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PROJECT QA ASSESSMENT: DESIGN AND APPRAISAL

OVERALL PROJECT

EXEMPLARY (5) ◎◎◎◎◎	HIGHLY SATISFACTORY (4) ◎◎◎◎○	SATISFACTORY (3) ◎◎◎○○	NEEDS IMPROVEMENT (2) ◎◎○○○	INADEQUATE (1) ◎○○○○
At least four criteria are rated Exemplary, and all criteria are rated High or Exemplary.	All criteria are rated Satisfactory or higher, and at least four criteria are rated High or Exemplary.	At least six criteria are rated Satisfactory or higher, and only one may be rated Needs Improvement. The Principled criterion must be rated Satisfactory or above.	At least three criteria are rated Satisfactory or higher, and only four criteria may be rated Needs Improvement.	One or more criteria are rated Inadequate, or five or more criteria are rated Needs Improvement.

DECISION

- **APPROVE** – the project is of sufficient quality to be approved in its current form**.** Any management actions must be addressed in a timely manner.
- **APPROVE WITH QUALIFICATIONS** – the project has issues that must be addressed before the project document can be approved. Any management actions must be addressed in a timely manner.
- **DISAPPROVE** – the project has significant issues that should prevent the project from being approved as drafted.

RATING CRITERIA

For all questions, select the option that best reflects the project

STRATEGIC[1]

1. Does the project specify how it will contribute to higher level change through linkage to the programme's Theory of Change?[2]

- **3:** The project is clearly linked to the programme's theory of change. It has an explicit change pathway that explains how the project will contribute to outcome level change and why the project's strategy will likely lead to this change. This analysis is backed by credible evidence of what works effectively in this context and includes assumptions and risks.
- **2:** The project is clearly linked to the programme's theory of change. It has a change pathway that explains how the project will contribute to outcome-level change and why the project strategy will likely lead to this change.
- **1:** The project document may describe in generic terms how the project will contribute to development results, without an explicit link to the programme's theory of change.

**Note: Projects not contributing to a programme must have a project-specific Theory of Change. See alternative question under the lightbulb for these cases.*

**Note: Risk management must be done for criteria with score of 1.*

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Evidence

1. Prodoc
2. CPD 2023-27

CPD 2023-27 of UNDP India CO serves as programmatic level theory of change. The project is linked to CPD Output 2.3: "**Expansion of robust and inclusive social protection systems and improved access to assets and services for poor and vulnerable groups such as tribal, migrants, people infected or affected by HIV, PWD, LGBTIQ etc**. " There is a clear linkage between this and UNSDCF

[1] Programming priorities and results contribute to the Sustainable Development Goals (SDGs), are consistent with the UNDP Strategic Plan and are aligned with United Nations Sustainable Development Cooperation Framework ('Cooperation Framework'). Programmes and projects are based on clear analysis backed by evidence and theories of change. The latter justify why the defined approach is most appropriate and will most likely achieve, or contribute to, desired development results along with partner contributions. The role of UNDP vis-à-vis partners is deliberately considered. New opportunities and changes in the development context are regularly reassessed, with any relevant adjustments made as appropriate.

[2] For additional help, please refer to the following guidance and resources:

- Theory of Change PPT
- Formulate Programmes & Projects

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	Outcome 4: "**By 2027, people will benefit from and contribute to sustainable and inclusive growth through higher productivity, competitiveness and diversification in economic activities that create decent work, livelihoods and income particularly for youth and women."** As well as SP Outcome "#2 **No one left behind, centring on equitable access to opportunities and a rights-based approach to human agency and human development**." They are linked with national priority of " **Achieving SDGs by 2030 aligned with national priorities including Skill India; Financial Inclusion; Digital India; National Rural and Urban Livelihood Missions**." Since project strategy includes strengthened institutional capacity for the Ministry of Tribal Affairs (MoTA); "robust digital platforms, tools and mechanisms" to benefit particularly vulnerable tribal groups (PVTGs), the project will directly contribute to CPD Output 2.3, which are linked to higher level Outcomes and national priority. The analysis is backed by credible evidence including the report of Dhebar commission, a study done by Lakshmi & Paul in 2019, past project implementation experience of UNDP India, and consultation with MoTA. The context includes assumption and risks that can be found in the prodoc.
2. Is the project aligned with the UNDP Strategic Plan?[i]	3 | 2 1 **Evidence** 1. Prodoc 2. UNDP Strategic Plan 2022-25 3. IRRF 2022-25 The project responds to UNDP Strategic Plan Outcome 2: " No one

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• **3:** The project responds to at least one of the development settings as specified in the Strategic Plan[3] and adapts at least one Signature Solution[4]. The project's RRF includes all the relevant SP output indicators. *(all must be true)* • **2:** The project responds to at least one of the development settings as specified in the Strategic Plan[4]. The project's RRF includes at least one SP output indicator, if relevant. *(both must be true)* • **1:** The project responds to a partner's identified need, but this need falls outside of the UNDP Strategic Plan. Also select this option if none of the relevant SP indicators are included in the RRF. **Note: Risk management must be done for criteria with score of 1.*	left behind, centering on equitable access to opportunities and a rights-based approach to human agency and human development." The project adapts multiple UNDP signature solutions: 1) Poverty and Inequality 2) Governance 6) Gender Equality While the project contributes to all three UNDP strategic solutions mentioned above, the relevant indicator that UNDP can select is only available under signature solution 1: Poverty and Inequality. Thus, all the relevant SP Output is registered under RRF.
3. Is the project linked to the programme outputs? (i.e., UNSDCF/CPD, RPD or Strategic Plan IRRF for strategic interventions not part of a programme) **Note: Project QA cannot be approved by Project QA Approver when the response is "No".*	**Yes** / **No** **Evidence** 1. Prodoc The RRF in the prodoc shows clear linkage between the project and programme output. The project is linked to CPD Output 2.3: **"Expansion of robust and inclusive social protection systems and improved access to assets and services for poor and vulnerable groups such as tribal, migrants, people infected or affected by HIV, PWD, LGBTIQ etc**." There is a clear linkage between this and UNSDCF Outcome 4: "**By 2027, people will benefit from and contribute to sustainable and inclusive growth through higher productivity, competitiveness and diversification in economic activities that create decent work, livelihoods and income particularly for youth and women."** As well as

