

**PROJECT DOCUMENT****[Technical Support to Uttarakhand State Rural Livelihood Mission;  
Uttarakhand, India]****Project Title:** Technical Support to Uttarakhand State Rural Livelihood Mission**Project Number:** 00110393**Output Number:** 00109333**Implementing Partner:** Department of Rural Development, Government of Uttarakhand**Start Date:** 1 Jan, 2019      **End Date:** 31 Dec, 2021      **PAC Meeting date:** 21 May 2018**Brief Description**

The DAY-NRLM (Deendayal Antyodaya Yojana - National Rural Livelihoods Mission) is the flagship program of Ministry of Rural Development, Govt. of India relaunched in 2016 for promoting poverty reduction by building strong institutions of the poor, particularly women. The programme creates and enables community owned institutions of women to empower and make them economically self-reliant by improving their agency to access a range of livelihood and financial services and maximize their resources for creating sustainable livelihood opportunities.

The NRLM is strongly founded on the Sustainable Livelihood Approach that focusses on securing adequate and decent livelihoods that contribute to the wellbeing of people not only through income security but also by creating strong coping mechanisms that mitigate the vulnerabilities that the poor face. Sustainable livelihoods therefore should go beyond gainful economic activities to include the capabilities and assets (stores, resources, claims and access) for livelihood that can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets and provide opportunities for the following generation contributing to a chain of economic benefits and linkages at the local and global levels in the short and long term (Chambers and Conway, 1992).

The MoRD over the last ten years have been able to create through NRLM this scaled up institutional architecture for rural poverty reduction and mobilized 30 million rural poor into their own institutions that enable them to access livelihood opportunities and build social, financial and economic capital. The DAY-NRLM has a country wide coverage with 4215 blocks under intensive implementation strategy where 4.4 crore households have been mobilized into 37.3 lack SHGs<sup>1</sup>. The NRLM has been able to provide grants worth Rs. 3,666 crores through the community investment fund support to the SHGs enabling the access of bank credits by the SHGs upto Rs 1.35 lac crores since inception. The programme has supported the development of about 7579 enterprises under Start Up Village Entrepreneurship Program(SVEP) across the country.

DAY-NRLM is a centrally sponsored scheme with financial and resource contributions from both the National and state governments. The DAY-NRLM has a clear and elaborate institutional architecture at the national and state level with well-defined roles and responsibilities at each stage of the programme implementation.

DAY-NRLM programme consists of a comprehensive set of capacity building initiatives to strengthen the community institutions coupled with a range of support services to ensure the viability of the economic activities undertaken by the Self-Help Groups (SHGs) and their federations to include access to credit and financial services, business incubation and productivity enhancement services, business and financial management skills, livelihood or enterprise support, market linkage, etc.

<sup>1</sup> MoRD (2017). Project Review Committee Report.

The community institutions formed under NRLM in different states have reported to have a broader empowering impact on the members as these institutions also serve as an effective platform for rolling out social development programmes allowing the poor to access their rights and entitlements through collectivization.

The state governments are mandated to set up dedicated Mission Management Units at the state, district and village/community level for the effective implementation of the NRLM scheme. The mission provides regular hand-holding support to SHG/federations for a period of 5-7 years. At the end of a fully implementation cycle the SHGs/federations are well prepared to become resource institutions at the community level for providing evidence and support to other social initiatives.

Uttarakhand's own progress with DAY-NRLM has been impressive with the program being implemented in all the 13 districts covering a total of 30 blocks and 2619 villages. About 1.01 lac HHs have been mobilized since inception grouped into over 12,000 SHGs<sup>2</sup>. However, the progress with the disbursements of grants and bank credits has been rather slow, with a total of Rs 792 cr of bank credit provided to SHGs last year against a target of Rs.3268cr. It is therefore important to strengthen the institutional capacity of the SRLM the programme to achieve its targets approved in the Annual Action Plan 2018-19.

It is in this context that the State government of Uttarakhand would like to partner with UNDP to bring to bear UNDP's experience of successfully setting up the NRLM – PMU within the Ministry of Rural Development since its inception in 2013. UNDP will be uniquely positioned to quickly transfer the technical know-how gained at the national and state level working across the country on this flagship scheme. The state SMMU will be fully synchronized with the National level team working at the centre, important for better alignment of state priorities with those of the national programme while formulating the State specific poverty reduction action plans.

#### Contributing Outcome (UNDAF/CPD)

By 2022, institutions are strengthened to progressively deliver universal access to basic services, employment, and sustainable livelihoods to the poor and excluded, in rural and urban areas.


#### Indicative Output(s):

**Output 2.1:** Models with large-scale replicability, integrating employability, skilling, employment and entrepreneurship targeting women and poor people are developed.

Gender marker<sup>2</sup>: GEN 2

<b>Total resources required:</b>	<b>₹ 10,71,12,240 (USD 1,598,690)</b>	
<b>Total resources allocated:</b>	<b>UNDP TRAC:</b>	
	<b>Donor:</b>	
	<b>Donor:</b>	
	<b>Government:</b>	<b>USD 1,598,690</b>
	<b>In-Kind:</b>	
<b>Unfunded:</b>		

Agreed by (signatures)<sup>3</sup>:

UNDP

Print Name: Ms. Nadia Rasheed Designation: Deputy Resident Representative

<sup>2</sup> SRLM Uttarakhand (2018). EC Meeting report

<sup>3</sup> Note: Adjust signatures as needed

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## I. DEVELOPMENT CHALLENGE

Uttarakhand, in spite of being a small state, has certain key features that make it distinct from other states of the country and highlights its potential for development. However, development has predominantly been in the plains, and the hill districts have been left behind. All the hill districts have subsistence farming as their main economic activity. Due to subsistence livelihood, migration and a remittance economy operate in the hill districts. They are land-locked with huge distances between the markets and resources. Because of these constraints, traditional agriculture cannot be the lead sector for development. Thus, the state faces the challenge of promoting livelihoods to minimize migration through local employment and income generation, and to enhance the quality of life of people living in villages.

