

## UNITED NATIONS DEVELOPMENT PROGRAMME



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**PROJECT DOCUMENT****Country: 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):** 110393

**Project Number (Atlas Output ID):** 117158

**Implementing Partner:** UNDP

**Start Date:** 23-09-19

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**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%<sup>1</sup> (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 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.

Contributing Outcome (UNSDf):  Indicative CPD Output(s)  Gender marker <sup>2</sup> :	<b>Total resources required:</b>	<b>Rs.590,27,842</b>	
	<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
		<b>Donor:</b>	
		<b>Government:</b>	<b>Rs.590,27,842</b>
		<b>In-Kind:</b>	
<b>Unfunded:</b>	Nil		

Agreed by (signatures)<sup>2</sup>:

Government	UNDP	Implementing Partner
Print Name: Designation: Date:	 Print Name: Designation: Date:	Print Name: Designation: Date:

<sup>1</sup>

Ministry \_\_\_\_\_ of \_\_\_\_\_ Statistics  
 ([http://www.mospi.gov.in/sites/default/files/press\\_releases\\_statements/StatewiseDomesticProduct\\_3aug18.xls](http://www.mospi.gov.in/sites/default/files/press_releases_statements/StatewiseDomesticProduct_3aug18.xls))

<sup>2</sup> Note: Adjust signatures as needed

<sup>2</sup> The 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)

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**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. 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><b>Strategy 1 – Technical support to CPPGG for boosting Economic Growth</b></p> <p>UNDP will recruit technically sound sectoral experts in Centre for Public Policy &amp; 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.</p>	<p><b>1.1 CPPGG - Policy for Green Growth:</b> 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><b>1.2 CPPGG- Policy for Ensuring Entrepreneurship Development and Placement Assistance:</b> 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>
	<p><b>1.3 CPPGG-Policy for Digital drive by initiating Management Information Systems:</b> 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><b>1.4 CPPGG-Policy for Sustainable Livelihoods and elimination of Poverty:</b> 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><b>Strategy 2 – Technical support to CPPGG for fast-tracking SDGs</b> 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><b>1.5. CPPGG – Support for Disaster management activities including resilience building in the disaster-prone areas:</b> 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><b>2.1 SDG - Build awareness and capacity of all stakeholders around SDG VISION of Uttarakhand and its targets.</b> Organizing Training programmes for managerial development and Good Governance in different department to be prepared for handholding the SDG agenda.</p>
	<p><b>2.2 SDG – Adapt SDG VISION for local district level and GP level authorities in their plans and processes;</b> Advocacy, Capacity building for integration of SDGs into Local Government Planning &amp; Implementation</p>
	<p><b>2.3 SDG (Integrated Planning, Monitoring &amp; Evaluation)–</b> Propose integrated development solutions and innovations to accelerate SDG implementation, develop sophisticated technology-based tools to monitor SDGs and ensure M &amp; 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 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**

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

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;
- 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.

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 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.

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## 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.

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## 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.

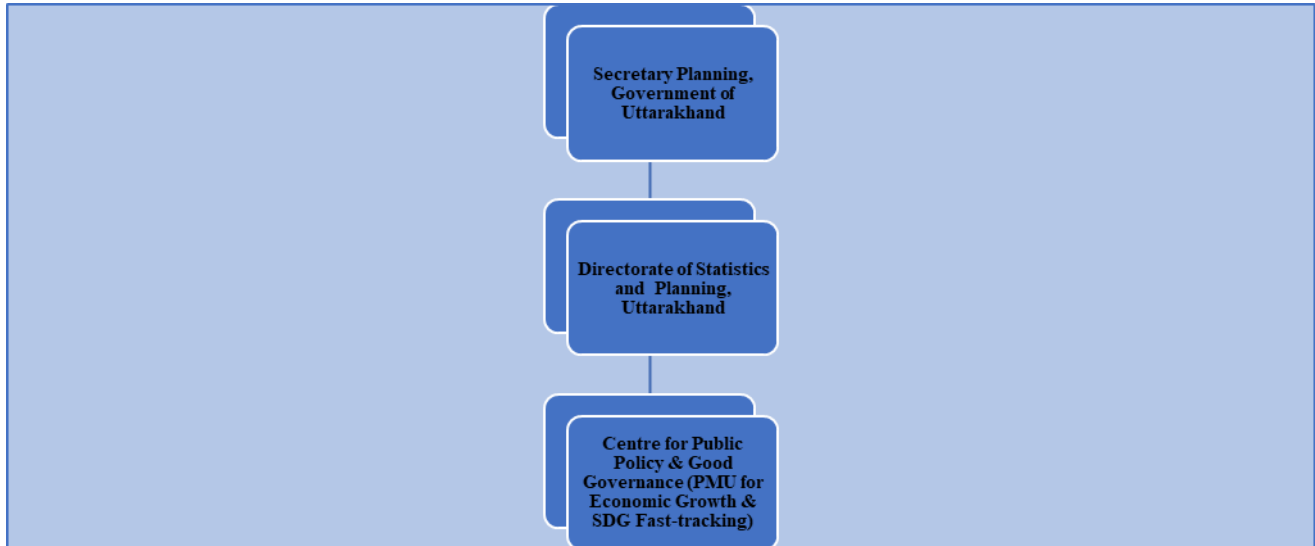
The project will be implemented in partnership with a range of stakeholders such as civil society organizations, NGOs, organizations of the poor and excluded groups, private sector, technical/ resource groups and financial institutions. UNDP will enter contracts with individuals/agencies in line with 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-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 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 FRAMEWORK<sup>3</sup>