[3] The three development settings in UNDP's 2018-2021 Strategic Plan are: a) Eradicate poverty in all its forms and dimensions; b) Accelerate structural transformations for sustainable development; and c) Build resilience to shocks and crises

[4] The six Signature Solutions of UNDP's 2018-2021 Strategic Plan are: a) Keeping people out of poverty; b) Strengthen effective, inclusive and accountable governance; c) Enhance national prevention and recovery capacities for resilient societies; d) Promote nature based solutions for a sustainable planet; e) Close the energy gap; and f) Strengthen gender equality and the empowerment of women and girls.

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	SP Outcome "#2 **No one left behind, centering on equitable access to opportunities and a rights-based approach to human agency and human development**." They are linked with national priority of "**Achieving SDGs by 2030 aligned with national priorities including Skill India; Financial Inclusion; Digital India; National Rural and Urban Livelihood Missions**."
RELEVANT[5]	
4. Does the project identify target groups , and particularly those marginalized, vulnerable and left further behind (LNOB)? • **3:** The LNOB target groups are clearly specified, prioritising discriminated and marginalized groups left furthest behind, identified through a rigorous process based on evidence. • **2:** The LNOB target groups are clearly specified, prioritizing groups left furthest behind. • **1:** The LNOB target groups are not clearly specified. **Note: Risk management must be done for criteria with score of 1. Projects that build institutional capacity should still identify targeted groups to justify support.*	3 | 2 | 1 **Evidence** 1. Prodoc The project specifically targets the most marginalized tribal populations that are labeled as "Particularly Vulnerable Tribal Groups (PVTGs)." The identification process was done by rigorous process based on evidence done by the government. About 2.6 million (2.5%) of the total population of Scheduled Tribes are identified as PVTGs.
	3 | 2 | 1

[5] Programming objectives and results are consistent with national needs and priorities, as well as with feedback obtained through engaging excluded and/or marginalized groups as relevant. Programming strategies consider interconnections between development challenges and results. A gender analysis is integrated to fully consider the different needs, roles and access to/control over resources of women and men; appropriate measures are taken to address these when relevant. Programmes and projects regularly capture and review knowledge and lessons learned to inform design, adapt and change plans and actions as appropriate, and plan for scaling up.

For additional help, please refer to the Quality Standards for Programming and the UNDP Programme and Operations Policies and Procedures (POPP).

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5. Have knowledge, good practices, and past lessons learned of UNDP and others informed the project design? • **3:** Knowledge and lessons learned backed by credible evidence from sources such as evaluation, corporate policies/strategies, and/or monitoring have been explicitly used, with appropriate referencing, to justify the approach used by the project. • **2:** The project design mentions knowledge and lessons learned backed by evidence/sources, but have not been used to justify the approach selected. • **1:** There is little or no mention of knowledge and lessons learned informing the project design. Any references made are anecdotal and not backed by evidence. **Note: Risk management must be done for criteria with score of 1.*	**Evidence** However, the project was designed based on knowledge of past studies and government data including the report of Dhebar commission. UNDP India's past project implementation experience also significantly contributed the project design.
6. Does UNDP have a clear advantage to engage in the role envisioned by the project vis-à-vis national/regional/global partners and other actors? • **3:** An analysis has been conducted on the role of other partners in the area where the project intends to work, and credible evidence supports the proposed engagement of UNDP and partners through the project, including identification of potential funding partners. It is clear how results achieved by partners will complement the project's intended results and a communication strategy is in place to communicate results and raise visibility vis-à-vis key partners. Options for south-south and triangular cooperation have been considered, as appropriate. *(all must be true)* • **2:** Some analysis has been conducted on the role of other partners in the area where the project intends to work, and relatively limited evidence supports the proposed engagement of and division of labour between UNDP and partners through the project, with unclear funding and communications strategies or plans. • **1:** No clear analysis has been conducted on the role of other partners in the area that the project intends to work. There is risk that the project overlaps and/or does not coordinate with partners' interventions in this area. Options for south-south and triangular cooperation have not been considered, despite its potential relevance. **Note: Risk management must be done for criteria with score of 1.*	3 | 2 | 1 **Evidence** 1. Prodoc Multi-faced engagement with various partners is mentioned in the prodoc, including below. 1) Knowledge and Financial partnership: The project aims to build knowledge and financially resourced partnerships with other Central Line Ministries, state governments (especially Tribal welfare departments), Tribal Research Institutes (TRIs), non-governmental organizations, tribal inclusion, gender civil society organizations (CSOs), research institutions, local governments, departments/ministries of state/central governments, and private businesses. 2) Policy formulation and programme implementation The Ministry of Tribal Affairs seeks guidance and support from NITI Aayog to develop a State/Union Territory-wise socio-economic gender-sensitive indicator to facilitate policy formulation and implementation of programs for tribal welfare and development. The Project Management Unit (PMU) will also collaborate with NITI Aayog's Social Justice and Empowerment (SJE) vertical to develop a robust framework to monitor the progress of the

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	Particularly Vulnerable Tribal Groups (PVTG) 3) Strategic Planning and Impact Monitoring Partners are expected to contribute to evidence-based strategic planning, impact monitoring, convergence of programs and schemes, training and capacity building, and knowledge management and communications. This includes ensuring that the benefits of the PM-PVTG Mission reach the tribal communities with a specific focus on women.

