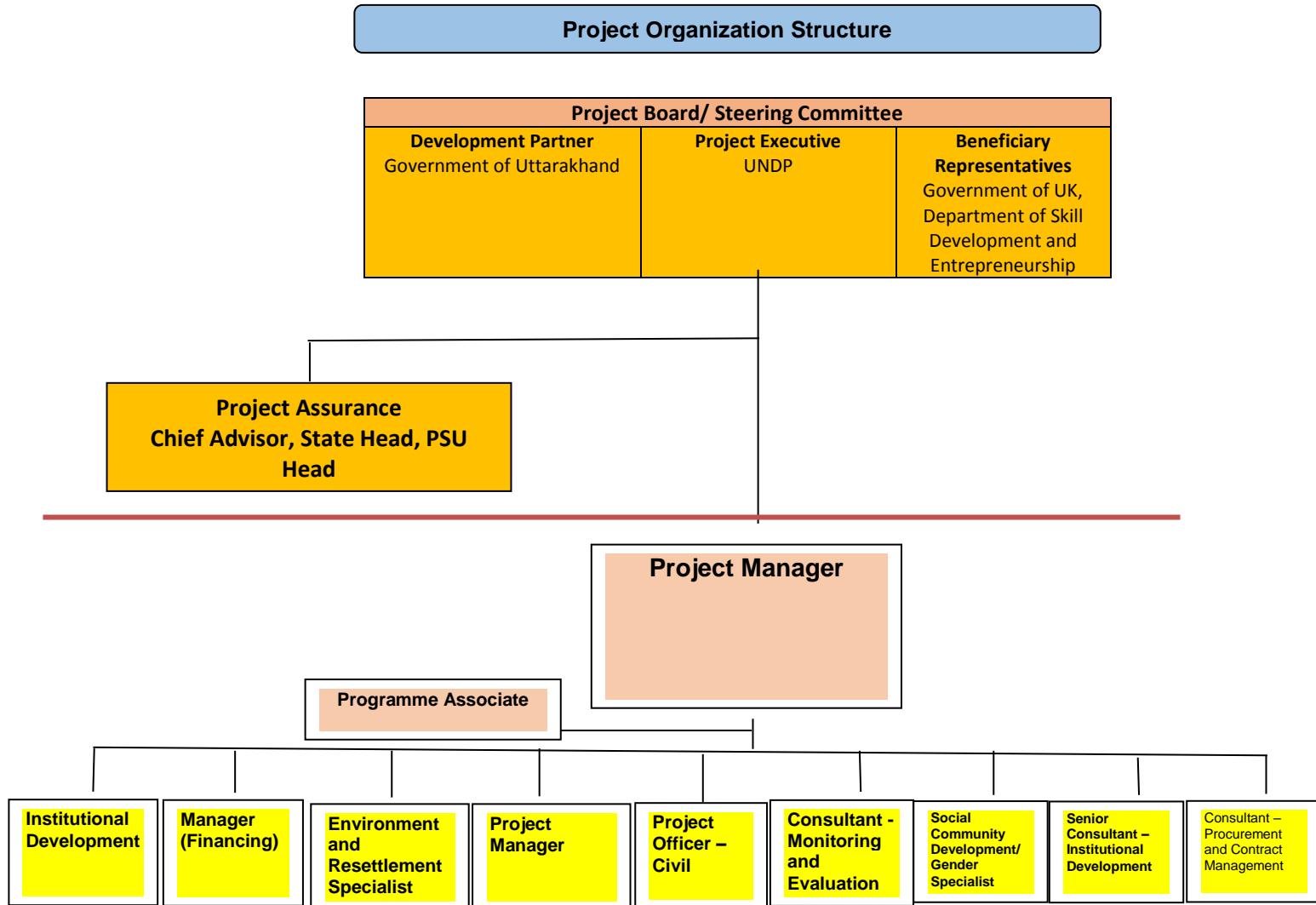
2. Project Supportand Operations	Project Management	0	0	0	0	0	65,573	UNDP	Govt. of Uttarak hand		65,773
Evaluation	EVALUATION							UNDP	Govt. of Uttarak hand		
Total (USD)		1,251	81,757	97,149	1,73,558	2,13,987	4,12,073				9,79,775
UNDP Management Fee⁵		100	6,541	7,772	13,885	17,119	32,966	UNDP	Govt. of Uttarak hand	Development Support	78,382
TOTAL (USD)		1,351	88,298	104,921	187,443	231,106	4,45,038				1,058,157