<b>Intended Outcome as stated in the UNSDF Country Programme Results and Resource Framework:</b> UNSDF Outcome 3 By 2022, there is improved and more equitable access to, and utilization of quality affordable health, nutrition and water sanitation services									
<b>Outcome indicators as stated in the Country Programme Document Results and Resources Framework, including baseline and targets:</b> 14 Number of states in which gram panchayat prepare integrated development plans oriented to SDGs									
<b>Applicable Output(s) from the UNDP Strategic Plan as mentioned in the CPD:</b> 3. Countries have strengthened institutions to progressively deliver universal access to basic services									
<b>Project title and Atlas Project Number:</b> Technical Support to Centre for Public Policy & Good Governance in accelerating Economic Growth and Fast-tracking SDGs in Uttarakhand									
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>4</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)				DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	FINAL	

<sup>3</sup> 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.

<sup>4</sup> 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.

<b>Output 1.1</b> <i>Institutions strengthened to support implementation and monitoring of the SDGs</i>	<b>Indicator 1.1.1</b> Number of Gram Panchayats prepared integrated plans focussing on SDGs	<i>Planning Department reports</i>	To be established	2019	1	1	1	1	<i>Secondary database assessment through Government records and reports of National and State Government and UNDP.  Risk: Delay in updation of Government Records</i>
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## V. MONITORING AND EVALUATION

### Monitoring Plan

Monitoring Activity	Purpose	Frequency	Expected Action	Partners (if joint)	Cost (if any)
<b>Track results progress</b>	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 related to
<b>Monitor and Manage Risk</b>	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	Activity number 1.1.a as shown below in Multi-Year Work Plan
<b>Learn</b>	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	
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve	Department of Planning, Government of	



	project strengths and weaknesses and to inform management decision making to improve the project.		project performance.	Uttarakhand	
<b>Review and Make Course Corrections</b>	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.		
<b>Project Report</b>	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)			
<b>Project Review (Project Board/PSC)</b>	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 up and to socialize project results and lessons learned with relevant	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.		

	audiences.			
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## Evaluation Plan

Evaluation Title	Partners (if joint)	Related Strategic Plan Output	UNDAF/CPD Outcome	Planned Completion Date	Key Evaluation Stakeholders	Cost and Source of Funding
Terminal evaluation	Planning Department, Government of Uttarakhand	Countries have strengthen institutions to progressively, deliver universal access to basic services	By 2022, there is improved and more equitable access to , and utilization of, quality affordable health, nutrition, water and sanitation services.	Mid 2020	UNDP Country Office, UNDP RBAP, Government of Haryana Partners	2000 USD

## VI. MULTI-YEAR WORK PLAN <sup>56</sup>

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	Expected Annual Output results	PLANNED ACTIVITIES	Planned Budget by Year (INR)			RESPONSIBLE PARTY	PLANNED BUDGET		
			Y1	Y2	Y3		Funding Source	Budget Description	Amount
Output 1.1 Institutions strengthen to support implementation and monitoring of the SDGs  GENDER MARKER	Ensure CPPGG PMU team is on board and functional and has established team and clear work plan for next 6 months	1.1.a Placement of CPPGG PMU team in the state office  1.1.b. CPPGG PMU team establish their respective component and work plans and KRAs	1,25,80,012.8			UNDP	Govt of Uttarakhand		