More than three-fourths of Uttarakhand's total population depends on agriculture for their livelihood and the economy is predominantly dependent on mountain agriculture. However, the land holdings are small and fragmented, and irrigation facilities limited. Soil and water conservation is another issue for inclusive development. For physical, geographical and environmental reasons, the scope for agricultural policies based on modern input-intensive agriculture is severely constrained in the hill regions. As a result, the majority of the rural population in the hills either survives on subsistence agriculture or migrates to other parts of the country for employment. The state faces the challenge of promoting livelihoods to retain people through local employment and income generation and to enhance their quality of life.

The NRL Mission agenda of inclusion of the poorest of the poor through transformation of the groups of rural women into empowered, self-reliant community organizations consists of four stages of development (i) social mobilization, community institution and capacity building; (ii) financial inclusion; (iii) livelihood promotion/skill building; and (iv) convergence as clearly defined in the NRLM scheme document. The State has a distinct and pivotal role to play within the development agenda of the NRLM. Based on the assessment of the prevalent poverty rates, poverty gap ratios, the levels of inequalities experienced by the poor and vulnerable groups, spatial and social disparities, the project will develop specific strategies and assist the SRLM to deploy adequate resources to achieve Annual Action Plan 2018 – 19 agreed with MORD, complementing the overarching goals of the NRLM.

UNDP will set up a state mission management unit within the SRLM which will bring the expertise in areas of rural livelihoods, institutional and capacity building and women's economic empowerment to help realize the state's poverty reduction agenda. It is expected that the State Mission Management Unit will support the implementation of the state action plan developed within the context of the DAY-NRLM – being responsible for the entire range of activities to support the intensive and extensive districts identified by the state.

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## II. STRATEGY

The objective of the project is to support the Department of Rural Development (Government of Uttarakhand) in its effort to reduce poverty and empower the agency of women in their journey to become self-reliant. This will be achieved by creating effective institutional platforms of the rural poor enabling them to increase household income through better livelihood opportunities, improved access to financial resources and markets complemented by efficient public service delivery.

The approach of the project will be to ensure that the 'SRLM' complemented by the embedded team of thematic experts will become the centre point for 'convergence' of all poverty reduction efforts in the rural areas of the state through the micro-institutions, created and managed by the poor. The project will bring a 'strong results orientation' to program management that supports:

- Providing high quality technical assistance to the state level to enhance their technical and program management capacities to reach the mission goals in an effective manner;
- Support SRLM to develop a professional support and service delivery architecture at the community level for social and economic mobilization of the poor;
- Creating a cadre of groomed professionals at the district (District Technical Experts) block (Block Managers/Resource persons) and village levels (Community Resource Persons) which has served

well in improving the progress and quality of outcomes. More importantly such a well-integrated machinery acts as a feedback loop to designing a demand driven strategy based on voices from the grass roots that enables the state to determine poverty reduction priorities and formulate plans relevant for specific people groups;

- Rolling out robust transaction based IT platform for monitoring and measuring implementation programmes based on targets, outcomes and time bound results achievement;
- Continuous capacity building, imparting requisite skills and creating linkages with livelihoods opportunities, markets, credit;
- Introducing innovations and incubating alternate models for program delivery and convergence with national and state programmes focussed on enhancing the productive capacities of the poor (social protection, health, nutrition, education) in the last mile;
- Creating knowledge and learning platforms that bring together good practices and facilitate cross learning from other states.

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### **III. RESULTS AND PARTNERSHIPS**

#### ***Expected Results***

The project will invest intensively in the high priority intensive districts to generate critical pool of social capital for catalyzing social mobilization of the poor and building quality institutions of the poor. An effort will be made to convert the best performing districts into resource villages and districts that act as best practice sites to develop them as local immersion locations. While the strategies will vary with the location and the community needs, the intensive blocks will follow a certain sequence in which the project activities will be rolled out. The sequence of activities will include:

- a) social inclusion through participatory identification of the poor and universal social mobilization for the target as per the Annual Action Plan 2018-19;
- b) building and improving the coverage of institutions of the poor women at various capacities - in the form of SHG federations, producer collectives;
- c) developing social capital in the form of trained community leaders, community, block and district resources persons and para-professionals providing livelihood services to the poor;
- d) micro-planning and investments for livelihoods enhancement along with measures to improve access to credit from formal financial institutions available in desired amounts and convenient repayment terms;
- e) convergence for higher order impacts in areas such as social protection health, nutrition, education, etc with other entitlements and programs such as MGNREGS, NSAP, DDUGKY, PMAY, SAGY, Mahila Kisan Sashaktikaran Pariyojana (MKSP), etc.;
- f) building sustainable livelihoods options for the poor by developing activity/trade clusters supporting farm and non-farm enterprises focused on productivity improvement and market access;
- g) Advocacy for ensuring the producer organizations have direct access to markets, revising the regulatory framework where necessary;

It is suggested that the State Mission Management Unit (SMMU) will carry out a diagnostic study of the poverty situation in the state that include geographical distribution of poverty, special groups of the poor and vulnerable, situation analysis of the poor in terms of social, financial, and economic exclusion, etc. The SMMU will also review the implementation progress of the Annual Action Plan and provide the feedback every quarter for supervision/implementation support, conduct concurrent evaluation studies based on performance criteria laid down from time to time.