⁵ Expenditures for Y1-4 are as per actual. They are not calculated by multiplying total by 8%.

VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

Project Steering Committee:

The State Project Steering Committee (SPSC), would be set up to review and monitor the implementation of the project, will review the effectiveness and efficiency of the support towards strengthening the institutional, implementation and capacity building of the state government in Skill development and employment generation. The SPSC will also provide oversight in making better use of externally.



Project Management Team:

The proposed team will support the existing Human Resource – State Project Implementation Unit (SPIU). The following professionals will be hired by UNDP for World Bank funded Uttarakhand Workforce Development Project under this task. 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 UKWDP for strengthening and designing their Annual Work Plans (AWPs). Provide technical support in execution of overall activities planned annually.
Institutional Development	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Strengthen capacities for Institutional Development of the Department.
Manager (Financing)	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Strengthen capacities for Finance of the Department.
Environment and Resettlement Specialist	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Strengthen capacities for Environment and Resettlement of the project sites for the Department.
Project Manager	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Develop awareness and capacity of different departments at district and state level.
Project Officer – Civil	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Strengthening policies of Department for Civil Works.
Consultant - Monitoring and Evaluation	1	Provide technical support to Monitoring and Evaluation of the UKWDP project for the Department.
Social Community Development/Gender Specialist	1	Provide technical support for equal representation of Gender and Socially backward communities under the UKWDP Project for the Department.
Senior Consultant – Institutional Development	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Strengthen capacities for Institutional Development of the Department.
Consultant – Procurement and Contract Management	1	Coordinate with departments for strengthening and designing their Annual Work Plans (AWPs). Strengthen capacities for the Procurement of Products and helps in Contract Management of the Department.
Total	11	

Project Implementation:

The project will invest intensively work towards achievement of following indicators against UKWDP development objectives:

- Job placement rate among graduates of priority ITIs within six months of training completion
- Number of students enrolled in labor-market-relevant trades in priority ITIs (% of which are female)
- Job placement rate among short course pass-outs after three months of training completion
- Number of target trainees who obtain certification from a short-term training course (cumulative, % of which are female, % of which are ST/SC)

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.

IX. 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 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.

X. 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 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 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 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 made by the donor to UNDP bank account as mentioned below.

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.
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.”
 1. 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.
 2. 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 will take appropriate steps to prevent misuse of funds, fraud or corruption, 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 and anti-fraud policies are in place and enforced for all funding received from or through UNDP.
 - d. 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 and (b) 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.
 - e. 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.
 - f. 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 or corruption 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 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.

- g. *Choose one of the three following options:*

Option 1: 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 or corruption, 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 or corruption, 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.

- h. 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.
- i. 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.
- j. 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.