PRINCIPLED[6]

7. Does the project apply a human rights-based approach?

- **3:** The project is guided by human rights and incorporates the principles of accountability, meaningful participation, and non-discrimination in the project's strategy. The project upholds the relevant international and national laws and standards. Any potential adverse impacts on enjoyment of human rights were rigorously identified and assessed as relevant, with appropriate mitigation and management measures incorporated into project design and budget. *(all must be true)*
- **2:** The project is guided by human rights by prioritizing accountability, meaningful participation and non-discrimination. Potential adverse impacts on enjoyment of human rights were identified and assessed as relevant, and appropriate mitigation and management measures incorporated into the project design and budget. *(both must be true)*
- **1:** No evidence that the project is guided by human rights. Limited or no evidence that potential adverse impacts on enjoyment of human rights were considered.

**Note: Risk management must be done for criteria with score of 1.*

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Evidence

1. Prodoc
2. SESP

The project incorporates a human rights-based approach by actively focusing on uplifting the marginalized community of Particularly Vulnerable Tribal Groups (PVTGs). The project's primary objective is to increase the capacities of these communities while providing basic infrastructure to the PVTGs, addressing the basic needs of the PVTG community. The project's strategy involves the effective implementation of rights-based legislation, including the Forest Rights Act (FRA), and various other critical programs and schemes through active participation from the PVTG

[6] All programming applies the core principles of Leave No One Behind, Human Rights, Gender Equality and Women's Empowerment, Sustainability and Resilience and Accountability. Social and environmental sustainability are systematically integrated. Potential harm to people and the environment is avoided wherever possible, and otherwise minimized, mitigated and managed.
For additional help, please refer to the following relevant guidance and resources:

- UNDP Social and Environmental Standards
- UNDP Social and Environmental Screening Procedure
- Quality Standards for Programming

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	communities. Furthermore, the project is committed to maintaining robust monitoring mechanisms and evidence-based planning which is essential to guarantee that all programs and schemes aimed at the betterment of PVTG communities, are reaching their intended beneficiaries to foster holistic development. Re application of relevant laws and standards to uphold human rights-based approach, the project is conducted in a manner consistent with the UNDP Social and Environmental Standards (SES), which are designed to protect and promote human rights. The project also implements any management or mitigation plan prepared to comply with such standards and engages in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. SES screening was conducted to identify potential adverse impacts on enjoyment of human rights. As a result, no management measures were set as the project was identified as low risk.
8. Does the project use gender analysis in the project design? • **3:** A participatory gender analysis has been conducted and results from this gender analysis inform the development challenge, strategy and expected results sections of the project document. Outputs and indicators of the results framework include explicit references to gender equality, and specific indicators measure and monitor results to ensure women are fully benefitting from the project. *(all must be true)* • **2:** A basic gender analysis has been carried out and results from this analysis are scattered (i.e., fragmented and not consistent) across the development challenge and strategy sections of the project document. The results framework may include some gender sensitive outputs and/or activities but gender inequalities are not consistently integrated across each output. *(all must be true)* • **1:** The project design may or may not mention information and/or data on the differential impact of the project's development situation on gender relations, women and men, but the gender inequalities have not been clearly identified and reflected in the project document. **Note: Risk management must be done for criteria with score of 1.*	3 | **2** 1 Evidence 1. Prodoc The project aims to enhance gender equality and women's empowerment through a multifaceted approach. Firstly, it aims to promote the implementation of flagship programs and schemes with a strong emphasis on ensuring gender sensitivity. Additionally, the project will prioritize the collection and analysis of gender-disaggregated data, which will enable more effective outreach to women beneficiaries in Particularly Vulnerable Tribal Group (PVTG) communities. Gender-sensitive capacity building will be a fundamental element, as

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	government officials, civil society organizations (CSOs), Panchayati Raj Institutions (PRIs), and PVTG community leaders will undergo extensive training to enhance their abilities in implementing the PVTG Mission. In addition to capacity building, the project also addresses the lack of information regarding the specific challenges faced by PVTG women. This will be done by preparing and disseminating gender sensitive comprehensive training frameworks/modules and outreach programmes through state and district administration. Further, to ensure effective monitoring of progress and achievements with a gender sensitive approach, an interactive dashboard will be developed to capture gender-disaggregated data. Therefore, the project is committed to empowering women in PVTG communities by improving program implementation, data analysis, building the capacity of stakeholders, and fostering gender-sensitive approaches to planning and monitoring. Under RRF, each project output was assessed and labeled corresponding gender marker. Out of two outputs, both were labeled as Gen 2, meaning gender equality is a significant objective. Concrete approaches were identified under each output to promote gender mainstreaming, with the aim to promote gender equality and women empowerment.
9. Did the project support the resilience and sustainability of societies and/or ecosystems? • **3:** Credible evidence that the project addresses sustainability and resilience dimensions of development challenges, which are integrated in the project strategy and design. The project reflects the interconnections between the social, economic and environmental dimensions of sustainable development. Relevant shocks, hazards and adverse social and environmental impacts have been identified and rigorously assessed with appropriate management and mitigation measures incorporated into project design and budget. *(all must be true)*. • **2:** The project design integrates sustainability and resilience dimensions of development challenges. Relevant shocks, hazards and adverse social and environmental impacts have been identified and assessed, and relevant management and mitigation measures incorporated into project design and budget. *(both must be true)*	3 | 2 | 1 **Evidence** 1. Prodoc 2. SESP The project supported the resilience and sustainability of societies and ecosystems. One of the key components of the project is to generate evidence for policy