The SMMU team will provide their technical inputs in the following broad components:

#### **Component 1. Institutional and Capacity Development:**

As a first step, it is proposed to set up a full-fledged SMMU filling up the vacant positions with good quality livelihood and program management professional staff for drawing up a comprehensive livelihood framework for the state. Support under this component will include:

- a) **Technical Support** to the SRLM for establishing teams of high quality professionals in various thematic areas such as community mobilization, capacity building, microfinance, farm and non-farm livelihood promotion, social and financial inclusion, human resource management, monitoring and evaluation, among others. The objective of this sub - component is to support the SRLM in creating institutional structures and mechanisms from the state to the block level for the implementation of the DAY-NRLM, supporting the formation of institutions of the rural poor. The SMMU would establish implementing arrangements at the district, block level comprising of multidisciplinary teams to further facilitate implementation of NRLM activities. The PMU will undertake comprehensive situational analysis to capture various dimensions of human and economic poverty and identify forms of social, financial and economic exclusion of the poor. This will help department to prioritize interventions and resources while formulating the Annual Action Plan and programmatic targets. The SMMU will also support institutionalizing partnerships with resource agencies, professional service firms, public and private sectors considering their domain expertise in various thematic areas such as human resource management, rural livelihoods, financial inclusion, new product development (i.e. health, education, savings, etc.). These arrangements will provide continuous and year-round support to the district level teams in effective implementation of NRLM and other related activities. The PMU will also develop efficient institutional systems like HR, MIS, financial management, procurement etc. aligned to the national database and systems provided by MORD.
- b) **Human Resource Development** for building partnerships with well-established training and research institutions in the field of rural development in India that can deliver focused training programs for the staff and resource persons at various levels in SRLM for successful implementation of the NRLM and related activities. This sub-component will support systematic building of capacities and managerial skills of the SRLM staff and organize Training of Trainers (ToT) to create a pool of Master Trainers in specific thematic areas for SRLM staff at all level. A cadre of professional trainers, master trainers and community resource persons will be created for smooth implementation and monitoring. The project will strengthen the institutional capacities of State Institute of Rural Development for supporting the training needs of government staff, bankers and Panchayat Raj functionaries. The activities supported will include curriculum development, design and conduct of training programs including e-learning. In addition, the SMMU would establish implementing entities at the district levels to facilitate field level implementation of NRLM financed activities. Institution Building and Capacity Building will also support the identification, selection, and mobilization of poor rural households into self-managed institutions Self Help Groups (SHGs) and their federations. Capacity building and training activities will be organized for SHG members and federations in livelihood activities, bookkeeping, financial literacy, and business education, among others. Teams of livelihood professionals trained in participatory methodologies and community facilitation will be set up at the block/sub-block level for improving implementation progress and building a local level support system through one full implementation cycle for intensive blocks.
- c) **Targeted livelihood investments** in identified districts/blocks will be made for creating good quality community institutions and social capital for expansion of NRLM in other blocks/areas. Teams of livelihood professionals trained in participatory methodologies and community facilitation will be set up at the block/sub-block/community level as appropriate. This sub-component will support identification, selection, and mobilization of poor rural households into self-managed institutions, such as Self-Help Groups (SHGs) and their federations. This would also include providing capacity building and training activities for SHG members and federations in group management, e-bookkeeping, financial literacy, livelihood activities, and business education, among others.
- d) **Convergence for Community managed public service** provisioning in the last mile like credit counselors, case managers at Primary Health Centers (PHCs), etc. will also be supported. A system of entitlement tracking rights and entitlements of VO members with special focus drives for addressing the needs of vulnerable households. Appropriate Resource Agencies for development of training module for the Gram Panchayats and PRI participation and organization of social audits will be identified. Once the “proof-of-concept” is established, the community institutions will leverage mainstream funds from formal financial institutions and schemes like Rashtriya Krishi Vikas Yojana (RKVY), National Food Security Mission (NFSM), National Skill Development Corporation (NSDC), etc. The SHGs/federations will be

facilitated access to entitlement programs like Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS), NSAP, DDUGKY, PMAY, SAGY, MKSP etc. For instance, one of the convergence activities at the GP level could include organising special drives to involve all vulnerable households in livelihood planning exercise under MGNREGA for asset creation and employment generation, build capacities of Rozgar Sahayak and Panchayat Planning teams in participatory planning on Natural Resource Management. Similarly, building capacity of PRIs and government field functionaries on various aspects of GPDP and livelihood promotion will ensure effective micro-level governance for the successful launch of the programme.