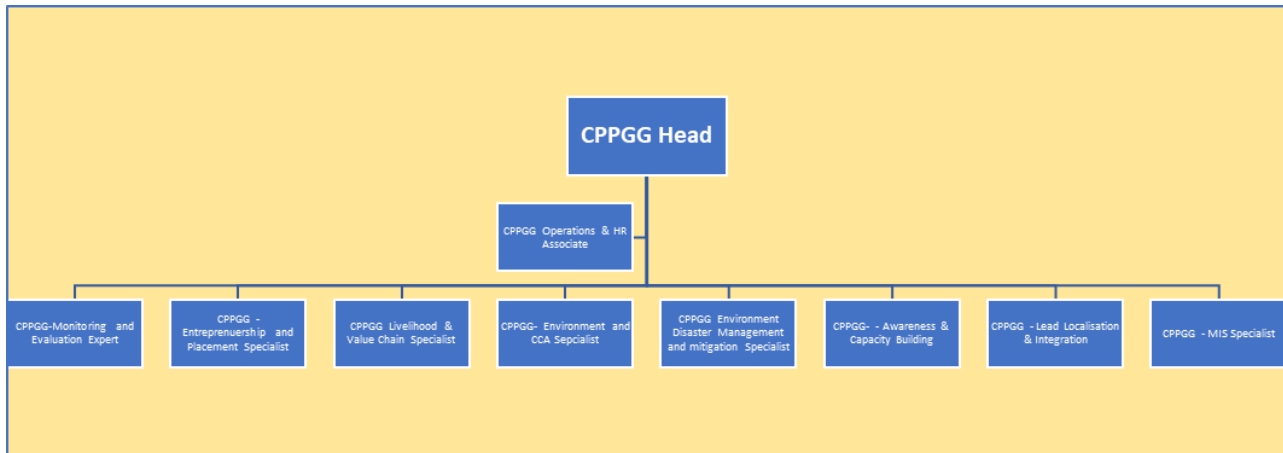
<sup>5</sup> Cost definitions and classifications for programme and development effectiveness costs to be charged to the project are defined in the Executive Board decision DP/2010/32

<sup>6</sup> 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.

GEN2	Build Awareness and capacity of all stakeholders on SDG Localisation and Integration in Uttarakhand	<p>1.2.a. Induction and Training of CPPGG-PMU team</p> <p>1.2.b. One State level Workshop on SDG Localisation and Integration in State policies</p> <p>1.2.c. Four District level Workshops on SDG localisation and Integration in district level Planning</p> <p>1.2.d. One National level Exposure Visit on SDG Best practice</p> <p>1.2.e. One International Level Exposure visit for Government Official on SDG best practices</p> <p>1.2.f. Development of Scheme-wise, Department-wise knowledge products for SDG (Flyers, posters etc.</p> <p>1.2.g. Creation of State and District level SDG Portal</p>	64,80,000			Government of Uttarakhand	Govt of Uttarakhand		
			20						

	Recruitment of top notch professionals for CPPGG PMU team and Support the State government in development of proposal for externally aided projects	<p>1.3.a. Management of Recruitment drive and intake process for selection of candidates for CPPGG PMU team</p> <p>1.3.b. Recruitment of Proposal Writer</p> <p>1.3.c. Proposal writer to establish his/her component and work plans and KRAs</p> <p>1.3.d. Proposal writer to develop 5 proposals as per direction of CEO, CPPGG</p>	10,80,000				Government of Uttarakhand	Govt of Uttarakhand	
Project Management		Project Management Costs (8%)	1611201						4722227.36
Evaluation (as relevant)		EVALUATION							
TOTAL			21751214						59027842

## VII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS



### Management Team

In terms of team composition, Centre for Public Policy & Good Governance will have 9 staff members on the payroll of UNDP. The **Project Management Unit (PMU)** – Five Sector Specialists, 3 SDG Component Leads and an HR & Operations 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 Chief Executive Officer, Directorate of Economic & Statistics. The team will consist of Consultants/Leads in Awareness & capacity building, SDG Localisation, Integrated Planning, Monitoring & Evaluation. The HR/Operations associate recruited at CPPGG will be common for both the components of the proposal. 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 Project Head/CEO nominated by Government of Uttarakhand 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 Planning department. S/he will be assisted by HR/Operations Associate. The Component Leads will be technical experts who will guide the activities of each component under guidance from project Head and all other stakeholders.

### 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 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*

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## VIII. LEGAL CONTEXT AND RISK MANAGEMENT

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.

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## IX. LEGAL CONTEXT AND STANDARD CLAUSES

[NOTE: Please choose **one** of the following options, as applicable. Delete all other options from the document]

### Option a. Where the country has signed the [Standard Basic Assistance Agreement \(SBAA\)](#)

This project document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of (country) and UNDP, signed on (date). All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“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.