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• **1:** Sustainability and resilience dimensions and impacts were not adequately considered. **Note: Risk management must be done for criteria with score of 1.*	advocacy through research studies to ensure that policy interventions reach their intended beneficiaries, including the Particularly Vulnerable Tribal Groups (PVTGs). The project aims to document and disseminate best practices for greater cross-learning between states and for wider learning, which contributes to the resilience and sustainability of tribal societies. Additionally, the project focuses on convergence of programs and schemes across sectors such as rural development, housing and health. By promoting the convergence of these programs and ensuring coordination with various stakeholders, the project aims to align and optimize resources effectively. This approach includes prioritizing PVTG villages and identifying local needs, enabling targeted interventions and tailored development strategies that contribute to the sustainable and holistic development of PVTG communities. Furthermore, the project envisages engagement with a diverse group of stakeholders, including governments at the central and state levels, technical/research institutions, and community-based organizations. This engagement is designed to ensure inter-departmental convergence, people-centric planning, implementation, and monitoring of activities and results, which are essential for building resilient and sustainable societies. The project also aims to foster collaboration with concerned State Governments regarding Community Forest Rights (CFR) and habitat rights and explore opportunities for linking these rights to livelihood schemes and agriculture development programs. This contributes to the

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	sustainable management of natural resources and the resilience of ecosystems. The project reflects the interconnections between the social, economic, and environmental dimensions of sustainable development. The project's approach to promoting the convergence of programs and schemes across sectors such as rural development, housing and health, demonstrates an understanding of the social and economic aspects of sustainable development. SES screening was conducted to identify relevant shocks, hazards and adverse social and environmental impacts. As a result, no management measures were set as the project was identified as low risk.
10. Has the Social and Environmental Screening Procedure (SESP) been conducted to identify potential social and environmental impacts and risks?[7] **[If yes, upload the completed checklist. If SESP is not required, Select all exemption criteria that apply.]** ***Applicable only to option "SESP not required":** SESP not required because project consists solely of *(Select all exemption criteria that apply):* ☐1: Preparation and dissemination of reports, documents and communication materials ☐ 2: Organization of an event, workshop, training ☐ 3: Strengthening capacities of partners to participate in international negotiations and conferences ☐ 4: Partnership coordination (including UN coordination) and management of networks ☐ 5: Global/regional projects with no country level activities (e.g. knowledge management, inter-governmental processes) ☐ 6: UNDP acting as Administrative Agent ☐ 7: Development Effectiveness projects and Institutional Effectiveness projects **Note: Project QA cannot be approved by Project QA Approver when the response is "No".*	Yes / No SESP not required **Evidence** 1. SESP

[7] The SESP is not required for projects in which UNDP is Administrative Agent only and/or projects comprised solely of the preparation and dissemination of reports and communication materials; organization of events, workshops, or training; strengthening capacities of partners to participate in international negotiations and conferences; partnership coordination (including UN coordination) and management of networks; and global/regional projects with no country-level activities as well as Development Effectiveness projects and Institutional Effectiveness projects.

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MANAGEMENT & MONITORING[8]

11. Does the project have a strong results framework?

- **3:** The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators that measure the key expected development changes, each with credible data sources and populated baselines and targets, including gender sensitive, target group focused, sex-disaggregated indicators where appropriate. *(all must be true)*
- **2:** The project's selection of outputs and activities are at an appropriate level. Outputs are accompanied by SMART, results-oriented indicators, but baselines, targets and data sources may not yet be fully specified. Some use of target group focused, sex-disaggregated indicators, as appropriate. *(all must be true)*
- **1:** The project's selection of outputs and activities are not at an appropriate level; outputs are not accompanied by SMART, results-oriented indicators that measure the expected change and have not been populated with baselines and targets; data sources are not specified, and/or no gender sensitive, sex-disaggregation of indicators. *(if any is true)*

**Note: Risk management must be done for criteria with score of 1.*

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Evidence

1. Prodoc

The project has a strong results framework. The framework is designed to ensure that the intended outcomes align with the UNSDCF, UNDP Strategic Plan. The project outputs and activities are set at appropriate levels, focusing on enhancement of institutional capacity of MoTA through deployment of technical experts; research and documentation; and training, capacity building and advisory services. The second output of development of robust digital platforms, tools and mechanisms through development of ICT and data driven monitoring is also appropriate level as it is a strategy UNDP India has strong experience. The Outputs and activities in the RRF align with the ToC.