## **Component 2. State Livelihood Support:**

This component will facilitate the provision of livelihood grants to poor SHGs/federations to undertake productive livelihood activities, set up micro and Nano-enterprises as detailed in their livelihood plans, support for higher level producer institutions, producer groups, farmers collectives, and/or producer companies (PCs) as specified under the NRLM guidelines. To achieve the objective of this component, the proposed project intends to support the following activities:

- a) **Income Generation, Value Chain and Enterprise Development Support** will support activities like the selection and training of CRPs for enterprise promotion, demand based training on income generation activities, training CBOs in evaluating businesses activity and its financial viabilities, capitalizing the enterprises, monitoring the loans sanctioned and repayment, advocacy for ease of doing business regulatory framework that allows the Producer groups and VOs to directly access the market etc. The SMMU will facilitate the establishment of sustainable producer institutions, producer groups, collectives, and/or companies, developing value chain interventions for products that are suited to the specific SHG/federation, in collaboration with other ongoing state level interventions in agriculture, horticulture, livestock etc. In addition, the SMMU through its district teams will manage the operational side of enterprise development by tracking applications pending with the SRLM and the Banks, implement cashless transactions where all SHG transactions are made electronically, development of transaction based MIS and their roll out in applicable blocks etc.
- b) **Community Investment Support** - The SHGs receive livelihood investment support when they reach a certain level of maturity, as measured by predefined milestones prescribed by the NRLM guidelines (Revolving Funds, Community Investment funds and Vulnerability Reduction Funds) to enable them to undertake productive livelihood enhancing initiatives, set up micro and Nano-enterprises access credit from financial institutions. Subsequent to the disbursement of the Vulnerability Reduction Fund, the Master trainers will also train the BRPs and CRPs to hand hold SHGs and their federations to build their institutional capacity, set up financial management systems, prepare the Microcredit Investment Plans, Vulnerability Reduction Plans (VRPs), conduct quarterly analysis of disbursement process under the various funds etc. The state and district support teams will also support the SHGs and promote the effective utilization and management of these funds alongside the SHG's own savings, connect them to other sources of financing, including from formal financial institutions, to scale-up their livelihood activities. The specific use (ie. agriculture, dairy production, sewing machine, etc.) of this livelihood grant, and the group's savings, will be demand driven by its members. The institutional building and resource transfer arrangements to SHGs/federations require that they have governance norms on rotational leadership, performance-based grading, social audits, and require formal audits. The cadre of trainers and implementing agencies at the state and district level set up by the SMMU will closely monitor and provide training for the SHG federations and its members in governance and accountability processes through each phase of development. For the purposes of institutional sustainability, the experience gained by the SHGs, and documented in their bookkeeping records of livelihood activities and inter-lending, SHGs and their federations will be better positioned to access credit from financial institutions given the proof of their capacity to manage funds and implement productive livelihood activities. The livelihood grants and their savings will enable SHGs to leverage funds from the banking system and/or other government sources to scale-up the different livelihood activities that each member is undertaking. The project will support linkages with service providers and market institutions in key pro-poor value chains.

- c) **Special Programs** will support pilot activities that have potential for scaling-up and replication such as last mile delivery of public services including health and nutrition, implementing activities in areas affected by internal conflict in partnership with civil society organizations, green opportunities, gender sensitization activities, using new technologies for financial inclusion, among others.

### **Component 3. Innovation and Partnership Support:**

UNDP will develop and support effective partnerships with the private sector, foundations, public corporations, and civil society organizations on innovative livelihoods pilots in agriculture, livestock, youth employment, among others, for rural poor households. Partnerships could include ICT, agribusiness, commercial banks/MFIs, financial service providers, and employers to promote youth employment, among others. Activities will include:

- a) Business Forums and Action Pilots - support selected innovations identified through development marketplace-type forums that have the potential to be scaled-up in a viable manner in partnership with development foundations and business forums.
- b) Social Enterprise Development - support the development of a network of grassroots innovators and social entrepreneurs, identified through a competitive process, at state level.

### **Component 4. Project Implementation Support:**

This component will focus on strengthening the SRLM for effective project management that develops key systems and processes for coordination and management of the programme to ensure the satisfactory implementation. The activities include:

- a) **State Mission Management Unit (SMMU)** - strengthen the various functions of the SMMU to be able to manage, deliver and support all aspects of the NRLM.
- b) **Review, Monitoring and Evaluation** - given the geographic scale and magnitude of the resources and activities to be supported by the programme, a comprehensive and robust monitoring and evaluation system will be established to not only track implementation progress but also to provide meaningful reports on household level impacts and implementation experiences for efficient allocation of resources and course correction where necessary.
- c) **DAY-NRLM-MIS and ICT:** MORD has developed a transaction based accounting for hosting and delivering variety of project services like management information system (MIS) and public financial management system (FMS), etc. The transaction based MIS digital grid connecting village to the national level is Aadhar (UID) compliant and will be leveraged to deliver ICT based services to rural poor households in the last mile. The SMMU will also explore tie-up with public and private sector firms to facilitate delivery of different electronic services and improve enrolment of the poor households for using particularly mobile based services, at the community level. For example, PDS, access to health, education, insurance, remittances, pensions and other entitlements, access to agricultural inputs, and price and market information.
- d) **Knowledge Management and Communication** - incorporating lessons from experience and communicating consistent and significant messages at both a policy and operational level, is critical for the overall success of the NRLM. In this regard, the project will invest in a variety of products and services to enhance the generation and use of knowledge and communications as a key tool for enhancing the quality of the program.

#### ***Resources Required to Achieve the Expected Results***

- The project will be entirely funded by the Government of Uttarakhand through a financial allocation of **USD 15,98,690**. Key inputs include recruitment and deployment of 58 personnel at State/district/block levels for effective implementation of the project.

#### ***Partnerships***

- The project will be implemented through partnership between UNDP and Government of Uttarakhand. UNDP will be uniquely positioned to quickly transfer the technical know-how gained at the national and state level working across the country on this flagship scheme of NRLM. The state SMMU will be fully synchronized with the National level team working at the centre, important for better alignment of state priorities with those of the national programme while formulating the State specific poverty reduction action plans.