### 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 [name of entity] (“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.

### Option c. For Global and Regional Projects

This project forms part of an overall programmatic framework under which several separate associated country level activities will be implemented. When assistance and support services are provided from this Project to the associated country level activities, this document shall be the “Project Document” instrument referred to in: (i) the respective signed SBAA for the specific countries; or (ii) in the [Supplemental Provisions to the Project Document](#) attached to the Project Document in cases where the recipient country has not signed an SBAA with UNDP, attached hereto and forming an integral part hereof. All references in the SBAA to “Executing Agency” shall be deemed to refer to “Implementing Partner.”

This project will be implemented by [name of entity] (“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.

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## X. RISK MANAGEMENT STANDARD CLAUSES

[NOTE: Please choose **one** of the following options that corresponds to the implementation modality of the Project. Delete all other options.]

### Option a. Government Entity (NIM)

1. Consistent with the Article III of the SBAA [or the *Supplemental Provisions to the Project Document*], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the Implementing Partner’s security, and the full implementation of the security plan.



2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document.
3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).
4. 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>).
5. The Implementing Partner shall: (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.
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. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using UNDP funds. The Implementing Partner 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.
8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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](http://www.undp.org).
9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects and programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.
10. The signatories to this Project Document will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. *Choose one of the three following options:*

*Option 1:* UNDP shall be entitled to a refund from the Implementing Partner 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 the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery

of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

*Option 2:* The Implementing Partner agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of this Project Document, may seek recourse to the Implementing Partner 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.

*Option 3:* UNDP shall be entitled to a refund from the Implementing Partner 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 the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner 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 the Implementing Partner 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.

12. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, 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.
14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management Standard Clauses" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

#### **Option b. UNDP (DIM)**

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]<sup>7</sup> [UNDP funds received pursuant to the Project Document]<sup>8</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml). 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

<sup>7</sup> To be used where UNDP is the Implementing Partner

<sup>8</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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. 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.
6. 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 [*for 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](http://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.

*Option 2:* Each responsible party, subcontractor or sub-recipient agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the 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.

*Option 3:* 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 the 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.

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.

**Option c. CSO/NGO/Non-UN or other IGO with no signed SBAA with UNDP**

1. Consistent with the Article III of the SBAA [*or the Supplemental Provisions to the Project Document*], the responsibility for the safety and security of the Implementing Partner and its personnel and property, and of UNDP's property in the Implementing Partner's custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:
  - a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
  - b) assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan.
2. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required

hereunder shall be deemed a breach of the Implementing Partner's obligations under this Project Document and the Project Cooperation Agreement between UNDP and the Implementing Partner<sup>9</sup>.

3. The Implementing Partner agrees to undertake all reasonable efforts to ensure that no UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).
4. 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>).
5. The Implementing Partner shall: (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.
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. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or using the UNDP funds. The Implementing Partner 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.
8. The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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](http://www.undp.org).
9. In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP programmes and projects. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.
10. The Implementing Partner will promptly inform UNDP in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. *Choose one of the three following options:*

*Option 1:* UNDP shall be entitled to a refund from the Implementing Partner 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 Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

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<sup>9</sup> Use bracketed text only when IP is an NGO/IGO

*Option 2:* The Implementing Partner agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to the Implementing Partner 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.

*Option 3:* UNDP shall be entitled to a refund from the Implementing Partner 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 the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner 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 the Implementing Partner 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 the Implementing Partner, responsible parties, subcontractors and sub-recipients.

12. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, 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.
14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled “Risk Management Standard Clauses” are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled “Risk Management” are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.

#### **Option d. UN Agency other than UNDP, and IGO with signed SBAA with UNDP**

1. [Name of UN Agency/IGO] as the Implementing Partner will comply with the policies, procedures and practices of the United Nations Security Management System (UNSMS.)
2. [Name of UN Agency/IGO] as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient that is not a UN entity:
  - 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 [Name of UN Agency/IGO]’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. [Name of UN Agency/IGO] 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.