The indicators are SMART, as it is specific, measurable, achievable, relevant and time bound. The indicators are appropriately set to tackle developmental challenges envisaged under each output. Baselines and targets are set for each output, which are backed by credible evidence such as MoTA Annual Reports and annual project reports of PM-PVTG Mission. All indicators are gender sensitive, for example, "Indicator 1.1: No. of states/UTs wherein PVTG villages identified with gender-disaggregated PVTG Population" and "Indicator 1.2: No of state action plans developed with sectoral and gender gaps identified." While there is no

[8] Outcomes and outputs are defined at an appropriate level, are consistent with the theory of change, and have SMART, results-oriented indicators, with specified baselines and targets, and identified data sources. Gender-responsive, sex-disaggregated indicators are used when appropriate. Relevant indicators from the Strategic Plan's Integrated Results and Resources Framework (IRRF) have been adopted in the programme or project results framework. Comprehensive, costed monitoring and evaluation plans are in place and implemented to support evidence-based management, monitoring and evaluation. The evaluation plan should be strategic, balanced, practical (timing/sequencing), cost-effective/resourced, and include evaluations of different types (project, programme, outcome, etc.) that will generate the most critical and useful information for UNDP and its partners in the future programming, ensure accountability, and learning from implementation. Risks, in terms of both threats and opportunities, are identified with appropriate plans and actions taken to manage them. Governance of programmes and projects is defined with clear roles and responsibilities, and provides active and regular oversight to inform decision-making.

For additional help, please refer to the Quality Standards for Programming and the UNDP Programme and Operations Policies and Procedures (POPP).

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	particular indicator to count the population, sex disaggregation is incorporated in Indicator 1.1.
12. Is the project's governance mechanism clearly defined in the project document, including composition of the project board? • **3:** The project's governance mechanism is fully defined. Individuals have been specified for each position in the governance mechanism (especially all members of the project board.) Project Board members have agreed on their roles and responsibilities as specified in the terms of reference. The ToR of the project board has been attached to the project document. *(all must be true)*. • **2:** The project's governance mechanism is defined; specific institutions are noted as holding key governance roles, but individuals may not have been specified yet. The project document lists the most important responsibilities of the project board, project director/manager and quality assurance roles. *(all must be true)* • **1:** The project's governance mechanism is loosely defined in the project document, only mentioning key roles that will need to be filled at a later date. No information on the responsibilities of key positions in the governance mechanism is provided. **Note: Risk management must be done for criteria with score of 1.*	3 / **2** / 1 **Evidence** The project's governance mechanism is defined wherein the oversight of project level activities will be provided by the Project Steering Committee (PSC) that will be chaired by the National Project Director (NPD) who is Joint Secretary and co-chaired by UNDP. It will comprise of representatives of designated officials from the MoTA, relevant state governments, NITI Aayog and UNDP. Other stakeholders /experts in the area will also be invited, if required. Further, the PSC will also serve as an effective project-level Grievance Redress Mechanism (GRM) to address grievances related to the social and environmental impacts of the project. The project document listed most important roles of the PSC, which are Guidance and Oversight, Project Reviews, Decision making, Grievance Redress Mechanism, and Quality Assurance. At a lower level, project assurance role is also specified with focal points of UNDP India: Chief Advisor, SDG Acceleration Unit, and M&E Analyst, Programme Support Unit.
13. Have the project risks been identified using the risk assessment tools (Project Quality Assurance, Social and Environmental Screening Procedure, Partner Capacity Assessment Tool, Harmonized Approach to Cash Transfer, Private Sector Due Diligence, etc., if applicable), with clear plans stated to manage and mitigate each risk? • **3:** Project risks related to the achievement of results are fully described in the project risk log, based on comprehensive analysis drawing on the programme's theory of change, Social and Environmental Standards and screening, situation analysis, capacity assessments and other analysis such as funding potential and reputational risk. Risks have been identified through a consultative process with key internal and external stakeholders. Clear and complete plan in place to manage and mitigate each risk, reflected in project budgeting and monitoring plans. *(both must be true)*	**3** / 2 1 **Evidence** 1. prodoc 2. project risk register 3. SESP Four risks have been identified for this project that fall under categories of social and environment, and strategic as per UNDP Enterprise Risk Management

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• **2:** Project risks related to the achievement of results are identified in the initial project risk log based on a minimum level of analysis and consultation, with mitigation measures identified for each risk. • **1:** Some risks may be identified in the initial project risk log, but no evidence of consultation or analysis and no clear risk mitigation measures identified. This option is also selected if risks are not clearly identified and/or no initial risk log is included with the project document. **Note: Risk management must be done for criteria with score of 1.*	(ERM) risk category. The risks are well analyzed based on the project context, and mitigation measures were identified for all risks, together with risk level assessment, risk validity period and identification of risk owner. The project risk register and SESP were prepared with rigorous internal consultation.
EFFICIENT[9]	
14. Have specific measures for ensuring cost-efficient use of resources been explicitly mentioned as part of the project design?[10] **Note: Risk management must be done when the response is "No".*	Yes (3) / No (1) **Evidence** 1. Prodoc The Prodoc explicitly mentions "cost efficiency and effectiveness" under the "IV Project Management" section. The project will utilize the portfolio management approach wherein several initiatives and partnerships with various stakeholders have been converged to ensure synergies and reduce transaction cost.
15. Is the budget justified and supported with valid estimates? • **3:** The project's budget is at the activity level with funding sources, and is specified for the duration of the project period in a multi-year budget. Realistic resource mobilisation plans are in place to fill unfunded components. Costs are supported with valid estimates using benchmarks from similar projects or activities. Cost implications from inflation and foreign exchange exposure have been estimated and incorporated in the budget. Adequate costs for monitoring, evaluation, communications and security have been incorporated.	3 / 2 / 1 **Evidence** 1. Prodoc The project's budget is at the activity level with funding sources and is specified for the duration of the project period in a multi-year