### ***Risks and Assumptions***

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

### ***Stakeholder Engagement***

The key stakeholders are –

- Department of Rural Development, Uttarakhand – As the key government institution responsible for set up dedicated Mission Management Units at the state, district and village/community level for the effective implementation of the NRLM scheme.
- District Level- DM's Office will have the responsibility to help coordinate activities at the district level for the team.
- *Target Groups:* The primary beneficiaries of project activities will be poor, rural households identified by the State Government.

### ***South-South and Triangular Cooperation (SSC/TrC)***

- The UNDP will ensure that the lessons and best practices from other states are incorporated into the design of the implementation framework and work plans to be developed. At the same, relevant good practices from Uttarakhand will be shared in global platforms. Wherever possible, cross-exchanges will be organized with countries in the region as well as with other state level initiatives. E.g.

UNDP has been partnering with various government departments at national and state level to remove the barriers to livelihood promotion exist at all levels – micro (village-district), meso (state) and macro (national). In 2008-12 UNDP-GOI had designed and implemented the project – “State-Level Support to Livelihood Promotion Strategies” across two states by establishing Livelihood missions in Rajasthan and Jharkhand

### ***Knowledge***

Since the project will support implementation of government schemes, the results and the lessons learned will be documented and disseminated as required by the government system.

### ***Sustainability and Scaling Up***

The project is implemented through partnership with Department of Rural Development, Uttarakhand on implementation of NRLM, flagship programme of Ministry of Rural Development (MoRD), Govt. of India for promoting poverty reduction by building strong institutions of the poor, particularly women. The sustainability/scaling up of the programme/project will be ensured by MoRD upon successful implementation. The MORD over the last ten years has been successful to create through NRLM the scaled up institutional architecture for rural poverty reduction and mobilized 30 million rural poor into their own institutions that enable them to access livelihood opportunities and build social, financial and economic capital.



## **IV. PROJECT MANAGEMENT (1/2 PAGES - 2 PAGES RECOMMENDED)**

### ***Cost Efficiency and Effectiveness***

The project will be funded by the Department of Rural Development under NRLM and will follow the cost norms agreed by the Government of Uttarakhand.

The outcome evaluation of UNDP Country Programme has highlighted that measures like embedding technical assistance is an effective strategy for project implementation. This strategy will be adopted to ensure cost-effectiveness and efficiency. Cost efficiency will be enhanced by linking with other relevant on-going projects and initiatives, whether led by UNDP, national or other partners (including, for example, through sharing resources; coordinated delivery) will be adopted.

### ***Project Management***

The proposed team will support the existing Human Resource – SMMU filling in the vacant positions at various levels that include State Mission Managers, Mission Managers, Mission Executives and Need based Retainer Consultants at the State Mission Management Unit (SMMU). The core state level team would include State Mission Managers who bring thematic expertise in Livelihood, Marketing, IBCB and knowledge management and communication. The SMMU plans for the implementation Annual Action Plans [AAP] of NRLM in the state. It also provides technical assistance to the District Mission Management Units (DMMU) and Block Mission Management Units (BMMU). The District Mission Management Unit (DMMU) would be headed by the District Mission Manager (DMM). The DMMU team would consist of District Thematic Experts (DTEs). The BMMU would consist of a Block Mission Manager (BMM). S/he would be supported by Block Thematic Experts (BTE) and there would be one Cluster Coordinator (CC) for every cluster (sub-block), and Data Entry Operators/MIS Assistant and Accountant who would be hired directly by the State Government.

### **Funds Flow Arrangements and Financial Management:**

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

## V. RESULTS FRAMEWORK<sup>4</sup>

<b>Intended Outcome as stated in the UNDAF/Country [or Global/Regional] Programme Results and Resource Framework:</b> By 2022, institutions are strengthened to progressively deliver universal access to basic services, employment, and sustainable livelihoods to the poor and excluded, in rural and urban areas.											
<b>Outcome indicators as stated in the Country Programme [or Global/Regional] Results and Resources Framework, including baseline and targets:</b> 1.6. Number of documented, replicable models demonstrating integrated/sectoral development solutions for vulnerable groups. Baseline: 0; Target: 30											
<b>Applicable Output(s) from the UNDP Strategic Plan:</b> Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded.											
<b>Project title and Atlas Project Number:</b> <u>Technical Support to Uttarakhand State Rural Livelihood Mission; 00110393</u>											
EXPECTED OUTPUTS	OUTPUT INDICATORS <sup>5</sup>	DATA SOURCE	BASELINE		TARGETS (by frequency of data collection)						DATA COLLECTION METHODS & RISKS
			Value	Year	Year 1	Year 2	Year 3	Year 4	Year ...	FINAL	
<b>Output 2.2:</b> Poor and vulnerable have the capacity, options and opportunities to move out of deprivation.	No. of self -help groups functional	Government/ Private sector reports	To be established	To be established	10000	10000	7000	3000		30000	SRLM Project Management Unit / National Rural Livelihoods Mission Management Information System,GoI
	No. of poor HHs identified in each cluster of project blocks	List of HHs and suggested time frame by the Community Resource Persons	To be established	To be established	80000	80000	56000	24000		240000	SRLM Project Management Unit / National Rural Livelihoods Mission Management Information System,GoI
	No. of micro-credit and livelihood plans developed for SHGs, VOs	SHGs, loan records	To be established	To be established	10000	10000	7000	3000		30000	SRLM Project Management Unit / National Rural Livelihoods Mission Management Information System,GoI
	No. of SHGs/ Vos availed Credit amounting of Rs.1 lakh per group/ VOs in five years	Inter-loaning records, , bank details	To be established	To be established	8000	8000	5600	2400		24000	SRLM Project Management Unit / National Rural Livelihoods Mission Management Information System,GoI