3. [Name of UN Agency/IGO] agrees to undertake all reasonable efforts to ensure that none of the [project funds]<sup>10</sup> [UNDP funds received pursuant to the Project Document]<sup>11</sup> are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via [http://www.un.org/sc/committees/1267/aq\\_sanctions\\_list.shtml](http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).
4. 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>).
5. The Implementing Partner shall: (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.
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. The Implementing Partner will take appropriate steps to prevent misuse of funds, fraud or corruption, by its officials, consultants, responsible parties, subcontractors and sub-recipients in implementing the project or programme or using the UNDP funds. The Implementing Partner 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.
8. [*This text should be included when the Implementing Partner is a non-UN IGO:* The requirements of the following documents, then in force at the time of signature of the Project Document, apply to the Implementing Partner: (a) UNDP Policy on Fraud and other Corrupt Practices and (b) UNDP Office of Audit and Investigations Investigation Guidelines. The Implementing Partner 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](http://www.undp.org).]
9. [*This text should be included when the Implementing Partner is a non-UN IGO:* In the event that an investigation is required, UNDP has the obligation to conduct investigations relating to any aspect of UNDP projects or programmes. The Implementing Partner shall provide its full cooperation, including making available personnel, relevant documentation, and granting access to the Implementing Partner's (and its consultants', responsible parties', 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 the Implementing Partner to find a solution.]
10. The Implementing Partner and UNDP will promptly inform one another in case of any incidence of inappropriate use of funds, or credible allegation of fraud or corruption with due confidentiality.

Where the Implementing Partner becomes aware that a UNDP project or activity, in whole or in part, is the focus of investigation for alleged fraud/corruption, the Implementing Partner will inform the UNDP Resident Representative/Head of Office, who will promptly inform UNDP's Office of Audit and Investigations (OAI). The Implementing Partner shall provide regular updates to the head of UNDP in the country and OAI of the status of, and actions relating to, such investigation.

11. *Choose one of the three following options:*

*Option 1:* UNDP shall be entitled to a refund from the Implementing Partner of any funds provided that have been used inappropriately, including through fraud or corruption, or otherwise paid other than in

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<sup>10</sup> To be used where UNDP is the Implementing Partner

<sup>11</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

accordance with the terms and conditions of this Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement. Recovery of such amount by UNDP shall not diminish or curtail the Implementing Partner's obligations under this Project Document.

*Option 2:* The Implementing Partner agrees that, where applicable, donors to UNDP (including the Government) whose funding is the source, in whole or in part, of the funds for the activities which are the subject of the Project Document, may seek recourse to the Implementing Partner 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.

*Option 3:* UNDP shall be entitled to a refund from the Implementing Partner 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 the Project Document. Such amount may be deducted by UNDP from any payment due to the Implementing Partner under this or any other agreement.

Where such funds have not been refunded to UNDP, the Implementing Partner 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 the Implementing Partner 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.

12. Each contract issued by the Implementing Partner 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 the Implementing Partner shall cooperate with any and all investigations and post-payment audits.
13. Should UNDP refer to the relevant national authorities for appropriate legal action any alleged wrongdoing relating to the project, 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.
14. The Implementing Partner shall ensure that all of its obligations set forth under this section entitled "Risk Management Standard Clauses" are passed on to each responsible party, subcontractor and sub-recipient and that all the clauses under this section entitled "Risk Management" are included, *mutatis mutandis*, in all sub-contracts or sub-agreements entered into further to this Project Document.



**1. Project Quality Assurance Report – (Template Annexed)**

**2. Social and Environmental Screening – (Template Annexed)**, including additional Social and Environmental Assessments or Management Plans as relevant. *(NOTE: The SES Screening is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of reports, coordination of events, trainings, workshops, meetings, conferences, preparation of communication materials, strengthening capacities of partners to participate in international negotiations and conferences, partnership coordination and management of networks, or global/regional projects with no country level activities).*

**3. Risk Analysis.** Use the template below

Project title				Project Number	
#	Description <sup>12</sup>	Risk Category <sup>13</sup>	Impact & Probability <sup>14</sup>	Risk Treatment / Management Measures <sup>15</sup>	Risk Owner <sup>16</sup>
1			Text P = I =		
2			Text P = I =		
3			Text P = I =		
4			Text P = I =		
5			Text P = I =		
6			Text P = I =		

**4. Capacity Assessment:** Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

**5. Project Board Terms of Reference and TORs of key management positions – Attach as Annex**

<sup>12</sup> Enter a brief description of the risk. Risk description should include future event and cause. Risks identified through HACT, SES, Private Sector Due Diligence, and other assessments should be included.

<sup>13</sup> Risk category: Environmental, Financial, Operational, Organizational, Political, Regulatory, Strategic, Other

<sup>14</sup> Describe the potential effect on the project if the future event were to occur.

Enter **probability** based on 1-5 scale (1 = Not likely; 5 = Expected). Enter **impact** based on 1-5 scale (1 = Low; 5 = Critical)

<sup>15</sup> What actions have been taken/will be taken to manage this risk.

<sup>16</sup> The person or entity with the responsibility to manage the risk