[9] Programming budgets are justifiable and valid, and programming design and implementation includes measures to ensure efficient use of resources. The size and scope of programmes and projects are consistent with resources available and resource mobilization efforts. Plans include consideration of scaling up and links with other relevant initiatives to achieve greater impact. Procurement planning is done early and regularly reviewed. Monitoring and management include analysis of and actions to improve efficiency in delivering desired outputs with the required quality and timeliness, such as country office support to national implementation modalities. Costs are fully recovered (see the Cost Recovery Policy). For additional help, please refer to the Quality Standards for Programming and the UNDP Programme and Operations Policies and Procedures (POPP).

[10] This can include, for example:

- Using the theory of change analysis to explore different options of achieving the maximum results with the resources available.
- Using a portfolio management approach to improve cost effectiveness through synergies with other interventions.
- Through joint operations (e.g., monitoring or procurement) with other partners.
- Sharing resources or coordinating delivery with other projects.
- Using innovative approaches and technologies to reduce the cost of service delivery or other types of interventions.

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• **2:** The project's budget is at the activity level with funding sources, when possible, and is specified for the duration of the project in a multi-year budget, but no funding plan is in place. Costs are supported with valid estimates based on prevailing rates. • **1:** The project's budget is not specified at the activity level, and/or may not be captured in a multi-year budget. **Note: Risk management must be done for criteria with score of 1.*	budget. No funding gap exists for this project as all budget required is funded by MoTA. Costs are supported with previous implementation experience of UNDP towards similar outcome.
16. Is the Country Office/Regional Hub/Global Project fully recovering the costs involved with project implementation? • **3:** The budget fully covers all project costs that are attributable to the project, including programme management and development effectiveness services related to strategic country programme planning, quality assurance, pipeline development, policy advocacy services, finance, procurement, human resources, administration, issuance of contracts, security, travel, assets, general services, information and communications based on full costing in accordance with prevailing UNDP policies (i.e., UPL, LPL.) • **2:** The budget covers significant project costs that are attributable to the project based on prevailing UNDP policies (i.e., UPL, LPL) as relevant. • **1:** The budget does not adequately cover project costs that are attributable to the project, and UNDP is cross-subsidizing the project. **Note: Risk management must be done for criteria with score of 1. The budget must be revised to fully reflect the costs of implementation before the project commences.*	3 | 2 1 **Evidence** 1. Prodoc 8% management fee consists of DPC and GMS is charged in the budget. It is expected that the management fee will cover administration, security and operational costs including finance, procurement and HR. Other costs such as policy advocacy, asset and travel are budgeted under respective budget lines and activity budget lines. However, some programmatic costs (such as unit level programmatic costs and pipeline development costs) are not costed under the project budget.
EFFECTIVE[11]	
17. Have targeted groups, and particularly those marginalized, vulnerable, and left further behind (LNOB), been engaged in the design of the project? • 3: Credible evidence that all targeted groups, prioritising discriminated and marginalized populations that will be involved in or affected by the project, have been actively engaged in the design of the project. The project has an explicit strategy to identify, engage and ensure the meaningful participation of target groups as stakeholders throughout the project, including through monitoring and decision-making (e.g., representation on the project board, inclusion in samples for evaluations, etc.) • 2: Some evidence that key targeted groups have been consulted in the design of the project. • 1: No evidence of engagement with targeted groups during project design. **Note: Risk management must be done for criteria with score of 1.* • Not Applicable	3 | 2 1 | Not Applicable **Evidence** 1. Prodoc While this project is for PVTG, the direct beneficiary of this project is MoTA. The project design was fully consulted with the ministry.

[11] Programming design and implementation are informed by relevant knowledge, evaluation and lessons learned to develop strategy and inform course corrections. Targeted groups are systematically identified and engaged, prioritizing the marginalized and excluded. Results consistently respond to gender analysis and are accurately rated by the gender marker. Managers use monitoring data for making decisions that maximize achievement of desired results. South-South and triangular cooperation are used, when relevant, and captured in the results framework. Required implementing partner assessments have been conducted, and the implementation modality is consistent with the results. For additional help, please refer to the Quality Standards for Programming and the UNDP Programme and Operations Policies and Procedures (POPP).

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18. Does the project plan for adaptation and course correction if regular monitoring activities, evaluation, and lesson learned demonstrate there are better approaches to achieve the intended results and/or circumstances change during implementation? **Note: Risk Management must be done when the response is "No".*	Yes (3)	No (1)
	Evidence 1. Prodoc The project plans bi-annual monitoring of project risks, annual tracking of results progress, and correction of learning. Project quality assurance will be done annually, and review and course corrections will be done annually. PSC will be held annually and at the end of the project. These activities will serve to provide better approach, if any, and course correction will be made through the PSC approval.	
19. The gender marker for all project outputs are scored at GEN2 or GEN3, indicating that gender has been fully mainstreamed into all project outputs at a minimum. **Note: Risk Management must be done when the response is "No".*	Yes (3)	No (1)
	Evidence 1. Prodoc Out of two outputs under this project, two are marked as Gen 2. Apart from assigning gender marker, gender mainstreaming strategies have been explicitly set in the RRF for both the outputs, aiming at promoting gender equality and women empowerment through achieving the intended results.	
20. Have societal digital risks and opportunities been taken into account when designing the project's approach and have digital or data technology solutions been considered to enhance the efficiency, effectiveness and scalability of project results?[12]	3	2
	1	Digital considerations are not relevant to this project.