## VI. MONITORING AND EVALUATION

A monitoring and evaluation system will be established to track the progress of the above interventions in terms of approved results, outcomes and targets. It will also help identify lessons and good practices with potential for policy advocacy and replication/scaling up in other states. The monitoring tools used will promote learning (including identification of factors that impede the achievement of outputs). Such learning will be used to adapt strategies accordingly and avoid repeating mistakes from the past. At the state level, UNDP along with the Department of Rural Development, Government of Uttarakhand will have the overall responsibility of monitoring the project, in line with the roles and responsibilities described above and through regular monitoring visits and quarterly review meetings by the PSC.

The Department of Rural Development, will be responsible for day-to-day monitoring of project activities through periodic field visits, interactions with district and block level project officials /partners and desk reviews. They will also prepare and submit periodic progress reports to the PSC. Monitoring will be an ongoing process and mid-course corrections will be made if required. An annual project review will be conducted after every third month to assess the performance of the project and the extent to which progress is being made towards outputs, and ensure that these remain aligned to relevant outcomes. UNDP will commission a mid-term project review and annual management and financial audit during the project period. During the last year of the project, a final evaluation of the project would be undertaken with involvement of all key project stakeholders

### 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, or in the frequency required for each indicator.	Slower than expected progress will be addressed by project management.	Department of Rural Development, Govt. of Uttarakhand	
<b>Monitor and Manage Risk</b>	Specific risks will be identified, monitored and managed in the risk log. In addition, quarterly and annual monitoring reports will be developed. This includes monitoring measures and plans that may have been required as per UNDP's Social and Environmental Standards. Audits will be conducted in accordance with UNDP's audit policy to manage financial risk.	Quarterly	Risks are identified by project management and actions are taken to manage risk. The risk log is actively maintained to keep track of identified risks and actions taken.	Department of Rural Development, Govt. of Uttarakhand	

<sup>4</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>5</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>Learn</b>	Knowledge, good practices and lessons will be captured regularly, as well as actively sourced from other projects and partners and integrated back into the project.	Concurrent	Relevant lessons are captured by the project team and used to inform management decisions.	Department of Rural Development, Govt. of Uttarakhand	
<b>Annual Project Quality Assurance</b>	The quality of the project will be assessed against UNDP's quality standards to identify project strengths and weaknesses and to inform management decision making to improve the project.	Annually	Areas of strength and weakness will be reviewed by project management and used to inform decisions to improve project performance.	Department of Rural Development, Govt. of 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.	Department of Rural Development, Govt. of Uttarakhand	
<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)		Department of Rural Development, Govt. of Uttarakhand	
<b>Project Review (Project Board)</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 Project Steering Committee shall hold an end-of project review to capture lessons learned and discuss opportunities for scaling up and to socialize project results and lessons learned with relevant audiences.	Half yearly	Any quality concerns or slower than expected progress should be discussed by the project board and management actions agreed to address the issues identified.	Department of Rural Development, Govt. of Uttarakhand	

**Evaluation Plan<sup>6</sup>**

<b>Evaluation Title</b>	<b>Partners (if joint)</b>	<b>Related Strategic Plan Output</b>	<b>UNDAF/CPD Outcome</b>	<b>Planned Completion Date</b>	<b>Key Evaluation Stakeholders</b>	<b>Cost and Source of Funding</b>
Midterm Review	Department of Rural Development, Govt. of Uttarakhand	Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded.	By 2022, institutions are strengthened to progressively deliver universal access to basic services, employment, and sustainable livelihoods to the poor and excluded, in rural and urban areas.	Mid 2020	Department of Rural Development, Govt. of Uttarakhand	Through project resources

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<sup>6</sup> Optional, if needed

## VII. MULTI-YEAR WORK PLAN <sup>78</sup>

EXPECTED OUTPUTS	Expected Annual Output Results	PLANNED ACTIVITIES	Planned Budget by Year (USD)			RESPONSIBLE PARTY	PLANNED BUDGET		
			2019	2020	2021		Funding Source	Budget Description	Amount
Institutional and Capacity Development  <i>Gen Marker:2</i>	A PMU of 59 mission managers at state/district/block level is mobilised and placed within Rural Development Department ,Govt. of Uttarakhand	Mobilisation of Human Resource for technical support to SRLM on community mobilization, capacity building, microfinance, farm and non-farm livelihood promotion, social and financial inclusion, human resource management, monitoring and evaluation	397,343	434,955	476,328	UNDP	Government of Uttarakhand		1,308,627
	Deavelopment of state-wide integrated livelihoods promotion network with local NGOs, CSOs etc.	Building Partnerships with well established training and research instittions for training the staff for successful implementation of the SRLM activities	--	--	--	Government of Uttarakhand	Government of Uttarakhand		
	Development of sustainable community based institutions	Targeted livelihood investments in identified districts/blocks will be made for creating good quality community institutions and social capital for expansion of NRLM	--	--	--	Government of Uttarakhand	Government of Uttarakhand		

<sup>7</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>8</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.