XI. ANNEXES

1. Project Quality Assurance Report – (Template Annexed)

2. Social and Environmental Screening – (Template Annexed)

3. Risk Analysis.

#	Event	Cause	Impact(s)	Risk Category and Sub-category (including Risk Appetite)	Impact, Likelihood & Risk Level (see Annex 3 Risk Matrix)	Risk Valid From/To	Risk Owner (individual accountable for managing the risk)	Risk Treatment and Treatment Owner
1.	There is a risk that there might be delay in funds transfer from the State government to UNDP	As a result of 1) Internal control of State government (funds transfer from central 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	it will result in delay in implementation of many outputs and activities under the projects.	2. FINANCIAL (2.6. Budget availability and cash flow) - UNDP Risk Appetite: MINIMAL TO CAUTIOUS	Likelihood: 3 - Moderately likely Impact: 3 - Intermediate Risk level: MODERATE (equates to a risk appetite of EXPLORATORY)	From: 01-Jan-19 To: 30-Jun-23	Programme Officer	Risk Treatment: Timely follow up and regular advocacy with the state and national government. Risk Treatment Owner: Project Manager
2.	There is a risk of climate disaster i.e., flash floods, which may impact the project activities	As a result of erratic rainfall and incidences of cloud bursts in the Himalayan state there are high chances of flash floods every year	In such a situation project activities like face to face training will be impacted	1. SOCIAL AND ENVIRONMENTAL (1.5. Climate change and disaster risks) - UNDP Risk Appetite: CAUTIOUS	Likelihood: 2 - Low likelihood Impact: 2 - Minor Risk level: LOW (equates to a risk appetite of CAUTIOUS)	From: 01-Jan-19 To: 31-Mar-24	Programme Officer	Risk Treatment: Efforts will be done to conduct the activities online where possible to minimize the impacts. Risk Treatment Owner: Project Manager

3.	There is a risk that stakeholders like government officials and institutions may have limited capacity to formulate and/or implement the project requirements.	Due to frequent change of the nodal officers in the government.	In such a situation, it can lead to ill-adapted management decisions and poor accountability.	<p>1. SOCIAL AND ENVIRONMENTAL (1.1. Human rights) - UNDP Risk Appetite: CAUTIOUS</p> <p>1. SOCIAL AND ENVIRONMENTAL (1.3. Grievances (Accountability to stakeholders)) - UNDP Risk Appetite: CAUTIOUS</p> <p>1. SOCIAL AND ENVIRONMENTAL (1.12. Stakeholder engagement) - UNDP Risk Appetite: CAUTIOUS</p>	<p>Likelihood: 1 - Not likely</p> <p>Impact: 3 - Intermediate</p> <p>Risk level: LOW (equates to a risk appetite of CAUTIOUS)</p>	<p>From: 01-Jan-19</p> <p>To: 31-Mar-24</p>		<p>Risk Treatment Owner: Project Manager</p> <p>Risk Treatment: Support on capacity building and for setting up strong implementation systems. This will enable balancing between achievement of numbers and ensuring quality aspects of the programme.</p>
4.	There is a risk that the project activities and approaches might not fully ensure active participation or equitable opportunities for the involvement and benefit of the key vulnerable stakeholders including women and girls.	As a result of existing differentiated and uneven roles, experiences, priorities, responsibilities, and needs of vulnerable stakeholders, especially women and girls.	In such a situation, inappropriate stakeholder engagement measures may potentially limit and prevent women and girls' representation and meaningful participation in project interventions and activities, worsening their social position and access to critical resources. This could also inadvertently reproduce existing discrimination against vulnerable stakeholders, especially women and girls, in project implementation.	<p>1. SOCIAL AND ENVIRONMENTAL (1.2. Gender equality and women's empowerment) - UNDP Risk Appetite: CAUTIOUS</p> <p>1. SOCIAL AND ENVIRONMENTAL (1.12. Stakeholder engagement) - UNDP Risk Appetite: CAUTIOUS</p>	<p>Likelihood: 2 - Low likelihood</p> <p>Impact: 2 - Minor</p> <p>Risk level: LOW (equates to a risk appetite of CAUTIOUS)</p>	<p>From: 01-Jan-19</p> <p>To: 31-Mar-24</p>	Programme Officer	<p>Risk Treatment Owner: Project Manager</p> <p>Risk Treatment:</p> <ul style="list-style-type: none"> Women groups and other marginalized groups will be targeted during project implementation for equitable participation and benefit. The project decision-making structures will also have equitable representation by women.

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