[12] For a checklist and evidence template, please see the Embedding Digital Thinking into Project Design Guidelines. The ten UNDP Digital Standards are:

- Start with the need.
- Bridge the digital divide.
- Test early and often.
- (Perhaps) Don't build it.
- Do no harm.
- Form the Right Team.
- Measure What Matters.
- Follow The UNDP Data Principles.

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• 3: To the extent possible, societal digital risks and opportunities have been investigated when designing the strategy and Theory of Change, and the potential use of digital or data technologies in project activities has been considered in line with UNDP's digital standards and data principles. (All must be true) • 2: Only the potential use of digital or data solutions in project activities has been considered in line with UNDP's digital standards and data principles, but there is no or limited evidence that aspects of inclusive digital societies have been considered in the design of the strategy or Theory of Change. • 1: Neither societal digital risks and opportunities, nor digital or data technology solutions were specifically considered in the project design or, UNDP's digital standards and data principles are not taken into account when intending to use digital or data technology solutions in project activities. • Digital considerations are not relevant to this project. ***Applicable only to option "Digital considerations are not relevant"** ☐1: Societal digital transformation is not a government or contextual priority ☐ 2: A non-digital approach yields higher effectiveness and efficiency ☐ 3: Other (specify in the "Evidence" section) **Note: Risk management must be done for criteria with score of 1.*	**Evidence** 1. Prodoc Societal digital risk and opportunities were considered in designing the project. This is particularly true for Output 2: "Robust Digital platforms, Tools and mechanisms developed for better implementation, evidence-based planning, and monitoring of PM-PVTG Mission to make the mission more coherent and relevant to PVTGs (men and women) needs and aspirations". The opportunities identified were to generate data and analysis related to development parameters of PVTGs, and to establish a real time monitoring dashboard for PM-PVTG Mission. They will enable better implementation, evidence-based planning, and monitoring of PM-PVTG Mission to make the mission more coherent and relevant to needs and aspirations of women and men belonging to the PVTGs. Key risk identified was that the digital platform is established without enough gender mainstreaming, resulting in the products that have compromised capacities to promote gender equality and women empowerment. Therefore, robust gender mainstreaming was done to this output, including gender responsive design, data collection and analysis. These are captured in ToC and strategy in the prodoc. The use of digital solutions has been considered in line with UNDP digital standards and data principles.

- Default to Open.
- Plan for the Long Term.

The eight UNDP Data Principles are:

- Safeguard personal data.
- Uphold the highest ethical standards.
- Manage Data Responsibly.
- Make data open by default.
- Plan for reusability and interoperability.
- Empower people to work with data.
- Expand frontiers of data.
- Be aware of data limitations.

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	Applicable digital standards include 1. Start with the Need, 2. Bridge the Digital Divide, and 7. Measure What Matters.
SUSTAINABILITY & NATIONAL OWNERSHIP[13]	
21. Have national/regional/global partners led, or proactively engaged in, the design of the country / regional / global project, respectively? • **3:** National partners (or regional/global partners for regional and global projects) have full ownership of the project and led the process of the development of the project jointly with UNDP. • **2:** The project has been developed by UNDP in close consultation with national/regional/global partners. • **1:** The project has been developed by UNDP with limited or no engagement with national partners. **Note: Risk management must be done for criteria with score of 1.*	3 **2** 1 **Evidence** 1. Prodoc 2. LPAC minutes 3. MoA National partners have full ownership of the project and led the process of the development of the project jointly with UNDP. The project went through LPAC and received approval from DEA, in which Joint Secretary and Under Secretary from the Ministry of Tribal Affairs (MoTA) attended to make a presentation of the project. Moreover, the project is funded 100% by the MoTA. And MoA states the commitment of MoTA towards the development of tribal populations and need of technical support to effectively implement PM-PVTG Mission. The Ministry of Tribal Affairs (MoTA) will facilitate partnership development with state governments and coordination with other relevant central ministries as required. Additionally, the project envisages building knowledge and financially resourced partnerships with other Central Line Ministries, state governments, Tribal Welfare Departments, and various stakeholders, including non-governmental organizations, civil society, research institutions, and private businesses.
	3 2

[13] Programming is accomplished in consultation with relevant stakeholders and national partners, who are engaged throughout the programming cycle in decision-making, implementation and monitoring. Programming includes assessing and strengthening the capacity and sustainability of national institutions. A strategy for use of national systems is defined and implemented, if relevant. Monitoring includes use of relevant national data sources, where possible. Sustainability of results is accomplished through tracking capacity indicators and implementing transition and scale-up plans.
For additional help, please refer to the Quality Standards for Programming and the UNDP Programme and Operations Policies and Procedures (POPP).