	Strengthening planning and monitoring systems through UNDP support.	Capacity building of the SRLM team on Knowledge Management & Communication Support, Monitoring & Evaluation, Value Chain and Marketing etc.	52,238	52,238	52,238	Government of Uttarakhand			156,716
Project Management		Project management costs	7,462	3,731	3,731	UNDP			14,925
		UNDP Management Fees @8%							118,421
<b>Evaluation (as relevant)</b>									
<b>Total:</b>			493,608	530,199	576,882				1,598,690

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## VIII. GOVERNANCE AND MANAGEMENT ARRANGEMENTS

### ***Project Steering Committee:***

The State Project Steering Committee (SPSC), would be set up to review and monitor the implementation of the project, will review the effectiveness and efficiency of the support towards strengthening the institutional, implementation and capacity building of the state government in rural housing. The SPSC will also provide oversight in making better use of Central Grants-in-aid like DAY-NRLM scheme.

### ***Project Management Team:***

The proposed team will support the existing Human Resource – State Mission Management Unit (SMMU) filling in the vacant positions at various levels that include State Mission Managers, Mission Managers, Mission Executives and Need based Retainer Consultants at the State Mission Management Unit (SMMU). The core state level team would include State Mission Managers who bring thematic expertise in Livelihood, Marketing, IBCB and knowledge management and communication

The SMMU plans for the implementation Annual Action Plans [AAP] of NRLM in the state. It also provides technical assistance to the District Mission Management Units (DMMU) and Block Mission Management Units (BMMU).

The District Mission Management Unit (DMMU) would be headed by the District Mission Manager (DMM). The DMMU team would consist of District Thematic Experts (DTEs). The BMMU would consist of a Block Mission Manager (BMM). S/he would be supported by Block Thematic Experts (BTE) and there would be one Cluster Coordinator (CC) for every cluster (sub-block), and Data Entry Operators/MIS Assistant and Accountant who would be hired directly by the State Government.

### ***Project Implementation:***

The project will invest intensively in the high priority intensive districts to generate critical pool of social capital for catalyzing social mobilization of the poor and building quality institutions of the poor. An effort will be made to convert the best performing districts into resource villages and districts that act as best practice sites to develop them as local immersion locations. While the strategies will vary with the location and the community needs, the intensive blocks will follow a certain sequence in which the project activities will be rolled out.

The SMMU will carry out a diagnostic study of the poverty situation in the state that include geographical distribution of poverty, special groups of the poor and vulnerable, situation analysis of the poor in terms of social, financial, and economic exclusion, etc. The SMMU will also review the implementation progress of the Annual Action Plan and provide the feedback every quarter for supervision/implementation support, conduct concurrent evaluation studies based on performance criteria laid down from time to time.

### ***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.



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## IX. 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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## X.

*[NOTE: The following section is required for all project documents, and contains the general provisions and alternative texts for the different types of implementation modalities for individual projects. Select one option from each the legal context and risk management standard clauses and include these in your project document under the Legal Context and Risk Management Standard Clauses headings]*

### LEGAL CONTEXT STANDARD CLAUSES

#### 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 the agency (UNDP) (“Implementing Partner”) in accordance with its financial regulations, rules, practices and procedures . Where the financial governance of Responsible party engaged by UNDP 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.

### RISK MANAGEMENT STANDARD CLAUSES

#### 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>9</sup> [UNDP funds received pursuant to the Project Document]<sup>10</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

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<sup>9</sup> To be used where UNDP is the Implementing Partner

<sup>10</sup> To be used where the UN, a UN fund/programme or a specialized agency is the Implementing Partner

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 timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
5. In the implementation of the activities under this Project Document, UNDP as the Implementing Partner will handle any sexual exploitation and abuse (“SEA”) and sexual harassment (“SH”) allegations in accordance with its regulations, rules, policies and procedures.
6. All signatories to the Project Document shall cooperate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental Standards. This includes providing access to project sites, relevant personnel, information, and documentation.
7. UNDP as the Implementing Partner will ensure that the following obligations are binding on each responsible party, subcontractor and sub-recipient:
  - a. Consistent with the Article III of the SBAA *[or the Supplemental Provisions to the Project Document]*, the responsibility for the safety and security of each responsible party, subcontractor and sub-recipient and its personnel and property, and of UNDP’s property in such responsible party’s, subcontractor’s and sub-recipient’s custody, rests with such responsible party, subcontractor and sub-recipient. To this end, each responsible party, subcontractor and sub-recipient shall:
    - i. put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
    - ii. assume all risks and liabilities related to such responsible party’s, subcontractor’s and sub-recipient’s security, and the full implementation of the security plan.
  - b. UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of the responsible party’s, subcontractor’s and sub-recipient’s obligations under this Project Document.
  - c. In the performance of the activities under this Project, UNDP as the Implementing Partner shall ensure, with respect to the activities of any of its responsible parties, sub-recipients and other entities engaged under the Project, either as contractors or subcontractors, their personnel and any individuals performing services for them, that those entities have in place adequate and proper procedures, processes and policies to prevent and/or address SEA and SH.
  - d. 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.

- e. 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).
- f. 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.
- g. 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.

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

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

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

- i. 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.
- j. 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.

- k. 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.

perate in good faith with any exercise to evaluate any programme or project-related commitments or compliance with the UNDP Social and Environmental **Special Clauses**.

Please insert the schedule of payments and UNDP bank account details.