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22. Are key institutions and systems identified, and is there a strategy for strengthening specific/ comprehensive capacities based on capacity assessments conducted? • **3:** The project has a strategy for strengthening specific capacities of national institutions and/or actors based on a completed capacity assessment. This strategy includes an approach to regularly monitor national capacities using clear indicators and rigorous methods of data collection, and adjust the strategy to strengthen national capacities accordingly. • **2:** A capacity assessment has been completed. There are plans to develop a strategy to strengthen specific capacities of national institutions and/or actors based on the results of the capacity assessment. • **1:** Capacity assessments have not been carried out. **Note: Risk management must be done for criteria with score of 1.*	1 **Evidence** 1. Prodoc The project is designed based on a robust capacity assessment conducted in collaboration with MoTA, which highlights: Lack of gender disaggregated data in socio-economic demographic, and infrastructural development of PVTGs; Absence of evidence-based planning and monitoring mechanisms both at the National and State level, leading to ad hoc implementation at the State and below; Limited capacity among various stakeholders to address diverse needs of the PVTGs; and Lack of convergence/ coordination between Central line ministries/ Departments and State Governments with implementation of schemes and programmes for tribal communities, especially, PVTGs. Based on this findings, the project was designed to: Strengthened Institutional Capacity of the Ministry of Tribal Affairs as well as the Implementing agencies at the State and below to ensure effective and swift implementation and monitoring of the various schemes/ programmes under PM- PVTG Mission so that the benefits reach the tribal communities with specific focus on women (Output 1); and Robust Digital platforms, Tools and mechanisms developed for better implementation, evidence-based planning, and monitoring of PM-PVTG Mission to make the mission more coherent and relevant to PVTGs (men and women) needs and aspirations (Output 2). The achievement and progress of the two outputs will be regularly monitored through output indicators set under RRF. This includes analytical capacity, planning capacity, adaptation of digital solution (monitoring dashboard), and convergence of schemes. They will result in

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	institutional strengthening of MoTA in implementing PM-PVTG Mission equipped with digital solutions that allow the ministry to better implement, evidence-based planning, and monitoring of PM-PVTG Mission to make the mission more coherent and relevant to needs and aspirations of women and men belonging to the PVTGs. The project plans bi-annual monitoring of project risks, annual tracking of results progress, and correction of learning. Project quality assurance will be done annually, and review and course corrections will be done annually. PSC will be held annually and at the end of the project. These activities will serve to provide better approach, if any, and course correction will be made through the PSC approval.
23. Is there is a clear strategy embedded in the project specifying how the project will use national systems (i.e., procurement, monitoring, evaluations, etc.,) to the extent possible? **Note: Risk Management must be done when the response is "No".*	Yes (3) / No (1) Evidence 1. Prodoc While this project will be implemented through DIM, the project will jointly monitor the project with MoTA. This includes track result progress; monitoring and manage risks; learning; and review and making course correction. In addition, PSC will be jointly chaired by MoTA representative: a Joint Secretary as the National Project Director (NPD) who will be responsible for guidance and management of the project on behalf of MoTA. In addition, MoTA will facilitate partnership development with state governments and coordination with other relevant central ministries as required.
24. Is there a clear transition arrangement/ phase-out plan developed with key stakeholders in order to sustain or scale up results (including resource mobilisation and communications strategy)? **Note: Risk Management must be done when the response is "No".*	Yes (3) / No (1) **Evidence** 1. Prodoc

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	There is a clear transition arrangement/phase-out plan developed with key stakeholders to sustain or scale up results. The sustainability strategy will focus on capacity and institutional development, government ownership, and replicability of innovative development solutions by forging partnerships for scale. The involvement of the Ministry of Tribal Affairs and the State Tribal Departments in the development of tools/mechanisms will ensure government ownership. Additionally, the capacity built within state tribal departments and inter-ministerial/ department platforms, along with demonstrable development solutions and ICT-enabled tools to monitor program delivery, will continue to function beyond the project life.

[i] The three development settings in UNDP's 2022-2025 Strategic Plan are:

- **Structural transformation** – including green, inclusive and digital transitions: working with countries to effect change in systems and structures that shape a country's sustainable development.
- **Leaving no-one behind** – a rights-based approach centered on empowerment, inclusion, equity, human agency and human development.
- **Building resilience** – strengthening countries and institutions to prevent, mitigate and respond to crisis, conflict, natural disasters, climate and social and economic shocks.

The six Signature Solutions of UNDP's Strategic Plan 2022-2025 are:

- **Poverty and Inequality** – Tackling inequality of opportunities by investing in the enhanced capabilities people need to move above the poverty line and keep moving forwards.
- **Gender Equality** – Confronting the structural obstacles to gender equality and strengthening women's economic empowerment and leadership.
- **Energy** – Increasing energy access for those furthest behind and accelerating the transition to renewable energy.
- **Environment** – Putting nature and the environment at the heart of national economies and planning; helping governments protect, manage and value their natural assets.
- **Resilience** – Supporting countries and communities in building resilience to diverse shocks and crises, including conflict, climate change, disasters and epidemics.
- **Governance** – Helping countries address emerging complexities by "future-proofing" governance systems through anticipatory approaches and better management of risk.

Relatedly, the three development settings in UNDP's 2018-2021 Strategic Plan are:

- Eradicate poverty in all its forms and dimensions.

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- Accelerate structural transformations for sustainable development; and
- Build resilience to shocks and crises.

The six Signature Solutions of UNDP's 2018-2021 Strategic Plan are:

- Keeping people out of poverty;
- Strengthen effective, inclusive and accountable governance;
- Enhance national prevention and recovery capacities for resilient societies;
- Promote nature based solutions for a sustainable planet;
- Close the energy gap; and
- Strengthen gender equality and the empowerment of women and girls.