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

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

3. UNDP shall receive and administer the payment in accordance with the regulations, rules, policies and procedures of UNDP.

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

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

6. If the payment referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph 1 above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.

1. 7Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

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

The contribution shall be charged- 8% management fee for operational and programmatic support by UNDP personnel to the project.

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

- 10 The payment and the project shall be subject exclusively to the internal and external auditing procedures provided for in the Financial Regulations and Rules and policies of UNDP.

## XI. ANNEXES

### 1. Project Quality Assurance Report

2. **Social and Environmental Screening Template** [\[English\]](#)[\[French\]](#)[\[Spanish\]](#), 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 standard [Risk Log template](#). Please refer to the [Deliverable Description of the Risk Log](#) for instructions

#	Description	Date Identified	Type	Impact & Probability	Countermeasures / Management response	Owner	Submitted, updated by	Last Update	Status
1	Inability to attract quality human resources for district or block level positions	March - 19	Operational	Impact – 3 Probability – 1	The project will tap into human resource talent such as Mission Managers who have already worked on similar assignments available with State Government in various programmes, and who can contribute to the rural livelihood programme. Further, UNDP will ensure wide outreach of job opportunities through its past and present partner organizations working across the state to attract best talent.	State Head	State Head		
2	High priority on achieving targets related to quantity of	March - 19	Operational	Impact – 4 Probability – 3	Support on capacity building and for setting up strong implementation systems. This will enable balancing between achievement of numbers and	State Head	State Head		

SHGs reduces focus on quality and functionality aspects					ensuring quality aspects of the programme.				
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- 4. Capacity Assessment:** : UNDP follows Harmonized Approach to Cash Transfer approach for partnering with/ and transfer of funds to project responsible parties. HACT changed the management of cash transfers from a system of rigid controls to a risk management approach aimed at reducing transaction costs, simplifying and harmonizing rules and procedures, while strengthening the capacity of implementing partners to effectively manage resources. Under this approach, UNDP undertakes capacity assessments of such partners and ensures spot checks, internal control audits and financial audits of such partners as required.
- 5. Project Board Terms of Reference and TORs of key management positions**

**ANNEXURE 1****PROJECT BUDGET**

Sr. No.	Designation	No. of Positions	Base Monthly Salary as per HR Manual & approved by GO	Laptop Allowance	Total	Annual Increment on Base Monthly Salary	Annual Cost - Year I	Annual Cost - Year II (Increment 10%)	Annual Cost - Year III (Increment 10%)	Total Cost
					Monthly Salary					
<b>State Team</b>										
1	State Mission Manager- Livelihood	1	60,000	2,500	62,500	Upto 10%	750,000	822,000	901,200	2,473,200
2	State Mission Manager- Marketing	1	50,000	2,500	52,500		630,000	690,000	756,000	2,076,000
3	Mission Manager- Marketing/Farm/Non-Farm Livelihood	1	45,000	2,500	47,500		570,000	624,000	683,400	1,877,400
4	Mission Manager- IBCB	1	45,000	2,500	47,500		570,000	624,000	683,400	1,877,400
5	Mission Manager- Knowledge Management & Communication	1	45,000	2,500	47,500		570,000	624,000	683,400	1,877,400
<b>District/Block Teams</b>										
6	District Thematic Experts	13	35,000	2,000	37,000	Upto 10%	5,772,000	6,318,000	6,918,600	19,008,600
<b>Block Team</b>										
7	Block Mission Manager	40	35,000	2,000	37,000	Upto 10%	17,760,000	19,440,000	21,288,000	58,488,000
<b>Capacity Building</b>										
8	Expert Consultations/Inducti	Lumpsu m					3,500,000	3,500,000	3,500,000	10,500,000

	on Trainings/Capacity building (Need basis)						
<b>Project Costs at New Delhi</b>							
9	Recruitment Cost (advertisement, travel and honorarium of experts)	Lumpsu m		500,000	250,000	250,000	1,000,000
	<b>Total Cost (INR)</b>			<b>₹ 30,622,000</b>	<b>₹ 32,892,000</b>	<b>₹ 35,664,000</b>	<b>₹ 99,178,000</b>
	<b>UNDP Professional Fees (@8%)</b>			<b>₹ 2,449,760</b>	<b>₹ 2,631,360</b>	<b>₹ 2,853,120</b>	<b>₹ 7,934,240</b>
	<b>Grand Total (INR)</b>			<b>₹ 33,071,760</b>	<b>₹ 35,523,360</b>	<b>₹ 38,517,120</b>	<b>₹ 107,112,240</b>
	<b>Grand Total (USD @ 67)</b>			<b>\$493,608</b>	<b>\$530,199</b>	<b>\$574,882</b>	<b>\$1,598,690</b>

**NOTE:**

- Salary structure is as per the salary approved by GO no 3610/XI/13/53(08)11 Dated 3.9.2013 & GO No.280/XI/18/53(08)/2011 TC-1 Dated 11.04.2018**
- All allowances will be as per the Modal HR Manual/USRLM Manual, as agreed upon by the competent authority. Other than laptop allowance, education Allowance, Medical Insurance Premium, Group Accidental Insurance Premium, travel allowance and any other allowance provided in the HR Manual will be paid by the State Government as per the provisions of the State SRLM HR manual.**
- Annual increment of upto 10% is based on performance appraisal based on the final decision of the competent authority**
- While the total cost of the project will remain same through the life of the project, there may be internal adjustments as required between the sub-categories of the budget heads, subject to agreement between the concerned parties.**